

Requested Action:

Reservoir Committee and Authority Board consider approval of administrative changes to the adopted board policies and DOAM as follows:

1. Minor revisions to the Accounting, Budget Policy, Accounts Payable Approval and Records Management Policies to incorporate law changes since prior adoption and/or administrative clarifications that better align the document with how the policy is being implemented.
2. Revisions to the Delegation of Authority Matrix to better align the document with how delegation is implemented and incorporate prior procurement and contract policy changes.

Detailed Description/Background:

Authority policy is developed as the need arises for the Board to direct Staff in “what” it intends for Staff to implement within various facets of the Project. Staff implements the policies with the development of procedures and determines “how” the business of the agency is accomplished to align with the Board’s policy direction. Authority policies put in place to date mostly revolves around the financial and business functions of the Project. It is good business practice for the Authority to regularly review and confirm that its policies are effectively directing Staff work and reflects the needs of the agency.

The Authority-adopted policies are posted on the Sites Authority SharePoint ([Policies](#)) and include:

- Accounting
- Accounts Payable
- Asset Management
- Budget
- Debt Management
- Funding Credit and Reimbursement
- Investment
- Procurement and Contract
- Real Property and Land Management
- Records Management (including records retention schedule)
- Storage Principles (listed here for completeness of Board adopted directives, however technically this document is not a policy of the Board and instead serves to guide development of the Benefits and Obligations Contract and Operations Plan)
- Water Infrastructure Finance and Innovation Act Reserve

As the project continues to progress, law changes can occur and/or Staff applies it best judgment to interpret meaning behind the policy which can necessitate changes to previously approved policies. Currently, there are 4 policies staff recommend updating (attached) to address issues of this nature. In addition, staff recommends updates to the DOAM, also attached.

Staff is not recommending any additional policies at this time. However, Staff does expect that additional policies will be necessary as the project continues to make progress and continually monitors for the appropriate timing necessary so that Board and Staff stay aligned on project implementation.

Procedures are not Board adopted or even within the purview of the Board but do serve an important purpose of ensuring continuity and quality control in “how” Board policy gets implemented. They are mentioned here only to make sure the Board is fully aware of the infrastructure the Staff has developed and will continue to refine and maintain to ensure the Project delivery meets the Board’s expectations.

Prior Action:

November 2024 - Approved Procurement and Contract Policy Amendment.

July 2024 – Approved Accounts Payable Policy Amendment.

July 2024 - Adopted an Asset Management Policy

Fiscal Impact/Funding Source:

Board policy development and maintenance are Project Controls functions, and the FY25 Budget includes sufficient funds to support the ongoing need to keep up with policy and procedure documentation.

Staff Contact:

Joe Trapasso


Primary Service Provider:

Brown and Caldwell

Attachments:

Attachment A: Board Policy Documents with suggested changes in redline strikeout.

Attachment B: Board adopted Delegation of Authority Matrix with suggested changes in redline strikeout.

	DOCUMENT TYPE	Policy
	DOCUMENT NO.	F05
	ADOPTED	7/26/2022
	LAST UPDATED	2/16/2024

SITES PROJECT AUTHORITY ACCOUNTING POLICY

1. Purpose:

This Accounting Policy describes the principles, practices, and conventions used by the Sites Project Authority (Authority) in preparing and presenting financial statements. The Authority is a sole purpose entity responsible for the planning, design, and construction of the Sites Reservoir Project. As the project progresses, these accounting policies will be amended.

2. Definitions:

Fiscal Year: The Authority’s Fiscal Year aligns with the calendar year, beginning on January 1 and ending on December 31 each year.

3. Policy:

Accounting: The Authority reports its operations using the accrual method of accounting. All accounting is performed in alignment with Generally Accepted Accounting Principles as promulgated by the Governmental Accounting Standards Board (GASB), Financial Accounting Standards Board and the Securities and Exchange Commission.

The Authority allocates costs to programs using cost accounting efforts customary for a California public water agency, including reviews of cost acceptability and accuracy.

Revenues: The Authority receives revenues via payments and reimbursements under agreements with local, state, and federal agencies. The Authority also receives revenue from interest and grants. The Authority’s revenues are categorized as Authority Revenue and Reservoir Revenue. Revenues are collected as checks, automatic payments through an automated clearing house, and incoming wire transfers.

