

**MEETING OF THE  
BOARD OF DIRECTORS OF THE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY**  
Jointly with the  
**ADMINISTRATION & FINANCE COMMITTEE**  
September 14, 2016, 8:30 a.m.  
MWDOC Conference Room 101

**Committee:**

Director J. Thomas, Chairman  
Director J. Finnegan  
Director B. Barbre

Staff: R. Hunter, K. Seckel, C. Harris,  
K. Davanaugh, H. Chumpitazi

Ex Officio Member: W. Osborne

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MWDOC Committee meetings are noticed and held as joint meetings of the Committee and the entire Board of Directors and all members of the Board of Directors may attend and participate in the discussion. Each Committee has designated Committee members, and other members of the Board are designated alternate committee members. If less than a quorum of the full Board is in attendance, the Board meeting will be adjourned for lack of a quorum and the meeting will proceed as a meeting of the Committee with those Committee members and alternate members in attendance acting as the Committee.

**PUBLIC COMMENTS** - Public comments on agenda items and items under the jurisdiction of the Committee should be made at this time.

**ITEMS RECEIVED TOO LATE TO BE AGENDIZED** - Determine there is a need to take immediate action on item(s) and that the need for action came to the attention of the District subsequent to the posting of the Agenda. (Requires a unanimous vote of the Committee)

**ITEMS DISTRIBUTED TO THE BOARD LESS THAN 72 HOURS PRIOR TO MEETING --**

Pursuant to Government Code section 54957.5, non-exempt public records that relate to open session agenda items and are distributed to a majority of the Board less than seventy-two (72) hours prior to the meeting will be available for public inspection in the lobby of the District's business office located at 18700 Ward Street, Fountain Valley, California 92708, during regular business hours. When practical, these public records will also be made available on the District's Internet Web site, accessible at <http://www.mwdoc.com>.

**PROPOSED BOARD CONSENT CALENDAR ITEMS**

1. TREASURER'S REPORT
  - a. Revenue/Cash Receipt Report – August 2016
  - b. Disbursement Approval Report for the month of September 2016
  - c. Disbursement Ratification Report for the month of August 2016
  - d. GM Approved Disbursement Report for the month of August 2016
  - e. Water Use Efficiency Projects Cash Flow – August 31, 2016
  - f. Consolidated Summary of Cash and Investment – July 2016
  - g. OPEB Trust Fund monthly statement
2. FINANCIAL REPORT
  - a. Combined Financial Statements and Budget Comparative for the Period ending July 31, 2016

**ACTION ITEMS**

3. APPROVE AMENDMENTS TO RECORDS RETENTION SCHEDULE
4. 2016 CONFLICT OF INTEREST CODE – BIENNIAL REVIEW
5. APPROVAL/RATIFICATION OF PARTICIPATION IN THE CENTER FOR DEMOGRAPHIC RESEARCH

**INFORMATION ITEMS – (THE FOLLOWING ITEMS ARE FOR INFORMATIONAL PURPOSES ONLY – BACKGROUND INFORMATION IS INCLUDED IN THE PACKET. DISCUSSION IS NOT NECESSARY UNLESS REQUESTED BY A DIRECTOR.)**

6. MWDOC WATER FACILITIES CORPORATION ANNUAL MEETING
  - a. 2016 Annual Filing of Tax Compliance Reports for the MWDOC Water Facilities Corporation
  - b. Annual Reorganization of Board Officers for the MWDOC Water Facilities Corporation
7. DEPARTMENT ACTIVITIES REPORTS
  - a. Administration
  - b. Finance and Information Technology
8. MONTHLY WATER USAGE DATA, TIER 2 PROJECTION, AND WATER SUPPLY INFO.

**OTHER ITEMS**

9. REVIEW ISSUES REGARDING DISTRICT ORGANIZATION, PERSONNEL MATTERS, EMPLOYEE BENEFITS FINANCE AND INSURANCE

**ADJOURNMENT**

**NOTE:** At the discretion of the Committee, all items appearing on this agenda, whether or not expressly listed for action, may be deliberated, and may be subject to action by the Committee. On those items designated for Board action, the Committee reviews the items and makes a recommendation for final action to the full Board of Directors; final action will be taken by the Board of Directors. Agendas for Committee and Board meetings may be obtained from the District Secretary. Members of the public are advised that the Board consideration process includes consideration of each agenda item by one or more Committees indicated on the Board Action Sheet. Attendance at Committee meetings and the Board meeting considering an item consequently is advised.

Accommodations for the Disabled. Any person may make a request for a disability-related modification or accommodation needed for that person to be able to participate in the public meeting by telephoning Maribeth Goldsby, District Secretary, at (714) 963-3058, or writing to Municipal Water District of Orange County at P.O. Box 20895, Fountain Valley, CA 92728. Requests must specify the nature of the disability and the type of accommodation requested. A telephone number or other contact information should be included so that District staff may discuss appropriate arrangements. Persons requesting a disability-related accommodation should make the request with adequate time before the meeting for the District to provide the requested accommodation.

**Municipal Water District of Orange County**  
**REVENUE / CASH RECEIPT REPORT**  
**August 2016**

**WATER REVENUES**

<b>Date</b>	<b>From</b>	<b>Description</b>	<b>Amount</b>
08/01/16	City of Newport Beach	June 2016 Water deliveries	139,079.42
08/01/16	City of La Palma	June 2016 Water deliveries	89,168.91
08/08/16	City of Garden Grove	June 2016 Water deliveries	185,890.87
08/10/16	El Toro Water District	June 2016 Water deliveries	733,413.07
08/10/16	City of Westminster	June 2016 Water deliveries	92,003.84
08/11/16	Laguna Beach County Water District	June 2016 Water deliveries	324,625.20
08/11/16	City of Orange	June 2016 Water deliveries	463,523.42
08/12/16	Santa Margarita Water District	June 2016 Water deliveries	2,381,002.33
08/15/16	South Coast Water District	June 2016 Water deliveries	457,808.00
08/15/16	Orange County Water District	June 2016 Water deliveries	4,456,404.05
08/15/16	East Orange County Water District	June 2016 Water deliveries	406,377.62
08/15/16	Irvine Ranch Water District	June 2016 Water deliveries	1,178,787.47
08/15/16	Santiago Aqueduct Commission	June 2016 Water deliveries	160,622.00
08/15/16	Moulton Niguel Water District	June 2016 Water deliveries	2,229,789.59
08/15/16	Yorba Linda Water District	June 2016 Water deliveries	469,044.21
08/15/16	Golden State Water Company	June 2016 Water deliveries	279,105.12
08/18/16	Serrano Water District	July 2016 Water deliveries	82,999.62
08/22/16	City of Newport Beach	July 2016 Water deliveries	78,883.82
08/25/16	Trabuco Canyon Water District	July 2016 Water deliveries	17,891.48
08/26/16	City of Huntington Beach	July 2016 Water deliveries	1,163,145.31
08/26/16	City of Brea	July 2016 Water deliveries	254,892.01
08/29/16	City of Fountain Valley	July 2016 Water deliveries	190,701.87
08/29/16	City of Seal Beach	July 2016 Water deliveries	271,404.74
<b>TOTAL REVENUES</b>			<b>\$ 16,106,563.97</b>

**Municipal Water District of Orange County  
REVENUE / CASH RECEIPT REPORT  
August 2016**

**MISCELLANEOUS REVENUES**

<b>Date</b>	<b>From</b>	<b>Description</b>	<b>Amount</b>
08/31/16	Paypal	5/20/16 OC Water Summit	251.86
08/29/16	City of Santa Ana	5/20/16 OC Water Summit	390.00
08/04/16	Darcy Burke	July 2016 COBRA insurance premium	1,293.82
08/30/16	Stan Sprague	September 2016 Retiree Health insurance	211.41
08/08/16	Cathy Harris	Movie tickets	51.00
08/15/16	Christina Fuller	Movie tickets	8.50
08/16/16	Christina Fuller	Movie tickets	25.50
08/23/16	Katie Davanaugh	Movie tickets	17.00
08/25/16	Joe Berg	Movie tickets	85.00
08/03/16	US Treasury	Refund for determination letter application fee returned to MWDOC in error	2,500.00
08/16/16	Autumn Print group	Refund for misprinted signs	103.68
08/05/16	PDC Interiors	Reimbursement for damage to MWDOC cart	142.99
08/29/16	Katie Davanaugh	Reimbursement for personal copies	2.28
08/15/16	City of Newport Beach	May 2016 Smartimer rebate program	450.00
08/05/16	City of Huntington Beach	June 2016 Smartimer rebate program	49.99
08/12/16	City of Fullerton	June 2016 Smartimer rebate program	75.00
08/12/16	El Toro Water District	June 2016 Smartimer rebate program	75.00
08/17/16	Irvine Ranch Water District	June 2016 Smartimer rebate program	75.00
08/04/16	Irvine Ranch Water District	May 2016 Turf Removal rebate program	162,053.00
08/12/16	City of Tustin	June 2016 Turf Removal rebate program	8,395.68
08/26/16	City of San Clemente	June 2016 Turf Removal rebate program	111.00
08/30/16	Irvine Ranch Water District	June 2016 Turf Removal rebate program	263,000.00
08/01/16	Moulton Niguel Water District	June 2016 Smartimer and Turf Removal rebate program	682,495.61
08/03/16	Laguna Beach County Water District	June 2016 Smartimer and Turf Removal rebate program	1,041.00
08/05/16	City of Tustin	May 2016 Smartimer and Turf Removal rebate program	17,063.91
08/15/16	Santa Margarita Water District	June 2016 Smartimer and Rotating Nozzle rebate program	1,063.49
08/01/16	Moulton Niguel Water District	June 2016 So Cal Watersmart Residential rebate program	800.00
08/12/16	Trabuco Canyon Water District	June 2016 So Cal Watersmart Residential rebate program	150.00
08/15/16	Santa Margarita Water District	June 2016 So Cal Watersmart Residential rebate program	2,640.00
08/17/16	Irvine Ranch Water District	June 2016 So Cal Watersmart Residential rebate program	6,254.38
08/17/16	Department of Water Resources	Retention for Industrial Water Use Reduction program	40,479.67
08/23/16	Irvine Ranch Water District	Turf Rebate refund	107,198.00
08/05/16	City of Fullerton	Water Loss Control technical assistance - WSO, Inc.	9,432.00
08/22/16	City of Newport Beach	Water Loss Control technical assistance - WSO, Inc.	9,432.00
08/26/16	City of Huntington Beach	Water Loss Control technical assistance - WSO, Inc.	48,672.00
08/15/16	City of Newport Beach	Printing of Sunset Waterwise booklet	157.24
08/12/16	City of Fullerton	Jan-Jun 2016 School billing	7,506.80
08/16/16	City of Santa Ana	Jan-Jun 2016 School billing	29,820.60
08/08/16	East Orange County Water District	Addition to the Choice School Program FY 15-16	200.75
08/08/16	Golden State Water Company	Addition to the Choice School Program FY 15-16	1,434.45
08/10/16	City of Westminster	Addition to the Choice School Program FY 15-16	65.70
08/12/16	City of Brea	Addition to the Choice School Program FY 15-16	284.70
08/22/16	City of Orange	Addition to the Choice School Program FY 15-16	171.55
08/25/16	City of Garden Grove	Addition to the Choice School Program FY 15-16	343.10
08/26/16	City of Tustin	Addition to the Choice School Program FY 15-16	1,580.45
08/29/16	City of Fountain Valley	Addition to the Choice School Program FY 15-16	459.90
08/31/16	City of Buena Park	Addition to the Choice School Program FY 15-16	1,894.35
08/17/16	Irvine Ranch Water District	Apr-Jun 2016 Landscape Performance Certification program	3,751.50
08/01/16	City of Garden Grove	FY 16-17 Annual Retail Service Connection charge	367,941.90
08/01/16	City of La Palma	FY 16-17 Annual Retail Service Connection charge	47,599.65
08/01/16	Golden State Water Company	FY 16-17 Annual Retail Service Connection charge	450,658.20
08/01/16	South Coast Water District	FY 16-17 Annual Retail Service Connection charge	132,089.85
08/03/16	City of Westminster	FY 16-17 Annual Retail Service Connection charge	220,981.95
08/03/16	Santa Margarita Water District	FY 16-17 Annual Retail Service Connection charge	570,637.35

**Municipal Water District of Orange County**  
**REVENUE / CASH RECEIPT REPORT**  
**August 2016**

**MISCELLANEOUS REVENUES**

<b>Date</b>	<b>From</b>	<b>Description</b>	<b>Amount</b>
08/04/16	City of La Habra	FY 16-17 Annual Retail Service Connection charge	151,110.00
08/05/16	City of Fountain Valley	FY 16-17 Annual Retail Service Connection charge	182,985.45
08/05/16	East Orange County Water District	FY 16-17 Annual Retail Service Connection charge	228,121.35
08/08/16	City of Buena Park	FY 16-17 Annual Retail Service Connection charge	205,093.50
08/08/16	City of Newport Beach	FY 16-17 Annual Retail Service Connection charge	285,740.25
08/08/16	Moulton Niguel Water District	FY 16-17 Annual Retail Service Connection charge	577,141.65
08/09/16	Irvine Ranch Water District	FY 16-17 Annual Retail Service Connection charge	1,114,786.65
08/15/16	SOCWA	WEROC Funding for FY 16-17	11,430.00
08/16/16	City of Santa Ana	WEROC Funding for FY 16-17	11,430.00
08/19/16	City of Fullerton	WEROC Funding for FY 16-17	11,430.00
08/24/16	Orange County Water District	WEROC Funding for FY 16-17	75,195.00
08/25/16	Orange County Sanitation District	WEROC Funding for FY 16-17	29,475.00

TOTAL MISCELLANEOUS REVENUES **\$ 6,087,608.61**

**TOTAL REVENUES \$ 22,194,172.58**

Robert J. Hunter, General Manager

Hilary Chumpitazi, Treasurer

**Municipal Water District of Orange County  
Disbursement Approval Report  
For the month of September 2016**

<i>Invoice#</i>	<i>Vendor / Description</i>	<i>Amount to Pay</i>
<b>Core Expenditures:</b>		
	<b>Richard Ackerman</b>	
1115	August 2016 Consulting for legal & regulatory matters	975.00
	*** Total ***	975.00
	<b>Aleshire &amp; Wynder LLP</b>	
38530	July 2016 Legal services	337.80
38944	August 2016 Legal services	1,036.00
	*** Total ***	1,373.80
	<b>ALTA FoodCraft</b>	
516081275	8/12/16 Coffee & tea supplies	223.13
	*** Total ***	223.13
	<b>Arcadis US, Inc.</b>	
0796474	June 2016 Services for development of Urban Water Management plan	90,635.90
	*** Total ***	90,635.90
	<b>Association of California Cities - Orange County</b>	
1662	FY16-17 Annual membership dues	5,000.00
	*** Total ***	5,000.00
	<b>Best Best and Krieger LLP</b>	
55401-JUL16	July 2016 Legal services	13,435.57
777817	July 2016 State legislative advocacy services	8,115.87
	*** Total ***	21,551.44
	<b>Black &amp; Veatch</b>	
1230070	July-August 2016 Engineering and operations assistance on pipelines in Orange County	24,993.13
	*** Total ***	24,993.13
	<b>CDM Smith</b>	
80562382/20	7/1/16-8/31/16 Engineering services for Water Reliability Investigation	7,303.00
	*** Total ***	7,303.00
	<b>Constant Contact Inc.</b>	
XR8WAE CAB23816	October 2016-September 2017 E-mail marketing service	2,478.00
	*** Total ***	2,478.00
	<b>Costco</b>	
329088569	2016 Annual membership renewal	110.00
	*** Total ***	110.00
	<b>CSU Fullerton</b>	
AR165558	1st Quarter FY 16/17 CDR Support	9,992.88
	*** Total ***	9,992.88

**Municipal Water District of Orange County  
Disbursement Approval Report  
For the month of September 2016**

<i>Invoice#</i>	<i>Vendor / Description</i>	<i>Amount to Pay</i>
	<b><i>Dissinger Associates</i></b>	
AP-MWD-JUN16	2014 & 2015 Pension administration fees	4,050.00
	*** Total ***	4,050.00
	<b><i>Gladwell Governmental Services, Inc.</i></b>	
3528	August 2016 Records management services	1,500.00
	*** Total ***	1,500.00
	<b><i>GovConnection, Inc.</i></b>	
54030973	Upgraded Cisco firewall	3,597.27
54048192	Smartnet maintenance for Cisco firewall	621.79
	*** Total ***	4,219.06
	<b><i>Humanscale Corporation</i></b>	
2184763	1 Freedom task chair with headrest	599.00
	*** Total ***	599.00
	<b><i>Immersiv Media, Inc.</i></b>	
-19(MWDOC2016)	July-September 2016 MWDOC website hosting & maintenance	525.00
	*** Total ***	525.00
	<b><i>James C. Barker, P.C.</i></b>	
105-0816	August 2016 Federal legislative advocacy services	8,000.00
	*** Total ***	8,000.00
	<b><i>Jungle Promotions</i></b>	
529347	500 Promotional Frisbees	689.45
	*** Total ***	689.45
	<b><i>Lewis Consulting Group, LLC</i></b>	
2016-140	August 2016 Consulting services	3,875.00
	*** Total ***	3,875.00
	<b><i>Edward G. Means III</i></b>	
MWDOC-1040	August 2016 Support on Metropolitan issues & strategic guidance to Engineering department	2,158.48
	*** Total ***	2,158.48
	<b><i>Mission RCD</i></b>	
2068	July 2016 Turf Removal program surveys and audits	4,744.15
2075	August 2016 Turf Removal program surveys and audits	2,318.70
	*** Total ***	7,062.85

