



Santa Clara Valley Water District Board of Directors Meeting

Headquarters Building Boardroom
5700 Almaden Expressway
San Jose, CA 95118

***AMENDED/APPENDED**
11:00 AM CLOSED SESSION AND
1:00 PM REGULAR MEETING
AGENDA

Tuesday, February 11, 2020
11:00 AM

***ITEMS AMENDED AND/OR APPENDED SINCE THE ORIGINAL PUBLICATION OF THIS AGENDA
ARE IDENTIFIED BY AN ASTERISK (*) HEREIN**

District Mission: Provide Silicon Valley safe, clean water for a healthy life, environment and economy.

DISTRICT BOARD OF DIRECTORS

Nai Hsueh, Chair, District 5
Tony Estremera, Vice Chair, District 6
John L. Varela, District 1
Barbara Keegan, District 2
Richard P. Santos, District 3
Linda J. LeZotte, District 4

All public records relating to an open session item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at the Office of the Clerk of the Board at the Santa Clara Valley Water District Headquarters Building, 5700 Almaden Expressway, San Jose, CA 95118, at the same time that the public records are distributed or made available to the legislative body. Santa Clara Valley Water District will make reasonable efforts to accommodate persons with disabilities wishing to attend Board of Directors' meeting. Please advise the Clerk of the Board Office of any special needs by calling (408) 265-2600.

NORMA CAMACHO
Chief Executive Officer

MICHELE L. KING, CMC
Clerk of the Board
(408) 265-2600
Fax (408) 266-0271
www.valleywater.org

Note: The finalized Board Agenda, exception items and supplemental items will be posted prior to the meeting in accordance with the Brown Act.

THIS PAGE INTENTIONALLY LEFT BLANK

**Santa Clara Valley Water District
Board of Directors**

***AMENDED/APPEDED
11:00 AM CLOSED SESSION AND
1:00 PM REGULAR MEETING AGENDA**

***ITEMS AMENDED AND/OR APPENDED SINCE THE ORIGINAL PUBLICATION OF THIS AGENDA
ARE IDENTIFIED BY AN ASTERISK (*) HEREIN**

Tuesday, February 11, 2020

11:00 AM

Headquarters Building Boardroom

1. CALL TO ORDER:

1.1. Roll Call.

2. TIME CERTAIN:

11:00 AM

Notice to the Public: The Board of Directors meets in Closed Session in accordance with the Ralph M. Brown Act. Following the conclusion of Closed Session discussion, the Board will return for the remaining items on the regular meeting agenda.

- 2.1. Chief Executive Officer/General Manager Recruitment Stakeholder [20-0170](#)
Participation.

Recommendation: Receive stakeholder comments on the Chief Executive Officer and General Manager recruitment.

Manager: Michele King, 408-630-2711

Attachments: [*Handout 2.1-A: D. Muirhead](#)

Est. Staff Time: 5 Minutes

- 2.2. CLOSED SESSION [20-0175](#)
PUBLIC EMPLOYEE APPOINTMENT
Title: Chief Executive Officer
Ref.: Government Code 54957(b)(1)

1:00 PM

- 2.3. District Counsel Report.
- 2.4. Pledge of Allegiance/National Anthem.
- 2.5. Orders of the Day.
A. Approximate Discussion Time (Board); and
B. Adjustments to the Order of Agenda Items.

2.6. Time Open for Public Comment on any Item not on the Agenda.

Notice to the public: This item is reserved for persons desiring to address the Board on any matter not on this agenda. Members of the public who wish to address the Board on any item not listed on the agenda should complete a Speaker Card and present it to the Clerk of the Board. The Board Chair will call individuals to the podium in turn. Speakers comments should be limited to three minutes or as set by the Chair. The law does not permit Board action on, or extended discussion of, any item not on the agenda except under special circumstances. If Board action is requested, the matter may be placed on a future agenda. All comments that require a response will be referred to staff for a reply in writing. The Board may take action on any item of business appearing on the posted agenda.

2.7. Public Hearing - Determine the Necessity for the Board of Directors to be Compensated for up to 15 Days Per Calendar Month and to Consider Meeting Compensation Amount for Calendar Year 2020. [19-1139](#)

Recommendation: A. Conduct a Public Hearing to allow members of the public to provide comments on the need to compensate Directors for up to 15 days per calendar month and Director meeting compensation amount for calendar year 2020;
B. Close the Public Hearing; and
C. Discuss, make a finding and adopt an Ordinance reflecting the number of meetings per calendar month Directors should be compensated and the Director meeting compensation amount for calendar year 2020; or
D. Provide direction to the Clerk of the Board relevant to the authorized number of compensated meetings per month and meeting compensation amount for calendar year 2020.

Manager: Michele King, 408-630-2711

Attachments: [Attachment 1: Notice of Public Hearing](#)
[Attachment 2: 2019 Board Committee Appointments](#)
[Attachment 3: 2019 Board Meeting Days Analysis](#)
[Attachment 4: Draft Ordinance](#)

Est. Staff Time: 5 Minutes

3. CONSENT CALENDAR: (3.1 - 3.7) (Est. Time: 5 Minutes)

Notice to the public: There is no separate discussion of individual consent calendar items. Recommended actions are voted on in one motion. If an item is approved on the consent vote, the specific action recommended by staff is adopted. Items listed in this section of the agenda are considered to be routine by the Board, or delegated to the Board Appointed Officers (BAOs) yet required by law or contract to be Board approved (EL-7.10). Any item may be removed for separate consideration at the request of a Board member. Whenever a resolution is on the consent calendar, a roll call vote will be taken on the entire calendar. Members of the public wishing to address the Board on any consent items should complete a Speaker Card and present it to the Clerk of the Board.

- 3.1. Receive and Direct the Clerk to File the Notice of Completion of Contract and Acceptance of Work for the Uvas Creek Levee Rehabilitation Project Phase 2 (Construction Stage 1 - Milestones 1, 2 and 3), Odin Construction Solutions, Inc., Contractor, Project No. 62084001, Contract No. C0648 (Gilroy, District 1). [19-0950](#)

- Recommendation:
- A. Accept the Work on the Uvas Creek Levee Rehabilitation Project Phase 2 (Construction Stage 1 - Milestones 1, 2 and 3), Project No. 62084001, Contract No. C0648 as complete; and
 - B. Direct the Clerk of the Board to sign the Notice of Completion of Contract and Acceptance of Work for Uvas Creek Levee Rehabilitation Project Phase 2 (Construction Stage 1 - Milestones 1, 2 and 3) and submit for recording at the Santa Clara County Clerk-Recorder.

Manager: Ngoc Nguyen, 408-630-2532

Attachments: [Attachment 1: Notice Completion/Acceptance of Work](#)
[Attachment 2: Contractor Project Milestone Completion Letter](#)
[Attachment 3: Project Completion Letter](#)
[Attachment 4: Construction Contract Acceptance](#)
[Attachment 5: Construction Summary](#)
[Attachment 6: Project Delivery Process Chart](#)

- 3.2. Receive and Direct the Clerk to file the Notice of Completion of Contract and Acceptance of Work for the Permanente Creek Flood Protection Project - McKelvey Park Detention Basin Project (Stage 1), Kiewit Infrastructure West Company, Contractor, Project No. 26244001, Contract No. C0616 (Mountain View) (District 7). [20-0029](#)

Recommendation: A. Accept the work as complete for the Permanente Creek Flood Protection Project - McKelvey Park Detention Basin Project (Stage 1), Project No. 26244001, Contract No. C0616; and
 B. Direct the Clerk of the Board to sign the Notice of Completion of Contract and Acceptance of Work for Permanente Creek Flood Protection Project - McKelvey Park Detention Basin Project (Stage 1) and submit for recording to the Santa Clara County Clerk-Recorder.

Manager: Ngoc Nguyen, 408-630-2632

Attachments: [Attachment 1: Notice of Completion and Acceptance of Work](#)
 [Attachment 2: Construction Contract Acceptance](#)
 [Attachment 3: Project Completion Letter](#)
 [Attachment 4: Construction Summary](#)
 [Attachment 5: Project Delivery Process Chart](#)

*3.3. MOVED TO ITEM 8.1

- 3.4. Adopt a Resolution Amending the District Records Retention Schedule. [19-1224](#)

Recommendation: Adopt the RESOLUTION AMENDING THE DISTRICT'S RECORDS RETENTION SCHEDULE.

Manager: Michele King, 408-630-2711

Attachments: [Attachment 1: Proposed Changes, Physical to Electronic Transition](#)
 [Attachment 2: Similar Series, to be Merged](#)
 [Attachment 3: Clarity Changes, Documents Not to be Superseded](#)
 [Attachment 4: Resolution and Records Retention Schedule](#)

- 3.5. Semi-Annual Lobbyist Report of Individuals Engaged in Compensated Lobbying Activities Aimed at Influencing District Decisions, in Accordance With District Ordinance 10-01. [20-0145](#)

Recommendation: Receive the Semi-Annual Lobbyist Report of Individuals Engaged in Compensated Lobbying Activities for the period July 1, 2019 through December 31, 2019.

Manager: Michele King, 408-630-2711

Attachments: [Attachment 1: Lobbyist Report](#)

- 3.6. December 30, 2019 Claim by Great Oaks Water Company Against the Santa Clara Valley Water District for Refund of Groundwater Production Charges. [20-0120](#)

Recommendation: Deny Great Oaks Water Company's claim.

Manager: Stan T. Yamamoto, 408-630-2755

Attachments: [Attachment 1: Claim](#)

- *3.7. Accept the CEO Bulletins for the Weeks of January 24-30, and January 31 - February 6, 2020. [20-0182](#)

Recommendation: Accept the CEO Bulletin.

Manager: Norma Camacho, 408-630-2084

Attachments: [Attachment 1: 01302020 CEO Bulletin](#)
[Attachment 2: 02062020 CEO Bulletin](#)

REGULAR AGENDA:

4. BOARD OF DIRECTORS:

*4.1. Review of 2020 Board Committee Appointments.

[20-0214](#)

- Recommendation:
- A. Review, revise if necessary, and approve individual Board Committee purpose descriptions;
 - B. Create or disband Board Committee(s), as necessary;
 - C. Review and approve the proposed 2020 Board Committee appointments as submitted by 2020 Board Chair; and
 - D. Appoint new Board Committee Representatives, as necessary;

Manager: Michele King, 408-630-2711

Attachments: [Attachment 1: Chair's Proposed 2020 Appointments](#)
[Attachment 2: Current Board Committee Appointments](#)
[*Handout 4.1-A: D. Muirhead](#)

Est. Staff Time: 5 Minutes

*4.2. Board Committee Reports.

[20-0183](#)

Attachments: [*Handout 4.2-A: 120919 CIP Summary](#)
[*Handout 4.2-B: 011320 CIP Summary](#)
[*Handout 4.2-C: 021020 CIP Agenda](#)
[*Handout 4.2-D: 121819 D&I Summary](#)
[*Handout 4.2-E: 012220 Water Commission Summary](#)
[*Handout 4.2-F: 012220 BAC Summary](#)
[*Handout 4.2-G: 021220 IMC Agenda](#)

- *4.3. Consider Agricultural Water Advisory Committee's Recommendations and Associated Staff Analyses from the Committee's Meeting on January 6, 2020. [20-0152](#)

Recommendation: Consider and act on the following recommendations by the Agricultural Water Advisory Committee:

- A. Direct staff to provide financial data on the differences of commercial/industrial versus residential water usage within the county with the information supplied by the Water Retailers and Valley Water;
- B. Invite County Board of Supervisor Hon. Mike Wasserman or his designee to the Committee's April 6, 2020, meeting;
- C. Add the Open Space Credit/Agricultural component to the future funding measure and keep the agricultural rates stable and at the current rate; and
- D. Allow the Farm Bureau to formulate a question to add to the future funding community input survey.

Manager: Garth Hall, 408-630-2750
Rick Callender, 408-630-2017
Marta Lugo, 408-630-2237

Est. Staff Time: 5 Minutes

- *4.4. Proposed Future Board Member Agenda Items.
(Previously Listed as Item 11.2.)

5. WATER UTILITY ENTERPRISE:

- 5.1. Update on the Condition of the Almaden Valley Pipeline and Determination that the Condition of the Almaden Valley Pipeline Continues to Constitute an Emergency (San Jose) (District 7). [20-0168](#)

Recommendation: A. Receive an update on the Almaden Valley Pipeline; and
B. Determine by a four-fifths vote of the Board that there is a need to continue the emergency action declared by the Acting Chief Executive Officer (CEO) on December 23, 2019, pursuant to California Public Contract Code §22050, to repair the Almaden Valley Pipeline.

Manager: Aaron Baker, 408-630-2135

Attachments: [Attachment 1: Declaration of Emergency](#)

Est. Staff Time: 5 Minutes

6. WATERSHEDS:

- 6.1. Update on the Palo Alto Flood Basin Tide Gate Structure Improvements Project, Project No. 10394001 (Palo Alto, District 7). (Continued from January 28, 2020) [20-0171](#)

Recommendation: Receive an Update on the Palo Alto Flood Basin Tide Gate Structure Improvements Project.

Manager: Ngoc Nguyen, 408-630-2632

Attachments: [Attachment 1: Map](#)
[Attachment 2: Alternative B Construction Staging](#)
[Attachment 3: Alternative C Construction Staging](#)
[Attachment 4: Feasible Alternatives Matrix](#)
[Attachment 5: PowerPoint](#)

Est. Staff Time: 15 Minutes

7. EXTERNAL AFFAIRS:

7.1. Approve Fiscal Year 2020 Grants for Safe, Clean Water and Natural Flood Protection Program. [19-1151](#)

- Recommendation:
- A. Review and discuss staff's recommendations for Fiscal Year 2020 Safe, Clean Water and Natural Flood Protection Program (Safe, Clean Water Program) grant awards;
 - B. Authorize the launch of a pilot Priority A2: Water Conservation Mini-Grant Pilot Program, using the Priority A2: Water Conservation benefits and funding;
 - C. Authorize the Chief Executive Officer to approve and execute agreements for Priority B3: Pollution Prevention grants in a total amount not-to-exceed \$478,969 for five (5) projects;
 - D. Approve the revised Grant Allocation Matrix for Priority D3: Restore Wildlife Habitat grants and begin implementing the revised matrix with the FY20 grant cycle;
 - E. Authorize the Chief Executive Officer to approve and execute agreements for Priority D3: Restore Wildlife Habitat grants based on the following options below:
 - i. Using the current Grant Allocation Matrix structure for one (1) project in a total amount not-to-exceed \$286,078; or
 - ii. Using the revised Grant Allocation Matrix structure for two (2) projects in a total amount not-to-exceed \$580,531; and
 - F. Authorize the Chief Executive Officer to approve and execute amendments to the recommended grant agreements, extending their terms up to twelve additional months and with no revisions to their not-to-exceed grant amounts.

Manager: Rick Callender, 408-630-2017

Attachments: [Attachment 1: Evaluation Criteria](#)
[Attachment 2: Scoring Matrix](#)
[Attachment 3: Pilot A2 Mini-Grant Evaluation Form](#)

Est. Staff Time: 10 Minutes

8. CHIEF EXECUTIVE OFFICER:

- *8.1. Adopt a Resolution Setting Time and Place of a Public Hearing on April 14, 2020, for the Report on Activities in Protection and Augmentation of Water Supplies of the District - 2020. (Previously Listed as Item 3.3) [20-0211](#)

Recommendation:

- *A. Receive a brief verbal update from staff on the preliminary Fiscal Year (FY) 2020-21 groundwater production charge setting process;
- *B. Adopt the Resolution CALLING A PUBLIC HEARING TO CONSIDER COMMENTS FROM MEMBERS OF THE PUBLIC ON THE REPORT ON THE ACTIVITIES IN THE PROTECTION AND AUGMENTATION OF THE WATER SUPPLIES OF THE SANTA CLARA VALLEY WATER DISTRICT, 2020; and
- *C. Set time and place for public hearing to occur on April 14, 2020 at 1:00 p.m., at the Santa Clara Valley Water District Board Chambers, 5700 Almaden Expressway, San Jose, CA 95118.

Manager: Nina Hawk, 408-630-2736

Attachments: [*Original Board Agenda Memo](#)
[*Original Attachment 1: Resolution](#)
[*Original Attachment 2: Public Hearing Notice](#)
[*Supplemental Board Agenda Memo](#)

Est. Staff Time: 10 Minutes

- *8.2. Receive and Discuss the Overview of the Santa Clara Valley Water District (Valley Water) Fiscal Year 2020-21 First Pass Budget Development Process. (Previously Listed as Item 8.1) [20-0213](#)

Recommendation: Receive and discuss the overview of Valley Water's Fiscal Year 2020-21 First Pass Budget Development Process.

Manager: Darin Taylor, 408-630-3068

Attachments: [Attachment 1: PowerPoint](#)

Est. Staff Time: 10 Minutes

9. ADMINISTRATION:

10. DISTRICT COUNSEL:

11. ADJOURN:

11.1. Board Member Reports/Announcements.

*11.2. Item Moved to 4.4.

- 11.3. Clerk Review and Clarification of Board Requests.
- 11.4. Adjourn to Special Meeting at 10:00 a.m., on February 18, 2020, in the Santa Clara Valley Water District Headquarters Building Boardroom, 5700 Almaden Expressway, San Jose, California.

THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 20-0170

Agenda Date: 2/11/2020

Item No.: 2.1.

BOARD AGENDA MEMORANDUM

SUBJECT:

Chief Executive Officer/General Manager Recruitment Stakeholder Participation.

RECOMMENDATION:

Receive stakeholder comments on the Chief Executive Officer and General Manager recruitment.

SUMMARY:

In November 2019, current Santa Clara Valley Water District (Valley Water) Chief Executive Officer, Norma Camacho, announced her retirement, effective July 11, 2020.

The Valley Water Board of Directors has launched a formal executive search for the next Chief Executive Officer/General Manager. To manage the search process, the board has retained Avery and Associates, an Executive Search and Labor Relations consulting firm, which has served both the public and non-profit sectors for over 25 years.

The Board is currently in the strategy stage of the recruitment process and invites any interested stakeholders to attend the February 11, 2020 public Board meeting to provide input on the selection process. The Board will hear comments on this subject at 11:00 a.m.

Input can also be provided in writing, by sending an email to the Clerk of the Board at clerkoftheboard@valleywater.org <<mailto:clerkoftheboard@valleywater.org>>.

The Board will take into consideration all stakeholder comments as they conduct the recruitment process.

FINANCIAL IMPACT:

There is no financial impact associated with this item.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have the

potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

*Handout 2.1-A: D, Muirhead

UNCLASSIFIED MANAGER:

Michele King, 408-630-2711

Michele King

From: D. Muirhead <doug.muirhead@stanfordalumni.org>
Sent: Friday, February 07, 2020 1:09 PM
To: Michele King
Cc: Clerk of the Board; John Varela
Subject: comment Board of Directors Meeting February 11, 2020 #2.1 CEO Recruitment Stakeholder Participation

Water District Board of Directors Meeting Tuesday, February 11, 2020 2.1. Chief Executive Officer/General Manager Recruitment Stakeholder Participation.

Public Comment, Doug Muirhead, Morgan Hill:

Offering the public one chance to comment on qualities desired in a new CEO is what you did when introducing executive search firm Korn Ferry who then brought us Ms. Camacho.

Sometime during that process, the District home page offered a survey for District CEO Recruitment. (See [Note 1] for my reaction.) The five categories were:

1. What are the issues that matter most to you
2. specific professional characteristics or competencies
3. specific personal characteristics or competencies
4. What is the district executive leadership doing well?
5. Where can our executive leadership improve?

While my passions are trails and recycled water and transparency, the issues most important to the District should be

- 1) retirement, institutional knowledge, and succession planning
With the number of employees nearing retirement age, I think the first priority should be institutional knowledge handoff and succession planning. Board and staff need to be sensitive to lack of context and history when having discussions on items which have a significant past.
- 2) we need a better way to know what is most important to the District and what progress or lack thereof is being made.
Far too often there is an announcement (internal task force on permitting, community meetings for trails policy) followed by months or years of silence.
- 3) we need to talk to people in language they can understand and act on; tell people what they are getting and why they should care.
 - * Why is that important in the grand scheme of things?
 - * What are your messages for non-believers?
 - * Our current supporters were attracted by our past messages.
 - * What new messages will attract new supporters?I wonder if people know what they are getting when you talk about, for example, "clean toxins from the water".
 - Mercury at Lake Almaden?
 - Old tires polluting creeks?
 - Nitrate and salt in groundwater?
- 4) I remain convinced that understanding complexity and uncertainty are essential to changing community attitudes that the District has too many employees and pays them too much and yet cannot complete a dam rebuild (my first community meeting in Morgan Hill for Anderson Dam was in 2013 with a construction start date of 2016). Your Public Perception Polls and Proposed Public Education Campaigns need to deliver on perception and attitude changes.
- 5) what waters you control and what other parties are responsible for and what regulatory hurdles are required.
The cleanup work you are doing for Coyote Creek in San Jose where

you have permits or do not need permits is one way to communicate District abilities and limitations. Engineered channels versus natural channels. Why tree size matters. SMP and mitigation.

[Note 1] sent to CoB on Sun April 23 2017; no response In looking at the revised and new agenda material, I also noticed that the web home page now includes a survey for District CEO Recruitment.

Please forward these questions to the Board or Communications Unit as appropriate.

1) When was this survey posted? There is no date on it.

2) When will this survey end? There is no date on it.

3) How was this survey announced? I received no announcement either from a County-wide email blast nor from a communication from my district director.

[Note 2] Posted on July 28, 2017

Norma Camacho named Santa Clara Valley Water District's chief executive officer

As for her priorities, Ms. Camacho said,

* We must focus on preparing for future wet and dry years to ensure our residents have a reliable water supply, no matter what extreme weather the changing climate brings.

* We are committed to protecting our environment and are working to restore habitat along creeks and the bay, clean toxins from the water, and make sure water is used efficiently.

* We remain dedicated to keeping residents and businesses safe through our flood protection programs

[Note 3] Tuesday, February 11, 2020

2.1. Chief Executive Officer/General Manager Recruitment
Stakeholder Participation.

Staff report:

To manage the search process, the board has retained Avery and Associates, an Executive Search and Labor Relations consulting firm. [executive search firm Korn Ferry] The Board is currently in the strategy stage of the recruitment process and invites any interested stakeholders to attend the February 11, 2020 public Board meeting to provide input on the selection process. The Board will hear comments on this subject at 11:00 a.m.

Input can also be provided in writing, by sending an email to the Clerk of the Board at clerkoftheboard@valleywater.org.

The Board will take into consideration all stakeholder comments as they conduct the recruitment process.



Santa Clara Valley Water District

File No.: 20-0175

Agenda Date: 2/11/2020
Item No.: 2.2.

NON-EXHIBIT/CLOSED SESSION ITEM

SUBJECT:

CLOSED SESSION
PUBLIC EMPLOYEE APPOINTMENT
Title: Chief Executive Officer
Ref.: Government Code 54957(b)(1)

THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 19-1139

Agenda Date: 2/11/2020

Item No.: 2.7.

BOARD AGENDA MEMORANDUM

SUBJECT:

Public Hearing - Determine the Necessity for the Board of Directors to be Compensated for up to 15 Days Per Calendar Month and to Consider Meeting Compensation Amount for Calendar Year 2020.

RECOMMENDATION:

- A. Conduct a Public Hearing to allow members of the public to provide comments on the need to compensate Directors for up to 15 days per calendar month and Director meeting compensation amount for calendar year 2020;
- B. Close the Public Hearing; and
- C. Discuss, make a finding and adopt an Ordinance reflecting the number of meetings per calendar month Directors should be compensated and the Director meeting compensation amount for calendar year 2020; or
- D. Provide direction to the Clerk of the Board relevant to the authorized number of compensated meetings per month and meeting compensation amount for calendar year 2020.

SUMMARY:

This item allows the Board to hold a public hearing to:

- a. Determine necessity for Directors to be compensated for up to 15 days per calendar month; and
- b. Consider Directors' meeting compensation for calendar year 2020

PUBLIC HEARING

At its January 14, 2020, regular meeting, the Board set a public hearing to be held on February 11, 2020, to determine the necessity for Directors to be compensated for up to 15 days per calendar month and to consider Directors' meeting compensation for calendar year 2020. A Notice of Public Hearing has been published in a newspaper of general circulation, as well as community papers throughout Santa Clara County, notifying the public of the opportunity to provide comment at the public hearing if they so choose (Attachment 1).

The public hearing is held pursuant to Santa Clara Valley Water District (Valley Water) Act (District Act) Section 33(c), Government Code Section 53232.1, and California Water Code Sections 20200-20207.

Monthly Meeting Limit

AB 1889 (Caballero) signed by the Governor on September 5, 2018, and which took effect on January 1, 2019, amends the District Act by adding Section 33(c), authorizing the Board, until December 31, 2023, to annually adopt a written policy describing, based on a finding supported by substantial evidence, why more than 10 meetings per month, but not more than 15 meetings per month, are necessary for the effective operation of Valley Water. The determination of whether a Director's activities on any specific day are compensable shall be made pursuant to Section 53232.1 of the Government Code. Board Governance Policy GP-10.6.1 provides the activity definitions required by this Government Code section.

In accordance with Board Governance Policy GP-10-6.1, a finding could be made based on substantial evidence including, but not limited to the following.

1. Many of Valley Water's responsibilities such as water supply, flood protection, and environmental stewardship, are in other jurisdictions spread across separate governmental entities. These functions require numerous meetings to set courses of action based on input from the community and other stakeholders.
2. The number and scope of Board and committee meetings, public hearings, community meetings, and other meetings Directors must attend to accomplish the District's business are extensive. The Board has 20 internal and/or joint policy committees, and the Directors serve on a total of 24 external boards and committees for other intergovernmental, regional, or public policy entities (Attachment 2).
3. The District is the only water agency in California that is both a state and federal water contractor through the State Water Project and the Central Valley Project, putting the District at the heart of complex water policy debates in both Sacramento and Washington. This greatly expands the number of meetings necessary to ensure reliable water supplies for Santa Clara County as compared to other regions.
4. In January and February 2019 Directors could be compensated a maximum of 10 meeting days per month. Effective March 9, 2019, the maximum meeting days per month that Directors could be compensated increased to 15, per Ordinance 19-01. During the first 11 months of 2019, the Valley Water Board of Directors reported 948 meeting days that were paid, and 103 meeting that were unpaid, because they exceeded the maximum number of meeting days allowed for the stated month. The table included as Attachment 3 provides details on the meetings per month data.

The Board could consider the following monthly meeting limit options:

1. Make a finding based on substantial evidence that there is an operational need to compensate Directors for up to 15 days per calendar month, and set the meeting day limit accordingly, effective April 14, 2020, for calendar year 2020 (60 days after adoption of ordinance); or
2. Determine that there is no operational need to compensate Directors for more than the current 10 days per calendar month, per California Water Code.

Meeting Compensation

California Water Code Section 20202 authorizes the Board to annually consider, through the public hearing and ordinance adoption process, meeting compensation increases at a rate not to exceed an

amount equal to five percent (5%) annually.

Any Board approved change in the Directors' number of compensated meetings per month and meeting compensation rate will become effective beginning 60 days after date of ordinance adoption, pursuant to California Water Code Section 20204.

The Board's last compensation adjustment was in April 2019. In accordance with the regulatory process, the Board held a public hearing on January 8, 2019, for the public to comment on the Directors' meeting compensation amount; and at that meeting, the Board adopted Ordinance 19-01 enacting a compensation increase of five percent (5%), effective April 14, 2019 (12 months after the last compensation increase.)

The Board could consider the following monthly compensation options:

1. Keep the Directors' compensation at the current amount of \$301.01 per day; or
2. Reduce the Directors' compensation to a specified amount below the current \$301.01 rate per day, up to 10 or 15 days per calendar month, as previously determined, effective April 14, 2020; or
3. Approve an increase up to 5% in Directors' compensation in accordance with the California Water Code Sections 20200-20207, effective April 14, 2020.

FINANCIAL IMPACT:

Funds are budgeted in the Board of Directors Fiscal Year 2020 budget for meeting compensation.

Staff estimates that a 5% increase in Directors' compensation for up to 15 days per calendar month would cost approximately \$19,000. Since contingency budgeting is not performed, funding for any Board-approved increase in compensation may need to be transferred from reserves pursuant to a budget adjustment if the impact cannot be absorbed within budget.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have the potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1: Notice of Public Hearing
Attachment 2: 2019 Board Committee Appointments
Attachment 3: 2019 Board Meeting Days Analysis
Attachment 4: Draft Ordinance

UNCLASSIFIED MANAGER:

File No.: 19-1139

Agenda Date: 2/11/2020
Item No.: 2.7.

Michele King, 408-630-2711



- Topic:** Santa Clara Valley Water District Board of Directors to Determine Necessity for Directors to be Compensated for up to 15 Days per Calendar Month and Consideration of Directors' Per Meeting Compensation Amount for Calendar Year 2020
- Who:** The Santa Clara Valley Water District Board of Directors
- What:** Public hearing for the Board of Directors to Determine Necessity for Directors to be Compensated for up to 15 Days per Calendar Month and consider Directors' per meeting compensation amount for calendar year 2020.
- When:** February 11, 2020, 1:00 p.m.
- Where:** **Santa Clara Valley Water District Board Chambers
5700 Almaden Expressway, San Jose, CA 95118**
- Why:** The Board of Directors of Santa Clara Valley Water District will hold a public hearing to determine necessity for Directors to be compensated for up to 15 days per calendar month; to consider the Directors' per meeting compensation amount for calendar year 2020; and to adopt associated ordinance.

At the time and place fixed for the public hearing, the Board of Directors will receive comments relevant to and make a determination of the necessity for Directors to be compensation for up to 15 days per calendar month for performance of official duties and set the Board compensation for calendar year 2020. After considering all information presented, the Board will consider the following options:

MONTHLY MEETING LIMIT

1. Determine that there is an operational need to compensate Directors for up to 15 days per calendar month, and set the meeting day limit accordingly, for calendar year 2020; or
2. Determine that there is **NO** operational need to compensate Directors for more than 10 days per calendar month, per California Water Code.

MEETING COMPENSATION

1. Keep the Directors' compensation at the current amount of \$301.01 per day;
2. Reduce the Directors' compensation to a specified amount below the current \$301.01 rate per day, effective April 14, 2020; or
3. Approve an increase up to 5% in Directors' compensation in accordance with the California Water Code Sections 20200-20207, effective April 14, 2020.

Reasonable efforts will be made to accommodate persons with disabilities wishing to attend this public hearing. To request accommodations for disabilities, arrange for an interpreter, or obtain more information on attending this hearing, please contact the Office of the Clerk of the Board at (408)265-2600, ext. 2277, at least three days prior to the hearing.

THIS PAGE INTENTIONALLY LEFT BLANK

BOARD COMMITTEES	MEMBERS		
Board Policy and Planning Committee	Keegan	LeZotte	Hsueh
Board Audit Committee	Hsueh	Keegan	Kremen
Board Ethics and Conduct Committee	LeZotte (2019 Chair)	Hsueh (2019 Vice Chair)	Santos (Prior year Chair)
CIP Board Ad Hoc Committee	Estremera	LeZotte	Hsueh
Coyote Flood Risk Reduction Ad Hoc Committee	Estremera	Santos	Keegan
Diversity and Inclusion Ad Hoc Committee	Estremera	Hsueh	Varela
FAHCE Ad Hoc Committee	Estremera	Keegan	LeZotte
Homeless Encampment Ad Hoc Committee	Estremera	Santos	Varela
Recycled Water Committee	Estremera	Keegan	Kremen
Water Conservation and Demand Management Committee	Hsueh	LeZotte	Santos
Water Storage Exploratory Committee	Kremen	Santos	Varela

BOARD ADVISORY COMMITTEES	REPRESENTATIVE(S)	ALTERNATE(S)
Agricultural Water Advisory Committee	Varela Santos	Hsueh
Environmental and Water Resources Committee	LeZotte Estremera	Hsueh
Santa Clara Valley Water Commission	LeZotte (2019 Chair) Hsueh (2019 Vice Chair)	Keegan
Santa Clara Valley Water District Youth Commission	Varela Hsueh Keegan	

JOINT COMMITTEES	REPRESENTATIVE(S)	ALTERNATE(S)
Joint Recycled Water Advisory Committee with the City of Sunnyvale	Estremera Keegan Kremen	N/A
Joint Recycled Water Policy Advisory Committee w/ City SJSC/TPAC	Estremera Keegan Kremen	N/A
Joint Recycled Water Policy Committee w/City of Palo Alto, East Palo Alto and Mountain View	Estremera Keegan Kremen	N/A
Joint Water Resources Committee with Cities of Morgan Hill and Gilroy	Santos Varela	N/A
San Felipe Division Reach One	Santos Varela	N/A

EXTERNAL COMMITTEES	MEMBER(S)	ALTERNATE(S)
ACWA	Varela	Hsueh
ACWA <i>Joint Powers Insurance Authority</i>	Varela	LeZotte
Baylands Shoreline Steering Committee	Santos	Kremen
California WaterReuse Association <i>Education, Legislative, and Potable Reuse Committees</i>	LeZotte	Hsueh
Delta Conveyance Design and Construction Joint Powers Authority	Estremera	Keegan
Delta Conveyance Finance Authority	Kremen	Hsueh
Joint Venture Silicon Valley Board of Directors	Varela	N/A
Landscape Committee	Santos Hsueh	Keegan
Local Agency Formation Commission (LAFCO)	LeZotte	N/A
Northern California Latino Water Coalition	Estremera	Santos
Pajaro River Watershed Flood Protection Authority	Varela	Santos
Redevelopment Dissolution Countywide Oversight Board of Santa Clara County	Estremera	N/A
Safe, Clean Water Independent Monitoring Committee	LeZotte (2019 Chair)	Hsueh (2019 Vice Chair)
San Francisquito Creek JPA	Kremen	Hsueh
Santa Clara County Water Retailers	LeZotte (2019 Chair) Hsueh (2019 Vice Chair) <i>(Liaisons)</i>	N/A
Santa Clara Valley HCP JPA	LeZotte Keegan	N/A
SLDMWA Board - Division 4	Kremen Varela	Santos Hall (Staff)
SLDMWA DHCCP Steering Committee – Division 4	Kremen	N. Hawk (Staff)
SCCO Emergency Operations Area Council	Santos	LeZotte
SCCO Recycling and Waste Reduction Commission	LeZotte	Hsueh
SCCO Special Districts Association	Estremera LeZotte	N/A
SCRWA	Varela Santos	Estremera
Station Area Advisory Group (SAAG)	TBD	TBD
Zone 7, EBRPD, ACWD, SCVWD, LARPD and Tri-Valley Conservancy Liaison Committee	Kremen	N/A

Santa Clara Valley Water District Board of Directors 2019 Meeting Days Data for January through November

The table below shows the number of meeting days reported by Valley Water District Directors, January through November 2019, through the expense reporting process.

In January and February 2019 Directors could be compensated a maximum of 10 meeting days per month. Effective March 9, 2019, the maximum meeting days per month that Directors could be compensated increased to 15, per Ordinance 19-01.

During the first 11 months of 2019, the Valley Water Board of Directors reported 948 meeting days that were paid, and 103 meeting that were unpaid, because they exceeded the maximum number of meeting days allowed for the stated month.

Number of Meeting Days by Month – January through November 2019

	District 1	District 2	District 3	District 4	District 5	District 6	District 7	Totals
Jan (10)	10	10	10	10	10	10	10	70
Feb (10)	10	4	10	10	10	9	10	63
March (15)	15	6	15	15	11	15	15	92
April (15)	15	7	15	15	15	15	15	97
May (15)	15	15	15	15	13	14	15	102
June (15)	15	10	14	15	12	13	15	94
July (15)	15	5	15	13	8	13	15	84
Aug (15)	14	4	15	13	7	13	15	81
Sept (15)	15	9	15	8	10	15	15	87
Oct (15)	15	11	14	15	13	15	15	98
Nov (15)	14	10	13	13	5	10	15	80
Total Meeting Days Worked	153	91	151	142	114	142	155	948
Total Unpaid Meeting Days	23	2	15	11	0	9	43	103

THIS PAGE INTENTIONALLY LEFT BLANK

ORDINANCE NO. 20 -

PROVIDING FOR COMPENSATION OF
DIRECTORS OF SANTA CLARA VALLEY WATER DISTRICT
PURSUANT TO CHAPTER 2, DIVISION 10, CALIFORNIA WATER CODE

The Board of Directors of Santa Clara Valley Water District does ORDAIN as follows:

FIRST: This ordinance is adopted pursuant to Chapter 2, Division 10, Section 20200, and following of the California Water Code, and Section 33(c) of the District Act;

SECOND: At the February 11, 2020, Board meeting, the Board made findings based on substantial evidence that there is an operational need to compensate Directors for up to _____ days per calendar month, for calendar year 2020, effective April 14, 2020;

THIRD: The findings made by the Board were:

(Insert documented findings identified by the by the Board during the February 22, 2020 meeting)

FOURTH: For each year following the effective date of this ordinance, the current compensation of three hundred one dollars and one cent (\$301.01) per day provided to each District Board member for each day's attendance at Board meetings, or for each day's service rendered as a member of the Board by request of the Board as described in Board Policy GP-10.6.1, is increased/decreased to _____ effective on April 14, 2020.

The increase is in accordance with the Board of Directors' direction to ensure that District's services are carried out in a cost-effective and efficient method.

FIFTH: This ordinance shall not be deemed to authorize compensation for more than a total of _____ (insert number of days identified by the board – not more than 15) days in any calendar month.

PASSED AND ADOPTED by the Board of Directors of the SANTA CLARA VALLEY WATER DISTRICT on February 11, 2020.

AYES: Directors

NOES: Directors

ABSENT: Directors

ABSTAIN: Directors

SANTA CLARA VALLEY WATER DISTRICT

By: _____
Nai Hsueh
Chair, Board of Directors

ATTEST: MICHELE L. KING, CMC

Clerk, Board of Directors



Santa Clara Valley Water District

File No.: 19-0950

Agenda Date: 2/11/2020

Item No.: 3.1.

BOARD AGENDA MEMORANDUM

SUBJECT:

Receive and Direct the Clerk to File the Notice of Completion of Contract and Acceptance of Work for the Uvas Creek Levee Rehabilitation Project Phase 2 (Construction Stage 1 - Milestones 1, 2 and 3), Odin Construction Solutions, Inc., Contractor, Project No. 62084001, Contract No. C0648 (Gilroy, District 1).

RECOMMENDATION:

- A. Accept the Work on the Uvas Creek Levee Rehabilitation Project Phase 2 (Construction Stage 1 - Milestones 1, 2 and 3), Project No. 62084001, Contract No. C0648 as complete; and
- B. Direct the Clerk of the Board to sign the Notice of Completion of Contract and Acceptance of Work for Uvas Creek Levee Rehabilitation Project Phase 2 (Construction Stage 1 - Milestones 1, 2 and 3) and submit for recording at the Santa Clara County Clerk-Recorder.

SUMMARY:

The Construction Contractor, Odin Construction Solutions, Inc. (Odin), has completed Construction Stage 1 (Milestones 1, 2 and 3)* for the Uvas Creek Levee Rehabilitation Project Phase 2 (Project). On May 28, 2019, the Board awarded the construction contract in the amount of \$3,754,817 and approved a 10% contingency of \$375,482.

**Milestones 1, 2 and 3 include completing all required civil construction components of the project, including levee embankment reconstruction, chain link fabric installation over the finished slopes, restoration of the asphalt concrete trail, and hydroseeding of the finished slopes and constructed impacted areas.*

Construction Stage 1 of the Project was completed on November 25, 2019 and the final contract amount incurred for Construction Stage 1 is \$3,347,543. Subject to any withholds required by law or the contract, acceptance of the work by the Board will allow for the release of \$167,377 in retention to the Contractor.

Construction Stage 2 of the Project consists of the three-year planting establishment period and maintenance work of the Contract (Milestone 4), which commenced on November 26, 2019. One-hundred thousand dollars of the original Board awarded contract amount of \$3,754,817 has been encumbered in the original Contract to complete this stage of the Project.

Project Background

The objective of the Project was to address the rodent damage along the inboard side of the levee of the U.S. Army Corps of Engineers' certified Uvas Creek Levee from Miller Avenue to end of Levee for 4,100 linear feet of the levee facility, and to minimize the threat of erosion to the impacted areas. In addition, 6,700 feet of trail access road was rehabilitated by re-construction of the asphalt pavement and shoulder.

The Project included the following major items of work:

1. Compliance with National Pollutant Discharge Elimination System Permit and Valley Habitat Plan, including Storm Water Pollution Prevention Plan preparation, and installation of Best Management Practices;
2. Clearing and grubbing within the project limits, including the removal of vegetation, and other miscellaneous items;
3. Levee excavation, reconstruction and replacement of unsuitable material, as required, in order to re-establish the channel as-built geometry;
4. Installation and anchoring of chain link fabric along the finished surface of the levee/embankment slopes;
5. Traffic control;
6. Establishment of construction staging areas;
7. Hydroseeding, with topsoil, of the finished levee surface;
8. Three (3)-year chain-link-fabric mesh maintenance and hydroseed establishment period;
9. Coordination of trail closure activities with the City of Gilroy and neighboring residential community;
10. Other miscellaneous construction work and items necessary to satisfactorily complete the work.

Construction Costs Summary

One contract change order (CCO No. 01 FINAL) for \$48,810 was executed for this contract to 1) restore the trail to a better condition than pre-project condition, as agreed by the City of Gilroy (City) and Valley Water, which included deletion of regular and supplemental bid items pertinent to pre-project trail rehabilitation work, to arrive at a one lump sum payment to the Contractor; 2) reimburse the Contractor for delays due to the Gilroy Garlic Festival Shooting investigations; and 3) obtain credit from the Contractor for inspector overtime costs, per Contract.

The City reimbursed Valley Water the amount of \$185,865 for betterment of the trail pavement through a separate agreement, executed by both entities on October 17, 2019. Various cost reductions for quantity adjustments attributed to value engineering; non-implementation of supplemental bid items such as winterization for early termination of work, resulted in a net savings amount of \$407,274 less than the original contract award amount. **Therefore, the total savings, including net savings of the original contract and City's reimbursement (less the \$100,000 encumbered for Construction Stage 2), amounts to \$493,139. The contingency amount of**

\$375,482 was not needed for this Project.

Table 1 presents a summary of the construction contract and contingency amounts.

TABLE 1

SUMMARY OF CONSTRUCTION CONTRACT AND CONTINGENCY AMOUNTS

Description	Contract Amount	Contingency Amount
Original Contract (Board Approved)	\$3,754,817	\$375,482
Construction Stage 1 Civil Contract Work Items Performed (Milestones 1, 2 and 3)	<\$3,298,733>	
Construction Stage 1 CCO No. 1 FINAL (Staff approved)	<\$48,810>	
Construction Stage 1 Contract Amount and Contingency Used	<\$3,347,543>	\$0
Original Contract Remaining Amount	\$407,274	
Construction Stage 2, Three-year planting establishment and maintenance work (Milestone 4)	<\$100,000>	
City of Gilroy Trail Repairs Reimbursement	\$185,865	\$375,482
Final Contract Cost Savings and Remaining Contingency	\$493,139	\$375,482

Acceptance of the Work and Recording Notice of Completion Contract

The California Civil Code allows an owner or its agent to execute a Notice of Completion of Contract and Acceptance of the work by the Board. The Notice of Completion and Acceptance of Work is included in Attachment 1. The Designated Engineer has determined that the work has been completed, to the best of his knowledge, in accordance with the plans and specifications, and recommends acceptance. The Contractor's confirmation that Project Construction Stage 1 (Milestones 1, 2 and 3) have been completed is included in Attachment 2. The Project Completion Letter addressed to the Contractor from the District's construction manager, confirming completion of the contract work, is included in Attachment 3. The Designated Engineer's Recommendation of the construction work acceptance is included in Attachment 4. Photos of the completed Project are included as Construction Summary in Attachment 5.

Construction Contract Retention

California law requires Valley Water to release contract retention in accordance with certain time frames, which will commence once the Notice of Completion of Contract is recorded at the Santa Clara County Office of the Clerk-Recorder. Interest payment on retention due to the contractor may

be avoided by meeting the requisite deadlines.

Valley Water is currently withholding retention funds totaling approximately five percent (5%) of the contract amount for work performed including change orders (\$167,377), in accordance with the Public Contract Code. Per the construction contract documents, Valley Water is required to release retention funds associated with the contract 35 days after recording the Notice of Completion of Contract and Acceptance of Work, subject to any withholds required by law or the contract.

FINANCIAL IMPACT:

The Project Construction Stage 1 (Milestones 1, 2 and 3) has been completed and no additional funding is recommended. As indicated in Table 1, the original contract amount of \$3,754,817 was decreased to the contract amount of \$3,347,543 for the civil construction work (Milestones 1, 2 and 3). As described in the **Construction Costs Summary** section above, as part of Change Order No. 1, the City reimbursed Valley Water the amount of \$185,865 through a separate agreement, executed by both entities on October 17, 2019.

With the City reimbursement amount of \$185,865 and the remaining unspent encumbrance amount of \$407,274, less the \$100,000 encumbered for Construction Stage 2 of the Project for the three-year planting establishment and maintenance work (Milestone 4), the total project savings is \$493,139. This amount of \$493,139, together with the unused, but encumbered contingency of \$375,482, can be released to the Watersheds Asset Rehabilitation Program (WARP), Fund 12 budget, and be available to be spent for the other future WARP projects.

CEQA:

The recommended action does not constitute a project under California Environmental Quality Act because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1, Notice of Completion/Acceptance of Work
Attachment 2, Contractor Project Milestone Completion Letter
Attachment 3, Project Completion Letter
Attachment 4, Construction Contract Acceptance
Attachment 5, Construction Summary
Attachment 6, Project Delivery Process Chart

UNCLASSIFIED MANAGER:

Ngoc Nguyen, 408-630-2532



Recording Requested by: Michele L. King, Clerk, Board of Directors

When Recorded, Mail to:

Michele L. King, Clerk, Board of Directors
Santa Clara Valley Water District
5750 Almaden Expressway
San Jose, CA 95118-3686

All Contract Work Except Plant Establishment
Phase

NOTICE OF COMPLETION OF CONTRACT AND ACCEPTANCE OF WORK

NOTICE IS HEREBY GIVEN by order of the Board of Directors of Santa Clara Valley Water District, State of California, pursuant to law, that work to be performed under the contract heretofore made and executed by and between Santa Clara Valley Water District, as Owner therein, and **Odin Construction Solutions, Inc., 4740 Rocklin Road, Rocklin, CA 95677** as Contractor therein, bearing the date **May 28, 2019** for the construction of **Uvas Creek Levee Rehabilitation Project Phase 2 (Construction Stage 1 - Milestones 1, 2 and 3), Contract No. C0648, and Project No. 62084001, Task No. 5175** and appurtenant facilities upon lands of said District known as **Uvas Creek, from Miller Avenue to the Downstream End of the Levee** situated in the County of Santa Clara, State of California, was completed as called for and in the manner designated by the plans and specifications, by the said Contractor, and the said work was accepted by the said District Board of Directors on behalf of said District on **February 11, 2020**.

That upon said contract, **Zurich American Insurance Company, 1299 Zurich Way, Schaumburg, Illinois 60196-1056 (Bond No. 9316696)** was surety on the bond given by said **Odin Construction Solutions, Inc.** the said Contractor, as required by law;

That the title of said District to the real property upon which said work and contract was performed is that of **Fee** and;

That the address of said District is 5750 Almaden Expressway, San Jose, California 95118.

IN WITNESS WHEREOF, pursuant to the order of the Board of Directors made and given on **February 11, 2020** authorizing and directing the execution of this instrument, the said District has caused these presents to be executed in its name, authenticated by the signature of the Clerk of the said Board of Directors on **February 11, 2020**.

Clerk, Board of Directors
Santa Clara Valley Water District

I, the undersigned, say that I am Clerk of the Board of Directors of the Santa Clara Valley Water District; that I make this declaration on its behalf; that said District is the owner of the real property interest described in the foregoing Notice; that declarant has read the foregoing Notice and knows the contents thereof, and the same is true of my own knowledge.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on **February 11, 2020**, at San Jose, California.

Clerk, Board of Directors
Santa Clara Valley Water District

THIS PAGE INTENTIONALLY LEFT BLANK



December 3rd, 2019

TED IBARRA, P.E.
ASSOCIATE CIVIL ENGINEER
Watersheds Design and Construction Unit 336
Santa Clara Valley Water District
Direct (408) 630-2067
Cell (408) 550-3967

Subject: **CO648 Uvas Creek Levee Rehabilitation Project Phase 2
Milestone Completion Final Inspection and Project Completion**

Mr. Ibarra:

The work of Milestone Nos. 1, 2, and 3 have been completed, inspected, and tested and is in full compliance with the requirements of the contract. All deficiency list items identified during the Preliminary Final Inspection have been completed.

Certified by Contractor:  Date: 12/2/19

The entire work of the project has been completed, inspected, and tested and is in full compliance with the requirements of the Contract Documents. All deficiency list items have been completed. All items on the rework list have been completed. All Closeout Documents required by Article 22.05. Submission of Closeout Items, have been submitted to and accepted by the Engineer.

Certified by Contractor:  Date: 12/2/19

Please feel free to contact me with additional questions or concerns regarding Milestone Completion Final Inspection and Project Completion.

Sincerely,

ODIN CONSTRUCTION SOLUTIONS



Tino B. Maestas, P.E.
Project Director | Business Development
P: 916-251-5515 | email: tmaestas@odinconstruction.com

Cc

Victor Livingston, Ghirardelli Assoc;
Jordan Brown, Odin Construction;
James Edwards, Odin Construction

THIS PAGE INTENTIONALLY LEFT BLANK

December 06, 2019

Tino Maestas, P.E.
Project Manager
Odin Construction Solutions
4740 Rocklin Rd,
Rocklin, CA 95677

Ref: Uvas Creek Levee Rehabilitation Project – Phase 2
Contract No. C0648. Project No. 62084001

Subject: Project Completion Letter

Dear Mr. Maestas,

In accordance with Contract Specifications Section 11.01.05. Project Completion, this serves as the Project Completion Letter for the subject contract and establishes the completion of the project.

A Final Inspection for the subject project was performed on November 25, 2019. Completion of all deficiency list items have been attested to by Valley Water District staff.

The District is in receipt of the Milestones Completion and Project Certification Letter, dated December 2, 2019 from Odin Construction Solutions.

Therefore, in accordance with Contract Specification Section 11.01.06. Acceptance of Work, District staff will recommend that the District Board of Directors formally accept the Work for this contract.

Sincerely,



Victor Livingston
Resident Engineer

CC:

Valley Water District
Roger Narsim, Ted Ibarra

Ghirardelli Associates, Inc.
Charlie Krueger

THIS PAGE INTENTIONALLY LEFT BLANK

VALLEY WATER

RECOMMENDATION OF THE CONSTRUCTION CONTRACT ACCEPTANCE

In accordance with **Article 9.14, Final Inspection of Work**, of the contract specifications, a final inspection was conducted on November 25, 2019, for the Uvas Creek Levee Rehabilitation Project Phase 2, Contract No. C0648, and Project No. 62084001, Task No. 5175. The Project Completion Letter dated December 6, 2019 indicates that the work was completed in accordance with the requirements of the contract.

It is recommended that the work under this contract be accepted by the District.

Recommended By:



Roger Narsim, P.E., P.L.S., Assoc. DBIA
Engineering Unit Manager
Designated Engineer's Representative



Date

Concurrence:



Ngoc Nguyen, P.E.
Deputy Operating Officer
Watersheds Design and Construction Division



Date

THIS PAGE INTENTIONALLY LEFT BLANK



Valley Water

Clean Water • Healthy Environment • Flood Protection

Uvas Creek Levee Rehabilitation Project Phase 2

Construction Summary

Project No. 62084001, Task No. 5175
Contract No. C0648

Notice of Completion of Construction Contract

Prepared by: Unit 336

Roger Narsim, P.E., P.L.S., Assoc. DBIA, Capital Engineering Manager

Ted Ibarra, P.E., Project Manager

Presentation Topics

- Project Location
- Project Objectives
- Project Construction Costs
- Construction Photos



Project Objectives – Part 1 of 2

1. Repair damage to approximately 4,100 feet of the inboard face of the levee, downstream of Miller Avenue towards the end of the levee, which is downstream of West Luchessa Avenue, adjacent to the City of Gilroy Sports Park;
2. Reduce frequent maintenance costs associated with levee erosion repair;

Project Objectives – Part 2 of 2

3. Reduce the risk of levee/bank slope failure due to damage caused by burrowing animals;
4. Rehabilitate approximately 6,700 feet of the access road/trail from Miller Avenue to the end of the levee.

Project Construction Costs

- **Construction:**

- \$3,754,817 – Contract Award Amount
- \$ 375,482 – 10% Contingency
- (\$3,347,543) – Construction Stage 1 (Milestones 1, 2 and 3) – Civil Work
- \$ 407,274 – Original Contract Remaining Amount
- (\$ 100,000)* – Construction Stage 2 (Milestone 4) – 3-yr Plant Establishment
- \$ 185,865 – City of Gilroy Trail Repairs Reimbursement
- \$ 493,139 – Total Contract Savings

- **Funding:**

- Watersheds Asset Rehabilitation Program (WARP), Fund 12
- Total contract savings of \$493,139 and unused contingency of \$375,482 are available to be transferred back to WARP, Fund 12
- * \$100,000 must remain encumbered for Construction Stage 2 (Milestone 4)



2015. 5. 15 9:10



2015. 5. 15 9:13



2019/08/15 14:40



2019/08/14 10:23





2015. 7. 29 8:05









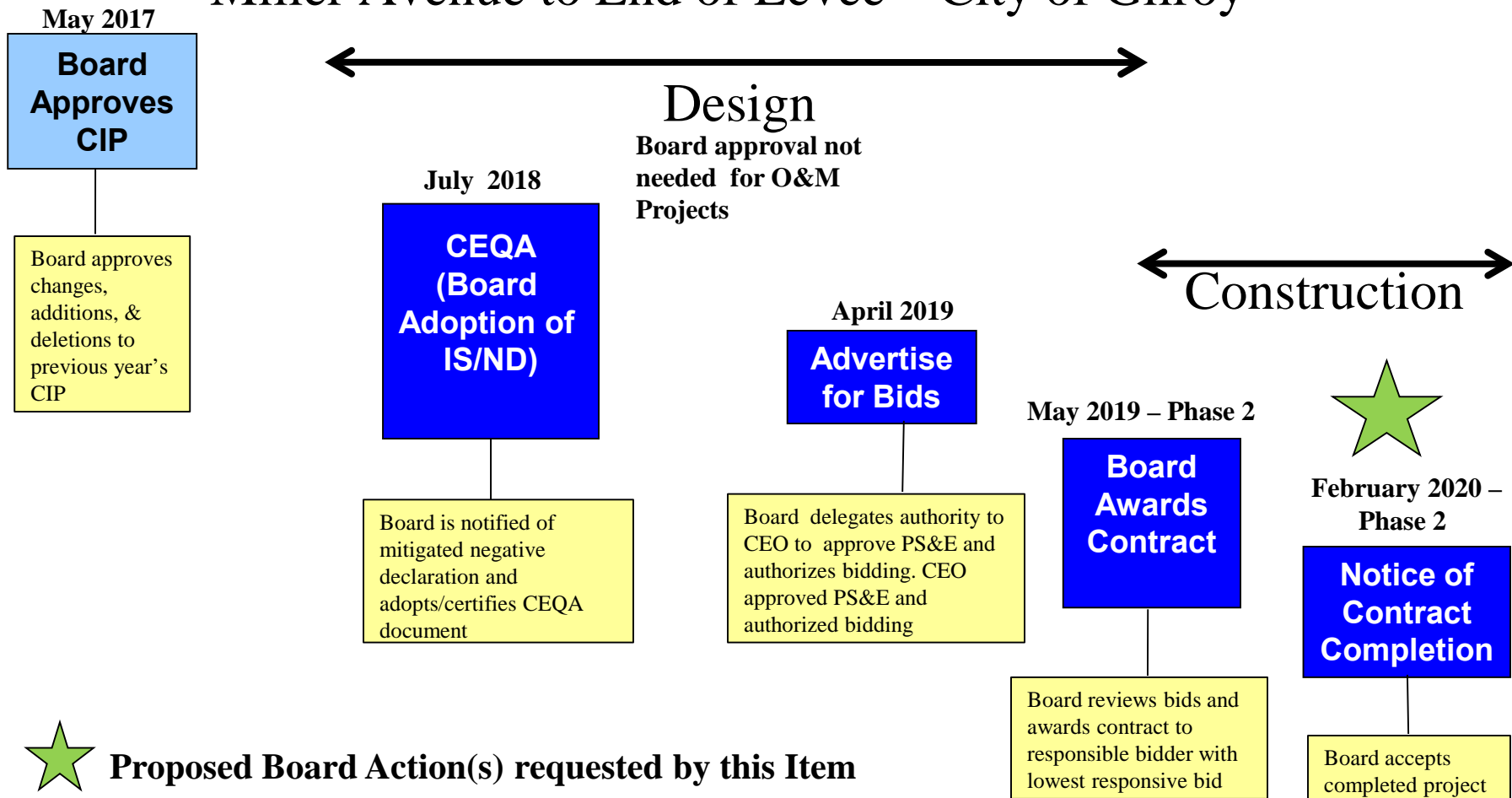
Valley Water

Clean Water • Healthy Environment • Flood Protection

THIS PAGE INTENTIONALLY LEFT BLANK

Project Delivery Process Chart

WARP Uvas Creek Levee Rehabilitation Project - Phase 2 Miller Avenue to End of Levee – City of Gilroy



THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 20-0029

Agenda Date: 2/11/2020

Item No.: 3.2.

BOARD AGENDA MEMORANDUM

SUBJECT:

Receive and Direct the Clerk to file the Notice of Completion of Contract and Acceptance of Work for the Permanente Creek Flood Protection Project - McKelvey Park Detention Basin Project (Stage 1), Kiewit Infrastructure West Company, Contractor, Project No. 26244001, Contract No. C0616 (Mountain View) (District 7).

RECOMMENDATION:

- A. Accept the work as complete for the Permanente Creek Flood Protection Project - McKelvey Park Detention Basin Project (Stage 1), Project No. 26244001, Contract No. C0616; and
- B. Direct the Clerk of the Board to sign the Notice of Completion of Contract and Acceptance of Work for Permanente Creek Flood Protection Project - McKelvey Park Detention Basin Project (Stage 1) and submit for recording to the Santa Clara County Clerk-Recorder.

SUMMARY:

The construction contractor, Kiewit Infrastructure West Company of Fairfield, California (Kiewit), has completed Stage 1 (Milestones 1 and 2) of the Permanente Creek Flood Protection Project - McKelvey Park Detention Basin Project. The construction contract was awarded in the amount of \$28,105,969 and the current contract amount is \$29,591,833.43. Subject to any withholds required by law or the contract, acceptance of the work by the Board will allow for the release of \$1,440,035.02 in retention to the Contractor.

For this construction contract, Milestone 1 is all work required for the opening of the two baseball fields. Milestone 2 is to complete all civil work improvements, including obtaining approvals from City of Mountain View Public Works and Building Department for items owned by the City of Mountain View. Remaining work for the project includes Stage 2, completion of a six-month landscape maintenance period.