Invoicing and Accounts Receivable: The Authority provides invoices for payment and reimbursement.

- a. The Authority Board Treasurer and Executive Director approve all invoices prior to issuance.
- b. An accounts receivable aging summary is generated and is reported to the Authority Board monthly.
- c. Unbilled receivables will be accrued on an annual basis.

Cash: The Authority operates on a non-cash basis. Cash in the form of hard currency is neither received nor expended by the Authority.

Bank Accounts: The Authority maintains the following bank accounts. In all cases the authorized signatory on the bank accounts includes the Authority Board Treasurer and an additional designated Authority Board member or alternate as approved by the Treasurer.

- a. **Checking Accounts:** Three separate ~~non-interest-bearing~~ checking accounts are maintained and designated as General, State Funds, Federal Funds.
- b. **Savings Accounts:** The Authority has one insured interest-bearing savings account. All interest earned is deposited into this account. The Authority has adopted an Investment Policy to address custodial risk associated with this account.
- c. **Reconciliation:** All bank accounts are reconciled at the conclusion of each month by the Authority authorized accountant.

Credit Cards: Credit cards may be used for purchases under \$3,000 per month for office supplies and office operating expenses. The Executive Director has the authority to authorize issuance of credit cards. Use and review of credit card purchases shall conform to the requirements of the Credit Card Use Procedure approved by the Authority Board Treasurer.

Assets and Asset Valuation:

~~— **Fixed Assets:** When a fixed asset is being considered, the Authority will adopt an Asset Management Policy.~~

~~b.a.~~ **Prepaid Expenses:** Prepaid expenses are amounts paid by the Authority that provide benefit in future periods.

~~e.b.~~ **Capitalization:** The Authority defines capital assets as **additions or betterments** such as property, plant, equipment, and infrastructure assets with an initial individual cost of \$5,000 or more and a useful life of three years or more.

~~e.c.~~ **Cash and Investments:** The Authority may invest its funds in cash and cash equivalents and treasuries and federal agency securities. Such investments will be recorded at market value at the end of the accounting period, consistent with GAAP.

Liabilities: The Authority's liabilities generally consist of payments for goods and services and liabilities associated with agreement terms related to reimbursements for past project costs.

- a. **Accounts Payable:** All invoices for goods and services are received and processed ~~through an~~ **consistent with the** Accounts Payable Policy and Procedures. An accounts payable summary and accounts payable aging summary is provided in monthly reports.
- b. **Leases:** All leases will **be recorded and reported consistent with the** ~~follow~~ guidance in general governing regulations of GASB.

- c. **Long-Term Liabilities:** Will be consistent with the Authority's adopted Debt Management Policy.
- d. **Accrued Liabilities:** A summary of accrued liabilities **will be** is prepared on a monthly basis.

General Ledger: The General Ledger shall be developed and maintained by the Authority authorized accountant.

Audit Practices: An external audit shall be conducted after the conclusion of each fiscal year. The external audit process fulfills all audit requirements, including those specified in funding agreements.

4. Process:

All accounting is performed by independent consultants under contract with the Authority and under the oversight of the Authority's **Finance** ~~Program~~ ~~Operations~~ Manager. The accounting performed by the consultants is in alignment with the respective consultants' accounting procedures and the Authority's adopted policies and procedures as stipulated in Authority's contract with the consultants.

5. Policy Term:


This Policy will be reviewed as needed and any changes shall occur by way of a resolution adopted by the Authority Board.

6. Reporting:

All **audited** annual financial reports are provided to the Authority Board for approval.

All annual financial reports are prepared under the direction of the Executive Director and shall be made publicly available on the Authority's website at www.sitesproject.org.

The Sites Project Authority is a non-profit Joint Powers Authority following Internal Revenue Code subsection 501(c). The Authority's Treasurer files the Special Districts Annual Report and other necessary materials to the California State Controller's Office after Authority approval of the annual financial report.

	DOCUMENT TYPE	Policy
	DOCUMENT NO.	F01
	ADOPTED	3/24/2021
	LAST UPDATED	7/19/2024

**SITES PROJECT AUTHORITY
ACCOUNTS PAYABLE APPROVAL POLICY**

1. Purpose:

To ensure the timely and efficient payment of vendors and service providers as prescribed by the Authority.¹

2. Definitions:

Payment of Claims: The monthly inventory of accounts payable to each consultant, ~~and~~ vendor, **and government provider of services.**

3. Policy:

Approval of the Payment of Claims and Warrants to be Drawn for the Payment of Claims will be documented by the approved minutes of the monthly Authority meetings.