**Municipal Water District of Orange County  
Disbursement Approval Report  
For the month of September 2016**

<i>Invoice#</i>	<i>Vendor / Description</i>	<i>Amount to Pay</i>
	<b>Office Solutions</b>	
I-01009214	8/17/16 Office supplies	49.66
I-01009557	8/17/16 Office supplies	33.30
I-01010842	8/19/16 Office supplies	155.26
I-01010864	8/19/16 Office supplies	6.48
I-01020495	9/6/16 Office supplies	249.31
	*** Total ***	494.01
	<b>Orange County Water District</b>	
16595	July 2016 50% of WACO expense	227.50
16599	MWDOC Shared costs for completion of fire alarm system installation	598.08
16640	July 2016 Postage, shared office & maintenance expense	6,775.71
	*** Total ***	7,601.29
	<b>Patricia Kennedy Inc.</b>	
20966	September 2016 Plant maintenance	214.00
	*** Total ***	214.00
	<b>Tracker, Division of C2,LLC</b>	
08-02730	August 2016-July 2017 Annual subscription fee for investment software	2,340.00
	*** Total ***	2,340.00
	<b>U. S. HealthWorks Medical Group</b>	
2966142-CA	8/8/16 Pre-employment exam	160.00
	*** Total ***	160.00
	<b>USAFact Inc.</b>	
6082020	8/9/16 Pre-employment background check	41.38
	*** Total ***	41.38
	<b>Vavrinek, Trine, Day &amp; Co., LLP</b>	
0127179-IN	July 2016 Services for FY 15/16 audit	7,000.00
	*** Total ***	7,000.00
	<b>Water Systems Optimization, Inc.</b>	
1054	6/30/16-7/31/16 Water Loss Control program	1,140.00
	*** Total ***	1,140.00
	<b>WaterWise Consulting, Inc.</b>	
4717	August 2016 Turf Removal program surveys and audits	1,665.00
	*** Total ***	1,665.00
	<b>The Westin South Coast Plaza</b>	
18553-080616	Facility for offsite 8/6/16 Special Board meeting	2,238.83
	*** Total ***	2,238.83
	<b>Total Core Expenditures</b>	<hr/> 220,209.63

**Municipal Water District of Orange County  
Disbursement Approval Report  
For the month of September 2016**

<i>Invoice#</i>	<i>Vendor / Description</i>	<i>Amount to Pay</i>
<b>Choice Expenditures:</b>		
	<b>Chambers Group Inc.</b>	
30913	July 2016 Baseline environmental monitoring for Doheny Ocean Desal project	4,822.50
	*** Total ***	4,822.50
	<b>Geoscience Support Services</b>	
15025-16-03	July 2016 Doheny Ocean Desal slant well decommissioning	5,031.50
15025-16-04	August 2016 Doheny Ocean Desal slant well decommissioning	4,866.00
	*** Total ***	9,897.50
	<b>Orange County Water District</b>	
16640	July 2016 Postage for Water Use Efficiency rebate programs	190.15
	*** Total ***	190.15
	<b>Top Hat Productions</b>	
92000	8/31/16 Lunch for Water Loss Control workgroup meeting	613.98
	*** Total ***	613.98
	<b>Total Choice Expenditures</b>	<hr/> 15,524.13
<b>Other Funds Expenditures:</b>		
	<b>FacilityDude.com</b>	
R-106853	August 2016-July 2017 Annual renewal for Crisis Plan application	6,750.00
	*** Total ***	6,750.00
	<b>Fry's Electronics</b>	
21556687	8/18/16 Computer supplies for WEROC S. EOC	37.79
	*** Total ***	37.79
	<b>Mission RCD</b>	
2067	July 2016 Field verifications for rebate programs	19,304.30
2076	August 2016 Field verifications for rebate programs	19,063.05
	*** Total ***	38,367.35
	<b>Orange County Fire Protection</b>	
295092	8/2/16 Fire extinguisher service for WEROC S. EOC	43.50
295559	8/4/16 Fire extinguisher service for WEROC N. EOC	99.26
	*** Total ***	142.76

**Municipal Water District of Orange County  
Disbursement Approval Report  
For the month of September 2016**

<i>Invoice#</i>	<i>Vendor / Description</i>	<i>Amount to Pay</i>
	<b><i>Water Systems Optimization, Inc.</i></b>	
1054	6/30/16-7/31/16 Water Loss Control program	18,200.00
1068	8/1/16-8/31/16 Water Loss Control program	10,355.00
	*** Total ***	28,555.00
	<b><i>Total Other Funds Expenditures</i></b>	<hr/> 73,852.90
	<b><i>Total Expenditures</i></b>	<hr/> <hr/> 309,586.66

**Municipal Water District of Orange County  
Disbursement Ratification Report  
For the month of August 2016**

<i>Check #</i>	<i>Date</i>	<i>Vendor # Invoice/CM #</i>	<i>Name / Description</i>	<i>Net Amount</i>
<b>Core Disbursements:</b>				
<b>135818</b>	<b>8/3/16</b>	<b>TIMEWA 5210-AUG16</b>	<b>Time Warner Cable</b> August 2016 Telephone and internet expense ***Total ***	 1,280.57 1,280.57
<b>135821</b>	<b>8/3/16</b>	<b>VERIZO 9769239440</b>	<b>Verizon Wireless</b> July 2016 4G Mobile broadband unlimited service ***Total ***	 76.02 76.02
<b>135830</b>	<b>8/15/16</b>	<b>IRONMO MWM7126</b>	<b>Iron Mountain</b> August 2016 Archived document storage fees ***Total ***	 372.62 372.62
<b>135837</b>	<b>8/15/16</b>	<b>TIMEWA 3564-AUG16</b>	<b>Time Warner Cable</b> August 2016 Telephone expense for 4 analog fax lines ***Total ***	 143.40 143.40
<b>135839</b>	<b>8/15/16</b>	<b>USBANK 4140/5443-JUL16</b>	<b>U.S. Bank</b> 6/22/16-7/22/16 Cal Card charges ***Total *** (See attached sheet for details)	 8,398.78 8,398.78
<b>135840</b>	<b>8/15/16</b>	<b>VANDYK 073016</b>	<b>Corinne Van Dyke</b> July 2016 Business expense ***Total ***	 21.92 21.92
<b>135841</b>	<b>8/15/16</b>	<b>VOLZKE 073116</b>	<b>Jonathan Volzke</b> July 2016 Business expense ***Total ***	 424.01 424.01
<b>ACH002101</b>	<b>8/15/16</b>	<b>ACKEEX 073116</b>	<b>Linda Ackerman</b> July 2016 Business expense ***Total ***	 45.36 45.36
<b>ACH002103</b>	<b>8/15/16</b>	<b>KANZLE 073116</b>	<b>Andrew Kanzler</b> July 2016 Business expense ***Total ***	 37.48 37.48
<b>ACH002104</b>	<b>8/15/16</b>	<b>BARBRE 073116</b>	<b>Brett Barbre</b> July 2016 Business expense ***Total ***	 223.02 223.02
<b>ACH002107</b>	<b>8/15/16</b>	<b>DICKEY 073116</b>	<b>Larry Dick</b> July 2016 Business expense ***Total ***	 172.80 172.80

**Municipal Water District of Orange County  
Disbursement Ratification Report  
For the month of August 2016**

<i>Check #</i>	<i>Date</i>	<i>Vendor # Invoice/CM #</i>	<i>Name / Description</i>	<i>Net Amount</i>
<b>ACH002110</b>	<b>8/15/16</b>	<b>FINNEG</b> 073116	<b>Joan Finnegan</b> July 2016 Business expense ***Total ***	125.30 125.30
<b>ACH002115</b>	<b>8/15/16</b>	<b>HINMAN</b> 073116	<b>Susan Hinman</b> July 2016 Business expense ***Total ***	161.50 161.50
<b>ACH002116</b>	<b>8/15/16</b>	<b>HUNTER</b> 062216	<b>Robert J. Hunter</b> June 2016 Business expense ***Total ***	73.60 73.60
<b>ACH002117</b>	<b>8/15/16</b>	<b>LOEWEN</b> 073116	<b>Laura Loewen</b> July 2016 Business expense ***Total ***	58.76 58.76
<b>ACH002128</b>	<b>8/31/16</b>	<b>BAEZHE</b> 083116	<b>Heather Baez</b> July-August 2016 Business expense ***Total ***	113.90 113.90
<b>ACH002131</b>	<b>8/31/16</b>	<b>THOMAS</b> 073116	<b>Jeffery Thomas</b> July 2016 Business expense ***Total ***	101.52 101.52
<b>Total Core Disbursements</b>				<b>11,830.56</b>

**Choice Disbursements:**

<b>135844</b>	<b>8/19/16</b>	<b>SDGE</b> 7768-JUL16	<b>San Diego Gas and Electric</b> 6/20/16-7/20/16 Electric service for Doheny Ocean Desal project ***Total ***	159.81 159.81
<b>135946</b>	<b>8/31/16</b>	<b>SDGE</b> 7768-AUG16	<b>San Diego Gas and Electric</b> 7/20/16-8/18/16 Electric service for Doheny Ocean Desal project ***Total ***	177.01 177.01
<b>Total Choice Disbursements</b>				<b>336.82</b>

**Municipal Water District of Orange County  
Disbursement Ratification Report  
For the month of August 2016**

<b>Check #</b>	<b>Date</b>	<b>Vendor # Invoice/CM #</b>	<b>Name / Description</b>	<b>Net Amount</b>
<b>Other Funds Disbursements:</b>				
<b>135817</b>	<b>8/3/16</b>	<b>ATTEOC</b>	<b>AT&amp;T</b>	
		4492-JUL16	July 2016 WEROC S. EOC telephone expense	239.79
		8200-JUL16	July 2016 WEROC N. EOC telephone expense	185.99
		0532-JUL16	July 2016 WEROC N. EOC dedicated phone line	64.63
			***Total ***	490.41
<b>135819</b>	<b>8/3/16</b>	<b>TURFRP</b>	<b>Turf Removal Program</b>	
		TR6-MNT-9569-27500	R. Isaac (Re-issue)	598.00
			***Total ***	598.00
<b>135821</b>	<b>8/3/16</b>	<b>VERIZO</b>	<b>Verizon Wireless</b>	
		9769239440	July 2016 4G Mobile broadband unlimited service	38.01
			***Total ***	38.01
<b>135822</b>	<b>8/9/16</b>	<b>TURFRP</b>	<b>Turf Removal Program</b>	
		TR5W-GSWC-5313	M. Slaney (Re-issue)	5,958.00
<b>135823</b>	<b>8/9/16</b>	TR6-O-9697-741	P. Felkner (Re-issue)	2,008.05
			***Total ***	7,966.05
<b>135825</b>	<b>8/15/16</b>	<b>ATTUVEOC</b>	<b>AT&amp;T</b>	
		8599-AUG16	August 2016 U-verse internet service for WEROC N. EOC	55.00
			***Total ***	55.00
<b>135839</b>	<b>8/15/16</b>	<b>USBANK</b>	<b>U.S. Bank</b>	
		4140-JUL16	6/22/16-7/22/16 Cal Card charges	991.00
			***Total ***	991.00
			(See attached sheet for details)	
<b>ACH002118</b>	<b>8/15/16</b>	<b>MESAWA</b>	<b>Mesa Water</b>	
		JUN2016	June 2016 Credit for Local Resources program	44,800.40
			***Total ***	44,800.40
<b>ACH002125</b>	<b>8/15/16</b>	<b>HAGESH</b>	<b>Shenandoah Hage</b>	
		073116	July 2016 Business expense	74.74
			***Total ***	74.74
<b>135843</b>	<b>8/17/16</b>	<b>TURFRP</b>	<b>Turf Removal Program</b>	
		TR6-IRWD-9119-13781	J. Alano (Re-issue)	598.00
			***Total ***	598.00
<b>135845</b>	<b>8/19/16</b>	<b>TURFRP</b>	<b>Turf Removal Program</b>	
		TR7-C-O-3111-3050A	RMHCSC (Ronald McDonald House) (Orange)	4,732.00
<b>135846</b>	<b>8/19/16</b>	TR6-TUST-10139-13291-ADJ	G. Rowell	3,371.00
<b>135847</b>	<b>8/19/16</b>	TR5-IRWD-220-ADJ	C. Jameson	70.67
<b>135848</b>	<b>8/19/16</b>	TR5W-IRWD-5436-ADJ	3000 the Plaza HOA (Irvine)	9,844.00
<b>135849</b>	<b>8/19/16</b>	TR5-LB-026-ADJ	R. Martinez	396.00

**Municipal Water District of Orange County  
Disbursement Ratification Report  
For the month of August 2016**

<b>Check #</b>	<b>Date</b>	<b>Vendor # Invoice/CM #</b>	<b>Name / Description</b>	<b>Net Amount</b>
135850	8/19/16	TR7-IRWD-23776-14551	D. Mallonee	513.64
135851	8/19/16	TR7-MNT-23514-1-ADJ	Riviera at Bear Brand (Laguna Niguel)	5,500.00
135852	8/19/16	TR7-MNT-24035-23736-ADJ	Niguel Vista HOA (Laguna Niguel)	8,375.00
135853	8/19/16	TR7-MNT-24930-19	S. Goodrich	1,380.00
135854	8/19/16	TR7-MNT-24950-27542	C. Fernandez	684.00
135855	8/19/16	TR7-R-ETWD-4764-4683	K. Coburn	2,454.00
135856	8/19/16	TR7-R-IRWD-1981-1917	J. Allison	4,542.00
135857	8/19/16	TR7-R-IRWD-2027-1970	W. Zhuang	504.00
135858	8/19/16	TR7-R-IRWD-4232-4156	Q. Chen	4,061.11
135859	8/19/16	TR7-R-IRWD-4259-4178	T. Schieder	3,358.00
135860	8/19/16	TR7-R-IRWD-4261-4180	B. Bledsoe	564.00
135861	8/19/16	TR7-R-IRWD-4347-4269	A. Chou	860.00
135862	8/19/16	TR7-R-IRWD-4422-4340	K. Alvarez	1,698.00
135863	8/19/16	TR7-R-IRWD-4552-4473	T. Isgro	2,652.00
135864	8/19/16	TR7-R-IRWD-4582-4501	P. Liu	1,000.00
135865	8/19/16	TR7-R-IRWD-4670-4588	V. Cheung	1,042.00
135866	8/19/16	TR7-R-IRWD-4675-4592	J. Chen	1,036.00
135867	8/19/16	TR7-R-IRWD-4678-4595	H. Zandazad	1,336.00
135868	8/19/16	TR7-R-IRWD-4683-4601	I. Totonji	742.00
135869	8/19/16	TR7-R-IRWD-4701-4617	G. Sun	1,740.00
135870	8/19/16	TR7-R-IRWD-4739-4657	W. Campbell	778.00
135871	8/19/16	TR7-R-IRWD-4768-4686	P. Mittal	2,534.00
135872	8/19/16	TR7-R-IRWD-4770-4689	J. He	610.00
135873	8/19/16	TR7-R-IRWD-4773-4692	S. Dittmar	1,356.00
135874	8/19/16	TR7-R-IRWD-4774-4693	B. Cook	4,612.00
135875	8/19/16	TR7-R-IRWD-4775-4694	A. Trust	2,836.00
135876	8/19/16	TR7-R-IRWD-4797-4716	R. Winkleman	1,352.00
135877	8/19/16	TR7-R-IRWD-4841-4761	T. Kieviet	884.00
135878	8/19/16	TR7-R-MNT-2045-1995-ADJ	J. Lazaro	1,794.50
135879	8/19/16	TR7-R-MNT-2065-3091	J. Brown	1,925.00
135880	8/19/16	TR7-R-MNT-4226-4153	P. Heye	772.00
135881	8/19/16	TR7-R-MNT-4282-4210	B. Zamanpour	1,500.00
135882	8/19/16	TR7-R-MNT-4497-4419	C. Wilcox	4,660.00
135883	8/19/16	TR7-R-MNT-4501-4423	D. Peck	886.00
135884	8/19/16	TR7-R-MNT-4615-4534	J. Hsu	1,210.00
135885	8/19/16	TR7-R-MNT-4634-4553	H. Allison	2,032.50
135886	8/19/16	TR7-R-MNT-4642-4560	T. Clark	2,464.50
135887	8/19/16	TR7-R-MNT-4654-4571-ADJ	E. Baron	807.00
135888	8/19/16	TR7-R-MNT-4725-4644	R. Ige	1,074.00
135889	8/19/16	TR7-R-MNT-4757-4674	K. Vestermark	206.91
135890	8/19/16	TR7-R-MNT-4765-4684	B. Lowry	2,360.00
135891	8/19/16	TR7-R-MNT-4808-4727	M. Bixler	5,745.50
135892	8/19/16	TR7-R-MNT-4814-4766	J. Vogel	3,888.00
135893	8/19/16	TR7-R-MNT-4816-4735	L. Enns	2,107.00
135894	8/19/16	TR7-R-MNT-775-725-ADJ	R. Macedo	1,704.00
135895	8/19/16	TR7-SM-11510-122-ADJ	Sonoma Court Maintenance Corp (Mission Viejo)	3,124.75
135896	8/19/16	TR7-SM-11724-20.5A	Sansovino Neighborhood Corp (Ladera Ranch)	15,554.00
135897	8/19/16	TR7-SM-24084-6-ADJ	P. Redmond	1,561.65
135898	8/19/16	TR7-SOCO-11255-33905-ADJ	T. Prietto	1,493.38