The McKelvey Park Detention Basin Project constructed certain recreational improvements on Valley Water land as part of the Permanente Creek Flood Protection Project for the benefit of the City of Mountain View (City) to provide public recreational access to Valley Water lands. The City desires to assume ownership, operation and maintenance responsibility for these recreational improvements.

Project Background

The Permanente Creek Flood Protection Project is part of the Safe, Clean Water and Natural Flood Protection Program. When completed, the project will protect approximately 2,200 parcels by implementing flood detention and channel improvement works. The project utilizes two flood detention areas located strategically in the watershed to maximize flood protection benefits at an acceptable cost. The project is currently under construction through three separately bid contracts at various stages of completion: Rancho San Antonio Detention Basin; McKelvey Park Detention Basin; and the Permanente Creek Channel Improvements. The construction of the Permanente Creek Channel Improvements Project was accepted by the Board on April 9, 2019, and construction of the Rancho San Antonio Detention Basin is currently in progress and is anticipated for completion in late 2020.

The objective of the McKelvey Park Detention Basin Project (Project) is to construct a flood detention basin at McKelvey Park. The park has been excavated and lowered approximately 15 feet utilizing concrete retaining walls and sheet piles, and is connected to the Permanente Creek channel. The playing fields were restored at the new lowered ground level, and new facilities such as bleachers, dugouts, bullpens, and batting cages were constructed. Other new park amenities include a mini-park, pedestrian bridge, concession and meeting room buildings, scorekeepers' booth, storage room, restrooms, and LED ballfield lights.

Flows higher than approximately the 50-year flood event will spill into the detention area for temporary storage. Once the peak flows pass, the stored flood water will drain back into Permanente Creek by gravity flow and through pumping. Low-flow pumps have been installed in a wet-well adjacent to the inlet structure.

The Contractor has completed Stage 1 (Milestones 1 and 2) of the Project's construction contract. Stage 2 includes landscape and revegetation establishment maintenance work required of the contract and is scheduled for completion in April 2020.

This Board action is for the acceptance of Stage 1 (Milestones 1 and 2) of the contract. Staff will recommend a separate Board action to accept the completion of the contract (Stage 2) after the landscape and revegetation establishment maintenance phase of the contract is completed.

Previous Board Actions

On August 9, 2016, the Board adopted the plans and specifications and authorized advertisement for bids for the construction of the Project.

On November 8, 2016, the Board awarded a contract to Kiewit Infrastructure West Company in the amount of \$28,105,969.00 and approved a contingency fund of \$2,810,000.00 for construction of the Project. The Board authorized the Chief Executive Officer (CEO) or designee to approve individual change orders up to the total amount of the contingency, with the Engineering Unit Manager and Deputy Operating Officer to approve individual changes up to \$100,000 and \$250,000, respectively.

Construction Costs Summary and Contract Change Orders

A total of nineteen (19) contract change orders totaling \$1,485,864.43 have been executed to date for this contract to address various issues, including unforeseen site conditions and utilities, Valley Water -requested changes, neighborhood concerns, and post-design clarifications.

Table 1 presents a summary of the current construction contract and contingency amounts.

**TABLE 1. SUMMARY OF CONSTRUCTION CONTRACT
AND CONTINGENCY AMOUNTS**

	Contract Amount	Contingency Amount
Original Contract	\$28,105,969.00	\$2,810,000.00
Change Order No. 1 (staff approved) PG&E delay initial inefficiency cost	\$100,000.00	<\$100,000.00>
Change Order No. 2 (staff approved) Load/unload/store steel piles at San Joseph's School	\$46,322.98	<\$46,322.98>
Change Order No. 3 (staff approved) Remove unknown transit pipe, sheet pile subcontractor remobilization cost	\$80,629.16	<\$80,629.16>
Change Order No. 4 (staff approved) Kiewit support for sheet pile subcontractor remobilization	\$59,237.30	<\$59,237.30>
Change Order No. 5 (staff approved) Additional telecom boxes and conduits	\$55,555.47	<\$55,555.47>
Change Order No. 6 (staff approved) Delay cost for sheet pile installation	\$55,000.00	<\$55,000.00>
Change Order No. 7 (staff approved) Park Drive sewer conflict with existing storm drain and gas line conflict with waterline	\$93,312.00	<\$93,312.00>
Change Order No. 8 (staff approved) Light pole lead testing, rock road winterizing, and extended work hours' premium for July thru October 2018.	\$37,811.00	<\$37,811.00>
Change Order No. 9 (staff approved) 60" RCP field collar tie-ins, broken irrigation line repair, and City Building Department permit shut down	\$45,872.04	<\$45,872.04>
Change Order No. 10 (staff approved) Staff premium cost and craft subsistence for November 2018, January 2019 Partnering meeting cost.	\$85,098.60	<\$85,098.60>
Change Order No. 11 (staff approved) Staff premium cost and craft subsistence for December 2018 and January 2019.	\$86,782.71	<\$86,782.71>

Change Order No. 12 (staff approved) Staff premium cost and craft subsistence for February 2019, February Partnering cost.	\$61,040.22	<\$61,040.22>
Change Order No. 13 (staff approved) Staff premium cost and craft subsistence for March 2019, March Partnering cost, added manhole at Miramonte Avenue, added fire service at Mountain View Avenue, and water proofing buildings.	\$145,072.43	<\$145,072.43>
Change Order No. 14 (staff approved) Staff premium cost and craft subsistence for April 2019.	\$50,194.71	<\$50,194.71>
Change Order No. 15 (staff approved) Staff premium cost and craft subsistence for May 2019, and design clarification/changes costs.	\$122,369.89	<\$122,369.89>
Change Order No. 16 (staff approved) Design clarification/changes costs, and decorative screen.	\$93,376.09	<\$93,376.09>
Change Order No. 17 (staff approved) Additional handrails, bio-retention and landing curb design changes, Channel Improvement Project impact on RW#2	\$99,385.67	<\$99,385.67>
Change Order No. 18 (staff approved) Relocating the utility lines under City sidewalk, Light poles relocation, sewer line modification, anti-theft for speakers	\$84,092.61	<\$84,092.61>
Change Order No. 19 (staff approved) Additional structural backfill costs and additional PG&E work.	\$84,711.55	<\$84,711.55>
Current Contract Amount and Remaining Contingency	\$29,591,833.43	\$1,324,135.57

Acceptance of the Work and Recording Notice of Completion of Contract

The California Civil Code allows an owner or agent to execute a Notice of Completion of Contract after acceptance of the work by the Board. The Notice of Completion of Contract and Acceptance of Work is included in Attachment 1. The Designated Engineer has determined that the work has been completed, to the best of his knowledge, in accordance with the plans and specifications, and recommends acceptance. The Designated Engineer's recommendation of construction acceptance is included in Attachment 2. The Project Completion Letter is included as Attachment 3. Photos of the completed Project are included in Attachment 4.

Construction Contract Retention

California law requires Valley Water to release contract retention in accordance with certain time frames, which will commence once the Notice of Completion is recorded. Interest payment on retention due to the contractor may be avoided by meeting the requisite deadlines.

Valley Water is currently withholding retention funds totaling five percent (5%) of the contract items associated with Milestones 1 and 2 in accordance with the Public Contract Code. Per the construction contract documents, Valley Water is required to release retention funds associated

with the contract 35 days after recording the Notice of Completion of Contract and Acceptance of Work, subject to any withholds required by law or the contract.

Recording a Notice of Completion is recommended for Stage 1 (Milestones 1 and 2). A final Notice of Completion will be recommended once remaining work for Stage 2, revegetation establishment maintenance phase, is complete.

Outstanding Construction Claims to be Resolved After Board Acceptance of Completed Work

The Contractor has submitted a number of notices of potential claims with an estimated additional cost of \$6 million. Staff is reviewing these claims and requesting additional information from the Contractor in order to complete review and evaluation of those claims. Staff anticipates that resolution of those potential claims will require additional funds beyond the remaining contingency fund of the contract. As evaluation and negotiation of those claims are complete, staff will report back to the Board and request additional funds to resolve the outstanding claims.

FINANCIAL IMPACT:

Contract Change Order Nos. 1 through 19 have increased the total contract amount by \$1,485,864.43 from \$28,105,969 to \$29,591,833.43 by utilizing a portion of the original Board-approved contingency sum of \$2,810,000. As shown in the table above, the remaining contingency is \$1,324,136. The Contractor has submitted a number of significant potential claims and change order requests. These items are under review by staff and are at various stages of negotiation. Once the comprehensive review of the cost items is completed, staff will recommend a final contract amount to the Board. Acceptance of the work by the Board will also allow for the release of \$1,440,035.02 in retention to the Contractor.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1: Notice of Completion and Acceptance of Work
Attachment 2: Construction Contract Acceptance
Attachment 3: Project Completion Letter
Attachment 4: Construction Summary
Attachment 5: Project Delivery Process Chart

UNCLASSIFIED MANAGER:

Ngoc Nguyen, 408-630-2632



Recording Requested by: Michele L. King, Clerk, Board of Directors

When Recorded, Mail to:

Michele L. King, Clerk, Board of Directors
Santa Clara Valley Water District
5750 Almaden Expressway
San Jose, CA 95118-3686

Construction Stage 1 – Civil Work and Plant
Installation

NOTICE OF COMPLETION OF STAGE 1 OF CONTRACT AND ACCEPTANCE OF WORK

NOTICE IS HEREBY GIVEN by order of the Board of Directors of Santa Clara Valley Water District, State of California, pursuant to law, that work to be performed under the contract heretofore made and executed by and between Santa Clara Valley Water District, as Owner therein, and **Kiewit Infrastructure West Co., 4650 Business Center Drive Fairfield, CA 94534** as Contractor therein, bearing the date **November 8, 2016** for the construction of **Permanente Creek Flood Protection Project - McKelvey Park Detention Basin (Stage 1 - civil work and plant installation), Project No. 26244001, Contract No. C0616** and appurtenant facilities upon lands of said District known as **McKelvey Park Detention Basin** situated in the County of Santa Clara, State of California, was completed as called for and in the manner designated by the plans and specifications, by the said Contractor, and the said work was accepted by the said District Board of Directors on behalf of said District on **February 11, 2020**.

That upon said contract, **Travelers Casualty and Surety Company of America, One Tower Square, Hartford, CT 06183 (106598154)** was surety on the bond given by said **Kiewit Infrastructure West Co** the said Contractor, as required by law;

That the title of said District to the real property upon which said work and contract was performed is that of **Fee and Easement** and;

That the address of said District is 5750 Almaden Expressway, San Jose, California 95118.

IN WITNESS WHEREOF, pursuant to the order of the Board of Directors made and given on **February 11, 2020** authorizing and directing the execution of this instrument, the said District has caused these presents to be executed in its name, authenticated by the signature of the Clerk of the said Board of Directors on **February 11, 2020**.

Clerk, Board of Directors
Santa Clara Valley Water District

I, the undersigned, say that I am Clerk of the Board of Directors of the Santa Clara Valley Water District; that I make this declaration on its behalf; that said District is the owner of the real property interest described in the foregoing Notice; that declarant has read the foregoing Notice and knows the contents thereof, and the same is true of my own knowledge.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on **February 11, 2020**, at San Jose, California.

Clerk, Board of Directors
Santa Clara Valley Water District


THIS PAGE INTENTIONALLY LEFT BLANK

SANTA CLARA VALLEY WATER DISTRICT
RECOMMENDATION OF STAGE 1 CONSTRUCTION CONTRACT
AND ACCEPTANCE OF WORK

In accordance with **Article 21.01, Project Completion and Acceptance**, of the contract specifications, a final inspection was conducted on January 28, 2020 for the Construction Phase of the Permanente Creek Flood protection Project – Mckelvey Park Detention Basin, Project No. 26244001, Contract No. C0616. The Project Completion Letter for the Construction Phase dated January 6, 2020 indicates that the work was completed in accordance with the requirements of the contract.

It is recommended that the construction work for Milestone 1 and 2 (Stage 1) under this contract be accepted by the District.

Recommended By:


Saeid Hosseini, P.E.
Capital Engineering Manager
Design & Construction Unit 331

1/28/20
Date

Concurrence:


Ngoc Nguyen, P.E.
Deputy Operating Officer
Watersheds Design & Construction Division

01/28/2020
Date

THIS PAGE INTENTIONALLY LEFT BLANK

January 28, 2020

HA-156

Mr. Dan Griffin
Kiewit Infrastructure West
4650 Business Center Drive
Fairfield, CA 94534

Subject: Permanente Creek Flood Protection Project - McKelvey Park Detention Basin, Project No. 26244001,
Contract No. C0616
Milestones #1 and #2/Stage 1 Project Completion Letter

Dear Mr. Griffin:

In accordance with Article 21.01.04 Milestone Completion Final Inspection, this serves as the Milestone Completion Letter for the subject contract and established the completion of Stage 1 of the project.

A Final Inspection for the subject project was performed on January 28, 2020. Completion of all Deficiency List items has been attested to by Construction Manager/Valley Water staff.

Valley Water is in receipt of the Milestone Completion Certification, dated January 06, 2020, from Kiewit Infrastructure West.

Therefore, in accordance with **Article 21.01.06 Acceptance of Work**, I will recommend that the Valley Water Board of Directors formally accept the work of Milestone 1 and 2 (Stage 1) of this contract.

If you have any questions, contact me at 760-846-5842.

Sincerely,

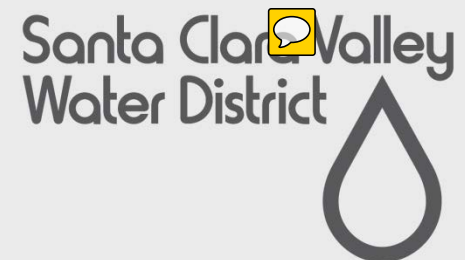


Brandon Hays, PE
Construction Manager
McKelvey Park Detention Basin Project

cc: S. Hosseini, N.Nguyen, L. Nishijima, T. Bramer, Contract File

THIS PAGE INTENTIONALLY LEFT BLANK

Permanente Creek Flood Protection Project
(McKelvey Park Detention Basin)
Notice of Completion of Construction Contract
February 11, 2020



Presentation Topics

- ▶ Project Description, Objective, and Location
- ▶ Project Construction Costs
- ▶ Construction Photos



Project Objective

The objective of the Permanente Creek McKelvey Park Detention Basin Project is to:

- Provide detention storage for peak flows between 50 and 100-year events;
- Provide recreational benefit.



Project Description

The Project included the following major items of work:

- ▶ Excavating and lowering the Park approximately 15 feet;
- ▶ Constructing a detention basin utilizing concrete retaining walls and sheet piles;
- ▶ Restoring playing fields at new lowered ground level;
- ▶ Other new park amenities include a mini-park, pedestrian bridge, concession and meeting room buildings, scorekeepers' booth, storage room, restrooms, and LED ballfield lights;
- ▶ Constructing a pump station to pump the stored floodwater back into the Permanente Creek once the peak flows pass.

Project Location

McKelvey Park Detention Basin Project– Mountain View, CA



Presentation Topics

- ▶ Project Description, Objective, and Location
- ▶ Project Construction Costs
- ▶ Construction Photos



Project Costs

► Construction:

- \$28,105,969 – Contract Award Amount
- \$1,485,864.43 – Contract Change Orders 1 Thru 19
- \$29,591,833.43 – Current Contract Amount

► Funding Source:

- Watershed Stream Stewardship Fund And Safe, Clean Water Fund



Presentation Topics

- ▶ Project Description, Objective, and Location
- ▶ Project Construction Costs
- ▶ Construction Photos



Construction Photos - Progression



Little League Field Building



AFTER

Santa Clara Valley
Water District



Construction Photos - Progression



DURING



Babe Ruth Field Building



AFTER

Santa Clara Valley
Water District

Attachment 4
Page 10 of 20



Construction Photos - Progression



DURING



Community Building



AFTER

Santa Clara Valley
Water District



Attachment 4
Page 11 of 20

Construction Photos - Progression



DURING



Babe Ruth Field



AFTER

Santa Clara Valley
Water District



Attachment 4
Page 12 of 20

Construction Photos - Progression



DURING



Little League Field



AFTER

Santa Clara Valley
Water District

Attachment 4
Page 13 of 20



Construction Photos - Progression



DURING



Mini Park (Shaefer Park)



AFTER

Santa Clara Valley
Water District

Attachment 4
Page 14 of 20



Construction Photos - Progression



DURING



Pump Station



AFTER

Santa Clara Valley
Water District



Attachment 4
Page 15 of 20

Construction Photos - Progression



Bathrooms (Community Building and Babe Ruth Field Building)

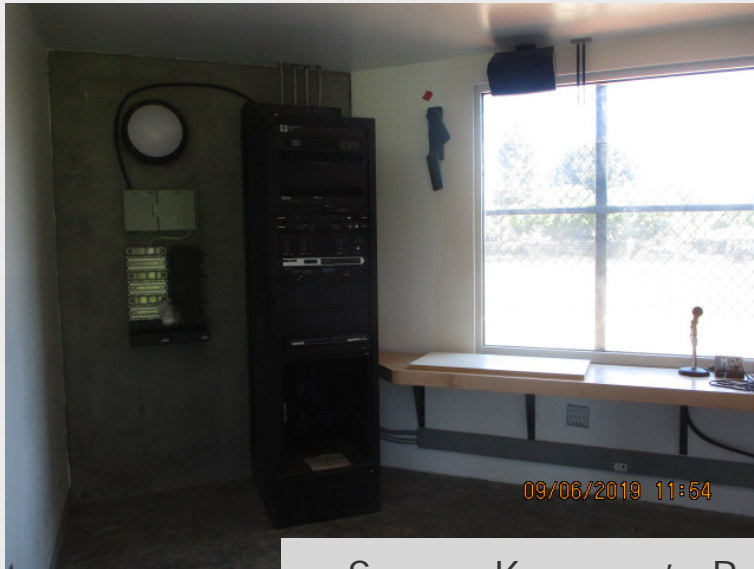


Santa Clara Valley
Water District



Attachment 4
Page 16 of 20

Construction Photos - Progression



Score Keeper's Booths (Little League and Babe Ruth Field buildings)



Construction Photos - Progression



Views from Above (Ball Fields)



Santa Clara Valley
Water District



Attachment 4
Page 18 of 20

Construction Photos - Progression



Pathways and Sidewalks



Santa Clara Valley
Water District



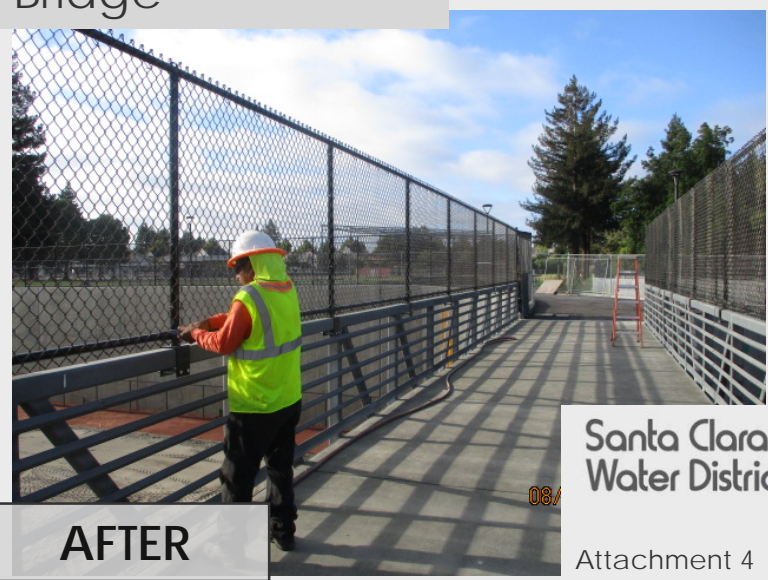
Construction Photos - Progression



DURING



Pedestrian Bridge



AFTER

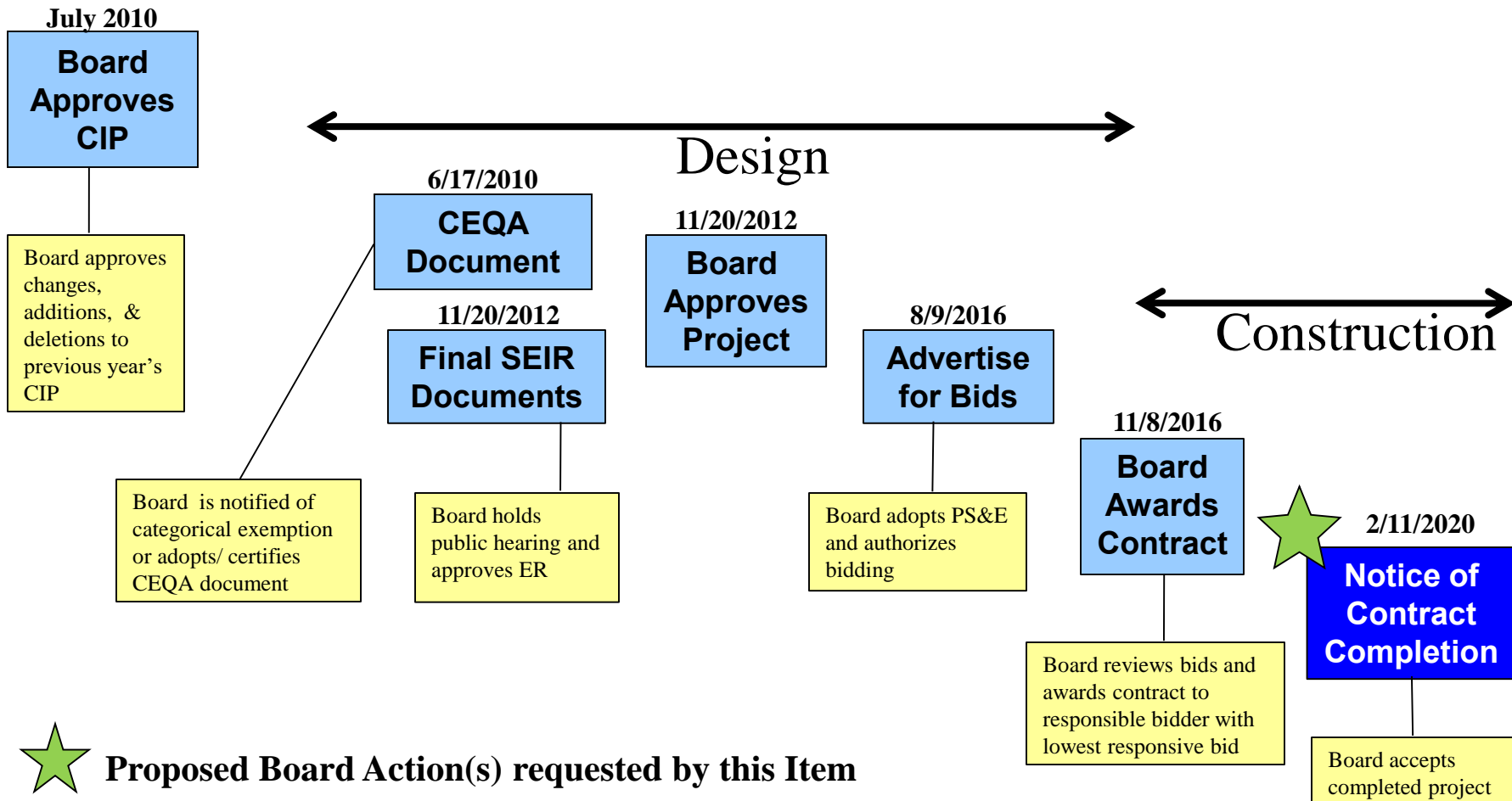
Santa Clara Valley
Water District



Attachment 4
Page 20 of 20

Project Delivery Process

Permanente Creek Flood Protection Project - McKelvey Park Detention Basin,
Project No. 26244001, Contract No. C0616



THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 19-1224

Agenda Date: 2/11/2020

Item No.: 3.4.

BOARD AGENDA MEMORANDUM

SUBJECT:

Adopt a Resolution Amending the District Records Retention Schedule.

RECOMMENDATION:

Adopt the RESOLUTION AMENDING THE DISTRICT'S RECORDS RETENTION SCHEDULE.

SUMMARY:

State law allows the legislative body of a special district to authorize destruction of records (Government Codes §60200, 60201). On April 11, 2006, the Board adopted a records retention schedule (Resolution No. 06-24) setting forth the periods for which District records should be retained to meet its operational needs and to comply with legal and other business requirements. The Records Retention Schedule covers District records in any media or format.

Periodically, the records retention schedule needs to be updated to match current organizational structure, legal requirements, and business purposes. Section 3 of Resolution No. 06 24 requires Board approval of subsequent revisions or updates to the schedule that increase or decrease the length of time a record is retained, or that are new record series added to the schedule that carry legal, fiscal, administrative, or historical requirements to the District or the public. Section 4 of Resolution No. 06-24 provides that other revisions, including changes to Office of Record or clarification to descriptions of record series, do not require further action by the Board.

Staff's recommended changes to the Records Retention Schedule are presented to the Board for consideration and approval under this agenda item.

PROPOSED CHANGES:

The proposed changes to the retention schedule and the associated reasons are summarized below. In making these recommendations, staff have consulted the managers who serve as custodians of the record series and confirmed that the proposed revisions would meet the operational needs for their units. The proposed retention periods also would continue to comply with all applicable federal, state, and/or local recordkeeping requirements.

1. Transitioning Physical Records to Electronic Data Systems. The changes are proposed for twelve series in order to enable the District to transition from managing records in hardcopy formats (for

which fixed period such as “5 years” would be appropriate) to digital data systems for which an “indefinite” retention period is appropriate in order to enable the relational systems to operate dynamically. The proposal is to manage all the following records under RS-0032 "Relational Databases, Enterprise Applications, and Electronic Document Management Systems (EDMS)." In cases where records are required for long term business purposes, the intention is to keep the records available for as long as needed. “Indefinite” does not mean that the District intends to dispose of these records in an ad hoc manner, but rather that it may need to migrate systems, update data tables, or make other changes to keep the content available as systems evolve. The intention in moving the majority of Watershed’s records into Maximo, the District’s asset management system, is to have one system of record in which to store and research a wide variety of Watershed’s records, and to gain the efficiencies of storing these items consistently.

See Attachment 1, Proposed Changes, Physical to Electronic Transition.

2. Similar Series to be Merged for Consistent Management of Files. Staff is also recommending that several series which are closely related be merged, in order to have consistent management of similar record types.

See Attachment 2, Similar Series, to be Merged.

3. Change periods for clarity. A recommendation is being made for three series that defined a retention period from the moment when a document is superseded. In some cases, documents in these series can also become obsolete without being replaced, for example, when a process is wholly discontinued. Staff recommends adjusting the retention periods for these series to permit us to count the retention period from the time a document is declared obsolete, regardless of whether it is replaced by a later version or not.

See Attachment 3, Clarity Changes, Documents Not to be Superseded.

The above proposed changes are incorporated in the revised Records Retention Schedule attached as Exhibit A to the Resolution (Attachment 4).

FINANCIAL IMPACT:

There are no additional costs to implement the amended Records Retention Schedule. Improved efficiency in managing records may reduce costs.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1: Proposed Changes, Physical to Electronic Transition

Attachment 2: Similar Series, to be Merged

Attachment 3: Clarity Changes, Documents Not to be Superseded

Attachment 4: Resolution and Records Retention Schedule

UNCLASSIFIED MANAGER:

Michele King, 408-630-2711

THIS PAGE INTENTIONALLY LEFT BLANK

Changes proposed in order to enable us to transition from physical recordkeeping to electronic data storage systems.

Series#	Series Title	Proposed Change
RS-0683	Information System Application Requests	From "When no longer required" to "Indefinite" (These will be stored in the IT Division's Help Desk ticketing system)
RS-0169	Right to Entry Permits	From "Permanent" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0171	Watershed Activity Reports (WAR)	From "When no longer required " to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0172	Work Instructions and Plans / Shop Drawings / Work Order Package / Work Order Variance Forms: Plans, Maps, Photos, Sketches, Field Operations Service Request Package, Request for Maintenance Service Packages.	From "Permanent" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0219	Best Management Practices Checklist / BMP Checklist	From "Three Years" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0223	Vegetation Management Dailies and Backups (Labor Codes, etc.)	From "After Funding Agency Audit, if required - Minimum 10 years" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0224	Pesticide and Herbicide Audits	From "Three Years" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0226	Pesticide use Reports	From "Three Years" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0230	Sandbag Program	From "After Funding Agency Audit, if required - Minimum 10 years" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0232	Weed Abatement	From "Two Years" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0233	Work Orders (PMs or Blankets): Specialized Project Files (e.g. levee protection, rodent control, stabilization projects)	From "Permanent" to "Indefinite" (These will be stored in Maximo, the District's asset management system.)
RS-0039	GIS Database / Historical Output or Historical Source Data (e.g. Aerials)	Formerly "Permanent." Recommend the GIS Database itself be managed under RS-0032 ("Indefinite"), while the source data inputs be managed under RS-0002 "Preliminary Drafts"

		<p>("When no longer required") and any outputs or printouts be managed under RS-0001 "Copies."</p> <p>("When no longer required") There is no legal requirement or business purpose for saving the data inputs or printouts from the system permanently.</p>
--	--	--

Similar Series to be Merged for Consistent Management of Files.

Series#	Series Title	Proposed Change
RS-0804	Operating Permits (Includes permits from: Bay Area Air Quality Management District (BAAQMD), San Jose Fire Department, Santa Clara County Fire Dept., Santa Clara County - Hazardous Materials Compliance Division, San Jose/Santa Clara Water Pollution Control Plant)	Recommend merging into RS-0177 "Regulatory Permits and Documents," changing period from "Expiration plus 2 years" to "Permanent."
RS-0703	Annual Business Plan: GIS	Recommend merging into RS-0383 "Management Reports & Surveys," changing period from "4 years" to "When No Longer Required - Minimum 10 years."
RS-0702	ISMP Implementation Plans	Recommend merging into RS-0383 "Management Reports & Surveys," changing period from "When superseded" to "When No Longer Required - Minimum 10 years."
RS-0681	Treasury Audit	Recommend merging into RS-0671 "Treasury and Debt Administration," changing period from "7 years" to "10 years."
RS-0706	GIS Metadata Standards	Recommend merging into RS-0563 "Administrative Policies," changing period from "When superseded" to "Minimum of Rescinded or Superseded plus 5 years."
RS-0229	Project Contractor Supervision	Recommend merging into RS-0024 "Contracts / Agreements - ADMINISTRATIVE RECORDS," changing period from "Completion plus 4 years" to "After Funding Agency Audit, if required, Minimum Completion plus 10 years."
RS-0583	Alpha / Subject / Project / Facility Files: Board and Intergovernmental Correspondence addressed to the District AFTER 2006 and prior to 2009"	Recommend merging into RS-0045 "Historical Records," changing period from "5 years" to "Permanent" to be consistent with correspondence files from 1930 to 2006.
RS-0656	Sympro report	Recommend merging into RS-0671 "Treasury and Debt Administration," changing period from "7 years" to "10 years."
RS-0170	San Jose Police Dept. STOP Program / Trespassing	Recommend merging into RS-0029 "Correspondence – Routine," period changes from "10 years" to "2 years." These are not Valley Water records, but rather records of San Jose Police, and copies are sent to us for reference only.

RS-0176	Meeting Minutes - External Interest Group Meetings, Regulatory Agencies or Regional Boards / Agencies	use RS-0000 instead "3 years" to "Nonrecords" "When no longer required." These are not Valley Water records, but rather records of the external groups, and copies in our possession are for reference only.
---------	---	--

Change periods for clarity in cases where documents may not be superseded.

RS-0791	Qualified Vendor List	Recommend change period from "When superseded" to "When no longer required" to include possibility of being obsoleted without being superseded.
RS-0563	Administrative Policies	Recommend change period from "Minimum of superseded plus 5 years" to "When no longer required, minimum superseded or rescinded plus 5 years" to include possibility of being obsoleted without being superseded.
RS-0542	Non-Agenda Packets	Recommend change period from "Minimum of Superseded plus 4 years" to "When no longer required - minimum 4 years" because these packets are not "superseded."

THIS PAGE INTENTIONALLY LEFT BLANK

**BOARD OF DIRECTORS
SANTA CLARA VALLEY WATER DISTRICT**

RESOLUTION NO. 20-

AMENDING THE DISTRICT'S RECORDS RETENTION SCHEDULE

WHEREAS, the maintenance of records that have exceeded their legal, fiscal, historic or administrative usefulness is expensive and is not necessary after a certain period of time for the effective and efficient operation of the Santa Clara Valley Water District (Valley Water); and

WHEREAS, Section 60200 of the Government Code of the State of California provides that the legislative body of a special district may authorize at any time the destruction or disposition of any duplicate record, paper, or document, the original or a permanent photographic record of which is in the files of any officer or department of the district; and

WHEREAS, Section 60201 of the Government Code of the State of California was amended effective January 1, 2005, to provide that the legislative body of a district may adopt a resolution to provide that certain district records which have served their purpose, which are not expressly required by law to be filed and preserved, and which will not adversely affect any interest of the district or public may be destroyed; and

WHEREAS, Valley Water has an existing records retention schedule which sets forth the periods for which Valley Water records should be retained to meet its operational needs and to comply with legal and other requirements; and

WHEREAS, Valley Water has an existing procedure to maintain a list of the types of records destroyed or disposed of that reasonably identifies the information contained in the records in each category; and

WHEREAS, it is necessary to update the records retention schedule periodically to match current organizational structure, legal requirements and business purposes.

NOW, THEREFORE BE IT RESOLVED by the Board of Directors of the Santa Clara Valley Water District that Valley Water's records retention schedule is hereby amended and attached hereto as Exhibit A.

PASSED AND ADOPTED by the Board of Directors of Santa Clara Valley Water District by the following vote on February 11, 2020:

AYES: Directors

NOES: Directors

ABSENT: Directors

ABSTAIN: Directors

SANTA CLARA VALLEY WATER DISTRICT

By: _____
Nai Hsueh
Chair/Board of Directors

ATTEST: MICHELE L. KING, CMC

Clerk, Board of Directors

THIS PAGE INTENTIONALLY LEFT BLANK

EXHIBIT A COVERSHEET

Santa Clara Valley Water Records Retention Schedules

No. of Pages: 72

Exhibit Attachments: Attachment 1: Santa Clara Valley Water Records Retention Schedules

THIS PAGE INTENTIONALLY LEFT BLANK

CONTENTS:

Section 1: District-wide Series that may be used by any unit (pages 1 -14)

Section 2: Series held by individual units (pages 14-68)

Section 3: Series jointly held by multiple units (pages 69-71)

Section 4: Legend for legal citations (page 72)

Section 5: Obsolete series no longer in use, with reference to replacement series where appropriate (page 73)

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.

Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).

Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
Section 1: District-wide Series that may be used by any unit.								
	(The Outside Organization that Produced the Reference Material)	RS-0000	Non-record reference materials	Documents owned/produced by external organizations: published reference works, standards, regulations, brochures, meeting agendas & minutes of external Committees, Task Forces, Associations (external associations - e.g., ACWA, CASA, SCVURPPP (Santa Clara Valley Urban Runoff Pollution Prevention Program), etc.), Commissions, Boards (e.g. SFRWQCB (San Francisco Regional Water Quality Control Board), Manuals, Reports, FPPC Form 700s, Metrosan data, TRW, BMI, County Base Map, County Assessor's Final Official Tax Roll, etc.	When no longer required	Non-records, no requirements.	Non-Vital	May Contain Confidential or Public Records, or content held in copyright by author / publisher
	Lead Unit (the unit in possession of the record)	RS-0001	Copies or duplicates of any original District record	Includes any copy held by a unit other than the unit of record. Example 1: "Board agenda packet", "groundwater charge zone exemption case records," or final "budget" held by any unit other than Clerk of the Board. Example 2: Copies of CEQA Documents held by any unit other than Environmental Planning Unit [Generally non-vital, but may be vital during an active work process. Example: a unit may have a vital copy of an invoice prior to the "final" invoice being processed and filed by Accounting.]	Copies - When No Longer Required. Not to be retained for longer than the copy of record.	GC §60200	Vital	May Contain Confidential or Public records--as per original record

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.

Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).

Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that produces the draft or note)	RS-0002	Preliminary drafts of any District record (retain final version) and temporary correspondence not retained in the ordinary course of business.	(Drafts that are revised or superseded that do not become part of the final document. Preliminary Internal Document Reviews. Examples: budget drafts, budget development documents / worksheets, Unit expenditure tracking, Contracts / Agreements - Negotiation Notes, electronic documents where a print out is retained as the "copy of record" (such as CADD files). Also calendars, mailing lists, telephone messages, checklists, invitations, notes, thank yous, meeting room registrations, voice mails. Also, all source documents after the data is entered into an electronic "trusted system" such as Maximo or PeopleSoft (for example, Applications for Leave, where PeopleSoft contains the copy of record). Confidentiality is as per final version of record. [May be vital until completion])	When no longer required	As long as the drafts and notes are not retained in the "Regular Course of Business". GC §60201, GC §6254	Vital	May Contain Confidential or Public records--as per original record
	Lead Unit (The Unit Managing the Capital Project)	RS-0003	Capital Projects - 1b Project Management - Non-Permanent	Work Plans, Budget-Finance, Schedule, Project Scope, Correspondence, Outreach, Project Logs. If Funded by a Grant: Copies of Purchase Orders & Invoices [Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201	Vital	May contain Confidential and Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0004	Capital Projects - 1c Project Management - Permanent	(Close-Out) [Vital until completed]	Permanent	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201	Vital	May contain Confidential and Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0005	Capital Projects - 2b Planning - Non-Permanent	(Correspondence, Meeting Minutes, Consultants / Contractors, Alternatives -- Tech Memos, Cost Estimates If Funded by a Grant: Copies of Purchase Orders & Invoices))[Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201	Vital	May contain Confidential and Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit Managing the Capital Project)	RS-0006	Capital Projects - 2c Planning - Permanent	(Final Documents, Photos, Data Collection, Planning Study, Photos- Planning Phase, Environmental Site Assessment) [Vital until completed]	Permanent	Unit preference; Final environmental documents are required to be kept a "reasonable period of time"; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15; 14 Cal Code Regs §15095(c); GC §60201	Vital	May contain Confidential and Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0007	Capital Projects - 3b Design - Non-Permanent	(Correspondence, Meeting Minutes, Consultants, Data Collection (Product Info, Traffic Data, Field Investigations & Prep, Maint. Work Orders) 30%-60%-90% drawings. If Funded by a Grant: Copies of Purchase Orders & Invoices [Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	May contain Confidential and Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0008	Capital Projects - 3c Design - Permanent	(Photos-Design Phase, Design Analysis & Calculations, Design Criteria, Design Tech Memos, Lessons Learned, Data Collection (Engineering Data, Survey Data, Right of Way Data only) Engineer's Report, Environmental Site Assessment) [Vital until completed]	Permanent	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	May contain Confidential and Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0009	Capital Projects - 4b Real Estate - Non-Permanent	(Correspondence) [Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	May contain Confidential and Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0010	Capital Projects - 4c Real Estate - Permanent	(Haz Mat, Haz Mat Investigation Files, Rights of Way, Hazardous Substance Liability Assessment (HSLA). Also send pdf of HSLA to Library, if available.) [Vital until completed]	Permanent	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0011	Capital Projects - 5b Construction - Non-Permanent	(Correspondence, Meeting Minutes, Consultant Agreement, Construction Work Plan, RFIs, Transmittals If Funded by a Grant: Copies of Purchase Orders & Invoices, contractor redlines) [Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	May contain Confidential and Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0012	Capital Projects - 5c Construction - Permanent	(Engineering Calculations, Close-out, Photos) [Vital until completed]	Permanent	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	May contain Confidential and Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit Managing the Capital Project)	RS-0013	Capital Projects - 6b Board Items - Non-Permanent	(CEO Reports, Non-Agenda Board Items) [Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0014	Capital Projects - 6c Board Items - Permanent	(Planning Board Items, Design Board Items, Construction Board Items) [Vital until completed]	Permanent	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0015	Capital Projects - 7b Permits - Non-Permanent	(Correspondence, Expired Permits, Ordinances) [Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	Public
	Lead Unit (The Unit Managing the Capital Project)	RS-0016	Capital Projects - 7c Permits - Permanent	(Final Permits) [Vital until completed]	Permanent	Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15; GC §60201	Vital	Public
	Lead Unit (The Unit that Staffs the Subcommittee)	RS-0020	Commissions & Committees - Ad Hoc Board Subcommittees Comprised Solely of Board Members	(Agenda packets, Minutes, etc.)	Two years	District preference; All recommendations must come to the full Board for action, and actions are recorded in the Board's agenda packet and minutes; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Coordinates the Meeting)	RS-0021	Committees or Task Forces: Internal		Two years	District Preference; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Manages the Contract / Project)	RS-0023	Contracts / Agreements - Not Commenced / Cancelled		Two years	Unit preference (claims must be filed within 6 months); GC §60201	Non-Vital	Public
	Lead Unit (The Unit Responsible for Managing the Terms & Conditions of the Contract)	RS-0024	Contracts / Agreements - ADMINISTRATIVE RECORDS	(Correspondence, project schedules, certified payrolls, progress reports / project monitoring, Consultant Performance Appraisals, etc.)	After Funding Agency Audit, if required, Minimum Completion plus 10 years	Also see Grants, if a grant-funded project. District Preference - Covers E&O Statute of Limitations; Published Standards=4 Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit Responsible for Managing the Terms & Conditions of the Contract)	RS-0025	Contracts / Agreements - ALL INFRASTRUCTURE	(Includes Agreements, Addenda, Workplan, RFPs/RFQs/NTBs, Statement of Qualifications, Specifications, Successful Bids/Proposals/Scope of Work, Amendments, Change Orders, Insurance Certificates, Notice of Completions) Examples of Infrastructure: Architects, dams, buildings, bridges, construction, demolitions, pipelines, reservoirs, sewers, utilities, water retailer, treated water, etc. [Vital until completed.]	Permanent	All infrastructure improvements are permanent. Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15, 343 GC §60201, Contractor has retention requirements in 48 CFR 4.703	Vital	May contain Confidential and Public
	Lead Unit (The Unit Responsible for Managing the Terms & Conditions of the Contract)	RS-0026	Contracts / Agreements - ALL NON-INFRASTRUCTURE	(Includes Workplan, RFPs/RFQs, Statement of Qualifications, Specifications, Successful Bids/Proposals/Scope of Work, Amendments, Change Orders, Insurance Certificates, Notice of Completions) Examples of Non-Infrastructure: Consultants, Construction Administration, Leases, Professional Services, Reimbursement Agreements, Environmental Services, Reroofing, Water Management, Water Supply, etc [Vital until completed]	Completion plus 10 years	Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15, 343 GC §60201, Contractor has retention requirements in 48 CFR 4.703	Vital	Public
	Lead Unit (The Unit that Manages the Contract / Project)	RS-0027	Contracts / Agreements - Negotiation Interviews, Scoring & Ranking	(Bid Evaluations, Bid Rating Comments, Evaluations, Performance Assessments)	Four years	May not be accessible to the Public -- District Preference (may have grant funding, and therefore an audit requirement); Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201	Non-Vital	May contain Confidential and Public
	Lead Unit (The Unit that Manages the Affected Project)	RS-0028	Correspondence - Regulatory Agencies or Regional Boards / Agencies	[Vital while active issues.]	When no longer required - minimum 10 years	District Preference; Some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §60201	Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that Produced the Correspond.)	RS-0029	Correspondence - Routine	(e .g. Administrative, Chronological, General Files, Letters, Memorandums, Miscellaneous Reports, Reading, Working Files, etc. Does NOT include Regulatory Agency Correspondence)	Two years	District Preference; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that is Responsible for Resolving the Concern)	RS-0030	Correspondence - Customer Concerns, Complaints, Issues and Resolutions -- NOT drinking water (facilities, etc.)	[Vital before resolution]	When no longer required - minimum 5 years	District Preference; GC §60201	Vital	Public
	Lead Unit (The Unit that is Responsible for Resolving the Concern)	RS-0031	Customer Concerns, Complaints, Issues and Resolutions Regarding Drinking Water	[Vital before resolution]	Final disposition plus 5 years	5 years is required for any water quality or outage complaints; 40 CFR 141.33(b); 22 CCR 64453(a); GC §60201	Vital	Public
	Lead Unit (The Unit that is the OFR for the Records placed in the EDMS)	RS-0032	Relational Databases, Enterprise Applications, and Electronic Document Management Systems (EDMS)	(Any system, including Maximo, PeopleSoft, GIS, etc.)	Indefinite	Data is interrelated and may update dynamically in the ordinary course of operations; GC §§60201, 12168.7	Vital	May contain Confidential and Public
	Lead Unit (The Unit that uses the Equipment)	RS-0034	Equipment Diagrams, Instructions, Manuals, Specifications and Warrantees		Upon Disposal of Equipment or Project	RFPs, contracts & agreements are that maintained for appropriate periods; GC §60201	Vital	Public
	Lead Unit (The Unit that uses the Equipment)	RS-0035	Equipment Inventories, Parts lists		Five years	Meets auditing standards; Fixed Asset Inventory is maintained by Financial Services for a longer period; GC §60201 et seq.	Non-Vital	Public
	Lead Unit (The Unit that uses the Equipment)	RS-0036	Equipment Operations / Maintenance Manuals		Upon Disposal of Equipment or Project	District Preference; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that is Responsible for Resolving the Event)	RS-0037	Events: Unanticipated Events (Disruptions / Potential Violations / Spills)	[Vital before resolution]	Last action plus 5 years	5 years is required for any water quality or outage complaints; Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64453(a); GC §60201	Vital	Public
	Lead Unit (The Unit that is Develops and Updates the GIS Layer)	RS-0038	GIS Database / Data / Layers (both District-wide and Specialized)		When superseded	Unit Preference (Preliminary documents); the Lead Unit should print out historical documents (or save source data) prior to replacing the data, if they require the data or output; GC §60200, 60201 et seq. GIS data showing the locations of critical infrastructure (such as pipelines, pipeline appurtenances, and wells) are confidential.	Vital	May Contain Confidential And Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that is Develops and Updates the GIS Layer)	RS-0039	GIS Database / Historical Output or Historical Source Data (e.g. Aerials)		Permanent	If a business unit wants to retain a historical view, they are responsible for producing the output or source data and retaining it; GC §60201 GIS data showing the locations of critical infrastructure (such as pipelines, pipeline appurtenances, and wells) are confidential.	Non-Vital	May Contain Confidential And Public
	Lead Unit (The Unit that is Develops and Updates the GIS Layer)	RS-0040	GIS Vertical / Specialized Application Software and Documentation		When superseded	If a business unit wants to develop a specialized application, they are responsible for producing and retaining it; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Manages the Project that is Funded by the Grant or Reimbursable Project)	RS-0041	Grants / Reimbursable Projects: SUCCESSFUL	(Including FEMA claims, except for Water use Efficiency Grants)	After Funding Agency Audit, if required - Minimum 10 years	District Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Manages the Project that is Funded by the Grant or Reimbursable Project)	RS-0042	Grants / Reimbursable Projects: UNSUCCESSFUL	(Applications, Correspondence, etc.)	When no longer required - minimum 2 years	District Preference; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Manages the Project)	RS-0044	Hazardous Materials Tests & Remediation Projects (Asbestos Abatement etc.)		Permanent	District Preference; GC §60201; GC §60200	Non-Vital	Public
	Lead Unit (The Unit that Determines the Record is Historical)	RS-0045	Historical Records		Permanent	Records Management assists unit in determining the historical significance of record; GC §60201	May contain Vital and Non-Vital	May contain Confidential and Public
	Lead Unit (The Unit that is Responsible for Resolving the Incident)	RS-0046	Incidents: Violations, Spills, Investigations and Corrective Actions	[Vital before resolution]	Last action plus 3 years	Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b)	Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that Manages the Contract)	RS-0047	Insurance Certificates	For those that cannot be matched to a contract, please forward to Risk Management	Completion plus 10 years	District preference; Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Inputs the Data)	RS-0048	Inventory Database		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Posts or Publishes the Notice)	RS-0050	Legal Notices and Forms / Affidavits of Postings and Publications		Two years	District Preference; Brown Act challenges must be filed within 30 or 90 days of action; GC §§60201, 54960.1(c)(1)	Non-Vital	Public
	Lead Unit (The Unit that Directs the Mailing)	RS-0053	Neighbor Notifications & Mailing Lists		Two years	District preference; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Manages the Project)	RS-0054	Neighborhood Communications: Outreach / Community Files / Good Neighbor Program / Log of Community Calls Received / Correspondence		When no longer required - minimum 2 years	District preference; GC §§60201 et seq.	Non-Vital	Public
	Lead Unit (The Unit that Manages the RFP)	RS-0056	Notice to Prospective Bidders (for RFPs)		Two years	District Preference; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Monitors Compliance)	RS-0057	NPDES Permits, Compliance & Monitoring Reports	[Vital until Expiration]	Expiration plus 3 years	District Preference; Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; CCP §337 et seq.	Vital	Public
	Lead Unit (The Unit that Negotiates the Permission to Pass)	RS-0059	Permission to Pass	(Agreements to Allow other Agencies to Pass on District Property)	Expiration plus 4 years	Statute of Limitations for Contracts is 4 years, CCP §337 et seq., GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Supervised the Employee)	RS-0060	Personnel Files: Employees' Electronic Documents on CD (created by IT upon Separation of Employee, and provided to the Separated Employee's Supervisor)		Separation plus 6 months	Unit Preference in the event a file cannot be located (copies / preliminary drafts); GC §60200	Non-Vital	May contain Confidential and Public
	Lead Unit (The Unit that Produced the Plan or Study)	RS-0061	Plans & Feasibility Studies Not Presented to the Board of Directors		When no longer required - minimum 10 years	District Preference; GC §60200	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that Manages the Project / Goods Purchased)	RS-0062	Purchase Orders / Purchase Requests / Standing Orders ADMINISTRATIVE RECORDS	(Correspondence, insurance certificates, progress / project monitoring, project schedules, etc.. Excludes drafts, notes, and transitory correspondence)	After Funding Agency Audit, if required, Minimum Completion plus 10 years	Also see Grants. Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public
	Lead Unit (The Responsible Engineer's Business Unit / Unit Where Map or Plan was Produced)	RS-0063	Engineering Drawings / Record Drawings	As-Bid, As Finally Pursued, "Conformed," "As-Built" Or "As-Current" Operation Drawings, Shop Drawings, Landscape Plans, Construction Drawings, Maintenance Drawings, Laysheets, Maps (Geologic, Inundation, Historical Water Levels, Topographical, Etc.) Operational Drawings With Minor Modifications / Remodels.	Permanent	Send all record drawings or modifications ("As-Currents") to Records Management, who is the caretaker / custodian. Records Management indexes and stores all As-Bid / Conformed / As- Built / As-Current / Modifications to ensure the District has a central repository; copies are maintained in the applicable Business Unit. If "As-Bids" are re-issued, the initial drawings are considered a preliminary draft; Modifications or "As-Current" drawings should be cumulative (They should reflect all modifications made to date). Retention is the District preference for disaster preparedness purposes; GC §60201 et seq. Drawings of critical infrastructure (dams, water treatment plants, pump stations and the water quality laboratory) are confidential.	Vital	May Contain Confidential And Public
	Lead Unit (The Unit that Produced the Records)	RS-0065	Recycling Disposal Pickups	(Batteries, Electronic, scrap metal)	Two years	Lab & Environ. Services handles Water Treatment Plants; Environmental Programs handles other Units; Retained until after the annual audit; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Produced the Reference Material)	RS-0066	Reference Materials: Standard Operating Procedures (SOPs), Best Management Practices (BMPs), Brochures, Manuals, Procedures, & Reports: Produced by YOUR Business Unit		Minimum of superseded plus 2 years	Documents of historical significance should be retained longer, and sent to the Library; GC §60201	Non-Vital	May contain Confidential and Public
	Lead Unit (The Unit that Manages the Affected Project)	RS-0067	Regulatory Agency Correspondence, Reports from Regulatory Agencies	[Vital until Maturity]	When no longer required - minimum 10 years	District Preference; Some Reports from Regulatory Agencies need to be retained for long periods of time; GC §60201	Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that Manages the Affected Project)	RS-0068	Regulatory Permits and Documents	(Agreements, Settlements, Legal Orders, Consent Decrees, Memoranda of Agreement, Memorandum of Understanding, Underground Storage Tank Permits, Take Permits, etc.)	Permanent	District Preference; Send to Library after entered into WPMS; GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Negotiates the Right of Entry)	RS-0069	Right of Entry Permits / Access Agreements / Encroachment Permits		Permanent	District Preference (Real Estate, Watershed Field Ops, Groundwater Management, and/or Raw Water maintains originals); GC §60201	Vital	Public
	Lead Unit (The Unit that is Responsible for Resolving the Incident)	RS-0070	Root Cause Analysis (RCAs)		Five years	District preference; 5 years is required for drinking water quality or outage complaints; 40 CFR 141.33(b); 22 CCR 64453(a); GC §60201	Non-Vital	May contain Confidential and Public
	Lead Unit (The Unit that Inputs the Data)	RS-0071	SCADA Database (Supervisory Control and Data Acquisition)		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Vital	Confidential
	Lead Unit (The Unit that uses the Apparatus)	RS-0072	Self-contained Breathing Apparatus (SCBA) Certification (also see Training)		Expiration of certificate - minimum 2 years	Certificates are issued for 3-5 years; GC §60201 et seq.	Non-Vital	Public
	Lead Unit (The Unit that Files the Claim)	RS-0073	Small Claims Court Cases		Ten years	Small Claims cases and water liens are good for 10 years from recording date, and may be extended by re-recording lien; WC 36729; 37212(b)	Non-Vital	Public
	Lead Unit (The Unit that Stores the Subject or Reference Files)	RS-0074	Subject and Reference Files		When no longer required - minimum 2 years	Purge non-records when no longer required; District Preference; GC §60201 et seq.	Non-Vital	May contain Confidential and Public
	Lead Unit (The Unit that Issues the Survey or Questionnaires)	RS-0075	Surveys / Questionnaires (that the District issues - e.g., Customer Service Surveys)		When no longer required	GC §60201	Non-Vital	May contain Confidential and Public
	Lead Unit (The Unit that Conducts the Training)	RS-0076	Training: Non Safety (Operational) - In-House or External (Attendance Rosters, Outlines and Materials) Examples: Computer Applications, Conferences, etc.		Three years	District Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201	Non-Vital	Public

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.

Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).

Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that Conducts the Training)	RS-0077	Training - Safety - In-House or External	(Course Records: Attendance Rosters, Outlines and Materials). Includes Tailgate and Brown Bag Trainings: Aerial Lifts, Bloodborne Pathogens, Commercial Drivers, Confined Space Entry, CPR, Cranes, Elevator Lift, Forklift, Lead, Vehicle Operator, etc.	Seven years	Statewide guidelines propose 7 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; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201	Non-Vital	Public
	Lead Unit (The Unit that Supervises the Employee)	RS-0078	Training - Safety - In-House or External	(Employee Certifications / Employee Records): Aerial Lifts, Bloodborne Pathogens, Commercial Drivers, Confined Space Entry, CPR, Cranes, Elevator Lift, Forklift, Lead, Vehicle Operator, etc.	Separation plus 30 years	Unit preference; filed by Classification and includes certifications, licenses, etc. Older files are organized by employee. Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 14300.33(a); GC §§12946, 60201	Non-Vital	Public
	Lead Unit (The Unit that Produced the Records)	RS-0079	Underground Storage Tank Permits		Seven years	Unit preference; Lab & Environ. Services handles Water Treatment Plants; Environmental Programs handles other Units; permits are good for 5 years; ; 23 CCR 2712(c); GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Produced the Records)	RS-0080	Underground Storage Tanks UST (District-owned) DS Repairs, Lining, Upgrades		Life of the tank	Lab & Environ. Services handles Water Treatment Plants; Environmental Programs handles other Units; 23 CCR 2712(b); GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Produced the Records)	RS-0081	Underground Storage Tanks UST (District-owned) Monitoring and Maintenance, Release Detection Systems, Cathodic Protection Maintenance Records		Seven years	Lab & Environ. Services handles Water Treatment Plants; Environmental Programs handles other Units; Monitoring and Maintenance records are required on site for 3 years, 6 ½ years for cathodic protection maintenance, 5 years for calibration & maintenance of release detection systems; 23 CCR 2712(b); GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Manages the RFP & Selection)	RS-0082	Unsuccessful Bids and Proposals, Bid Responses For Contracts, Agreements, Purchase Orders, Standing Orders		Bid opening plus four years	Procurement sends originals back to Lead Unit for selection; District preference for grant reimbursement purposes; Special Districts are required to keep public works unaccepted bids for 2 years; GC §60201(d)(11)	Non-Vital	Public
	Lead Unit (The Unit that Manages the Volunteer)	RS-0083	Volunteers/Waivers of Liability		Ten years	District preference to cover minors that may be volunteering; GC §§911.2, 62010	Non-Vital	May contain Confidential and Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Business Unit Providing Service / Work	RS-0085	Work Orders / Request for Service Forms / Engineering Work Requests (EWRs) / Corrective Action Requests SOURCE PAPER DOCUMENTS NOT on Maximo (or partially entered in Maximo) / CMMS	(Business Unit providing service retains originals; Business Unit requesting service is considered a copy.)	Ten years	Watershed Field Operations has a different retention than the District-Wide standard, as they have sketches and drawings attached as part of the Work Order package, and these are maintained permanently; District preference to facilitate claims and grant reimbursements; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §60201	Vital	May contain Confidential and Public
	Lead Unit (the unit in possession of the record)	RS-0087	Consultant Reports / Contract or Agreement	(Administration Records, where CEO is the Lead Unit)	After Funding Agency Audit, if required, Minimum Completion plus 10 years	Also see Grants, if a grant funded project. District Preference - Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §6020	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0098	Correspondence - Inter- Departmental		Two years	District Preference; GC §60201	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0113	Contracts / Agreements - Contract Attorney and Administrative Records - For District Counsel's Office, Including Engagement Letters - Not Real Estate	(Correspondence, project schedules, certified payrolls, etc.)	Completion plus 10 years	Also see Grants. Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public
	Lead Unit (The Unit that manages the project)	RS-0187	Work Requests with Subjects, Advice, Clearance for Work, etc. attached (Request for Ecological Services)		When no longer required - minimum 10 years	Unit Preference (may need to advise regarding the same issue in multiple projects); GC §60201	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0198	Reports to Regional Boards		Ten years	Unit Preference (send 1 copy to the Library); GC §60201	Non-Vital	Public
	Lead Unit (The Unit of the Engineer In Responsible Charge of the Work)	RS-0239	CADD Files		Indefinite	GC §60201	Vital	Public
	Lead Unit (Author of Final)	RS-0241	Final Planning Studies		Permanent	Unit preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit of the Engineer In Responsible Charge of the Work)	RS-0243	CADD Database, Drawings, Maps, etc.	Includes: "As-Bid", Operational and Maintenance, Geologic, Inundation, Historical Water Levels, Lay Sheets, Topographical, etc.)	Indefinite	Ensure CADD has the most current files (except Land Survey and Mapping); GC § 60201	Non-Vital	May contain Confidential and Public
	Lead Unit (the unit in possession of the record)	RS-0383	Management Reports & Surveys	(Studies, Consultant recommendations, Strategic Plans, etc.)	When No Longer Required - Minimum 10 years	Unit Preference; GC §60200	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0439	Inspection Reports: Regulatory Agencies (DHS, Fire, Environmental)		Ten years	Unit preference; GC §60201	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0591	Photographic Libraries		Permanent	District Preference; When transferred to Records Management, Records Management becomes Office of Record; GC §60201	Non-Vital	Public
	Lead Unit (The Unit Managing the non-Capital Project)	RS-0597	Non-capital projects, plans and estimates	(planning documents for ERG events, Open Houses, "clean up" days, process improvement efforts, etc.)	When no longer required	GC §60201	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0630	reports from WRIS or PeopleSoft	[Confidential as to personal and account identity data.]	When no longer required	Draft / Preliminary documents used to produce final year-end general ledger (databases are the original); GC §60201	Non-Vital	May contain Confidential and Public
	Lead Unit (the unit in possession of the record)	RS-0639	General Ledger Interface Report	[Confidential as to personal and account identity data.]	Seven years	Unit Preference for auditing purposes; Draft / Preliminary documents used to produce final year-end general ledger (databases are the original); GC §60201	Non-Vital	May contain Confidential and Public
	Lead Unit (the unit in possession of the record)	RS-0748	Hazardous Substance Liability Assessment (HSLA)	File with permanent Project Files. Send PDF to Library, if available.	Permanent	Unit Preference; GC §60200	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0773	Inventory Database (Warehouse)		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
	Lead Unit (the unit in possession of the record)	RS-0788	Consultant Performance Appraisals (Biennial)		Five years	District Preference (no specific retention requirement); GC §60201	Non-Vital	Public
	Lead Unit (The Unit that Manages the Affected Project)	RS-0799	Automated Environmental Information Management System (AECIMS) Environmental Management Database		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Non-Vital	Public
	Lead Unit (The Unit Acquiring the Certification)	RS-0801	Green Business Certification & Program Administration		When no longer required - minimum 5 years	Unit preference; GC §60201	Non-Vital	Public
	Lead Unit (The Unit Acquiring the Permit)	RS-0803	Industrial Waste Water Discharge Permits	(Car wash, etc.) [Vital until expiration]	Expiration plus 3 years	District Preference; Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; CCP §337 et seq.	Vital	Public
	Lead Unit (The Unit that receives the award)	RS-1010	Awards from outside agencies or other third parties		When no longer required	Unit preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
	Lead Unit (The Unit that manages the project)	RS-1021	Chemical / Hazardous / Regulated Materials Records	Records pertaining to Chemical / Hazardous / Regulated Materials may include: Inventories (Sealed & Active), Shipping Papers, Hazardous Waste Manifests, Tracking, Disposal, Inspections, management plans, Annual and Monthly Reports, Chemical Usage / Dosage Reports / Onsite Utilizations (including Annual summary sent to Accounting for inventory tax), Chemical Hygiene Plans, Hazardous Material Storage Inspection Forms (Annual, Daily & Weekly), Incidents / Incident Response Forms (Violations, Spills, Investigations and Corrective Actions), Abatement Certifications (Asbestos Abatement, Indoor Air Quality, etc.) and closely related records.	30 years	Unit preference; Chlorine & Fluoride may be considered as toxic substances and claims can be made for 30 years for toxic substance exposure; State law requires 12 years, Federal 10 years for all chemical analysis; 40 CFR 141.33(a); 22 CCR §64692; 8 CCR §3204(d)(1) et seq.	Non-Vital	May contain Confidential and Public
	Lead Unit (The unit responsible for implementing controlled processes (QEMS and Program Specific) and producing the related records)	RS-1026	Controlled Process Review and Approval Forms	Applies to signed hardcopies of original review and approval forms for QEMS and Program Specific controlled processes.	When no longer required - Minimum 3 years	GC §60201 et seq.	Non-Vital	May contain Confidential and Public
Section 2: Series held by individual units								
102	Office of the Chief Executive Officer	RS-0086	Calendars/Daytimers		When no longer required	Unit preference; GC §60201	Non-Vital	Public
102	Office of the Chief Executive Officer	RS-0088	CEO Projects/Subject Files		When no longer required	Unit preference; GC §60201	Non-Vital	May Contain Confidential And Public
102	Office of the Chief Executive Officer	RS-0089	Task Forces / Transition Teams		When no longer required	Unit Preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
106	Treasury-Debt Management Unit	RS-0538	Bonds/COPs/Commercial Paper	Certificates of Participation and Detail Backup - Issued by SCVWD, Public Facilities Financing Corporation (PFFC), or County prior to SCVWD formation. (Includes Spreadsheets, Final bond Counsel Documents, official Statements, Debt Service payment invoices, Arbitrage Reports, US Bank Reports (Reserves), Disclosure Reports from Bond Counsel, Letters of Credit , Lines of Credit, etc.) [vital until maturity]	Cancellation, Redemption, or Maturity plus 10 years	Unit Preference; Statute of Limitations for an action upon bonds, mortgages, trust deeds, notes or debentures is 6 years (CCP §§336a); Statute of Limitations for an action upon bonds issued by local governments is 10 years (CCP §337.5(a); GC §§60200, §60201. Meets all document retention requirements pursuant to SEC securities law and Continuing Disclosure Agreement, Trust Agreement, and other financing agreements.	Vital	May Contain Confidential And Public
106	Treasury-Debt Management Unit	RS-0671	Treasury and Debt Administration	(Includes: Escheated Bearer Bonds, TRANS - Tax Revenue Anticipation Notes, Account Analysis / Service Credits, Bank Statements for "Custody" Account, Broker Statements, Daily Packets / Worksheets, Sympro Daily Packets, Sympro Reports, Treasury Audits, Investment Committee & Treasury Committee (Internal Staff) Meeting agendas, minutes, presentations, etc.	Ten years	Unit preference; For Escheated Bearer Bonds: All tangible property held by government agencies escheats after 3 years with notice publication.; Statute of Limitations is 1 year for seized property; Meets auditing requirements; CCP §§340(d), 1519; GC §60201 For Sympro reports: Unit Preference for backup to General Ledger Interface and adjustments; Draft / Preliminary documents used to produce final year-end General Ledger (financial database is the original); GC §60201 For all other types in this series: Unit preference (meets auditing standards, consistent with other retention periods in accounting); GC §60201	Non-Vital	May Contain Confidential And Public
106	Treasury-Debt Management Unit	RS-0674	Authorized signers (Banks)		Upon Change of Bank or Trust plus 10 years	Unit preference; GC §60201	Non-Vital	Confidential
112	Office of District Counsel	RS-0110	Board Member Requests & Responses	(BMRs, iBMRs) - Confidential, Subject to Attorney-Client Privilege	When no longer required - minimum 2 years	District Counsel is OFR for those that are subject to the Attorney-Client privilege; CEO is OFR for other BMRs, iBMRs, and maintains indefinitely since the Clerk of the Board scans non-confidential ones into EDMS; GC §60200	Non-Vital	Public
112	Office of District Counsel	RS-0111	Chronological Files		Five years	Unit Preference (copies); GC §60200	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
112	Office of District Counsel	RS-0112	Contract Attorney Invoices - Detail Backup	(all others are retained by General Accounting) [vital until paid] (To the extent the contract revisions were made by an attorney in the course of advising the District, they are privileged and confidential. Also, contract reviews/ revisions for contracts that are in the process of being negotiated.)	Ten years	Consistent with General Accounting / Accounts Payable retention; District preference for grant / cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201(d)(12)	Vital	May Contain Confidential And Public
112	Office of District Counsel	RS-0115	Informal Advice	(no RLS)	When no longer required	Some material may be required for reference, depending upon subject; GC §60201	Non-Vital	Confidential
112	Office of District Counsel	RS-0116	Lawsuits / Litigation - Case File, Excluding Settlement Agreement	[vital until resolution]	When no longer required - minimum 5 years	Unit Preference (copies); Covers various statute of limitations; Meets municipal government auditing standards; CCP §§ 337 et seq.; GC §§ 911.2, 945, 60201 et seq.; PC §832.5	Vital	Confidential
112	Office of District Counsel	RS-0117	Lawsuits / Litigation - Case File,	Excluding Settlement Agreement - M&I Deficit litigation [vital until resolution]	When no longer required - minimum 5 years - as determined by District Counsel, Counsel for CCWD, SMUD, and City of Fresno	Unit Preference (copies); Covers various statute of limitations; Meets municipal government auditing standards; CCP §§ 337 et seq.; GC §§ 911.2, 945, 60201 et seq.; PC §832.5	Vital	Confidential
112	Office of District Counsel	RS-0118	Lawsuits / Litigation - Settlement Agreements	[Vital until resolution] (Litigation settlement agreements are not confidential; however attorney work product / notes / communication and other information privilege information is confidential)	Permanent	Unit Preference; CCP §§ 337 et seq.; GC §§ 911.2, 945, 60201 et seq.; PC §832.5	Vital	Confidential
112	Office of District Counsel	RS-0119	Legal Opinions		Permanent	Unit Preference; GC §60201	Vital	Confidential
112	Office of District Counsel	RS-0120	Major Contract Reviews (Key Provisions)		When no longer required - minimum 5 years	Unit Preference for key provisions of significant contracts (Drafts not concerning key provisions are destroyed in the ordinary course of business); Meets municipal government auditing standards and various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945, 60201 et seq.; PC §832.5	Vital	Confidential
112	Office of District Counsel	RS-0121	Request for Legal Services (RLS)		When no longer required - minimum 2 years	Unit preference; GC §60201	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
112	Office of District Counsel	RS-0122	Request for Legal Services (RLS) Tracking Database		Indefinite	Data is interrelated; GC §60201	Non-Vital	Confidential
112	Office of District Counsel	RS-0123	Subject / Project Files / Recurring Issues (These will vary)		When no longer required - minimum 2 years	Some material may be required for reference, depending upon subject; GC §60201	Non-Vital	Confidential
113	Risk Management Program	RS-0506	Claims and Claims Log (Clerk of the Board's)	The Clerk's log are all copies--the originals go to Risk Management [Vital until final disposition]	Two years	Copies; GC §60200	Vital	Public
113	Risk Management Program	RS-0550	Accident / Incident / Injury Reports	(District Vehicles or Public)	Five years	District preference to be consistent with OSHA requirements; 8 CCR 14300.33(a); GC §§12946, 6020	Non-Vital	Public
113	Risk Management Program	RS-0551	Actuarial Studies		Ten years	Unit Preference (10 years is used to establish rates); meets all auditing requirements; GC §60201 et seq.	Non-Vital	Public
113	Risk Management Program	RS-0552	Claims - all	[Vital until resolution]	When no longer required - minimum resolution plus 5 years	Unit Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945, 60201, 60201.6; PC §832.5	Vital	Public
113	Risk Management Program	RS-0553	Notary Bonds, Employee Bonds, Faithful Performance Bonds, Crime Policies		Permanent	Unit Preference; Statute of Limitations for Public official misconduct is discovery of offense + 4 years; GC §§36507, 60201; PC §§801.5, 803(c); 29 USC 1113	Vital	Public
113	Risk Management Program	RS-0554	Insurance Certificate Tracking Database	(Spreadsheet used to direct certificate to appropriate Business Unit)	Indefinite	Data is interrelated; GC §60201 et seq.	Non-Vital	Public
113	Risk Management Program	RS-0555	Insurance Certificates - Miscellaneous / Unmatched	(from outside companies, that cannot be matched with a contract or agreement) [Vital before completion]	11 years	Longest Statute of Limitations is 10 years; Conforms with Agreement Retention (usually filed with agreement); CCP §337 et seq.; GC §60201 et seq.	Vital	Public
113	Risk Management Program	RS-0556	Insurance Policies & Summaries: Liability, General Liability, Excess Workers Compensation, Property (ALL types)		Permanent	Unit Preference for protection from litigation; GC §60201	Non-Vital	Public
113	Risk Management Program	RS-0557	Insurance Policies: Renewal Applications & Proposals	(includes notes)	Ten years	GC §60201	Non-Vital	Public
113	Risk Management Program	RS-0558	Property Damage File	(someone damages District property)	Final Disposition plus 4 years	District preference to meet auditing standards (some are uncollectible); GC §60201	Vital	Public
113	Risk Management Program	RS-0559	Property Valuations / Appraisals		Ten years	Unit Preference; GC §60201	Non-Vital	Public
113	Risk Management Program	RS-0560	Risk Management / Vehicle Database		Indefinite	Unit Preference; Data is interrelated; GC §60201 et seq.	Non-Vital	Public
113	Risk Management Program	RS-0561	Subject Matter / Reference Material		When no longer required	Unit Preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
113	Risk Management Program	RS-0832	Workers Compensation / Disability Claims / Employee Injury Reports / Supervisors Report / DWC1	(Confidential as to personal or medical information)	Separation plus 30 years	Claims can be made for 30 years for toxic substance exposure; Claims are required for five years after the end of compensation, or injury, whichever is longer; the Workers Compensation Appeals Board may destroy their records after 5 years; 8 CCR §3204(d)(1) et seq., 8 CCR 10102, 10755, 10758, 15400.2; GC §§12946, 60201	Non-Vital	Confidential
113	Risk Management Program	RS-0833	Workers Compensation / Monthly Reports from Third Party Administrator	[vital until paid] (Confidential as to personal or medical information)	Ten years	District preference to be consistent with Accounts Payable retention; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201(d)(12)	Vital	Confidential
116	Financial Planning & Management Services Division CFO's Office	RS-0103	Quality and Environmental System (QEMS) original hardcopy documents not held in electronic format	Includes original hardcopy records and electronic files not saved in the on-line QEMS related to the QEMS Manual, Management Review, Internal Audit Program, Corrective or Preventive Actions, Controlled Documents, Environmental Aspects, QEMS Training and Awareness, and External ISO Audits.	When no longer required, Minimum 3 years	Unit preference; GC §60201 et seq.	Non-Vital	Public
116	Financial Planning & Management Services Division CFO's Office	RS-0251	Projects: Financial Models & Metrics: Annual		Five years	Unit preference; GC §60201	Non-Vital	Public
116	Financial Planning & Management Services Division CFO's Office	RS-0280	Water Rate Project Binders (Contains Project Schedules, Meeting Minutes, Requests for Project Costs & Revenues & Checklists, Request for South County Allocations & Checklists, Rate Models, etc.)		Ten years	Unit preference; GC §60201	Non-Vital	Public
116	Financial Planning & Management Services Division CFO's Office	RS-1025	Online Quality and Environmental Management System (QEMS)	Includes the Document Control Database, CPAR Database, CPAR System, and System Administration Applications	Indefinite	Data is interrelated; GC §§60201, 12168.7	Non-Vital	Public
152	Office of Government Relations	RS-0125	Bill Tracking Files (includes, among other items, input/comments on proposed legislation)		1 year following legislative session	Unit preference; GC §60201 et seq.	Non-Vital	Public
152	Office of Government Relations	RS-0129	FPPC Lobbyist Reports & Backup Expenses, and Federal Lobbyist Reports		Six years	2 CCR 18615(d); 2 U.S. Code § 1605	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
152	Office of Government Relations	RS-0135	Sponsored Legislation: Legislative Concepts / Bills NOT Pursued		Until beginning of next legislative session	Unit preference; GC §60201 et seq.	Non-Vital	Public
172	Office of Communications	RS-0055	Neighborhood Construction Notices		Two years	District preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0137	Adopt-a-Creek List of Active Participants		When no longer required - minimum 2 years	GC §60201 et seq.	Non-Vital	Public
172	Office of Communications	RS-0138	Adopt-a-Creek Publications, Communication and Participation		When no longer required - minimum 2 years	GC §60201 et seq.	Non-Vital	Public
172	Office of Communications	RS-0139	Briefing Packets (Internal Executive Leadership Team and Board)		Two years	Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0140	Creek Clean Up Events		Three years	Unit Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)	Non-Vital	Public
172	Office of Communications	RS-0141	Educational Publications (e.g. Aquacycles, Annual Calendars, Creek Cleanups, etc.)		When no longer required - minimum 2 years	Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0142	Electronic Newsletters		Two years	Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0143	E-Mail Lists		When no longer required	Preliminary drafts / transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-0144	Follow-up Surveys		Two years	Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0145	Mailing Lists / Community Meeting Invitations		When no longer required	Preliminary drafts /transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-0146	Multi-Media Campaigns /Creative / Brochures, Newsletters, etc.	(Water Quality, Water Conservation, Storm Water Pollution Prevention, etc.)	When no longer required - minimum 2 years	Preliminary drafts / transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-0147	Newspaper Clippings		Permanent	Unit preference; GC §60201 et seq.	Non-Vital	Public
172	Office of Communications	RS-0148	Outreach Calendar	(On line)	When no longer required	Preliminary drafts / transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-0149	Press Releases / News Releases / Media Releases		Five years	District Preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0150	Print Ads / Tear Sheets		Two years	Unit preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
172	Office of Communications	RS-0151	Proof Of Publication	(Print, Radio, TV)	Two years	Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0152	Raw Film Footage		When no longer required	Preliminary drafts / transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-0153	Speakers Bureau File / Presentations		When no longer required - minimum 2 years	Unit preference; GC §6252	Non-Vital	Public
172	Office of Communications	RS-0154	Story Boards		When no longer required	Preliminary drafts / transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-0155	Talking Points / Debriefs		When no longer required	Preliminary drafts / transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-0156	Updates on Long Term Projects In Focus / Pipelines, etc. (Job- Specific)		When no longer required - minimum 2 years	Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0205	Storm Water Pollution Prevention Brochures, Newsletters, etc.		When no longer required	GC §60201 et seq.	Non-Vital	Public
172	Office of Communications	RS-0569	Employee Newsletters		When no longer required - minimum 3 years	Send 1 copy to Library; Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0570	Employee Outreach / E-mail Releases	(Internal Communications to all users)	Three years	Unit preference; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0571	Employee Recognition & Outreach	(Sees Candy, Entertainment Books, Gift Card Logs, Receipts, Recipient & Presenter Records, "On the Spot" Awards)	When no longer required - minimum 5 years	Unit preference to meet municipal government auditing requirements GC§60201	Non-Vital	Public
172	Office of Communications	RS-0572	Employee Service Awards / Backup		When no longer required - minimum 5 years	Unit preference (These are given in 5 year cycles - the original is placed in the Employee's Personnel File); GC §60201	Non-Vital	Public
172	Office of Communications	RS-0573	Event Binder / Annual Picnic, etc.	(Attendance, New Employee Orientation, Receipts, Invitations, etc.)	When no longer required - minimum 5 years	Unit preference to be consistent with equal opportunity laws (only required for 2 years); 2 CCR 7287.0; GC §60201	Non-Vital	Public
172	Office of Communications	RS-0574	Resources for Employee Outreach	(Photos, Storyboards, graphics, etc.)	When no longer required	Transitory / Preliminary documents not retained in the ordinary course of business GC ; §60201, GC §6252	Non-Vital	Public
172	Office of Communications	RS-1008	Graphics project files	Project files for Graphics	Five years	Unit Preference GC §60200	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
214	Business Planning & Analysis Unit	RS-0102	WATERSHED STEWARDSHIP GRANT PROGRAM Including RFP, Applications, Evaluations, Notifications, Site Visits and Fiscal Reports. Includes All Records, Including Grant Outreach Program		When no longer required - minimum 10 years	Unit 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 (does not apply, since these grants are funded by SCVWD general fund); GC §60201	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0157	Urban Runoff School Outreach Program and Materials	Public Information & Participation	When no longer required	GC §60201 et seq.	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0158	Watershed Planning Projects - Administration File	Project Administration, Project Schedules, Cost of Construction, Logs, Insurance Certificates from Contractors, Correspondence, etc. [vital until completed]	Completion plus 10 years	Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15 GC §60200, Contractor has retention requirements in 48 CFR 4.703	Vital	Public
214	Business Planning & Analysis Unit	RS-0159	Watershed Planning Projects - Permanent File	Final Reports, recommendations, studies and technical reports [vital until completed]	Permanent	Send all final reports and studies to the Library; For disaster preparedness purposes; GC §60201 et seq.	Vital	Public
214	Business Planning & Analysis Unit	RS-0162	Annual Stream Maintenance Program / Notice of Proposed Work	Stream Maintenance: [vital while current]	Permanent	Unit Preference; Sent to Environmental Management, who forwards to the Library; GC §60201 et seq.	Vital	Public
214	Business Planning & Analysis Unit	RS-0164	Post-Construction Reports	Stream Maintenance	Permanent	Unit Preference; Sent to Environmental Management, who forwards to the Library; GC §60201 et seq.	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0174	Archeological Reports and Surveys	(Reviews for Stream Maintenance Programs)	Permanent	Unit preference; GC §60201	Non-Vital	May Contain Confidential And Public
214	Business Planning & Analysis Unit	RS-0185	Stream Maintenance Program Annual Report (Chapters of Annual Report)		Ten years	Unit preference; GC §60201	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0188	Annual Report: District & Program (Cities & Counties)	Includes Water Utility Discharge Analysis, Sediment / Turbidity Monitoring & Test Data, Sediment Control Plans & Evaluations, Storm Water Pollution Prevention Plans (SWPPP) Compliance, Inspections, Monitoring, New Development Records, Mercury, Copper, Nickel Pollution Prevention, Trash & Inventory Management	Permanent	Unit Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
214	Business Planning & Analysis Unit	RS-0199	Storm Drain Inspections, Schedules & Tracking		Three years	Unit Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0200	Surface Water Quality Improvement Program TMDLS (Total Minimum Daily Loads)		When no longer required - minimum 10 years	Unit Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0201	Water Sampling / TMDLS		Ten years	Unit Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; (All other records are included in the Annual Report); 40 CFR 122.41(j)(2)	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0202	Annual Reports: SCVURPPP (Santa Clara Valley Urban Runoff Pollution Prevention Program), SFRWQCB (San Francisco Regional Water Quality Control Board)	Public Information & Participation	Permanent	Send 1 copy to the Library; Unit Preference; GC §60201 et seq.	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0203	BAASMA - Bay Area Association of Stream Maintenance Agencies	Public Information & Participation	Ten years	Unit Preference (SCVWD serves as the Fiscal Agent; this meets auditing requirements); GC §60201 et seq.	Non-Vital	Public
214	Business Planning & Analysis Unit	RS-0204	SCVURPPP (Santa Clara Valley Urban Runoff Pollution Prevention Program) Records / Invoices	Public Information & Participation	Ten years	Unit Preference (SCVWD serves as the Fiscal Agent; this meets all auditing requirements); GC §60201 et seq.	Non-Vital	Public
219	Emergency Services & Security	RS-0252	Distribution Logs (various documents)	Emergency Preparedness, Administration And Response	When no longer required	GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0253	Draft Emergency Response Database and Plans	Emergency Preparedness, Administration And Response	When superseded	Unit preference; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0254	Employee Training Logs	Emergency Preparedness, Administration And Response	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0255	EOC Equipment Performance and Maintenance Logs and Reports	Emergency Preparedness, Administration And Response	When no longer required	GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0256	Event Binders (Significant Events): Archive / Historical Records	Emergency Preparedness, Administration And Response	Permanent	Unit preference; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0257	Event Binders (Significant Events): Communication Logs, Event Logs, After Action Reports, Staff Debriefing Reports	Emergency Preparedness, Administration And Response	After Funding Agency Audit, if required - Minimum 10 years	Unit Preference to ensure FEMA reimbursement, if appropriate; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0258	Event Binders: Alert Roster (who was notified with their level of training)	Emergency Preparedness, Administration And Response	When no longer required	GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0259	Event Binders: Reports & Lessons Learned	Emergency Preparedness, Administration And Response	When no longer required	Confidential; GC §60201	Non-Vital	Confidential
219	Emergency Services & Security	RS-0260	Event Messages	Emergency Preparedness, Administration And Response	When no longer required	Preliminary Drafts / Transitory Records; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
219	Emergency Services & Security	RS-0261	FCC Licenses	Emergency Preparedness, Administration And Response	Permanent	Unit preference; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0262	Inventory of Emergency Equipment & Locations	Emergency Preparedness, Administration And Response	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0263	ISAC Notification, FBI Notifications, Various Homeland Security Documents (Information Sharing Advisory Center)	Emergency Preparedness, Administration And Response	When no longer required	Unit preference (may not impact District); GC §60200	Non-Vital	Public
219	Emergency Services & Security	RS-0264	Performance Reports (Forwarded to Regulatory Agencies)	Emergency Preparedness, Administration And Response	Ten years	Unit preference; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0265	Training - Emergency Response / SEMS / ICS / OES (Attendance Rosters, Outlines and Materials)	Emergency Preparedness, Administration And Response	After Funding Agency Audit, if required - Minimum 10 years	Unit Preference to ensure FEMA reimbursement, if appropriate; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0266	Emergency Response Plans and Emergency Operations Plan	Emergency Preparedness, Administration And Response	Superseded plus 5 years	Highly Confidential; GC §60201	Vital	Confidential
219	Emergency Services & Security	RS-0267	Detection Wand Reports	Operational And Facility Security	When no longer required	Vendor attaches to the invoice; GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0268	Employee / Contract Employee Badge Database	Operational And Facility Security (To the extent this includes personal information such as residential addresses, SSN's, etc., then this is confidential)	Indefinite	Data is interrelated; GC §60201	Non-Vital	Confidential
219	Emergency Services & Security	RS-0269	Facility Access Database	Operational And Facility Security	Indefinite	Data is interrelated; GC §60201	Non-Vital	Confidential
219	Emergency Services & Security	RS-0270	Vulnerability Assessment, Findings, Reports and Facility Security Assessments & Plans	Operational And Facility Security	Superseded plus 5 years	Unit Preference; GC §60201 HIGHLY CONFIDENTIAL	Non-Vital	Confidential
219	Emergency Services & Security	RS-0271	Permittee Security Compliance Standards	Operational And Facility Security	Superseded plus 10 years	Unit Preference (CPRU is maintaining their records for 10 years to provide investigation into who has been on District property in the event of a breach of security); GC §60201	Non-Vital	Public
219	Emergency Services & Security	RS-0272	Security Logs	Operational And Facility Security	When no longer required	Vendor attaches to the invoice; GC §60201	Non-Vital	Confidential
219	Emergency Services & Security	RS-0273	Video Recordings (digital and tape)	Operational And Facility Security	When no longer required	Files refresh periodically and a query suspends refreshing of data; Unit Preference; GC §60201	Non-Vital	Confidential
219	Emergency Services & Security	RS-0497	Security Documents, Correspondence, etc.	Operational And Facility Security	Permanent	GC §60200	Non-Vital	Confidential
294	Community Projects Review Unit	RS-0160	CPRU Project Files (Review and Comment)		When no longer required	Preliminary drafts or copies; GC §60201, GC §6252	Vital	Public
294	Community Projects Review Unit	RS-0197	New Development: Comments/ review of New Development Proposals		Permanent	GC §60200, 60201 et seq	Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
294	Community Projects Review Unit	RS-0206	Adopt-A-Creek - New & Renewal Permits		Permanent	Unit Preference (permits expire every 2 years); GC §60201	Vital	Public
294	Community Projects Review Unit	RS-0207	APN (Assessor Parcel Number) Maps with District Land Rights Overlays		When no longer required	Unit Preference; GC §60201	Vital	Public
294	Community Projects Review Unit	RS-0208	County Submittal Database		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
294	Community Projects Review Unit	RS-0209	County Submittal Packages		Permanent	Unit Preference; GC §60201	Non-Vital	Public
294	Community Projects Review Unit	RS-0210	CPRU Database		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Vital	Public
294	Community Projects Review Unit	RS-0211	CPRU Permit Application Files	(Includes Applications, Permits, Permit Status Reports, Letters, Final Construction Plans, As-Built Drawings, etc.)	Permanent	Unit Preference; GC §60201	Vital	Public
294	Community Projects Review Unit	RS-0212	Flood Zone Calls Database		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
294	Community Projects Review Unit	RS-0214	Permits to Hold an Event on District Property	(e.g. picnics, construction, filming, etc.)	Ten years	Unit Preference; GC §60201	Non-Vital	Public
294	Community Projects Review Unit	RS-0215	USAs (Underground Service Alerts) Tickets (electronic)		Five years	District Preference (The warrantee period for work done is 5 years); GC §60201	Vital	Public
294	Community Projects Review Unit	RS-0217	Violation Database (Oracle)		Indefinite	Data is interrelated; GC §60201	Vital	Public
294	Community Projects Review Unit	RS-0218	Violation File		Permanent	Unit Preference (some violators are never resolved); GC §60201	Vital	Public
294	Community Projects Review Unit	RS-0749	Joint Trails Agreements		Completion plus 5 years	Meets auditing standards; Statute of Limitations for written contracts are four years from the date of breach (errors & omissions does not apply); CCP §§337., 337.1(a), 337.15; GC §60201 et seq.	Vital	Public
295	Vegetation Field Operations Unit	RS-0222	Pest Control Recommendation	(Employee's certification of what was used and how)	Three years	Unit Preference; Registered fumigation / pesticide companies are required to retain logs and other records for 3 years; 8 CCR §3204(d)(1) et seq., 16 CCR 1970; GC §60201	Non-Vital	Public

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.
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
295	Vegetation Field Operations Unit	RS-0231	Water Quality Herbicide Reports		Three years	Unit Preference; Registered fumigation / pesticide companies are required to retain logs and other records for 3 years; 8 CCR §3204(d)(1) et seq., 16 CCR 1970; GC §60201 HOWEVER these reports are created and submitted electronically directly in SWRCB's system, and the copy of record is maintained by the SWRCB not the District.	Non-Vital	Public
298	Operations & Maintenance Engineering Support Unit	RS-0161	Regulatory Agency Permits for Watersheds (Issued before Stream Maintenance Program)		Permanent	Always Send Final Permits, Determinations, Reports, etc. to Environmental Management, who forwards to the Library; Unit Preference; Final EIRs are required to be kept a "reasonable period of time"; 14 Cal Code Regs §15095(c); GC §60201	Non-Vital	Public
298	Operations & Maintenance Engineering Support Unit	RS-0163	Final Reports or Studies / Geotechnical Reports		Permanent	Unit Preference; Sent to Environmental Management, who forwards to the Library; GC §60201 et seq.	Non-Vital	Public
335	Capital Program Planning & Analysis Unit	RS-0236	Indexes to Project and Contract files		Permanent	Unit Preference; GC §60201	Vital	Public
335	Capital Program Planning & Analysis Unit	RS-0237	Monthly / Quarterly Status Reports		15 years	Unit preference to support other records series and grant reimbursements; GC §60201	Non-Vital	Public
335	Capital Program Planning & Analysis Unit	RS-1003	Consultants Information Files (Potential Vendors)		When no longer required	Non-records, preliminary drafts; GC §60201 et seq.	Vital	Public
351	Construction Services Unit	RS-0234	Capital Projects - Contract Administration File	01.0 Preconstruction, 02.0 General Correspondence, 04.0 Request for Information, 05.0 Field Memos, 06.0 Request for Surveying, 07.0 Claims, 08.0 Preliminary Notices, 08.01 Stop Notices, 12.0 Schedules, 13.0 Daily Diaries & Weekly Summary Reports, 15.0 Quantities, 16.0 Progress Pay Estimates, 18.0 Certified Payrolls = (Confidential), 20.0 Project Status reports, 21.0 Insurance, 23.0 Weekly Coordination Meetings, 24.0 BMP Inspection reports [Vital until completed]	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15 GC §60200, Contractor has retention requirements in 48 CFR 4.703	Vital	May contain Public and Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
351	Construction Services Unit	RS-0235	Capital Projects - Contract Permanent File	03.0 Contract and Bonds, 09.0 Contract Change Order, 10.0 Potential Change, 11.0 Material Test Reports, 14.0 Submittals, 17.0 Agreements, 19.0 Photos, 22.0 Board Agenda Items, 25.0 Copies of project related records from Web Based Construction Document Management	Permanent	Send all final reports and studies to the Library; For disaster preparedness purposes; GC §60201 et seq.	Non-Vital	Public
366	CADD Services Unit	RS-0240	CADD Requests / Green Sheets		Two years	Unit Preference; GC §60201 et seq.	Non-Vital	Public
367	Land Surveying & Mapping Unit	RS-0242	Aerial Photographs - Land Contours, Maps, Elevations		Permanent	Unit preference (Contractor may keep originals); Engineering uses these as a base for various projects; GC §60200	Non-Vital	Public
367	Land Surveying & Mapping Unit	RS-0244	Field Project Folders	(Final Surveys and Maps, Calculations, Sketches, Project Control Points & Datums, Original Request, Annual Survey of Dams, Landslide and Fault Creep Surveys, Monitoring Surveys, etc.)	Permanent	Unit Preference; GC §60200	Non-Vital	Public
367	Land Surveying & Mapping Unit	RS-0245	Field Survey Books		Permanent	For disaster preparedness purposes; GC §60201 et seq.	Non-Vital	Public
367	Land Surveying & Mapping Unit	RS-0246	Request Folder (Project)	(Permanent File: Right of Way Drawings, Correspondence, Calculations, Etc.)	Permanent	For disaster preparedness purposes; GC §60201 et seq.	Vital	Public
367	Land Surveying & Mapping Unit	RS-0247	Right of Way Plats and Legal Descriptions	(Documents to develop final recorded documents (Work-ups))	Permanent	Unit Preference; Real Estate is OFR for final recorded document; GC §60200	Non-Vital	Public
367	Land Surveying & Mapping Unit	RS-0248	Right of Way Project Files	(Correspondence, Fish Mapping, Parcel Maps, Tract Maps, Deeds, Etc.)	Permanent	For disaster preparedness purposes; GC §60201 et seq.	Vital	Public
369	Real Estate Services Unit	RS-0746	Condemnation Proceedings / Eminent Domain	(Including Order of Condemnation, Relocations of Owners or Tenants)	Permanent	District preference; Order of Condemnation can serve as Title to Property; GC §60201	Non-Vital	Public
369	Real Estate Services Unit	RS-0747	General Files (filed by Facility) - Potential Real Estate Acquisitions that were never completed		Permanent	Unit Preference - Purge drafts and transitory records; has a guideline for purging files after imaging; GC §60201	Non-Vital	Public
369	Real Estate Services Unit	RS-0750	Leases: Non- Residential	Includes Leases, Real Property Licenses, and Right of Entry Permits	Expiration of lease plus 5 years	Meets auditing standards; Statute of Limitations for written contracts are four years from the date of breach (errors & omissions does not apply); CCP §§337., 337.1(a), 337.15; GC §60201 et seq.	Non-Vital	Public
369	Real Estate Services Unit	RS-0751	Property Appraisals	(whether or not the property is purchased by the District)	After funding agency audit, minimum 20 years	District preference for grant / claims reimbursement on long projects; GC §60201	Non-Vital	Confidential until acquisition is closed

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
369	Real Estate Services Unit	RS-0752	Real Estate Acquisition Files (filed by Facility)	(Includes Easements, Deed Outs, Rights of Way, Vacations / Abandonments, Title Reports, Preliminary Title Reports, Title Insurance, etc.)	Permanent	Unit Preference - Purge drafts and transitory records; has a guideline for purging files after imaging; GC §60201	Non-Vital	Public
369	Real Estate Services Unit	RS-0753	RESUDB (Real Estate Management Database)	(was formerly known as RESPECT)	Indefinite	Data is interrelated; GC §§60201, 12168.7	Non-Vital	Public
369	Real Estate Services Unit	RS-0754	Right of Entry Permits		Expiration plus 5 years	Meets auditing standards; Statute of Limitations for written contracts are four years from the date of breach (errors & omissions does not apply); CCP §§337., 337.1(a), 337.15; GC §60201 et seq.	Non-Vital	Public
369	Real Estate Services Unit	RS-0755	Temporary Encroachment Permits		Expiration plus 5 years	Meets auditing standards; Statute of Limitations for written contracts are four years from the date of breach (errors & omissions does not apply); CCP §§337., 337.1(a), 337.15; GC §60201 et seq.	Non-Vital	Public
410	Recycled and Purified Water Unit	RS-0308	Low use Irrigation Systems Project and Equipment Manuals- Recycled Water		Upon Disposal of Equipment or Project	Unit Preference; if a contractor provides maintenance, these are kept by the contractor; GC §60201	Non-Vital	Public
410	Recycled and Purified Water Unit	RS-0309	Recycled Water Database		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Non-Vital	Public
410	Recycled and Purified Water Unit	RS-0310	Recycled Water Pump Maintenance		Permanent	Unit preference; GC §60201	Non-Vital	Public
410	Recycled and Purified Water Unit	RS-0311	Recycled Water Quality Data & Laboratory Analysis for Customers		Indefinite	Unit Preference (Exceeds Bacteriological test results for drinking water; 40 CFR 141.33(a)	Non-Vital	Public
410	Recycled and Purified Water Unit	RS-0312	Research / Studies / Projects - Recycled Water		When no longer required - minimum 10 years	Unit Preference (may not be the lead agency); GC §60200	Non-Vital	Public
411	District-wide Asset Management Unit	RS-0385	Annual Maintenance Plan - Operations / Asset Management		When no longer required - minimum 10 years	Unit preference; GC §60201 et seq.	Non-Vital	May contain Confidential and Public
412	Water Supply & Special Projects Planning Unit	RS-0249	CEQA Database Tracker		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Non-Vital	Public
415	Water Supply Division Deputy's Office	RS-0281	SCRWWA (South County Regional Waste Water Authority): Agendas & Agenda Packets		Permanent	District Preference; GC §60201et seq.	Non-Vital	Public
415	Water Supply Division Deputy's Office	RS-0282	SCRWWA (South County Regional Waste Water Authority): Minutes		Permanent	GC §60201, et seq.	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
425	Imported Water Unit	RS-0283	Banking / Sale / Exchange of Water Legal Forms		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
425	Imported Water Unit	RS-0284	Bureau of Reclamation Crop and Water use Report		When no longer required - minimum 20 years	Unit Preference - Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public
425	Imported Water Unit	RS-0285	Contracts / Agreements - Long Term and Short Term Contracts Administrative Records		Completion plus 10 years	Unit Preference - Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public
425	Imported Water Unit	RS-0286	Correspondence with Various State, Federal and Local Committees		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
425	Imported Water Unit	RS-0287	Payment Binders (includes Legal Notices, Water Allocation Announcements, Delivery Notices, etc.)		Five years	Unit preference - copies for Bureau Audits; GC §60200	Non-Vital	Public
425	Imported Water Unit	RS-0288	Policy Bulletins from the State		Life of the Project/Contract	Unit preference - Non- records; GC §60201	Non-Vital	Public
425	Imported Water Unit	RS-0289	Subject and Project Files		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
425	Imported Water Unit	RS-0290	Transfer / Delivery Schedule (Spreadsheet / Backup for Payment)		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
435	Utility Maintenance Engineering Unit	RS-0293	Project Files With Grant Funding		After Funding Agency Audit, if required - Minimum 10 years	District Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133	Non-Vital	Public
435	Utility Maintenance Engineering Unit	RS-0294	Project Files Without Grant Funding		When no longer required - minimum 2 years	Unit preference; GC §60201 et seq.	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
435	Utility Maintenance Engineering Unit	RS-0491	Mechanical Engineering Projects and Files		Life of Facility plus 10 years	Unit Preference; GC §60201, 12168.7	Non-Vital	Public
435	Utility Maintenance Engineering Unit	RS-1023	Corrosion Control Database and Spreadsheets		Indefinite	Unit preference; Data is interrelated; database qualifies as a "trusted system"; GC 60201, 12168.7	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0296	Agriculture Irrigation Scheduling		Four years	District preference; GC §60201 et seq.	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0297	Conservation Plans & Feasibility Studies	(e.g., Landscape Area Measurement Study - LAMS, etc.)	When no longer required - minimum 10 years	Send 1 copy of all published reports to the Library; Unit Preference; GC §60200	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0298	Consulting / House Calls / Site Visits	[vital until paid](Confidential as to customer's water use records and W-9s).	When no longer required - minimum 10 years	District preference for grant / cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
445	Water Supply Planning and Conservation Unit	RS-0299	Mobile Water Analysis (Irrigation & Testing Pumps, Evaluation of Irrigation System)		8 years	Unit Preference (Exceeds Bacteriological test results for drinking water; 40 CFR 141.33(a)	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0300	Rebates & Retrofits and Audits & Inspections (Applications, Proof of Purchase, etc.) - Toilets, Washing Machines, etc.	(Confidential as to customer's water use records and W-9s).	20 years	May be retained by contract vendor; District preference for grant / cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
445	Water Supply Planning and Conservation Unit	RS-0301	Unmetered Pump Tests		Ten years	Unit Preference (Exceeds Bacteriological test results for drinking water; 40 CFR 141.33(a)	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0302	Water Conservation Database		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §60201, 12168.7	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0303	Water Conservation Outreach Material		When no longer required - minimum 10 years	Unit Preference; GC §60200	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0304	Water Conservation Programs		When no longer required - minimum 10 years	Unit Preference; GC §60200	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0305	Water Conservation Surveys and Summaries		When no longer required - minimum 10 years	Unit Preference; GC §60200	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
445	Water Supply Planning and Conservation Unit	RS-0306	Water use Data		When no longer required - minimum 10 years	Unit Preference; GC §60200	Non-Vital	Public
445	Water Supply Planning and Conservation Unit	RS-0307	Weather Station Data		Permanent	Unit Preference; GC §60200	Non-Vital	Public
455	Raw Water Operations Unit	RS-0313	Annual Reports: Hydrologic Systems and Water Measurement Program		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0314	Applied Rating Curves		When no longer required	Preliminary documents; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0315	Asset Register		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0316	Correspondence with State Water Resources Control Board / Department of Water Resources		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0317	Daily Water Management Records (Inventories)		Permanent	District preference; 5 years is required in State and Federal law for any complaints; Code of Federal Regulations requires 3 years for discharges; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64453(a)	Non-Vital	Public
455	Raw Water Operations Unit	RS-0318	Drought Reports		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0319	Evaporation Measurements (Spreadsheet / Database)		Indefinite	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0320	Facility Folders: Includes O&M Manuals (Operations & Maintenance Manuals), Parts List, Operational History, etc		Permanent	Unit preference; GC §60201	Vital	Public
455	Raw Water Operations Unit	RS-0321	Hydrologic Database		Indefinite	Unit preference (data is interrelated); GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0322	Imported Water Program Plans		When no longer required	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0323	Operational Plans		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0324	Precipitation Measurement (Rain Gage Files)		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0325	Recharge & Raw Water Field Maintenance Database - NOT Entered into Maximo (e.g. Stations). Also see Districtwide Schedule for Work Orders / Maximo		Indefinite	Unit preference; GC §60201	Non-Vital	May contain Confidential and Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
455	Raw Water Operations Unit	RS-0326	Recharge Instructions (Spreadsheet / Database)		Indefinite	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0327	Regulatory Compliance Reports (Fish & Game)		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0328	Reservoir Files (Inflow Data, Rating Curves, Station Notes, Tending Notes, etc.)		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0331	Source of Supply: Reservoir Ops Procedures, Rules, & Manuals		Indefinite	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0332	Source of Supply: Reservoir Reports: Inflow, Yield, Capacity, etc. (Spreadsheet / Database)		Indefinite	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0333	Source of Supply: Various Studies & Models		When no longer required	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0334	Source Water Changes / Direction / Instructions for Adjustments to Transmission or Distribution of Raw Water (Database)		Indefinite	Unit preference (data is interrelated); GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0335	Station Assessments / Inspection Reports (to produce asset register)		When superseded	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0336	Station Folders / Hydrologic Station Files: Data, Station Analysis, Rating Curves, As Builts, Installation, Property use - Equipment / Gauge Agreements (Gauges on Private Property), etc.		Permanent	Unit Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15, 343 GC §60201	Vital	Public
455	Raw Water Operations Unit	RS-0337	Streamflow Measurements		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0338	Surface Water Accounting / District Water Balance (Spreadsheet / Database)		Indefinite	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0339	Water Operations: Various Studies & Models		When no longer required	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0341	Water Rights Files (Includes Water Rights Licenses and Permits)		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0342	Water Rights Utilization Report		Permanent	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-0343	WISKI Database (Water Information / Hydrologic Database)		Indefinite	Unit preference (data is interrelated); GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-1005	Source of Supply: Facility Lock outs, Tag outs, etc.		Ten years	Unit preference; GC §60201	Non-Vital	Public
455	Raw Water Operations Unit	RS-1022	Reservoir Measurements / Levels		Permanent	Unit preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
465	Groundwater Management Unit	RS-0295	ZIM (Fuel & Solvents Contamination Database)		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0344	Areas of Interest Report & Map (Specifics of Particular Intent)		Send to Library	Unit preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0345	CPRU Studies, Analysis, Reports & Recommendations		When no longer required - minimum 5 years	CPRU receives only summaries; GC §60200	Non-Vital	Public
465	Groundwater Management Unit	RS-0346	Depth to Water - DTW - Measurements (Wells), Sounding, Compiled reports		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0347	Depth to Water (Wells) Database (Excel Spreadsheet)		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0348	Depth to Water (Wells) Field Route Books with Photo Library		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0349	Depth to Water (Wells) Route Management Records		When no longer required	Transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
465	Groundwater Management Unit	RS-0350	District-Owned Well Fields (e.g., Mission Ranch Monitoring Wells)		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0351	Field Notes / Notebooks / Geologic Investigations		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0352	Geologic Information Requests		When no longer required	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0353	Geologic Maps Created by SCVWD		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0354	Geologic Project Files, Studies, Reports & Drawings		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0356	Groundwater Elevation Maps		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0357	Groundwater Management Database		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0358	Groundwater Maps (Miscellaneous)		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0359	Historic Saltwater Intrusion Data & Reports (produced prior to Groundwater Management Database)		Permanent	Unit Preference; Reports produced by the Groundwater Management Database are considered copies (The database is the original record); GC §60200	Non-Vital	Public
465	Groundwater Management Unit	RS-0360	Master Plan Data Analysis		When superseded	Preliminary drafts (Send all Master Plans to the Library); GC §60200, 60201	Vital	Public
465	Groundwater Management Unit	RS-0361	Monitoring Data from Other Units		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0362	Monitoring Well Data		Permanent	Unit Preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
465	Groundwater Management Unit	RS-0363	Monitoring Well Locations		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0365	Outreach & Education Programs	(Irrigation and Nutrient Management Assistance Program, etc.)	After Funding Agency Audit, if required, Minimum Completion plus 10 years	Performed through Procurement / Purchase Order (consistent with District-wide standards); GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0366	Project Files: Includes Well Measurements, Well Exemptions (Beneficial use Fee Finding Reports), Geologic Cross Sections, etc.		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0367	Projects: Analysis, Studies, Reports (Nitrates, Perchlorates, Saltwater intrusion, MTBE, Arsenic, Subsidence, Well Head Protection, etc.)		Permanent	Unit preference; GC §60201 et seq.	Non-Vital	Public
465	Groundwater Management Unit	RS-0368	Satellite Library of Geologic Maps		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0369	Simulation Models		When no longer required	Unit preference; GC §60201 et seq.	Non-Vital	Public
465	Groundwater Management Unit	RS-0370	Solvent Cases: Original District Correspondence		Permanent	Department preference; GC §60201 et seq.,	Non-Vital	Public
465	Groundwater Management Unit	RS-0371	TGRR program (Treated Groundwater Reuse Recharge and ReInjection Program (Refund and Pollution for Cleanup)		After Funding Agency Audit, if required, Minimum Completion plus 10 years	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0372	Well Contamination Records		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0373	Well Permit Logs		Permanent	Shared by both units - has an agreement with DWR; originals are sent to the State; GC §60201	Vital	May Contain Confidential And Public
465	Groundwater Management Unit	RS-0374	Wells: Laboratory Certified Analytical Reports (containing results of water quality laboratory testing)		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0375	Wells: Water Quality Sample Chain of Custody Reports		Permanent	Unit Preference; GC §60201	Non-Vital	Public
465	Groundwater Management Unit	RS-0376	Wells: Well Owner Contact Information	(Confidential as to the personal information and well usage data)	Permanent	Unit Preference; GC §60201	Non-Vital	May Contain Confidential And Public
465	Groundwater Management Unit	RS-0377	WRIS - Water Revenue Information System	(Permits, Production, Geology / Well Attributes, etc.) (Confidential as to the personal information)	Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
475	Wells & Water Measurement Unit	RS-0451	Backflow Certification of Testing		Three years	Meets California Unit of Health requirements; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0452	Confined Space Entries / Hot Work Permits for welding	(Permitted entries into confined spaces such as sewers and storm drains in order to comply with regulations)	Three years	Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2)	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0453	Meter File: Calibration Tests, Meter Tests, Installation	(includes TAR - Test as Received, and FAT - Final Accuracy Tests)	Life of the Meter	Unit Preference Replacements are on 7 year intervals; Preventative Maintenance on 2 year intervals; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0454	Meter Read Binders / Treated Water Readings	(Billing Data for Retailers)	Five years	Unit Preference (meets municipal government auditing standards); GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0455	Meter Read Photo Library	(Digital pictures on CD by Well Number)	When no longer required	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0456	Meter Read Route Books		When no longer required	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0457	Meter Reading - MVRs - Mobile Hand-Held Meter Read Reports		1 year	Unit Preference just in case there is something wrong with the data; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0458	Meter Tests / Database	(Access)	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0459	Monthly Report of Outstanding Projects		When no longer required	Transitory records that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0461	Surface Water Site File		Permanent	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0462	Treated Water Site File		Permanent	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0463	Well File: All Records		Destruction of Well plus 5 years	Unit Preference; meets auditing standards for municipal governments; GC §60201	Non-Vital	Confidential
475	Wells & Water Measurement Unit	RS-0711	APN Maps with historical wells		When no longer required	Now in GIS; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0712	Applications to Divert Surface Water		Permanent	Data is interrelated; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0713	Correspondence / Memorandums Relating to Wells		Permanent	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0714	Dispatch Calendar		Permanent	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0715	Imported Water Landowner Verification / USBR Reports		Permanent	Unit Preference; meets auditing standards for municipal governments; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
475	Wells & Water Measurement Unit	RS-0716	List of Delinquent Accounts	(Printout from WRIS)	When no longer required	Preliminary Drafts / Copies (WRIS is the original record); GC §60200	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0717	Mail out Reports / Statements: Annual & Semi-Annual		Five years	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0718	Site Hazard Information Forms	(old program to identify hazards on property)	When no longer required	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0720	Standby Permits	[vital while active]	Permanent	Unit Preference; GC §60201	Vital	Public
475	Wells & Water Measurement Unit	RS-0736	Well / LUSTOP (Underground Storage Tank) files		When no longer required	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0738	Well Permit Files: Abandoned, Artesian, Bedrock, Construction, Destruction, Exploratory Boring, Groundwater Multiples, Incomplete, Monitoring, Registration, Surface Water	(Includes All Documents, Including DWR Form 188 and Photos, Dry Wells, SWIDs - Stormwater Infiltration Devices, Monitoring Well Construction Projects & Permits, etc.)	Permanent	Unit preference (Filed by permit #); GC §60201	Vital	Confidential
475	Wells & Water Measurement Unit	RS-0740	Well Permit Violation Database		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0741	Well Permit Violations / Notices of Violation / Corrective Actions		Permanent	Unit Preference; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-0742	Well Research / Well Search / Well Data Requests		When no longer required - minimum 1 year	Unit Preference; GC §60201	Non-Vital	Confidential
475	Wells & Water Measurement Unit	RS-0743	Well Tracking Spreadsheets & Databases	(various)	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
475	Wells & Water Measurement Unit	RS-1002	Raw Water Site Files		Permanent	Unit Preference; GC §60201	Non-Vital	Public
515	Treated Water Operations & Maintenance Division Deputy's Office	RS-0379	Capital Projects Tracking / Project Management Spreadsheet		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
515	Treated Water Operations & Maintenance Division Deputy's Office	RS-0381	Department of Health Services (DHS) records of Interest to the Board		Permanent	Unit Preference; GC §60200	Non-Vital	Public
515	Treated Water Operations & Maintenance Division Deputy's Office	RS-0382	Event Management File	[vital until resolution]	Last action plus 5 years	Unit Preference; Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b)	Vital	Public
515	Treated Water Operations & Maintenance Division Deputy's Office	RS-0384	Water Retailers Committees (WRC): Agendas & Agenda packets		Ten years	District Preference (There are no minutes produced); GC §60201 et seq.	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
515	Treated Water Operations & Maintenance Division Deputy's Office	RS-0388	Shut Down Schedules (Pipelines, etc.) - Operations / Asset Management		When no longer required - minimum 10 years	Unit preference; GC §60201 et seq.	Non-Vital	May contain Confidential and Public
515	Treated Water Operations & Maintenance Division Deputy's Office	RS-0389	Water Utilities Facilities and Equipment History Files - Legacy Files - Pre computer / Pre-CARA	OPERATIONS / ASSET MANAGEMENT: (includes various reports, equipment vendor summaries, manufacturer's information, etc.)	Permanent	Unit preference; GC §60201 et seq.	Non-Vital	May contain Confidential and Public
515	Treated Water Operations & Maintenance Division Deputy's Office	RS-0390	Work Package - Planned Work		When no longer required - minimum 10 years	Unit preference; GC §60201 et seq.	Non-Vital	Public
525	Water Quality Unit	RS-0380	Department of Health Services (DHS) permit to Operate	[Vital until expired]	Permanent	GC §60201	Vital	Public
525	Water Quality Unit	RS-0391	Comments & Reviews of Proposed Rule Changes / Proposed Changes in Regulations		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
525	Water Quality Unit	RS-0392	Comments & Reviews of Source Water Quality projects, Documents, Permits and Policies		When no longer required - minimum 2 years	Unit preference (preliminary documents); GC §60200, 60201	Non-Vital	Public
525	Water Quality Unit	RS-0393	Compliance Action Plans (in response to Regulation changes)		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
525	Water Quality Unit	RS-0394	Lab Tests Conducted by Water Quality Contractors - Compliance Reports / Certificate of Analysis		Ten years	Consistent with requirements for Chemical reports & sampling for drinking water (no lead or copper); Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); GC §60201	Non-Vital	Public
525	Water Quality Unit	RS-0395	Models / Testing		When no longer required	Unit preference; GC §60200	Non-Vital	Public
525	Water Quality Unit	RS-0396	Operational Plans	[Vital until superseded]	Superseded plus 5 years	District Preference to match drinking DHS Auditing standards; GC §60201	Vital	Public
525	Water Quality Unit	RS-0397	Operational Plans: List of Changes & and Description of Change		Permanent	Unit preference; GC §60201	Non-Vital	Public
525	Water Quality Unit	RS-0398	Photos of Maintenance at Water Treatment Plans	(Filter Inspections, etc.)	Ten years	Unit preference; GC §60201	Non-Vital	Public

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.

Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).

Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
525	Water Quality Unit	RS-0399	Reports / Plans to Ensure Water Quality Compliance		When no longer required - minimum 10 years	Consistent with requirements for Chemical reports & sampling for drinking water (no lead or copper); Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); GC §60201	Non-Vital	Public
525	Water Quality Unit	RS-0400	Requests from Regulatory Agencies		When no longer required - minimum 10 years	Unit preference; GC §60200	Non-Vital	Public
525	Water Quality Unit	RS-0401	Retailer Correspondence		When no longer required minimum 2 years	Unit Preference; GC §60201	Non-Vital	Public
525	Water Quality Unit	RS-0402	Sanitary Surveys		Ten years	Unit preference (These are done every 5 years); GC §60200	Non-Vital	Public
525	Water Quality Unit	RS-0403	Source Water Quality Policies / Guidelines / Reports / Studies / Investigations / Recommendations / Plans		When no longer required - minimum 10 years	Unit preference (usually routed via e-mail; may be sent to the Library); GC §60200	Non-Vital	Public
525	Water Quality Unit	RS-0404	Surface Water Treatment Oracle Database	(SWTR)	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
525	Water Quality Unit	RS-0405	Water Quality Policies		Superseded plus 10 years	Unit preference; GC §60200	Non-Vital	Public
525	Water Quality Unit	RS-0407	Water Quality Reports / Studies / Investigations / Recommendations / Plans		When no longer required - minimum 10 years	Unit Preference; GC §60201	Non-Vital	Public
535	Laboratory Services Unit	RS-0410	Client Reports - Certificate of Analysis (C of A) with Chains of Custody	(Water testing instructions)	Five years	22 CCR 64453(b) et seq.; 40 CFR 141.33(a)	Non-Vital	Public
535	Laboratory Services Unit	RS-0411	Client Reports - Raw Water Ad Hoc Certificate of Analysis (C of A) Reports		When no longer required	Unit preference; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public
535	Laboratory Services Unit	RS-0412	Compliance Reports		Five years	Unit preference; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
535	Laboratory Services Unit	RS-0413	Corrective Action Reports		Five years	Unit preference; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public
535	Laboratory Services Unit	RS-0414	LIMS - Laboratory Information Management System		Indefinite, minimum 12 years	Unit preference (12 years for lead & copper and EPA GLPS); Data is interrelated; system "EPA / Good Laboratory Practice Standards for studies relating to health effects, environmental effects, and chemical fate tests require 10 years for Lab records, raw data, master schedule sheets, protocols, quality assurance inspections, training, experience, job descriptions, maintenance and calibration records and reports; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 40 CFR 792.195; GC §§60201, 12168.7	Non-Vital	Public
535	Laboratory Services Unit	RS-0415	Performance Testing (PT) Studies / Performance Testing Samples	(DHS requires analysis of unknown samples to verify accuracy of instruments)	When no longer required- minimum 10 years	Unit preference; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public
535	Laboratory Services Unit	RS-0416	Raw Data from Instruments		When no longer required	Unit preference; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public
535	Laboratory Services Unit	RS-0417	Reports: Compliance	(Monthly, Quarterly, Annual)	Five years	Unit preference; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public

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.

Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).

Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
535	Laboratory Services Unit	RS-0418	Sample Preparation Records	(Chemicals added to the sample to conduct required tests)	When no longer required	Unit preference; Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public
535	Laboratory Services Unit	RS-0419	Water Quality Studies & Investigations	(performed for Water Quality)	When no longer required	Unit preference; these are samples of the result of various design ideas / alternatives (preliminary documents); GC §60201	Non-Vital	Public
535	Laboratory Services Unit	RS-0420	Water Reports and Sampling -- Chemical		When no longer required (stored in LIMS)	Unit preference (10 years is required, stored in LIMS); Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a)	Non-Vital	Public
535	Laboratory Services Unit	RS-0421	Water Reports and Sampling -- Lead & Copper		When no longer required (stored in LIMS)	Unit preference (12 years is required, stored in LIMS); Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.91	Non-Vital	Public
535	Laboratory Services Unit	RS-0422	Worksheets (Intermediate Link Between Chain of Custody)	(Copies of data stored in LIMS)	When no longer required (stored in LIMS)	Unit preference (all information is entered in LIMS); Lab Reports may be destroyed if data is transferred to a "tabular summary" meeting legal requirements; 40 CFR 141.33(a); 40 CFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR 64692	Non-Vital	Public
545	Utility Electrical & Control Systems Unit	RS-0423	Daily Water Production Data for PWERPA	(Water Power Scheduling)	Permanent	Unit preference; GC §60201 et seq.	Vital	Public
545	Utility Electrical & Control Systems Unit	RS-0424	Electric Power / Energy Master Plan	(Spreadsheet)	Ten years	Unit Preference (revised every year - 5 or 12 year forecasts); GC §60201	Non-Vital	Public
545	Utility Electrical & Control Systems Unit	RS-0425	Electric Power Budget Forecasts		When no longer required	Unit Preference; GC §60200	Non-Vital	Public
545	Utility Electrical & Control Systems Unit	RS-0426	Electric Power Usage Data Tracking Spreadsheet	[vital until paid]	Indefinite	Unit Preference; GC §60201	Vital	Public
545	Utility Electrical & Control Systems Unit	RS-0428	SCADA Data Pulls	(once a month)	Indefinite	Unit Preference (used for trending, water balances, etc. - Water Measurement uses for billing purposes); GC §60201	Non-Vital	Confidential
545	Utility Electrical & Control Systems Unit	RS-0429	SCADA Backup Tapes - Weekly		2 months	Unit Preference to match IT's backup retention; Considered a copy and can be destroyed when no longer required; recycle tapes; GC §60201 et seq.	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
545	Utility Electrical & Control Systems Unit	RS-0430	SCADA Backup Tapes - Monthly		1 year	Unit Preference to match IT's backup retention; Considered a copy and can be destroyed when no longer required; recycle tapes; GC §60201 et seq.	Non-Vital	Confidential
545	Utility Electrical & Control Systems Unit	RS-0431	SCADA Log Books		Ten years	Unit preference (each system has a 10-year life expectancy); GC §60201	Non-Vital	Confidential
555	Treatment Plant Maintenance Unit	RS-0216	USAs (Underground Service Alerts) responses (paper - maps, e-mails, etc.)		1 year	District Preference; GC §60201	Non-Vital	Public
555	Treatment Plant Maintenance Unit	RS-0432	Equipment Specifications and Manuals		When superseded	Unit Preference; GC §60201	Non-Vital	Public
555	Treatment Plant Maintenance Unit	RS-0434	Treatment Plant Maintenance Unit Project Binders	(Includes Maintenance & Operations / Asset Specifications)	Permanent	Compiled by Capital Projects / Construction; GC §60201	Non-Vital	Public
555	Treatment Plant Maintenance Unit	RS-1012	USAs Locate Binders (Underground Service Alerts)		Five years	District Preference (The warrantee period for work done is 5 years); GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0464	Blend Log / Recharge Flow Meter Reads	(Taken off SCADA - Electronic Flow Releases)	Two years	Unit preference; GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0465	Environmental Review Requests		Five years	Unit Preference; Final EIRs are required to be kept a "reasonable period of time"; 14 Cal Code Regs §15095(c); GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0466	Intertie / Coordinating Operations (Minutes)		Ten years	Unit preference; GC §60201 et seq.	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0468	Monthly Report (Raw Water Deliveries, Distribution)		20 years	Unit preference; GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0469	Operational Changes Logs for Transmission and Distribution of Raw Water		Five years	Unit preference; GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0470	Raw Water Deliveries		Two years	Unit preference; GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0471	Recharge Midnight Reads		Two years	Unit preference (goes into monthly report); GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0472	SFPUC (San Francisco Public Utilities Company): Agendas & Agenda Packets		Ten years	District Preference (non-records); GC §60201 et seq.	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0473	SFPUC (San Francisco Public Utilities Company): Minutes		Ten years	District Preference (non-records); GC §60201 et seq.	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0474	Source Change Document (if required)		20 years	Unit preference; GC §60201	Non-Vital	Public
585	Raw Water Field Operations & Pipeline Maintenance Unit	RS-0475	Switching Order Clearances & Lock Out Tag Requests	(Maintenance fills these out)	20 years	Unit preference; GC §60201	Non-Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0476	ADAS: Automated Data Acquisition System		Indefinite	Unit preference; GC §60201 Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0477	Dam Inspections		Life of Facility plus 10 years	Unit Preference; GC §60201	Non-Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0478	Dam Surveillance Reports / Annual Surveillance Reports		Life of Facility plus 10 years	Unit Preference; All originals are sent to the Library, and maintained there; GC §60201	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0479	DSOD Dam Safety Inspections	(Department of Safety of Dams)	Life of Facility plus 10 years	Unit Preference; GC §60201	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0480	Engineering Change Notice (ECN) regarding Dams and facilities		Life of Facility plus 10 years	Unit Preference - Becomes an Engineering Work Request (EWR); Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0482	Events, Analysis & Recommendation Files		Five years	Unit Preference; GC §60201	Non-Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0483	FERC Inspections		Life of Facility plus 10 years	Unit Preference; GC §60201	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0484	Geoscience Reports, Memos, Maps		Life of Facility plus 10 years	Unit Preference; GC §60201	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0485	Informal Advice		When no longer required	Unit Preference; GC §60201	Non-Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0486	Instrumentation Readings: Compression Joints, Landslides, Fault Crossings, etc.		When no longer required - minimum 10 years	Unit Preference; GC §60201	Non-Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0487	Instrumentation Readings: Dams		Life of Facility plus 10 years	Unit Preference; GC §60201	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0489	Issue / Problem Analysis & Recommendations		When no longer required - minimum 10 years	District Preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
595	Dam Safety Program & Project Delivery Unit	RS-0490	Landslide and Fault Creep Monitoring	(Includes Annual Reports)	Life of Facility plus 10 years	Unit Preference; GC §60201	Non-Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0493	Piezometer Readings: Dams	(Water Level, pressure of Dams, Penitencia Creep, etc.)	Life of Facility plus 10 years	Unit Preference (Collected by Ops, Planning & Analysis & DSPU); GC §60201	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0496	Regulatory Agency Permits and Correspondence	(filed by facility)	Life of Facility plus 10 years	Unit Preference; GC §60201	Vital	Public
595	Dam Safety Program & Project Delivery Unit	RS-0498	Weir Readings		Life of Facility plus 10 years	Unit Preference; GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0090	Activity Calendar		When no longer required	Transitory documents that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0091	Board Member Request Tracking / Tickler Systems	(BMRs, IBMRs)	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0092	Board Member Requests	(BMRs, IBMRs)	Indefinite	Unit Preference; Clerk of the Board scans these into EDMS; GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0093	Board Member Scheduling and Calendar Updates		When no longer required	Transitory documents that do not have a material impact on the conduct of the public's business. GC §60201, GC §6252	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0097	Correspondence - Board Members (includes responses)		When no longer required - minimum 4 years	Unit preference to match terms of office; GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0499	Advisory Boards / Commissions / Committees: Applications to Serve, Appointed		Duration of Office plus 4 years	Statute of Limitations: Public official misconduct is discovery of offense + 4 years, Statewide guidelines propose Appointment + 5 years; GC §60201; PC §§801.5, 803c	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0500	Advisory Boards / Commissions / Committees: Applications to Serve, Not Appointed		Two years	Unit preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
604	Office of the Clerk of the Board	RS-0501	Agenda Packets, including all agenda items and exhibits	(Board of Directors, Advisory Bodies, Commissions, Committees, PFFC, and precursor organizations to the formation of the District) Includes (among other things) items such as: Governance Policies of the Board of Directors, Monitoring Reports / Executive Limitations , Annual Ends Reports, District Position Statements, Audited Financial Statements / Comprehensive Annual Financial Report (CAFR) Groundwater Charge Zone Exemption Cases, Annual Water Quality Report for Treated and Reclaimed Water , Budgets - Finals, Budget Adjustments Water Rate Resolution, Agenda Staff Report, WUER - Water Utility Enterprise Report, Benefit Assessment Report	Permanent	Unit preference; GC §60201	Vital	Public
604	Office of the Clerk of the Board	RS-0503	Biographies and Official Photograph of Board of Directors		Permanent	Unit Preference (historical records); GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0504	Board of Directors Expense Reimbursements, Travel and Conference Arrangements	Board expense reimbursements fall under General Accounting, Unit 673, Accounts Payable RS-0625, Invoice / Purchase Order / Receiver / Bills of Lading....., retention of 10 years. COB wants to keep their copies with backup for 1 year, which is the RS-0504 series. [Confidential as to personal and account identity data.]	1 year	Unit preference (copies); GC §60200 (Originals are held by General Accounting as part of series RS-0625 for 10 years)	Non-Vital	May Contain Confidential And Public
604	Office of the Clerk of the Board	RS-0505	Bond Monitoring Oversight Committees	Agenda Packets, Staff Reports and Minutes (Safe, Clean Water Oversight Committee, etc.)	Permanent	Unit preference; GC §60200	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0507	Commissions & Committees or Advisory Boards / Advisory Committees to the Board of Directors	(Agenda Packets and Minutes)	Permanent	GC §60201(d)(3)	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0508	Conflict of Interest Code	(Resolution)	Permanent	GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0509	District Formation, Mergers, Boundary Changes, Organization or Reorganizations Approved by the Board	(in the Agenda Packet and Minutes)	Permanent	Part of the Agenda Packet, which is maintained permanently; Required for formal changes to the district approved by the Board only; GC §60201(d)(1)	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
604	Office of the Clerk of the Board	RS-0518	Elections - HISTORICAL File (Sample ballot, all Resolutions (calling the election, canvass, etc.), election summary)	ELECTIONS - CONSOLIDATED	Permanent	Retained for Historical Value, GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0519	Elections - Petitions (Initiative, Recall or Referendum)	ELECTIONS - CONSOLIDATED	8 months	Not accessible to the public; The 8 month retention applies after election results, or final examination if no election. Applies unless a legal/FPPC proceeding. EC §§17200, 17400	Non-Vital	May contain Confidential and Public
604	Office of the Clerk of the Board	RS-0522	Elections - Assessment District Ballots - Prop. 218 proceedings	ELECTIONS - STAND-ALONE (use in conjunction with Consolidated elections ... records series are not repeated)	Six months	Consistent with retention for Election Ballots; Statewide guidelines propose permanent; EC §§ 17302, 17306; CA Constitution Art. XIII	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0534	Elections - Tally Sheets	ELECTIONS - STAND-ALONE (use in conjunction with Consolidated elections ... records series are not repeated)	Six months	EC §17304	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0540	Index to Actions / Legislative History / Historical Index		Permanent	Unit preference; GC §60201	Vital	Public
604	Office of the Clerk of the Board	RS-0541	Minutes	(Advisory Bodies, Board of Directors, Commissions, Committees, and PFFC)	Permanent	GC §60201(d)(3)	Vital	Public
604	Office of the Clerk of the Board	RS-0542	Non-Agenda Packets	(includes, among other things: Clean Safe Creeks Reports, CEO Bulletins)	Minimum of 4 years	Unit preference to match the retention for BMRs & iBMRs (CEO is OFR); GC §60201	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0544	Ordinances		Permanent	GC §60201 et seq.	Vital	Public
604	Office of the Clerk of the Board	RS-0545	Public Notices / Proof of Posting	(Advisory Bodies, Board of Directors, Commissions, Committees, and PFFC)	Two years	Unit preference; Brown Act challenges must be filed within 30 or 90 days of action; GC §§60201, 54960.1(c)(1)	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0546	Resolutions		Permanent	GC §60201 et seq.	Vital	Public
604	Office of the Clerk of the Board	RS-0547	Subpoenas Log	[Vital until final resolution]	Two years	Copies; GC §60200	Vital	Public
604	Office of the Clerk of the Board	RS-0548	Audio Recordings -- District Board / Committee Meetings		Permanent	Unit Preference; legally required for 30 days (or adoption of the minutes); GC §54953.5(b)	Non-Vital	Public
604	Office of the Clerk of the Board	RS-0549	Digital Video Recordings -- District Board Meetings		Permanent	GC §60200	Non-Vital	Public
604	Office of the Clerk of the Board	RS-1024	Board Governance Policies		Superseded plus 5 years	Unit preference; GC §60201 et seq.	Non-Vital	Public
604	Office of the Clerk of the Board	RS-1027	District Strategic Plan and Strategic Implementation Plan		When no longer required - Minimum 5 years	Unit preference; GC §60201 et seq.	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
604	Office of the Clerk of the Board	RS-1029	Groundwater Production and Surface Water Charge Protest Tabulation and Verification Documents	(Also includes the written protests.)	Permanent	District preference; GC §60200. GC §53755d requires the agency to maintain all written protests for a minimum of two years following the date of the hearing to consider written protests.	Non-Vital	Public
604	Office of the Clerk of the Board	RS-1030	Lobbyist Report forms and documents		7 years	District preference; GC §60200	Non-Vital	Public
604	Office of the Clerk of the Board	RS-1031	Analog videotape backups of District Board meetings	Analog tapes are only stored temporarily as backups, until digital versions are confirmed, and then tapes may be re written.	30 Days, or until digital recording is confirmed, whichever is longer.	GC §54953.5(b)	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0274	Annual Business Plans		Five years	Unit preference (These are sent to the Library, who keeps in their collection permanently); GC §6020	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0275	Cost / Benefit Reports		Ten years	Unit preference to be consistent with accounts payable and grant records; GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0276	Historical Financial Trending Data		Indefinite	Unit preference (data is interrelated); GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0279	SFPUC / SCVWD Intertie Activity Logs, Ledgers, Records of Joint Costs, Minutes of Annual Meetings, Agendas, Correspondence)		Completion plus 10 years	Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0602	Ad hoc / Specialized Reports		Ten years	Unit preference; GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0603	Affidavits & Monitoring Data from Sources / Units		Ten years	Unit preference; meets municipal government auditing standards; GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0604	Appropriation Requests, Budget Modifications		Ten years	Unit preference; meets municipal government auditing standards; GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0605	Budget Amendments / Supplemental Budget Information		Ten years	Unit preference; meets municipal government auditing standards; GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0606	Budget Request Submittals & Details from Units		Ten years	Unit preference; meets municipal government auditing standards; GC §60201	Non-Vital	Public
606	Budget & Financial Analyses Unit	RS-0608	Preliminary Budget	[Current fiscal year is vital]	When no longer required	Preliminary drafts; GC §60201 et seq.	Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
606	Budget & Financial Analyses Unit	RS-0609	Audit Management Letters	(not CAFR)	Permanent	Unit Preference for historical purposes; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0610	Balance Sheets	General Accounting /Administration	Two years	Unit preference (may be referenced in the annual audit); Draft / Preliminary documents used to produce final year-end general ledger (financial database is the original); GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0611	Chart of Accounts	General Accounting /Administration: Print out if a software change is made in order to retain historical account numbers	Permanent	Unit Preference to research Year-end General Ledgers, which are retained permanently; GC §60201	Vital	Public
673	General Accounting Unit	RS-0612	Depreciation Schedules	General Accounting /Administration	Permanent	Unit Preference for GASB 34; Published articles show 7 years after disposal; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0613	Enterprise Fund Reports	General Accounting /Administration	Two years	Unit preference (may be referenced in the annual audit); Draft / Preliminary documents used to produce final year-end general ledger (financial database is the original) GC §6020	Non-Vital	Public
673	General Accounting Unit	RS-0614	Financial System database (PeopleSoft)	General Accounting /Administration	Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0615	Fixed Asset Disposition Notifications, Transfers, Disposals	General Accounting /Administration	Ten years	Unit Preference; Consistent with Accounts Receivable; Statute of limitations is 3 years; statewide guidelines propose 2 - 4 years; published articles show 3 - 6 years; GC §60201, CCP §337	Non-Vital	Public
673	General Accounting Unit	RS-0616	Fixed Assets - Inventory, Schedule of Infrastructure and Buildings	General Accounting /Administration	Permanent	Unit Preference to comply with GASB 34; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0617	General Ledger: Final year-end	General Accounting /Administration	Permanent	Unit Preference; Published articles show 3 - 7 years; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0618	Year-End Audit Work Papers (Including contractor's working papers)	General Accounting /Administration	Ten years	Unit Preference; 7 years is recommended by Public Company Accounting Oversight Board (PCAOB) for companies regulated by the SEC (traded over the stock exchange), GC §6020	Non-Vital	Public
673	General Accounting Unit	RS-0619	Internal Audits / Spot Audits	General Accounting /Administration	Ten years	Unit Preference; 7 years is recommended by Public Company Accounting Oversight Board (PCAOB) for companies regulated by the SEC (traded over the stock exchange), GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
673	General Accounting Unit	RS-0620	Journal Entries, Logs, and Batch Reports	General Accounting /Administration	Ten years	Unit Preference; May relate to compensation or expense reimbursement; Published articles show 6-7 years; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0621	Reconciliations	General Accounting /Administration	Ten years	Unit Preference; 7 years is recommended by Public Company Accounting Oversight Board (PCAOB) for companies regulated by the SEC (traded over the stock exchange), GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0622	State Controller's Report	General Accounting /Administration	Ten years	Unit Preference; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0623	1099's, W-9s Issued	General Accounting /Accounts Payable [Confidential as to personal and account identity data.]	Ten years	District preference for grant / cost reimbursement purposes; May contain employee reimbursement or compensation records; IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; Published articles show permanent; IRS Reg §31.6001-1(e)(2), R&T §19530, GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0624	Non-Payroll Checks: Canceled (Cashed) or Voided; Fiscal Year 2016 and prior	General Accounting /Accounts Payable. Does not include Payroll Checks, which are RS-0650. [Confidential as to personal and account identity data.]	40 years	District preference for grant / cost reimbursement purposes; May contain independent contractor's compensation; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201(d)(12), CCP § 337	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0625	Invoices / Purchase Orders / Receivers / Bills of Lading / Copies of Checks - Includes Petty Cash; Fiscal Year 2016 and prior	General Accounting /Accounts Payable: (Excludes Contract Attorney's Invoices, which are retained by District Counsel under RS-0112 and RS-0113)[Confidential as to personal and account identity data.][Vital until paid]	40 years	District preference for grant / cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201(d)(12)	Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0626	Reports: Accounts Payable	General Accounting / Administration [Confidential as to personal and account identity data.][vital until paid]	Ten years	District preference for grant / cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201(d)(12)	Vital	May Contain Confidential And Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
673	General Accounting Unit	RS-0628	COBRA	General Accounting / Billing : (via a 3rd party administrator)[Confidential as to personal and account identity data.] [Vital during service]	Termination of Service plus 7 years	Retained to cover auditing standards; General rule under ERISA (Employee Retirement Income Security Act) is 7 years; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §60201	Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0629	Customer File: Invoices, backup, emails, etc.	General Accounting / Billing [Confidential as to personal and account identity data.][Vital until paid]	Seven years	Unit Preference; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201	Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0632	Retiree File	General Accounting / Billing: Rates, etc.[Confidential as to personal and account identity data.]	Seven years	Unit Preference; 7 years is required for employee expense reimbursement; IRS: 4 years after tax is due or paid; Ca. FTB: 3 years; IRS Reg §31.6001- 1(e)(2), R&T §19530, GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0633	Travel Reimbursement Files	General Accounting / Billing [Confidential as to personal and account identity data.]	Seven years	7 years is required for employee expense reimbursement; IRS: 4 years after tax is due or paid; Ca. FTB: years; IRS Reg §31.6001- 1(e)(2), R&T §19530, GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0634	Bank Deposits	General Accounting / Cash Receipts [Confidential as to personal and account identity data.]	Seven years	Unit Preference; Published articles show 3 - 7 years; GC §60201, 26 CFR 1.6001-1	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0635	Bank Statements and Reconciliations	General Accounting / Cash Receipts [Confidential as to personal and account identity data.]	Seven years	Unit Preference; Published articles show 3 - 7 years; GC §60201, 26 CFR 1.6001-1	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0636	Cash Receipt Reports, Cash Received Reports, Cashiers Summary & Backup	General Accounting / Cash Receipts	Seven years	Unit Preference; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0637	Cash Receipts and Receipt Books	General Accounting / Cash Receipts	Seven years	Unit Preference; Published articles show 3 - 7 years; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0638	Courier, Carrier, Security Manifests, Armored Car Manifests	General Accounting / Cash Receipts	Seven years	Unit Preference for auditing purposes; GC §60201	Non-Vital	May contain Confidential and Public
673	General Accounting Unit	RS-0640	Invoices / WRIS / Receivables	General Accounting / Cash Receipts	Payment or Completion of Contract plus 7 years	Unit Preference for auditing purposes; meets municipal government auditing standards; GC §60201	Non-Vital	Public
673	General Accounting Unit	RS-0642	Vacated Leases / Real Estate Rent	General Accounting / Cash Receipts	Seven years	Unit Preference; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201, 26 CFR 1.6001-1	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
673	General Accounting Unit	RS-0643	DE-6 & 941 Forms - Quarterly & Annual Payroll Tax Returns	General Accounting / Payroll	Seven years	Unit Preference; IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; Published articles show permanent; ; IRS Reg §31.6001-1(e)(2), 26 CFR §1.6001-1, R&T §19530, GC §60201	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0644	Deferred Compensation Forms	General Accounting / Payroll	Seven years	Meets municipal government auditing standards; GC §60201(d)(12), CCP § 337	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0645	Employee Benefits - Insurance Roster & Reconciliation	General Accounting / Payroll	Seven years	GC §60201(d)(12), CCP § 337	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0646	Employee File	General Accounting / Payroll: (taxes and deduction forms, direct deposits, garnishments, etc.)	Separation plus 7 years	Retained to match other auditing periods; GC §60201	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0647	Employee Timesheets & Timesheet Adjustments	General Accounting / Payroll: (prior to automated system - 3/15/2004)	Permanent	All timesheets are microfilmed prior to the beginning of PeopleSoft (3/15/2004); Unit preference to facilitate grant and claims reimbursements; GC §60201 et seq.	Non-Vital	Public
673	General Accounting Unit	RS-0648	Pay Register / Payroll Reports / W-2 Payroll File	General Accounting / Payroll(Detail Year-end)	Seven years	All employees qualify for PERS, PERS maintains all records; 29 CFR 516.5 - 516.6, GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0649	Pay Registers and Payroll Reports	General Accounting / Payroll: (other than Detail Year-End)	Seven years	Reports are not cumulative; GC §60201 (12)	Non-Vital	Public
673	General Accounting Unit	RS-0650	Payroll Checks - Canceled (Cashed) or Voided / Report of Payroll Checks	General Accounting / Payroll	Ten years	Unit Preference to be consistent with other checks; May contain reimbursement Information; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0651	PERS Buyback Forms	General Accounting / Payroll	Seven years	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, GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0652	PERS Reports	General Accounting / Payroll	Seven years	PERS is OFR; retained to meet auditing standards; GC §60201 et seq.	Non-Vital	May Contain Confidential And Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
673	General Accounting Unit	RS-0653	W-2's	General Accounting / Payroll	Seven years	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, GC §60201(d)(12)	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0657	Sympro to PeopleSoft Interface File	General Accounting / Wire Transfers, COPs, Bonds, Investments	Seven years	Unit Preference for auditing purposes; Draft / Preliminary documents used to produce final year-end general ledger (databases are the original); GC §60201	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-0660	Wire Transfers (Bank Detail)	General Accounting / Wire Transfers, COPs, Bonds, Investments	Seven years	Unit Preference; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201, 26 CFR 1.6001-1	Non-Vital	May Contain Confidential And Public
673	General Accounting Unit	RS-1032	Non Payroll Checks: Canceled (Cashed) or Voided; Fiscal Year 2017 and after	General Accounting /Accounts Payable. (Does not include Payroll Checks, which are RS-0650)	10 years	May contain independent contractor's compensation; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201(d)(12), CCP § 337. Files created on or after 1/1/2016 should not be necessary for grants reimbursements, as the grants process will alter to capture these records earlier in the process.	Vital	May contain Confidential and Public
673	General Accounting Unit	RS-1033	Invoices / Purchase Orders / Receivers / Bills of Lading / Copies of Checks - Includes Petty Cash; Fiscal Year 2017 and after	General Accounting /Accounts Payable. (Excludes Contract Attorney's Invoices, which are retained by District Counsel under RS-0112 and RS-0113)	10 years	May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; Published articles show 3 - 7 years; GC §60201(d)(12). Files created on or after 1/1/2016 should not be necessary for grants reimbursements, as the grants process will alter to capture these records earlier in the process.	Vital	May contain Confidential and Public
683	Revenue & Grants Management Unit	RS-0627	Claims to DWR (Department of Water Resources)	Claims and Grants Reimbursement	Ten years	Unit Preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
683	Revenue & Grants Management Unit	RS-0666	Audits Administration: Single / Desk	Claims and Grants Reimbursement (by funding agency -- audit schedules, e-mails, etc.)	Completion of Audits plus 5 years	District 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; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(b); 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0667	Debt Proceeds Binders	Claims and Grants Reimbursement [Vital until maturity.]	Life of Bond Issue plus 10 years	Unit Preference; Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336(a)(1) & (2), 337.5(2); GC §43900 et seq. GC §60201 et seq.	Vital	Public
683	Revenue & Grants Management Unit	RS-0668	Grant/Claim Binder	Claims and Grants Reimbursement. Workpapers and Binders for Cost Sharing, Claims Reimbursement, Grant Audits (Copies of documents compiled to facilitate audits and claim reimbursements)	After Funding Agency Audit, if required, Minimum Completion plus 10 years	District Preference (The older files may contain original checks or invoices; they must be at least 7 years old to comply with State Law); Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 21 CFR 1403 36 & 1403 42(b) 24 CFR 5.8 42, 91.105(h), 92.505, & 570.502(b); 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
683	Revenue & Grants Management Unit	RS-0669	Transaction Listing	Claims and Grants Reimbursement (to submit a claim)	After Funding Agency Audit, if required, Minimum Completion plus 10 years	District Preference (The older files may contain original checks or invoices; they must be at least 7 years old to comply with State Law); Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(b); 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0719	Small Claims Court Cases	Revenue Management [Vital until resolution]	When no longer required - minimum 5 years	Liens are good for 10 years from recording date, and may be extended by re-recording lien; WC 36729; 37212(b); GC §60201	Vital	May Contain Confidential And Public
683	Revenue & Grants Management Unit	RS-0721	Surface Water Accounts (Diversions) Permits	Revenue Management [Vital while active]	Permanent	Unit Preference; GC §60201	Vital	May Contain Confidential And Public
683	Revenue & Grants Management Unit	RS-0722	Surface Water Accounts (TGRR) Statements	Revenue Management	Five years	Unit Preference (meets auditing standards); GC §60200	Non-Vital	May Contain Confidential And Public
683	Revenue & Grants Management Unit	RS-0723	Treated Water Billing Files	Revenue Management	Five years	Unit Preference (meets auditing standards); GC §60200	Non-Vital	Confidential
683	Revenue & Grants Management Unit	RS-0724	Water Production Statements / Invoices / Groundwater Monthly Reports	Revenue Management	Five years	Unit Preference (meets auditing standards); GC §60200	Non-Vital	Confidential
683	Revenue & Grants Management Unit	RS-0725	Water Production Wells	Revenue Management (Note: Water Production Statements are only retained 5 years) [Vital while active]	Permanent	Unit preference (Filed by Well Registration #); Liens are good for 10 years from recording date, and may be extended by re-recording lien; WC 36729; 37212(b); GC §60201	Vital	Confidential
683	Revenue & Grants Management Unit	RS-0726	Water Retailer Tracking Spreadsheets	Revenue Management (input into WRIS)	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0727	Watershed Revenue Program: Annual Tax Roll Generation Letters	Revenue Management (to the County)	Permanent	Unit Preference; the second letter could be construed to be an agreement or acknowledgement of revenue for their services; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0728	Watershed Revenue Program: Audit File / Corrections to File	Revenue Management	When no longer required - minimum 10 years	Unit Preference (some specialized assessment changes are retained permanently); GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
683	Revenue & Grants Management Unit	RS-0729	Watershed Revenue Program: Request for Supplemental Billing File	Revenue Management	Seven years	Unit Preference (meets municipal government auditing standards); GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0730	Watershed Revenue Program: SCVWD Final Tax Roll	Revenue Management	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0731	Watershed Revenue Program: Senior Citizens Exemption Applications	Revenue Management	Life of Measure B plus four years	Unit Preference; GC §60201	Non-Vital	Confidential
683	Revenue & Grants Management Unit	RS-0732	Watershed Revenue Program: Senior Citizens Exemption Verification Forms	Revenue Management	Four years	Unit Preference; GC §60201	Non-Vital	Confidential
683	Revenue & Grants Management Unit	RS-0733	Watershed Revenue Program: Senior Citizens Statistical Reports	Revenue Management	When no longer required	Unit Preference; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0734	Watershed Revenue Program: Tax Roll Generation Review & Correction Files	Revenue Management	Two years	Unit Preference; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0735	Watershed Revenue Program: WRASSE / Oracle Database	Revenue Management	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0737	Well Owner / Account Files	Revenue Management (Includes Water Meter Data, Invoices / Refunds, Court Papers, Correspondence) (Water Production Statements are pulled out after 5 years)	Permanent	Unit preference (Filed by Well Registration #); Liens are good for 10 years from recording date, and may be extended by re-recording lien; WC 36729; 37212(b); GC §60201	Vital	Confidential
683	Revenue & Grants Management Unit	RS-0744	WRAS - Watershed Revenue Appraisal System / Benefit Assessment System	Revenue Management	Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-0745	Zone Exclusions	Revenue Management (Wells Outside the Charge Zone)	Permanent	Unit Preference; GC §60200	Non-Vital	Public
683	Revenue & Grants Management Unit	RS-1034	Capital Bonds Reimbursement Documents	Claims and Grants Reimbursement. Invoices, receipts, bills of lading, checks, payroll, etc.	<i>For Bonds</i> - Life of Bond plus 3 years <i>For Grants</i> - grant reimbursement period	District preference for bond/ grant / cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; GC §60201(d)(12)	Vital	May Contain Confidential And Public
725	Software Services Unit	RS-0682	Contracts / Agreements - Software Packages (Consultants to Customize Software):	Includes RFPs/RFQs, Statement of Qualifications (SOQ), Successful Proposal, Bid Rating and Evaluations, Contract Initiation Request, Performance Assessments/Reports)	After Funding Agency Audit, if required, Minimum Completion plus 10 years	Also see Grants. Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
725	Software Services Unit	RS-0684	Software Documentation & user Training		When superseded	Unit Preference; GC §60201	Non-Vital	Public
725	Software Services Unit	RS-0694	GIS Source Data / Ortho's		Permanent	Unit preference (Historical Data); GC §60201 GIS data showing the locations of critical infrastructure (such as pipelines, pipeline appurtenances, and wells) are confidential.	Non-Vital	May Contain Confidential And Public
725	Software Services Unit	RS-0701	Criteria for Enterprise-Wide IS Applications / Initiatives		Minimum of superseded plus 2 years	Consistent with District-wide standards; GC §60201	Non-Vital	Public
725	Software Services Unit	RS-0704	GIS Data use Agreements		Permanent	Unit preference in the event data is misused; Statute of Limitations for written contracts are four years from the date of breach; (errors and omissions does not apply) CCP §§337., 337.1(a), 337.15, 343 GC §60201	Non-Vital	Public
725	Software Services Unit	RS-0710	Requests for GIS Map Outputs / Creation		When no longer required	Unit preference; GC §60201	Non-Vital	Public
735	Infrastructure Services Unit	RS-0687	Backup Tape (Offload of data) - FMS	(Legacy Financial System) - Last Backup Tape Prior to Migration to PeopleSoft	Ten years	Unit preference for grant auditing / regulatory compliance purposes (some of the data was not migrated to PeopleSoft); GC §60200 et seq.	Vital	May Contain Confidential And Public
735	Infrastructure Services Unit	RS-0688	Backup Disks - E-MAIL DAILY INCREMENTAL SNAPSHOTS (OS, O, W, X, P drives, development system, GIS, Exchange, PeopleSoft, Web sites, HP 3000, Maximo, Remote Servers	Excludes .pst files	3 months	Considered a copy and can be destroyed when no longer required; retention based on administrative value; recycle tapes; GC §60200 et seq.	Vital	May Contain Confidential And Public
735	Infrastructure Services Unit	RS-0689	Backup Tapes - DAILY INCREMENTAL, LEVEL 1-9	Excludes .pst files	2 months	Considered a copy and can be destroyed when no longer required; retention based on administrative value; recycle tapes; GC §60200 et seq.	Vital	May Contain Confidential And Public
735	Infrastructure Services Unit	RS-0690	Backup Tapes - MONTHLY FULL, 6 DEEP (Exchange, GIS, Web sites)	Excludes .pst files	6 months	Considered a copy and can be destroyed when no longer required; retention based on administrative value; recycle tapes; GC §60200 et seq.	Vital	May Contain Confidential And Public
735	Infrastructure Services Unit	RS-0691	Backup Tapes - MONTHLY FULL, 60 DEEP (Peoplesoft, HP3000, WRIS, Maximo, Mission-Critical databases); MONTHLY FULL, 12 DEEP (Remote Sites, O:, W:, X:, and P: drives, Non-Mission Critical databases (e.g. CASS).	Excludes .pst files	1 year	Considered a copy and can be destroyed when no longer required; retention based on administrative value; recycle tapes; GC §60200 et seq.	Vital	May Contain Confidential And Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
735	Infrastructure Services Unit	RS-0693	FCC Licenses		Current plus prior license	Unit Preference (valid for 5 and 10 years); GC §60201	Vital	Public
735	Infrastructure Services Unit	RS-0697	Network Maps		When superseded	Unit preference; GC §60201	Non-Vital	Confidential
735	Infrastructure Services Unit	RS-0698	Software Tracking (SMS)		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
735	Infrastructure Services Unit	RS-0699	Work Orders for Information Technology Services		Two years	Unit preference; GC §60201	Non-Vital	May contain Confidential and Public
735	Infrastructure Services Unit	RS-1001	Software Licenses (Large Accounts)		Minimum of Superseded plus 4 years	District preference to cover the statute of limitations for written contracts (4 years); Documents of historical significance should be retained longer; CCP §337 et seq., GC §60201	Non-Vital	Public
765	Records & Library Services Unit	RS-0064	Records Management documentation	Includes: Records Transfer Requests, Records Destruction Affidavits, Certificate of Destruction, Records Retention Schedules, File Index Master / Coding Master Book	Permanent	GC §§60200, 60201	Non-Vital	Public
765	Records & Library Services Unit	RS-0563	Administrative Policies (Also includes Administrative Bulletins, and related authorization forms.)		When no longer required, minimum superseded or rescinded plus 5 years	Documents of historical significance should be retained longer; GC §60201	Non-Vital	Public
765	Records & Library Services Unit	RS-0585	Commercial Off-site Vendor's Records Management Database		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Vital	Public
765	Records & Library Services Unit	RS-0590	Log of Service Requests / Work Counts		When no longer required - minimum 2 years	Unit Preference; GC §60201	Non-Vital	Public
765	Records & Library Services Unit	RS-0594	Public Records Requests	Tracking files. Includes both public records requests and requests for documents from Grand Juries.	When no longer required - minimum 4 years	Unit Preference; Copies of records requested are attached to the request; GC §60201; Personally identifiable data of members of the public may be confidential.	Non-Vital	May Contain Confidential And Public
765	Records & Library Services Unit	RS-0601	Subpoena for Records tracking files and log of litigation holds		When No Longer Required Minimum 4 years (after close of litigation)	Unit Preference (District Counsel maintains original with Litigation); GC §§60200, 60201	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
765	Records & Library Services Unit	RS-0662	Library Collection: District Records	(Main Library and Satellite Libraries) Includes, among other things: Annual reports, Engineering reports, Environmental Impact Reports/Statements, Master Plans (Water System, Water Availability, Urban Water Master Plan, Non-Discrimination Plan, etc.) Aquafacts, etc.. The originating unit is the office of record for the content, but Library is responsible for maintaining a usable copy. (Does <i>not</i> include reference works acquired from other entities, see RS-0000 Non-Records)	Permanent	Unit Preference; GC §60201	Non-Vital	Public
765	Records & Library Services Unit	RS-0664	Log of District Requests / Circulation Records		When no longer required	Preliminary documents not retained in the ordinary course of business (does not have a material impact on the conduct of the public's business); GC §60201, GC §6252	Non-Vital	Public
775	Business and Customer Support Services Unit	RS-0567	Organization Charts	For fixed format charts only. (Live dynamic organizational database is RS-0032. Records relating to District formation, mergers, boundary changes, organization or reorganizations subject to Board approval are retained under RS-0509.)	Permanent	GC 60200	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-0568	Postage Permits		Expiration plus 2 years	Unit Preference GC §60200	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-0769	Company Store Employee Purchases	("Drip Shopping" via Web Browser)	Five years	Meets municipal government auditing standards; GC §60201	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-0770	Daily File: All Transactions - Materials Issued and Returned	(Invoices, Receivers, Packing Slips, Purchase Orders, Purchase Requests)	Two years	Retained until after the annual audit; GC §60201	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-0772	Daily Files - Inventory Cycle Counts, Supply / Material Requests		Two years	Retained until after the annual audit; GC §60201	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-0774	Invoice Tracking		Two years	Retained until after the annual audit; GC §60201	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-0775	Physical Inventories (all)		When no longer required	Source Documents entered into databases (was Maximo, now PeopleSoft); GC §60201	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-0776	Receiving Log	(Binders / Spreadsheet)	Two years	Retained until after the annual audit; GC §60201	Non-Vital	Public
775	Business Support & Warehouse Unit	RS-1020	Forms (masters)		When superseded plus 1 year	Unit Preference GC §60200	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
775	Business Support & Warehouse Unit	RS-1028	E-Log Book (electronic visitor's log)		Indefinite, not to exceed 5 years	Unit Preference GC §60200	Non-Vital	May Contain Confidential And Public
775	Business Support & Warehouse Unit	RS-1035	Business Support Services project files		Five years	Unit Preference GC §60200	Non-Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0783	Purchase Orders / Purchase Requests / Standing Orders / Maintenance Service Requests / Lease Rentals - ALL GOODS AND SERVICES ; Bids - Contracts Not Awarded (When managed and retained by Procurement)	(Includes Workplan, RFPs/RFQs, Statement of Qualifications, Specifications, Successful Bids/Proposals/Scope of Work, Amendments, Change Orders, Insurance Certificates, Notice of Completions, if applicable) [Vital before completion]	Completion plus 10 years	Infrastructure is not acquired through Purchase Orders (only in-kind replacements, no new construction). Unit preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15, 343 G §60201 Contractor has retention requirements in 48 CFR 4.703. District preference for grant reimbursement purposes; Special Districts are required to keep public works unaccepted bids for 2 years; GC §60201(d)(11)	Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0785	Surplused Equipment		Five years	Unit Preference; Meets municipal government auditing standards; GC §60201	Non-Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0786	Award Appeals		Final disposition plus 3 years	Unit Preference to be consistent with other Equal Opportunity record retention requirements; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2); GC §§12946, 60201	Non-Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0787	CAS Database (Contract Administration System)		Indefinite	Archived Periodically; Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	Non-Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0789	Contract Dispute and Resolution	[Vital before completion]	Completion plus 10 years	Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15, 343 GC §60201, Contractor has retention requirements in 48 CFR 4.703	Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0790	Negotiation Guidebooks	(Appraisals, Rates, etc.)	When no longer required	District Preference (no specific retention requirement, some are non-records); GC §60201	Non-Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0791	Qualified Vendor List	(Companies that want to receive RFPs / RFQs)	When no longer required	Transitory Record used to mail out requests; Stored in BizTrack; GC §60201 et seq.	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
820	Purchasing & Consultant Contracts Services Unit	RS-0793	Statement of Qualifications (SOQs)	(Request for Qualifications & Responses, Brochures, etc. from Potential Vendors)	Two years	Unit preference; GC §60201 et seq.	Non-Vital	Public
820	Purchasing & Consultant Contracts Services Unit	RS-0794	Vendor Evaluations of SCVWD		Five years	District preference (no specific retention requirement); GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0756	Accident Tracking Spreadsheet		Indefinite	Unit preference; Vehicles are replaced at least every 12 years; GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0757	CHP Time Reporting for Commercial Drivers (Title 13)		Two years	District preference; CHP audits every 2 years; GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0759	Driver Proficiency, Road Test Score Sheets		Separation plus 2 years	District preference; CHP audits every 2 years; GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0760	Employees and Keys Authorized to Dispense Fuel		Removal of authorization plus 1 year	Unit preference; GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0761	Fuel Management System / Fuel Tracking System (TRAC)		Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0762	Home-to-Work Authorizations and Tracking Forms	(Take home a District Vehicle)	Five years	District preference; IRS: 4 years after tax is due or paid; Ca. FTB: 3 years; IRS Reg §31.6001- 1(e)(2), R&T §19530, GC §6020	Non-Vital	Public
885	Equipment Management Unit	RS-0763	Inspection Reports - Fuel Islands		Seven years	Monitoring and Maintenance records for USTs are required on site for 3 years, 6 ½ years for cathodic protection maintenance, 5 years for calibration & maintenance of release detection systems; 23 CCR 2712(b); GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0764	Permits: Car Wash, etc.		Expiration plus 2 years	Unit preference; GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0765	Safety Checks / Pre-Starts / Condition Report for "Pool Vehicles" / Commercial vehicle Prestarts and Forklift Inspections		14 months	Unit preference; If a motor carrier, required for 3 and 14 months; 49 CFR 396.11(c)(2); 49 CFR 396.21(b)(1); GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0766	Veedr Root - Tracks Fuel Inventories, Leaks, Failures (Database)		Minimum 7 years	Data is interrelated; Monitoring and Maintenance records are required on site for 3 years, 6 ½ years for cathodic protection maintenance, 5 years for calibration & maintenance of release detection systems; 23 CCR 2712(b); GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
885	Equipment Management Unit	RS-0767	Veedr Root - Tracks Fuel Inventories, leaks, Failures	(Rolled Tapes that Records Events)	Seven years	Monitoring and Maintenance records are required on site for 3 years, 6 ½ years for cathodic protection maintenance, 5 years for calibration & maintenance of release detection systems; 23 CCR 2712(b); GC §60201	Non-Vital	Public
885	Equipment Management Unit	RS-0768	Vehicle and Equipment Folders	Includes Maintenance History, Inspections, Work Orders, etc.	Disposal of equipment or vehicle plus 4 years	District preference to cover the statute of limitations for written contracts (4 years); If a motor carrier, required for 18 months after vehicle is sold; CHP requires life of vehicle; OSHA requires 1 year; 8 CCR § 3203(b)(1); 49 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et Seq., GC §6020	Non-Vital	Public
885	Equipment Management Unit	RS-0771	Fuel Inventory Measurements		Two years	Copies maintained in warehouse for auditing purposes; GC §60200	Non-Vital	Public
887	Facilities Management Unit	RS-0777	Equipment History Files (Service, Operations Manuals, Certificates, Permits, Support Information		Life of the asset plus 2 years	Unit Preference; GC §60201	Non-Vital	Public
887	Facilities Management Unit	RS-0779	Manuals & Warrantees	(e.g., HVAC, Roof, etc.)	Life of the Equipment	Unit Preference (If you receive more than 1 copy, send to the Library); GC §60201	Non-Vital	Public
887	Facilities Management Unit	RS-0780	Move Spreadsheet (Employees)		When no longer required	GC §60201	Non-Vital	Public
887	Facilities Management Unit	RS-0781	Space Plans / Floor plans / Space Allocation Forms	[Data pertaining to critical infrastructure may be confidential]	When no longer required	GC §60201	Non-Vital	May contain Confidential and Public
887	Facilities Management Unit	RS-0782	use of District Facilities	(External / After Hours - all others are in Maximo	Two years	GC §60201	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0107	Diversity Outreach Program / Event Files / Employee Diversity Event Files		Three years	Unit Preference (consistent with other equal opportunity records retention requirements); GC §60201	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0109	Events / Program Evaluation Matrix		When no longer required	Unit Preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0114	Employee matters being held by District Counsel	(Employee matters where records have spent some portion of their lifespan in District Counsel's office, but are not themselves District counsel workproducts. If possible, it is preferable to return them to the custody of the originating unit, under their original series after close of matter.)	When no longer required - minimum 3 years	Unit Preference; EEOC/ FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287 et seq., 8 CCR §11040.7(c), GC §§12946, 60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0577	Organizational Development Programs	(Technical Career Path, Apprenticeship Program, etc.)	When no longer required - minimum 3 years	Unit preference, consistent with other equal opportunity records retention requirements. GC §60201, GC §6252	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0578	Succession Plan		When superseded	Unit Preference; GC §60201	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0580	Training Library (Curriculum: Course Syllabus, handouts, etc)		When no longer required - minimum 3 years	District Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 - 3 years; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 6020	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0607	Deferred Compensation Policy / Plan	[vital before expiration]	Plan Termination plus 10 years	Unit preference to be consistent with District-wide standards; EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 60201	Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0795	Classification & Compensation Projects, Reports, Studies & Surveys (Bargaining Unit and Unclassified)		Seven years	Records that specify the amount of compensation are required for 7 years; GC §60201 (12)	Non-Vital	May contain Confidential and Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0796	Class History Files (includes abolished positions). Includes Job Safety Analysis (Noise, Toxic Substance Exposures, etc.)		Permanent	District preference; GC §60201	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0797	Notifications Binders		Three years	Unit Preference; GC §60201	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0817	Accommodation Case Files	(ADA or Religious)	Permanent	Unit Preference (consistent with other equal opportunity records retention requirements); GC §60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0820	CEIR (California Employer Information Report)		Three years	Unit preference to be consistent with other equal opportunity laws (only required for 2 years); 2 CCR 7287.0; GC §60201	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0821	Consultant / Vendor Discrimination Interventions		Permanent	Unit Preference to be consistent with other Equal Opportunity record retention requirements; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2); GC §§12946, 60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0823	EEO-4 Reports and records required to generate EEO-4 report (Self-Identification Form, etc.)		Three years	29 CFR 1602.30	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0826	Formal Discrimination Complaint File	Department of Fair Employment & Housing (DFEH or EEOC) Claims that are resolved administratively	Permanent	All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after "fully and finally disposed"; 2 CCR 7287.0; GC §§12946, 60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0827	Informal Advice / Consultation Files		Permanent	Unit Preference (consistent with other equal opportunity records retention requirements); GC §60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0828	Informal Discrimination Complaint File		Permanent	Unit Preference (consistent with other equal opportunity records retention requirements); GC §60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0842	Research / Resource Files Comparative Analysis / Reviews		When No Longer Required (minimum 2 years)	Unit preference; GC §60201	Non-Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0843	Resumes: Potential Candidate Resumes / Applications for Employment or Resumes: Unsolicited (no open position), candidates not hired	(Confidential as to personal data)	1 year	Unit Preference; No positions open; therefore not deemed part of District recruitment practices; considered a transitory record not materially impacting the conduct of the public's business; GC §60201	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0845	Temporary Employees / Student Interns Contract Application, Emergency Information, Resume, PAR, Transmittals, DMV Pull Authorization, etc.	[Vital until separation]	Separation plus 3 years	Temporary Employees and Student Interns are handled by Recruitment (if they become regular employees, the file is transferred to Benefits); Unit Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 - 3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	Vital	May contain Confidential and Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0847	Vacancy Folder / Recruitment File: Solicited: Advertising Plan, Brochure, advertisement, unsuccessful applications, selection materials, interview notes, results, printouts of Intranet Postings and PeopleSoft reports, Reference Checks, etc.		Expiration plus 5 years	Unit Preference; EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287 et seq., 8 CCR §11040.7(c), GC §§12946, 60201	Non-Vital	May contain Confidential and Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0848	Benefit Plans / Evidence of Coverage	(COBRA Administration, Dental, Disability, Employee Assistance, Health, Life Insurance, Personal Accident, Unemployment, Vision, etc) Includes Policies [Vital until expiration]	Expiration plus 5 years	Unit preference to meet municipal government auditing standards; EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date; State Law requires 2 years after action; Health Care Service Providers are 3 years; Managed Health Care Plan & CONFIDENTIAL Solicitors are 5 years; 29 CFR 1627.3(b)(2); 29 USC 1027; 11 CCR 560; 28 CCR 1300.85.1; GC §§12946, 60201	Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0849	Benefit Plans / Evidence of Coverage Retirement (PERS)		Permanent	Unit preference; EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 60201	Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0850	Bilingual Surveys		When no longer required	Confidential; GC §60201	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0851	COBRA (via a 3rd Party Administrator) Qualifying Event Notices, Correspondence, etc.		Election + 3 Years	CONFIDENTIAL Unit Preference; General Accounting maintains COBRA billings, etc.); EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287 et seq., 8 CCR §11040.7(c), GC §§12946, 60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0852	Dependant Verification Forms		Separation plus 3 years	CONFIDENTIAL Unit Preference; EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287 et seq., 8 CCR §11040.7(c), GC §§12946, 60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0855	Domestic Partners		Permanent	CONFIDENTIAL Unit preference; GC §60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0857	Ethnicity Self-ID	(Binder by Employee's Last Name)	Separation plus 3 years	CONFIDENTIAL Unit Preference; EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287 et seq., 8 CCR §11040.7(c), GC §§12946, 60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0858	I-9's		Separation plus 3 years	CONFIDENTIAL Unit Preference; EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq. & 1627.3(a)(5) and (6), 2 CCR 7287 et seq., 8 CCR §11040.7(c), GC §§12946, 60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0859	Life Insurance Enrollment Forms		Separation	CONFIDENTIAL Unit Preference; GC §60201	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0860	Official Personnel File #1, Including Intermittent Employees	(Includes Employee History, Benefits, Disciplinary Actions, DMV Certificates for Professional Drivers, Financial, Performance Evaluations, Tax Records, etc.) [Vital until Separation.]	Permanent	CONFIDENTIAL Unit preference; Temporary Employees and Student Interns are handled by Recruitment (if they become regular employees, the file is transferred to Benefits); Unit Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0861	Official Personnel File #2, Including Intermittent Employees - CONFIDENTIAL MEDICAL	(Pre-employment medical evaluation results, DMV Medical Examination Report, Emergency Notification Information, etc.) [Vital until Separation.]	Permanent	CONFIDENTIAL Unit preference; Temporary Employees and Student Interns are handled by Recruitment; Medical files maintained separately; Claims can be made for 30 years for toxic substance exposure; D.O.T. Requires 5 years for positive tests, refusals, annual summaries, etc, 1 year for negative tests; EEOC / FLSA / ADEA (Age) requires 3 years physical examinations; State Law requires 2 years; 8 CCR §3204(d)(1) et seq., 29 CFR 1627.3(b)(v), 49 CFR 382.401 et seq.; 49 CFR 653.71 et seq.; GC §§12946, 60201	Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0862	PERS Annual Reports		Ten years	Unit preference; GC §60201	Vital	Public
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0863	Proof of Automobile Insurance	(Benefits Administration no longer collects copies of these; series pertains solely to records obtained prior to termination of business process.)	When superseded or upon separation	CONFIDENTIAL Unit preference; GC §60201	Non-Vital	Confidential
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0864	Reports: Class Validation Reports (Personnel Counts), Vacancy Reports		When no longer required - minimum 10 years	CONFIDENTIAL Unit preference; GC §60201	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
915	Human Resources and Office of Corporate Governance Division Deputy's Office	RS-0865	Retiree File		Death of Employee and Eligible Surviving Spouse plus 6 years	Unit Preference; 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 2 - 3 years; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	Vital	Confidential
916	Environmental, Health & Safety Unit	RS-0022	Confined Space Entries	Permit required confined space entries	When no longer required - minimum 1 year	Lead Unit is responsible for delivering the original Pre-Entry Evaluation form or Entry permit to the Employee Health & Safety Unit. Unit preference, 1 year required by 8 CCR§5157.	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0165	Regulatory Agency Inspection Records		When no longer required - minimum 10 years	District Preference; Some Reports from Regulatory Agencies need to be retained for long periods of time; GC §60201	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0177	Regulatory Permits and Documents	Facility Environmental Regulatory Permits and Documents	Permanent	District Preference; Send to Library after entered into DPMS; GC §60201	Vital	Public
916	Environmental, Health & Safety Unit	RS-0178	District Permit Management System (DPMS)	Formerly known as "Watershed Permit Management System (WPMS)"	Indefinite	Data is interrelated; GC §60201	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0195	Illicit Connection / Illegal Dumping ICID Database		When no longer required	Unit Preference; GC §60201	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0805	Cal-OSHA Inspections & Citations		Seven years	Unit Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0806	Employee Occupational Medical Records	Respiratory Fit Tests, Respiratory Training, Annual Medical Examinations, Audiograms, Exposure Records (Confidential as it relates to personal or medical information. However, non-medical testing data is probably subject to disclosure.)	Separation plus 30 years	Unit preference; filed by Classification and includes certifications, licenses, etc. Older files are organized by employee. Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 14300.33(a); GC §§12946, 60201	Non-Vital	Confidential
916	Environmental, Health & Safety Unit	RS-0807	Facility Exposure Records	Noise Surveys, Indoor Air Quality, Mold Surveys, etc.	Permanent	Unit Preference to be consistent with OSHA reporting requirements; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c	Non-Vital	Public

<p>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.</p> <p>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</p> <p>Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).</p>								
Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
916	Environmental, Health & Safety Unit	RS-0808	MSDS (Material Safety Data Sheets) & SDS (Safety Data Sheets)		Permanent	Unit preference; MSDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years; Applies to qualified employers; Past MSDS are available from third-party companies; 8 CCR 3204(d)(1)(B)(2 and 3)	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0809	Tier Safety Inspections (Monthly Tier I, Annual and Periodic Tier II)	(Annual or Periodic)	Seven years	Unit Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0819	Cal-OSHA Log 200, Log 300, 301, 301A, etc.	(Includes the Log of Occupational Injuries and Illnesses, summary, and accompanying forms)	Seven years	Unit Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-0824	Ergonomics Reports (by employee)	(Confidential as to personal or medical information)	Separation plus 2 years	Unit preference; GC §60201	Non-Vital	Confidential
916	Environmental, Health & Safety Unit	RS-0829	Injury Reports / Incident (Near-Miss) / Work-Related Illnesses: EMPLOYEES / RECORDABLE INJURIES OR ILLNESSES (also see Workers Compensation)	(Confidential as to personal or medical information)	Separation plus 30 years	Unit preference (filed by employee); Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 14300.33(a); GC §§12946, 60201	Non-Vital	May Contain Confidential And Public
916	Environmental, Health & Safety Unit	RS-1009	Annual Safety Program Reviews: Confined Space and Lockout / Blockout / Tagout		Three years	Unit preference to be consistent with 8 CCR §5157 and 8 CCR§3314.	Non-Vital	Public
916	Environmental, Health & Safety Unit	RS-1014	Department of Transportation Random Drug Testing Program Records	(Confidential as to personal or medical information)	Five years	49 CFR 382.401, administered by Federal Motor Carrier Safety Administration, Department of Transportation	Non-Vital	Confidential
916	Environmental, Health & Safety Unit	RS-1018	Hot Work Permits		1 year	California Title 8 §3203	Non-Vital	Public
917	Labor Relations Unit	RS-0330	Bargaining Unit Negotiation Team Notes		When no longer required, minimum 20 years after the expiration of the underlying MOUs	Unit preference (agreements are in 3 year cycles); For use in interpreting intent of MOU provisions; EEOC / FLSA requires 3 years for MOUs; State requires 2 years; statewide guidelines propose permanent; 29 CFR 516.5, GC §§12946, 60201	Non-Vital	Confidential

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
917	Labor Relations Unit	RS-0811	Bargaining Unit Collaborative Facilitations and Dispute Resolutions / Interest Based Problem Solving (IBPS)	[Vital until Separation]	12 years	Unit Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	Vital	Confidential
917	Labor Relations Unit	RS-0812	Bargaining Units - General Files		12 years	Unit Preference; GC §34090.7	Non-Vital	Confidential
917	Labor Relations Unit	RS-0813	Employee Grievance / Discipline Files	[Vital until Separation]	Separation plus 3 years	Unit Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	Vital	Confidential
917	Labor Relations Unit	RS-0814	Employee Investigations	[vital until separation]	Separation plus 3 years	Unit Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	Vital	Confidential
917	Labor Relations Unit	RS-0815	MOU Side Letters		12 years	Unit preference (agreements are in 3 year cycles); For use in interpreting intent of MOU provisions; EEOC / FLSA requires 3 years for MOUs; State requires 2 years; statewide guidelines propose permanent; 29 CFR 516.5, GC §§12946, 60201	Non-Vital	Confidential
917	Labor Relations Unit	RS-0816	Skelly Hearings	[vital until separation]	Separation plus 3 years	Unit Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	Vital	Confidential
Section 3: Series jointly held by multiple units								

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.

Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).

Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
244 / 247 / 412	Environmental Mitigation and Monitoring Unit / Environmental Planning Unit / Water Supply & Special Projects Planning Unit	RS-0018	CEQA / NEPA Compliance reports / MMRP Compliance Monitoring & Reporting Program	(Mitigation monitoring & Reporting program). Includes CEQA Project Files: Implementation Compliance.	Permanent	District Preference; Final environmental documents are required to be kept a "reasonable period of time"; 14 Cal Code Regs §15095(c); GC §60201	Non-Vital	Public
244 / 247 / 412	Environmental Mitigation and Monitoring Unit / Environmental Planning Unit / Water Supply & Special Projects Planning Unit	RS-0033	Environmental Studies, Data and Reports	(e.g. Fish Evaluations, etc. Not EIRs, or Other Regulatory Permits - see Regulatory Permits & Documents)	Send to Library	District Preference (Ecological Services wants all units to send their final ecological studies to the Library for permanent retention); Some Reports from Regulatory Agencies need to be retained for long periods of time; GC §60201	Non-Vital	Public
244 / 412	Environmental Mitigation and Monitoring Unit / Water Supply & Special Projects Planning Unit	RS-0181	Ecological/Biological Field Notes and Data Sheets		Permanent	Unit Preference; GC §60201	Non-Vital	May Contain Confidential And Public
244 / 412	Environmental Mitigation and Monitoring Unit / Water Supply & Special Projects Planning Unit	RS-0182	Ecological/Biological Information Collections (Drivebys)		When no longer required - minimum 10 years	District Preference; Final environmental documents are required to be kept a "reasonable period of time"; 14 Cal Code Regs §15095(c); GC §60201	Non-Vital	Public
244 / 412	Environmental Mitigation and Monitoring Unit / Water Supply & Special Projects Planning Unit	RS-0184	Ecological/Biological Project Files: Includes biodiversity monitoring, water quality reports, revegetation, etc.		Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Unit preference; All deliverables are given to project owner; Final environmental documents are required to be kept a "reasonable period of time"; 14 Cal Code Regs §15095(c); GC §60201	Non-Vital	Public
244 / 412	Environmental Mitigation and Monitoring Unit / Water Supply & Special Projects Planning Unit	RS-0186	Ecological Databases and spreadsheets		Indefinite	Unit Preference; GC §60201	Non-Vital	Public
244 / 412	Environmental Mitigation and Monitoring Unit / Water Supply & Special Projects Planning Unit	RS-0189	Best Management Practices / SOPs / BMPs Policies		Three years	Unit preference; NPDES records are required for 3 years; 40 CFR 122.41(j)(2); 40 CFR 141.33(b); 22 CCR 64453(b)(2) et seq. GC §60201	Non-Vital	Public
244 / 247 / 412	Environmental Mitigation and Monitoring Unit / Environmental Planning Unit / Water Supply & Special Projects Planning Unit	RS-0191	Construction Inspections of District Construction Sites		Three years	Unit Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
247 / 412	Environmental Planning Unit / Water Supply & Special Projects Planning Unit	RS-0017	CEQA / NEPA Documents (Pursued and Not Pursued): Final Environmental Documents	(Includes Draft Environmental Documents that become part of the Final Document. Initial Determination Memos may be CONFIDENTIAL. Public records include: Categorical Exemption, Notice of Exemption, Notice of Intent, Final Negative Declaration, Final Mitigated Negative Declaration, Findings, Notice of Determination, Notice of Completion, Public Noticing, Notice of Preparation, Public Comments, MMRP - Mitigation Monitoring & Reporting Program)	Permanent	Always Send a copy of CEQA Documents to the Library; Unit Preference; Final environmental documents are required to be kept a "reasonable period of time" (life of the project and MMRP requirements); 14 Cal Code Regs §15095(c); GC §60201	Non-Vital	May Contain Confidential And Public
247 / 412	Environmental Planning Unit / Water Supply & Special Projects Planning Unit	RS-0250	Environmental Review Request Form (ERRF)		When no longer required	District Preference (no specific retention requirement, some projects take considerable time to be completed); GC §60201	Non-Vital	Public
425/ 445	Imported Water Unit / Water Supply Planning and Conservation Unit	RS-0292	Long Term Water Supply Planning - Urban Water Management Planning / Modeling and Analysis		When no longer required - minimum 10 years	Unit preference; GC §60201	Non-Vital	Public
465/ 335	Groundwater Management Unit / Capital Program Planning & Analysis Unit	RS-0364	Monitoring Well Project Planning & Design		When no longer required - minimum 10 years	Unit Preference (some may have grant funding, some may not be in Capital Projects); GC §60201	Non-Vital	Public
565 / 566	North Water Treatment Operations Unit / South Water Treatment Operations Unit	RS-0441	Daily Logs: Daily Logs: Odor / Taste / Visual		Five years	Unit preference; 5 years is required in State and Federal law for any complaints; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64453(a)	Non-Vital	Public
565 / 566	North Water Treatment Operations Unit / South Water Treatment Operations Unit	RS-0442	Logs: Handwritten Operator's Log Books		30 years	Unit preference for Toxic Substance Exposures; 5 years is required in State and Federal law for any complaints; 40 CFR 122.41(j)(2) & 40 CFR 141.33(a)&(b); 22 CCR §64692; 8 CCR §3204(d)(1) et seq.	Non-Vital	Public
565 / 566	North Water Treatment Operations Unit / South Water Treatment Operations Unit	RS-0444	Monthly Reports to DHS: State Report of Surface Water Treatment		Five years	Unit preference to conform with other records and Unit of Health Audits; GC §60201; WC §13263.2(b) et seq.	Non-Vital	Public
565 / 566	North Water Treatment Operations Unit / South Water Treatment Operations Unit	RS-0445	Logs: Monthly Operation Logs, water quality monitoring and filter performance logs, daily reports, midnight reports		Five years	Unit preference; 22 CCR §64662; 8 CCR §3204(d)(1) et seq.	Non-Vital	Public

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.
 Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Retentions apply to agencies that SCVWD serves as Fiscal Agent (BAASMA & SCVURPPP).