Rolling Invoice Processing: When vendor invoices are determined by the Executive Director as being ready for payment following the administrative procedures for approving invoices, the Executive Director and Treasurer have the following authority:²

- a. A list of claims will be generated twice a month by the ~~Finance Program Operations~~ Manager and sent via email to the Executive Director and Treasurer for approval to process payment. Both will respond within two business days.
- b. Upon approval, the Authority accountant makes payments using 1 of the 3 payment processes:
 - Printed checks
 - Electronic payments through an Automated Clearing House (ACH)
 - Wired payments

Advanced Payment Approval: When an urgent need occurs requiring the timely payment of an invoice prior to the next regularly scheduled payment process, the Executive Director is Authorized to approve the following payments:

¹ Authority refers to Governing Boards.

² Where the Executive Director or Board Treasurer is unavailable, their designated backup may provide approval.

- a. Reoccurring expenses such as, but not limited to, rents and utilities: The delegated authority not to exceed amount of \$100,000 for each occurrence.
- b. Non-routine payments: The delegated authority not to exceed amount of \$500,000 for each occurrence.
- c. The aggregated amount authorized by this policy in a single month for the above categories 3a through 3b is limited to \$550,000 unless otherwise approved in advance by the Authority Board Chair.

4. Process:

For each of the categories described in Section 3, the expense must have been included in the current approved Budget and Work Plan. If not, approval must be received from the Authority Board.

Checks require two signatures: Any of the following Authority Board positions are authorized signatories.

- Board Chair
- Vice Chair
- Secretary
- Treasurer

Electronic payments will be requested by the Authority accountant and submitted for bank processing on the next business day.


Each wire payment requires the Authority accountant and Board Treasurer to submit and approve the transaction.

5. Policy Term:

This Policy will be reviewed as needed and any required changes will be approved by the Authority Board.

6. Reporting:

All payments of claims (both paid and unpaid) will be reported on a monthly basis to the Budget and Finance Committee as an information item and approved by the Reservoir Committee and Authority Board.

	DOCUMENT TYPE	Policy
	DOCUMENT NO.	F04
	ADOPTED	7/21/2021
	LAST UPDATED	2/16/2024

SITES PROJECT AUTHORITY BUDGET POLICY

1. Purpose:

The Budget Policy is intended to provide budget approval requirements for the Sites Reservoir Project (Project) **consistent** with **its** governing board's expectations. This policy provides necessary flexibility to make budget transfers or assign contingency expeditiously to support expected Project progress while maintaining rigorous accounting controls, ensuring internal and external transparency of operations, and in alignment with the Authority Board (Board) approved limitations set forth in the Delegation of Authority.

2. Definitions:

Accounting method: The Sites Reservoir Project uses the accrual accounting method.

Budget Transfer: A reallocation of unspent subject area budget within the subject area or to another subject area budget within the approved budget.

Fiscal Year: The Sites Reservoir Project's fiscal year corresponds to the calendar year. Any mention of "annual" refers to the fiscal year.

Project Agreement: The Third Amendment to 2019 Reservoir Project Agreement By and Among Sites Project Authority and the Project Agreement Members Listed Herein Dated as of January 1, 2022.

~~Restricted Contingency~~ **Minimum Cash Operating Reserve:** A minimum threshold of cash sufficient to cover approximately three months of critical activities to maintain project progress and is the minimum fund balance retained by the Authority. ~~Restricted contingency, unlike unrestricted contingency, is not dedicated budget.~~

Unrestricted Contingency: Budgeted amounts intended to cover unanticipated project expenses, including additional scope of work.

Work Plan: Document developed for a specific phase of the Project that includes scope, budget, and schedule by subject area, project level, and year of the Project Phase.

3. Policy:

Work Plan: Total expenditures will be estimated by staff and will be approved for a specific period of performance or Work Plan (presumably multi-year efforts) by the Reservoir Committee and Authority Board and be reflected in Project Agreements.