**Municipal Water District of Orange County  
Disbursement Ratification Report  
For the month of August 2016**

<b>Check #</b>	<b>Date</b>	<b>Vendor # Invoice/CM #</b>	<b>Name / Description</b>	<b>Net Amount</b>
135899	8/19/16	TR8-R-ETWD-4930-4853	D. Prim	800.00
135900	8/19/16	TR8-R-ETWD-5048-4974	C. Hegeduis	1,622.00
135901	8/19/16	TR8-R-IRWD-4859-4780	L. Yacono	852.00
135902	8/19/16	TR8-R-IRWD-4882-4807	J. Chen	1,669.34
135903	8/19/16	TR8-R-IRWD-4897-4821	N. Jasper	1,116.00
135904	8/19/16	TR8-R-IRWD-4909-4832	R. de Jesus	940.00
135905	8/19/16	TR8-R-IRWD-4912-4834	C. Townsend	514.00
135906	8/19/16	TR8-R-IRWD-4932-4857	M. Krupoff	644.00
135907	8/19/16	TR8-R-IRWD-4946-4872	R. Rochelle	2,126.00
135908	8/19/16	TR8-R-IRWD-4949-4875	J. Howard	772.00
135909	8/19/16	TR8-R-IRWD-4952-4878	V. Pillai	2,882.00
135910	8/19/16	TR8-R-IRWD-4974-4900	D. Housky	2,358.00
135911	8/19/16	TR8-R-IRWD-4992-4920	B. Santana	876.00
135912	8/19/16	TR8-R-IRWD-5013-4947	E. Hsu	1,122.00
135913	8/19/16	TR8-R-IRWD-5055-4982	D. Melnick	1,446.00
135914	8/19/16	TR8-R-IRWD-5095-5025	S. Moss	1,526.00
135915	8/19/16	TR8-R-IRWD-5096-5029	F. Ruggles	826.00
135916	8/19/16	TR8-R-IRWD-5121-5053	W. Yang	806.00
135917	8/19/16	TR8-R-IRWD-5132-5064	W. Xia	320.00
135918	8/19/16	TR8-R-IRWD-5167-5096	F. Mehrtens	1,556.00
135919	8/19/16	TR8-R-IRWD-5180-5110	J. Davis	2,172.00
135920	8/19/16	TR8-R-IRWD-5184-5114	B. Ditto	1,376.00
135921	8/19/16	TR8-R-IRWD-6305-6231	J. Davis	654.00
135922	8/19/16	TR8-R-MNT-4710-4628	M. Villasenor	1,942.50
135923	8/19/16	TR8-R-MNT-4791-4710	J. Vosler	1,396.50
135924	8/19/16	TR8-R-MNT-4811-4730	K. Rutherford	2,352.00
135925	8/19/16	TR8-R-MNT-4828-4747	J. Kozel	616.00
135926	8/19/16	TR8-R-MNT-4894-4819	X. Li	980.00
135927	8/19/16	TR8-R-MNT-4915-4838	D. Lively	2,807.00
135928	8/19/16	TR8-R-MNT-4970-4898	E. Miller	8,570.50
135929	8/19/16	TR8-R-MNT-4991-4919	J. Reese	900.00
135930	8/19/16	TR8-R-MNT-4994-4923	T. Hengst	1,739.00
135931	8/19/16	TR8-R-MNT-4995-4924	M. Moga	4,070.00
135932	8/19/16	TR8-R-MNT-5057-4984	S. Davari	752.00
135933	8/19/16	TR8-R-MNT-5059-4986	L. Zuersher	590.00
135934	8/19/16	TR8-R-MNT-5090-5021	D. Lewis	1,930.00
135935	8/19/16	TR8-R-MNT-5103-5034	T. Christman	2,324.00
135936	8/19/16	TR8-R-MNT-5115-5046	J. Higgins	892.50
135937	8/19/16	TR8-R-MNT-5145-5074	K. Lach	3,100.00
135938	8/19/16	TR8-R-MNT-5204-5134	D. Willmer	1,558.00
135939	8/19/16	TR8-R-MNT-5219-5149	L. Burks	1,456.00
135940	8/19/16	TR8-R-MNT-5232-5161	S. Dobson	1,427.00
			***Total ***	202,666.45
135942	8/30/16	TURFRP	Turf Removal Program	
		TR6-BREA-10601-955	Evangelical Christian Credit Union (Brea) (re-issue)	22,302.00
			***Total ***	22,302.00

**Municipal Water District of Orange County  
Disbursement Ratification Report  
For the month of August 2016**

<b>Check #</b>	<b>Date</b>	<b>Vendor # Invoice/CM #</b>	<b>Name / Description</b>	<b>Net Amount</b>
<b>135944</b>	<b>8/31/16</b>	<b>CATALI 0013114</b>	<b>Catalina Island Conservancy</b> August 2016 WEROC radio repeater site lease ***Total ***	 1,636.47 1,636.47
		<b>TURFRP</b>	<b>Turf Removal Program</b>	
<b>135947</b>	<b>8/31/16</b>	<b>TR8-R-IRWD-5042-4968</b>	<b>M. Moussavi</b>	<b>2,556.00</b>
<b>135948</b>	<b>8/31/16</b>	<b>TR8-R-IRWD-5047-4973</b>	<b>S. Moussavi</b>	<b>2,520.00</b>
<b>135949</b>	<b>8/31/16</b>	<b>TR7-R-SOCO-4522-4443</b>	<b>D. Levine</b>	<b>1,326.00</b>
<b>135950</b>	<b>8/31/16</b>	<b>TR7-R-WEST-801-739</b>	<b>H. Bui</b>	<b>1,106.00</b>
<b>135951</b>	<b>8/31/16</b>	<b>TR7-R-HB-4376-4300</b>	<b>B. Vuncanon</b>	<b>2,472.00</b>
<b>135952</b>	<b>8/31/16</b>	<b>TR8-R-IRWD-4874-4799</b>	<b>M. Yeun</b>	<b>3,232.00</b>
<b>135953</b>	<b>8/31/16</b>	<b>TR7-R-IRWD-4524-4445</b>	<b>W. Shawky</b>	<b>3,882.00</b>
<b>135954</b>	<b>8/31/16</b>	<b>TR7-R-SOCO-4587-4506</b>	<b>A. Moneymaker</b>	<b>1,618.00</b>
<b>135955</b>	<b>8/31/16</b>	<b>TR8-R-IRWD-4969-4904</b>	<b>J. Danna</b>	<b>502.00</b>
<b>135956</b>	<b>8/31/16</b>	<b>TR7-R-IRWD-4763-4682</b>	<b>W. Wong</b>	<b>866.00</b>
<b>135957</b>	<b>8/31/16</b>	<b>TR8-R-MNT-4981-4909</b>	<b>E. Besner</b>	<b>2,572.50</b>
<b>135958</b>	<b>8/31/16</b>	<b>TR8-R-MNT-4996-4925</b>	<b>S. DeGrassi</b>	<b>982.00</b>
<b>135959</b>	<b>8/31/16</b>	<b>TR8-R-IRWD-5030-4956</b>	<b>P. Grawburg</b>	<b>1,716.00</b>
<b>135960</b>	<b>8/31/16</b>	<b>TR8-R-MNT-5049-4975</b>	<b>S. Wood</b>	<b>904.00</b>
<b>135961</b>	<b>8/31/16</b>	<b>TR8-R-MNT-5007-4935</b>	<b>L. Lawrence</b>	<b>1,520.00</b>
<b>135962</b>	<b>8/31/16</b>	<b>TR7-R-MNT-4685-4603-ADJ</b>	<b>A. Watson</b>	<b>2,437.50</b>
<b>135963</b>	<b>8/31/16</b>	<b>TR8-R-IRWD-5202-5132</b>	<b>R. Mills</b>	<b>1,378.00</b>
<b>135964</b>	<b>8/31/16</b>	<b>TR8-R-MNT-5136-5066</b>	<b>S. Dagenais</b>	<b>1,890.00</b>
<b>135965</b>	<b>8/31/16</b>	<b>TR8-R-MNT-5173-5103</b>	<b>J. Feeley</b>	<b>3,465.00</b>
<b>135966</b>	<b>8/31/16</b>	<b>TR8-R-IRWD-6244-6179</b>	<b>G. Mercure</b>	<b>978.00</b>
<b>135967</b>	<b>8/31/16</b>	<b>TR7-R-MNT-4501-4423-ADJ</b>	<b>D. Peck</b>	<b>573.01</b>
<b>135968</b>	<b>8/31/16</b>	<b>TR7-R-MNT-4384-4307-ADJ</b>	<b>V. Deshmukh</b> ***Total ***	<b>666.00</b> <b>39,162.01</b>
<b>ACH002130</b>	<b>8/31/16</b>	<b>SANTAM JUN2016</b>	<b>Santa Margarita Water District</b> June 2016 SCP Operation surcharge ***Total ***	 29,478.21 29,478.21
<b>WIRE-160831</b>	<b>8/31/16</b>	<b>METWAT 8736B</b>	<b>Metropolitan Water District</b> June 2016 Water deliveries ***Total ***	 16,730,482.18 16,730,482.18
<b>Total Other Funds Disbursements</b>				<b>17,081,338.93</b>
<b>Total Disbursements</b>				<b>17,093,506.31</b>



Robert J. Hunter, General Manager



Hilary Chumpitazi, Treasurer

**Cal Card Statement Detail**  
**Statement Date: July 22, 2016**  
**Payment Date: August 15, 2016**

<b>Date</b>	<b>Description</b>	<b>Amount</b>
<b><u>K. Seckel Card</u></b>		
06/27/16	6/27/16 Lunch for MET Directors' meeting	190.96
06/28/16	American Water Works Association Annual conference in Chicago, IL from Jun. 19-22, 2016 - Accommodations for R. Hunter refund	(0.40)
06/28/16	500 Promotional sunglasses	846.01
06/28/16	Southern California Water Committee Quarterly meeting in Long Beach, CA on July 22, 2016 - Registration for H. Baez	70.00
06/28/16	California Council for Environmental & Economic Balance conference in Olympia Valley, CA from Jul. 13-15, 2016 - Registrations for Director Tamaribuchi and K. Seckel	2,120.00
06/28/16	California Council for Environmental & Economic Balance conference in Olympia Valley, CA from Jul. 13-15, 2016 - Airfare for K. Seckel	229.96
06/28/16	California Council for Environmental & Economic Balance conference in Olympia Valley, CA from Jul. 13-15, 2016 - Airfare for Director Tamaribuchi	229.96
06/28/16	California Council for Environmental & Economic Balance conference in Olympia Valley, CA from Jul. 13-15, 2016 - Accommodations for K. Seckel	529.44
06/28/16	California Council for Environmental & Economic Balance conference in Olympia Valley, CA from Jul. 13-15, 2016 - Accommodations for Director Tamaribuchi	438.00
06/29/16	ACWA Legislative meeting in Sacramento, CA on Jul. 8, 2016 - Airfare for H. Baez	469.96
07/02/16	FedEx delivery charges for Board & Committee packets on Jun. 29 & 30, 2016	66.48
07/02/16	FedEx delivery charges for M. Goldsby on Jun. 29, 2016	27.63 <span style="border: 1px solid black; padding: 0 2px;">1</span>
07/04/16	UPS delivery charges for Board & Committee packets on Jun. 29, 2016	35.20
07/07/16	Orange County Public Relations Society of America Annual Summer Media Mixer meeting in Newport Beach, CA on Jul. 12, 2016 - Registration for J. Volzke	51.75
07/08/16	Office supplies from Costco	495.24
07/08/16	Cal Desal Executive Board meeting in Santa Rosa, CA on Jul. 6-7, 2016 - Accommodations for K. Seckel	391.62
07/11/16	Orange County Water Association meeting in Irvine, CA on Jul. 20, 2016 - Registration for Director Thomas	40.00
07/12/16	FedEx delivery charges for Board & Committee packets on Jul. 8, 2016	51.18
07/12/16	UPS delivery charges for Board & Committee packets on Jul. 8, 2016	5.93
07/13/16	International Association of Emergency Managers - Annual membership for K. Hubbard	190.00

**Cal Card Statement Detail**  
**Statement Date: July 22, 2016**  
**Payment Date: August 15, 2016**

<b>Date</b>	<b>Description</b>	<b>Amount</b>
07/15/16	Brown and Caldwell employment ad for WEROC Coordinator position	200.00
07/17/16	Partition Magic Server software	99.99 <sup>2</sup>
07/18/16	UPS delivery charges for Board & Committee packets on Jul. 7 & 13, 2016	101.10
07/18/16	1 Year subscription for Images on Demand	29.00
07/20/16	12 Cases of emergency food supplies	777.76
07/20/16	California Fix meeting in Fountain Valley, CA on Jul. 20, 2016 - Airfare for C. Schmutte	223.10
07/20/16	3 Year Go Daddy SSL certificate for multiple domain names	281.49
07/21/16	International Association of Emergency Managers Annual conference in Savannah, GA from Oct. 14-19, 2016 - Registration for K. Hubbard	801.00
	<b>Total</b>	<b>8,992.36</b>

<sup>1</sup> M. Goldsby reimbursed MWDOC \$27.63

<sup>2</sup> Refund for defective software received on 7/27/16

**R. Hunter Card**

06/22/16-07/22/16	Meals for R. Hunter's meetings	69.16
06/22/16	American Water Works Association Annual conference in Chicago, IL from Jun. 19-22, 2016 - Parking for R. Hunter	100.00
06/27/16	Meeting with J. Meral and J. Grindstaff in Corte Madera, CA on Jun. 27, 2016 - Car rental, gas and meals for Director Tamaribuchi and R. Hunter	110.24
06/27/16	Meeting with J. Meral and J. Grindstaff in Corte Madera, CA on Jun. 27, 2016 - Meals for Director Tamaribuchi, R. Hunter and J. Grindstaff	98.02
06/27/16	Meeting with J. Meral and J. Grindstaff in Corte Madera, CA on Jun. 27, 2016 - Parking for R. Hunter	20.00
	<b>Total</b>	<b>397.42</b>

**Municipal Water District of Orange County**  
**GM Approved Disbursement Report <sup>(1)</sup>**  
**For the month of August 2016**

<b>Check #</b>	<b>Date</b>	<b>Vendor # Invoice/CM #</b>	<b>Name / Description</b>	<b>Net Amount</b>
<b>Core Disbursements:</b>				
135820	8/3/16	USTREA 012716 RE-ISSUE	United States Treasury Determination letter application fee (re-issue for funds returned to MWDOC in error)	2,500.00
			***Total ***	2,500.00
			<b>Total Core Disbursements</b>	<u>2,500.00</u>
<b>Choice Disbursements:</b>				
			<b>Total Choice Disbursements</b>	<u>-</u>
<b>Other Funds Disbursements:</b>				
135833	8/15/16	RIORDAN 063016	Raymond Riordan July 2015-February 2016 Reimbursement for CalWARN web hosting	225.00
			***Total ***	225.00
135941	8/24/16	METOTH 082316	Metropolitan Water District Refund for Parkside HOA Turf Removal rebate overpayment	26,924.00
			***Total ***	26,924.00
			<b>Total Other Funds Disbursements</b>	<u>27,149.00</u>
			<b>Total Disbursements</b>	<u><u>29,649.00</u></u>

  
 Robert J. Hunter, General Manager

  
 Hilary Chumpitazi, Treasurer

(1) For disbursements that did not make the cut-off of previous month's Disbursement Approval report.  
 Disbursements are approved by GM for payment and need A & F Committee ratification.

Municipal Water District of Orange County  
WATER USE EFFICIENCY PROJECTS  
Cash Flow as of 06/30/16

Cash - Beginning Balance	Jul 2016	Aug 2016	Sep 2016	Oct 2016	Nov 2016	Dec 2016	Jan 2017	Feb 2017	Mar 2017	Apr 2017	May 2017	Jun 2017	TOTALS
REVENUES:	\$ (2,257,966.35)	\$ (3,225,466.67)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	\$ (2,268,153.94)	
BUREC													\$
City of Brea	339.97												339.97
City of Buena Park	332.10												332.10
City of Fountain Valley													-
City of Fullerton		75.00											75.00
City of Garden Grove													-
City of Huntington Beach	640.85	49.99											690.84
City of La Habra	111.00												111.00
City of San Clemente		111.00											111.00
City of San Juan Capistrano	111.00												111.00
City of Santa Ana													-
City of Tustin	11,583.00	25,459.59											37,042.59
City of Newport Beach		450.00											450.00
City of Orange	2,869.43												2,869.43
City of Westminster													-
County of Orange													-
Department of Water Resources		40,479.67											40,479.67
East Orange County Water District													-
El Toro Water District	75.00	75.00											150.00
East Orange County Water District													-
Golden State Water Company	1,980.00												1,980.00
Irvine Ranch Water District	93,764.10	542,331.88											636,095.98
Laguna Beach County Water District	1,110.00	1,041.00											2,151.00
Mesa Water District	1,127.37												1,127.37
Metropolitan Water District													-
Moulton Niguel Water District	459,396.32	683,295.61											1,142,691.93
MWDOC													-
Santa Margarita Water District	6,821.55	3,703.49											10,525.04
Serrano Water District	75.00												75.00
South Coast Water District													-
Trabuco Canyon Water District	475.00	150.00											625.00
Yorba Linda Water District													-
Miscellaneous Revenues													-
Miscellaneous													-
Interest Revenue													-
<b>Total Revenues</b>	<b>580,811.69</b>	<b>1,297,222.23</b>											<b>\$ 1,878,033.92</b>
EXPENDITURES:													
Aquaficient	5,400.00												\$ 5,400.00
Autumn Print Group													-
Awards & Trophies													-
Conservation Consulting, LLC													-
City of Newport Beach													-
El Toro WD													-
Enterprise Information Systems													-
Golden State Water Company													-
Hotel Program													-
Industrial Program													-
Inline Ranch Water District													-
Karen's Deal Custom Frames													-
Laguna Beach CWD													-
Metropolitan Water District	229,162.49	111,028.73											340,191.22
MESA													-
Mission RCD	18,300.13	14,225.68											32,525.81
Public Spaces program													-
Santa Margarita Water District													-
South Coast Water District													-
Spray to Drip program													-
Turf Removal	1,287,489.27	214,655.09											1,502,144.36
US Bank													-
URS													-
Waterwise Consulting													-
Miscellaneous Expenses													-
Interest Expense	7,579.92												7,579.92
Salary & Benefit	390.00												390.00
<b>Total Expenditures</b>	<b>1,548,321.81</b>	<b>339,909.50</b>											<b>\$ 1,888,231.31</b>
<b>Cash - Ending Balance</b>	<b>\$ (3,225,466.67)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	<b>\$ (2,268,153.94)</b>	



# Municipal Water District of Orange County Consolidated Summary of Cash and Investment

July 31, 2016

**Street Address:**

18700 Ward Street  
Fountain Valley, California 92708

**Mailing Address:**

P.O. Box 20895  
Fountain Valley, CA 92728-0895

(714) 963-3058

Fax: (714) 964-9389

[www.mwdoc.com](http://www.mwdoc.com)

Wayne S. Osborne  
President

Brett R. Barbre  
Vice President

Larry D. Dick  
Director

Joan C. Finnegan  
Director

Susan Hinman  
Director

Sat Tamaribuchi  
Director

Jeffery M. Thomas  
Director

Robert J. Hunter  
General Manager

**MEMBER AGENCIES**

City of Brea  
City of Buena Park  
East Orange County Water District  
El Toro Water District  
Emerald Bay Service District  
City of Fountain Valley  
City of Garden Grove  
Golden State Water Co.  
City of Huntington Beach  
Irvine Ranch Water District  
Laguna Beach County Water District  
City of La Habra  
City of La Palma  
Mesa Water District  
Moulton Niguel Water District  
City of Newport Beach  
City of Orange  
Orange County Water District  
City of San Clemente  
City of San Juan Capistrano  
Santa Margarita Water District  
City of Seal Beach  
Serrano Water District  
South Coast Water District  
Trabuco Canyon Water District  
City of Tustin  
City of Westminster  
Yorba Linda Water District

District investments and cash balances are held in various funds designated for certain purposes as follows:

Fund	Book Value	% of Portfolio
Designated Reserves		
General Operations	\$2,494,603	19.08%
Grant & Project Cash Flow	1,480,000	11.32%
Election Expense	215,463	1.65%
Building Repair	500,407	3.83%
Total Designated Reserves	4,690,473	35.88%
General Fund	4,846,284	37.06%
Water Fund	6,432,684	49.17%
Conservation Fund	(3,225,467)	(24.66%)
Desalination Feasibility Study Fund	222,385	1.70%
WEROC Fund	102,571	0.78%
Trustee Activities	8,661	0.07%
<b>Total</b>	<b>\$13,077,591</b>	<b>100.00%</b>

The funds are invested as follows:

Term of Investment	% of Portfolio	Book Value	Market Value
Cash	4.04%	\$528,506	\$528,506
Short-term investment			
• LAIF	1.21%	\$157,777	\$157,777
• OCIP	71.02%	9,288,257	9,288,257
Long-term investment			
• Misc. Securities	5.76%	753,051	767,330
• Certificates of Deposit	17.97%	2,350,000	2,384,295
<b>Total</b>	<b>100.00%</b>	<b>\$13,077,591</b>	<b>\$13,126,165</b>

The average number of days to maturity/call as of July 31, 2016 equaled 215 and the average yield to maturity is 0.993%. During the month, the District's average daily balance was \$18,045,342.32. Funds were invested in Federal Agency Issues, Certificates of Deposit, Negotiable CD's, Miscellaneous Securities, the Local Agency Investment Funds (LAIF) and the Orange County Investment Pool (OCIP) during the month of July 2016.