Unit#	Office of Record	Records Series Number	Series Title	Scope Note	Retention Period	Legal Basis and Administrative Requirements for the Retention Period	Vital / Non-Vital?	Security Class
565 / 566	North Water Treatment Operations Unit / South Water Treatment Operations Unit	RS-0449	SCADA Data, Oracle		Indefinite	Unit preference; SCADA Database is original record; data and output are considered a copy; GC §60200	Non-Vital	Confidential
565 / 566	North Water Treatment Operations Unit / South Water Treatment Operations Unit	RS-0450	Strip Chart Recordings		Five years	Unit preference to conform with other records and Unit of Health Audits; GC §60201; WC §13263.2(b) et seq	Non-Vital	Public

Section 4: Legend for legal citations

§: Section
 B&P: Business & Professions Code (CA)
 CBC: California Building Code
 CC: Civil Code (CA)
 CCP: Code of Civil Procedure (CA)
 CCR: California Code of Regulations (CA)
 CFC: California Fire Code
 CFR: Code of Federal Regulations (US)
 EC: Elections Code (CA)
 EVC: Evidence Code (CA)
 FA: Food & Agriculture Code
 FC: Family Code (CA)
 FTB: Franchise Tax Board (CA)
 GC: Government Code (CA)
 H&S: Health & Safety Code (CA)
 HUD: Housing & Urban Develop. (US)
 LC: Labor Code (CA)
 Ops. Atty. Gen.: Attorney General Opinions (CA)
 PC: Penal Code (CA)
 R&T: Revenue & Taxation Code (CA)
 UAC: Uniform Administrative Code
 UBC: Uniform Building Code
 UFC: Uniform Fire Code
 UPC: Uniform Plumbing Code
 USC: United States Code (US)
 VC: Vehicle Code (CA)
 W&I: Welfare & Institutions Code (CA)
 WC: Water Code (CA)

Section 5: Obsolete series no longer in use, with reference to replacement series where appropriate

RS-0019	Obsolete: use RS-1021 instead.	RS-0409	Obsolete: use RS-1021 instead.	RS-0696	Obsolete: use RS-0032 instead.
RS-0043	Obsolete: use RS-1021 instead.	RS-0433	Obsolete: use RS-0032 instead.	RS-0702	Obsolete: use RS-0383 instead.
RS-0049	Obsolete: use RS-1026 or RS-0103 instead.	RS-0438	Obsolete: use RS-1021 instead.	RS-0703	Obsolete: use RS-0383 instead.
RS-0058	Obsolete: use RS-0032 instead.	RS-0446	Obsolete: use RS-1021 instead.	RS-0705	Obsolete: use RS-0684 instead.
RS-0094	Obsolete, no longer in use.	RS-0467	Obsolete: use RS-0032 instead.	RS-0706	Obsolete: use RS-0563 instead.
RS-0096	Obsolete: use RS-0542 instead.	RS-0562	Obsolete: use RS-0563 instead.	RS-0707	Obsolete, no longer in use.
RS-0106	Obsolete, no longer in use.	RS-0564	Obsolete: use RS-0563 instead.	RS-0708	Obsolete, no longer in use.
RS-0108	Obsolete, no longer in use.	RS-0565	Obsolete: use RS-0002 instead.	RS-0709	Obsolete, no longer in use.
RS-0124	Obsolete, no longer in use.	RS-0575	Obsolete: use RS-0002 instead.	RS-0778	Obsolete: use RS-0044 instead.
RS-0126	Obsolete, no longer in use.	RS-0576	Obsolete: use RS-0002 instead.	RS-0792	Obsolete: use RS-0000 instead.

RS-0127	Obsolete, no longer in use.
RS-0128	Obsolete, no longer in use.
RS-0130	Obsolete, no longer in use.
RS-0131	Obsolete, no longer in use.
RS-0132	Obsolete, no longer in use.
RS-0133	Obsolete, no longer in use.
RS-0134	Obsolete, no longer in use.
RS-0136	Obsolete, no longer in use.
RS-0168	Obsolete: use RS-0032 instead.
RS-0169	Obsolete: use RS-0032 instead.
RS-0170	Obsolete: use RS-0000 instead.
RS-0171	Obsolete: use RS-0032 instead.
RS-0172	Obsolete: use RS-0032 instead.
RS-0173	Obsolete: use RS-0172 instead.
RS-0176	Obsolete: use RS-0000 instead.
RS-0196	Obsolete: use RS-1021 instead.
RS-0219	Obsolete: use RS-0032 instead.
RS-0220	Obsolete: use RS-0024 instead.
RS-0223	Obsolete: use RS-0032 instead.
RS-0224	Obsolete: use RS-0032 instead.
RS-0225	Obsolete: use RS-0002 instead.
RS-0226	Obsolete: use RS-0032 instead.
RS-0229	Obsolete: use RS-0024 instead.
RS-0230	Obsolete: use RS-0032 instead.
RS-0232	Obsolete: use RS-0032 instead.
RS-0233	Obsolete: use RS-0032 instead.
RS-0386	Obsolete: use RS-0032 instead.
RS-0387	Obsolete: use RS-0032 instead.
RS-0408	Obsolete: use RS-1021 instead.

RS-0579	Obsolete: use RS-0032 instead.
RS-0581	Obsolete: use RS-0002 instead.
RS-0582	Obsolete: use RS-0045 instead.
RS-0583	Obsolete: use RS-0045 instead.
RS-0584	Obsolete: use RS-0045 instead.
RS-0586	Obsolete: use RS-0045 instead.
RS-0588	Obsolete: use RS-0032 instead.
RS-0589	Obsolete: use RS-0064 instead.
RS-0592	Obsolete: use RS-0032 instead.
RS-0593	Obsolete: use RS-0032 instead.
RS-0595	Obsolete: use RS-0032 instead.
RS-0596	Obsolete: use RS-0064 instead.
RS-0598	Obsolete: use RS-0064 instead.
RS-0600	Obsolete: use RS-0001 instead.
RS-0656	Obsolete: use RS-0671 instead.
RS-0663	Obsolete: use RS-0000 instead.
RS-0670	Obsolete: use RS-0538 instead.
RS-0672	Obsolete: use RS-0671 instead.
RS-0673	Obsolete: use RS-0671 instead.
RS-0675	Obsolete: use RS-0671 instead.
RS-0676	Obsolete: use RS-0671 instead.
RS-0677	Obsolete: use RS-0671 instead.
RS-0678	Obsolete: use RS-0671 instead.
RS-0679	Obsolete: use RS-0671 instead.
RS-0680	Obsolete: use RS-0032 instead.
RS-0681	Obsolete: use RS-0671 instead.
RS-0683	Obsolete: use RS-0032 instead.
RS-0685	Obsolete: use RS-0032 instead.
RS-0695	Obsolete: use RS-0032 instead.

RS-0798	Obsolete: use RS-1021 instead.
RS-0802	Obsolete: use RS-1021 instead.
RS-0810	Obsolete: use RS-0032 instead.
RS-0822	Obsolete: use RS-0032 instead.
RS-0825	Obsolete, no longer in use.
RS-0834	Obsolete, no longer in use.
RS-0835	Obsolete, no longer in use.
RS-0836	Obsolete, no longer in use.
RS-0837	Obsolete, no longer in use.
RS-0838	Obsolete, no longer in use.
RS-0839	Obsolete, no longer in use.
RS-0840	Obsolete, no longer in use.
RS-0841	Obsolete: use RS-0847 instead.
RS-0844	Obsolete: use RS-0032 instead.
RS-0846	Obsolete: use RS-0002 instead.
RS-0853	Obsolete: use RS-0000 instead.
RS-0854	Obsolete: use RS-0000 instead.
RS-0856	Obsolete: use RS-1014 instead.
RS-1004	Obsolete: use RS-0671 instead.
RS-1015	Obsolete: use RS-0032 instead.



Santa Clara Valley Water District

File No.: 20-0145

Agenda Date: 2/11/2020

Item No.: 3.5.

BOARD AGENDA MEMORANDUM

SUBJECT:

Semi-Annual Lobbyist Report of Individuals Engaged in Compensated Lobbying Activities Aimed at Influencing District Decisions, in Accordance With District Ordinance 10-01.

RECOMMENDATION:

Receive the Semi-Annual Lobbyist Report of Individuals Engaged in Compensated Lobbying Activities for the period July 1, 2019 through December 31, 2019.

SUMMARY:

In accordance with reporting requirements of the Lobbyist Ordinance, Ordinance No. 10-01, adopted by the Board on June 5, 2010, the attached Semi-Annual Lobbyist Report of Individuals Engaged in Compensated Lobbying Activities (Attachment 1) for the period of July 1, 2019, through December 31, 2019, is provided for Board information.

The Lobbyist Ordinance was adopted by the Board to ensure that the public is aware of the identity of interests which attempt to influence decisions of the District.

A Lobbyist webpage (<https://www.valleywater.org/how-we-operate/lobbyist-ordinance>) has been created on the District's website providing the public access to the District's Lobbyist Ordinance, Lobbyist Report, filing forms and a frequently asked questions form.

Along with providing a semi-annual report, the Lobbyist Ordinance also requires that the Clerk recommend a fee schedule to the Board for adoption, based on the estimated cost of the services provided pursuant to the ordinance. With only one registered individuals at present, there has not been a significant amount of staff time spent in performing duties relevant to lobbyist registration. Therefore, no fee schedule is recommended at this time. The Clerk will continue to monitor staff time required to process lobbyist reports and return to the Board at a future date, if necessary, to recommend a fee schedule.

FINANCIAL IMPACT:

There is no financial impact associated with this item.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have the potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1: Lobbyist Report

UNCLASSIFIED MANAGER:

Michele King, 408-630-2711

Santa Clara Valley Water District Registered Lobbyists - 2020

Lobbyist Entity / Firm	Clients	Individuals Lobbying under Entity	District Decisions
Pacific Gas and Electric Company		Daniel Cedeno	Working with District officials to ensure that necessary work on gas and electric infrastructure can be completed in a timely and cost effective fashion in order to provide safe, reliable, and affordable service to our customers. PG&E's lobbying may occasionally include advocating for District policy that ensures our customers continue to receive safe, reliable, and affordable gas and electric service.

THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 20-0120

Agenda Date: 2/11/2020

Item No.: 3.6.

BOARD AGENDA MEMORANDUM

SUBJECT:

December 30, 2019 Claim by Great Oaks Water Company Against the Santa Clara Valley Water District for Refund of Groundwater Production Charges.

RECOMMENDATION:

Deny Great Oaks Water Company's claim.

SUMMARY:

Great Oaks Water Company presented a written claim on December 30, 2019, demanding from the District a refund of groundwater production charges paid in Water Year 2019-2020, plus interest.ⁱ Unlike its previous claims challenging the District's groundwater production charges, Great Oaks' most recent claim does not specifically identify the amount to be refunded.ⁱⁱ

We recommend that the District reject Great Oaks' claim in its entirety.

This claim is the most recent in a line of similar claims seeking a refund of groundwater production charges that Great Oaks has submitted each year since 2005. The District has denied all of Great Oaks' previous claims, and Great Oaks has filed a lawsuit following each denial. There are currently fourteen such lawsuits involving Great Oaks and a fifteenth case involving three other parties.

Great Oaks' most recent claim asserts:

- a. That the District's groundwater production charges are assessments on real property and were not adopted in compliance with the procedural and substantive requirements of the California Constitution governing assessments.ⁱⁱⁱ
- b. That the groundwater production charges are taxes and were not adopted in compliance with the procedural and substantive requirements of the California Constitution governing taxes.
- c. That the groundwater production charges are governed by Proposition 26 (Article XIII C of the California Constitution) and that the District failed to comply with the procedural and substantive requirements of Proposition 26 in regard to the charges.^{iv}

- d. That the District has violated the Santa Clara Valley Water District Act by collecting groundwater production charges to fund activities that the Act allegedly does not authorize the District to fund using such charges.

Great Oaks' previous lawsuits against the District were stayed while the first or "lead" case filed by Great Oaks, challenging the District's 2005-06 groundwater production charges, was litigated. That first case led to a decision by the Sixth District Court of Appeal in favor of the District that became final on February 20, 2019, after the California Supreme Court denied Great Oaks' latest petition for review. As such, the lead case is back before the trial court for a determination of whether any claims or issues remain to be decided, and the stay in the other cases against the District will be lifted and those cases will move forward.

Consistent with this history, it is our position that the District's groundwater production charges are not property-related fees, assessments, or taxes; that the groundwater production charges were adopted in compliance with the procedural and substantive requirements of the California Constitution, including Proposition 26, to the extent those requirements apply; and that the District has not used revenue from its groundwater production charges in a manner that violates the District Act. It is therefore recommended that the District reject Great Oaks' latest claim.

If the District rejects Great Oaks' claim, Great Oaks will likely respond, as it has before, by filing a lawsuit seeking a refund of groundwater production charges that it contends the District has illegally collected. We would seek consolidation of any newly-filed case against the District with Great Oaks' other cases.

ⁱ As of the date of this memorandum, Water Year 2019-2020 is ongoing and does not conclude until June 30, 2020.

ⁱⁱ In Great Oaks' previous claims for refunds, Great Oaks challenged the groundwater production charges for the (then) most recently concluded water year and demanded a refund in a specific amount, as well as challenged the groundwater production charges for the (then) current water year. For example, in Great Oaks' June 6, 2019 claim, Great Oaks challenged the groundwater production charges for Water Year 2017-2018 and demanded a refund of \$7,445,913, as well as challenged the groundwater production charges for (then) ongoing Water Year 2018-2019.

ⁱⁱⁱ In its earlier claims and lawsuits filed against the District, Great Oaks argued that the groundwater production charges were property-related fees or assessments under Proposition 218 and that such property-related fees or assessments were not adopted in compliance with Proposition 218. In this claim and its previous claim presented in June 2019, Great Oaks deleted its claims based on Proposition 218, which we believe is a reaction to the California Supreme Court's decision in the *City of San Buenaventura v. United Water Conservation District* case, wherein the court held that groundwater charges were not property-related charges.

^{iv} Great Oaks argued in its earlier claims and lawsuits against the District that the charges do not qualify as fees under Proposition 26 and therefore are taxes that were not approved by the

electorate.

FINANCIAL IMPACT:

There is no financial impact associated with this item.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or indirect physical change in the environment.

ATTACHMENTS:

Attachment 1: Claim

UNCLASSIFIED MANAGER:

Stan T. Yamamoto, 408-630-2755

THIS PAGE INTENTIONALLY LEFT BLANK

Santa Clara Valley Water District

Phone: 408 265 2600

Fax: 408 445 1435



**Claim Against the
Santa Clara Valley Water District
California Government Code
Sections 900 and following.**

General Counsel form updated July, 2003

For Office Use Only:

Date Received: 12/30/19

By: *Michelle J. K...*
Ceb

Serve or mail this form to:

Clerk of the Board

Santa Clara Valley Water District

5750 Almaden Expressway

San Jose, California 95118

1. Name(s) and Address(es) of the person or persons making the claim	Name(s): Great Oaks Water Company Address: 20 Great Oaks Blvd., Ste. 120 San Jose, CA 95119 Phone number (optional):
2. Is this claim filed on behalf of a minor? Yes ___ No X	If so, please indicate minor's date of birth: Relationship of claim filer to minor:
3. Name and address of the person to whom notices are to be sent, if different than Number 1.	Name: Timothy S. Guster, General Counsel Great Oaks Water Company Address: PO Box 23490, San Jose, CA 95153
4. Date, place and other circumstances of the occurrence, incident, injury or transaction. <i>Attach additional sheets for more space, if needed.</i>	Date: See attached. Location (address and or nearest intersection): Other circumstances, including time, if known:
5. Describe the debt, obligation, injury, damage or loss suffered so far as they are known. Include a description of the facts giving rise to the claim and why you believe the Santa Clara Valley Water District is responsible. <i>Attach additional sheets for more space, if needed, and photos, if available.</i>	Description: See attached.
6. Name of the District employee who caused the injury, if known.	Name: Board of Directors, Santa Clara Valley Water District and all staff of the Santa Clara Valley Water District involved in the <u>groundwater charge process, including Office of District Counsel</u>
7. Is the amount of this claim now:	Under \$10,000? Yes ___ No <u>X</u> Over \$10,000? Yes <u>X</u> No ___
8. If the amount is now over \$10,000, is this:	A Limited Civil Case? (Less than \$25,000) Yes ___ No <u>X</u> An Unlimited Civil Case? (Greater than \$25,000) Yes <u>X</u> No ___
Signature: <i>Jared Ajlouny</i> Jared Ajlouny, Vice President Date: 12/30/2019	Additional Signature(s): Date(s):

THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 20-0182

Agenda Date: 2/11/2020

Item No.: *3.7.

BOARD AGENDA MEMORANDUM

SUBJECT:

Accept the CEO Bulletins for the Weeks of January 24-30, and January 31 - February 6, 2020.

RECOMMENDATION:

Accept the CEO Bulletin.

SUMMARY:

The CEO Bulletin is a weekly communication for the CEO, to the Board of Directors, assuring compliance with Executive Limitations Policy EL-7: The BAOs inform and support the Board in its work. Further, a BAO shall: inform the Board of relevant trends, anticipated adverse media coverage, or material external and internal changes, particularly changes in the assumptions upon which any Board policy has previously been established; and report in a timely manner an actual or anticipated noncompliance with any policy of the Board.

CEO Bulletins are produced and distributed to the Board weekly as informational items, and then placed on the bimonthly, regular Board meeting agendas to allow opportunity for Board discussion on any of the matters contained therein.

FINANCIAL IMPACT:

There is no financial impact associated with this item.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1, 01302020 CEO Bulletin

*Attachment 2, 02062020 CEO Bulletin

UNCLASSIFIED MANAGER:

File No.: 20-0182

Agenda Date: 2/11/2020
Item No.: *3.7.

Norma Camacho, 408-630-2084

CEO BULLETIN



To: Board of Directors
From: Norma J. Camacho, CEO

Week of January 24 – January 30, 2020

Board Executive Limitation Policy EL-7:

The Board Appointed Officers shall inform and support the Board in its work. Further, a BAO shall 1) inform the Board of relevant trends, anticipated adverse media coverage, or material external and internal changes, particularly changes in the assumptions upon which any Board policy has previously been established and 2) report in a timely manner an actual or anticipated noncompliance with any policy of the Board.

Item	IN THIS ISSUE
<u>1</u>	Coyote Creek Flood Protection Project Presentation to San Jose Parks Advocates
<u>2</u>	Reclamation Schedules Santa Clara Valley Water District's Second Contract Amendment Negotiations
<u>3</u>	Upcoming Rinconada Water Treatment Plant (RWTP) Shutdown
<u>4</u>	Valley Water in Compliance with Updated CA Air Resources Board Portable Equipment Regulations
<u>5</u>	<u>Kremen</u> Response to I-19-0024: What has been the all in cost of water/acre-foot from our recycling plant in the last 12 and 24 months? Please show calculations including cost on bonds, final capital costs, all O&M, membrane reserve etc? What is the name plate rating on water production and what have we produced in the last 12 and 24 months? I-19-0024

1. Coyote Creek Flood Protection Project Presentation to San Jose Parks Advocates

On Thursday January 23, 2020, Valley Water Directors Barbara Keegan and Richard Santos participated in a San Jose (SJ) Parks Advocates meeting of more than 30 attendees to provide details about the Coyote Creek Flood Protection project at the East San José Carnegie Library in downtown San Jose. The group requested the presentation on the Coyote Creek Flood Protection project with a singular focus on the impact to the parks that are along the nine mile stretch of the project.

Valley Water provided an update on the potential flood control alternatives, specifically, floodwalls, passive flood barriers, vegetated berms, and other options. Valley Water also sought and documented feedback from the SJ Parks Advocates members about impacts to parks that are along the Coyote Creek Flood Protection project areas of Watson Park, Roosevelt Park, William Street Park, Selma Olinder Park, Coyote Meadows, and Kelley Park.

City of San José Parks, Recreation and Neighborhood Services was in attendance and appreciated the revisions to the project and pledged to continue to work cooperatively with Valley Water as this effort moves forward to the design phase. Valley Water is scheduled to host public

meetings to provide an update on the progress of the Coyote Creek Flood Protection project in spring of this year.

For further information, please contact Rick Callender at (408) 630-2017.

2. Reclamation Schedules Santa Clara Valley Water District's Second Contract Amendment Negotiations

Valley Water is scheduled to meet with the Bureau of Reclamation (Reclamation) on January 29, 2020 to negotiate a proposed second amendment to Valley Water's Central Valley Project (CVP) Contract No. 7-07-20-W0023 (Contract). On January 22, 2020, Reclamation issued a news release announcing the scheduled contract negotiation session in Fresno, California.

The original Contract forms the basis for Valley Water's receipt and payments of annual CVP supplies through federal government facilities, primarily works of the CVP San Felipe Division. Because of CVP facility outages and other conditions which adversely impact delivery of CVP water supplies to Valley Water, such as San Luis Reservoir constraints, Valley Water requested an amendment to the Contract to effectively support delivery of Valley Water's CVP supplies through the State Water Project's (SWP) South Bay Aqueduct (SBA).

This second amendment would provide Reclamation the authority to deliver Valley Water's CVP supply to 'mutually agreed upon' points of delivery, principally the SBA by exchange for SWP water supplies. Historically, Valley Water was able to request temporary Reclamation approval for use of the SBA to deliver CVP water supplies to Santa Clara County, however, Valley Water was notified that temporary approvals would no longer be an option. Retaining the ability to use the SBA to deliver Valley Water's CVP supply, via amendment of the CVP Contract, is important for both operational flexibility and increased water supply reliability at Valley Water.

Both CEQA and NEPA review were completed for the second amendment to the Contract. Following Valley Water and Reclamation public negotiation, and upon mutual agreement of the proposed amendment language, Reclamation will submit the amendment for a public review period. Following public review and response to any comments received, the second amendment will be released and brought to the Board of Directors for execution.

For further information, please contact Jerry De La Piedra at (408) 630-2257.

3. Upcoming Rinconada Water Treatment Plant (RWTP) Shutdown

For the purpose of performing electrical tie-in work and backup power generator system testing (required to keep the RWTP Reliability Improvement Project (RRIP) progressing) the RWTP and West Pipeline (WPL) will be shut down for four (4) days, from January 27 to January 30, 2020. It is anticipated that both the RWTP and WPL will be returned to service by the end of the workday on January 31, 2020.

WPL retailers impacted by the upcoming outage are the cities of Santa Clara and Sunnyvale, the California Water Service Company, and the San Jose Water Company. The impacted retailers will use their groundwater and/or alternate supplies to meet demands during the plant shutdown. Customers may notice a change in water characteristics and pressure during the shutdown. The above stated shutdown schedule has also been communicated to the retailers and Valley Water will continue to send periodic updates and reminders.

Construction activities at RWTP are taking place during daytime, weekday hours, and with some extended hours before and during plant shutdowns. Plant neighbors are updated regularly through Valley Water's blog, social media and neighborhood meetings.

For further information, please contact Bhavani Yerrapotu at (408) 630-2735.

4. Valley Water in Compliance with Updated CA Air Resources Board Portable Equipment Regulations

In 2018, the CA Air Resources Board (CARB) updated regulations applicable to portable/mobile equipment with the aim of reducing emission of diesel exhaust. Over the past decade CARB has compiled an extensive database on diesel engine emissions data. Each engine that appears in CARB's database is placed into one of four categories, Tier 1 through Tier 4. A Tier 1 engine being an older, more polluting engine and Tier 4 engine being a newer, cleaner burning engine.

In their revised regulations CARB provided the regulated community one of two ways to reduce their overall diesel emissions. The first approach would have Valley Water phase-out Tier 1 through Tier 3 engines for newer, clean-burning Tier 4 engines over several years. This phase-out approach required all Tier 1 models to be retired by January 2020, Tier 2 models by January 2022, and Tier 3 models by January 2027. To take this approach, Valley Water would be required to provide documentation demonstrating that Tier 1 through Tier 3 models were being replaced with Tier 4 engines. The second approach to comply with the CARB regulation proposed was to simply retire all older Tier 1 through Tier 3 engines with current Tier 4 engines, and this is the approach Valley Water took.

Valley Water has 16 engines registered under CARB's Portable Equipment Registration Program. Over the past few years the Equipment Management Unit has replaced several old portable equipment units with cleaner burning Tier 4 engines. Given that our inventory of portable equipment consists of all Tier 4 engines, Valley Water has complied with the 2018 CARB requirement to reduce diesel emissions.

For further information, please contact Tina Yoke at (408) 630-2385.

5. Kremen

Response to I-19-0024: What has been the all in cost of water/acre-foot from our recycling plant in the last 12 and 24 months? Please show calculations including cost on bonds, final capital costs, all O&M, membrane reserve etc? What is the name plate rating on water production and what have we produced in the last 12 and 24 months?
I-19-0024

The response for IBMR-19-0024 was included in the January 10, 2020, Board Non-Agenda packet.

For further information, please contact Bhavani Yerrapotu at (408) 630-2735.

THIS PAGE INTENTIONALLY LEFT BLANK

CEO BULLETIN



To: Board of Directors
From: Norma J. Camacho, CEO

Week of January 31 – February 6, 2020

Board Executive Limitation Policy EL-7:

The Board Appointed Officers shall inform and support the Board in its work. Further, a BAO shall 1) inform the Board of relevant trends, anticipated adverse media coverage, or material external and internal changes, particularly changes in the assumptions upon which any Board policy has previously been established and 2) report in a timely manner an actual or anticipated noncompliance with any policy of the Board.

Item	IN THIS ISSUE
<u>1</u>	Industry Benchmark - Valley Water Occupational Illness and Injury Rates
<u>2</u>	Flood Emergency Action Plans Posted on Valleywater.org
<u>3</u>	Joint Emergency Action Plan (EAP) Tabletop Exercise

1. Industry Benchmark - Valley Water Occupational Illness and Injury Rates

Every calendar year, Valley Water calculates the three-year average of their occupational injury and illness incidence rates and benchmarks that data with the national average rates for organizations within the same industry. The national rates are compiled by the Bureau of Labor Statistics (BLS) through its annual Survey of Occupational Injuries and Illnesses. The latest BLS data published is for calendar year 2018; therefore, the incidence rates calculated for the three-year data comparisons are for calendar years 2016 through 2018.

The three metrics calculated for comparison are:

1. Total Recordable Case rate, which are injuries/illnesses that require medical treatment beyond Cal/OSHA's enumerated first-aid treatments,
2. Lost Workday Case rate, which are experienced when an employee is directed by a physician to take one or more days off from work, other than the day of injury or illness, and
3. Days Away Restricted Transfer or DART rate, which are total cases with days away from work, combined with cases experiencing job transfers or work restrictions.

To allow for this comparison, The North American Industry Classification System (NAICS) is the standard used by the BLS in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical occupational injury and illness data. Valley Water's NAICS code is 221310 - Water Supply and Irrigation Systems, which is comprised of establishments primarily engaged in operating water treatment plants and/or operating water supply systems. The water supply system may include pumping stations, aqueducts, and/or distribution mains. The water may be used for drinking, irrigation, or other uses.

As indicated below, Valley Water's performance shows rates better than industry average in all three occupational illness and injury metrics compared:

Total Recordable Case Rate:

BLS Data 3-YEAR AVG. – 3.90

Valley Water 3-YEAR AVG. – 2.72; <1.18 (Better)

Lost Workday Case Rate:

BLS Data 3-YEAR AVG. – 1.90

Valley Water 3-YEAR AVG. – 0.30; <1.60 (Better)

DART Rate:

BLS Data 3-YEAR AVG. – 2.47

3-YEAR AVG. – 0.89; <1.58 (Better)

For further information, please contact Tina Yoke at (408) 630-2385.

4. Flood Emergency Action Plans Posted on Valleywater.org

On January 31, 2020, Emergency Services and Security posted online versions of the Emergency Action Plans (EAPs) for Floods. These EAPs are public versions with redacted information regarding protected data, such as, personnel home contact information and critical material and equipment locations. The posted EAPs include the Joint EAP with City of San Jose, San Francisquito Creek EAP, West Little Llagas Creek EAP, and the Uvas EAP. The Board of Directors requested these EAPs be posted online, which was supported by the Chief Operating Officer of Watersheds, Melanie Richardson, and the Chief Operating Officer of Information Technology and Administrative Services, Tina Yoke. These EAPs include inundation maps, roles and responsibilities between Valley Water and local jurisdictions, and coordination and communication guidance during a potential or actual flood scenario.

For further information, please contact Tina Yoke at (408) 630-2385.

5. Joint Emergency Action Plan (EAP) Tabletop Exercise

On January 16, 2020, Emergency Services and Security hosted a Joint Emergency Action Plan (EAP) Tabletop Exercise that included Valley Water and City of San Jose. Prior to this exercise, Valley Water conducted an internal training on the Joint EAP and participated in a Field Drill with San Jose at Ross Creek and Cherry Avenue. The Tabletop Exercise focused on an evolving storm/flooding scenario where coordination and communication capabilities were discussed between agencies. This exercise was very productive in identifying communication flows from the field, to Department Operations Center (DOC)/Emergency Operations Center (EOC), and between agencies as well. Also prevalent were the clear identification of different roles and responsibilities between agencies. Executive representation during the exercise included Tina Yoke, Valley Water Information Technology and Administrative Services Chief, and Kip Harkness, Deputy City Manager for San Jose. With the presence of Yoke and Harkness, Valley Water and the City of San Jose were very engaged and open to discuss current operations and future needs.

Some key takeaways from this exercise included the following:

- Need to further determine coordination needs between DOC and EOC operations, and how they communicate during an incident.
- Need to explore operational cross-training opportunities between Valley Water and San

- Jose to better understand creek and reservoir dynamics, and potential impacts to residents
- Need to explore if Valley Water and San Jose field personnel should or should not be cross-trained to support and share Field Information Team (FIT) assessment responsibilities between agencies. Field staff would include Valley Water's FIT within Watersheds and San Jose Public Works FIT.
- Common messaging detailed in the Joint EAP needs to be reviewed and potentially updated by San Jose and Valley Water Public Information Officers (PIO).
- Valley Water and San Jose need to continue efforts to share mapping files prior to and during storm/flooding incidents.
- Both agencies need to further discuss the need and utilization of Agency Representatives or Liaisons in the EOCs during these incidents. Subject Matter Experts as Liaisons to both San Jose and Valley Water EOC were discussed in detail during the exercise.

Valley Water is developing an After Action Plan which will include improvement opportunities for the Joint EAP, as well as Valley Water and City of San Jose operations.

For further information, please contact Tina Yoke at (408) 630-2385.

THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 20-0214

Agenda Date: 2/11/2020

Item No.: *4.1.

BOARD AGENDA MEMORANDUM

SUBJECT:

Review of 2020 Board Committee Appointments.

RECOMMENDATION:

- A. Review, revise if necessary, and approve individual Board Committee purpose descriptions;
- B. Create or disband Board Committee(s), as necessary;
- C. Review and approve the proposed 2020 Board Committee appointments as submitted by 2020 Board Chair; and
- D. Appoint new Board Committee Representatives, as necessary;

SUMMARY:

In accordance with Board Governance Policy GP-9, the Board shall annually review committee purposes and appointments and make changes where necessary.

This item allows the Board to review and approve individual Board Committee purpose descriptions, create or disband Board Committee(s), appoint new Board Committee representatives, and approve the 2020 Board Chair proposed Committee Appointments (Attachment 1).

Purpose of Board Committees

The Board creates committees to assist with policy development and implementation, as well receive information, provide input, and make recommendations and/or provide advice and comments to the full Board for consideration. The Board's committees are advisory to the Board and do not direct the implementation of District programs and projects.

Annual Review Process

As stated in the Board's governance policies, the Board reviews the purpose of each established committee to determine their relevance, whether the purpose needs to be redefined, or whether the committee's purpose has been achieved and the committee can be disbanded.

During the review process, the Board should keep in mind that committees are an extension of the full board and that the work assigned is policy level, and not program and project implementation level. The tasks that each committee performs should fit within the board-defined committee purpose and authority. If a committee involves itself in program/project implementation level, it should align with the work assigned by the Board such as the narrow role the Board assigned to the Capital

Improvement Program Committee to review consultant agreements amendments.

Committees Requiring Detailed Review

Staff has noted that the following three committees that should be thoroughly reviewed by the Board and provide direction as appropriate:

Committee	Purpose	Consideration
Coyote Flood Risk Reduction Ad Hoc Committee	Developing short-term, immediate solutions to the 2/21/17 (President's Day Weekend) Coyote Creek Flood event.	Has the purpose been completed? The Board could disband the committee and transfer any relevant Coyote Creek issues to the FAHCE Committee.
Homeless Encampment Ad Hoc Committee	Discuss homelessness and encampment issues, and bring discussion and recommendations back to the Board.	Has the purpose been completed? The Board could disband the committee or review the purpose and identify if there is a need to provide related policy advice to the Board.
FAHCE Committee (exception form Brown Act Requirements)	1. Track the progress of the District and other parties (Settlement Parties) of the FAHCE Settlement Agreement in completing requirements enabling dismissal of the water rights complaint and commencement of restoration program; and 2. Identify and recommend actions the Board can take to ensure expeditious completion of the requirements defined in Purpose 1.	Has the purpose been completed, or is there a need to expend the previous purpose? Would it be beneficial to transfer Coyote Creek and Anderson Dam topics and request the Committee to define a new purpose for Board approval?

To assist the Board in their review, attached is the current list of Board Committee Appointments (Attachment 2) which includes the Board Committee category and name, current serving Board member(s) and alternates (if applicable), Board Members' role on the Committee, Committee purpose, and Committee meeting frequency.

FINANCIAL IMPACT:

There is no financial impact associated with this item.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have the potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1: Chair's Proposed 2020 Appointments

Attachment 2: Current Board Committee Appointments

*Handout 4.1-A: D. Muirhead

UNCLASSIFIED MANAGER:

Michele King, 408-630-2711

THIS PAGE INTENTIONALLY LEFT BLANK

**DRAFT - 2020 SANTA CLARA VALLEY WATER DISTRICT BOARD
COMMITTEE APPOINTMENTS**

BOARD COMMITTEES	MEMBERS		
Board Policy and Planning Committee	Keegan	LeZotte	Hsueh
Board Audit Committee	Hsueh LeZotte	Keegan	Kremen
Board Ethics and Conduct Committee	Hsueh (2020 Chair)	Estremera (2020 Vice Chair)	LeZotte (Prior year Chair)
Capital Improvement Program Committee	Estremera	LeZotte	Hsueh
Coyote Flood Risk Reduction Ad Hoc Committee	Estremera	Santos	Keegan
Diversity and Inclusion Ad Hoc Committee	Estremera	Hsueh	Varela
Homeless Encampment Ad Hoc Committee	Estremera	Santos	Varela
Recycled Water Committee	Estremera	Keegan	Kremen
Water Conservation and Demand Management Committee	Hsueh	LeZotte	Santos
Water Storage Exploratory Committee	Kremen	Santos	Varela

BOARD ADVISORY COMMITTEES	REPRESENTATIVE(S)	ALTERNATE(S)
Agricultural Water Advisory Committee	Varela Santos	Hsueh
Environmental and Water Resources Committee	LeZotte Estremera	Hsueh
Santa Clara Valley Water Commission	Hsueh (2020 Chair) Estremera (2020 Vice Chair)	LeZotte (2019 Chair)
Santa Clara Valley Water District Youth Commission	Varela Hsueh Keegan	N/A

JOINT COMMITTEES	MEMBER(S)	ALTERNATE(S)
Joint Recycled Water Advisory Committee with the City of Sunnyvale	Estremera Keegan Kremen	N/A
Joint Recycled Water Policy Advisory Committee w/ City SJSC/TPAC	Estremera Keegan Kremen	N/A
Joint Recycled Water Policy Committee w/City of Palo Alto, East Palo Alto and Mountain View	Estremera Keegan Kremen	N/A
Joint Water Resources Committee with Cities of Morgan Hill and Gilroy	Santos Varela	N/A
San Felipe Division Reach One	Santos Varela	N/A

**DRAFT - 2020 SANTA CLARA VALLEY WATER DISTRICT BOARD
COMMITTEE APPOINTMENTS**

BOARD WORK GROUPS	MEMBER(S)	ALTERNATE(S)
DCA Group	Estremera Keegan Kremen	N/A
FAHCE Committee (Exempt from Brown Act)	Estremera Keegan LeZotte	N/A
Financial Sustainability Group	Hsueh LeZotte Keegan	N/A

STAFF COMMITTEES	REPRESENTATIVE(S)	ALTERNATE(S)
Landscape Committee	Santos Hsueh (<i>Liaisons</i>)	N/A
Santa Clara County Water Retailers	Hsueh (2020 Chair) Estremera (2020 Vice Chair) (<i>Liaisons</i>)	N/A

EXTERNAL COMMITTEES (WITH VOTING AUTHORITY)	MEMBER(S)	ALTERNATE(S)
ACWA <i>Joint Powers Insurance Authority</i>	Varela	LeZotte
Delta Conveyance Design and Construction Joint Powers Authority	Estremera	Keegan
Delta Conveyance Finance Authority	Kremen	Hsueh
Joint Venture Silicon Valley Board of Directors	Varela	N/A
Pajaro River Watershed Flood Protection Authority	Varela	Santos
Redevelopment Dissolution Countywide Oversight Board of Santa Clara County	Estremera	N/A
San Francisquito Creek JPA	Kremen	Hsueh
SLDMWA Board - Division 4	Kremen Varela	Santos Hall (Staff)
SLDMWA DHCCP Steering Committee – Division 4	Kremen	N. Hawk (Staff)
SCCO Special Districts Association	Estremera LeZotte	N/A
SCCO Recycling and Waste Reduction Commission	LeZotte	Hsueh
Santa Clara Valley HCP JPA	LeZotte Keegan	N/A

**DRAFT - 2020 SANTA CLARA VALLEY WATER DISTRICT BOARD
COMMITTEE APPOINTMENTS**

EXTERNAL COMMITTEES (NON-VOTING AUTHORITY)	REPRESENTATIVE(S)	ALTERNATE(S)
ACWA	Varela	Hsueh
Baylands Shoreline Steering Committee	Santos	Kremen
California WaterReuse Association <i>Education, Legislative, and Potable Reuse Committees</i>	LeZotte	Hsueh
Local Agency Formation Commission (LAFCO) <i>(Appointed by the Independent Special Districts Selection Committee)</i>	LeZotte	N/A
Northern California Latino Water Coalition	Estremera	Santos
Safe, Clean Water Independent Monitoring Committee	Hsueh (2020 Chair)	Estremera (2020 Vice Chair)
SCCO Emergency Operations Area Council	Santos	LeZotte
SCRWA	Varela Santos	Estremera
Zone 7, EBRPD, ACWD, SCVWD, LARPD and Tri-Valley Conservancy Liaison Committee	Kremen	N/A

THIS PAGE INTENTIONALLY LEFT BLANK

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: **January 23, 2020**

Owner: Michele King

Section: 02e List:

SANTA CLARA VALLEY WATER DISTRICT BOARD COMMITTEE APPOINTMENTS

Board Committees	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Board Policy and Planning Committee	B. Keegan N. Hsueh L. LeZotte	N/A	Advisory to the SCVWD Board	Support to the Board in areas of: 1. Board planning process; 2. Board Committees' principles and structures; 3. Board and organization performance monitoring & 4. Other tasks as assigned by the Board.	As called by Committee Chair	M. King
Board Audit Committee	B. Keegan G. Kremen N. Hsueh	N/A	Advisory to the SCVWD Board	Assist the Board, consistent with direction from the full Board, to identify potential areas for audit and audit priorities, and to review, update, plan and coordinate execution of Board audits.	As called by Committee Chair	M. Overland
Board Ethics and Conduct Committee	LeZotte (Prior year Chair) N. Hsueh (2020 Chair) T. Estremera (2020 Vice-Chair)	N/A		Consider initiation of investigation of allegations against a Board Member In accordance with Board Governance Policy GP-6.	As needed	M. King

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: **January 23, 2020**

Owner: Michele King

Section: 02e List:

Board Committees	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Capital Improvement Program (CIP) Committee	N. Hsueh T. Estremera L. LeZotte	N/A	Advisory to the SCVWD Board	Provide a venue for more detailed discussions regarding capital project validation, including recommendations on prioritizing, deleting, and/or adding projects to the CIP, as well as monitoring implementation progress of key projects in the CIP.	As called by Committee Chair	N. Dominguez
Coyote Flood Risk Reduction Ad Hoc Committee	B. Keegan T. Estremera R. Santos	N/A	Advisory to the SCVWD Board	Developing short-term, immediate solutions to the February 21, 2017 (President's Day Weekend) Coyote Creek Flood event.	As called by Committee Chair	G. Brambill
Diversity and Inclusion Ad Hoc Committee	T. Estremera N. Hsueh J. Varela	N/A	Advisory to the SCVWD Board	Work on Board and Director identified issues.	As called by Committee Chair	N. Dominguez
Homeless Encampment Ad Hoc Committee	J. Varela R. Santos T. Estremera	N/A	Advisory to the SCVWD Board	Discuss homelessness and encampment issues, and bring discussion and recommendations back to the Board.	As called by Committee Chair	G. Brambill

Attachment 2

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

Board Committees	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Recycled Water Committee	B. Keegan T. Estremera G. Kremen	N/A	Advisory to the SCVWD Board	Develop a long-term proposal for how the District can work together with other local agencies on recycled water opportunities within the district boundaries, to establish a collaborative process to facilitate policy discussion and sharing of technical information on recycled water issues.	As called by Committee Chair	E. Sans
Water Conservation and Demand Management Committee	N. Hsueh R. Santos L. LeZotte	N/A	Advisory to the SCVWD Board	Support the Board in achieving its policy to provide a reliable water supply to meet current and future water usage by making policy recommendations related to demand management.	As called by Committee Chair	G. Brambill
Water Storage Exploratory Committee	G. Kremen R. Santos J. Varela	N/A	Advisory to the SCVWD Board	Receive and discuss information on issues related to additional water storage options.	As called by Committee Chair	G. Brambill

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: **January 23, 2020**

Owner: Michele King

Section: 02e List:

Board Advisory Committees	Representative(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Agricultural Water Advisory Committee	R. Santos J. Varela	N. Hsueh	Advisory to the SCVWD Board	To assist the Board with policies and issues pertaining to agricultural water supply and use, as well as in the annual review of groundwater production charges	Quarterly in January, April, July and October	G. Brambill
Environmental and Water Resources Committee	L. LeZotte T. Estremera	N. Hsueh	Advisory to the SCVWD Board	To assist the Board with policies and issues pertaining to water supply, flood protection and environmental stewardship.	Quarterly in January, April, July and October	G. Brambill
Santa Clara Valley Water Commission	N. Hsueh (2020 Chair) T. Estremera (2020 Vice-Chair)	L. LeZotte (2019 Chair)	Advisory to the SCVWD Board	To assist the board with policies and issues pertaining to water supply, flood protection and environmental stewardship.	Quarterly in January, April, July and October	G. Brambill
Santa Clara Valley Water District Youth Commission	J. Varela N. Hsueh B. Keegan	N/A	Advisory to the SCVWD Board	Assist the Board with policy review and development, provide comment on activities in the implementation of the District's mission for Board consideration, and to identify Board-related issues pertaining to public policy education, outreach, and all matters impacting the Santa Clara County youth and the District.	Four times per year or more often, as authorized by the Board.	G. Brambill

Attachment 2

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

Joint Committees	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Joint Recycled Water Advisory Committee with the City of Sunnyvale	B. Keegan T. Estremera G. Kremen	N/A	Advisory to the SCVWD Board— Membership includes three (3) District Board members and two (2) Sunnyvale City Council members	Develop a long-term proposal for how the District and City of Sunnyvale can work together on recycled water opportunities, to establish a collaborative process to facilitate policy discussion and sharing of technical information on recycled water issues.	As called by Committee Chair	G. Brambill
Joint Recycled Water Policy Advisory Committee with the City of San Jose/Santa Clara-TPAC	B. Keegan T. Estremera G. Kremen	N/A	Advisory to the SCVWD Board and San José City Council Membership includes (3) District Board members, (2) CSJ Council members, and (2) CSC Council members.	Required per a term in the City–District 40-year Integration Agreement. The Committee shall tender its advice to the District’s Board of Directors and the City Council of the City of San José with respect to policy matters relating to the production, distribution and use of recycled water from facilities under administration by these agencies.	Regular meetings annually, on the third Thursday of April, at 10:00 a.m.	N. Dominguez

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

Joint Committees	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Joint Recycled Water Policy Committee with the City of Palo Alto, East Palo Alto and Mountain View	B. Keegan T. Estremera G. Kremen	N/A	Advisory to the SCVWD Board- Membership includes (3) District Board members, (2) Palo Alto Council members, (1) rep from East Palo Alto City Council, and (1) rep from Mountain View City Council.	Develop a long-term proposal for how the District and the Palo Alto Regional Water Quality Control Plant (RWQCP) partner agencies, other stakeholders, and interested parties, can work together on recycled water opportunities, to advance common interest, and to establish a collaborative process to facilitate policy discussion and sharing of technical information on recycled water issues.	As called by Committee Chair.	G. Brambill

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: **January 23, 2020**

Owner: Michele King

Section: 02e List:

Joint Committees	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Joint Water Resources Committee with Cities of Morgan Hill and Gilroy	J. Varela R. Santos	N/A	Advisory to the SCVWD Board – Membership includes (2) District Board members; (2) Morgan Hill Council Members (one must be a SCRWA representative); (2) Gilroy Council Members (one must be a SCRWA representative)	Advance common South County water interests and receive input from stakeholders and interested parties when undertaking the following: 1. Reviewing current practices and future needs for groundwater management in the Llagas groundwater sub-basin; 2. Facilitating policy discussion and sharing of technical information on water supply planning for South County; 3. Identifying the current and future demand for recycled water as well as jointly identifying funding sources for implementation of the So. Co. Recycled Water Master Plan; 4. Facilitating policy discussion and sharing of technical information on furthering development and use of recycled water in So Co.; and 5. Facilitating policy discussion and sharing of socio-economic information on homelessness in So. Co.	As called by Committee Chair	N. Dominguez

Attachment 2

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

Joint Committees	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
San Felipe Division Reach One	J. Varela R. Santos	N/A	Voting member Membership includes (2) SBCWD representatives, in accordance with SCVWD Agreement No. A3080/File No. 3160	Discuss the Initial Asset Evaluation Report, attempt to reach a joint recommendation for a Condition Level, and discuss policy issues.	Meet at least every five years, in accordance with agreement.	G. Brambill

Board Work Groups	Member(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
DCA Group	T. Estremera B. Keegan G. Kremen	N/A	Information Sharing		As requested by Staff	N/A
FAHCE Committee (Exception from Brown Act Requirements)	B. Keegan T. Estremera L. LeZotte	N/A	Advisory to the SCVWD Board	1. Track the progress of the District and other parties (Settlement Parties) of the FAHCE Settlement Agreement in completing requirements enabling dismissal of the water rights complaint and commencement of restoration program; and 2. Identify and recommend actions the Board can take to ensure expeditious completion of the requirements defined in Purpose 1.	As called by Committee Chair	M. King
Financial Sustainability Group	H. Hsueh L. LeZotte B. Keegan	N/A	Advisory to the SCVWD Board	Review organizational financial sustainability factors.	Monthly	N/A

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

Staff Committees	Representative(s)	Alternate	Role	Purpose	Meeting Frequency	COB Support
Landscape Committee	R. Santos N. Hsueh (LIAISONS)	B. Keegan	Liaisons	Exchange information and ideas with the goal of conserving water.	First Tuesday of the Month at 9:00 a.m.	N/A
Santa Clara County Water Retailers	H. Hsueh (2020 Chair) T. Estremera (2020 Vice Chair) (LIAISONS)	N/A	Liaisons	Allows communication and coordination between the District and the water retailers on a variety of topics, including water supply outlook, water service charge setting, operational issues, and status on special programs.	Third Wednesday of January, March, July & October.	N/A

GENERAL DISTRICT ROSTER



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

External Committees (with Voting Authority)	Member(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
ACWA JPIA (Joint Powers Insurance Authority)	J. Varela	L. LeZotte	Voting Member of the ACWA JPIA Board of Directors	Dedicated to consistently and cost effectively providing the broadest possible affordable insurance coverage and related services to its member agencies.	Meetings occur during two Annual Conferences – Spring and Fall	N/A
Delta Conveyance Design and Construction Joint Powers Authority	T. Estremera	B. Keegan	Voting Member of DCA JPA.	TBD	At least twice a year.	N/A
Delta Conveyance Finance Authority	G. Kremen	N. Hsueh	Voting Member of DCFA Board of Directors	TBD	TBD	N/A
Joint Venture Silicon Valley Board of Directors	J. Varela	N/A	Review and act on Joint Venture's initiatives and programs.	Provides analysis and action on issues affecting our region's economy and quality of life. The organization brings together established and emerging leaders—from business, government, academia, labor and the broader community—to spotlight issues and work toward innovative solutions.	Board meets quarterly.	N/A

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

External Committees (with Voting Authority)	Member(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
Pajaro River Watershed Flood Protection Authority	J. Varela (Authority Chair)	R. Santos	Each member organization participates and contributes in finding a method to provide flood protection in the watershed and promote general watershed interests.	Identify, evaluate, fund and implement environmentally sound flood prevention and control strategies in the Pajaro River Watershed, on an intergovernmental, cooperative basis as required by the Pajaro River Watershed Flood Prevention Authority Act.	First Friday of every other month (Feb, April, June, Sept, Nov)	N/A
Redevelopment Dissolution Countywide Oversight Board of Santa Clara County	T. Estremera	N/A	Voting Member of Oversight Board	Single countywide oversight board relating to redevelopment dissolution effective 7/1/18.	At least twice a year	N/A
San Francisquito Creek Joint Powers Authority	G. Kremen (Vice Chair/Secretary)	N. Hsueh	Voting Board Member.	An independent regional government agency founded by three cities and two countywide agencies divided by San Francisquito Creek and united by its watershed and floodplain. Leads projects along the creek and S.F. Bay that reduce a proven flood threat, enhance ecosystems and recreational opportunities, and connects communities.	4th Thursday of Each Month	N/A

GENERAL DISTRICT ROSTER



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

External Committees (with Voting Authority)	Member(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
San Luis & Delta Mendota Water Authority Board - Division 4	G. Kremen J. Varela	R. Santos G. Hall (STAFF)	Voting member of Governing Body - Division 4	One of the primary purposes of establishing the Authority was to assume the operation and maintenance (O&M) responsibilities of certain United States Bureau of Reclamation (USBR) Central Valley Project facilities, and do so at an optimum level and at a lower cost than the USBR.	Monthly – 1st Thursday following the 1st Monday	N/A
San Luis & Delta Mendota Water Authority – Delta Habitat Conservation and Conveyance Plan Steering Committee (DHCCP) – Division 4	G. Kremen	N. Hawk (STAFF)	Voting member of Committee	Conduct the business of the Delta Habitat Conservation and Conveyance Activity Agreement (Agreement).	As needed.	N/A
Santa Clara County Special Districts Association	T. Estremera L. LeZotte	N/A	Voting member	Propose and advocate constructive means for the continuous improvement and functioning of special districts within Santa Clara County, and to assist special districts to provide a more effective and efficient government at the closest level to the residents of Santa Clara County, that will result in benefits to the public.	First Monday- in March, June, and December; Second Monday in September.	N/A

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

External Committees (with Voting Authority)	Member(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
Santa Clara County Recycling and Waste Reduction Commission	L. LeZotte	N. Hsueh	Voting Commissioner- Principal advisory body to city and town councils and the Board of Supervisors of Santa Clara County on countywide solid waste planning issues.	Provides leadership for countywide planning and works to assure the success of countywide cooperative programs to reduce, reuse, and recycle materials that otherwise would be disposed of in landfills. The Commission has state-mandated responsibilities, such as review and oversight of the Countywide Integrated Waste Management Plan and Siting Element, local Source Reduction and Recycling Elements, Household Hazardous Waste Elements, and Non-disposal Facility Elements	Fourth Monday of even months, not December.	N/A
Santa Clara Valley Habitat JPA	L. LeZotte B. Keegan	N/A	Voting Member of the Implementation Board	Joint Powers Authority to implement the Santa Clara Valley Habitat Plan	Third Thursday of every month	N/A

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

External Committees (with Non-Voting Authority)	Representative(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
ACWA (Association of California Water Agencies)	J. Varela	N. Hsueh	Information sharing	Provide a structure where agencies can discuss/resolve issues of mutual concern & interest and, based on that interaction, provide representative input to the ACWA board. Assist the Outreach Task Force in building local grassroots support for the ACWA Outreach Program in order to advance ACWA's legislative & regulatory priorities as determined by the ACWA Board & the State Legislative, Federal Affairs or other policy committees. Provide a forum to educate region members on ACWA's priorities & issues of local & statewide concern. Assist with association membership recruitment at the regional level. Take positions recommending specific action to the ACWA Board on local, regional, state & federal issues as well as to recommend endorsement for various government offices and positions.	Meetings occur during two Annual Conferences – Spring and Fall	N/A
Baylands Shoreline Steering Committee	R. Santos	G. Kremen	TBD	TBD	TBD	N/A

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: **January 23, 2020**

Owner: Michele King

Section: 02e List:

External Committees (with Non-Voting Authority)	Representative(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
California WaterReuse Association (Education, Legislative, & Potable Reuse Committees)	L. LeZotte	N. Hsueh	TBD	Advance the beneficial and efficient uses of high- quality, locally produced, sustainable water sources for the betterment of society and the environment through advocacy, education and outreach, research, and membership.	Varies	N/A
Local Agency Formation Commission (LAFCO) (Appointed by the Independent Special Districts Selection Committee)	L. LeZotte	N/A	Commissioner appointed by the Independent Special Districts Selection committee. Commissioners exercise their independent judgment on behalf of the interests of the public as a whole in furthering the purposes of the CKH Act and not solely the interests of the appointing authority.	An independent agency with countywide jurisdiction established by state law to encourage orderly growth and development of local agencies. The mission is to promote sustainable growth and good governance in Santa Clara county.	First Wednesday of every other month.	N/A
Northern California Latino Water Coalition	T. Estremera (Coastal Chairman)	R. Santos	TBD	An organization dedicated expressly to helping constructively craft solutions to California's water crisis and ensures that our state's vital water supply needs are met, now and in the future.	TBD	N/A

GENERAL DISTRICT ROSTER

Santa Clara Valley Water District



Subject: Board Committee Appointments

DRAFT

Date: **January 23, 2020**

Owner: Michele King

Section: 02e List:

External Committees (with Non-Voting Authority)	Representative(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
Safe, Clean Water Independent Monitoring Committee	N. Hsueh (2020 Chair)	T. Estremera (2020 Vice Chair)	Liaison	Annually reviews the implementation of the intended results of the program and reports its findings to the Board, which makes the Committee report available to the residents and voters of Santa Clara County.	Generally, December, January & March (or as determined by the Committee)	G. Brambill
Santa Clara County Emergency Operational Area Council	R. Santos	L. LeZotte	Elected Official Participant	Enhance planning and preparedness for large- scale emergencies; to create effective partnerships in emergency planning, preparedness, training and exercise within the Operational Area; to consolidate activities of cities and special districts to participate more efficiently in planning for future emergencies and disasters; to provide access to public-private partners to participate in emergency planning and preparedness; and to develop broad-based emergency preparedness and planning funding priorities and recommendations.	Quarterly, 1 st Thursday of Feb, May, Aug, Nov	N/A

GENERAL DISTRICT ROSTER



Subject: Board Committee Appointments

DRAFT

Date: January 23, 2020

Owner: Michele King

Section: 02e List:

External Committees (with Non-Voting Authority)	Representative(s)	Alternate	Director Role	Purpose	Meeting Frequency	COB Support
South County Regional Wastewater Authority	R. Santos J. Varela	T. Estremera	Information sharing	A joint powers authority established to manage the treatment of wastewater for the Cities of Gilroy and Morgan Hill. In partnership with the Santa Clara Valley Water District, the SCRWA also operates a recycled water facility co-located at the treatment plant site.	First Wednesday of every month	N/A
Zone 7, EBRPD, ACWD, SCVWD, LARPD and Tri- Valley Conservancy Liaison Committee	G. Kremen	N/A	TBD	TBD	TBD	TBD

THIS PAGE INTENTIONALLY LEFT BLANK

Michele King

From: system-generated
Sent: Wednesday, February 05, 2020 11:12 AM
To: Clerk of the Board
Subject: SCVWD Agenda Comment Form

Submitted on Wed, 02/05/2020 - 11:11 AM

Submitted values are:

Name

Doug Muirhead

Address

Morgan Hill, California

Email

doug.muirhead@stanfordalumni.org

Agency, Business or Group (if applicable)

Public

Board Meeting Date

2020-02-11

Agenda Item Number

4.1

I would like to

No Position--Comment Only

Comment Form

Reference: DRAFT - 2020 SANTA CLARA VALLEY WATER DISTRICT
BOARD COMMITTEE APPOINTMENTS

a) A correction on LAFCO appointment

You have EXTERNAL COMMITTEES (NON-VOTING AUTHORITY)

Local Agency Formation Commission (LAFCO)

(Appointed by the Independent Special Districts
Selection Committee)

"Appointed by ISDSC" is not correct.