Annual Budget: Annual budgets are based on the estimated fiscal year expenditures and are apportionments of the approved Work Plan. Annual budgets are intended to satisfy the requirements of annual financial audits and will be used for tracking and reporting purposes. Each annual budget will be ~~prepared~~^{budgeted} and presented at the subject area level and be approved by the Reservoir Committee and Authority Board. Staff will manage project expenditures to the annual budget. The annual budget will include uses and sources of funds.

Source of Funds:

- **Sites ~~Joint Powers~~ Project Authority Dues:** Separate budgets are established for the Authority Board and Reservoir Committee. The Authority Board budget will be based, in part, on revenues from annual Authority Board membership dues.
- **Contributed Project Funds:** The Reservoir Committee budget will be based on revenues from project participation and state and federal funding sources. Project expenses are allocated per subject area consistent with the Sites Project Authority Reservoir Project Agreement.
- **Unused and unaccrued funds:** Any remaining ~~amounts~~ in unrestricted ~~or restricted~~ contingency at the end of the fiscal year will be considered as a source of funds for the subsequent budget.

Minimum Cash Operating Reserve Threshold: The Authority will maintain a Minimum Cash Operating Reserve as defined in Section 2. If the minimum cash operating reserve is reached, the Reservoir Committee and Authority Board must be notified.

Contingency Assignment: The Authority will maintain a ~~restricted contingency and~~ an unrestricted contingency as defined in Section 2.

~~If the minimum cash threshold, identified as Restricted Contingency is reached, the Reservoir Committee and Authority Board must be notified.~~

When it is necessary to utilize unrestricted contingency, the Executive Director has authority to assign unrestricted contingency of no more than \$100,000 per occurrence to account for unanticipated project expenses, including additional scope of work. **The aggregate amount authorized in a single month for each occurrence of \$500,000 unless otherwise approved in advance by the Authority Board Chair.**

Approval by the Reservoir Committee and Authority Board is required to execute unrestricted contingency assignments greater than \$100,000 per occurrence. Unrestricted contingency may be utilized until the budgeted unrestricted contingency amount has been exhausted. Assignment of unrestricted contingency will be reported quarterly in budget updates along with justification for the assignment.

Budget Transfers: The Executive Director has authority to approve budget transfers of no more than \$100,000 per occurrence. **The aggregate amount authorized in a single month for each occurrence of \$500,000 unless otherwise approved in advance by the Authority Board**

Chair. Budget transfers will be reported quarterly in budget updates along with justification for the transfer.

Approval of the Reservoir Committee and Authority Board is required to execute budget transfers greater than \$100,000 per occurrence.

4. Process:

Budgets will be ~~developed~~ prepared by staff. Budgets will be approved by the Reservoir Committee and Board at the appropriate Board meeting.

If necessary, the Executive Director may ~~will~~ initiate a budget transfer or unrestricted contingency assignment in accordance with the administrative procedures.

5. Policy Term:


This policy will be reviewed as necessary to support effective implementation of the Project.

6. Reporting:

All budget transfers and assignments of unrestricted contingency will be reported to the Joint Budget and Finance Committee. Staff will provide notice to the Reservoir Committee and the Authority Board in the Quarterly Financial Report ~~will receive a report~~ when unrestricted contingency is assigned ~~no later than at the second board meeting following such assignment.~~ ~~Assignment of restricted contingency must be approved by the Reservoir Committee and Authority Board.~~ Quarterly reports ~~updates~~ comparing actual to estimated expenditures in the approved budget will be reported to the Reservoir Committee and Authority Board.

As provided in Section 3 above, the following will be documented in the approved minutes of the appropriate Reservoir Committee and Authority Board meeting(s):

- Budget approvals,
- Board approval of budget transfers,
- Board approval of unrestricted contingency assignments,
- ~~• Board approval of restricted contingency assignments,~~
- Notification of reaching minimum cash operating reserve threshold,
- Notifications of budget transfers ~~under \$100,000~~ and,
- Notifications of unrestricted contingency assignments ~~under \$100,000.~~

	DOCUMENT TYPE	Policy
	DOCUMENT NO.	C05
	ADOPTED	3/18/2022
	LAST UPDATED	02/16/2024

SITES PROJECT AUTHORITY RECORDS MANAGEMENT POLICY

1. Purpose

The Records Management Policy establishes management, maintenance, and accessibility of records for the Sites Project Authority in compliance with the California Public Records Act. (Public Records Act) (Government Code Section 7920.000 et seq).