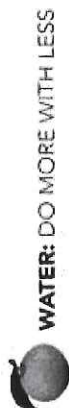
The \$48,574 difference between the book value and the market value on July 31, 2016 represents the exchange difference if all investments had been liquidated on that date. Since it is the District's practice to "buy and hold" investments until maturity, the market values are a point of reference, not an indication of actual loss or gain. There are no current plans or cash flow requirements identified in the near future that would require the sale of these securities prior to maturity.

Robert J. Hunter  
General Manager

Hilary Chumpitazi  
Treasurer

# MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

## Portfolio Management - Portfolio Summary July 31, 2016



7/31/2016	Par Value	Market Value	Book Value	% of Portfolio	Days to Mat/Call	YTM @ Cost
Certificates of Deposit - Bank	2,350,000.00	2,384,295.00	2,350,000.00	18.73	713	1.697
Local Agency Investment Funds	157,777.38	157,777.38	157,777.38	1.26	1	0.588
Miscellaneous Securities - Coupon	750,000.00	767,330.00	753,050.94	5.98	1357	2.238
Orange County Investment Pool	9,288,256.48	9,288,256.48	9,288,256.48	74.03	1	0.721
<b>Total Investments</b>	<b>12,546,033.86</b>	<b>12,597,658.86</b>	<b>12,549,084.80</b>	<b>100.00%</b>	<b>215</b>	<b>0.993</b>

<b>Cash</b>						
Passbook Checking	528,506.01	528,506.01	528,506.01		1	0.00
<b>Total Cash and Investments</b>	<b>13,074,539.87</b>	<b>13,126,164.87</b>	<b>13,077,590.81</b>		<b>215</b>	<b>0.993</b>

<b>Total Earnings</b>	<b>Month Ending July</b>	<b>Fiscal Year to Date</b>
<b>Current Year</b>	<b>13,777.07</b>	<b>13,777.07</b>
<b>Average Daily Balance</b>	<b>18,045,342.32</b>	
<b>Effective Rate of Return</b>	<b>0.993%</b>	

We certify that this report reflects the cash and investments of the Municipal Water District of Orange County and is in conformity with the Government Code requirements and the District Investment Policy and Guidelines in effect at the time of investment. The Investment Program herein shown provides sufficient cash flow liquidity to meet the next six month's estimated expenditure. The source for the market values are from Union Bank.

  
Robert J. Hunter, General Manager

Date

9-8-16

  
Hilary Chumtipitzi, Treasurer

Date

9/8/16

**MUNICIPAL WATER DISTRICT OF ORANGE COUNTY**  
**Portfolio Management**  
**Long-Term Portfolio Details - Investments**  
**July 31, 2016**

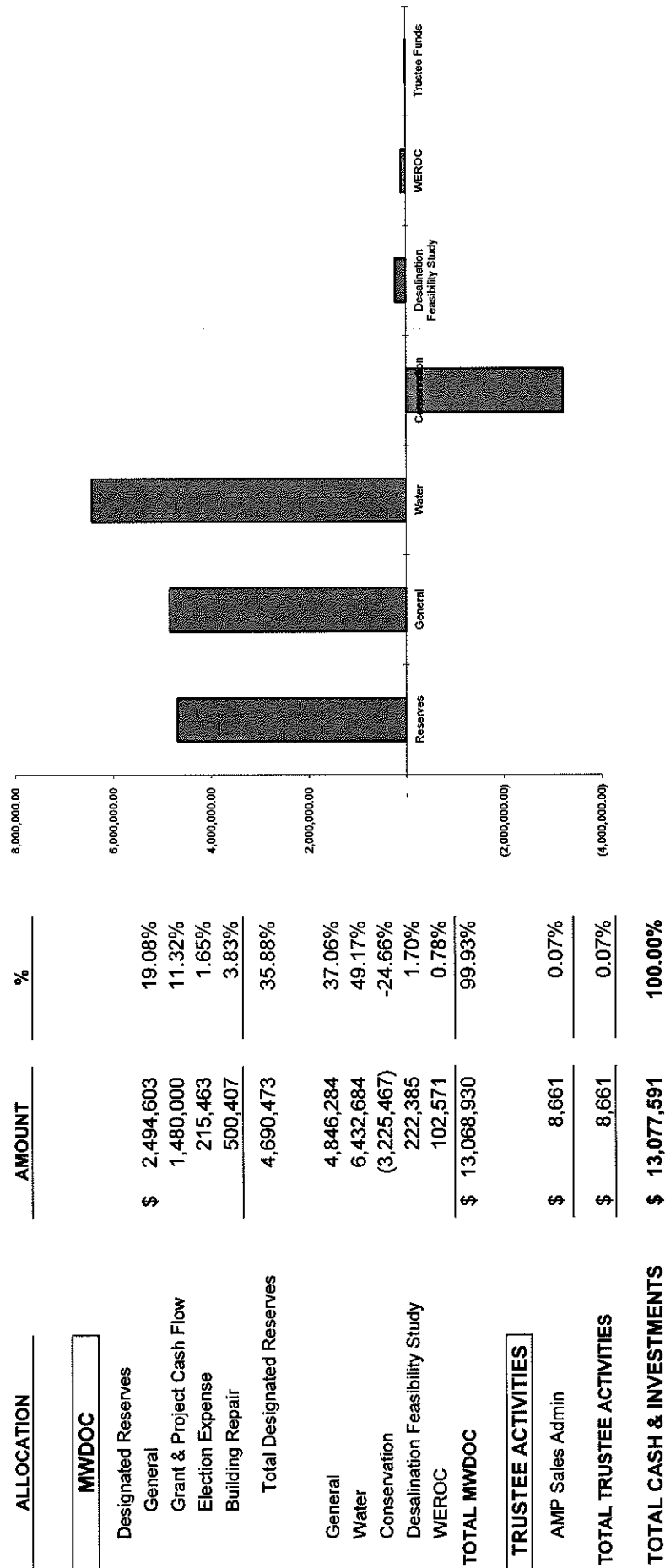
Issuer	CUSIP/Ticker	Settlement Date	Par Value	Market Value	Book Value	Coupon Rate	YTM @ Cost	Days To Call/Maturity	Maturity Date
<b>Certificate of Deposit - Bank</b>									
Ally Bank	02006LFV0	7/23/2014	250,000.00	250,895.00	250,000.00	1.150	1.150	358	7/24/2017
American Express Bank	02587CEA4	7/29/2015	250,000.00	252,215.00	250,000.00	1.450	1.450	547	1/29/2018
Barclays Bank	06740KJP3	9/24/2015	250,000.00	256,935.00	250,000.00	1.900	1.900	1149	9/23/2019
Capital One Bank	140420TY6	8/5/2015	250,000.00	253,150.00	250,000.00	1.700	1.700	736	8/6/2018
Capital One Natl Assn	14042E6C9	9/2/2015	250,000.00	257,280.00	250,000.00	1.950	1.950	1129	9/3/2019
Discover Bank	2546712Y5	7/23/2014	250,000.00	252,990.00	250,000.00	1.600	1.600	722	7/23/2018
Goldman Sachs Bank	38143A4T9	1/23/2013	100,000.00	100,240.00	100,000.00	1.050	1.050	176	1/23/2017
Goldman Sachs Bank	36163F JC8	7/25/2014	250,000.00	250,892.50	250,000.00	1.200	1.200	359	7/25/2017
HSBC Bank USA NA	40434AK65	1/21/2016	250,000.00	252,745.00	250,000.00	1.550	2.534	539	1/21/2021
Synchrony Bank	87164XBY1	7/25/2014	250,000.00	256,952.50	250,000.00	2.050	2.050	1094	7/30/2019
<b>Sub Total</b>			<b>2,350,000.00</b>	<b>2,384,295.00</b>	<b>2,350,000.00</b>	<b>1.593</b>	<b>1.697</b>	<b>713</b>	
<b>Miscellaneous Securities - Coupon</b>									
JPMorgan Chase	48625HKA7	11/2/2015	500,000.00	509,885.00	501,618.61	2.250	2.152	1240	1/23/2020
Wells Fargo	94974BGR5	1/13/2016	250,000.00	257,445.00	251,432.33	2.550	2.409	1590	12/7/2020
<b>Sub Total</b>			<b>750,000.00</b>	<b>767,330.00</b>	<b>753,050.94</b>	<b>2.350</b>	<b>2.238</b>	<b>1357</b>	
<b>Total Investments</b>			<b>3,100,000.00</b>	<b>3,151,625.00</b>	<b>3,103,050.94</b>	<b>1.776</b>	<b>1.828</b>	<b>869</b>	

<b>Total Earnings</b>			<b>Month Ending July</b>	<b>Fiscal Year To Date</b>
<b>Current Year</b>			4,628.83	4,628.83

**MUNICIPAL WATER DISTRICT OF ORANGE COUNTY**  
**Portfolio Management**  
**Short-Term Portfolio Details - Cash and Investments**  
**July 31, 2016**

Investments	CUSIP/Ticker	Settlement Date	Par Value	Market Value	Book Value	Coupon Rate	YTM @ Cost	Days To Call/Maturity	Maturity Date
<b>Local Agency Investment Funds</b>									
LAIF LGIP	LAIF	6/30/2010	157,777.38	157,777.38	157,777.38	0.588	0.588	1	N/A
<b>Sub Total</b>			<b>157,777.38</b>	<b>157,777.38</b>	<b>157,777.38</b>	<b>0.588</b>	<b>0.588</b>	<b>1</b>	
<b>Orange County Investment Pool</b>									
County of Orange LGIP	OCIP	6/29/2005	9,288,256.48	9,288,256.48	9,288,256.48	0.721	0.721	1	N/A
<b>Sub Total</b>			<b>9,288,256.48</b>	<b>9,288,256.48</b>	<b>9,288,256.48</b>	<b>0.721</b>	<b>0.721</b>	<b>1</b>	
<b>Total Investments</b>			<b>9,446,033.86</b>	<b>9,446,033.86</b>	<b>9,446,033.86</b>	<b>0.719</b>	<b>0.719</b>		
<b>Passbook Checking</b>									
Bank of America Cash	CASH0547	7/1/2011	528,006.01	528,006.01	528,006.01	0.000	0.000	1	N/A
Petty Cash Cash	CASH	7/1/2011	500.00	500.00	500.00	0.000	0.000	1	N/A
<b>Total Cash</b>			<b>528,506.01</b>	<b>528,506.01</b>	<b>528,506.01</b>	<b>0.000</b>	<b>0.000</b>	<b>1</b>	
<b>Total Cash and Investments</b>			<b>9,974,539.87</b>	<b>9,974,539.87</b>	<b>9,974,539.87</b>	<b>0.719</b>	<b>0.719</b>	<b>1</b>	
<b>Total Earnings</b>									
Current Year			9,148.24		9,148.24				

**Municipal Water District of Orange County  
Cash and Investments at July 31, 2016**



**MUNICIPAL WATER DIST OF ORANGE COUNTY**  
**PARS OPEB Trust Program**

**Monthly Account Report for the Period**  
**7/1/2016 to 7/31/2016**

Rob Hunter  
General Manager  
Municipal Water Dist of Orange County  
18700 Ward Street  
Fountain Valley, CA 92708

***Account Summary***

Source	Beginning Balance as of 7/1/2016	Contributions	Earnings	Expenses	Distributions	Transfers	Ending Balance as of 7/31/2016
Employer Contribution	\$1,393,326.72	\$0.00	\$37,982.98	\$873.11	\$0.00	\$0.00	\$1,430,436.59
<b>Totals</b>	<b>\$1,393,326.72</b>	<b>\$0.00</b>	<b>\$37,982.98</b>	<b>\$873.11</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$1,430,436.59</b>

***Investment Selection***

Moderate HighMark PLUS

***Investment Objective***

The dual goals of the Moderate Strategy are growth of principal and income. It is expected that dividend and interest income will comprise a significant portion of total return, although growth through capital appreciation is equally important. The portfolio will be allocated between equity and fixed income investments.

***Investment Return***

1-Month	3-Months	1-Year	Annualized Return			Plan's Inception Date
			3-Years	5-Years	10-Years	
2.73%	3.83%	2.26%	5.41%	-	-	10/26/2011

Information as provided by US Bank, Trustee for PARS; Not FDIC Insured; No Bank Guarantee; May Lose Value

Past performance does not guarantee future results. Performance returns may not reflect the deduction of applicable fees, which could reduce returns. Information is deemed reliable but may be subject to change.

Investment Return: Annualized rate of return is the return on an investment over a period other than one year multiplied or divided to give a comparable one-year return.

Account balances are inclusive of Trust Administration (unless invoiced), Trustee and Investment Management fees

**MUNICIPAL WATER DISTRICT OF ORANGE COUNTY**  
**COMBINED FINANCIAL STATEMENTS**  
**AND**  
**BUDGET COMPARATIVE**  
**JULY 1, 2016 THRU JULY 31, 2016**

**Municipal Water District of Orange County  
Combined Balance Sheet  
As of July 31, 2016**

<b><u>ASSETS</u></b>	<b>Amount</b>
Cash in Bank	528,506.01
Investments	12,549,084.80
Accounts Receivable	41,441,494.93
Accounts Receivable - Other	43,819.38
Accrued Interest Receivable	16,814.35
Prepays/Deposits	516,101.57
Leasehold Improvements	3,415,059.92
Furniture, Fixtures & Equipment	447,719.37
Less: Accum Depreciation	(2,654,447.72)
Net OPEB Asset	117,790.00
	<hr/>
<b>TOTAL ASSETS</b>	<b>\$56,421,942.61</b>
	<hr/>
<b><u>LIABILITIES AND FUND BALANCES</u></b>	
<b>Liabilities</b>	
Accounts Payable	35,290,359.78
Accounts Payable - Other	548.12
Accrued Salaries and Benefits Payable	382,147.63
OCWD CUP Balance Payable	2,796,261.80
Other Liabilities	895,328.83
Unearned Revenue	2,076,778.49
Total Liabilities	<hr/> 41,441,424.65 <hr/>
<b>Fund Balances</b>	
Restricted Fund Balances	
Water Fund - T2C	963,039.10
Total Restricted Fund Balances	<hr/> 963,039.10 <hr/>
Unrestricted Fund Balances	
Designated Reserves	
General Operations	2,612,392.51
Grant & Project Cash Flow	1,480,000.00
Election Expense	215,463.03
Building Repair	500,407.45
Total Designated Reserves	<hr/> 4,808,262.99 <hr/>
GENERAL FUND	2,803,673.61
WEROC	101,241.62
Total Unrestricted Fund Balances	<hr/> 7,713,178.22 <hr/>
Excess Revenue over Expenditures	
Operating Fund	6,477,056.63
Other Funds	(172,755.99)
Total Fund Balance	<hr/> 14,980,517.96 <hr/>
<b>TOTAL LIABILITIES AND FUND BALANCES</b>	<b>\$56,421,942.61</b>

**Municipal Water District of Orange County**  
**Revenues and Expenditures Budget Comparative Report**  
**General Fund**  
**From July thru July 2016**