The resolution from the Special Districts Association
on August 13 2012 requesting Special District seats on
Santa Clara County Local Agency Formation Commission included

a) adopting an alternative formula for distributing

Local Agency Formation Commission operating costs

b) adopting an alternative process for appointing Independent
Special District members to the Santa Clara County LAFCO

Specifically

5. The Santa Clara Valley Water District shall have one appointment
to the SCCLAFCO as a result of its consent to pay greater than 50%
of the LAFCO costs;

and the second representative and alternate will be selected via the standard selection process.

b) A question on definition of "Non-Voting"

You have EXTERNAL COMMITTEES (WITH VOTING AUTHORITY)

with organizations such as

SCCO Special Districts Association

SCCO Recycling and Waste Reduction Commission

Santa Clara Valley HCP JPA

I am not aware that any of these agencies have specifically defined how a member is to vote.

Then you have EXTERNAL COMMITTEES (NON-VOTING AUTHORITY)

with organizations such as

Local Agency Formation Commission (LAFCO)

SCCO Emergency Operations Area Council

SCRWA

The District representatives vote at all these meetings.

The only explicit requirement that your representative is to speak for the best interests of the County as a whole and not the appointing agency is LAFCO.

The District is specifically identified as a member of the Operations Area Council and their bylaws are silent on voting.

And SCRWA (South County Regional Wastewater Authority) is a JPA on which the District does not have a seat. District representatives sit in the audience alongside staff.



Santa Clara Valley Water District

File No.: 20-0183

Agenda Date: 2/11/2020
Item No.: *4.2.

BOARD AGENDA MEMORANDUM

SUBJECT:

Board Committee Reports.

ATTACHMENTS:

- *Handout 4.2-A: 120919 CIP Summary
- *Handout 4.2-B: 011320 CIP Summary
- *Handout 4.2-C: 021020 CIP Agenda
- *Handout 4.2-D: 121819 D&I Summary
- *Handout 4.2-E: 012220 Water Commission Summary
- *Handout 4.2-F: 012220 BAC Summary
- *Handout 4.2-G: 021220 IMC Agenda

THIS PAGE INTENTIONALLY LEFT BLANK



MEMORANDUM

FC 14 (01-02-07)

TO: Board of Directors

FROM: Capital Improvement Program Committee

SUBJECT: 12/09/19 Capital Improvement Program Meeting Summary

DATE: 01/14/2020

This memorandum summarizes the Capital Improvement Program Committee (Committee) meeting held on December 9, 2019, where the following workplan items were discussed:

1. Update on Palo Alto Flood Basin Tide Gate Structure Improvements Project.

The Committee received an update on the project. Chairperson Hsueh and Director LeZotte expressed concern with the timeline of the project in consideration of the 2017 Structural Assessment, and confirmed they would have a discussion with Valley Water's Chief Executive Officer.

2. Capital Project Monitoring – Design.

The Committee received an update on Valley Water capital projects in the design phase.

- San Francisco Bay Shoreline Project: The USACE has released advertisement for bids for Phases 1, 2 and 3.
- Rinconada Water Treatment Plant Residuals Management Project: Staff to clarify that remaining work is limited to small capital projects, and that the large Capital Improvement portion of the Project is complete.
- South County Recycled Water Pipeline Short-Term Implementation Phase B: Staff to clarify whether the project is on hold because it is pending award of anticipated \$52 million grand funding in addition to USBR NEPA updates.
- Llagas Creek – Upper Project: Staff to rename project to Upper Llagas Creek Phase 2 Project.

Staff provided information on Items 3 and 4 concurrently by the various funds.

3. Draft Preliminary Capital Improvement Program Fiscal Years 2021-2025, and

4. Updated Analysis Regarding the CIP Committee's Recommended Funding Scenario for Safe, Clean Water and Natural Flood Protection Program Flood Protection Projects.

The Committee received information on the General Fund (Fund 11), Watershed Streams Stewardship Fund (Fund 12), Safe Clean Water and Natural Flood Protection Fund (Fund 26), Water Utility Enterprise Fund (Fund 61), and Equipment Fund (Fund 71). Staff confirmed that complete project status updates on proposed Fund 26 projects would be provided to the full Board at its December 17 meeting. Also regarding Fund 26, staff will prepare proposed funding scenarios to reflect opportunities for shortfalls, and a progression of options, e.g., local funding only approach vs. preferred project approach, if NRCS funding is not secured, and more clearly call out in its presentation to the Board when additional funding for Fund 26 projects is coming from Capital Projects Reserves. In regard to Fund 12, staff to include in the presentation to the full Board a preliminary draft of the backlog of O&M activities, and prepare for further discussion during a January 2020 Board meeting. Regarding Fund 61, staff to include in future water rate setting

process discussions, information on whether any validated, future unfunded CIP projects, or other baseline projects could be funded under Fund 61, and their significance to water supply.

5. 2019 CIP Work Plan and Proposed 2020 Workplan and Meeting Schedule.

The Committee reviewed the 2019 and proposed 2020 Workplans, and adjusted the proposed work plan to move the Calero Dam Seismic Upgrade and Water Reliability Analysis presentation to the March 2020 meeting, and accepted the 2020 meeting schedule.

Board member comments and suggestions can be forwarded to Natalie Dominguez, Assistant Deputy Clerk II, at (408) 630-2659 or by email to ndominguez@valleywater.org.

Thank you.

Nai Hsueh

Director, District 5
Capital Improvement Program Committee Chairperson



MEMORANDUM

FC 14 (01-02-07)

TO: Board of Directors

FROM: Capital Improvement
Program Committee

SUBJECT: 01/13/2020 Capital Improvement Program
Meeting Summary

DATE: 02/10/2020

This memorandum summarizes the Capital Improvement Program Committee (Committee) meeting held on January 13, 2020, where the following workplan items were discussed:

1. Updated Preliminary Capital Improvement Program Fiscal Years 2021-2025.

The Committee received an update on the Fiscal Years 2021-20205 Capital Improvement Program regarding adjustments made to the various funds per the Board's direction at its 12/9/19 meeting. Funds were transferred from Upper Penitencia Creek Flood Protection Project to the Coyote Creek Flood Protection Project, and updates were made to the Watershed Stream Stewardship Fund (Fund 12) and the Safe, Clean Water and Natural Flood Protection Program Fund (Fund 26) for the following projects:

- Coyote Creek, Montague Expressway to Tully Road Flood Protection Project: Administrative transfer of \$2.3M from Fund 26 Reserves to restore Preliminary CIP Funding level to FY 20-24 CIP funding level; and the Board directed transfer of \$21M (uninflated dollars) from Upper Penitencia Creek Project to fund construction of the Coyote Creek project.
- Upper Penitencia, Coyote Creek to Dorel Drive Flood Protection Project: Administrative transfer of \$3.1M from Fund 26 Reserves to restore Preliminary CIP funding level to FY 20-24 CIP Funding level; and the Board directed transfer of \$21M (uninflated dollars) from Upper Penitencia Creek project to fund construction of Coyote Creek project, which required a fund transfer of \$5M within the Upper Penitencia Project. The Project is now closed.
- Hale Creek Enhancement Pilot Study: The Preliminary CIP was updated to reflect updated project cost increase of \$4.1M.

The Committee reviewed financial models which reflected the adjustments to Funds 12 and 26, and while Fund 12 financial forecast had relatively minor changes, Fund 26 reflected a \$12M shortfall at the end of the program in 2028.

Staff will present the Preliminary CIP to the Board on 1/14/2020 and based on Board discussion and action will make adjustments as necessary, and bring the updated report back to the Committee for a review of changes.

2. Capital Project Monitoring – Planning and Feasibility Report:

The Committee received an update on projects in the planning and feasibility phase. The Committee directed staff to remove the FAHCE Implementation from the Capital Project Monitoring – Planning and Feasibility Report, and refer it to the FAHCE Committee.

3. 2019 Capital Improvement Program Committee Accomplishment Report:

The Committee reviewed the 2019 Capital Improvement Program Committee Accomplishment Report, suggested minor revisions for clarification and directed staff to prepare a Board Agenda Item to present the report to the Board to the full Board in February 2020.

4. 2020 Capital Improvement Program Committee Work Plan:

The Committee reviewed the 2020 Capital Improvement Program Committee Work Plan, and made the following requests of staff:

- Remove Save Clean Water Projects Implementation from the Work Plan;
- Move Project Planning Studies for Board Review/Approval from Capitol Project Monitoring to CIP Implementation section;
- Delete New Projects from CIP Development section; and
- Add new item to CIP Development section: Potential Capital Projects for New Measure.

Board member comments and suggestions can be forwarded to Natalie Dominguez, Assistant Deputy Clerk II, at (408) 630-2659 or by email to ndominguez@valleywater.org.

Thank you.

Nai Hsueh

Director, District 5
Capital Improvement Program Committee Chairperson



Santa Clara Valley Water District Capital Improvement Program Committee Meeting

District Headquarters, Board Conference Room A-124
5700 Almaden Expressway, San Jose, CA 95118

REGULAR MEETING AGENDA

**Monday, February 10, 2020
10:00 AM**

District Mission: Provide Silicon Valley safe, clean water for a healthy life, environment and economy.

Nai Hsueh, Chair, District 5
Linda J. LeZotte, Vice Chair, District 4

Tony Estremera, District 6

All public records relating to an item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at the Office of the Clerk of the Board at the Santa Clara Valley Water District Headquarters Building, 5700 Almaden Expressway, San Jose, CA 95118, at the same time that the public records are distributed or made available to the legislative body. Santa Clara Valley Water District will make reasonable efforts to accommodate persons with disabilities wishing to attend Board of Directors' meeting. Please advise the Clerk of the Board Office of any special needs by calling (408) 265-2600.

BETH REDMOND
Committee Liaison

NATALIE F. DOMINGUEZ,
CMC
Assistant Deputy Clerk II
Office/Clerk of the Board
(408) 265-2659
ndominguez@valleywater.org

Note: The finalized Board Agenda, exception items and supplemental items will be posted prior to the meeting in accordance with the Brown Act.

THIS PAGE INTENTIONALLY LEFT BLANK

**Santa Clara Valley Water District
Capital Improvement Program Committee
REGULAR MEETING
AGENDA**

Monday, February 10, 2020

10:00 AM

District Headquarters, Board Conference Room
A-124
5700 Almaden Expressway, San Jose, CA 95118

1. CALL TO ORDER:

1.1. Roll Call.

2. TIME OPEN FOR PUBLIC COMMENT ON ANY ITEM NOT ON THE AGENDA.

Notice to the public: This item is reserved for persons desiring to address the Committee on any matter not on this agenda. Members of the public who wish to address the Committee on any item not listed on the agenda should complete a Speaker Form and present it to the Committee Clerk. The Committee Chair will call individuals in turn. Speakers comments should be limited to three minutes or as set by the Chair. The law does not permit Committee action on, or extended discussion of, any item not on the agenda except under special circumstances. If Committee action is requested, the matter may be placed on a future agenda. All comments that require a response will be referred to staff for a reply in writing. The Committee may take action on any item of business appearing on the posted agenda.

3. APPROVAL OF MINUTES:

3.1. Approval of January 13, 2020 Meeting Minutes.

[20-0049](#)

Recommendation: Approve the minutes.

Manager: Michele King, 408-630-2711

Attachments: [Attachment 1: 011320 CIP Meeting Minutes](#)

Est. Staff Time: 5 Minutes

4. ACTION ITEMS:

4.1. Review Project Delivery Process for Capital Projects.

[20-0199](#)

Recommendation: Review and discuss Project Delivery Process for Capital Projects and provide direction to staff as necessary.

Manager: Christopher Hakes, 408-630-3796

Attachments: [Attachment 1 CIP Project Delivery Process](#)

4.2. Receive Update on Capital Project Monitoring - Construction. [20-0076](#)

Recommendation: Receive and discuss information regarding the status of capital projects in the construction phase.

Manager: Tim Bramer, 408-630-3794
Ngoc Nguyen, 408-630-2632
Michael Cook, 408-630-2424

Attachments: [Attachment 1: Construction Projects Monitoring Report](#)

Est. Staff Time: 20 Minutes

4.3. Receive Information on Upcoming Consultant Agreement Amendments for Capital Projects. [19-1202](#)

Recommendation: Receive information on upcoming consultant agreement amendments for capital projects that staff will be recommending for Board approval.

Manager: Chris Hakes, 408-630-3796

Est. Staff Time: 10 Minutes

4.4. Review 2020 Capital Improvement Committee Work Plan. [20-0078](#)

Recommendation: Review the 2020 Capital Improvement Program Committee Work Plan, and make adjustments as necessary.

Manager: Michele King, 408-2630-2711

Attachments: [Attachment 1 2020 CIP Committee Workplan](#)

Est. Staff Time: 10 Minutes

5. INFORMATION ITEMS:

6. CLERK REVIEW AND CLARIFICATION OF COMMITTEE REQUESTS.

This is an opportunity for the Clerk to review and obtain clarification on any formally moved, seconded, and approved requests and recommendations made by the Committee during the meeting.

7. ADJOURN:

7.1. Adjourn to Regular Meeting at 10:00 a.m., on March 9, 2020, in the Santa Clara Valley Water District, Board Conference Room A-124, 5700 Almaden Expressway, San Jose, California.



MEMORANDUM

FC 14 (01-02-07)

TO: Board of Directors

FROM: Diversity and Inclusion Ad Hoc Committee Meeting

SUBJECT: Diversity and Inclusion Ad Hoc Committee Meeting Summary for December 18, 2019

DATE: January 14, 2020

This memorandum summarizes agenda items discussed during the Diversity and Inclusion Ad Hoc Committee Meeting held on December 18, 2019.

ACTION ITEMS:

4.1. Diversity and Inclusion Update.

The Committee received an update on Diversity and Inclusion Programs regarding building pipelines, recruitment, employee retention, and succession planning. The Committee made the following requests of staff:

- Prepare an analysis of Human Resources staffing needs to support expanding the intern and apprentice programs;
- Investigate and report on supplemental funding opportunities to support the intern and apprentice programs;
- Prepare a prioritized list of programs/initiatives regarding outreach and recruitment of veterans; and
- Revise the Diversity and Inclusion Program Update to include information on hiring and promotions.

4.2. Recommended Ends Policy Language.

The Committee received an update on proposed changes to Business Management Goals and Objectives. Proposed additions are in bold text below:

- Business Management Goal, 5.1, Advance Diversity and Inclusion ***and maintain appropriate staffing levels and expertise.***
- Business Management Objectives, ***5.1.4, Establish a workforce to meet current needs, and plan for future needs.***

The Committee continued discussion on this item to a future meeting to provide staff an opportunity to define goals and steps to achieve staffing needs.

4.3. Diversity and Inclusion Ad Hoc Committee Work Plan.

The Committee reviewed its Work Plan, and decided to move to a monthly meeting schedule beginning February 2020.

Board member comments and suggestions can be forwarded to Natalie Dominguez, Assistant Deputy Clerk II, at [\(408\) 630-2659](tel:4086302659) or by email to ndominguez@valleywater.org.

Thank you.

Tony Estremera
Director, District 6
Chairperson, Diversity & Inclusion Ad Hoc Committee

THIS PAGE INTENTIONALLY LEFT BLANK



MEMORANDUM

FC 14 (01-02-07)

TO: Board of Directors
FROM: Santa Clara Valley Water Commission
SUBJECT: Santa Clara Valley Water Commission Meeting Summary for January 22, 2020
DATE: February 11, 2020

This memorandum summarizes agenda items from the regular meeting of the Santa Clara Valley Water Commission held on January 22, 2020.

Attendees:

Water Commission Members: Hon. Jon Willey, Hon. Peter Leroe-Muñoz, Hon. Anita Enander, Hon. Courtenay Corrigan, Hon. Barbara Spector, Hon. Rich Constantine, Hon. Lucas Ramirez, Hon. Pam Foley, Hon. Debi Davis, Hon. Rishi Kumar, Hon. Nancy Smith, Hon. Mike Flaughner and Hon. Jed Cyr.

Board members in attendance were: Directors Nai Hsueh and Linda J. LeZotte, Board Representatives.

Staff members in attendance were: Glenna Brambill, Norma J. Camacho, Vanessa De La Piedra, Lisa Flores, Vincent Gin, Nina Hawk, Marta Lugo, Brian Mendenhall, Anthony Mendiola, Metra Richert, Darin Taylor, and Bhavani Yerrapotu.

Guest in attendance were: Hon. Yvonne Martinez Beltran, City of Morgan Hill, Gary Welling, City of Santa Clara and Hon. Richard P. Santos, Valley Water.

ACTION ITEMS

4.1 ELECTION OF 2020 CHAIR AND VICE CHAIR

The Water Commission unanimously approved Hon. Rich Constantine as Chair and Hon. Pam Foley as Vice Chair for 2020.

5.1. REVIEW AND APPROVE 2019 ANNUAL ACCOMPLISHMENTS REPORT FOR PRESENTATION TO THE BOARD

Ms. Glenna Brambill gave an overview of the Commission's Accomplishments for 2019.

The Water Commission took the following action:

The Commission by unanimous vote, approved the 2019 Annual Accomplishments Report for Presentation to the Board.

The Board should receive the Commission's report at its March 24, 2020, meeting.

5.2. REVIEW AND COMMENT TO THE BOARD ON THE FISCAL YEAR 2020-21 PRELIMINARY GROUNDWATER PRODUCTION CHARGES

Mr. Darin Taylor review the following:

Summary:

Summary of Groundwater Production Charge Analysis:

Staff has prepared the preliminary FY 2020-21 groundwater production charge analysis, which includes several scenarios for Board review. Staff has developed a baseline scenario that aligns with the 80% level of service goals per the Water Supply Master Plan approved by the Board in November 2019, along with several other scenarios for Board consideration. Staff is seeking Board input on the preliminary analysis to incorporate into the development of the groundwater production charge recommendation.

The groundwater production charge recommendation will be detailed in the Annual Report on the Protection and Augmentation of Water Supplies that is planned to be filed with the Clerk of the Board on February 28, 2020. The public hearing on groundwater production charges is scheduled to open on April 14, 2020. It is anticipated that the Board would set the FY 2020-21 groundwater production charges by May 12, 2020, that would become effective on July 1, 2020.

The FY 2020-21 groundwater production charge and surface water charge setting process will be conducted consistent with the District Act, and Board resolutions 99-21 and 12-10.

Water Use Assumptions

District managed water use for FY 2018-19 is estimated to be approximately 208,000 acre-feet (AF), roughly 19,000 AF lower than budgeted due to a wet winter and wet spring. If the wet winter and wet spring were to repeat for the current year FY 2019-20, then there would be a 30,000 AF water usage shortfall versus budget, which would translate to an estimated \$40 million revenue shortfall. Wet springs have happened roughly 30% of the time over the past two decades, so the likelihood of a repeat is low but still possible. The current water demand projection for FY 2020-21 is 251,000 AF, which is approximately a 21% increase compared to the FY 2018-2019 estimate. Staff believes that the water demand projection should be adjusted downward to 230,000 AF for FY 2020-21. This adjustment would better align with the FY 2017-18 actuals (which did not include a wet spring) and includes consideration for the impact of ramping up production at San Jose Water Company's Montevina Treatment Plant, which uses non-District sourced water. The preliminary groundwater charge scenarios discussed in the following section are based on a reduced water demand projection of 230,000 AF in FY 2020-21, and then assumes a very small amount of growth in the following years.

Staff will continue to carefully monitor monthly water use actuals and work closely with the water retailers during the upcoming rate setting process to modify the water usage forecast as necessary.

Newly Proposed Water Supply Projects

On November 20, 2019, the Board approved the Water Supply Master Plan 2040, which identified a suite of investments to meet long-term water supply reliability goals. The WSMP's sustainability strategy emphasized the need to secure existing supplies and infrastructure. However, this plan did not evaluate the utility infrastructure needs; this evaluation has not taken place since 2011. Valley Water continues to experience greater constraints on system operations (including recent Public Safety Power Shutoffs), and infrastructure is aging/obsolete and needs to be replaced (e.g., SCADA, Almaden Valley Pipeline).

Therefore, to ensure all the conveyance, treatment, and distribution systems are ready to deliver on those future investments, staff has identified the following three new projects:

1. Supervisory Control and Data Acquisition (SCADA) Implementation Project,
2. Water Treatment Plant Implementation Project, and
3. Distribution System Implementation Project.

The three projects referenced above are aligned with the WSMP's sustainability strategy. However, as a result of the parallel timelines, the three projects were not included in the FY 2021-25 Preliminary CIP, but can be added into the Draft FY 2021-25 CIP upon Board direction.

Additional information about the scope of work, deliverables, schedule, and resource needs for each new project is provided below:

SCADA Implementation Project

Valley Water's process control and SCADA systems, which serve a pivotal role in monitoring and controlling the raw water conveyance system (including reservoirs and pumping plants), treatment plants and distribution systems are aging and in need of coordinated replacement and upgrade. The proper functioning of these systems is essential for meeting water demand, maintaining water quality, achieving regulatory compliance, and satisfying customer expectations. In addition, the process control and SCADA systems contain important data used by Operations, Maintenance, Water Quality, Management and other Engineering staff for operations, reporting, analysis, and planning purposes; and expanded access to the data systems is needed.

The objectives of the project are to prepare an update to the process control systems/SCADA master plan (2011), recommend a coordinated suite of improvement projects (projects implementation plan) for the Board's consideration, produce detailed design and implementation standards for the new projects, develop the new projects through conceptual design, and provide owner's engineering support for new projects through construction.

It is anticipated that the project will start in FY 2021 and take 15 years to complete. The first three years of the project will be focused on bringing the updated master plan and suite of new projects with an implementation plan to the Board, at a budgeted cost of \$6.7 million (which includes \$3.3 million in consultant cost, along with staff resources for project engineering, and key partner and stakeholder participation). The remainder of the project, through FY 2035, will consist of the design and construction of the recommended replacement and upgrade projects themselves, with Board check-ins and approvals for each as they are initiated.

Water Treatment Plant Implementation Project

The infrastructure needs for the water treatment plants (WTPs) have been developed over the years through a number of planning documents focused on specific process areas, and not through an integrated master implementation plan. As a result, projects are often piecemealed for specific needs, needing frequent rebuilds or upgrades due to adjacent processes or regulatory requirements changes. There is a need to develop a comprehensive implementation plan that coordinates regulatory-driven changes with aging infrastructure needs and other operational improvements for the WTPs as well as integrates with the recently completed Water Supply Master Plan.

The WTP Implementation Project will prepare an implementation plan over the next 30 years to identify projects needed to repair, replace, and/or upgrade Valley Water's WTP infrastructures; address the increasingly stringent water quality regulations; and prepare to implement projects that the Board approves. The implementation plan will also conclude with a programmatic EIR. Facilities include the Rinconada, Santa Teresa, Penitencia WTPs and the Purification Center.

It is anticipated that the project will start in FY 2021 and take three years to complete. The estimated cost of the project is \$8.4 million (which includes \$6 million in consultant cost, along with staff resources for dedicated project management and project engineering, and for key partner and stakeholder participation).

Distribution System Implementation Project

Valley Water has not conducted a comprehensive evaluation of its distribution system (raw and treated water pipelines) in recent history. With the recently completed Water Supply Master Plan, there is a need to develop a comprehensive Distribution Systems Implementation Plan (DSMP) looking out 30 years to identify improvements to Valley Water's raw and treated water systems based on current demands, future growth, and emergencies.

The DSMP will provide significant insights, analysis tools for Valley Water's raw and treated water distribution systems to ensure that the distribution system infrastructure is appropriately sized to accommodate new supplies as they are brought online, retailer needs, recommend direct capital actions needed to protect existing distribution systems, and will conclude with a programmatic EIR.

It is anticipated that the project will start in FY 2021 and take three years to complete. The estimated cost of the project is \$8.1 million (which includes \$6 million in consultant cost, along with staff resources for dedicated modeling analysis and evaluation, project engineering support, and for key partner and stakeholder participation).

Groundwater Production Charge Projections

Staff has prepared several preliminary groundwater production charge projection scenarios for Board review. The increase in the North County Municipal and Industrial (M&I) groundwater production charge ranges from 8.1% to 8.7% for FY 2020-21 depending on the scenario, and from 4.7% to 5.3% in the South County.

The overall impact of the preliminary analysis scenarios for FY 2020-21 to the average household would be an increase ranging from \$3.83 to \$4.12 per month in North County and from \$0.78 to \$0.88 per month in South County.

Staff proposes to increase the Contract Treated Water Surcharge from \$100/AF to \$200/AF to encourage retailers to continue investing in groundwater wells. Staff is concerned about increased retailer interest in reliance on treated water relative to groundwater due to the increased life-cycle cost of groundwater wells. Groundwater provides 40% of water used in the county and is the largest emergency supply. It is important that treated water retailers maintain groundwater wells for routine use as well as use during an emergency.

Staff has prepared the following scenarios for Board consideration:

Scenario 1) Baseline: Water Supply Master Plan (WSMP) 80% Level of Service (LOS)

This scenario includes the following projects and assumptions:

- Baseline Projects according to the WSMP including the Almaden Valley Pipeline Replacement, Land Rights – South County Recycled Water Pipeline, and Supervisory Control and Data Acquisition (SCADA)/Water Treatment Plant/ Distribution System Implementation Projects;
- Delta Conveyance (State side only);
- No Regrets Package projects;
- Potable Reuse Phase 1 to produce 24,000 AF (assume operations start in FY 28);
- Pacheco Reservoir Expansion (assumes \$485M Proposition 1 grant, \$250M of WIIN Act Funding, 20% Partnerships);
- Transfer-Bethany Pipeline;
- South County Recharge (assume facilities built beyond FY 2029-30);
- \$200M warranty placeholder cost for dams and Water Treatment Plants.

Scenario 2) No WIIN Act Funding

Includes the same projects and assumptions as Scenario 1 except as follows:

- Assumes \$0 WIIN Act Funding instead of \$250M.

Scenario 3) Revised Purified Water Program

Includes the same projects and assumptions as Scenario 2 except as follows:

- Replaces Potable Reuse Phase 1 placeholder project with a \$614M Potable Reuse Project based on the recently signed agreement with Palo Alto and Mountain View to produce 13KAF by FY 30, and;
- Assumes that the District builds, finances and operates the facilities (i.e. not delivered via a Public-Private Partnership or P3) and therefore the P3 reserve is eliminated.

Scenario 4) Add Delta Conveyance Central Valley Project (CVP) side investment

Includes the same projects and assumptions as Scenario 3 except as follows:

- Adds the Delta Conveyance CVP side costs.

Staff can model additional scenarios for the Board as needed.

It should be noted that Investment Scenario 3 replaces the Potable Reuse Phase 1 placeholder project, which would produce 24KAF by FY 28, with a \$614M Potable Reuse Project based on the recently signed agreement with Palo Alto/Mountain View to produce 10 to 13KAF by FY 30. This revised Potable Reuse Project under Scenario 3 would meet the 80% level of service goal (note that the Baseline scenario slightly exceeded the 80% LOS goal, due to future uncertainties discussed with the Board in 2019). The cost estimate for the revised Potable Reuse Project is based on an indirect potable reuse (IPR) project, but it could potentially be a direct potable reuse (DPR) project. Regulations for DPR are expected by the end of 2023, and draft regulations are expected to be released sometime in 2022. A DPR project may lower total cost due to avoiding long pipelines to recharge areas.

There are a couple of strategic options for the Board to consider:

1. Given the reduced near-term water usage projection, the Board could wait until the Fall of 2020 for the Monitoring and Assessment Plan (MAP) review to determine if a water supply shortfall exists relative to achieving the 80% level of service goal.
2. Pursue substitute water supply investment to make up the 11 to 14KAF shortfall (including incremental purified water investments, incremental Delta Conveyance "CVP side" investments, and/or investments in Sites or Los Vaqueros water storage projects).

Transition to modified Groundwater Benefit Zones

On October 8, 2019, the Board directed staff to pursue modifying the existing groundwater benefit zones W-2 and W-5, and to create two new zones W-7 (Coyote Valley) and W-8 (below Uvas and Chesbro Reservoirs), effective July 1, 2020. New metes and bounds (the legal description that defines the boundaries of the zones) will be developed for Board consideration in accordance with Santa Clara Valley Water District Act requirements. Accordingly, staff has engaged Raftelis Financial Consultants to assist with analyzing cost allocations between the modified zones that would support corresponding modified groundwater charges for each zone for FY 2020-21. As of the preparation of this memo, staff is still working on the cost allocations between the modified zones in the South County area (Zones W-5, W-7 and W-8).

Other Assumptions

All scenarios assume the continued practice of relying on the State Water Project (SWP) Tax to pay for 100% of the SWP contractual obligations. Pursuant to Water Code Section 11652, the District, whenever necessary, is required to levy on all property in its jurisdiction not exempt from taxation, a tax sufficient to provide for all payments under its SWP contract with the California Department of Water Resources (DWR). All scenarios assume no change in the SWP Tax for FY 2020-21, which would remain at \$18M. The SWP Tax for the average household in Santa Clara would remain at about \$27 per year.

All scenarios also assume the continued practice to set the South County agricultural groundwater production charge at 6% of the M&I charge until FY 2022.

A Drought Reserve was established in FY 2015-16 and was budgeted at \$10M for FY 2019-20. No further funding for this reserve is included in the preliminary analysis. The purpose of this reserve would be to help minimize rate impacts during the next drought and would complement the Supplemental Water Supply Reserve. The preliminary analysis also includes a P3 reserve of \$10M in FY 2020-21 under Scenarios 1 and 2, which is adjusted to \$0 under Scenarios 3 and 4. The purpose of this reserve would be to help minimize the impact of unforeseen events associated with the delivery of the Purified Water Program via a public-private partnership or P3. The preliminary analysis does not include unfunded capital projects or additional unfunded operations cost needs identified by staff.

All scenarios assume Water Utility operations cost of \$208.7M in FY 2020-21 versus the FY 2019-20 adopted budget of \$184.9M.

A PowerPoint presentation will be provided at the meeting.

The Water Commission (Hon. Rishi Kumar, Hon. Debi Davis, Hon. Mike Flaughner, Hon. Nancy Smith, Hon. Courtenay Corrigan and Hon. Jon Willey) discussed the following issues/concerns; downward trends, water conservation, Delta conveyance, risk assessment, groundwater levels, underground aquifers, water usage, percentage differences from North County vs. South County, treated water surcharges, rate increases, infrastructure and optimization with the new Plan.

Ms. Metra Richert and Ms. Nina Hawk were available to answer questions.

The Water Commission took no action.

5.3. OPPORTUNITIES TO ENHANCE AND UPDATE THE SAFE, CLEAN WATER AND NATURAL FLOOD PROTECTION PROGRAM BY EVALUATING A FUTURE FUNDING MEASURE

Ms. Marta Lugo reviewed the following:

Summary:

The Safe Clean Water team wishes to share information and receive input from Valley Water's Board advisory committees to keep them apprised of planning for future funding. It is recognized that the committees provide a valuable service to Valley Water with each member bringing expertise and insight that reflect the values of the community at large for their specific committee directives. The team sees this as the first step of many in engaging the committees as stakeholders in this process that is critical to the future of Valley Water and its projects and programs.

With the upcoming November 2020 elections, staff is exploring the opportunity to place a ballot measure to continue the existing special parcel tax for the Safe, Clean Water Program beyond its current expiration in 2028 in an effort to extend existing funding levels and address additional funding needs. Additionally, this new program could potentially include more multi-benefit projects and strategies to address Board priorities such as infrastructure reliability and climate change adaption.

At the December 10 Board meeting, the Board of Directors provided direction to staff to continue exploring the feasibility of such a funding measure and to bring back information as it relates to what a new program would look like. Staff is now seeking input from the advisory committees.

Current Safe Clean Water Program

Overwhelmingly approved by voters, the Safe, Clean Water and Natural Flood Protection Program (Safe, Clean Water Program) is a 15-year strategy to ensure uninterrupted water resources services in Santa Clara County. The program was developed through community collaboration and input from residents and stakeholders that identified five top community priorities:

Priority A: Ensure a Safe, Reliable Water Supply
Priority B: Reduce Toxins, Hazards, and Contaminants from our Waterways
Priority C: Protect our Water Supply from Earthquakes and Natural Disasters
Priority D: Restore Wildlife Habitat and Provide for Open Space
Priority E: Provide Flood Protection to Homes, Business, Schools and Highways

In November 2012, Santa Clara County voters passed the Safe, Clean Water ballot measure by nearly 74%, extending the funding at the same parcel tax rate approved under the previous Clean, Safe, Creek and Natural Flood Protection Plan (Clean, Safe Creeks Plan).

Currently, the Safe, Clean Water Program special parcel tax includes five (5) types of parcels that cover categories for commercial/ industrial, institutional purposes such as churches, schools or multiple dwellings exceeding four units, single-family residential and multi-family units up to four, agricultural, and nonutilized urban and rural areas. A sixth category, parcels used exclusively as well sites for residential use, is exempt from the special parcel tax. An annual escalator is also included to account for the effects of inflation. Santa Clara Valley Water District (Valley Water) Board of Directors may adjust the special tax amounts annually by the change in the San Francisco-Oakland-San Jose Consumer Price Index for all Urban Consumers (CPI-U), or 3%, whichever is greater.

The current FY20 annual tax rate for the average single-family residence stands at \$67.67. In FY21, the Board may consider increasing the tax to \$69.70 based on the consumer price index increase in costs for performing the functions of the program.

Current Program Needs and Opportunities

In the face of new challenges due to climate change, population/economic growth and future uncertainties with imported water supplies, it is imperative for Valley Water to plan, adapt, build, and upgrade its water resources systems by investing in existing and new programs that will help meet the future challenges of tomorrow. Currently, there is an opportunity to put a ballot measure in front of voters to extend the Safe, Clean Water Program which sunsets on June 30, 2028, and funds approximately one-third of the existing watershed and stewardship budgeted programs.

The existing Safe, Clean Water Program has priorities that could be enhanced to address several existing and new challenges, including the opportunity to develop more multi-benefit projects that provide enhanced environmental benefits, and providing needed funding for several large infrastructure and flood protection projects.

Furthermore, with increased homeless encampments along our creeks and waterways, water quality will remain a top priority. A new program will enable Valley Water to adequately address such existing challenges that have significant impacts to our water quality, as well as new and emerging threats. Valley Water must remain well-equipped to address all water quality issues to continue providing safe, clean water to our entire community.

In addition, a new program would allow Valley Water to better adapt and meet the growing challenges that stem from climate change and extreme weather patterns, such as severe drought, flooding and wildfires. Climate change adaptation needs to be integrated across projects to include upgrading aging infrastructure; expanding water storage; securing locally-controlled, reliable and sustainable water supplies; increasing and expanding flood protection for homes, businesses, and schools, as well as addressing sea-level rise. Each of these priorities will require significant mitigation, along with ongoing infrastructure maintenance and vegetation and sediment removal. This work is more critical than ever as we face increased flooding and wildfire threats.

Some of the key projects that have been identified as prime candidates for additional enhancements or funding under the new program are:

- *Anderson Dam Seismic Retrofit*
- *Pacheco Reservoir Expansion*
- *Almaden Valley Pipeline Replacement Project*
- *Coyote Creek Flood Protection Project*
- *Upper Penitencia Creek Flood Protection Project*
- *San Francisquito Creek Flood Protection Project*
- *Upper Llagas Creek Flood Protection Project*
- *Upper Guadalupe Flood Protection Project*
- *San Francisco Bay Shoreline Flood Protection*
- *Stevens Creek Fish Passage Barrier Removal*
- *Creek Cleanups and Homeless Encampments*

Project Priorities and Initial Gap Assessment

Staff has begun the process for a preliminary identification of needs and opportunities in November 2019. The identified needs and opportunities represent a range of candidate projects and programs that could be undertaken. The development of needs and opportunities is in effect the “gap” analysis to identify those areas where the current Safe, Clean Water Program could benefit from additional funding for existing projects over the next planning horizon, along with potential new projects that could benefit the community. The identified opportunities are included below and will be further refined. Staff is seeking input from the advisory committees on such priorities that they would like staff to investigate and consider.

Priority A: Ensure a Safe, Reliable Water Supply

- Safe Clean Water Partnerships and Grants – Continue and Enhance
- Pipeline Reliability Project – Continue and Enhance

Priority A Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Pacheco Reservoir Expansion
- Water Conservation Rebate Program

Priority B: Reduce Toxins, Hazards, and Contaminates from our Waterways

- Impaired Water Bodies Improvement – Continue
- Interagency Urban Runoff Program – Continue
- Pollution Prevention Partnerships and Grants – Continue and Enhance
- Good Neighbor Program: Encampment Cleanup – Continue and Enhance
- Hazardous Materials Management and Response – Continue
- Good Neighbor Program: Remove Graffiti and Litter – Continue
- Support Volunteer Cleanup Efforts and Education – Continue and Enhance

Priority B Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Green Stormwater Infrastructure Projects
- Good Neighbor Public Arts Program

Priority C: Protect our Water Supply from Earthquakes and Natural Disasters

- Anderson Dam Seismic Retrofit – Continue and Enhance
- Emergency Response Upgrades – Continue and Enhance

Priority C Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Dam Safety Program Seismic Retrofit Projects
- Almaden Valley Pipeline Replacement Project

Priority D: Restore Wildlife Habitat and Provide for Open Space

- Management of Riparian Vegetation Projects – Continue and Enhance
- Revitalize Stream, Upland and Wetland Habitat – Continue and Enhance
- Grants and Partnerships to Restore Wildlife Habitat/ Provide Access to Trails – Continue and Enhance
- Fish Habitat and Passage Improvements
 - Almaden Creek-Lake Separation – Continue and Enhance
 - Fish Passage Improvements – Continue and Enhance
 - Install Large/Woody Debris and Gravel Augmentation – Continue and Enhance
- Ecological Data Collection and Analysis – Continue and Enhance
- Creek Restoration and Stabilization
 - Hale Creek – Continue and Enhance
- Partnerships for the Conservation of Habitat Lands – Continue and Enhance
- South Bay Salt Ponds Restoration Partnership – Continue

Priority D Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Coyote Valley Partnership
- Lands Management – Land acquisition for strategic floodplain management, access for operations, mitigation efforts, and habitat connectivity.
- Calabazas – San Tomas Aquino Creeks Realignment Project
- Coyote Creek Riparian and Aquatic Enhancements
- Coyote Meadows Habitat and Floodplain Enhancements

Priority E: Provide Flood Protection to Homes, Business, Schools and Highways

- Vegetation Control and Sediment Removal for Flood Protection – Continue and Enhance
- Emergency Response Planning – Continue and Enhance
- Flood Risk Reduction Studies – Continue and Enhance
- Upper Penitencia Creek Flood Project – Additional funding
- San Francisquito Creek Flood Protection – Additional funding
- Upper Llagas Creek Flood Protection – Additional funding
- San Francisco Bay Shoreline Protection – Additional funding
- Upper Guadalupe River Flood Protection – Additional funding

Continued Clean, Safe Creeks Projects

- Sunnyvale East and Sunnyvale West Channels Flood Protection – Continue
- Coyote Creek Flood Protection – Additional funding

Priority E Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Ross Creek Flood Protection
- Upper Berryessa Creek (680 to Old Piedmont)

- 5-year O&M Plan identified activities
- Thompson Creek Sediment and Erosion Management
- Watersheds Asset Reliability Program – prioritize/ improve reaches in need of rehabilitation

NEXT STEPS

Program Development

Under the Board's direction, staff is exploring the feasibility of this effort, including how to enhance and update the program that is inclusive of the community's desire and values. As part of this effort, an agency-wide internal Steering Committee with functional task groups has been assembled and key program staff have been identified to assist with internal project teams to start developing an updated community plan to refine priorities. These priorities, along with financial analysis models to further refine program funding estimates, will be further developed between mid-December 2019 and May 2020.

Community and Stakeholder Outreach

To achieve public consent on any future program, which may go to the voters, staff will lead a broad public participation effort. This effort will allow for the public to provide input on their interests and values for the new program, including recommended project outcomes. This input will aid staff in developing a draft community preferred program.

Staff will fine tune the priorities and projects through a series of broad outreach efforts, such as Board advisory committees and a blue-ribbon stakeholder roundtable (anticipated to be held in February 2020).

Additionally, staff will develop other outreach tools and strategies to solicit programmatic input for the Board's consideration. Based on information gathered from the community and stakeholders, staff will prepare a report for the Board on the community preferred program, for the Board's consideration for the November 2020 ballot.

The Water Commission (Hon. Courtenay Corrigan, Hon. Peter Leroe-Muñoz, Hon. Pam Foley, Hon. Jon Willey, Hon. Nancy Smith, Hon. Mike Flaughner and Hon. Debi Davis), discussed the following issues/concerns: Nov. 2020 ballot timeframe issues, polling the community, stakeholder input, survey, habitat issues, homeless population, health risks, creeks and waterways.

The Water Commission took no action.

The next scheduled meeting is Wednesday, April 8, 2020, 12:00 p.m., in the Valley Water Headquarters Boardroom.

If you have any questions or concerns, you may contact me at, gbrambill@valleywater.org or 1.408.630.2408.

Thank you.

Glenna Brambill, Management Analyst II,
Board Committee Liaison
Office of the Clerk of the Board



MEMORANDUM

FC 14 (01-02-07)

TO: Board of Directors

FROM: Board Audit Committee

SUBJECT: 01/22/2020 Board Audit Committee
Meeting Summary

DATE: January 23, 2020

This memorandum summarizes the Board Audit Committee (Committee) meeting held on January 22, 2020, where the following work plan Items were discussed:

4.1 Election of 2020 Board Audit Committee Chairperson and Vice Chairperson.

Recommendation: Nominate and elect the 2020 Board Audit Committee Chairperson and Vice Chairperson.

It was moved by Director Kremen and seconded by Vice Chairperson Hsueh, and unanimously carried that Chairperson Keegan remain Chairperson, and Vice Chairperson Hsueh remain Vice Chairperson.

4.2 Conduct Annual Self-Evaluation.

Recommendation: A. Conduct Annual Self-Evaluation; and
B. Prepare formal report to provide to the full Board.

Ms. Denise Callahan, TAP International, Inc. (TAP) reviewed the information on this Item, per the attached Committee Agenda Memorandum.

The Committee noted the information without formal action and requested the following:

- Staff to make changes to Item 13: Board external financial auditors communicate routinely with the Committee.
- Staff to make changes to Item 15: regarding the discussion of sensitive issues and how it relates to the Brown Act.
- Staff to make changes to Item 17: staff to provide more information as to how this relates to staff.
- Make changes to Item 19: staff to change the word “discusses” to “reviews”.
- Make changes to Item 20: this item is related to the full Board and doesn't pertain to the BAC. If this is to remain on the list staff to show how this relates to the Committee.
- Highlight comingled responsibilities in Attachment 1, pages 1-3.
- Updated Self-Evaluation Framework to be reviewed at the February BAC meeting.

5.1 Review and Update 2020 Board Audit Committee Work Plan

- Recommendation: A. Review the 2020 Board Audit Committee Work Plan; and
 B. Discuss topics of interest raised at prior Board Audit Committee Meetings and make any necessary adjustments to the Board Audit Committee Work Plan.

Mr. Darin Taylor, Chief Financial Officer, reviewed the information on this Item, per the attached Committee Agenda Memorandum.

The Committee noted the information without formal action and requested the following:

- Staff to make changes to the Audit Charter to be added as a line Item on the Work Plan and discussed at a later BAC meeting.
- Add a note to “Review draft audited financial statements” line Item to connect to “Valuing Water as an Asset” line Item.
- Staff to add Encroachment audit as a line Item on the Work Plan.
- Staff to change “Water Fix” to “Delta Conveyance”.
- Staff to bring the SCADA Audit and Staff SCADA Mater Plan (AWIA) for full Board closed session meeting.
- Staff to bring the Fiscal Year 2019 CAFR to the February BAC meeting for discussion.

5.2 Board Independent Audit Report Update – TAP International, Inc.

- Recommendation: A. Discuss the Annual Audit Work Plan and update, if necessary; and
 B. Discuss the status of on-going audits.

Ms. Callahan reviewed the information on this Item, per the attached Committee Agenda Memorandum.

The Committee noted the information without formal action and requested the following:

- TAP International, Inc. to conduct closeout meeting with staff before audit results are brought to the Committee for discussion.
- Classified Information Audit is to be separate from the District Counsel’s Audit.

5.3 Final Draft Management Response for the Contract Change Order Audit Conducted by TAP International, Inc.

- Recommendation: Discuss the Final Draft Management Response to Draft Contract Change Order Audit Report.

The Committee noted the information without formal action and requested the following:

- The Committee does not need to see a third revised Management Response Report.
- The February BAC meeting will include the Auditor’s response to the Management Response.
- The Management Response to be a presented to the full Board following the approval of the Committee at the February BAC meeting.

5.4 Discuss the Scope of Annual Audit Training from Board Independent Auditor.

Recommendation: Discuss Scope of Annual Audit Training from Board Independent Auditor.

Ms. Callahan reviewed the information on this Item, per the attached Committee Agenda Memorandum.

The Committee noted the information without formal action and requested the following:

- The Committee requested that the Audit Training Process be provided to staff.
- The Committee requested that Management identify which staff is to attend the training.
- The Committee confirmed that the full Board be requested to attend the training.
- TAP to present proposed Annual Audit Training at the February BAC meeting.

5.5 Discuss the Scope and Approach of the Ad-hoc Desk Reviews.

Recommendation: Discuss the scope and approach of the Ad-hoc Desk Reviews.

Ms. Callahan reviewed the information on this Item, per the attached Committee Agenda Memorandum.

The Committee noted the information without formal action.

5.6 Receive and Discuss Board Auditor Activity Report from TAP International, Inc. to Evaluate Board Auditor Performance.

Recommendation: Receive and Discuss Board Auditor Activity Report from TAP International, Inc. to evaluate board auditor performance.

The Committee continued this Item to the February 19, 2020, BAC meeting.

5.7 Receive and Discuss Financial Analysis Regarding the Board Independent Auditing Services Contract with TAP International, Inc.

Recommendation: Receive and discuss financial analysis regarding the Board Independent Auditing Services Contract with TAP International, Inc.

The Committee continued this Item to the February 19, 2020, BAC meeting.

Board member comments and suggestions can be forwarded to Mr. Max Overland, Assistant Deputy Clerk at (408) 630-2749 or by email to moverland@valleywater.org.

THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District SCW Independent Monitoring Committee Meeting

**HQ Boardroom
5700 Almaden Expy
San Jose CA 95118**

REGULAR MEETING AGENDA

**Wednesday, February 12, 2020
4:00 PM**

District Mission: Provide Silicon Valley safe, clean water for a healthy life, environment and economy.

**SAFE, CLEAN WATER
INDEPENDENT MONITORING
COMMITTEE**

COMMITTEE OFFICERS:
Kit Gordon, Committee Chair
Bill Hoeft, Committee Vice Chair

All public records relating to an item on this agenda, which are not exempt from disclosure pursuant to the California Public Records Act, that are distributed to a majority of the legislative body will be available for public inspection at the Office of the Clerk of the Board at the Santa Clara Valley Water District Headquarters Building, 5700 Almaden Expressway, San Jose, CA 95118, at the same time that the public records are distributed or made available to the legislative body. Santa Clara Valley Water District will make reasonable efforts to accommodate persons with disabilities wishing to attend IMC meeting. Please advise the Clerk of the Board Office of any special needs by calling (408) 265-2600.

Glenna Brambill,
Committee Liaison
gbrambill@valleywater.org

BOARD REPRESENTATIVES:
Nai Hsueh, Board Representative
Tony Estremera, Board Alternate

Note: The finalized Board Agenda, exception items and supplemental items will be posted prior to the meeting in accordance with the Brown Act.

**Santa Clara Valley Water District
SCW Independent Monitoring Committee
REGULAR MEETING
AGENDA**

Wednesday, February 12, 2020

4:00 PM

HQ Boardroom
5700 Almaden Expy San Jose CA 95118

1. CALL TO ORDER:

1.1. Roll Call.

2. TIME OPEN FOR PUBLIC COMMENT ON ANY ITEM NOT ON THE AGENDA.

Notice to the public: This item is reserved for persons desiring to address the Committee on any matter not on this agenda. Members of the public who wish to address the Committee on any item not listed on the agenda should complete a Speaker Form and present it to the Committee Clerk. The Committee Chair will call individuals in turn. Speakers comments should be limited to two minutes or as set by the Chair. The law does not permit Committee action on, or extended discussion of, any item not on the agenda except under special circumstances. If Committee action is requested, the matter may be placed on a future agenda. All comments that require a response will be referred to staff for a reply in writing. The Committee may take action on any item of business appearing on the posted agenda.

3. APPROVAL OF MINUTES:

3.1. Approval of Minutes

[20-0184](#)

Recommendation: Approve the 12042019 and 01222020 SCW IMC Meeting Minutes

SUMMARY:

A summary of Committee discussions, and details of all actions taken by the Committee, during all open and public Committee meetings, is transcribed and submitted for review and approval.

Upon Committee approval, minutes transcripts are finalized and entered into the District's historical records archives and serve as historical records of the Committee's meetings.

ATTACHMENTS:

Attachments: [Attachment 1: 120419 SCW IMC DRAFT Mins](#)
[Attachment 2: 01222020 SCW IMC DRAFT Mins](#)

Est. Staff Time: 5 Minutes

4. Vignettes of Safe, Clean Water Projects (Video)

5. Opportunities to Enhance and Update the Safe, Clean Water and Natural Flood Protection Program by Evaluating a Future Funding Measure. **20-0185**

RECOMMENDATION:

- A. Receive information on exploration of opportunities to strengthen and update the existing Safe, Clean Water and Natural Flood Protection (Safe, Clean Water) Program;
- B. Receive information on the feasibility of developing and placing a future funding measure on the November 2020 ballot; and
- C. Provide input on potential new program development.

SUMMARY:

Staff wishes to share information and receive input from the Safe, Clean Water Independent Monitoring Committee (IMC) and keep them apprised of planning for a potential future funding measure. The IMC provides a unique and valuable perspective as oversight for the current Safe, Clean Water Program. Staff views this as one of many opportunities to engage stakeholders in this process that is critical to the future of Santa Clara Valley Water's (Valley Water) projects and programs, and to ultimately provide feedback to the Board of Directors on if a future measure should be pursued on the November 2020 ballot.

With the upcoming November 2020 elections, staff is exploring the opportunity to place a ballot measure to potentially extend the funding horizon of the existing special parcel tax for the Safe, Clean Water Program beyond its current expiration in 2028 in an effort to extend existing funding levels and address additional funding needs. Additionally, this new program could potentially include more multi-benefit projects and strategies to address Board priorities, such as infrastructure reliability and climate change adaption.

At the December 10 Board meeting, the Board of Directors provided direction to staff to begin an exploratory process to examine the feasibility of such a funding measure and to bring back information as it relates to what a new potential program could look like. Staff is now seeking input from stakeholders, including Board advisory committees.

Current Safe, Clean Water Program

Overwhelmingly approved by voters, the Safe, Clean Program is a 15-year strategy to ensure uninterrupted water resources services in Santa Clara County. The program was developed through community collaboration and input from residents and stakeholders that identified five top community priorities:

Priority A: Ensure a Safe, Reliable Water Supply

Priority B: Reduce Toxins, Hazards, and Contaminants in our Waterways

Priority C: Protect our Water Supply from Earthquakes and Natural Disasters

Priority D: Restore Wildlife Habitat and Provide Open Space

Priority E: Provide Flood Protection to Homes, Business, Schools and Highways

In November 2012, Santa Clara County voters passed the Safe, Clean Water ballot measure by nearly 74%, extending the funding at the same parcel tax rate approved under the previous Clean, Safe Creeks and Natural Flood Protection Plan (Clean, Safe Creeks Plan).

Currently, the Safe, Clean Water Program special parcel tax includes five (5) types of parcels that cover categories for commercial/industrial, institutional purposes such as churches, schools or multiple dwellings exceeding four units, single-family residential and multi-family units up to four, agricultural, and nonutilized urban and rural areas. A sixth category, parcels used exclusively as well sites for residential use, is exempt from the special parcel tax. An annual escalator is also included to account for the effects of inflation. Valley Water Board of Directors may adjust the special tax amounts annually by the change in the San Francisco-Oakland-San Jose Consumer Price Index for all Urban Consumers (CPI-U), or 3%, whichever is greater.

The current FY20 annual tax rate for the average single-family residence stands at \$67.67. In FY21, the Board may consider increasing the tax to \$69.70 based on the consumer price index increase in costs for performing the functions of the program.

Current Program Needs and Opportunities

In the face of new challenges due to climate change, population/economic growth and future uncertainties with imported water supplies, it is imperative for Valley Water to plan, adapt, build and upgrade its water resources systems by investing in existing and new programs that will help meet the future challenges. Currently, there is an opportunity to put a ballot measure in front of voters to extend the Safe, Clean Water Program, which sunsets on June 30, 2028, and funds approximately one-third of the existing watershed and stewardship budgeted programs.

The existing Safe, Clean Water Program has priorities that could be enhanced to address several existing and new challenges, including the opportunity to develop more

multi-benefit projects that provide enhanced environmental benefits, and provide the needed funding for several large infrastructure and flood protection projects.

Furthermore, with increased homeless encampments along our creeks and waterways, water quality will remain a top priority. A new program will enable Valley Water to adequately address such existing challenges that have significant impacts to our water quality, as well as new and emerging threats. Valley Water must remain well-equipped to address all water quality issues to continue providing safe, clean water to our entire community.

In addition, a new program would allow Valley Water to adapt better and meet the growing challenges that stem from climate change and extreme weather patterns, such as severe drought, flooding and wildfires. Climate change adaptation needs to be integrated across projects to include upgrading aging infrastructure; expanding water storage; securing locally controlled, reliable and sustainable water supplies; increasing and expanding flood protection for homes, businesses, and schools, as well as addressing sea-level rise. Each of these priorities will require significant mitigation, along with ongoing infrastructure maintenance and vegetation and sediment removal. This work is more critical than ever as we face increased flooding and wildfire threats.

Some of the key projects that have been identified as prime candidates for additional enhancements or funding under the new program are:

- *Anderson Dam Seismic Retrofit*
- *Pacheco Reservoir Expansion*
- *Almaden Valley Pipeline Replacement Project*
- *Coyote Creek Flood Protection Project*
- *Upper Penitencia Creek Flood Protection Project*
- *San Francisquito Creek Flood Protection Project*
- *Upper Llagas Creek Flood Protection Project*
- *Upper Guadalupe Flood Protection Project*
- *San Francisco Bay Shoreline Flood Protection*
- *Stevens Creek Fish Passage Barrier Removal*
- *Creek Cleanups and Homeless Encampments*

Project Priorities and Initial Gap Assessment

Staff began the process for preliminary identification of needs and opportunities in November 2019. The identified needs and opportunities represent a range of candidate projects and programs that could be undertaken. The development of needs and opportunities is in effect the “gap” analysis to identify those

areas where the current Safe, Clean Water Program would benefit from additional funding for existing projects over the next planning horizon, along with potential new projects that would benefit the community. The identified opportunities are included below and will be further refined. Staff is seeking input from the advisory committees on such priorities that they would like staff to investigate and consider.

Priority A: Ensure a Safe, Reliable Water Supply

- Safe Clean Water Partnerships and Grants - Continue and Enhance
- Pipeline Reliability Project - Continue and Enhance

Priority A Newly Identified Opportunities

Staff is exploring the feasibility of adding the following new concepts:

- Pacheco Reservoir Expansion
- Water Conservation Rebate Program

Priority B: Reduce Toxins, Hazards, and Contaminates in our Waterways

- Impaired Water Bodies Improvement - Continue
- Interagency Urban Runoff Program - Continue
- Pollution Prevention Partnerships and Grants - Continue and Enhance
- Good Neighbor Program: Encampment Cleanup - Continue and Enhance
- Hazardous Materials Management and Response - Continue
- Good Neighbor Program: Remove Graffiti and Litter - Continue
- Support Volunteer Cleanup Efforts and Education - Continue and Enhance

Priority B Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concept:

- Good Neighbor Public Arts Program

Priority C: Protect our Water Supply from Earthquakes and Natural Disasters

- Anderson Dam Seismic Retrofit - Continue and Enhance
- Emergency Response Upgrades - Continue and Enhance

Priority C Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Dam Safety Program Seismic Retrofit Projects
- Almaden Valley Pipeline Replacement Project

Priority D: Restore Wildlife Habitat and Provide Open Space

- Management of Riparian Vegetation Projects - Continue and Enhance
- Revitalize Stream, Upland and Wetland Habitat - Continue and Enhance
- Grants and Partnerships to Restore Wildlife Habitat and Provide Access to Trails - Continue and Enhance
- Fish Habitat and Passage Improvements
 - Almaden Creek-Lake Separation - Continue and Enhance
 - Fish Passage Improvements - Continue and Enhance
 - Install Large/Woody Debris and Gravel Augmentation - Continue and Enhance
- Ecological Data Collection and Analysis - Continue and Enhance
- Creek Restoration and Stabilization
 - Hale Creek - Continue and Enhance
- Partnerships for the Conservation of Habitat Lands - Continue and Enhance
- South Bay Salt Ponds Restoration Partnership - Continue

Priority D Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Coyote Valley Partnership
- Lands Management - Land acquisition for strategic floodplain management, access for operations, mitigation efforts, and habitat connectivity.
- Calabazas - San Tomas Aquino Creeks Realignment Project
- Coyote Creek Riparian and Aquatic Enhancements

**Priority E: Provide Flood Protection to Homes,
Business, Schools and Highways**

- Vegetation Control and Sediment Removal for Flood Protection - Continue and Enhance
- Emergency Response Planning - Continue and Enhance
- Flood Risk Reduction Studies - Continue and Enhance
- Upper Penitencia Creek Flood Project - Additional funding
- San Francisquito Creek Flood Protection - Additional funding
- Upper Llagas Creek Flood Protection - Additional funding
- San Francisco Bay Shoreline Protection - Additional funding
- Upper Guadalupe River Flood Protection - Additional funding

Continued Clean, Safe Creeks Projects

- Sunnyvale East and West Channels Flood Protection - Continue
- Coyote Creek Flood Protection - Additional funding

Priority E Newly Identified Opportunities

Staff is exploring the feasibility of adding, replacing, enhancing or expanding the following new concepts:

- Ross Creek Flood Protection
- Upper Berryessa Creek (680 to Old Piedmont)
- 5-year O&M Plan identified activities
- Thompson Creek Sediment and Erosion Management
- Watersheds Asset Reliability Program - prioritize/improve reaches in need of rehabilitation

NEXT STEPS

Program Development

Under the Board's direction, staff is exploring the feasibility of this effort, including how to enhance and update the program that is inclusive of the community's desire and values. As part of this effort, an agencywide internal Steering Committee with functional task groups has been assembled and key program staff have been identified to assist with internal project teams to start developing an updated community plan to refine priorities. These priorities, along with financial analysis models to further refine program funding estimates, will be further developed between mid-December 2019 and May 2020.

Community and Stakeholder Outreach

To achieve public consent on any future program, which may go to the voters, staff will lead a broad public participation effort. This effort will allow for the public to provide input on their interests and values for the new program, including recommended project outcomes. This input will aid staff in developing a draft community-preferred program.

Staff will fine tune the priorities and projects through a series of broad outreach efforts, such as Board advisory committees and a blue-ribbon stakeholder roundtable (anticipated to be held late March or early April 2020.)