2. Definitions

Requester: Refers to any individual requesting access to, inspection of, or copies of Sites Project Authority records.

Record: Has the same meaning as “public records” as defined in subdivision (e) of California Government Code Section §7920.530. Records are any writing containing information relating to the conduct of the public’s business prepared, owned, used, or retained by the agency regardless of physical form or characteristics.

3. Policy

Records Management

The Sites Project Authority retains records of the agency and effective retention and storage of records, management of records, and information collection practices by establishing and maintaining an active records management program while ensuring compliance with the Public Records Act.

Public Records

The Sites Project Authority provides public access to Sites Project Authority records upon request in compliance with the Public Records Act.

The Sites Project Authority reserves all available exceptions and exemptions from ~~to~~ disclosure of Records as provided under the Public Records Act and decisions of the California Courts interpreting the same.

Consistent with applicable case law interpreting and applying the Public Records Act, new records will not be created to respond to requests.

4. Roles and Responsibilities

Sites Authority Board and Reservoir Committee Members

The Sites Project Authority does not create or maintain records on behalf of any participating agency. Members of the Sites governing boards are subject to compliance with this Records Management Policy.

Contracted Service Providers

Contracted service providers shall perform and maintain appropriate processes and systems to comply with the Public Records Act, the respective executed contract between the service provider and the Sites Project Authority, and this Policy by making records generated in performing their work for the Sites Project Authority available as records of the agency upon request by the Authority.

Finance ~~Program Operations~~ Manager

The ~~Finance Program Operations~~ Finance Manager shall be responsible for overseeing the Sites Project Authority's records management activities and assure the Authority remains in full compliance with this Policy at all times.

Requester

Requesters are required to make a focused and effective request that reasonably describes an identifiable Record or Records. The Authority shall make reasonable efforts to assist the requester in making a focused and effective request. A requester is encouraged to include the following information to facilitate a focused response by the Sites Project Authority regarding the requested Records:

- The subject of the Record
- A clear, concise, and specific description of the Record(s) being requested
- The date(s) of the Record(s), or a time period for the request (e.g.: calendar year 2019)
- Full names for the individuals and/or agencies included in the request, including proper spelling
- Any additional information that helps identify the Record(s) being requested
- Contact information for response to the request, preferably an email address

Requesters are invited to research the Records being sought prior to submitting a request, including a detailed review of the Sites Project Authority website, which contains a vast amount of information, resources and Records, and which the Sites Project Authority makes a diligent effort to maintain.

Records Administrator

Under the supervision of the Program Operations Manager, the Records Administrator will administer an efficient Records management procedure and procedure for responding to public records requests and for managing the Authority’s Records in compliance with this Policy.

5. Process

Records will be retained and discarded in a manner consistent with the attached Records Retention Schedule.

All Records requests will be reviewed by the Program Operations Manager, Records Administrator, and Legal Counsel as needed.

6. Reporting

The Reservoir Committee and Authority Board will receive an informational report of public records requests and notice of completion of responses.

7. Attachments:

Records Retention Schedule

8. Fee Schedule:

Requests for copies of records, for which fees are not otherwise set by law, shall be subject to the following fees:

First page.....	\$1.00
Each additional page.....	\$0.25
Front/Back copying.....	additional \$.10 per page
Copying on paper other than 8.5 x 11.....	actual cost
Color Copies.....	actual cost
Deposit required if estimated copying costs exceed.....	\$25.00

9. References

California Public Records Act (Government Code Section 7920.000 et seq.)

California Secretary of State

Records Retention Schedule Addendum A

The Sites Project Authority Records Retention schedule is based on the Local Government Records Program GC Section 122236. It has been adapted for use by the Sites Project Authority. The timelines below are the minimum retention timelines for the specified documents, but documents may be retained for additional time. The Records Retention Schedule can be modified to provide additional detail concerning more specific documents.