	Month to Date	Year to Date	Annual Budget	% Used	Encumbrance	Budget Remaining
<b><u>REVENUES</u></b>						
Retail Connection Charge	6,786,864.75	6,786,864.75	6,786,865.00	100.00%	0.00	0.25
Ground Water Customer Charge	<u>392,666.00</u>	<u>392,666.00</u>	<u>392,666.00</u>	<u>100.00%</u>	<u>0.00</u>	<u>0.00</u>
Water rate revenues	7,179,530.75	7,179,530.75	7,179,531.00	100.00%	0.00	0.25
Interest Revenue	<u>15,141.22</u>	<u>15,141.22</u>	<u>123,000.00</u>	<u>12.31%</u>	<u>0.00</u>	<u>107,858.78</u>
Subtotal	<u>7,194,671.97</u>	<u>7,194,671.97</u>	<u>7,302,531.00</u>	<u>98.52%</u>	<u>0.00</u>	<u>107,859.03</u>
Choice Programs	0.00	0.00	1,494,789.00	0.00%	0.00	1,494,789.00
Choice Prior Year Carry Over	0.00	0.00	44,416.00	0.00%	0.00	44,416.00
Miscellaneous Income	25.37	25.37	3,000.00	0.85%	0.00	2,974.63
School Contracts	0.00	0.00	70,000.00	0.00%	0.00	70,000.00
Transfer-In From Reserve	<u>0.00</u>	<u>0.00</u>	<u>535,873.00</u>	<u>0.00%</u>	<u>0.00</u>	<u>535,873.00</u>
Subtotal	<u>25.37</u>	<u>25.37</u>	<u>2,148,078.00</u>	<u>0.00%</u>	<u>0.00</u>	<u>2,148,052.63</u>
<b>TOTAL REVENUES</b>	<u>7,194,697.34</u>	<u>7,194,697.34</u>	<u>9,450,609.00</u>	<u>76.13%</u>	<u>0.00</u>	<u>2,255,911.66</u>

**Municipal Water District of Orange County**  
**Revenues and Expenditures Budget Comparative Report**  
**General Fund**  
**From July thru July 2016**

	Month to Date	Year to Date	Annual Budget	% Used	Encumbrance	Budget Remaining
<b><u>EXPENSES</u></b>						
Salaries & Wages	246,864.72	246,864.72	3,444,620.00	7.17%	0.00	3,197,755.28
Salaries & Wages - Grant Recovery	0.00	0.00	(31,600.00)	0.00%	0.00	(31,600.00)
Salaries & Wages - Recovery	(327.60)	(327.60)	0.00	0.00%	0.00	327.60
Directors' Compensation	17,240.32	17,240.32	231,937.00	7.43%	0.00	214,696.68
MWD Representation	9,428.30	9,428.30	132,535.00	7.11%	0.00	123,106.70
Employee Benefits	67,220.02	67,220.02	968,160.00	6.94%	0.00	900,939.98
OPEB Annual Contribution	0.00	0.00	105,249.00	0.00%	0.00	105,249.00
Employee Benefits - Recovery	(62.40)	(62.40)	0.00	0.00%	0.00	62.40
Director's Benefits	4,970.44	4,970.44	66,297.00	7.50%	0.00	61,326.56
Health Ins \$'s for Retirees	3,598.97	3,598.97	50,326.00	7.15%	0.00	46,727.03
Training Expense	165.00	165.00	12,000.00	1.38%	0.00	11,835.00
Tuition Reimbursement	0.00	0.00	5,000.00	0.00%	0.00	5,000.00
Personnel Expenses	349,097.77	349,097.77	4,984,524.00	7.00%	0.00	4,635,426.23
Engineering Expense	0.00	0.00	405,000.00	0.00%	160,899.56	244,100.44
Legal Expense	13,773.37	13,773.37	320,000.00	4.30%	306,226.63	0.00
Audit Expense	7,000.00	7,000.00	24,000.00	29.17%	11,437.00	5,563.00
Professional Services	43,787.78	43,787.78	1,496,997.00	2.93%	376,549.62	1,076,659.60
Professional Fees	64,561.15	64,561.15	2,245,997.00	2.87%	855,112.81	1,326,323.04
Conference-Staff	1,181.75	1,181.75	22,125.00	5.34%	0.00	20,943.25
Conference-Directors	1,100.00	1,100.00	10,725.00	10.26%	0.00	9,625.00
Travel & Accom.-Staff	2,153.97	2,153.97	71,130.00	3.03%	0.00	68,976.03
Travel & Accom.-Directors	863.46	863.46	38,250.00	2.26%	0.00	37,386.54
Travel & Conference	5,299.18	5,299.18	142,230.00	3.73%	0.00	136,930.82
Membership/Sponsorship	58,456.78	58,456.78	134,458.00	43.48%	0.00	76,001.22
CDR Support	0.00	0.00	39,972.00	0.00%	0.00	39,972.00
Dues & Memberships	58,456.78	58,456.78	174,430.00	33.51%	0.00	115,973.22
Business Expense	268.49	268.49	6,000.00	4.47%	0.00	5,731.51
Maintenance Office	6,176.98	6,176.98	123,185.00	5.01%	114,223.02	2,785.00
Building Repair & Maintenance	569.58	569.58	11,000.00	5.18%	7,430.42	3,000.00
Storage Rental & Equipment Lease	372.09	372.09	7,000.00	5.32%	5,627.91	1,000.00
Office Supplies	2,294.99	2,294.99	38,280.00	6.00%	3,798.06	32,186.95
Postage/Mail Delivery	766.03	766.03	11,400.00	6.72%	4,666.70	5,967.27
Subscriptions & Books	0.00	0.00	2,000.00	0.00%	0.00	2,000.00
Reproduction Expense	0.00	0.00	36,225.00	0.00%	9,000.00	27,225.00
Maintenance-Computers	183.58	183.58	10,000.00	1.84%	1,816.42	8,000.00
Software Purchase	12,375.80	12,375.80	31,300.00	39.54%	1,987.82	16,936.38
Software Support	4,857.72	4,857.72	46,000.00	10.56%	6,675.14	34,467.14
Computers and Equipment	0.00	0.00	32,500.00	0.00%	0.00	32,500.00
Automotive Expense	1,007.31	1,007.31	13,828.00	7.28%	0.00	12,820.69
Toll Road Charges	21.83	21.83	1,100.00	1.98%	0.00	1,078.17
Insurance Expense	8,373.42	8,373.42	90,000.00	9.30%	0.00	81,626.58
Utilities - Telephone	1,621.93	1,621.93	19,200.00	8.45%	0.00	17,578.07
Bank Fees	1,101.15	1,101.15	10,500.00	10.49%	0.00	9,398.85
Miscellaneous Expense	1,252.94	1,252.94	114,020.00	1.10%	0.00	112,767.06
MWDOC's Contrb. To WEROC	12,532.50	12,532.50	150,390.00	8.33%	0.00	137,857.50
Depreciation Expense	607.57	607.57	0.00	0.00%	0.00	(607.57)
Other Expenses	54,383.91	54,383.91	753,928.00	7.21%	155,225.49	544,318.60
Election Expense	0.00	0.00	592,000.00	0.00%	0.00	592,000.00
MWDOC's Building Expense	185,841.92	185,841.92	495,000.00	37.54%	4,004.14	305,153.94
Capital Acquisition	0.00	0.00	62,500.00	0.00%	0.00	62,500.00
<b>TOTAL EXPENSES</b>	<b>717,640.71</b>	<b>717,640.71</b>	<b>9,450,609.00</b>	<b>7.59%</b>	<b>1,014,342.44</b>	<b>7,718,625.85</b>
<b>NET INCOME (LOSS)</b>	<b>6,477,056.63</b>	<b>6,477,056.63</b>	<b>0.00</b>			

**Municipal Water District of Orange County**  
**Revenues and Expenditures Budget Comparative Report**  
**Water Fund**  
**From July thru July 2016**

	<b>Month to Date</b>	<b>Year to Date</b>	<b>Annual Budget</b>	<b>% Used</b>	<b>Budget Remaining</b>
<b><u>WATER REVENUES</u></b>					
Water Sales	17,913,664.80	17,913,664.80	121,881,702.00	14.70%	103,968,037.20
Readiness to Serve Charge	1,055,607.64	1,055,607.64	12,674,093.00	8.33%	11,618,485.36
Capacity Charge CCF	402,482.50	402,482.50	4,829,790.00	8.33%	4,427,307.50
SCP Surcharge	34,744.77	34,744.77	365,000.00	9.52%	330,255.23
Interest	627.47	627.47	4,800.00	13.07%	4,172.53
<b>TOTAL WATER REVENUES</b>	<b>19,407,127.18</b>	<b>19,407,127.18</b>	<b>139,755,385.00</b>	<b>13.89%</b>	<b>120,348,257.82</b>
<b><u>WATER PURCHASES</u></b>					
Water Sales	17,913,664.80	17,913,664.80	121,881,702.00	14.70%	103,968,037.20
Readiness to Serve Charge	1,055,607.64	1,055,607.64	12,674,093.00	8.33%	11,618,485.36
Capacity Charge CCF	402,482.50	402,482.50	4,829,790.00	8.33%	4,427,307.50
SCP Surcharge	34,744.77	34,744.77	365,000.00	9.52%	330,255.23
<b>TOTAL WATER PURCHASES</b>	<b>19,406,499.71</b>	<b>19,406,499.71</b>	<b>139,750,585.00</b>	<b>13.89%</b>	<b>120,344,085.29</b>
<b>EXCESS OF REVENUE OVER EXPENDITURES</b>	<b>627.47</b>	<b>627.47</b>	<b>4,800.00</b>		

**Municipal Water District of Orange County**  
**WUE Revenues and Expenditures (Actuals vs Budget)**  
**From July thru July 2016**

	Year to Date Actual	Annual Budget	% Used
<b>Landscape Performance Certification</b>			
Revenues	27.12	118,900.00	0.02%
Expenses	0.00	118,900.00	0.00%
Excess of Revenues over Expenditures	27.12	0.00	
<b>Industrial Water Use Reduction</b>			
Revenues	0.00	91,236.00	0.00%
Expenses	0.00	91,236.00	0.00%
Excess of Revenues over Expenditures	0.00	0.00	
<b>Spray To Drip Conversion</b>			
Revenues	0.00	468,552.34	0.00%
Expenses	5.85	468,552.34	0.00%
Excess of Revenues over Expenditures	(5.85)	0.00	
<b>Water Smart Landscape for Public Property</b>			
Revenues	0.00	168,588.80	0.00%
Expenses	0.00	168,588.80	0.00%
Excess of Revenues over Expenditures	0.00	0.00	
<b>Member Agency Administered Passthru</b>			
Revenues	0.00	150,000.00	0.00%
Expenses	0.00	150,000.00	0.00%
Excess of Revenues over Expenditures	0.00	0.00	
<b>ULFT Rebate Program</b>			
Revenues	0.00	205,000.00	0.00%
Expenses	12,401.00	205,000.00	6.05%
Excess of Revenues over Expenditures	(12,401.00)	0.00	
<b>HECW Rebate Program</b>			
Revenues	4.23	432,000.00	0.00%
Expenses	39,855.00	432,000.00	9.23%
Excess of Revenues over Expenditures	(39,850.77)	0.00	
<b>CII Rebate Program</b>			
Revenues	0.00	325,000.00	0.00%
Expenses	212,190.00	325,000.00	65.29%
Excess of Revenues over Expenditures	(212,190.00)	0.00	
<b>Large Landscape Survey</b>			
Revenues	99.91	30,000.00	0.33%
Expenses	0.00	30,000.00	0.00%
Excess of Revenues over Expenditures	99.91	0.00	
<b>Indoor-Outdoor Survey</b>			
Revenues	0.00	3,500.00	0.00%
Expenses	3.37	3,500.00	0.10%
Excess of Revenues over Expenditures	(3.37)	0.00	
<b>Turf Removal Program</b>			
Revenues	24,601.50	1,750,000.00	1.41%
Expenses	64,287.16	1,750,000.00	3.67%
Excess of Revenues over Expenditures	(39,685.66)	0.00	

**Municipal Water District of Orange County**  
**WUE & Other Funds Revenues and Expenditures (Actuals vs Budget)**  
**From July thru July 2016**

	Year to Date Actual	Annual Budget	% Used
<b>Comprehensive Landscape (CLWUE)</b>			
Revenues	55,314.54	399,751.00	13.84%
Expenses	17,578.21	399,751.00	4.40%
Excess of Revenues over Expenditures	37,736.33	0.00	
<b>CII, Large Landscape, Performance (OWOW)</b>			
Revenues	0.00	121,210.00	0.00%
Expenses	9,253.50	121,210.00	7.63%
Excess of Revenues over Expenditures	(9,253.50)	0.00	
<b>WUE Projects</b>			
Revenues	80,047.30	4,263,738.14	1.88%
Expenses	355,574.09	4,263,738.14	8.34%
Excess of Revenues over Expenditures	(275,526.79)	0.00	
<b>WEROC</b>			
Revenues	162,922.50	300,780.00	54.17%
Expenses	12,366.18	293,780.00	4.21%
Excess of Revenues over Expenditures	150,556.32	7,000.00	



**ACTION ITEM**  
September 21, 2016

**TO:** Board of Directors

**FROM:** Administration & Finance Committee

Rob Hunter, General Manager

Staff Contact: Cathy Harris and Katie Davanaugh

**SUBJECT: APPROVE CHANGES TO RECORDS RETENTION SCHEDULE**

**STAFF RECOMMENDATION**

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Staff recommends the Board of Directors approve the proposed changes to the District's Records Retention Schedule, as presented.

**COMMITTEE RECOMMENDATION**

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**SUMMARY**

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As part of the goals established for 2016, to improve upon the current District Records Management Program processes and procedures, staff has been working with Diane Gladwell, Gladwell Governmental Services, since early July. The first step in the process has been a thorough review of the District's Records Retention Schedule.

The consultant held interactive discussions with each MWDOC department to review "Best Practices" and legal requirements with regard to record series, appropriate retention schedule categories and length of time required to retain official District records. A redline of the proposed changes is included in the staff report which has been reviewed by legal counsel. Once the Records Retention is approved, the next step in the process will involve the review of all records in the library, vault, staff offices and off-site storage and to either purge, file or send records off-site based on the most efficient and cost effective method.

<b>Budgeted (Y/N): Yes</b>	Budgeted amount:
<b>Action item amount: n/a</b>	Line item:
<b>Fiscal Impact (explain if unbudgeted):</b>	

Significant strides have been made since the District implemented an Electronic Records Management System in 2004. However, Records Management is an ongoing task and it is time to evaluate processes and procedures for this 2016/17 fiscal year in an effort to continue to reduce paper and improve efficiencies.

At the end of this current fiscal year, staff will have completed the following:

- The Electronic Records Management Program software (Laserfiche) is the District's official filing repository. Laserfiche will be updated with the most current software and a more efficient electronic filing structure will be implemented.
- Revise and implement the District's email policy and train staff on filing of emails in compliance with the District's Retention Schedule.
- Implement a District-wide standard naming convention within each department for all electronic records and files.
- Training for all existing and new employees will be implemented so that everyone is naming files/documents consistently and documents are maintained in accordance with the District's Retention Schedule.
- Significant improvement in the library and vault areas whereby there will be a reduction of paper.
- Reduction of paper in staff offices.

In looking ahead to fiscal year 2017/18, staff will evaluate implementing an electronic component of managing emails as well as an improved workflow component to allow for collaboration when working on the same document thus reducing the number of duplicate documents in the system. Additionally, as requested by the Board, an update of accomplishments for this project, as well as tasks to be completed, is attached for your information.

Task	Status	Estimated Completion
Evaluate the former mNemoDex (hand-typed index) and determine how to best convert to another system in the most efficient and expedient manner.	Completed	8/12/16
Evaluate and revise Records Retention Schedule	in progress	9/21/16
Purchase additional scanners	in progress	9/30/16
Update Records Destruction Procedures and email policies and implement a trustworthy electronic records policy.	in progress	10/19/16
Laserfiche: Update Software	In progress	10/30/16
Develop plans for the expansion of the Laserfiche system.	In progress	12/30/16
Acquire a secure service for District computer backups.	in progress	3/31/17

Task	Status	Estimated Completion
Coordinate the selection and training of Temporary Staff to Sweep Records in Library, vault, office, and off-site storage (Iron Mountain). This task will commence in the October/November timeframe.	in progress	5/31/17
Establish District-wide electronic Records Filing and Naming Convention Standard and implement improved electronic filing system structure	In progress	5/31/17
Provide District-wide employee training on policies and procedures	In progress / ongoing	5/31/17
Develop and implement New Employee Training / Annual Training Procedures	in progress	5/31/17
Develop and Implement a Records Management Audit Program	TBD	6/30/17
Review and update the Administrative Code pertaining to Records Management (if required)		Tbd