Additionally, staff will develop other outreach tools and strategies to solicit programmatic input for the Board's consideration. Later this summer, based on information gathered from the community and stakeholders, staff will prepare a draft report for the Board on the community-preferred program for the Board's ultimate consideration for the November 2020 ballot.

ATTACHMENTS:

Attachments: Attachment 1: Renewal Presentation
Est. Staff Time: 15 Minutes

6. REPORT DRAFTING COMMITTEE PRESENTS DRAFT FINAL IMC REPORT

a. Review and Approve Final IMC Report

7. NEXT STEPS

a. February 25, 2020, IMC Chair presents Final IMC Report to Board

8. CLERK REVIEW AND CLARIFICATION OF COMMITTEE REQUESTS.

This is an opportunity for the Clerk to review and obtain clarification on any formally moved, seconded, and approved requests and recommendations made by the Committee during the meeting.

9. ADJOURN:

9.1. Adjourn.



Santa Clara Valley Water District

File No.: 20-0152

Agenda Date: 2/11/2020

Item No.: *4.3.

BOARD AGENDA MEMORANDUM

SUBJECT:

Consider Agricultural Water Advisory Committee's Recommendations and Associated Staff Analyses from the Committee's Meeting on January 6, 2020.

RECOMMENDATION:

Consider and act on the following recommendations by the Agricultural Water Advisory Committee:

- A. Direct staff to provide financial data on the differences of commercial/industrial versus residential water usage within the county with the information supplied by the Water Retailers and Valley Water;
- B. Invite County Board of Supervisor Hon. Mike Wasserman or his designee to the Committee's April 6, 2020, meeting;
- C. Add the Open Space Credit/Agricultural component to the future funding measure and keep the agricultural rates stable and at the current rate; and
- D. Allow the Farm Bureau to formulate a question to add to the future funding community input survey.

SUMMARY:

At the Agricultural Water Advisory Committee's (Committee) meeting on Monday, January 6, 2020, the Committee took the following action:

Recommendation #1:

Voted unanimously that the Board consider the Committee's recommendation to the Board to:

1. Direct staff to provide financial data on the differences of commercial/industrial versus residential water usage within the county with the information supplied by the Water Retailers and Valley Water.

Staff Analysis #1:

Staff can provide the information requested upon approval by the Board. To provide a comprehensive evaluation, staff would like to provide five years' worth of data. Staff will need to coordinate with retailers to collect and analyze the information, estimated staff time is up to 40 hours. Staff expects to fulfill the request in time for the next Committee meeting.

Recommendation #2:

Voted unanimously that the Board consider the Committee's recommendation:

1. Invite County Board of Supervisor Hon. Mike Wasserman or his designee to the Committee's April 6, 2020, meeting

Staff Analysis #2:

The Committee Chair has the authority to invite special guests for an agenda item to their Committee meetings with Board approval. Staff recommends that the Committee Chair work directly with Clerk of the Board staff to invite Hon. Mike Wasserman or his designee to the Committee's April 6, 2020, meeting.

Recommendation #3:

Voted unanimously that the Board consider the Committee's recommendation to the Board to:

1. Add the Open Space Credit/Agricultural component to the future funding measure and keep the agricultural rates stable and at the current rate.

Staff Analysis #3:

Connected to this action (refer to Action #4), the Committee on January 6, 2020 voted to defer to the Farm Bureau to develop and include an Agricultural/ Open Space Credit question for consideration in the future funding community input survey, to help ascertain the level of community interest for maintaining the open space credit. However, on January 11, 2020, the final proposed question was subsequently requested to be removed from the survey per the Farm Bureau's request. Staff agreed that the question was not necessary to develop any future program.

Recommendation #4:

Voted unanimously that the Board consider the Committee's recommendation to the Board to:

1. Allow the Farm Bureau to formulate the question to add to the future funding community input survey.

Staff Analysis #4:

Staff provided response via email correspondence to Farm Bureau on Jan 8, 2020. After further discussions, the Farm Bureau has since withdrawn their request to include a question as part of the future funding community input survey (See Staff Analysis #3).

Footnote:

Recommendation #4 is for Board's information only.

FINANCIAL IMPACT:

There is no financial impact associated with this item. There may be a future financial impact pending the result of the negotiation.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a

potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

None.

UNCLASSIFIED MANAGER:

Garth Hall, 408-630-2750

Rick Callender, 408-630-2017

Marta Lugo, 408-630-2237

THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 20-0168

Agenda Date: 2/11/2020

Item No.: 5.1.

BOARD AGENDA MEMORANDUM

SUBJECT:

Update on the Condition of the Almaden Valley Pipeline and Determination that the Condition of the Almaden Valley Pipeline Continues to Constitute an Emergency (San Jose) (District 7).

RECOMMENDATION:

- A. Receive an update on the Almaden Valley Pipeline; and
- B. Determine by a four-fifths vote of the Board that there is a need to continue the emergency action declared by the Acting Chief Executive Officer (CEO) on December 23, 2019, pursuant to California Public Contract Code §22050, to repair the Almaden Valley Pipeline.

SUMMARY:

According to Public Contract Code §22050, in order for the emergency action to remain in place, the Board must determine, by four-fifths vote at every regularly scheduled Board meeting until the emergency action is terminated, that there is a need to continue the emergency action; this agenda item recommends the Board make such a finding.

On December 23, 2019, the Acting CEO declared that the condition of the Almaden Valley Pipeline (AVP) constituted an emergency condition pursuant to California Public Contract Code §22050. The emergency declaration further determined that Santa Clara Valley Water District (Valley Water) staff may repair such pipeline, take any directly related and immediate action required by that emergency, and procure the necessary equipment, services, and supplies for those purposes, without giving notice for bids to let contracts. The emergency condition continues to exist as the repairs to the AVP are underway.

The AVP consists of approximately 12 miles of 72-inch to 78-inch diameter pre-stressed concrete cylinder pipe (PCCP) and welded steel pipe, operating under pressure. The pipeline was constructed in two major segments: AVP Unit 1 was constructed in the 1960's, and AVP Unit 2 was constructed in the 1980's. The AVP is used to supply raw water to Valley Water's treatment plants, groundwater recharge facilities, and service connections. When this pipeline is out of service, Valley Water does not have access to the San Luis Reservoir (Central Valley Project), Anderson and Calero Reservoir supplies. The South Bay Aqueduct must be relied upon as the sole source and supply of raw water to all Valley Water treatment facilities.

AVP planned inspection and rehabilitation work was performed in 2007, 2008, 2011, and 2017. On

December 5, 2017, Valley Water's Acting CEO declared an emergency and a contractor repaired multiple damaged sections of PCCP identified during inspection at risk of imminent failure. Based on the information gathered before and after the 2017/2018 repairs, the nature of damage to the pipe was correlated to embrittlement of the PCCP reinforcement wires.

On March 18, 2018, an acoustic fiber optic (AFO) system was brought on-line to monitor the AVP for events that correlate to additional distress of PCCP sections. This AFO system has detected numerous events since installation. Staff has reviewed this information in combination with other pipeline records, including operation and maintenance data, to analyze changes in failure risk and remaining service life of PCCP in AVP. Results of this analysis indicate a particular PCCP section of the AVP, between Shannon Line Valve and Calero Valve Yard, is significantly distressed and at risk of imminent structural failure. The distressed section is limited to one pipe segment (24 feet in length) under the Alamos Creek, near the bridge crossing at the southern end of Almaden Expressway.

Based on the current condition of significantly distressed pipe section and associated risks, Valley Water cannot return the AVP to safe and reliable service unless repair of significantly distressed pipe section is performed. The planned return to service date for AVP in this location is February 27, 2020. Failure to return the pipeline to service by the prescribed date will pose a significant risk to Valley Water's ability to provide sufficient water to meet minimum water supply demands, as Valley Water's contractual obligations for water delivery increase in the spring and summer.

In response to this emergency condition of the AVP, Valley Water staff activated the Water Utility Department Operations Center on December 23, 2019. Staff from various Valley Water business units participated and strategized on the necessary steps to move forward with the pipeline repairs.

The three water treatment plants in North County are already disconnected from San Luis, Anderson, and Calero reservoirs due to the Cross-Valley and Calero Pipelines Inspection and Rehabilitation Project that is underway from November 18, 2019, to February 28, 2020, and the plants are currently relying on water delivered through the South Bay Aqueduct (SBA). Taking down the AVP for inspection and repair is somewhat fortunately timed because the same contractor Kiewit Corporation working on the Cross-Valley Pipeline can go in and repair the AVP without impacting deliveries to the water treatment plants in January and February. Since the Cross-Valley Pipeline is due to be back up on February 28, 2020, staff is striving to repair the AVP by the same date.

Valley Water staff and consultant personnel performed an emergency visual and electromagnetic inspection of the distressed pipe segments on January 14, 2020. The electromagnetic inspection confirmed the level of distress that Valley Water staff has been monitoring through the AFO system. Contract C0657 for the emergency repair work was awarded to Kiewit Infrastructure West Company. The emergency repair work began, is currently progressing as planned, and is scheduled to be completed on time.

It is anticipated that the Santa Teresa Water Treatment Plant will remain online through completion of the repairs. If Valley Water should lose the ability to receive imported water from the State Water Project (via the SBA), there would be an immediate and substantial curtailment of water services in the County. Staff has informed the retailers of the emergency at AVP and will keep them abreast of

the developments. The Office of Communications has also reached out to the neighbors that may be impacted by the mobilization of the crews and the construction activities.

Staff is recommending that the Board determine, by a four-fifths vote, that there is a need to continue the emergency action declared by the Acting CEO, to enable timely procurement of necessary construction contract services, and other services, supplies and essential equipment, without competitively bidding the contracts to complete the repairs. Staff will return to the Board with an update at every regularly scheduled Board meeting until the emergency declaration is concluded.

FINANCIAL IMPACT:

Staff estimates repairing the distressed sections of the AVP could cost in the range of \$1.3M to \$1.7M depending on the scale of the necessary repairs. There are sufficient funds available within the FY20 budget for the 10-Year Pipeline Inspection and Rehabilitation Program (95084002). If repair costs exceed the available funding, staff will recommend a budget adjustment for this Program at a future Board meeting.

CEQA:

Impacts associated with the repair and maintenance activities of the AVP were evaluated by the Pipeline Maintenance Program and the Programmatic Environmental Impact Report, certified and approved by the Board on November 13, 2007. The California Department of Fish and Wildlife and the Regional Water Quality Control Board will be properly notified to address the issued permits for the repairs and the permits will be modified to address emergency actions. All work will be performed deploying the Valley Habitat Plan conditions and avoidance and minimization measures to prevent impacts to sensitive habitat in the project vicinity.

ATTACHMENTS:

Attachment 1: Declaration of Emergency

UNCLASSIFIED MANAGER:

Aaron Baker, 408-630-2135

THIS PAGE INTENTIONALLY LEFT BLANK

TO: Norma J. Camacho
Chief Executive Officer

FROM: Nina Hawk
Chief Operating Officer
Water Utility Enterprise

SUBJECT: Emergency Declaration to Repair
Almaden Valley Pipeline Pursuant to
Public Contract Code §22050

DATE: December 23, 2019

The purpose of this memorandum is to formally request that you as the Santa Clara Valley Water District (Valley Water) Chief Executive Officer (CEO) immediately declare an emergency pursuant to California Public Contract Code §22050 and Valley Water Resolution 05-67 to enable immediate repair of the Almaden Valley Pipeline (AVP) in the City of San Jose, California. This emergency declaration will exempt Valley Water from undergoing competitive bidding requirements to procure the necessary equipment, supplies, non-professional services, and public works to attend to the emergency action described in this memorandum.

The current condition of the AVP poses an emergency condition as it cannot be safely returned to service prior to significant repairs. Per California Public Contract Code §1102, an emergency is "a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services."

Background

The AVP consists of approximately 12 miles of 72-inch to 78-inch diameter prestressed concrete cylinder pipe (PCCP) and welded steel pipe, operating under pressure. The pipeline was constructed in two major segments: AVP Unit 1 was constructed in the 1960's, and AVP Unit 2 was constructed in the 1980's. The AVP is used to supply raw water to Valley Water's treatment plants, groundwater recharge facilities, and service connections. When this pipeline is out of service, Valley Water does not have access to the San Luis Reservoir (Central Valley Project), Anderson and Calero Reservoir supplies. The South Bay Aqueduct must be relied upon as the sole source and supply of raw water to all Valley Water treatment facilities.

AVP planned inspection and rehabilitation work was performed in 2007, 2008, 2011, and 2017. On December 5, 2017, Valley Water's CEO declared an emergency and a contractor repaired multiple damaged sections of PCCP identified during inspection at risk of imminent failure. Based on the information gathered, before and after the 2017/2018 repairs, the nature of damage to the pipe was correlated to embrittlement of the PCCP reinforcement wires.

On March 18, 2018, an acoustic fiber optic (AFO) system was brought on-line to monitor the AVP for events that correlate to additional distress of PCCP sections. This AFO system has detected numerous events since installation. Staff has reviewed this information in combination with other pipeline records, including operation and maintenance data, to analyze changes in failure risk and remaining service life of PCCP in AVP. Results of this analysis indicate a particular PCCP section of the AVP, between Shannon Line Valve and Calero Valve Yard, is significantly distressed and at risk of imminent failure.

Potential Consequences

Potential consequences of a pipe failure in this location include:

- a. Physical damage to adjacent area;
- b. Negative impact to endangered species habitat (e.g., steelhead fish) due to excessive raw water discharge into Alamos Creek, along with substantial erosion; and
- c. Significant risk to Valley Water's ability to provide sufficient water to meet minimum water supply demands due to prolonged pipeline outage to repair a pipe break.

Potential consequences of a prolonged outage to isolate and repair the pipeline in this location include:

- a. Inability to meet contractual water supply agreements, which restrict planned outages between November and March;
- b. Inability to meet treated water allotment obligations to retailers beginning May 2020; and
- c. Valley Water treatment facilities must rely solely on the South Bay Aqueduct for raw water supply.

Based on the current condition of significantly distressed pipe sections and associated risks, Valley Water cannot return the AVP to safe and reliable service unless repair of significantly distressed pipe sections is performed. The planned return to service date for AVP in this location is February 27, 2020. Failure to return the pipeline to service by the prescribed date will pose a significant risk to Valley Water's ability to provide sufficient water to meet minimum water supply demands, as Valley Water's contractual obligations for water delivery increase.

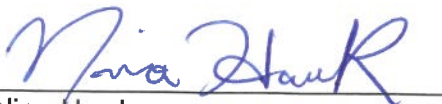
Recommendation

Staff recommends a Declaration of Emergency be issued so that immediate action can be taken to complete all work activities related to the repair of structurally distressed pipe on the Almaden Valley Pipeline. Based on the substantial evidence detailed above, I recommend that you officially declare that an emergency situation exists as defined by the California Public Contract Code §1102. If you agree with this recommendation, please indicate concurrence by signing below.



Aaron Baker
Deputy Operating Officer
Water Utility Enterprise
Acting for Nina Hawk
Chief Operating Officer
Water Utility Enterprise

Concur:



Nina Hawk
Chief Operating Officer
Water Utility Enterprise
Acting for Norma J. Camacho
Chief Executive Officer

District Counsel:



Leslie Orta
Senior Assistant District Counsel



Santa Clara Valley Water District

File No.: 20-0171

Agenda Date: 2/11/2020

Item No.: 6.1.

BOARD AGENDA MEMORANDUM

SUBJECT:

Update on the Palo Alto Flood Basin Tide Gate Structure Improvements Project, Project No. 10394001 (Palo Alto, District 7). (Continued from January 28, 2020)

RECOMMENDATION:

Receive an Update on the Palo Alto Flood Basin Tide Gate Structure Improvements Project.

SUMMARY:

Background:

The Palo Alto Flood Basin (PAFB) Tide Gate Structure was constructed in 1957 by the Santa Clara County Flood Control and Water Conservation District, Santa Clara County, and the City of Palo Alto. A map of the PAFB is included as Attachment 1.

In September 2012, Santa Clara Valley Water District (Valley Water) completed emergency repairs to stop seepage flow beneath the structure under U.S. Army Corps of Engineering (USACE) Regional General Permit #5. As part of that effort, staff submitted a post construction report to USACE which detailed the emergency work and attached evidence of initiation of a capital project to replace the existing tide gate structure within 5 years.

In 2014, Valley Water engaged the services of Mark Thomas & Co (MT) to perform structural inspections and prepare an assessment report for the tide gate structure. The report concluded that the structure was in generally good condition and recommended approximately \$180,000 in minor structural repairs.

In 2017, Valley Water contracted a construction contractor to perform minor maintenance repairs; however, the work was complicated due to cracks in the bottom slab and stopped during the dewatering process. A subsequent letter prepared by MT in October 2017 recommended the structure be replaced in the next couple of years.

In 2018, Valley Water management directed a new team to complete planning, design, and construction of a new tide gate structure.

On January 8, 2018, the project team met with the City of Palo Alto to coordinate ongoing efforts and

next steps. The team discussed Project alignment with the San Francisquito Creek Joint Powers Authority's (SFCJPA) Strategy to Advance Flood protection, Ecosystems and Recreation Project (SAFER Bay), the City of Mountain View's South Bay Salt Pond Restoration Project (Mountain View Ponds), and the South San Francisco Bay Shoreline Project (Shoreline Project). The team also discussed an inter-agency cost share agreement to fund the Project, PAFB data sharing, and preparation of an Emergency Action Plan (EAP) for the PAFB, Adobe Creek, Barron Creek, and Matadero Creek.

On October 29, 2018, the project team met with the City of Palo Alto, the City of Mountain View, and the SFCJPA to ensure inter-agency coordination and advance the planning, design, and construction of the Project. During the meeting the team learned that the SAFER Bay project is expected to complete planning within the next 10 to 12 years and that the Mountain View Ponds project is expected to begin construction in 2021 pending permitting. The team agreed that given the risk of failure of the tide gate structure, Valley Water should proceed with planning, design, and construction of the PAFB Gate Structure Improvements Project (Project).

A preliminary project design criteria memorandum was prepared, and it was reviewed and accepted by the City of Palo Alto, City of Mountain View, and the SFCJPA, on January 14, 2019.

In order to minimize the consequences of failure, staff prepared an Emergency Action Plan (EAP) which was reviewed and accepted by the City of Palo Alto.

Currently, Valley Water maintenance staff performs routine inspections of the PAFB levees, tide gate structure, and passive tide gates. In addition, the Project team monitors the PAFB tide gate structure every 3 to 6 months. The City of Palo Alto operates one motor driven sluice gate, and adjusts the water circulation as needed for vector control and salinity purposes.

Description

The structural engineering assessment completed in 2017 estimated that the tide gate structure should be functional for another two to three years. If the structure fails, tidal water could flood approximately 460 residences, 2 schools, 7 businesses, and Hwy 101 during two-year frequency peak high tide events. In addition to tidal flooding in low elevation areas, flooding from tributary creeks could worsen during high tide events as tidal water pushes upstream and reduces channel design capacity.

Meanwhile, the Project team engaged the same structural engineering consultant to conduct an updated structural assessment of the structure. The updated structural assessment was completed on January 13, 2020, and estimates the tide gate structure should be able to function for another couple years.

Schedule

The current schedule includes one year for obtaining permits and 18 months for preparation of CEQA documents. The goal is to begin construction of the Project by September 2021.

Alternatives Considered

The Project team evaluated three alternatives: No Action (Alternative A), New Structure Upstream of Existing Tide Gate Structure Location (Alternative B), and New Structure Next to Existing Tide Gate Structure Location (Alternative C).

The chosen Alternative will be further refined during the design phase which will include incorporation of permit conditions.

Alternative A - No Action

Alternative A is included to identify expected impacts to the tide gate structure and areas affected by failure at the tide gate structure if no project is constructed. The EAP will be implemented in case of eminent failure.

Alternative B - New Structure Upstream of Existing Tide Gate Structure Location

Alternative B includes five stages (construction seasons) to construct a new tide gate structure upstream from the existing structure as shown in Attachment 2.

Stage 1 (September 2021 - January 2022) would include installation of dewatering system B-1 to dewater the work area, excavation of levee soils, and construction of the pile foundation for the first half of the new structure. The existing structure would function as is for flows.

Stage 2 (September 2022 - January 2023) would include complete construction of the first half of the new tide gate structure and tide gates, and construction of an outlet channel, while the existing tide gate structure functions as is for flows.

Stage 3 (September 2023 - January 2024) would include removal of dewatering system B-1, installation of dewatering system B-2 to dewater the second work area, and construction of the second half of pile foundation. The first half of the new structure would bypass flows out of the flood basin in lieu of the existing structure.

Stage 4 (September 2024 - January 2025) would include removal of the existing structure, completion of construction of the second half of the new structure and tide gates, and completion of necessary soil improvements for the new levee. The first half of the new structure would continue to serve as a bypass for flows.

Stage 5 (September 2025 - January 2026) would include complete construction of the new levee and removal of dewatering system B-2.

Alternative C - New Structure Next to Existing Tide Gate Structure Location

Alternative C includes four stages (construction seasons) to construct a new tide gate structure adjacent and approximately 50 feet east of the existing structure as shown in Attachment 3.

Stage 1 (September 2021 - January 2022) would include installation of dewatering system C-1 to dewater the work area, excavation of levee soils, and construction of the pile foundation for the entire new structure.

Stage 2 (September 2022 - January 2023) would include completing construction of the new tide gate structure and tide gates, and construction of an outlet channel, while the existing tide gate structure functions as is for flows.

Stage 3 (September 2023 - January 2024) would include removal of dewatering system C-1, installation of dewatering system C-2 to dewater the second work area, removal of existing tide gate structure, and completion of necessary soil improvements for the new levee.

Stage 4 (September 2024 - January 2025) would include complete construction of the new levee and removal of dewatering system C-2.

Recommended Alternative

The Staff Recommended Alternative was determined by comparing various criteria of Alternative B and Alternative C as listed in Attachments 4 and 5. Both feasible alternatives include a new tide gate structure but are different in the location of the structure. However, Alternative C is recommended for the below reasons:

1. Alternative C construction duration would be 12 months less than Alternative B.
2. Alternative C would include less construction risk for schedule and cost overruns.
3. Alternative C would be easier to permit compared to Alternative B due to a reduced construction footprint, and shorter construction duration.
4. The total approximate project cost of Alternative B and Alternative C is \$35,598,000 and \$30,436,000 respectively. Alternative C provides an estimated \$5,162,000 in cost savings.

The project team concluded that both Alternative B and Alternative C provides the same level of flood protection for three creeks while accounting for 2 feet of additional sea level rise. However, Alternative C has the least environmental impact and is the timeliest and most cost effective. The project team recommends that Alternative C be advanced to the design and construction phases.

FINANCIAL IMPACT:

This project is currently funded from the Watersheds and Steam Stewardship Fund 12 in the FY2020 - 24 Five-year Capital Improvement Program for \$12,230,000. The current estimated total project cost for implementing Alternative C is \$32M. The estimated total project cost has increased by

approximately \$20M due to recommendations from the geotechnical investigation report and multiple years of construction. The updated total project cost of \$32,765,000 has been included in the Preliminary FY2021 - 25 Capital Improvement Program.

The project team is currently pursuing Proposition 68 grant funding up to \$6M, and has received a letter of support from the City of Palo Alto for the grant application. A similar letter of support is being sought out from the San Francisco Joint Powers Authority (SFCJPA).

CEQA:

A Mitigated Negative Declaration is being prepared for this project.

ATTACHMENTS:

- Attachment 1: Map
- Attachment 2: Alternative B Construction Staging
- Attachment 3: Alternative C Construction Staging
- Attachment 4: Feasible Alternatives Matrix
- Attachment 5: PowerPoint

UNCLASSIFIED MANAGER:

Ngoc Nguyen, 408-630-2632

THIS PAGE INTENTIONALLY LEFT BLANK



THIS PAGE INTENTIONALLY LEFT BLANK

ALTERNATIVE B - Construction Staging

SAN FRANCISCO BAY



EXISTING TIDE GATE STRUCTURE

PALO ALTO FLOOD BASIN

ALTERNATIVE B - STAGE 1 AND STAGE 2

EXISTING STRUCTURE WILL REMAIN IN USE
DURING STAGE 1 AND STAGE 2 CONSTRUCTION

STAGE 2:
- CONSTRUCT FIRST HALF OF SUPERSTRUCTURE
- CONSTRUCT OUTLET CHANNEL
- CONSTRUCT NEW LEVEE

STAGE 1:
- INSTALL DEWATERING SYSTEM B-1
- LEVEE EXCAVATION
- CONSTRUCT FIRST HALF OF PILE FOUNDATION

SAN
FRANCISCO
BAY



PALO ALTO
FLOOD BASIN

ALTERNATIVE B - STAGE 3 AND STAGE 4

STAGE 4:

- REMOVE EXISTING STRUCTURE
- CONSTRUCT SECOND HALF OF SUPERSTRUCTURE
- CONSTRUCT GROUND IMPROVEMENTS

STAGE 3:

- REMOVE DEWATERING SYSTEM B-1
- OPEN FIRST HALF OF NEW STRUCTURE AND OUTLET CHANNEL
- CONSTRUCT DEWATERING SYSTEM B-2 FOR NEW AREA
- CONSTRUCT SECOND HALF OF PILE FOUNDATION

SAN
FRANCISCO
BAY

PALO ALTO
FLOOD BASIN

ALTERNATIVE B - STAGE 5

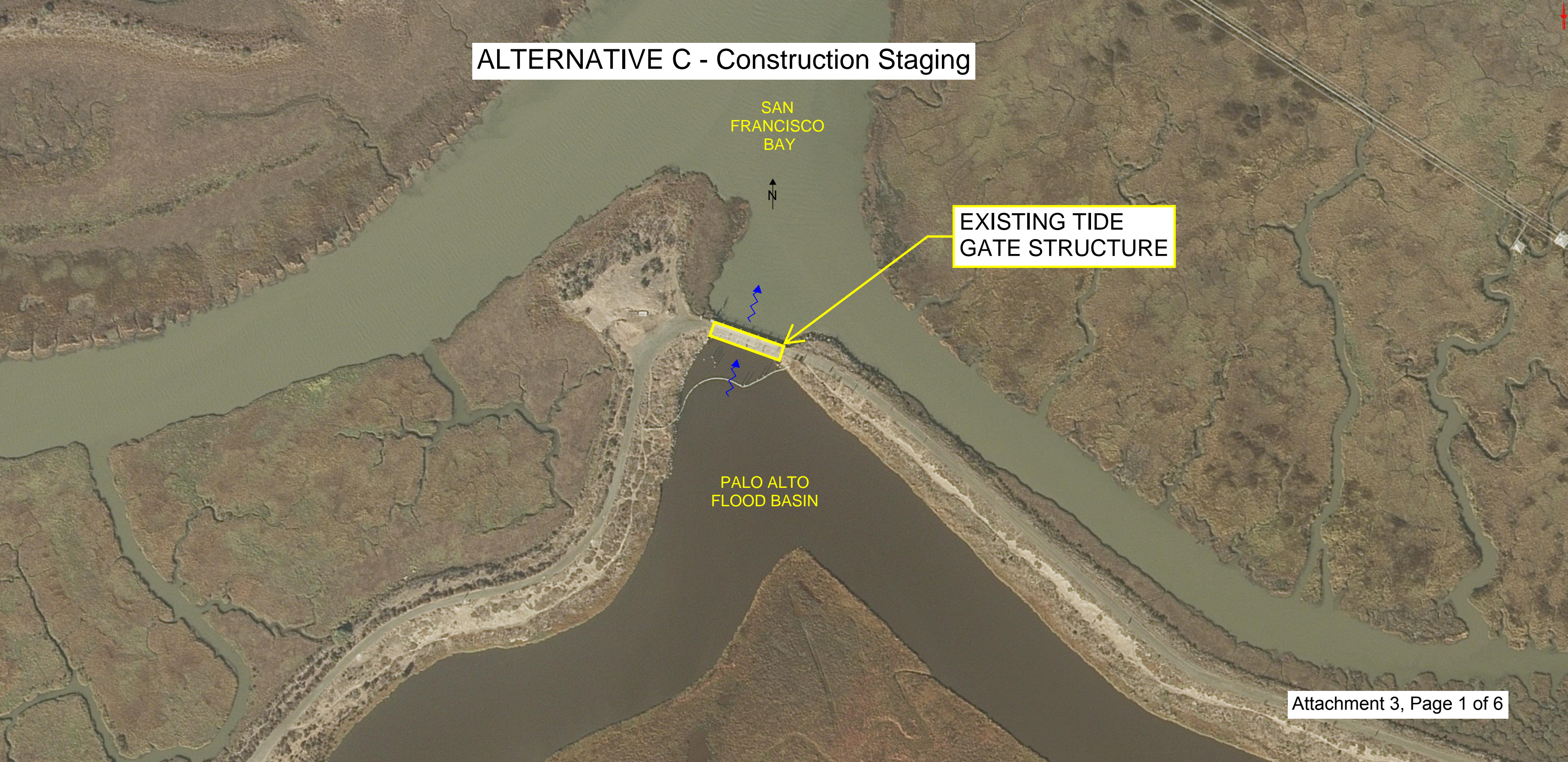
STAGE 5:
- CONSTRUCT LEVEE
- REMOVE DEWATERING SYSTEM B-2

SAN
FRANCISCO
BAY



PALO ALTO
FLOOD BASIN

ALTERNATIVE C - Construction Staging



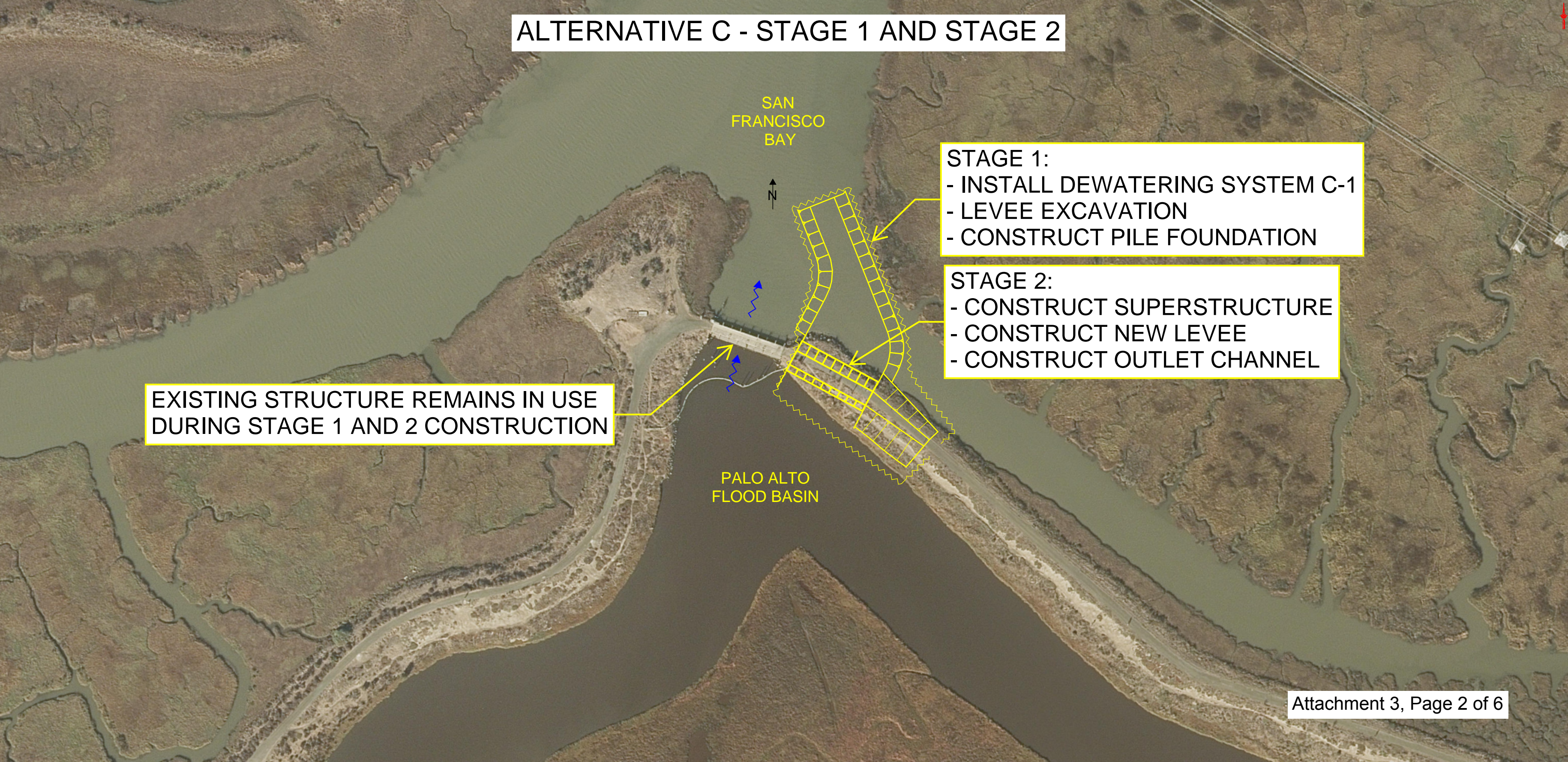
SAN
FRANCISCO
BAY



EXISTING TIDE
GATE STRUCTURE

PALO ALTO
FLOOD BASIN

ALTERNATIVE C - STAGE 1 AND STAGE 2



EXISTING STRUCTURE REMAINS IN USE
DURING STAGE 1 AND 2 CONSTRUCTION

SAN
FRANCISCO
BAY

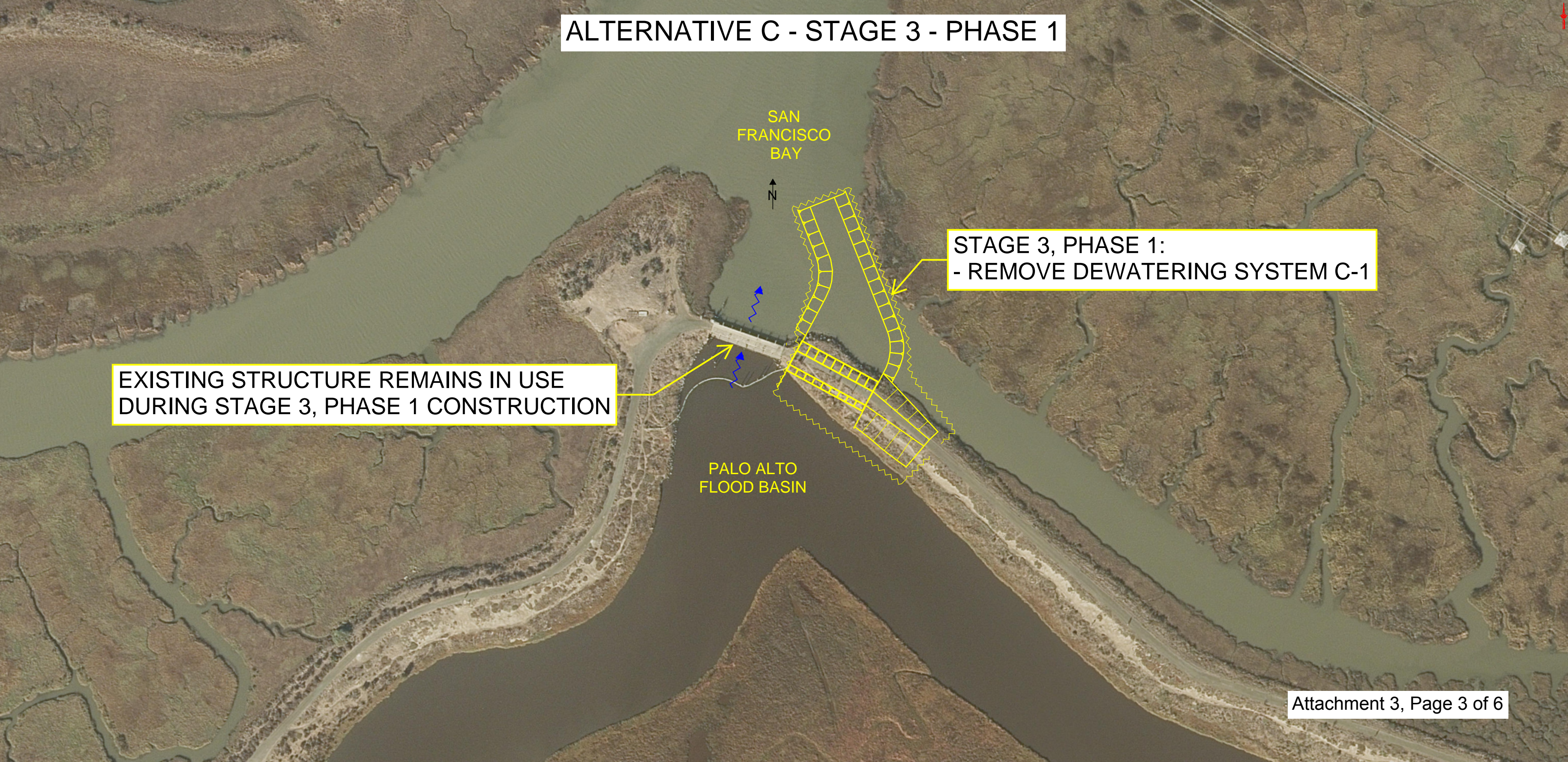


STAGE 1:
- INSTALL DEWATERING SYSTEM C-1
- LEVEE EXCAVATION
- CONSTRUCT PILE FOUNDATION

STAGE 2:
- CONSTRUCT SUPERSTRUCTURE
- CONSTRUCT NEW LEVEE
- CONSTRUCT OUTLET CHANNEL

PALO ALTO
FLOOD BASIN

ALTERNATIVE C - STAGE 3 - PHASE 1



SAN
FRANCISCO
BAY



STAGE 3, PHASE 1:
- REMOVE DEWATERING SYSTEM C-1

EXISTING STRUCTURE REMAINS IN USE
DURING STAGE 3, PHASE 1 CONSTRUCTION

PALO ALTO
FLOOD BASIN

ALTERNATIVE C - STAGE 3 - PHASE 2

- STAGE 3, PHASE 2:
- CONSTRUCT DEWATERING SYTEM C-2
 - REMOVE EXISTING TIDE GATE STRUCTURE
 - CONSTRUCT GROUND IMPROVEMENTS

SAN FRANCISCO BAY



PALO ALTO FLOOD BASIN

NEW TIDE GATE STRUCTURE
IN FULL USE DURING STAGE
3, PHASE 2 CONSTRUCTION

ALTERNATIVE C - STAGE 4

STAGE 4:

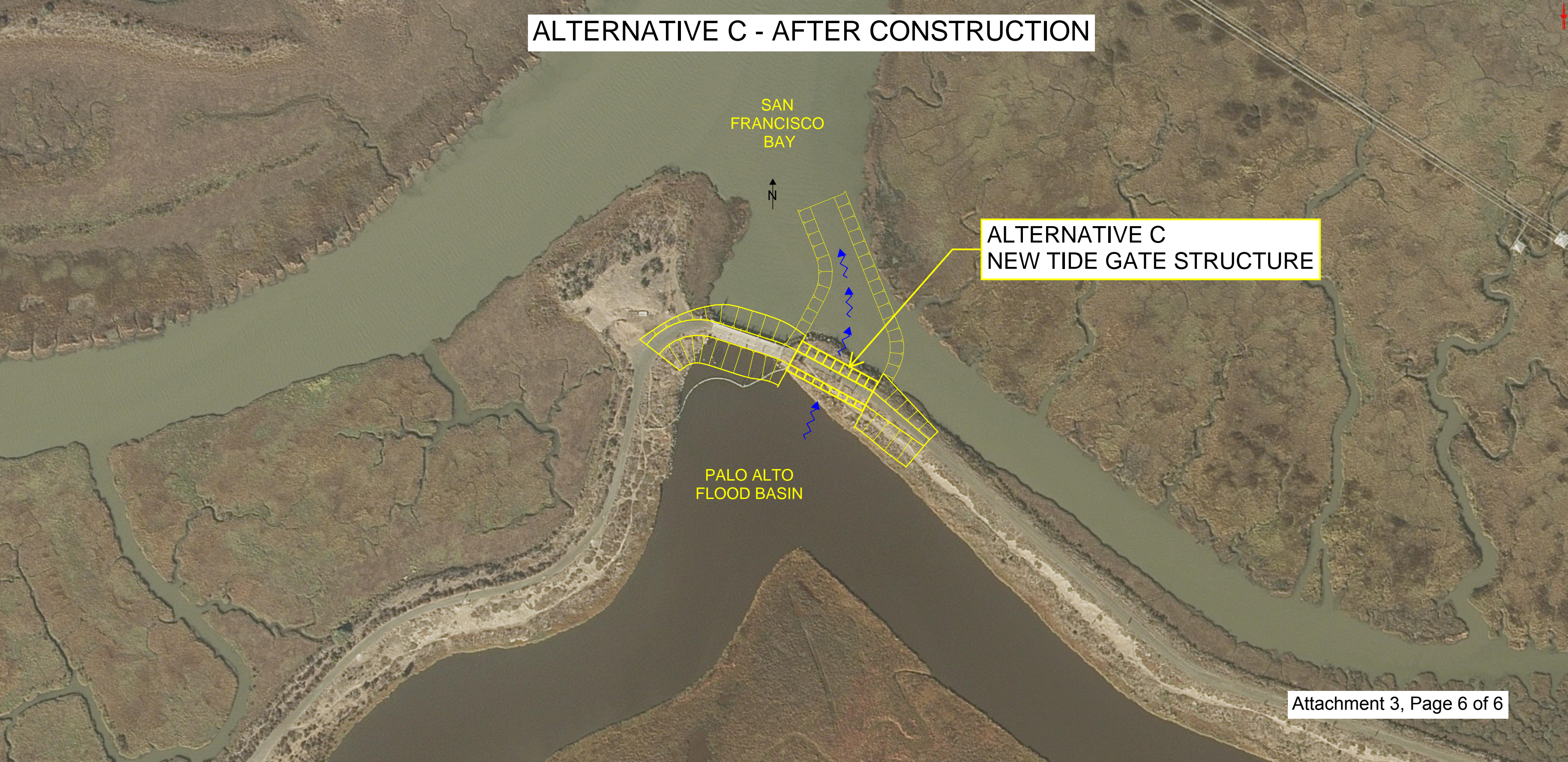
- COMPLETE GROUND IMPROVEMENTS
- CONSTRUCT NEW LEVEE
- REMOVE DEWATERING SYSTEM C-2

SAN
FRANCISCO
BAY



PALO ALTO
FLOOD BASIN

ALTERNATIVE C - AFTER CONSTRUCTION



SAN
FRANCISCO
BAY



ALTERNATIVE C
NEW TIDE GATE STRUCTURE

PALO ALTO
FLOOD BASIN

Feasible Alternatives Matrix

Alternative Element	Alternative A No Action	Alternative B New Structure Upstream from Existing Tide Gate Structure Location	Alternative C New Structure Next to Existing Tide Gate Structure Location
Construction Footprint Area	N/A	3.1 acres	2.6 acres
Native Planting Area	N/A	0.6 acres	0.4 acres
Number of Construction Season	N/A	5	4
Environmental Impact	* Potential loss of brackish marsh habitat. * 2-year flooding of 460 residences, 2 schools, 7 businesses, and temporary closure of Highway 101.	* Temporary impacts during the construction work windows for 5 seasons. * Current brackish marsh habitat will be maintained.	* Temporary impacts during the construction work windows for 4 seasons. * Current brackish marsh habitat will be maintained.
Impact to Trail Users	Trail is expected to be lost when tide gate structure fails.	The trail will be closed at the limits of the construction area for 53 months.	The trail will be closed at the limits of the construction area for 41 months.
Construction Uncertainties	N/A	Higher risk of construction complications due to unknown subsurface conditions, and staged construction of the tide gate structure.	Lower risk of construction complications.
Ease of Permitting	N/A	Permitting will be considerably difficult due to longer construction time and larger construction footprint area.	Permitting will be easier compared to Alternative B due to shorter construction time and reduced construction footprint area.
Mitigates Against SLR	No	Partial mitigation	Partial mitigation
Construction Cost	\$ -	\$ 31,147,200	\$ 26,429,200
Planning & Design Cost	\$ -	\$ 3,264,000	\$ 2,947,000
Permitting Cost	\$ -	\$ 1,186,800	\$ 1,059,400
Total 50-Year Lifetime Cost	N/A	\$ 35,598,000	\$ 30,435,600

* \$1.4M of estimated future long-term maintenance costs has been provided to Operations & Maintenance for their 5-year plan and is not included in the costs above.

THIS PAGE INTENTIONALLY LEFT BLANK



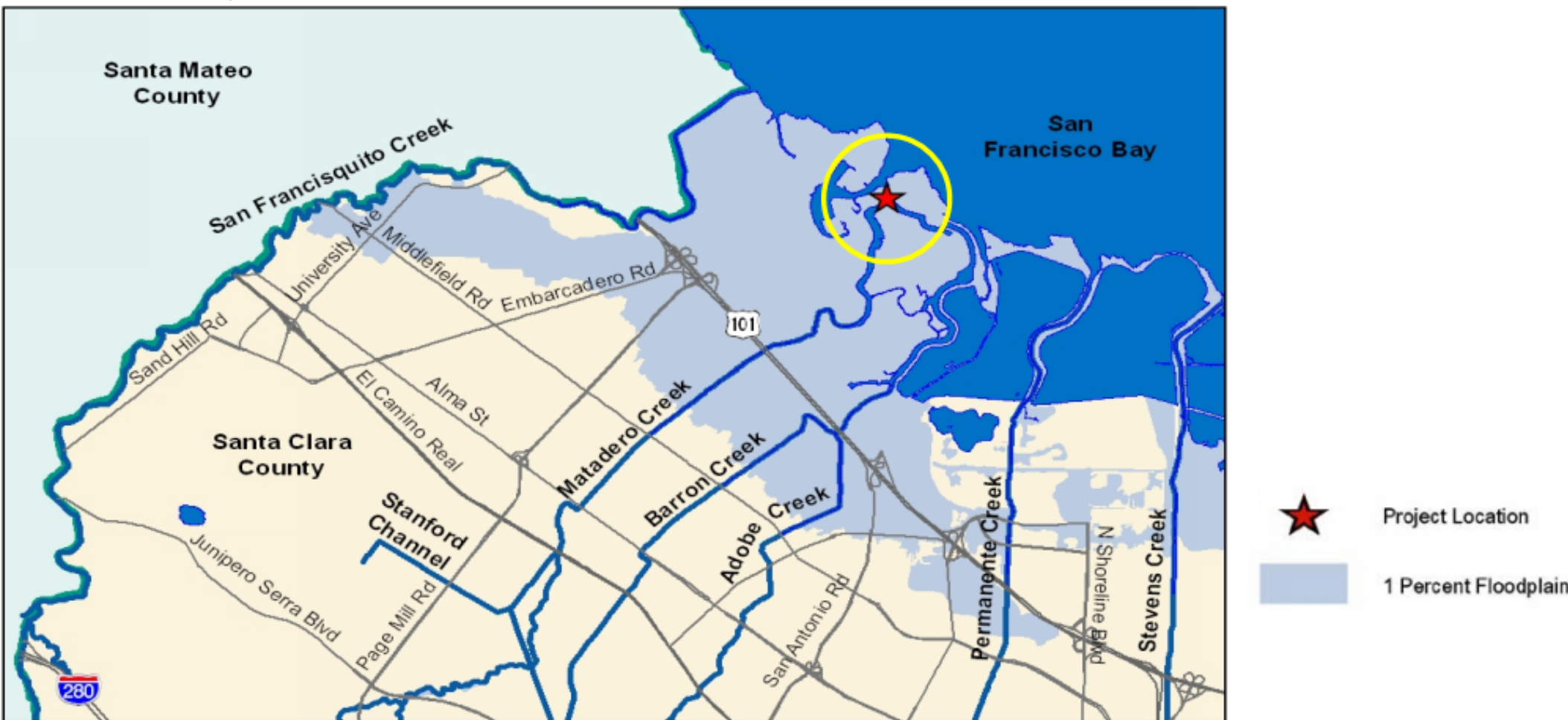
Palo Alto Flood Basin Tide Gate Structure Improvements

Presented by: **Roger Narsim**, P.E., P.L.S., Assoc. DBIA, Capital Engineering Manager



Project Location (District 7)

2





EXISTING TIDE
GATE STRUCTURE

Background

- Tide gates constructed in 1957 by Santa Clara County Flood Control & Water Conservation District, Santa Clara County, and the City of Palo Alto
- Palo Alto Flood Basin (PAFB) controls starting water elevations for Adobe, Barron, and Matadero creeks
- Historically the City of Palo Alto owned gates in the basin before the current structure was built



Stakeholders (1 of 2)

5

- San Francisquito Creek Joint Powers Authority (SFCJPA)
- City of Palo Alto (City of PA)
- City of Mountain View (City of MW)
- U.S. Army Corps of Engineers (USACE)
- U.S. Fish and Wildlife Service (USFWS)
- National Marine Fisheries Service (NMFS/NOAA)

Stakeholders (2 of 2)

6

- California Department of Fish and Wildlife (CDFW)
- San Francisco Bay Regional Water Quality Control Board
- Santa Clara County Vector Control District (SCCVCD)
- San Francisco Bay Trail (Bay Trail)
- California State Coastal Conservancy (SCC)
- San Francisco Bay Conservation and Development Commission (BCDC)

Tide Gate Structure Condition

7



Timeline: Previous Studies & Repairs 8

- PAFB Tide Gate Structure leaking reported (2011)
- PAFB Tide Gate Structure Monitoring (Dec. 2011)
- PAFB Tide Gate Structure Emergency Repairs (2012)
 - Post-emergency repair report to USACE (Oct. 2012)
 - New Capital Project initiated in 2012 to replace structure within 5 years
- PAFB Tide Gate Structure Inspection Report (April 2014)
- Problem Definition/Refined Objectives Report (June 2016)
- PAFB Tide Gate Structure Maintenance Repairs, Incomplete (Oct. 2017)
- Structural Assessment – replace within 2 years (Oct. 2017)
- Project transferred to Design and Construction Unit 5, #336 (Jan. 2018) for developing a structure replacement

Timeline: Work-to-date (1 of 2)

9

- Geotechnical investigation & report (2018-2019)
- Bathymetric survey (2018-2019)
- Project coordination w/ City of Palo Alto regarding electrical controls (June 2019)
- Hydraulic analysis of gate design (July 2019)
- Sea Level Rise (SLR) optimization, target 2 feet (July 2019)

Timeline: Work-to-date (2 of 2)

10

- Project coordination/collaboration with stakeholders (2018-2019)
- Preliminary Design Criteria (January 2019)
- Emergency Action Plan for Valley Water and City of Palo Alto (June 2019)
- Problem Definition/Refined Objectives Report (January 2020)
- Draft Planning Study Report (January 2020)

Preliminary Design Criteria

11

- Provide 100-year flood risk reduction for Matadero Creek, Adobe Creek, and Barron Creek.
- Increased capacity for future Sea Level Rise (SLR) (*Top of structure will be 4 feet above the existing levee, consistent with City of Mountain View Shoreline Levee Project at Coast Casey*)
- Located along future Shoreline Levee Project alignment
- Meet current seismic design standards
- Increase the safety and efficiency for future Operations & Maintenance
- Increase hydraulic efficiency with 8 side-hinged gates vs 15 top-hinge gates

Side gate versus Top gate efficiency 13

Video to be played during meeting.

Project Schedule

- Draft Problem Definition Report & Planning Study Report: January 2020
- Planning Phase Completion: May 2020
- 30% Design: Sept. 2019 – April 2020
- 60% Design: May 2020 – Oct. 2020
- 90% Design: Oct. 2020 – Dec. 2020
- 100% Design: Dec. 2020 – Feb. 2021
- Environmental (CEQA/Permitting): Jan. 2019 – April 2021
- Advertise/Award Contract: April 2021 – August 2021
- Construction Schedule (Alt-C): Sept. 2021 – Jan. 2025

Public Outreach

- Project website (January 2020)
- Planning & preliminary design – public meeting (March 2020)
- CEQA – MND, public notification & circulation (May 2020)
- Pre-construction public meeting (August 2021)

QUESTIONS



THIS PAGE INTENTIONALLY LEFT BLANK



Santa Clara Valley Water District

File No.: 19-1151

Agenda Date: 2/11/2020

Item No.: 7.1.

BOARD AGENDA MEMORANDUM

SUBJECT:

Approve Fiscal Year 2020 Grants for Safe, Clean Water and Natural Flood Protection Program.

RECOMMENDATION:

- A. Review and discuss staff's recommendations for Fiscal Year 2020 Safe, Clean Water and Natural Flood Protection Program (Safe, Clean Water Program) grant awards;
- B. Authorize the launch of a pilot Priority A2: Water Conservation Mini-Grant Pilot Program, using the Priority A2: Water Conservation benefits and funding;
- C. Authorize the Chief Executive Officer to approve and execute agreements for Priority B3: Pollution Prevention grants in a total amount not-to-exceed \$478,969 for five (5) projects;
- D. Approve the revised Grant Allocation Matrix for Priority D3: Restore Wildlife Habitat grants and begin implementing the revised matrix with the FY20 grant cycle;
- E. Authorize the Chief Executive Officer to approve and execute agreements for Priority D3: Restore Wildlife Habitat grants based on the following options below:
 - i. Using the current Grant Allocation Matrix structure for one (1) project in a total amount not-to-exceed \$286,078; or
 - ii. Using the revised Grant Allocation Matrix structure for two (2) projects in a total amount not-to-exceed \$580,531; and
- F. Authorize the Chief Executive Officer to approve and execute amendments to the recommended grant agreements, extending their terms up to twelve additional months and with no revisions to their not-to-exceed grant amounts.

SUMMARY:

Background

The Safe, Clean Water and Natural Flood Protection Program (Safe, Clean Water Program) provides seven grant cycles for each program priority. FY20 is a grant cycle year for Priority A2: Water Conservation (A2 Water Conservation), Priority B3: Pollution Prevention (B3 Pollution Prevention),

and Priority D3: Restore Wildlife Habitat (D3 Restore Wildlife Habitat).

On August 30, 2019, Santa Clara Valley Water District (Valley Water) released information to the public regarding the availability of grant funding via the public website and new online grants management system, Fluxx, and requested proposals to fund projects for A2 Water Conservation, B3 Pollution Prevention, and D3 Restore Wildlife Habitat under the Safe, Clean Water Program. Grant applications were accepted through November 1, 2019.

Outreach efforts for all grant programs included the following:

- Press release issued in September 2019
- Blog post on September 3, 2019
- Nextdoor posts to all Board Districts in the county on September 3, 2019
- Four (4) Social media posts and boosted posts throughout the solicitation period
- CEO Bulletin during the week of August 30 to September 5, 2019
- Telemundo news coverage on September 3, 2019, featuring an existing grant project at the Children's Discovery Museum
- ABC 7 news coverage on September 6, 2019
- Water Commission announcement at the meeting on October 23, 2019
- Youth Commission email announcement on September 3, 2019
- Booth duty event promotion at 14 events between August 31 and October 26, 2019
- Pre-proposal workshops conducted on September 18 and 20, 2019
- RFP announcement to existing key stakeholders in Santa Clara County and the grant program distribution list of more than 200 recipients on August 30, 2019
- Notifications sent to local elected officials, city managers, and executive leaders in the County
- Notifications sent to countywide neighborhood associations, community leaders, civic organizations, and local nonprofits
- Other direct outreach through various programs, including Creek Stewardship, Recycled and Purified Water, and Education Outreach.

Proposal Review Process and Evaluation Criteria

A total of 12 applications were received for the FY20 grant opportunities.

- Three (3) applications were received for A2 Water Conservation grants
- Five (5) applications for B3 Pollution Prevention grants
- Four (4) applications for D3 Restore Wildlife Habitat grants

Staff formed a review panel for each of the three grant priorities to evaluate the applications. The review panels consisted of internal and external subject matter experts on water conservation, pollution prevention, habitat restoration, environmental stewardship, and permits and regulations. External panelists included staff from City of San Jose, City of Santa Clara and San Jose State University. The reviewers scored the proposals based on the evaluation criteria identified in the proposal guidelines that were approved by the Board on February 26, 2019 (see Attachment 1).

Funding Recommendations

Staff determined the recommended funding amounts based on the grant allocation process that was approved by the Board on February 26, 2019 (see Attachment 1). According to the approved allocation process, the recommended funding amount for each application is based on the average scores from the review panelists.

Scores, funding recommendations and calculated funding allocations for each of the grant priorities are presented in Attachment 2.

A2 Water Conservation

The review panel recommended approving none of the three A2 Water Conservation grant applications for a standard grant award. The panel did not recommend the projects be awarded grant funding based on the lack of innovation, high cost for minimal water savings, and the lack of research plans behind the proposals. Since the evaluation, one grantee withdrew their application upon receiving full project funding from another agency.

Not recommended A2 Water Conservation Projects:

- DripCube Inc. for Smart Irrigation Controller Adaptation in Santa Clara County
- IoTelligent, LLC for WaterVault Leak Detection and Analytics with Campbell Union High School District
- Irvington High School for Save Water, Save California Initiative (withdrew)

Priority A2: Water Conservation Mini-Grant Pilot Program

Due to the low number of applicants and low number of eligible projects for the A2 Water Conservation grant opportunity, staff recommends developing a pilot mini-grant program that mirrors the current Board-approved D3 Restore Wildlife Habitat mini-grant program.

The mini-grant program is designed to encourage broader community involvement by providing up to \$5,000 per grant project using a streamlined application and evaluation process. Awarding mini-grant funding for projects that meet A2 criteria would allow grantees to kick-start projects and gain data to support an application for future funding opportunities.

Staff recommends launching a pilot A2 Water Conservation mini-grant program that utilizes the current D3 mini-grant program structure, requirements and provisions; requires the A2 benefits; and allocates up to \$100,000 of the A2 FY20 grant funding available for A2 mini-grants. The A2 Water Conservation pilot mini-grant program is proposed to be available through December 31, 2020 or until all available funding is awarded.

Should the Board approve the A2 Water Conservation pilot mini-grant program, staff will return to the Board at the end of the one-year pilot with an evaluation regarding the effectiveness of the program and a recommendation for the Board's consideration regarding whether to continue the A2 Water Conservation mini-grant program in future years.

B3 Pollution Prevention

The review panel recommended approving five of the five B3 Pollution Prevention grant applications for grant awards based on their clear objectives and anticipated outcomes in addressing pollution prevention, environmental stewardship, supporting volunteers, and educating the community.

The B3 Pollution Prevention Grant Allocation Matrix determined funding recommendations as follows:

- **Tier 1:** Proposals with an average score between 85-100 points will receive between 70-100% of the requested funding.
- **Tier 2:** Proposals with an average score between 70-84 points will receive between 30-60% of the requested funding

Recommended B3 Pollution Prevention Projects:

1. Children's Discovery Museum of San Jose for Exploration Portal: Preventing Pollution for a total amount not-to-exceed \$144,500
2. Grassroots Ecology for Community Based Stewardship of Green Stormwater Infrastructure for a total amount not-to-exceed \$89,331.60
3. West Valley Clean Water Program Authority for School Site Stormwater Pollution Prevention Plans for a total amount not-to-exceed \$35,088
4. County of Santa Clara for Green Business Program for a total amount not-to-exceed \$120,000
5. Guadalupe River Park Conservancy for Reducing the Impacts of Litter Along the Guadalupe River Trail for a total amount not-to-exceed \$90,049

D3 Restore Wildlife Habitat

The review panel recommended modifications to the D3 Restore Wildlife Habitat Grant Allocation Matrix. The evaluation criteria for the D3 Restore Wildlife Habitat grants allows full points to be assigned only if the project includes all project benefits that are eligible for funding under D3 Restore Wildlife Habitat. However, an eligible project only needs to provide one of the benefits under D3 Restore Wildlife Habitat to be eligible for funding. Therefore, staff recommends modifying the Grant Allocation Matrix for D3 Restore Wildlife Habitat projects to shift the point range for Tier 1 and Tier 2 funding to reflect the amount of points a project may receive by meeting one of the D3 benefits.