Records Retention Schedule	
Records	Minimum Retention Period
Organizational Records	
Articles of incorporation	Permanent
Application for exempt status	Permanent
Bylaws	Permanent
Authority Board Adopted Policies and operating procedures	Permanent
Authority Board and Reservoir Committee meeting minutes and materials including Agendas and Staff Reports	Permanent
Form 700	4 years
Workshops, Town Halls, and other significant project meeting materials	5 years
Authority Board and Reservoir Committee Meeting Recordings	1 day after the approval of the respective minutes
Correspondence	7 years
Public Records Request	5 years
Other documents not defined	1 year
Accounting Records	
Chart of accounts	Permanent
Annual financial statements	Permanent
Annual audit reports	Permanent
General ledger	20 years
Monthly financial statements	6 years
Quarterly financial statements	6 years
Journal entries	6 years
Accounts payable ledger	6 years
Accounts receivable ledger	6 years
Expense records	6 years
All other accounting records (including budgets)	6 years

Records Retention Schedule	
Records	Minimum Retention Period
Invoices/Progress Reports (submitted to Funding entities) <ul style="list-style-type: none"> • California Water Commission Invoices <ul style="list-style-type: none"> ○ Progress Reports • California Water Commission Quarterly Reports • Financial Assistance Agreement Financial Reports <ul style="list-style-type: none"> ○ Performance Reports • USDA Loan Status Reports 	Permanent
Support documents for Invoices submitted to Funding entities <ul style="list-style-type: none"> • Invoice Calculation Spreadsheets • Payment Requests • FAA Invoice Backup 	6 years
All other Invoices	6 Years
Bank statements	3 years
Bank reconciliations	3 years
Checks/Payments Received	6 years
Canceled checks	3 years
Stop payment orders	3 years
Check signature authorizations	3 years
All other bank records	3 years
Tax Records	
Tax returns	Permanent
Form 990 and supporting documentation	Permanent
1099 forms	8 years
All other tax return records	6 years
Supporting documentation for taxes	4 years
Real Estate Records	
Escrow documents	3 years after close
Deeds	Permanent
Option Agreements	5 years after fulfillment or expiration of agreement
First Rights of Refusal Agreement	3 years after fulfillment or expiration of agreement
Purchase/Sale Agreements	Permanent
Leases	3 years after fulfillment or

Records Retention Schedule	
Records	Minimum Retention Period
	expiration of agreement
All other real estate records	3 years
Insurance Records	
Policies	5 years
Claims	5 years
All other Insurance records	5 years
Legal Records	
Contracts and Agreements (including Task Orders and Amendments)	Permanent
All other legal records (that do not fit into a defined category in this table)	10 years
Personal injury records	8 years
All other leases	6 years after termination
Litigation claims	5 years following close of case
Court documents and records	5 years following close of case
Deposition transcripts	5 years following close of case
Discovery materials	5 years following close of case
Environmental and Permitting Records	
CEQA Administrative Record ¹	10 years after close of project ²
Permits and Supporting Documents	10 years after close of project ²
Water Right and Supporting Documents	Permanent
Engineering Records	
Final reports and/or memoranda	Permanent
Final construction contract documents (including plans, specifications, cost estimates, and CAD/BIM files)	Permanent
Construction as-built documentation	Permanent
Records given/sent to any third party or government agency	10 years after close of project ²
Meeting minutes	10 years after close of project ²
Manifests/Waste Disposal	10 years after close of project ²

¹ Public Resources Code Section 21167.6 (e) provides a list of the types of documents that comprise an administrative record, included as Appendix B to the Records Management Procedure. It is the responsibility of the Authority, as lead agency to retain relevant records, many of which may be generated by consultants. If there is a CEQA challenge, legal counsel would ultimately be responsible for the selection of files to be included in the administrative record.

² The Authority maintains a list of projects on SharePoint including file storage location and close date as applicable.

Records Retention Schedule	
Records	Minimum Retention Period
Geotechnical samples/cores	10 years after close of project ² with consideration for permanent long-term storage of limited records
Temporary Project records	10 years after close of project ²
Technical Project Support Records	
Work Plans and Work Plan Updates	Permanent
Project Schedules	10 years
Final reports	Permanent
Final technical memoranda	Permanent
GIS Data collected in support of technical documents and activities	10 years
Final data collection/analysis/modeling output supporting key deliverables	10 years after close of project ²
Meeting minutes, including meetings with committees and third parties	5 years after close of project ²
Proposals in response to Authority solicitations	2 years
Final Cost estimates	10 years after close of project ²
Correspondence, if formal correspondence, in whatever form, with any third party or government agency including member agencies.	5 years after close of project ²

¹ Public Resources Code Section 21167.6 (e) provides a list of the types of documents that comprise an administrative record, included as Appendix B to the Records Management Procedure. It is the responsibility of the Authority, as lead agency to retain relevant records, many of which may be generated by consultants. If there is a CEQA challenge, legal counsel would ultimately be responsible for the selection of files to be included in the administrative record.