RECORDS RETENTION SCHEDULE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
cathy	<del>Administration</del>	<del>ADM01</del>	<del>Administration</del>	<del>Records related to general administrative activities and duties of the District. Includes general memos, letters, reports, visitor log, District Report of Gifts forms, and surveys pertaining to day-to-day function of the District office.</del>	<del>CA GC 60201, 60203, AC 11100</del>	<del>3</del>			
cathy	<u>Administration</u>	<u>ADM01</u>	<u>Drafts, non-District records, and transitory documents not retained in the ordinary course of business</u>	<u>Preliminary drafts, calendars, checklists, e-mail messages unrelated to District business, invitations for non-District events, instant messaging, logs, mailing lists, meeting room registrations, supply inventories, telephone messages, text messages, unrelated to District business, transmittal letters, thank yous, undeliverable envelopes, visitors logs, voice mails, webpages, etc.</u>	<u>CA GC 60201, AC 11102</u>	<u>AR</u>			
cathy	<u>Administration</u>		<u>Copies</u>	<u>Photocopies or duplicates of any record</u>	<u>CA GC 60200, AC 11102</u>	<u>AR</u>			
cathy	Administration	ADM02	Successful Proposals Relating to Real Property	Records related to bid invitations, RFP's, successful proposals and bids, drawings and specifications issued by the District for competitive bid, relating to real property. Successful bid is awarded a contract. This file does not include the original contract or insurance information.	CA GC 60201, CA CCP 337, <u>AC 11100</u>	PE	X	X	
cathy	Administration	ADM03	Successful Proposals Not Relating to Real Property	Records related to construction and service bid invitations, RFP's, successful proposals and bids, drawings and specifications issued by the District for competitive bid. Successful bid is awarded a contract. This file does not include the original contract or insurance information.	CA GC 60201, CA CCP 337, <u>AC 11100</u>	CL+10	X	X	
cathy	Administration	ADM04	Unsuccessful Proposals	Records related to Requests for Proposals issued for competitive bids received and not selected for services.	CA GC 60201, <del>60203</del> , AC 11100	CL+ <u>2</u> <del>6</del>			
cathy	Administration	ADM05	Business Plan Records	Reports describing long-range planning, District services, and goals of the District. Includes strategic plans and financial planning records	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	PE		X	
cathy	Administration	ADM06	Historical Records	Records related to the history of the District. Includes photos, anniversary celebrations, facility dedications, <del>proclamations</del> , and awards. <del>these items are the archives collection.</del>	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	PE		x	
cathy	Administration	ADM07	Permits & Licenses	Records related to permits and licenses necessary for the operation of the facilities and District. Includes <del>business license</del> , <u>operating permits</u> , <u>NPDES permits</u> , <u>building &amp; construction permits</u> , and Department of Health and Safety permits.	CA GC 60201, <del>60203</del> , <del>40 CFR 122.41, 40 CFR 141.33, 40 CFR 144.91</del> , <u>AC 11100</u>	PE	x		
cathy	Administration	ADM08	Administrative Policies and Procedures	Records providing documentation on the implementation of management and administrative policies <del>and directors for District functions</del> . Includes MWDOC's Rules and Administrative Code.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	PE		x	
cathy	Administration	ADM09	Safety	Records regarding District Safety Policy & training. Includes employee safety training, special skills of staff, <del>HPP Manual</del> , OSHA <u>Inspections or citations</u> , <u>information</u> , <del>Sexual Harassment Training and Ergonomics training</del> .	8 CCR 3203, CA GC 60201, <del>60203</del> , <u>29 CFR 1904.33, OMB 1220-0029, 8 CCR 14300.33, AC 11100</u>	<u>5</u> <del>SU+10</del>	x		
cathy	Administration	ADM10	Emergency & Security	Records providing instructions in the event of a disaster, including evacuation information, Emergency & Disaster Plans, Emergency Response Inspection Requirements, Security Policies, Continuity of Operations Plan and related correspondence.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	SU+3	x		
cathy	Administration	ADM11	Materials Safety Data Sheets / <u>Safety Data Sheets</u>	Records related to the use of hazardous substances.	<u>AC 11103, 40 CFR 122.21, 8 CCR 3204(d)(1)(A) et seq, (B)(2 and 3), AC 11100</u>	PE	x		
cathy	Administration	ADM12	Public <u>Records</u> , <del>information</del> Requests	Requests for records under the Public Records Act, includes MWDOC response	CA GC <del>6254</del> , 60201, <u>AC 11100</u>	CL+ <u>2</u> <del>4</del>			

RECORDS RETENTION SCHEDULE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
				Records related to the management of District records: (a) Documentation of the <del>location of records within the District offices, and</del> transfer of records to an offsite records center (b) Destruction Certificates that certify (confirm) the destruction of official records that have been approved for destruction, and attests that destruction was accomplished in accordance with policies and procedures (c) Records Retention Schedule: a legal document listing record series maintained by the District, with associated retention periods, characteristics, the responsible department, and legal citations					
cathy	Administration	ADM13	Records Management Files		CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	PE		x	
cathy	Administration	ADM14	District Insurance Records	Records related to insurance policies purchased by the District, includes the policies and any amendments. Excludes invoices, premium payment information, and general correspondence pertaining to insurance.	<a href="#">CA GC 60201 CCP 337</a> , AC 11100	PE	x		
cathy	Administration	ADM15	Public Notices	Records announcing Requests for Proposals or Requests for Quotes including proofs of publication.	CA GC 60201, <a href="#">AC 11100</a>	<u>2</u> <del>5</del>		*	
cathy	Administration	ADM16	General Correspondence	Records related to internal and external general communications. Includes memos and letters kept in chronological order as a convenience file.	CA GC 60201, 60203 , <a href="#">AC 11100</a>	<u>2</u> <u>3</u>		x	
cathy	Administration	ADM17	Reference Files ( <a href="#">Not District Records</a> )	Documents used for reference and research, such as books, technical journals, reference materials, reports, studies, magazines, periodicals, and presentations. <del>Includes Library Policies &amp; Procedures.</del>	<del>CA GC 60201, 60203</del>	AR			
cathy	Administration	ADM18	Equipment Maintenance & Warranty Information	Records related to the maintenance, & warranty information for equipment & furniture purchased by the District. Does not include purchase or repair invoices (see Finance section).	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	SA- <del>4</del>	*		
cathy	Administration	ADM20	MWDOC Member Agencies	Correspondence to and from Member Agencies relating to issues directly impacting MWDOC business and information from Member Agency Manager's Meetings.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	7		*	
cathy	Administration	ADM21	Other Agencies	Correspondence to and from other agencies relating to MWDOC business.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	5		*	
cathy	Administration	ADM22	Outside Agency Event Information ( <a href="#">Not District Records</a> )	Records related to events sponsored by other agencies attended by MWDOC Directors & Staff. Includes conference & seminar information and travel records. Does not include attendance records, expense reports, or payment records.	<del>CA GC 60201, 60203</del>	<a href="#">AR</a> <del>CL+2</del>			
cathy	Human Resources	HR01	Employee Benefit Plans & Programs	Records related to all employee benefits plans and programs, including health and life insurance policies & information, tuition reimbursement, eligibility, <a href="#">Illness &amp; Injury Prevention Plan (IIPP)</a> , and retirement plans. Does not include employee enrollment or other individual forms.	29 CFR 1627.3, CA GC 12946 60201 <del>(4)(4+2)</del> <u>29 USC 1027, AC 11100</u>	CL+ <del>5</del> <u>7</u>	*		
cathy	Human Resources	HR03	Salary Schedules	Records related to District Salary Schedules as established by the Board.	CA GC 60201(d)(12), <del>60203</del> , 29 CFR 1627.3, <a href="#">AC 11100</a>	SU+7	X		
Pa cathy	Human Resources	HR04	Medical Files	Records related to the medical history of employees, <a href="#">pre-employment physicals</a> , required physicals or drug testing, doctor releases/notes for workers' compensation or other <a href="#">medical</a> absences.	8 CCR 3204, <u>29 CFR 1910.1020(d)(1)(i)</u> ; <a href="#">GC 12946, 60201, AC 11100</a>	TE+ <del>30</del> <u>5</u>	X		X
38 cathy	Human Resources	HR05	Personnel Manual	Records related to Personnel Policies of the District.	CA GC 12946, 60201, <del>60203</del> , <a href="#">AC 11100</a>	SU+3			
146 cathy	Human Resources	HR06	Personnel Administration records	Records related to the overall administration of personnel activities. Includes studies, surveys, and reports.	CA GC 60201, <a href="#">AC 11100</a>	4			

RECORDS RETENTION SCHEDULE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
cathy	Human Resources	HR07	Personnel Files	Records related to individual employees. Includes employment applications, <del>pre-employment-physicals, I-9 forms,</del> training records, performance evaluations, driving records, awards or certificates, salary information, insurance enrollment, beneficiary designations and other forms, and separation documents.	CA GC <u>3105, 12946, 60201, 60203, 29 CFR 1602.14, 1602.31 &amp; 1627.3, 8 USC 1234a, 29 USC 1113, AC 11100</u>	TE+ <u>7</u> <del>5</del>	X		X
cathy	<u>Human Resources</u>	<u>HR08</u>	<u>Deferred Compensation Statements, Pension Plan Statements</u>	<u>Employer Statements</u>	GC 60201; AC 11100	<u>7</u>			<u>X</u>
cathy	<u>Human Resources</u>	<u>HR09</u>	<u>Drug &amp; Alcohol Tests</u>	<u>Employee Results (Positive &amp; Negative</u>	29 CFR 1627.3(b)(1)(v), GC 12946, 60201; 49 CFR 655.71 et seq.; 49 CFR 382.401 et seq. 49 CFR 653.71, AC 11100	<u>5</u>			<u>X</u>
cathy	<u>Human Resources</u>	<u>HR10</u>	<u>Employee Training Records (District-Sponsored)</u>	<u>Course Material and Sign In Sheets for employee training</u>	8 CCR 3203 et seq., 29 CFR 1602.31, CA LC 6429(c); CA GC 12946, 60201, 53235.2(b), AC 11100	<u>5</u>			
cathy	<u>Human Resources</u>	<u>HR11</u>	<u>I-9s</u>		INA 274A(b)(3); INS Rule 274a.1(b)(2); 29 CFR 1627.3(b)(i), CA GC 12946, 60201; INA 274A(b)(3), AC 11100	<u>TE+3</u>			<u>X</u>
cathy	Human Resources	HR08	Employee Complaints	Records related to employee complaints, includes MWDOC response and disciplinary action.	CA GC 12946, 60201, <del>60203</del> , 29 CFR 1602.31, <u>AC 11100</u>	TE+5			X
cathy	Human Resources	HR09	Recruitment Records	Records regarding the advertisement of available positions. Includes job descriptions, job postings, advertising, interviews, resumes, applications, testing questions and results.	29 CFR 1602.32, 29 CFR 1627.3. 2 CCR 11013(c) CA GC 12946, 60201, AC 11100	CL+ <u>3</u> <del>2</del>			X
cathy	<del>Human Resources</del>	<del>HR11</del>	<del>Forms</del>	<del>Blank forms pertaining to Personnel administration.</del>	<del>CA GC 60201, 60203</del>	<del>SU+1</del>			
cathy	Human Resources	HR12	Organizational Chart	Records related to District organizational structure.	CA GC 60201(d)(1), <del>60203</del> , <u>AC 11100</u>	<u>P SU+5</u>			
cathy	Human Resources	HR13	Retiree Benefits ( <u>COBRA, Health Benefits</u> )	Records regarding benefits offered to retirees	CA GC 60201(d)(12), <del>60203</del> , 29 CFR 1627.3, <u>AC 11100</u>	CL+ <u>7</u> <del>5</del>	<del>*</del>		
cathy	Human Resources	HR14	<u>Background Checks</u> <del>New Hire Information</del>	Records related to background checks for newly hired employees.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	TE+ <u>7</u> <del>5</del>			X
Public Works	Human Resources	HR16	Risk Management / <u>Workers Compensation Claims</u>	Records related to Worker's Compensation Claims, Disability Claims, and Incident/Accident Reports.	<del>29 CFR 1904 et seq.</del> 8 CCR 10102; 8 CCR 15400.2, 8 CCR 3204(d)(1) et seq., 29 CFR 1910.1020, CA GC 12946, 60201, CA CCP 337, <u>AC 11100</u>	<u>TE+30</u> <del>ST+5</del>	<del>*</del>		X
Finance	Finance	FIN01	General Ledger	Financial records related to the general ledger posting. <u>The Financial Database can re-create reports upon demand.</u>	CA GC 60201, <del>60203</del> , AC 11101	<del>PEAU</del> -AU	<del>*</del>	<del>*</del>	

RECORDS RETENTION SCHEDULE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
Finance	Finance	FIN02	Interim Financial Reports	Records describing the financial status of the District. Includes financial, fiscal, and monthly reports, worksheets, printouts, and statements on the financial position and condition of the District. <u>The Financial Database can re-create reports upon demand.</u>	CA GC 60201, <a href="#">AC 11102</a>	<del>40AR-AU+7</del>	✗	✗	
Finance	Finance	FIN03	Audit Records	Records related to reviewing the District's activities to ensure compliance with policies, procedures, and standards. <del>Includes draft reports and correspondence. Does not include final audit report.</del>	CA GC 60201, <del>60203</del> , <del>26909-AC 11100</del>	AU+7	✗	✗	
Finance	Finance	FIN04	Annual Financial Report & Auditor Report	Records describing the financial status of the District, including the Annual Financial Report and the Final Audit Report.	CA GC 60201, <del>60203</del> , <del>26909-AC 11100</del>	PE		X	
Finance	Finance	FIN05	Draft MWDOC Budget	Records related to internal financial planning and management. Includes final budget vs. cost reports, summaries, worksheets, and goals and objectives.	CA GC 60201, <del>60203</del> , <a href="#">AC 11102</a>	<del>7AR-AU</del>		X	
Finance	Finance	FIN06	Final MWDOC Budget	Records related to the Final MWDOC Annual Budget and milestones for the final approved budget. Final budget is approved by the Board.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	PE	✗	<u>X</u>	
Finance	Finance	FIN07	Accounts Payable	Records related to payment of financial obligations (money owed by the District). Includes vendor invoices, bills, check requests, statements including credits/refunds, disbursement reports, completed purchase orders & purchase requisitions, travel & expense reports, membership renewal payments, and petty cash.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	<a href="#">AU+7</a>			
Finance	Finance	FIN08	Accounts Receivable	Records related to accounting for money owed to the District. Includes cash receipts, check copies, uncollectible debts, MWDOC invoices and bankruptcies. Excludes Water Billing.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	<a href="#">AU+7</a>	X		
Finance	Finance	FIN09	Payroll Records	Records related to payment of labor costs. Includes employee timesheets, completed request for leave forms, salary, wage, and deferred compensation; deduction, garnishment, and retirement contribution.	29 CFR 516.5, 29 CFR 516.6, CA GC 60201(d)(12) , 60203 IRS Reg 31.6001-1(e)(2), R&T 19530; LC 1174(d), 8 CCR 11040.7(c), AC 11100	<a href="#">AU+7</a> <del>40</del>	X		X
Finance	Finance	FIN10	Payroll Tax Records	Records related to Annual & Quarterly payroll tax filings, includes W-2 forms.	CA GC 60201, <del>29 CFR 516.5, 516.6, 60203</del> , <a href="#">AC 11100</a>	<a href="#">AU+7</a> <del>PE</del>	✗		X
Finance	Finance	FIN11	Banking Record	Records related to bank transactions. Includes deposits of funds, cancelled checks, check registers, bank advices, wire transfers, bank statements, and reconciliations.	AC 11100, CA GC 60201, <del>60203</del> , <del>26 CFR 31.6001-1</del>	AU+7	✗		
Finance	Finance	FIN12	Cash & Investment Record	Records related to portfolio investments. Includes cash flow statement, transaction records, and investment pool statements.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	<a href="#">AU+7</a> <del>PE</del>	✗		
Finance	Finance	FIN13	Water Billing	Records related to the processing of the monthly water billing. Includes Metropolitan invoices, invoices issued, and reconciliation reports.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	<a href="#">AU+7</a> <del>40</del>	<u>X</u>		
Finance	Finance	FIN14	Fixed Asset Record	Records related to the acquisition, depreciation, and accruals of fixed assets. Includes purchase and sale or disposition information.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	SA+7	✗		

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responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
Finance	Finance	FIN15	Grant Records / <a href="#">Conservation Grants</a>	Records related to accepted/approved federal or state grants, includes financial records.	CA GC 60201, <a href="#">2 CFR 200.33; 7 CFR 3016.42; 21 CFR 1403.36 &amp; 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, 570.490, &amp; 570.502(a&amp;b); 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-110 &amp; A-133</a> <del>60203-AC 11100</del>	CL+5 ✖			
Finance	Finance	FIN16	Old Business	Records related to previously closed finance-related issues not included in other record categories. Includes the OC Bankruptcy.	CA GC 60201, <del>60203-AC 11100</del>	<del>AU+7</del> <del>CL+10</del>			
Finance	<del>Finance</del>	<del>FIN19</del>	<del>Payroll Report by Employee</del>	<del>Cumulative Report by Employee</del>	<del>CA GC 60201, AC 11100</del>	<del>PE</del>		<del>X</del>	
Finance	<del>Finance</del>	<del>FIN17</del>	<del>Conservation Funding Reconciliation</del>	<del>Records related to conservation project &amp; program grant reconciliation</del>	<del>CA GC 60201, 60203-AC 11100</del>	<del>CL+7</del>		✖	
Finance	<del>Finance</del>	<del>FIN18</del>	<del>Trustee Activity Records</del>	<del>Records of non-WFC trustee activities for agency deposits related to special projects</del>	<del>CA GC 60201, 60203-AC 11100</del>	<del>AU+7</del>			
Finance	Information Technology	IT01	Computer Systems Records	Records and manuals related to District hardware records, maintenance files, software application files, database programs and backup tapes. Excludes data contained in any of the above programs.	CA GC 60201, <a href="#">AC 11102</a>	<del>AR</del> <del>SU</del>	X		
Finance	Information Technology	IT02	Network Operating Manual	Records related to the operation of the District Information Technology.	CA GC 60201, <del>60203-AC 11102</del>	<del>AR</del> <del>SU+2</del>	X		
Karl	Engineering	ENG01	Engineering Projects	Records related to major projects or capital improvements for District services.	CA GC 60201, <a href="#">CA CCP 337</a> <del>60203-AC 11100</del>	<del>PE</del> <del>CL+10+AR</del> ✖			
Karl	Engineering	ENG02	Local Water Operations and Water Usage Databases	Records related to non-Metropolitan water operations. Includes water usage & production information and joint facility operations & maintenance allocations.	CA GC 60201, <del>60203-AC 11100</del>	<del>PE</del> <del>40</del>	X		
Karl	Engineering	ENG03	Drawings & Maps	<a href="#">Record Drawings / As-Builts &amp; As-Bids</a> , Records of graphic depictions (drawings, sketches) of facilities. Includes bid set drawings marked up by contractors during construction to show how facility or component is actually constructed, base maps for service areas, Director divisions, and atlases.	CA GC 60201, <del>60203-AC 11100</del>	PE	X	X	
Karl	Engineering	ENG04	Facilities Maps	<a href="#">Record Drawings / As-Builts &amp; As-Bids</a> , Records related to planning of District facilities that are geographical in nature and show pipelines and other waterworks facilities.	CA GC 34090, <a href="#">AC 11100</a>	<del>PE</del> <del>40+AR</del>	X	X	
Karl	Engineering	ENG05	Research & Planning	Records related to planning of District projects and programs. Includes water reliability & drought issues, <del>Orange County Water Plan</del> , Water Demand Forecast & <del>Regional Urban Water Management Plan</del> , Five Year Water Projections, and water supply alternatives.	CA GC 60201, <del>60203-AC 11100</del>	10+AR	X	X	
Karl	Engineering	ENG06	Service Connections & <a href="#">Plans &amp; Specifications</a> <del>Allen McColloch Pipeline</del>	Records related to service connections, local distribution systems, and Allen McColloch Pipeline (AMP) <del>operations</del> . Does not include records regarding sale of AMP.	CA GC 60201, <del>60203-AC 11100</del>	<del>PE</del> <del>40+AR</del>	X	X	
Karl	Engineering	ENG07	Rates, Fees and Charge Records	Records related to determining rates and fees charged by the District, includes annual water rates survey, <a href="#">tracking budget</a> .	CA GC 60201, <del>60203-AC 11100</del>	10+AR	X	✖	
Karl	<a href="#">Engineering</a>	<a href="#">ENG08</a>	<a href="#">Engineering Plans, Reports &amp; Studies</a>	<a href="#">Reports &amp; Studies</a> conducted by the <a href="#">Engineering Department</a> , <a href="#">Water Rate Survey</a> , <a href="#">Master Plans</a> , <a href="#">Fixed Treatment Charge Project Files</a> , <a href="#">Conveyance of Local Water</a> , etc.	<a href="#">CA GC 60201, AC 11100</a>	<a href="#">PE</a>			