The current D3 Restore Wildlife Habitat Grant Allocation Matrix:

- **Tier 1:** Proposals with an average score between 170-200 points will receive between 70-100% of the requested funding.
- **Tier 2:** Proposals with an average score between 140-169 points will receive between 30-60% of the requested funding

The recommended revised D3 Restore Wildlife Habitat Grant Allocation Matrix:

- **Tier 1:** Proposals with an average score between 140-200 points will receive between 70-100% of the requested funding.
- **Tier 2:** Proposals with an average score between 110-139 points will receive between 30-60% of the requested funding

If the current grant allocation matrix is applied, then the review panel recommends approving one of the four D3 Restore Wildlife Habitat grant applications for grant award.

Recommended D3 Restore Wildlife Habitat Project:

1. Santa Clara Valley Open Space Authority for Pond Restoration Project for California Red-legged Frog and Western Pond Turtle in Rancho Canada del Oro Open Space Preserve for a

total amount not-to-exceed \$286,078

If the Board approves staff's recommendation to revise the grant allocation matrix, then the review panel recommends approving two of the four D3 Restore Wildlife Habitat grant applications for grant awards.

Revised Recommended D3 Restore Wildlife Habitat Projects:

1. Santa Clara Valley Open Space Authority for Pond Restoration Project for California Red-legged Frog and Western Pond Turtle in Rancho Canada del Oro Open Space Preserve for a total amount not-to-exceed \$476,796
2. Grassroots Ecology for Re-Oaking Silicon Valley for a total amount not-to-exceed \$103,735

The panel did not recommend two (2) of the four projects because of concerns with the budget and costs, and direct alignment with the D3 benefits.

Not Recommended D3 Restore Wildlife Habitat Projects:

- San Francisco Bay Bird Observatory for Maintaining and Expanding Forster's Tern Nesting Colonies at Pond A16 for the South Bay Salt Pond Restoration Project
- San Jose Evergreen Community College District for MAP in FlexFactor H20

If the Board approves staff's grant funding recommendations, the CEO will execute grant agreements for the awarded projects, after they comply with CEQA requirements.

Grant Agreement Provisions

The grant agreements will specify the following expiration dates, which will commence once they are fully executed: three (3) years for B3 Pollution Prevention projects and five (5) years for D3 Restore Wildlife Habitat projects.

Grant agreements will include provisions to allow for no-cost term extensions, if necessary and appropriate, to achieve project outcomes. If the Board approves staff's recommendation, the CEO will have authority to execute such amendments; however, any amendments resulting changes in scope of work or not-to exceed funding would require Board approval.

The grant agreements will contain provisions related to communications including:

- inclusion of Safe, Clean Water logo on all project materials presented to the public;
- all materials that include Safe, Clean Water logo are subject to review and approval by Valley Water;
- mention of "Safe, Clean Water and Natural Flood Protection Program" as appropriate when funding sources for the project are printed or presented;
- early notification to and invitations provided to Valley Water for any project related events; and
- invitation with speaking roles for Board of Directors members to project groundbreaking and opening ceremonies.

The grant agreements will also contain provisions requiring grantees provide a web posting of their

final report and prepare a project fact sheet or make a presentation to the Board or at an event hosted by Valley Water when the project is completed.

Additionally, grantees will be required to report project data, such as demographics of participants and measurable outcomes of all activities that involve community engagement, education, or outreach for staff to assess impacts of the grant funding.

Other provisions may include clear success measures, adherence to the project schedule, and guidelines regarding when contract revisions are necessary for changes in the project scope, schedule, and budget.

FINANCIAL IMPACT:

Financial impact associated with this item is limited to the proposals approved for funding per Board action.

The A2 Water Conservation pilot mini-grant program in the total amount of up to \$100,000 is funded in the FY20 budget under project 26061008.

The five B3 Pollution Prevention grants in the total amount of \$478,969 are funded in the FY20 budget under project 26061006.

The one or two D3 Restore Wildlife Habitat grants in the total amount of \$286,078 or \$580,531 are funded in the FY20 budget under project 26061007.

CEQA:

The recommended action does not constitute a project under CEQA (per CEQA Guidelines Section 15378(a)) because it does not commit the Valley Water to a definite course of action, and therefore has no potential to result in a direct or reasonably foreseeable indirect environmental impact. Specifically, it is a government fiscal activity which is not a project because it does not involve commitment to any specific project that may result in a potentially significant environmental impact, per CEQA Guidelines Section 15378(b)(4).

The Board action is approval of staff recommendations to fund projects following project-specific CEQA compliance, if required, and is not a commitment to fund those projects. It does not foreclose Valley Water's exercise of discretion with respect to a project, including but not limited to considering other feasible alternatives or mitigation measures to avoid or minimize a project's impacts, requiring a grantee to make such modifications deemed necessary to reduce a project's impacts, or determining not to proceed with one or more component of a project.

ATTACHMENTS:

Attachment 1: Evaluation Criteria

File No.: 19-1151

Agenda Date: 2/11/2020
Item No.: 7.1.

Attachment 2: Scoring Matrix

Attachment 3: Pilot A2 Mini-Grant Evaluation Form

UNCLASSIFIED MANAGER:

Rick Callender, 408-630-2017

THIS PAGE INTENTIONALLY LEFT BLANK

**SAFE, CLEAN WATER GRANTS PROGRAM
EVALUATION CRITERIA
A2 WATER CONSERVATION**

Criteria	Criteria Name	Max Points (Current)
1	<p>Water savings and research plan</p> <ul style="list-style-type: none"> Up to 10 points: a description of the potential water savings expressed as gallons per day or acre feet per year. (see template on following page). Include any other potential savings (e.g. energy, environmental, etc.); and Up to 15 points: a scientifically strong research plan that includes the following components: review of past literature (are there existing studies or reports that support the savings estimates?); clearly defined objective and hypothesis; identification of target audience; clear and logical research design (i.e. will you have a control group?); a description of your data collection methods (i.e. will it be metered or will submeters be needed?); and a description of the analysis that will be used. 	25
2	<p>Water Conservation Research Project innovation or new features</p> <p>Response should, at a minimum, answer the following questions: how is the proposed project and/or technology better and/or different than what currently exists? What new markets will it open and how will they be affected? What is the lifespan of the new technology and how reliable is it?</p>	25
3	<p>Cost effectiveness</p> <p>Goal is to fund projects that provide the largest water savings per dollar awarded. Describe your project's potential water savings (Criteria 1) in the context of funds requested and total project costs. If applicable, include cost per gallon saved.</p>	20
4	<p>Market impact potential</p> <p>Response should, at a minimum, answer the following questions: What audience or demographic will benefit from your project? What is the potential market size or impact size for your project?</p>	15
5	<p>Water Conservation Research Project preparedness</p> <p>Please provide a description of your experience or skills that will allow you to complete the proposed project. Also, describe how thoroughly the project will be planned including any preparatory work and understanding of potential obstacles and strategies to overcome them.</p>	15
PROPOSED ADDITIONAL CRITERIA		
6	<p>Financial Stability</p> <p>More than half of the applicant's required matching funds come from a monetary source (not in-kind). Applicant shows strong financial stability to carry-out the project.</p>	5
7	<p>Diverse Applicant Pool</p> <p>The applicant has never received a prior district standard grant (excluding the mini-grant).</p>	5
8	<p>Environmental Justice</p> <p>Proposed project's scope of work includes servicing/impacting a Disadvantage Community (as defined by California's Environmental Protection Agency).</p>	5
TOTAL POINTS		115

B3 POLLUTION PREVENTION							
Criteria	Criteria Name		Low (0-3)	Moderate (4-7)	High (8-10)	Weight	Max Score
1	<u>PROJECT GOALS & THEMES</u> Proposed project implements pollution prevention, reduction, removal, remediation or improvement activities, either independently or collaboratively. Project may focus on physical improvements under B3 and <u>priority themes</u> as listed: <ul style="list-style-type: none"> • Implement specific pollution prevention or reduction activities identified in existing countywide or regional plans • Increase the permeability of urban areas • Increase trash free areas in riparian areas • Prevent pharmaceutical waste and other pollutants from entering our waterways 	Project identifies which specific pollutant is the target of the project	No identification of a specific pollutant(s) as the focus of the project	Project addresses pollutants in priority reaches or areas identified in TMDL or 303d listings	Project addresses pollutants in priority reaches or areas beyond TMDL or 303d listings	0.25	2.5
		Project clearly states how it will prevent, reduce, remove, or remediate the identified pollutant	Able to link project to the District's One Water Objectives (Appendix J)	General description and some specifics of project methods and process for addressing the identified pollutant(s)	Clear and specifics description of project methods and process for addressing the identified pollutant(s)	0.25	2.5
		Physical projects that bring long-lasting solutions beyond the life of the grant funding	Project provides solutions lasting only the life of the grant	Project provides solutions lasting beyond the life of the grant by 1-2 years	Project provides solutions lasting beyond the life of the grant by 3+ years	0.25	2.5
		Establish baselines to account for existing conditions versus new conditions to measure success	No baseline data identified to measure success	Some baseline data identified to measure success	Systematic baseline data identified to measure success of project objective	0.25	2.5
		Maintenance and monitoring	Maintenance and monitoring component identified with no funding source	Maintenance and monitoring component identified with funding source	Maintenance and monitoring component identified, including parameters to be monitored and funding source	0.25	2.5

2	<u>CONNECTIVITY</u> Where applicable, project demonstrates connectivity of two or more related activities consistent with Priority B objectives		No identified connectivity	Connectivity with other planned enhancements, open space, or habitat areas	Demonstrated connectivity with existing enhancements, open space, or habitat areas	0.25	2.5
3	<u>PROJECT SCOPE</u> Proposed project includes a well-defined scope (see Appendix A) with clearly identifies the following: <ul style="list-style-type: none"> • Project description • Tasks • Deliverables • Success measures Outreach/presentation to District Board of Directors 		Most deliverables and associated tasks, success measures are clearly defined	All deliverables and associated tasks, success measures are clearly defined	All deliverables and associated tasks, success measures, and change management tasks are clearly defined	0.75	7.5
4	<u>PROJECT SCHEDULE</u> Proposed project includes a well-defined schedule (see Appendix B), including: <ul style="list-style-type: none"> • Tasks • Milestones • Deliverables • Performance measures • Project related events • Outreach/presentation to District Board of Directors • Close-out 		Target completion date, key milestone dates (including key events or board presentation dates) are clearly identified	Clear base schedule along with identification of critical path items.	Clear base schedule along with identification of critical path items, and ways to address anticipate schedule slip.	0.75	7.5
5	<u>PROJECT BUDGET</u> Proposed project includes a well-defined budget that clearly identifies the following <ul style="list-style-type: none"> • Tasks • Resources • Matching funds 	What tasks are included and which are requested for reimbursement through this grant?	Most budget items align well with those described in scope and schedule	All budget items align well with those described in scope and schedule	Identified budget items for change management beyond well-defined budget.	0.75	7.5
		Level of matching funds (% of total project cost)	25-30% matching funds	31 to 50% matching funds	51% or greater matching funds	0.75	7.5
		Unit cost is reasonable, effective and efficient	Identified unit cost	Identified unit cost and provided benchmark data	Identified unit cost, provided benchmark data, and	0.5	5

					demonstrated competitiveness against cost effectiveness		
6	<u>PROJECT READINESS</u> Readiness of CEQA documents (Categorical Exemption required where a Negative Declaration or EIR is not required) Readiness of Permit documents (if permits are not required give full points)		Notation of CEQA in project application with no clear date of expected completion	Planned completion of CEQA within 1 year of signed agreement	Completed CEQA	0.75	7.5
			Notation of permits in project application with no clear date of expected completion	Planned completion of permits within 1 year of signed agreement	Completed permits	0.75	7.5
7	<u>LIKELIHOOD OF PROJECT SUCCESS</u> Project team has clearly defined roles and responsibilities, and worked successfully from project planning to project completion in the past Assess whether the applicant has applied for grant opportunities (District and otherwise) previously and been successful		Project team has clearly defined roles and responsibilities	Project team worked together on project proposals in the past.	Project team has completed projects successfully.	0.5	5
			Applicant has no experience in applying for grants, District or otherwise	Experience includes having applied and received but not yet completed a grant project	Experience includes having applied, received, carried out a grant project successfully	0.5	5
8	<u>ENCOURAGES COOPERATIVE EFFORTS</u> Assesses how many organizations would benefit and how the project improves coordination	Experience working together collaboratively with other organizations	Worked together for one or more planning or funding proposals	Completed one project working together as a team.	Worked together for 2 or more completed projects.	0.5	5
		Authorization and coordination with land owners or land use planning processes.	No coordination with land owner and land use agencies	Letter of intent or draft resolution with scheduled dates for approval by land owners and land use agency where appropriate	Resolution or support by land owner or land use agency where appropriate	0.5	5
9	<u>KNOWLEDGE SHARING</u> Project demonstrates creativity for	What mechanisms in place to share the	No knowledge sharing beyond project reporting	Quarterly updates incorporated into a project website.	Posting of reports or pictures of project factsheets	0.75	7.5

	knowledge/information sharing	successes and learning throughout the Project			at a project website through periodic newsletters		
	Proposed project includes educational opportunities/ outreach (i.e. outreach in underserved communities, planting seedlings, educational plaques, partnerships with schools and other educational programs) while carrying out physical project improvements	What educational opportunities are included in the project?	Project does not include educational opportunities	Project includes passive educational opportunities (i.e., installation of interpretive signage)	Project includes active educational opportunities (i.e., engagement through meetings, workshops, class visits, etc.)	0.75	7.5
PROPOSED ADDITIONAL CRITERIA							
10	<u>Financial Stability</u> More than half of the applicant's required matching funds come from a monetary source (not in-kind). Applicant shows strong financial stability to carry-out the project.	0-33% of matching funds are from a monetary source	34-66% of matching funds are fund a monetary source	67-100% of monetary funds are from a monetary source	0.5	5	
11	<u>Diverse Applicant Pool</u> The applicant has never received a prior district standard grant (excluding the mini-grant).	Applicant has received at least one standard district grant in the past		Applicant has never received a standard district grant in the past	0.5	5	
12	<u>Environmental Justice</u> Proposed project's scope of work includes servicing/impacting a Disadvantaged Community (as defined by California's Environmental Protection Agency).	Scope of work does not indicate working in a Disadvantaged Community		Scope of work clearly defines how a Disadvantaged community will benefit from the project	0.5	5	
TOTAL POINTS							115

B7 SUPPORT VOLUNTEER CLEANUP EFFORTS & EDUCATION EVALUATION CRITERIA					
Criteria #	Criteria Name	Low (0-3)	High (8-10)	Weight	Max Score
1	<u>PROJECT BENEFITS</u> Proposed project provides one or more of the following benefits: <ul style="list-style-type: none"> • Reduce contaminants entering our waterways and groundwater • Engage community and supports watershed stewardship • Leverages volunteer community resources for efficient use of funds to support watershed cleanup and education efforts 	Project meets one benefit	Project meets all three benefits	1.0	10
2	<u>PROJECT GOALS</u> Proposed project clearly identifies at least one of three themes listed below and includes measurable outcomes: <ul style="list-style-type: none"> • Education and outreach on increasing permeability in urban areas • Education and outreach on increasing trash free locations in riparian areas • Education and outreach for reducing waste and other pollutants in in our waterways (showing benefits through awareness and engagement) 	Identified theme, but measurable outcome has little correlation to the theme	Identified theme clear and specific with measurable outcome(s) including outcomes which demonstrate the inclusion of diverse communities	1.0	10
3	<u>PROJECT SCOPE</u> Proposed project includes a well-defined scope (see Appendix A) with clearly identifies the following: <ul style="list-style-type: none"> • Project description • Tasks • Deliverables • Success measures Outreach/presentation to District Board of Directors 	Scope does not relate to schedule and budget	Well defined scope including items clearly listed and explained, and. clear coordination with schedule and budget	1.5	15
4	<u>PROJECT SCHEDULE</u> Proposed project includes a well-defined schedule (see Appendix B), including: <ul style="list-style-type: none"> • Tasks • Milestones 	Schedule does not relate to scope and budget	Well defined schedule, including items clearly listed and explained with performance measures, and	1.5	15

	<ul style="list-style-type: none"> • Deliverables • Performance measures • Project related events • Outreach/presentation to District Board of Directors • Close-out 		coordination with scope and budget, and involvement of District Board of Directors.		
5	<u>PROJECT BUDGET</u> Proposed project includes a well-defined budget that clearly identifies the following <ul style="list-style-type: none"> • Tasks • Resources • Matching funds 	25 to 34% matching funds	50% or greater matching funds	0.6	6
		Budget does not relate scope and schedule	Well defined budget including items listed here and coordination with scope and schedule	1.0	10
6	<u>COLLABORATIVE EFFORT</u> Proposed project demonstrates: <ul style="list-style-type: none"> • Encourages collaborative efforts through partnerships • Outreach to the community • Consistent with land use planning 	1 other collaborating partner on this project	3 or more partners, including partners from diverse communities	0.5	5
		No description of outreach	Demonstrated robust and diverse outreach.	0.5	5
		No Coordination with land use agencies	Receipt or acknowledgement of support from land use agencies where appropriate	0.5	5
7	<u>PROJECT READINESS</u> <ul style="list-style-type: none"> • Readiness of CEQA documents (Categorical Exemption required where a Negative Declaration or EIR is not required) • Readiness of Permit documents (if permits are not required) • Planned date of completion 	Notation of CEQA in project application with no clear date of expected completion	Completed CEQA	0.3	3
		Notation of permits in the project application with no clear date of expected completion	Completed Permits	0.3	3
		Project completion by June 2021	Project completion by June 2019	0.3	3
8	<u>LIKELIHOOD OF PROJECT SUCCESS</u> <ul style="list-style-type: none"> • Applicant's experience in applying and receiving grants 	Applicant has no experience in applying for grants, (District or otherwise) previously	Experience includes having applied, received, carried out a grant project successfully	0.5	5

	<ul style="list-style-type: none">Proposal includes performance measures and measurable milestones for determining success of project	No mention of performance measures and/or measurable milestone	Project includes performance measures AND measurable milestones	0.5	5
PROPOSED ADDITIONAL CRITERIA					
9	<u>Financial Stability</u> More than half of the applicant's required matching funds come from a monetary source (not in-kind). Applicant shows strong financial stability to carry-out the project.	0-49% of matching funds are from a monetary source	50-100% of monetary funds are from a monetary source	0.5	5
10	<u>Diverse Applicant Pool</u> The applicant has never received a prior district standard grant (excluding the mini-grant).	Applicant has received at least one standard district grant in the past	Applicant has never received a standard district grant in the past	0.5	5
11	<u>Environmental Justice</u> Proposed project's scope of work includes servicing/impacting a Disadvantaged Community (as defined by California's Environmental Protection Agency).	Scope of work does not indicate working in a Disadvantaged Community	Scope of work clearly defines how a Disadvantaged community will benefit from the project	0.5	5
TOTAL POINTS					115

D3 RESTORE WILDLIFE HABITAT EVALUATION CRITERIA						
Criteria #	Criteria Name	Low (0-3)	Moderate (4-7)	High (8-10)	Weight	Max Score
1	PROJECT THEMES/BENEFITS Proposed project focuses on one or more of the following priority <u>themes</u> : a) Further the wildlife habitat restoration goals of existing plans, e.g. the Santa Clara Valley Habitat Plan and South Bay Salt Pond Restoration Plan b) Restore and protect riparian corridor, tidal or other wetland habitats, including freshwater wetlands and vernal pools c) Protect special status species and support habitat improvements d) Emphasize projects with ecosystem, watershed-scale benefits	Project identifies theme, but measurable outcome has little correlation to theme or benefits	None	Project identifies themes with measurable outcome(s) that demonstrate improvements relevant to theme and benefits associated with D3	1.5	15
	Proposed project provides one or more of the following <u>benefits</u> : <ul style="list-style-type: none">Enhances creek and bay ecosystemsImproves fish passages and habitatLeverages community funding through grantsIncreases collaborations and partnerships for stewardship activities with cities, the County, nonprofit organizations, schools, underserved communities, and other stakeholders	Project meets one (1) benefit	Project meets two benefits	Project meets three (3) or more benefits	1.5	15
2	PROJECT GOALS Proposed project is focused on one or more of the scoring metrics listed below: B1 Creation or restoration of tidal, wetland or riparian habitat B2 Improvement of special status species habitat					

	B3 Fish barrier removal/ fish ladder installation B4 Removal of non-native, invasive plants; Planting of native species Applicant must select one or more subcategory to be scored upon (e.g. B1, B2, B3, and/or B4)					
	B.1 Creation or restoration of tidal, wetland or riparian habitat					
	Quantity	Project results in <2 acres of habitat created or restored	Project results in 2 to 5 acres of habitat created or restored	Project results in >5 acres of habitat created or restored	0.25	2.5
	Species assemblage	Proposed enhancement for single species	None	Proposed enhancement for multiple species	0.25	2.5
	Buffer	Little or no buffer planned between restored habitat and disturbance	50-100 ft. buffer planned	>100ft buffer planned	0.25	2.5
	Monitoring	One year of monitoring or maintenance proposed	2 to 4-year monitoring and maintenance plan proposed	5 years or more monitoring and maintenance plan proposed	0.25	2.5
	B2 Improvement of special status species habitat					
	Species	Proposed enhancement for single special status species	None	Proposed enhancement for multiple special status species	0.5	5.0
	Habitat Quality	Habitat to support one life history phase to occur onsite	Habitats to support all life history phases within dispersal distance of site	Habitats to support all life history phases to occur on-site	0.25	2.5
	Management Plan	No plan for monitoring/management of habitat	Management/monitoring plan included but general with few details	Detailed management/monitoring plan with success criteria included	0.25	2.5

	B3 Fish barrier removal/ fish ladder installation					
	The project helps to create a continuous aquatic habitat corridor for fish with the installation of a fishway or removal of an in-stream barrier.	Project opens up less than 1 river-mile of instream habitat for fish	Project opens up between 1 and 5 river-miles of instream habitat for fish and/or is only designed to allow passage for salmonids	Project opens up > 5 river-miles of instream habitat for fish and is designed to allow passage for all native fish rather than just salmonids	0.5	5.0
	Project installs additional habitat improvements adjacent to removed fish barrier	0 points for no habitat improvements in addition to fish barrier removal	7 points for additional habitat improvements in general	10 points for additional habitat improvements related specifically to fish for which the barrier was removed	0.5	5.0
	B4 Removal of non-native, invasive plants and planting of native species					
	Project length	Short term project (1 year) with minimal monitoring component	Mid-term project (2-3 years), with monitoring component	At least 4 years, with monitoring component	1.0	10
	Revegetation following removal	No active revegetation	Revegetation with natives	Revegetation with local native species (watershed specific)	0.5	5.0
	More credit will be given for the use of locally native species as outlined in the District's Guidelines and Standards for Land Use Near Streams	Project includes a planting plan of native species but no follow up maintenance or site preparation	Project includes plan with some maintenance (1-year post-project)	Project includes a comprehensive planting plan and schedule, utilizing locally specific natives as outlined in sources such as the District's Guidelines and Standards for Land Use Near Streams	1.5	15
3	CRITICAL HABITAT OR SPECIES NEEDS <ul style="list-style-type: none"> Proposed enhancement provides benefit to habitat on an ecosystem or watershed scale (Priority Theme: d) Proposed enhancement is listed in a published 	0 points for project that is site specific with no description of benefits to larger ecosystem or watershed	None	10 points for project that clearly demonstrates benefits to larger ecosystem or watershed as a whole	0.5	5.0

	document (plan, study, report, etc.) which cites its importance <ul style="list-style-type: none"> Establish baselines to account for existing conditions versus new conditions as a way to measure success Monitoring 	Enhancement (whichever type under Criteria #2) is not identified in a published document or no evidence is provided with the application to indicate so	Enhancement (whichever type indicated under Criteria #2) is identified in a published document	Enhancement (whichever type indicated under Criteria #2) is listed in a published document as critical	0.5	5.0
		No baseline data identified to measure success	None	Baseline data identified to measure success of project objective	0.5	5.0
		Monitoring component identified with no funding source	None	Monitoring component identified with funding source	0.5	5.0
4	<p><u>ACCOMPLISHES DISTRICT MISSION AND OBJECTIVES</u></p> <p><u>Identifies</u> the District ends policy(ies) and related objective(s) that the project meets.</p> <p>District mission: <i>Providing Silicon Valley safe, clean water for a healthy life, environment and economy</i></p> <p>For related objectives: Review the attached <i>One Water Objectives</i> document to identify related objectives. Objectives E, F and G may be the most relevant.</p>	0 points for identified mission component with no specific objective(s) that the project meets	None	10 points for an identified mission component and at least one specific objective that grant funds will support	0.5	5.0
5	<p><u>COOPERATIVE EFFORTS</u></p> <p>Proposed project demonstrates:</p> <ul style="list-style-type: none"> How many entities are partnering on this project? What geographic area does the project benefit? Applicant applying for District grant program for the first time Consistent with land use planning 	3 points for 1 partner	7 points for 2 partners	10 points for 3 or more partners	0.25	2.5
		3 points for 1 city	7 points for 2 or more cities	10 points for countywide	0.25	2.5
		0 points if applicant has previously applied for District grants (successful or not)	None	10 points for first time applicants	0.25	2.5

		No coordination with land-use agencies	Project includes formal notification to a land-use agency (such as a local municipality) where appropriate	Receipt of support by land-use agency where appropriate	0.25	2.5
6	<u>COMMUNITY INVOLVEMENT & OUTREACH</u> Proposed project: <ul style="list-style-type: none"> • Demonstrates outreach to the community • Project includes educational opportunities/outreach (i.e. planting seedlings, educational plaques, partnerships with schools and other educational programs, outreach to underserved communities) while carrying out physical project improvements 	No description of outreach	Planned outreach (included in scope and schedule)	Demonstrated outreach (already conducted)	0.5	5.0
		0 points for no description of education opportunities	None	10 points for inclusion of educational opportunities	0.5	5.0
7	<u>PROJECT SCOPE</u> Proposed project includes a well-defined scope (see Appendix A) that clearly identifies the following: <ul style="list-style-type: none"> • Project description • Tasks • Deliverables • Outreach/presentation to District Board of Directors 	Scope does not relate to schedule and budget	None	10 points for well-defined scope including items clearly listed and explained, and, clear coordination with schedule and budget	1.0	10
8	<u>PROJECT SCHEDULE</u> Proposed project includes a well-defined schedule (see Appendix B), including: <ul style="list-style-type: none"> • Tasks • Milestones • Project-related event • Outreach/presentation to District Board of Directors • Close-out 	Schedule does not relate to scope and budget	None	10 points for well-defined schedule including items listed here and coordination with scope and budget	0.75	7.5
9	<u>PROJECT BUDGET</u> Proposed project includes a well-defined budget (see Appendix C) that clearly identifies the following <ul style="list-style-type: none"> • Resources • Matching funds 	Grantee funding only (in addition to District grant).	2 funding sources (in addition to District grant)	3 or more funding sources (in addition to District grant)	0.25	2.5
		25 to 34% matching funds	35 to 49% matching funds	50% or greater matching funds	0.5	5.0

	<ul style="list-style-type: none"> Tasks 	Budget does not relate scope and schedule	None	10 points for well-defined budget including items listed here and coordination with scope and schedule	1.0	10
10	PROJECT READINESS <ul style="list-style-type: none"> Project completion following agreement execution Readiness of CEQA documents (Categorical Exemption required where a Negative Declaration or EIR is not required) Readiness of Permit documents (if permits are not required) 	3 points for completion within 5 years of signed agreement.	7 points for completion within 2 years of signed agreement	10 points for completion within 1 year of signed agreement	0.5	5.0
		3 points for notation of CEQA in project application with no clear date of expected completion	7 points for planned completion within 1 year of signed agreement	10 points for completed CEQA (as required)	0.5	5.0
		3 points for notation of permits in project application with no clear date of expected completion	7 points for planned completion within 1 year of signed agreement	10 points for completed permits (as required)	0.5	5.0
11	LIKELIHOOD OF SUCCESS <ul style="list-style-type: none"> Grant Experience Performance measures 	0 points if applicant has no experience in applying for grants, District or otherwise	4 points for applied and received and not completed yet	10 points for applied, received, carried out successfully	0.25	2.5
		No mention of performance measures and/or milestones	Includes performance measures OR measurable milestones	10 points for project that includes performance measures AND measurable milestones	0.75	7.5
12	CONNECTIVITY Project demonstrates connectivity	0 points for no identified connectivity	Demonstrates connectivity with existing enhancements, open space, or habitat areas	10 points for demonstrated connectivity with existing enhancements, open space, or habitat areas	0.5	5.0
PROPOSED ADDITIONAL CRITERIA						
13	Financial Stability More than half of the applicant's required matching funds come from a monetary source (not in-kind). Applicant shows strong financial stability to carry-out the project.	0-33% of matching funds are from a monetary source	34-66% of matching funds are fund a monetary source	67-100% of monetary funds are from a monetary source	0.5	5.0

14	<u>Diverse Applicant Pool</u> The applicant has never received a prior district standard grant (excluding the mini-grant).	Applicant has received at least one standard district grant in the past		Applicant has never received a standard district grant in the past	0.5	5.0
15	<u>Environmental Justice</u> Proposed project's scope of work includes servicing/impacting a Disadvantaged Community (as defined by California's Environmental Protection Agency).	Scope of work does not indicate working in a Disadvantaged Community		Scope of work clearly defines how a Disadvantaged community will benefit from the project	0.5	5.0
TOTAL POINTS						215

D3 ACCESS TO TRAILS AND OPEN SPACE EVALUATION CRITERIA					
Criteria #	Criteria	Low (0-3)	High (8-10)	Weight	Max Score
1	Applicant's readiness to begin the project.	Project plan ready for implementation within 5 years.	Project plan currently ready for implementation.	0.8	8
2	Status of CEQA process and obtaining of necessary permits.	Project timeline indicates CEQA process and/or other permitting has yet to be initiated	Project timeline indicates CEQA and other necessary permits have been obtained and project completion expected within the next 2 years	0.4	4
3	Project minimizes impacts to the environment.	Project does not include measures to avoid and/or minimize negative impacts to the environment.	Project specifically designed with measures to <u>avoid</u> negative impacts to the environment, or has no negative impacts.	0.4	4
4	Applicant has a plan to maintain the project.	Maintenance plan for project not complete.	Maintenance plan for project is complete, long-term and specific.	0.4	4
5	Project supports additional benefits consistent with District's mission.	Project supports recreation only.	Project supports 2 or more objectives consistent with District mission other than recreation or the preservation of open space.	0.4	4
6	Project incorporates environmental restoration/ enhancement activities and/or protects open space adjacent to trail.	Project does not incorporate restoration/ enhancement activities or protect open space in the project description.	Project incorporates significant restoration/ enhancement activities or protects open space in the project description.	0.8	8
7	Cost to the District as a percentage of the total estimated project cost.	Project provides at least 25% matching fund (i.e., more District funding required).	Project provides >50% matching fund (i.e., less District funding required).	0.8	8
8	Miles of new trail/open space to be created for the amount of funding requested.	Project includes public access to <1 mile of new trail.	Project includes public access to >2 miles of new trail.	0.8	8
9	Project demonstrates its contribution to underserved communities, including the deficiency of similar recreational opportunities in the project area.	Project does not demonstrate benefit to an underserved area and/or fulfill a deficiency in recreational opportunities in its vicinity.	Project demonstrates benefits to an underserved area and/or fulfills a deficiency in similar recreational opportunities in its vicinity.	0.8	8

10	Distribution of trail grant funds per entity and geographic area.	Project received prior trail grant funds from District.	Entity (and geographic area) has not received prior trail grant funding from District.	0.8	8
11	Demonstrates available access (public transportation, persons with disabilities, bicycle lanes, staging areas, access to public restrooms and public parking, etc.) and improves access to public areas.	Project does not demonstrate access to the project site and/or does not improve access to public areas	Project demonstrates access to the project site and offers public access where it is otherwise poor and limited.	0.8	8
12	Demonstrate connectivity to the project site by connections between existing trails, parks and open space or by being a part of a trail network.	Project is a standalone trail with no connections to existing trails, parks or open space.	Project includes a connection between existing trails, parks, and/or open space; and is part of a trail network.	0.8	8
13	Project demonstrates safe passage for public access to trails and open space, including street and bridge crossings.	Project does not demonstrate how public safety is taken into consideration.	Project demonstrates safe public access by recognizing and mitigating high traffic areas, tight corridors, publicly less visible areas, and areas of disrepair.	0.4	4
14	Project receives community support and demonstrates an understanding of the community served.	Project shows no support by the community (i.e. local officials, environmental groups, community groups).	Project enjoys community support from local officials and a broad range of community interests.	0.8	8
15	Project includes educational opportunities/ outreach (i.e. planting seedlings, adopt-a-trail, educational plaques, cleanup, partnerships with schools and educational programs).	Project does not include an element of educational opportunity/ outreach.	Project includes a partnership with a school or the incorporation of an adopt-a-trail or other educational program.	0.4	4
16	Project offers multiple points of interest (historic, cultural, geographic, educational, or scenic) to the public.	Project acts singly as a means of recreation or transportation.	Project acts as a means of recreation AND transportation and incorporates at least one additional point of public interest.	0.4	4
PROPOSED ADDITIONAL CRITERIA					
17	<u>Financial Stability</u> More than half of the applicant's required matching funds come from a monetary source (not in-kind). Applicant shows strong financial stability to carry-out the project.	0-49% of matching funds are from a monetary source	50-100% of monetary funds are from a monetary source	0.5	5

18	<u>Diverse Applicant Pool</u> The applicant has never received a prior district standard grant (excluding the mini-grant).	Applicant has received at least one standard district grant in the past	Applicant has never received a standard district grant in the past	0.5	5
19	<u>Environmental Justice</u> Proposed project's scope of work includes servicing/impacting a Disadvantaged Community (as defined by California's Environmental Protection Agency).	Scope of work does not indicate working in a Disadvantaged Community	Scope of work clearly defines how a Disadvantaged community will benefit from the project	0.5	5
TOTAL POINTS					115

FY20 Grant Funding Recommendations

A2: Water Conservation					
Entity Name	Project Name	Average Score	Requested Funding	Funding % of Total Request	Recommended Funding Award
DripCube Inc.	Smart Irrigation Controller Adaptation in Santa Clara County	53	\$63,000	0%	\$0
IoTelligent, LLC	WaterVault Leak Detection and Analytics with Campbell Union High School District	45	\$39,670	0%	\$0
Irvington High School	Save Water, Save California Initiative	42	\$17,936	0%	\$0
Total Funding Request			\$120,606		
Total Funding Recommendations					\$0
Total Funding Available					\$100,000

Grant Allocation Matrix		
Tier 1:	70-100% Funding	85-100 points
Tier 2:	30-60% Funding	70-84 points

FY20 Grant Funding Recommendations

B3: Pollution Prevention Grants					
Entity Name	Project Name	Average Score	Requested Funding	Funding % of Total Request	Recommended Funding Award
Children's Discovery Museum of San Jose	Exploration Portal: Preventing Pollution	92	\$144,500	100%	\$144,500
Grassroots Ecology	Community Based Stewardship of Green Stormwater Infrastructure	85	\$89,332	100%	\$89,332
West Valley Clean Water Program Authority	School Site Stormwater Pollution Prevention Plans	78	\$58,480	60%	\$35,088
County of Santa Clara	Green Business Program	76	\$200,000	60%	\$120,000
Guadalupe River Park Conservancy	Reducing the Impacts of Litter Along the Guadalupe River Trail	71	\$150,082	60%	\$90,049
Total Funding Request			\$642,394		
Total Funding Recommendations					\$478,969
Total Funding Available					\$500,000

Grant Allocation Matrix		
Tier 1:	70-100% Funding	85-100 points
Tier 2:	30-60% Funding	70-84 points

FY20 Grant Funding Recommendations

D3: Restore Wildlife Habitat							
Entity Name	Project Name	Average Score	Requested Funding	Current Grant Allocation Matrix		Recommended Revised Grant Allocation Matrix	
				Funding % of Total Request	Recommended Funding Award	Funding % of Total Request	Recommended Funding Award
Santa Clara Valley Open Space Authority	Pond Restoration Project for California Red-legged Frog and Western Pond Turtle in Rancho Canada del Oro Open Space Preserve	149	\$476,796	60%	\$286,078	100%	\$476,796
Grassroots Ecology	Re-Oaking Silicon Valley	137	\$172,892	0%	\$0	60%	\$103,735
San Francisco Bay Bird Observatory	Maintaining and Expanding Forster's Tern Nesting Colonies at Pond A16 for the South Bay Salt Pond Restoration Project	108	\$112,500	0%	\$0	0%	\$0
San Jose Evergreen Community College District	MAP in FlexFactor H20	83	\$500,000	0%	\$0	0%	\$0
			Total Funding Request	\$1,262,188			
					Total Funding Recommendations	\$286,078	\$580,531
					Total Funding Available	\$1,300,000	\$1,300,000

Grant Allocation Matrix			
Current			Recommended Revised
Tier 1	70-100% Funding	170-200 points	140-200 points
Tier 2	30-60% Funding	140-169 points	110-139 points

THIS PAGE INTENTIONALLY LEFT BLANK



Safe, Clean Water and Natural Flood Protection Program



Date of Application Submission:	Name of Organization or Individual Responsible for Taxes and Insurance:		
	Address:	City:	Zip Code:
Name of Contact:	Telephone:	Email:	
Project Name:	Project Start State:	Project End Date:	
Project Location:	Requested Grant Amount (not to exceed \$5,000):	Monetary or In-Kind Match Amount:	

Scoring Criteria			
0 = No		3 = Yes, adequate info provided	
1 = Yes, but no details		4 = Yes, with good details	
2 = Yes, very little information provided		5 = Yes, clearly details information	
Yes	No	Criteria	Score (0-5)
<input type="checkbox"/>	<input type="checkbox"/>	Does project achieve one or more of the A2 benefits?	Requires a "Yes" response for these questions in order to be eligible for mini-grant
<input type="checkbox"/>	<input type="checkbox"/>	Is applicant an eligible entity to apply for grant?	
<input type="checkbox"/>	<input type="checkbox"/>	Is applicant able to identify responsible person/entity to sign agreement and take responsibility for tax and insurance, if necessary?	
<input type="checkbox"/>	<input type="checkbox"/>	Did applicant attach a written project scope that included: <ul style="list-style-type: none"> Proposed activities Expenditure Plan Schedule 	
<input type="checkbox"/>	<input type="checkbox"/>	Did applicant provide explanation of 25% match funding?	
<input type="checkbox"/>	<input type="checkbox"/>	Is the project located in Santa Clara County?	
<input type="checkbox"/>	<input type="checkbox"/>	Does the project provide one or more of the A2 benefits: <ul style="list-style-type: none"> Help identify potential water reduction technologies and methods Research studies that determine potential cost-effectiveness of water conservation research projects 	
<input type="checkbox"/>	<input type="checkbox"/>	Does the project include educational and/or outreach opportunities related to the Priority A2 goals?	
<input type="checkbox"/>	<input type="checkbox"/>	Will there be opportunities for the Board of Directors to participate in outreach and/or media events?	N/A
<input type="checkbox"/>	<input type="checkbox"/>	Does the project have measurable outcomes?	

<input type="checkbox"/>	<input type="checkbox"/>	Are outcome measurements included as part of the project's proposed activities?	
TOTAL POINTS (20 max)			

Application Reviewed By:

Safe, Clean Water Grant Program Staff			
Program Administrator	Signature	Date	Comments
Manager	Signature	Date	Comments
Technical Staff			Unit Name:
Staff Name	Signature	Date	Comments
Manager Name	Signature	Date	Comments

Funding Recommendation:

Staff recommends the following action:	<input type="checkbox"/> Do Not Fund	<input type="checkbox"/> Fund \$
Reason for recommendation:		

Approved By:

Rick L. Callender
Chief of External Affairs

Date



Santa Clara Valley Water District

File No.: 20-0211

Agenda Date: 2/11/2020

Item No.: *8.1.

BOARD AGENDA MEMORANDUM

SUBJECT:

Adopt a Resolution Setting Time and Place of a Public Hearing on April 14, 2020, for the Report on Activities in Protection and Augmentation of Water Supplies of the District - 2020. (Previously Listed as Item 3.3)

RECOMMENDATION:

- *A. Receive a brief verbal update from staff on the preliminary Fiscal Year (FY) 2020-21 groundwater production charge setting process;
- *B. Adopt the Resolution CALLING A PUBLIC HEARING TO CONSIDER COMMENTS FROM MEMBERS OF THE PUBLIC ON THE REPORT ON THE ACTIVITIES IN THE PROTECTION AND AUGMENTATION OF THE WATER SUPPLIES OF THE SANTA CLARA VALLEY WATER DISTRICT, 2020; and
- *C. Set time and place for public hearing to occur on April 14, 2020 at 1:00 p.m., at the Santa Clara Valley Water District Board Chambers, 5700 Almaden Expressway, San Jose, CA 95118.

SUMMARY:

Section 26.6 requires a public hearing that allows any well owner/user and surface water permittee within the district, or any person interested in the district's activities in the protection and augmentation of the water supplies of the district be held to allow anyone, in person, or by representative, appear and submit evidence concerning the subject of the Report on Activities in the Protection and Augmentation of the Water Supplies of the District (PAWS Report). This public hearing must be held on or before the fourth Tuesday of April of each year, in the chambers of the Board. The District must provide advance notice of the public hearing to well owners/users and surface water users. Staff recommends that the Board set Tuesday, April 14, 2020 for the public hearing in accordance with this year's budget and groundwater production charge setting schedule; and close the public hearing on April 28, 2020.

The PAWS Report is prepared annually in accordance with Section 26.5 of the District Act. Section 26.6 of the District Act requires the PAWS Report be filed with the Clerk of the Board on or before the first Tuesday in April. The PAWS Report will be filed with the Clerk of the Board on Friday, February 28, 2020 and available for public review thereafter.

*Staff will provide a verbal update on feedback received from the Water Retailers regarding the preliminary FY 2020-21 groundwater production charge analysis, which has been received subsequent to the last discussion with the Board on this topic that occurred on January 28, 2020.

FINANCIAL IMPACT:

Though setting the date for a public hearing does not have any direct financial impact, the public hearings will affect the future finances of the Water Utility Enterprise.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

- *Original Board Agenda Memo
- *Original Attachment 1: Resolution
- *Original Attachment 2: Public Hearing Notice
- *Supplemental Board Agenda Memo

UNCLASSIFIED MANAGER:

Nina Hawk, 408-630-2736



Santa Clara Valley Water District

File No.: 20-0140

Agenda Date: 2/11/2020

Item No.: 3.3.

BOARD AGENDA MEMORANDUM

SUBJECT:

Adopt a Resolution Setting Time and Place of a Public Hearing on April 14, 2020, for the Report on Activities in Protection and Augmentation of Water Supplies of the District - 2020.

RECOMMENDATION:

- A. Adopt the Resolution CALLING A PUBLIC HEARING TO CONSIDER COMMENTS FROM MEMBERS OF THE PUBLIC ON THE REPORT ON THE ACTIVITIES IN THE PROTECTION AND AUGMENTATION OF THE WATER SUPPLIES OF THE SANTA CLARA VALLEY WATER DISTRICT, 2020; and
- B. Set time and place for public hearing to occur on April 14, 2020 at 1:00 p.m., at the Santa Clara Valley Water District Board Chambers, 5700 Almaden Expressway, San Jose, CA 95118.

SUMMARY:

Section 26.6 requires a public hearing that allows any well owner/user and surface water permittee within the district, or any person interested in the district's activities in the protection and augmentation of the water supplies of the district be held to allow anyone, in person, or by representative, appear and submit evidence concerning the subject of the Report on Activities in the Protection and Augmentation of the Water Supplies of the District (PAWS Report). This public hearing must be held on or before the fourth Tuesday of April of each year, in the chambers of the Board. The District must provide advance notice of the public hearing to well owners/users and surface water users. Staff recommends that the Board set Tuesday, April 14, 2020 for the public hearing in accordance with this year's budget and groundwater production charge setting schedule; and close the public hearing on April 28, 2020.

The PAWS Report is prepared annually in accordance with Section 26.5 of the District Act. Section 26.6 of the District Act requires the PAWS Report be filed with the Clerk of the Board on or before the first Tuesday in April. The PAWS Report will be filed with the Clerk of the Board on Friday, February 28, 2020 and available for public review thereafter.

FINANCIAL IMPACT:

Though setting the date for a public hearing does not have any direct financial impact, the public hearings will affect the future finances of the Water Utility Enterprise.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

Attachment 1, Resolution

Attachment 2, Public Hearing Notice

UNCLASSIFIED MANAGER:

Nina Hawk, 408-630-2736

**BOARD OF DIRECTORS
SANTA CLARA VALLEY WATER DISTRICT**

RESOLUTION NO. 20-

**CALLING A PUBLIC HEARING TO CONSIDER COMMENTS
FROM MEMBERS OF THE PUBLIC ON THE REPORT ON THE
ACTIVITIES IN THE PROTECTION AND AUGMENTATION OF THE
WATER SUPPLIES OF THE SANTA CLARA VALLEY WATER DISTRICT, 2020**

WHEREAS, Section 26.6 of the District Act requires that the Clerk of the Board publish a notice of the receipt of the annual "Report of the Activities on the Protection and Augmentation of Water Supplies of the District" (PAWS Report) in a newspaper of general circulation printed and published within the Santa Clara Valley Water District, at least 10 days prior to the date at which the public hearing regarding the report shall be held; and

WHEREAS, Section 26.6 of the District Act requires that such public hearing be held on or before the fourth Tuesday of April.

NOW, THEREFORE BE IT RESOLVED by the Board of Directors of the Santa Clara Valley Water District as follows:

1. The Public Hearing shall be held at the time and place provided in the notice attached hereto as Exhibit A (Notice) and incorporated herein by this reference.
2. Clerk of the Board shall publish the Notice pursuant to California Government Code Section 6061.

PASSED AND ADOPTED by the Board of Directors of the Santa Clara Valley Water District by the following vote on February 11, 2020:

AYES: Directors

NOES: Directors

ABSENT: Directors

ABSTAIN: Directors

SANTA CLARA VALLEY WATER DISTRICT

NAI HSUEH
Chair, Board of Directors

ATTEST: MICHELE L. KING, CMC

Clerk, Board of Directors

THIS PAGE INTENTIONALLY LEFT BLANK



Exhibit A

Public hearing notice

- Topic:** Fiscal Year 2020/2021 Groundwater Production and Surface Water Charges
- Who:** Santa Clara Valley Water District Board of Directors
- What:** Public hearings on proposed fiscal year 2020/2021 Groundwater Production and Surface Water Charges
- When:** April 14, 2020 at 1:00 p.m. – open public hearing
April 23, 2020 at 6:00 p.m. – open house in South County; 7:00 p.m. - continued public hearing in South County
April 28, 2020 at 6:00p.m. – close public hearing
- Place:** April 14 and April 28, 2020
Santa Clara Valley Water District Board Room
5700 Almaden Expressway, San Jose, CA 95118
- April 23, 2020
Gilroy City Council Chambers
7351 Rosanna Street, Gilroy, CA
- Why:** The Santa Clara Valley Water District (Valley Water) has prepared an annual report on the Protection and Augmentation of Water Supplies documenting financial and water supply information, which provides the basis for recommended groundwater production and surface water charges for fiscal year 2020/2021.
- The report includes financial analyses of Valley Water’s water utility system; supply and demand forecasts; future capital improvement, maintenance and operating requirements; and method to finance such requirements.
- Valley Water will hold a public hearing to obtain public comments on the report, which will be available at the hearing.
- Based upon findings and determinations made at the public hearing, including the results of the surface water protest procedure, Valley Water Board of Directors will decide whether or not groundwater production and surface water charges should be increased, and if so, to what level, in each charge zone or zones for the fiscal year beginning July 1, 2020.

All operators of water-producing facilities within Valley Water's jurisdiction or any person interested in the Valley Water's activities with regard to protection and augmentation of the water supply may appear, in person or by representative, and submit comments regarding the subject.

For more information on the public hearing, please visit our website at www.valleywater.org, or contact **K. Anthony Mendiola at (408) 630-2437**.

Reasonable efforts will be made to accommodate persons with disabilities wishing to attend this public hearing. For additional information on attending this hearing, including requesting accommodations for disabilities or interpreter assistance, please contact the **Office of the Clerk of the Board** at **(408) 630-2277**, at least three business days prior to the hearing.



Santa Clara Valley Water District

File No.: 20-0212

Agenda Date: 2/11/2020

Item No.: *8.1.

SUPPLEMENTAL BOARD AGENDA MEMORANDUM

SUBJECT:

Adopt a Resolution Setting Time and Place of a Public Hearing on April 14, 2020, for the Report on Activities in Protection and Augmentation of Water Supplies of the District - 2020.

REASON FOR SUPPLEMENTAL MEMORANDUM:

This report conveys additional information received after the initial report was released, consistent with Executive Limitations Policy EL-7-10-5.

RECOMMENDATION:

- *A. Receive a brief verbal update from staff on the preliminary Fiscal Year (FY) 2020-21 groundwater production charge setting process;
- B. Adopt the Resolution CALLING A PUBLIC HEARING TO CONSIDER COMMENTS FROM MEMBERS OF THE PUBLIC ON THE REPORT ON THE ACTIVITIES IN THE PROTECTION AND AUGMENTATION OF THE WATER SUPPLIES OF THE SANTA CLARA VALLEY WATER DISTRICT, 2020; and
- C. Set time and place for public hearing to occur on April 14, 2020 at 1:00 p.m., at the Santa Clara Valley Water District Board Chambers, 5700 Almaden Expressway, San Jose, CA 95118.

SUMMARY:

Staff will provide a verbal update on feedback received from the Water Retailers regarding the preliminary FY 2020-21 groundwater production charge analysis, which has been received subsequent to the last discussion with the Board on this topic that occurred on January 28, 2020 .

FINANCIAL IMPACT:

There is no change to the originally reported financial impact associated with this item.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.

ATTACHMENTS:

None

UNCLASSIFIED MANAGER:

Darin Taylor, 408-630-3068



Santa Clara Valley Water District

File No.: 20-0213

Agenda Date: 2/11/2020

Item No.: *8.2.

BOARD AGENDA MEMORANDUM

SUBJECT:

Receive and Discuss the Overview of the Santa Clara Valley Water District (Valley Water) Fiscal Year 2020-21 First Pass Budget Development Process. (Previously Listed as Item 8.1)

RECOMMENDATION:

Receive and discuss the overview of Valley Water's Fiscal Year 2020-21 First Pass Budget Development Process.

SUMMARY:

Valley Water develops the annual budget to allocate the public's funds that are necessary to provide Silicon Valley with safe, clean water for a healthy life, environment and economy. The development of Valley Water's budget is accomplished in an open transparent process providing opportunity for Board and public input. This report presents the first pass budget update and schedule for development of the final Fiscal Year (FY) 2020-21 Budget. The process includes over nine (9) open session discussions providing the Board and public significant opportunity for input. In addition to the Board open sessions, Board Advisory committees have opportunities for input during the development of the Budget. The Board has scheduled Budget work study sessions on April 29 and 30. The process is scheduled to conclude with the adoption of the budget on May 12, 2020.

The Valley Water's financial planning and budget development processes are governed by the District Act, Section 13 for taxation and Section 20 for adoption of the budget. In addition, state and federal laws require annual examinations of financial records. Board Governance Policies EL-4 guide financial management, planning, budgeting and ongoing financial activities.

FINANCIAL IMPACT:

There is no financial impact related to this agenda. It is presented for information only.

CEQA:

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably, foreseeable indirect physical changes in the environment.

File No.: 20-0213

Agenda Date: 2/11/2020
Item No.: *8.2.

ATTACHMENTS:

Attachment 1: PowerPoint

UNCLASSIFIED MANAGER:

Darin Taylor, 408-630-3068



Valley Water

Clean Water • Healthy Environment • Flood Protection

FY2020-21 First Pass Budget Development Update

February 11, 2020

Topics

- **Budget Schedule Update**
- **Revenue Assumptions**
- **Salaries and Benefits Assumptions**
- **Districtwide Outlays**
- **Next Steps**

FY2020-21 Budget Schedule Update

4

Board Budget Development Updates:

- ➔ • February 11 – Budget Update
- March 24 – Second Pass Results
- April 29-30 – Board Work Study Sessions

Groundwater Production Charge Updates/Hearings:

- ✓ January 14
- February 5
- April 14-28

Capital Improvement Plan Board Updates:

- ✓ January 14
- February 25

Budget Adoption: (Budget, GWP and CIP)

- May 12

FY2020-21 Revenue Assumptions

Major Revenue Sources - First Pass

- **Total water charges revenue: \$309.8M, \$32.4M increase or 11.7% over FY20**
 - M&I Ground Water Production Charge: 6.5% increase for North County and 4.7% for South County (Second pass update will be based on staff recommendation)
 - Assumes District-managed water use projection of 251.4KAF (Second pass update will include reduced water use projection of 230KAF)
- **1% Ad-valorem Property Tax: \$109.2M, \$7.2M increase or 7.1% over FY20**
 - Due to both new construction and increased assessed valuation based on the local real estate market
- **Capital Reimbursements & State Subventions: \$50.4M, \$17.8M increase or 54.6% over FY20**
 - Watershed Fund: \$20.1M
 - Safe, Clean Water Fund: \$12.2M
 - Water Enterprise Fund: \$18.1M

FY2020-21 1st Pass Revenue

6

Revenue (\$ in millions)	FY20 Adopted	FY21 1st Pass	1st Pass vs Adopted	%
Water Charges	\$ 277.4	\$ 309.8	\$ 32.4	11.7%
1% Ad-valorem Property Tax	102.0	109.2	7.2	7.1%
SCW Special Parcel Tax	45.5	47.1	1.6	3.5%
State Water Project Tax	18.0	18.0	-	0.0%
Benefit Assessment	13.4	13.5	0.1	0.7%
Capital Reimbursements	32.6	50.4	17.8	54.6%
Interest Income & Other	12.9	12.5	(0.4)	(3.1%)
Total Revenue	\$ 501.8	\$ 560.5	\$ 58.7	11.7%

FY2020-21 Salaries & Benefit Assumptions

7

Salaries & Benefits - First Pass

Total Salaries budget: \$120.2M (859 regular positions; 8 limited-term, 4 fellowships) up \$8.7M or 7.8% over FY20

- Includes a 4% COLA increase and step increases for eligible positions
- 17 new positions added after FY20 budget adoption

Total Benefits budget: \$64.4M, an increase of \$5.9M or 10.1% over FY20

- CalPERS Employer contribution: \$31.5M, up \$3.4M or 12.1% over FY20
- Health benefits – Active Employees: \$18.0M, up \$1.6M or 9.8% over FY20
- Health benefits – Retirees: \$12.2M, up \$0.8M or 7% over FY20
- Fed & State Taxes and Deferred Comp: \$1.5M, up \$0.1M or 7.1% over FY20

FY2020-21 1st Pass Salaries & Benefits

8

Salary and Benefits (\$ in millions)	FY20 Adopted	FY21 1st Pass	1st Pass vs Adopted	%
Salaries				
Salaries - Regular Employees	\$ 112.2	\$ 121.0	\$ 8.8	7.8%
Overtime and Special Pays	4.0	4.1	0.1	2.5%
Salary Savings	(4.7)	(4.9)	(0.2)	4.3%
Total Salaries	111.5	120.2	8.7	7.8%
Benefits				
Fed & State Taxes and Deferred Comp	2.6	2.7	0.1	3.8%
Retirement Contributions (PERS)	28.1	31.5	3.4	12.1%
Group Insurance - Active Employees	16.4	18.0	1.6	9.8%
Group Insurance - Retired Employees	11.4	12.2	0.8	7.0%
Total Benefits	58.5	64.4	5.9	10.1%
Total Salary & Benefits	\$ 170.0	\$ 184.6	\$ 14.6	8.6%

FY2020-21 1st Pass – Districtwide Outlays

9

(\$ in millions)	FY20 Adopted	FY21 1st Pass	1st Pass vs Adopted	%
Operations	\$ 340.3	\$ 375.7	\$ 35.4	10.4%
Operating Project	6.4	6.3	(0.1)	(1.6%)
Debt Service	58.6	61.0	2.4	4.1%
Operating Outlays	405.3	443.0	37.7	9.3%
Capital Projects	204.5	275.3	70.8	34.6%
Total Outlays	609.8	718.3	108.5	17.8%
Intra-District Reimbursement*	(80.8)	(91.8)	(11.0)	13.6%
Net Outlays	\$ 529.0	\$ 626.5	\$ 97.5	18.4%

* Intra-District reimbursements represent cost recovery for support services provided such as Human Resources or Legal

FY2020-21 1st Pass– Operations & Operating Projects by Fund

Operations & Operating Projects (\$ in millions)	FY20 Adopted	FY21 1st Pass	1st Pass vs Adopted	%
General Fund	\$ 58.6	\$ 69.7	\$ 11.1	18.9%
Watershed Stream Stewardship Fund	58.4	64.2	5.8	9.9%
Safe, Clean Water Fund	17.3	17.3	-	0.0%
Water Enterprise Funds	184.9	199.7	14.8	8.0%
Fleet Management Fund	4.8	5.2	0.4	8.3%
Risk Insurance Fund	5.8	6.9	1.1	19.0%
Information Technology Fund	17.0	19.0	2.0	11.8%
Total	\$ 346.8	\$ 382.0	\$ 35.2	10.1%

Note: This table reflects gross figures that have not been adjusted for intra-district reimbursements

FY2020-21 1st Pass – Capital by Fund

11

Capital (\$ in millions)	FY20 Adopted	FY21 1st Pass	1st Pass vs Adopted	%
General Fund	2.2	3.0	0.8	36.4%
Watershed Stream Stewardship Fund	28.5	31.0	2.5	8.8%
Safe, Clean Water Fund	34.0	72.6	38.6	113.5%
Water Utility Enterprise Fund	133.5	157.7	24.2	18.1%
Fleet Management Fund	2.2	3.5	1.3	59.1%
Information Technology Fund	4.1	7.5	3.4	82.9%
Total Capital	204.5	275.3	70.8	34.6%

Note: FY21 1st Pass budget is based on draft FY21-25 CIP

Next Steps

Board Budget Development Updates

- **March 24 – Second Pass Results**
- **April 29-30 – Board Work Study Sessions**

Groundwater Production Charge Updates/Hearings

- **April 14 to 28**

Capital Improvement Plan Board Updates

- **February 25**

Budget Adoption: (Budget, GWP and CIP)

- **May 12**

QUESTIONS



THIS PAGE INTENTIONALLY LEFT BLANK