² The Authority maintains a list of projects on SharePoint including file storage location and close date as applicable.

CATEGORY / DOCUMENT		Needs a Policy and Procedure	Legal	Designated Staff	Project Agents	Executive Director*	Budget and Finance Committee	Reservoir Committee	Authority Board*
A = Approval I = Information Only * = Or Designate									
A. JEP A Agreement, Reservoir Project Agreements, Bylaws									
1	Fourth Amended and Restated Joint Exercise of Powers Agreement		R			R			A
2	JEP A Amendments		R			R		R	A
3	JEP A Admission of a new member		R			R		R	A
4	Calendar ing for Board Agenda				R	A			
B. Work Plans, Budget, Grants, Loans and MOUs									
1	Work Plan				R	R	R	A	A
2	Work Plan Budget				R	R	R	A	A
3	Budget Transfers								
a.	Transfers up to \$100,000 between-subject areas and no increase in approved budget	Yes			R	A	I	I	I
b.	Transfers over \$100,000				R	R	R	A	A
c.	Use of Contingency up to \$100,000	Yes			R	A	I	I	I
d.	Use of contingency over \$100,000				R	R	R	A	A
4	Grants								
a.	Application				R	R	R	A	A
b.	Execution and submittal of grant application				R	A	I	I	I
c.	Execution of grant agreements		R		R	A	I	I	I
d.	Management of grant agreements				A	I			

CATEGORY / DOCUMENT		Needs a Policy and Procedure	Legal	Designated Staff	Project Agents	Executive Director*	Budget and Finance Committee	Reservoir Committee	Authority Board*
A = Approval I = Information Only *= Or Designate		R = Recommended By P = Pre-Approval/Concurrence							
5	Loans								
	a. Application				R	R	R	A	A
	b. Execution and submittal of loan application				R	A	I	I	I
	c. Execution of loan agreements		R		R	R	R	A	A
	d. Acceptance and management of loan funds				R	A	I	I	I
6	MOUs with Federal, State, Local Govts, Native American, Utilities								
	a. MOU/Agreement Execution		R		R	R		A	A
	b. MOU/Agreement Management and reporting				A	I		I	I
C.	Environmental Review and Permitting								
1	CA Environmental Quality Act (CEQA) Authority								A
	a. Staff determines if a proposed action requires CEQA compliance document.								
	i. If no then prepare Exemption(s) if needed and CEQA Determination		R	R	R	R		R	A
	ii. If yes and not covered by existing CEQA document, prepare an Initial Study and appropriate CEQA compliance documentation		R	R	R	R		R	A
	b. Board takes lead CEQA agency role				R	R		R	A
	i. Makes and Adopts Findings and Determinations		R		R	R		R	A
	ii. Adopts project and mitigation measures		R		R	R		R	A
2	Permit Applications (water rights, 404, 401, Biological Assessments, etc.) that commit the project to financial or legal/regulatory risk.		R		R	R		R	A
3	Permit Applications that do not commit the project to financial or legal/regulatory risk.		R		R	A		I	I
4	Local Agency permits, land division & GP Amendments that include financial or legal/regulatory risk.		R		R	R		R	A
5	Local Agency permits, land division & GP Amendments that do not include financial or legal/regulatory risk.		R		R	A		I	I