RECORDS RETENTION SCHEDULE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
<a href="#">Karl</a>	<a href="#">Engineering</a>	<a href="#">ENG09</a>	<a href="#">Plan Checks - Pipeline</a>	<a href="#">Construction within the District's Easements / Rights of Way</a>	<a href="#">CA GC 60201, CA CCP 337, AC 11100</a>	<a href="#">PE</a>	<a href="#">X</a>		
<a href="#">Karl</a>	<a href="#">Engineering</a>	<a href="#">ENG10</a>	<a href="#">Engineering Projects - Administration Files</a>	<a href="#">Project Administration, Project Schedules, Certified Payrolls, Cost of Construction, Logs, Insurance Certificates from Contractors, Correspondence, Advertising, Labor Compliance, Temporary Encroachment Permits, etc.</a>	<a href="#">CA GC 60201, CA CCP 337, AC 11100</a>	<a href="#">CL+10</a>			
<a href="#">Karl</a>	<a href="#">Engineering</a>	<a href="#">ENG11</a>	<a href="#">Connections &amp; Interties - East Oragne County, Dohenvy, etc.</a>	<a href="#">Drawings and Specifications. etc.</a>	<a href="#">CA GC 60201, CA CCP 337, AC 11100</a>	<a href="#">PE</a>	<a href="#">X</a>		
<a href="#">Karl</a>	Metropolitan Water District of Southern California	<a href="#">MET01</a> <del>MAWD01</del>	Metropolitan Administrative <a href="#">Correspondence</a> <del>Information</del>	Records related to Metropolitan issues of vital interest to MWDOC business that are not easily obtained or readily available through <del>other electronic</del> means.	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	<a href="#">5+AR</a>			
<a href="#">Karl</a>	Metropolitan Water District of Southern California	<a href="#">MET02</a> <del>MAWD02</del>	Operations & Service Interruptions	Records related to Metropolitan water operations that are of vital interest to MWDOC business. Includes shutdown <a href="#">information</a> & chlorination notifications & reports, treatment facilities, distribution system (including maps, capacity diagrams, & detailed schematics), water quality, and water reliability.	CA GC 60201, <del>60203</del> , <del>40-CFR-141.33</del> , <a href="#">AC 11100</a>	<a href="#">5+AR</a>			
<a href="#">Karl</a>	Metropolitan Water District of Southern California	<a href="#">MET03</a> <del>MAWD03</del>	Projects & Programs	Records related to Metropolitan projects and programs that are of vital interest to MWDOC business. Includes Capital Improvement Program, desalination projects, water supply projects, Interim Agricultural Water Program, Local Resources Program, power related projects, groundwater Conjunctive Use Programs, and Community Partnering Program.	CA GC 60201, <del>60203</del> , <del>40-CFR-142.44</del> , <del>40-CFR-141.33</del> , <a href="#">AC 11100</a>	<a href="#">CL of Met Contract + 5</a> <del>CL+5</del>			
<a href="#">Karl</a>	Metropolitan Water District of Southern California	<a href="#">MET04</a> <del>MAWD04</del>	Water Transfers & Wheeling	Records related to Water Transfers and Wheeling that are of vital interest to MWDOC business.	CA GC 60201, <del>60203</del> , <del>40-CFR-142.44</del> , <del>40-CFR-141.33</del> , <a href="#">AC 11100</a>	5			
maribeth	Board of Directors	BOD01	Board of Directors Administrative Records	Records related to the Board of Directors. Includes general correspondence and reports, <a href="#">Informal Proclamations</a>	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a> <del>11102</del>	2			
maribeth	Board of Directors	BOD02	Board and Internal Policies	Policy set by Board of Directors, <a href="#">Formal Proclamations</a>	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	PE	x	x	
maribeth	Board of Directors	BOD03	Ordinances and Resolutions	Records related to regulations for the District that are approved or adopted by the Board of Directors, and the normal expression of the will, opinion, and intent voted by the Board of Directors. <del>Includes proofs of publication</del>	CA GC 60201, <a href="#">AC 11100</a>	PE	x	x	
maribeth	Board of Directors	BOD04	Board & Committee Meetings, Agendas, Packets <del>and Notices</del>	Records related to information provided to the official Board of Directors for consideration and action at official proceedings. Includes agendas, <a href="#">and staff reports ("Agenda Packet")</a> <del>records related to committee operations and meetings, rosters of committee members, discussion points, action and information submittals, regular and special meeting notices, and adjournment and cancellation notifications.</del>	CA GC 60201, <del>60203</del> , <a href="#">AC 11100</a>	PE	x	x	
maribeth	Board of Directors	BOD05	Board & Committee Meeting Minutes	Records related to actions and decisions of the Board of Directors. Includes minutes, administrative orders, minute orders, and minute actions.	CA GC 60201, AC 11100	PE	x	x	
maribeth	Board of Directors	BOD06	Board & Committee Meeting Notes	Records include shorthand notebooks, stenotype records, and keys to audio tapes ( <a href="#">Preliminary drafts</a> )	CA GC 60201, AC <a href="#">11102</a> <del>11100</del>	<a href="#">EX 1</a>			
maribeth	Board of Directors	BOD07	Board & Committee Meeting <b>audio</b> <a href="#">recordings</a> <del>and video tapes</del>	Records include audio <del>and video tape</del> recordings of Board & Committee Meetings <i><u>made for whatever purpose (e.g., when used for minute preparation)</u></i> <del>or where they may have historical value.</del>	<del>AC 11103</del> / CA GC <del>60201</del> , <del>60203</del> <a href="#">AC 11100</a> , <a href="#">CA GC 54953.5(b)</a>	CL + 30 days			

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responsibl	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
maribeth	Board of Directors	BOD08	Election Records	Records related to the election process. Includes <del>filings information</del> , maps, directors' divisions, <del>polling places</del> and election results.	CA GC 60201, <del>81009</del> , CA EC 17100, AC 11100	PE			
maribeth	Board of Directors	BOD09	Oath of Office	Records of the Oaths of Office, <u>Election Certificates</u> , and related materials depicting the authenticity of the appointment of any of the Directors or Executive Officers of MWDOC.	CA GC 60201, <del>60203</del> , AC <u>11100</u> <del>11101</del>	PE		x	
maribeth	<u>Board of Directors</u>	<u>BOD10</u>	<u>Public Notices, Legal Advertising, Proof of Publication</u>	<u>Proof of publications, notices, Brown Act notices, mailing lists, etc.</u>	<u>CA GC 60201, AC 11100</u>	<u>2</u>			
maribeth	<u>Legal</u>	<u>LGL01</u>	<u>Annexation Files</u>	Records related to receiving or transferring land within District boundaries.	CA GC 60201	PE	<del>x</del>	X	
maribeth	<u>Legal</u>	<u>LGL02</u>	<u>Formation Files</u>	Records documenting the terms under which the District was formed, organized, re-organized or consolidated. Includes directives from LAFCO on boundaries or services.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	PE	<del>x</del>	X	
maribeth	<u>Legal</u>	<u>LGL03</u>	<u>Property Owned by the District</u> , <del>Parcel Records</del>	Records related to real property. Includes deeds, easements, and similar documents related to property which MWDOC holds or owns.	CA GC 60201, AC 11100	PE	<del>x</del>	X	
maribeth	<u>Legal</u>	<u>LGL04</u>	<u>Legal Opinions</u>	Records related to legal opinions on issues, problems, and policies impacting the organization.	CA GC 60201, <u>AC 11100</u>	PE		X	X
maribeth	<u>Legal</u>	<u>LGL05</u>	<u>Litigation Files</u>	Records related to threatened or actual litigation or government investigations. Includes subpoenas, pleadings, discovery files, work product, exhibits, final judgments, and court documents.	CA GC 60201, <del>60203</del> , CA CCP <u>337</u> , <del>583,310</del> , <u>AC 11100</u>	CL+5	<del>x</del>	<del>x</del>	<del>x</del>
maribeth	<u>Legal</u>	<u>LGL06</u>	<u>Subpoenas</u>	Records related to subpoenas received by the District, where MWDOC is a third party. Includes the District's response.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	CL+ <u>2</u> , <del>7</del>			
maribeth	<u>Legal</u>	<u>LGL07</u>	<u>Fair Political Practices Commission Filings (Form 700s)</u>	Records related to FPPC filings for campaign contributions. Includes annual conflict of interest filings (Form 700) for Board members, employees, and consultants; assuming/leaving statements; and lobbyist registration.	CA GC 81009(e)(g), <del>CA EC-47000</del> , <u>AC 11100</u>	<u>7</u> , <del>PE</del>		<del>x</del>	
maribeth	<u>Legal</u>	<u>LGL08</u>	<u>Contracts &amp; Agreements, Relating to Real Property</u>	Records related to obligations defined in contracts and agreements relating to real property. Includes promissory agreements, contracts for services, purchases and sales, certificates of insurance from vendors, and change orders.	<del>AC-11103</del> , CA GC 60201, <u>CA CCP</u> <u>337</u> , AC 11100	PE	<del>x</del>	<u>X</u>	
maribeth	<u>Legal</u>	<u>LGL09</u>	<u>Contracts &amp; Agreements, Construction</u>	Records related to obligations defined in construction contracts and agreements. Includes promissory agreements, contracts for services, purchases and sales not relating to real property, certificates of insurance from vendors, and change orders.	<del>AC-11103</del> , CA GC 60201, <u>CA CCP</u> <u>337</u> , AC <u>11100</u>	<u>PE</u> , <del>CL+10+AR</del>	X		
maribeth	<u>Legal</u>	<u>LGL10</u>	<u>Contracts &amp; Agreements, General</u>	Records related to obligations defined in contracts and agreements. Includes software licenses, promissory agreements, contracts for services, purchases, and sales, certificates of insurance from vendors, and change orders.	CA GC 60201, <del>60203</del> , <u>CA CCP</u> <u>337</u> , AC <u>11100</u>	CL+ <u>10</u> , <del>7+AR</del>	X		
maribeth	<u>Legal</u>	<u>LGL11</u>	<u>FPPC Campaign Statements (Forms 460, 470, 501, etc.) - Elected Officials</u>		<u>GC 81009(b)&amp;(g)</u> , 60201	<u>PE</u>			
maribeth	<u>Legal</u>	<u>LGL12</u>	<u>FPPC Campaign Statements (Forms 460, 470, 501, etc.) - NOT Elected</u>		<u>GC 81009(b)&amp;(g)</u> , 60201	<u>5</u>			
maribeth	<u>Legal</u>	<u>LGL13</u>	<u>FPPC Form 801 (Gift to Agency Report)</u>		2 CCR 18944(c)(3)(G); CA GC <u>81009(e)</u> , 60201	<u>7</u>			
maribeth	<u>Legal</u>	<u>LGL14</u>	<u>FPPC Form 802 (Event Ticket / Pass Distributions Agency Report)</u>		<u>CA GC 81009(e)</u> , 60201	<u>7</u>			
maribeth	<u>Legal</u>	<u>LGL15</u>	<u>FPPC Form 803 (Behested Payment Report)</u>		<u>CA GC 81009(e)</u> , 60201	<u>7</u>			
maribeth	<u>Legal</u>	<u>LGL16</u>	<u>FPPC Form 804 (Agency Report of New Positions)</u>		FPPC Regulation 18734(c); <u>CA GC 81009(e)</u> , 60201	<u>PE</u>			

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maribeth	<u>Legal</u>	<u>LGL17</u>	FPPC Form 805 (Agency Report of Consultants)		FPPC Regulation 18734(c); CA GC 81009(e), <u>60201</u>	<u>PE</u>			
maribeth	<u>Legal</u>	<u>LGL18</u>	FPPC Form 806 (Agency Report of Public Official Appointments)		2 CCR 18944(c)(3)(G); CA GC 81009(e), <u>60201</u>	<u>7</u>			
maribeth	<u>Legal</u>	<u>LGL19</u>	<u>Ethics Training Certificates</u>	<u>Ethics Training Certificates for Board Members and Others</u>	GC 53235.2(b), <u>AC 11100</u>	<u>5</u>			
maribeth	<u>Legal</u>	<u>LGL20</u>	<u>Claims</u>	<u>Records related to Claims filed against, or by the District</u>	CA GC 60201, CA CCP 337, <u>AC 11100</u>	<u>CL+5</u>			
maribeth	Water Facilities Corporation	WFC01	Water Bonds & Certificates of Participation - Other Documents	Records related to interest-bearing certificates issued by the District to raise revenues. Includes interest & redemption vouchers and Certificates of Participation (COPS). Does not include Official Statement.	CA GC <u>60201</u> , <del>26907-4</del> , CA CCP <u>336</u> , 337.5, AC 11103	CL+10	*	*	
maribeth	Water Facilities Corporation	WFC02	Water Bonds & Certificates of Participation - Official Statement	Records including final official statement for Bond or COPS issuance.	CA GC 60201, <del>60203</del> , CA CCP <u>336</u> , 337.5, <u>AC 11100</u>	<u>CL+10</u> , <del>PE</del>			
maribeth	Water Facilities Corporation	WFC03	Allen McColloch Pipeline Sale to Metropolitan	Records related to the sale of the AMP to Metropolitan. Includes the Sales Proceed Agreement, RPO distribution to the participants.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	PE	*	X	
maribeth	Improvement District No. 1	ID101	Improvement Bonds & COPS	Records related to interest-bearing certificates issued by the District to raise revenues. Includes certificates of participation (COPS).	CA GC 60201, <del>60203</del> , CA CCP <u>336</u> , 337.5, <u>AC 11100</u>	CL+10	*		
maribeth	Improvement District No. 1	ID102	Property Tax Filing	Records related to the filing of Property Taxes with the County of Orange.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	<u>AU+7</u> , <del>PE</del>	*		
PA	Governmental Affairs	GA01	Federal Legislation	Information regarding House and Senate Bills.	<del>CA GC 60201</del> , <del>60203</del>	<u>AR</u> , <del>40</del>			
PA	Governmental Affairs	GA02	State Legislation	Information regarding Assembly & State Senate Bills and Ballot Initiatives.	<del>CA GC 60201</del> , <del>60203</del>	<u>AR</u> , <del>40</del>			
PA	Governmental Affairs	GA03	Legislative Correspondence	Records of correspondence related to State & Federal Legislation, including support & oppose letters and floor alerts.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	<u>2</u> , <del>40</del>			
PA	Governmental Affairs	GA04	Lobbyist Correspondence	Information regarding lobbyist activities & related correspondence. Does not include FPPC filings/Lobbyist registrations.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	<u>2</u> , <del>40</del>			
PA	<del>Governmental Affairs</del>	<del>GA05</del>	<del>Consumer Confidence Reports</del>	<del>Information from Member Agencies, consultants, state government, related to the content for and annual production of the report.</del>	<del>CA GC 60201</del> , <del>60203</del> , <u>AC 11100</u>	<del>SU+3</del> , <u>222</u>			
PA	Public Affairs	PA01	Inspection Trips & Events	Records related to District sponsored trips/tours and other events. Includes venue information, invitations, agendas, and final attendee list. Does not include expense or cost reports or other financial information (see Finance section).	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	CL+5			
PA	Public Affairs	PA02	Public Relations Information	Records related to preparing public information, brochures describing District activities, and advertising materials that promote District events or programs. Includes samples of promotional items, newspaper clippings and photographs, artwork, videos, news releases and newsletters.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	4			
PA	Public Affairs	PA03	MWDOC Website	Records relating to the creation & maintenance of the official MWDOC website.	CA GC 60201, <del>60203</del> , <u>AC 11102</u>	<u>AR</u> , <del>SU+3</del>			
PA	Public Affairs	PA04	Public Complaint Files	Records related to verbal and written public complaints. <u>Including water quality complaints (odor, color, etc.)</u> Includes documentation regarding MWDOC's response. Does not include government and/or legal claims.	CA GC 60201, <del>60203</del> , <u>40 CFR 122.41(i)(2) &amp; 40 CFR 141.33(b); 22 CCR 66470, AC 11100</u>	CL+ <u>5</u> , <del>4</del>			
PA	Public Affairs	PA05	Speeches & Presentations	Records related to the preparation of presentation materials by staff. Includes text of speeches, presentation materials, and computer presentation software files.	CA GC 60201, <del>60203</del> , <u>AC 11102</u>	<del>5</del> +AR			