CATEGORY / DOCUMENT		Needs a Policy and Procedure	Legal	Designated Staff	Project Agents	Executive Director*	Budget and Finance Committee	Reservoir Committee	Authority Board*
A = Approval I = Information Only * = Or Designate									
R = Recommended By P = Pre-Approval/Concurrence									
D.	Administrative								
1	Purchases (supplies, materials & equipment (Materials, as defined in the Procurement and Contract Policy))								
	a. Up to \$100,000				R	A	I	I	I
	b. Greater than \$100,000				R	R	R	A	A
2	Administrative Procedures that include financial commitments or legal/regulatory risk.		R		R	R	R	A	A
3	Administrative Procedures that do not include financial commitments or legal/regulatory risk.		R		A	I			
4	Agenda Item Submittal								
	a. Recommendation to BOD - Action/Info. & Discuss		R		R	R	R	A	A
	b. Recommendation to BOD - Consent		R		R	R	R	A	A
5	Petty Cash - The Authority operates on a non-cash call basis. Cash in the form of hard currency is neither received or expended by the Authority.								
6	Procurement Card - ED has authority to authorize issuance of credit cards. Credit cards may be used for purchases under \$23,000 per month for office supplies and office operating expenses. The cardholder and Finance Program-Operations Manager approves the monthly credit card bills.				A	I	I	i	i
7	Response to Public Records Request		R		R	A		I	I
8	Liability Insurance Claim Settlements & Workers Comp Claims								
9	Travel Authorization Out of State	Yes			A R	I		I A	I A
10	Travel Authorization Within State	Yes			A	I			

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A = Approval I = Information Only *= Or Designate		R = Recommended By P = Pre-Approval/Concurrence							
E. Professional Service and General Service Contracts									
1	Decision to use outside consultants				R	A	I	I	I
2	Request for Qualifications				R	A	I	I	I
3	Request for Proposals				R	A	I	I	I
4	Sole Source Professional Services or General Services up to \$500,000 within approved budget except legal services		R		R	A	I	I	I
5	Sole Source Professional Services or General Services above \$500,000 and all except legal services		R		R	R	R	A	A
6	Authority to Negotiate Professional Service or General Service Contracts								
a.	Approve Master Service Agreements with terms but no scope or cost except legal services		R		R	A	I	I	I
7	Professional Services or General Services Agreement								
a.	Up to \$500,000 within the approved budget except legal services		R	R	R	A	I	I	I
b.	Up to \$500,000 NOT WITHIN budget with cost offset except legal services		R		R	A	I	I	I
c.	Greater than \$500,000 and all legal services		R		R	R	R	A	A
d.	Construction services up to and including threshold for simplified acquisition procedure and within approved budget (Refer to Procurement and Contract Policy Article 6. Procurement Methods, b. Simplified Acquisition Procedure)		R		R	A			

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8	Professional Services or General Services Amendment including Legal Services								
	a. Within Contract/Task Order approved amount				R	A	I	I	I
	b. Reallocation of Task Budgets Within Contract/Task Order				A	I	I		
	c. Exceeds Remaining Contract/Task Order Amount				R	R	R	A	A
	d. Adding Task Order to Initiate Litigation				R	R	R	A	A
9	Notice to Proceed								
	a. Professional Services or General Services				R	A		I	I
	b. Notices to proceed for existing contracts				A	I		I	I
10	Progress Payments								
	a. Invoice approval to process payment by Board Treasurer and ED				R	A	I	I	I
	b. Preparation of Payment of Claims				A	I	I		
	c. Check, ACH and Bank Wire Transfer Issuance Authorization by Board Treasurer and ED				A	A	A		A
	d. Electronic Signatures and Release of Checks, ACHs, and wires. Authority account releases checks and processes ACHs based on Authority Treasurer and ED signed payment of claims document. Bank wire transfers require Authority Treasurer involvement.				R	R			
11	Service Completion (closeouts) and progress reports				A	I	I	I	I
12	Legal Services Agreements				R	R		A	A
	a. Legal Services with General Counsel					R		R	A
	b. Legal Services with Subconsultants		R			R		R	A

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13	Significant Schedule Changes (when within sole control of the Project)				R	R	R	A	A
F. Construction Contracts (to be established as project nears construction)									
G. Land Easements and Leases									
1	Temporary Right of Entry (TROE)/Land Access Agreements								
	a. TROE/Land Access Agreement with Landowner		R		R	A		I	I
	b. Payment for TROE/Land Access Compensation				R	A	I	I	I
H. Personnel Issues TBD if Sites has employees									
I. Access to Sites Maxwell and Satellite Project Offices									
1	Electronic Access Cards No electronic cards currently needed								
	a. Initial Request for Card and Site Access				A				
	b. Replacement of Lost Card				A				
2	Mechanical Keys								
	a. Initial Request for Key(s) by Agent in charge of the Maxwell Office				A				
	b. Replacement of Lost Key(s) by the Agent in charge of the Maxwell Office				A				