RECORDS RETENTION SCHEDULE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
PA	Public Affairs	PA06	School Program	Includes information from Discovery Science Center, contests, school presentations, and information from other education related events.	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	<del>7</del> <u>AR</u>			
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER01	Program Organization & History	Records relating to the development and administrative functions of WEROC, including Steering Committee & Executive Committee Meeting information & minutes, and Indemnification Agreements.	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	PE		X	
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER02	Emergency Response Plans	Records relating to the Standardized Emergency Management System, National Incident Management System, Hazard Mitigation Plan, and Vulnerability Assessments & Emergency Response Plans.	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	SU+ <del>5</del> <u>30</u>	<u>X</u>		
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER03	Volunteer Information & Training Documentation	Records relating to WEROC volunteers & training. Includes contact information forms and training records.	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	TE+ <del>5</del> <u>15</u>			
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER04	Facilities <del>Maps</del> / <u>Listing of Equipment / Asset Lists</u>	Records related to the Emergency Operations Center. Includes information on maintenance and maps & equipment, <u>including radio systems</u> . <u>Retained for the Useful Life of the Equipment</u> .	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	EX+ <del>5</del> <u>40</u>	X		
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER05	WEROC Member Agencies	Records related to communications, Quarterly Meetings <del>&amp; Metropolitan Agency Radio System</del> .	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	10			
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER06	County, State & Federal Emergency Services	Records related to Orange County Emergency Management Organization & Operational Area Executive Board, State of California Office of Emergency Services, Federal Emergency Management Agency, Water/Wastewater Agency Response Network, California Utility Emergency Association, and Infragard.	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	AR <del>30</del>			
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER08	Disaster Response	Records containing documentation for individual events <u>that we have responded to</u> , filed by incident. Includes activation records and communications. After action reports.	CA GC 60201, <del>60203</del> - <u>AC 11100</u>	<del>10+AR</del> - <u>CL + 10</u> <u>+30</u>		X	
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER09	CalWARN	Agreements, communications related to CalWARN (MWDOC agreed to hold them verbally). If agency no longer exists, agreement can be destroyed.		T + AR			

RECORDS RETENTION SCHEDULE  
MUNICIPAL WATER DISTRICT OF ORANGE COUNTY

responsibility	Dept.	Code	Record Series	Definitions	Citations	Retention	V	H	C
WEROC	Water Emergency Response Organization of Orange County (WEROC)	WER10	Grant Purchases	Agreements, Equipment lists, grant required documentation		CL + 10			
WUE	Water Use Efficiency	WUE01	Conservation & Landscape Programs (Commercial & Residential)	Records related to conservation and landscape programs facilitated by the District to encourage efficient use of water. Includes exchange and rebate programs, <u>turf removal</u> , performance certification and training programs, and surveys.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	<del>CL+7</del> <u>CL of Met Contract + 5</u>		X	
WUE	<u>Water Use Efficiency</u>		<u>Grants - Successful / Funded</u>	<u>Applications, Grant Reports, Grant Information, etc.</u>	<u>CA GC 60201, AC 11100</u>	5+AR			
WUE	<u>Water Use Efficiency</u>		<u>Grants - Unsuccessful / Unfunded</u>	<u>Applications, research, Grant Information, etc.</u>	<u>CA GC 60201, AC 11100</u>	2+AR			
WUE	Water Use Efficiency	WUE02	Water Use Efficiency Administrative Records	Records related to general WUE program correspondence, <u>Choice Program</u> , <del>transmittals</del> and workgroup meeting information.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	<del>7</del> <u>5+AR</u>		X	
WUE	<u>Water Use Efficiency</u>		<u>Water Use Efficiency Plans, Studies and Reports</u>	<u>R3 Studies, etc.</u>	<u>CA GC 60201, AC 11100</u>	PE		<u>X</u>	
WUE	Water Use Efficiency	WUE03	Conservation Research Activities	Records related to District research activities in the area of conservation and water use efficiency.	CA GC 60201, <del>60203</del> , <u>AC 11100</u>	10+ <u>AR</u>		X	



**ACTION ITEM**  
September 21, 2016

**TO:** Board of Directors

**FROM:** **Administration & Finance Committee**  
(Directors Thomas, Barbre, Finnegan)

Robert Hunter  
General Manager

Staff Contact: Maribeth Goldsby

**SUBJECT: 2016 CONFLICT OF INTEREST CODE -- BIENNIAL REVIEW**

**STAFF RECOMMENDATION**

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Staff recommends the Board of Directors: (1) Review the District's Conflict of Interest Code; (2) determine whether updates are needed; and (3) authorize staff to submit the 2016 Biennial Review Code changes to the Orange County Clerk of the Board of Supervisors.

**COMMITTEE RECOMMENDATION**

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To be determined.

**SUMMARY**

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The Board of Supervisors for the County of Orange (MWDOC's Code Reviewing Body) assists the District in reviewing its Conflict of Interest Codes every two years, pursuant to Fair Political Practices Commission (FPPC) requirements.

A preliminary staff and legal counsel review indicates that revisions are necessary as a result of several title changes, removing the requirement to file on behalf of MWDOC's Water Facilities Corporation, and the obsolete "Exhibit B," in addition to other, minor changes as reflected on the attached redline.

At this time the Board is required to review the Code, acknowledge the proposed changes, recommend additional changes (if necessary), and direct staff to notify the County of Orange that changes to the Code are necessary. Once these changes are approved by the Board, they will be submitted through the County's eDisclosure system within 90 days of notification to the Board of Supervisors, as required by law.

<b>Budgeted (Y/N): N/A</b>	Budgeted amount:
<b>Action item amount:</b>	Line item:
<b>Fiscal Impact (explain if unbudgeted):</b>	

**MUNICIPAL WATER DISTRICT OF ORANGE COUNTY  
ADMINISTRATIVE CODE**

<b>CONFLICT OF INTEREST AND DISCLOSURE OF PERSONAL FINANCES</b>	<b>§7000-§7006</b>
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**§7000 GENERAL REQUIREMENTS**

The Political Reform Act, Government Code Sections 81000, et seq., requires state and local government agencies to adopt and promulgate Conflict of Interest Codes. The Fair Political Practices Commission has adopted a regulation (2 Cal. Code of Regs. Section 18730) which contains the terms of a standard Conflict of Interest Code, which may be incorporated by reference in an agency's code. After public notice and hearing it may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission are hereby incorporated by reference.

**§7001 MWDOC CONFLICT OF INTEREST CODE**

MWDOC has adopted the Fair Political Practices Commission Model Code (2 Cal. Code of Regs., Section 18730) as its Conflict of Interest Code (Code) and has promulgated a list of Designated Positions and Disclosure Categories as required therein (see Appendix A to Section 7005). This Code incorporates, by reference, the definitions contained in the Political Reform Act of 1974, regulations of the Fair Political Practices Commission and any amendments to the Act or regulations. This regulation and the attached Appendix designating officials and employees and establishing disclosure categories, shall constitute the Conflict of Interest Code of the Municipal Water District of Orange County.

In accordance with Government Code 82011(b), the Board of Supervisors for the County of Orange (Board of Supervisors) has been designated as the Code Reviewing Body for MWDOC. Amendments to the MWDOC Conflict of Interest Code, including Appendix "A", will be submitted to the Board of Supervisors for approval within 90 days after the circumstances necessitating the amendments have become apparent. (Government Code Section 87306(a).)

Res. No. 1874 – 2/17/10

**§7002 FILING OFFICER/OFFICIAL**

The District Secretary is designated as the filing official responsible for receiving and forwarding original statements of economic interest (statements) for MWDOC Directors to the Clerk of the Board of Supervisors. The District Secretary shall retain one copy of each such statement for MWDOC records. The District Secretary is designated as filing officer for all other designated filers of MWDOC, and as such shall be responsible for receiving and retaining the original statements of such filers in the official records of MWDOC. The District Secretary shall follow the duties of filing officer denoted in Title 2, Section 18115(a) and of filing official denoted in Title 2, Section 18115(b).

**Deleted:** and the Municipal Water District of Orange County Water Facilities Corporation

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Motion - 4/20/94; Motion - 9/21/94; M – 9/20/06

#### **§7003 FILING OF STATEMENTS OF ECONOMIC INTERESTS**

Persons in designated positions are required to file statements with the District Secretary as follows:

- 1) Initial Statements - Within 30 days after adoption of the Code or amendments to the Code. Includes all reportable interests during 12 months prior to the effective date of the Code or amendments thereto.
- 2) Assuming Office Statements - Within 30 days after assuming the designated position. Includes all reportable interests during the 12 months prior to the date of assuming office or date of appointment or nomination
- 3) Annual Statements - No later than April 1 each year. Includes all reportable interests during the previous calendar year.
- 4) Leaving Office Statements - Within 30 days after leaving office. Includes all reportable interests during period between the closing of the last statement filed and the date of leaving office.

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Motion - 4/20/94;

#### **§7004 OPINIONS OF LEGAL COUNSEL**

A. Opinion Requests - Any designated employee who is unsure of any right or obligation arising under this Code may request an opinion from MWDOC's Legal Counsel or the Fair Political Practices Commission.

B. Evidence of Good Faith - If an opinion is rendered by the Fair Political Practices Commission, stating in full the facts and the law upon which the opinion is based, compliance by a designated employee with such opinion may be evidence of good faith in any civil or criminal proceeding brought pursuant to the Political Reform Act of 1974 or this Code. The designated employee's good faith compliance with the opinion of the Fair Political Practices Commission shall also act as a complete defense to any disciplinary action that MWDOC may bring under Section 91003.5 of said Act or this Code (Government Code Section 83114).

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Motion 4/20/94

#### **§7005 DESIGNATED POSITIONS AND CATEGORIES**

Designated employees shall file statements of economic interests with the Municipal Water District of Orange County's Political Reform Act Filing Officer, District Secretary, who will make the statements available for public inspection and reproduction (Government Code Section 82008). This Conflict of Interest Code does not require the reporting of gifts from outside the District's jurisdiction if the source does not have some connection with or bearing upon the functions or duties of the position for which reporting is required. (2 Cal. Code of Regs., Section 18730.1)

Upon receipt of the statements of the Members of the Board of Directors, General

Manager, Treasurer, Deputy Treasurer, Director of Finance, and Legal Counsel the Filing Officer shall make and retain a copy and forward the original of these statements to the Clerk of the Orange County Board of Supervisors, who is the Filing Officer for these positions

Statements for all other designated employees will be retained by the Filing Officer.

Motion – 9/20/06; Res. No. 1861 – 11/18/09; Res. No. 1874 – 2/17/10; M-11/17/10; M-11/19/14

**APPENDIX A**  
**MUNICIPAL WATER DISTRICT OF ORANGE COUNTY**  
**CONFLICT OF INTEREST CODE**

Designated Positions	Disclosure Categories
Board Member	OC-01
General Manager	OC-01
Treasurer	OC-01
Deputy Treasurer	OC-01
Accounting Manager	OC-01
Legal Counsel	OC-01
Administrative Services Manager	OC-02
Associate General Manager	OC-01
Assistant General Manager	OC-01
Consultant	OC-30
Governmental Affairs Manager	OC-01
District Secretary	OC-02
Director of Public Affairs	OC-01
Director of Water Use Efficiency	OC-02
Principal Water Resources Planner	OC-02
Principal Engineer	OC-02
Principal Water Resources Analyst	OC-02
Sr. Water Resources Analyst	OC-02
WEROC Programs Manager	OC-02
New Position*	OC-01**

\* Individuals serving in a new position created since this Code was last approved that make or participate in making decisions must file under the broadest disclosure set forth in this Code subject to the following limitation:

\*\* The General Manager may determine that, due to the range of duties, it is more appropriate to assign a limited disclosure requirement. A clear explanation of the duties and a statement of the extent of the disclosure requirements must be in a written document. (Gov. Code Sec. 82019; FPPC Regulations 18219 and 18734.) The General Manager's determination is a public record and shall be retained for public inspection in the same manner and location as this Conflict of Interest Code. (Gov. Code Sec. 81008.)

**DISCLOSURE CATEGORIES**  
**MUNICIPAL WATER DISTRICT OF ORANGE COUNTY**

Disclosure Category	Disclosure Description
OC-01	All interests in real property in Orange County or the District, as well as investments, business positions and sources of income (including gifts, loans and travel payments).
OC-02	All investments, business positions and sources of income (including gifts, loans and travel payments).
OC-30	Consultants shall be included in the list of designated employees and shall disclose pursuant to the broadest category in the code subject to the following limitation: The Department Head/Director/General Manager/Superintendent/etc. may determine that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements in this section. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure required. The determination of disclosure is a public record and shall be filed with the Form 700 and retained by the Filing Officer for public inspection.

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EXHIBIT B: CATEGORIES¶

Category I: Designated Employees in Must Disclose for the Following Types of Business Entity, Investment, Source of Income or Real Property:¶

- ¶
1. Real Property ¶
2. Pipes, valves, fittings, pumps, tanks, meters, etc.¶
3. Construction and building materials¶
4. Soil tests, compaction and other soil-related services¶
5. Engineering and architectural services¶
6. Agriculture¶
7. Construction firms¶
8. Well drilling service and equipment¶
9. Cathodic protection equipment services and supplies¶
10. Real estate leasing, sales and investments¶
11. Real estate appraisal firms¶
12. Environmental services¶
13. Petroleum products¶
14. Safety equipment and facilities¶
15. Water quality testing services and supplies¶
16. Chemicals¶
17. Electrical generating equipment, supplies and operations¶

¶  
Category II: Designated Employees Must Disclose for the Following Types of Business Entity, Investment, Source of Income or Real Property:¶

- ¶
1. All disclosure categories listed for other positions¶
2. Banks¶
3. Savings and loan associations¶
4. Securities dealers¶
5. Insurance agencies and companies¶
6. Financial audit and accounting firms¶
7. Computer and office equipment and furnishings, sales and services¶
8. Office and computer sales and service¶

... [1]

Minute action - 6/24/81; R1132 - 6/23/82; R1306 - 6/4/86; R1386 - 7/5/89; Minute action - 4/3/91; R1468 - 9/2/92; Motion - 7/21/93; Motion - 3/16/94; Motion - 4/20/94; R1519 - 9/21/94; R1564 - 9/18/96; Motion – 11/15/00; Motion – 11/20/02; Motion – 9/20/06; Motion 9/19/12; Motion 11/19/14

**§7006 ARTICLE 2, POLITICAL REFORM ACT**

Pursuant to Article 2 of the Political Reform Act (Government Code Section 87200 et seq.) those positions which involve the management of public investments are required to report their economic interests under the provisions of Article 2 rather than under MWDOC's Conflict of Interest Code, on Form 700. Those positions with MWDOC who are required to report their economic interests are as follows:

- General Manager
- Members of the Board of Directors
- Treasurer
- Deputy Treasurer
- Director of Finance

Filing requirements will be followed as listed under Administrative Code §7003.

R1519 - 9/21/94; R1538 - 4/19/95; R1564 - 9/18/96; Motion – 11/15/00; M-11/19/14

## EXHIBIT B: CATEGORIES

Category I: Designated Employees in Must Disclose for the Following Types of Business Entity, Investment, Source of Income or Real Property:

1. Real Property
2. Pipes, valves, fittings, pumps, tanks, meters, etc.
3. Construction and building materials
4. Soil tests, compaction and other soil-related services
5. Engineering and architectural services
6. Agriculture
7. Construction firms
8. Well drilling service and equipment
9. Cathodic protection equipment services and supplies
10. Real estate leasing, sales and investments
11. Real estate appraisal firms
12. Environmental services
13. Petroleum products
14. Safety equipment and facilities
15. Water quality testing services and supplies
16. Chemicals
17. Electrical generating equipment, supplies and operations

Category II: Designated Employees Must Disclose for the Following Types of Business Entity, Investment, Source of Income or Real Property:

1. All disclosure categories listed for other positions
2. Banks
3. Savings and loan associations
4. Securities dealers
5. Insurance agencies and companies
6. Financial audit and accounting firms
7. Computer and office equipment and furnishings, sales and services
8. Office and computer sales and service
9. Office services
10. Employment agencies
11. Temporary help agencies
12. Travel agencies
13. Printing, copying, reproduction, commercial art and microfilm services and equipment sales
14. Food services and supplies
15. General and special equipment leasing, sales and maintenance services
16. Periodicals, books and newspaper publishing and sales

17. Legal reporting services
18. Newspaper clipping services
19. Mail delivery service
20. Communications and telephone services and equipment sales and maintenance
21. Lodging and transportation services
22. Staff development training sales and services
23. Motor vehicles, parts, sales, service, leasing, maintenance
24. Surveying equipment services and supplies
25. Public utilities
26. Medical services, supplies and informational material
27. Right-of-way agent services
28. Securities
29. Consulting services (i.e., real estate, public relations, legal, energy and power, engineering, soils testing, water treatment, data processing, computers, employee training, advertising, travel, communications, design, art work, audio-visual, movie productions, planning, water pricing and demand, economists, desalting, environmental, appraisers, real estate sales and investment services, financial services, management services, legislative and lobbying services)
30. Electric energy
31. Security services
32. Title insurance and escrow services
33. Private water companies
34. Real estate development firms
35. Audio or visual aids
36. Educational equipment and supplies

The General Manager may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to comply fully with the disclosure requirements described in this section. Such determination shall include a description of the consultant's duties and, based upon that description, a statement of the extent of disclosure requirements. The General Manager's determination is a public record and shall be retained for public inspection in the same manner and location as this Conflict of Interest Code.



**ACTION ITEM**  
September 21, 2016

**TO:** Board of Directors

**FROM:** **Administration & Finance Committee**  
(Directors Thomas, Barbre, Finnegan)

Robert Hunter  
General Manager

Staff Contact: Karl Seckel

**SUBJECT: APPROVAL/RATIFICATION OF PARTICIPATION IN THE CENTER FOR  
DEMOGRAPHIC RESEARCH**

**STAFF RECOMMENDATION**

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Staff recommends the Board of Directors: Ratify participation in the Center for Demographic Research for fiscal years 2014/15 (\$39,961), 2015/16 (\$39,739.50), and approve participation for fiscal year 2016/17 (\$39,971.50). These amounts were included in the budgets for each of the aforementioned fiscal years.

**COMMITTEE RECOMMENDATION**

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To be determined.

**SUMMARY**

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The Center for Demographic Research (CDR) produces estimates and projections of demographic variables in Orange County. CDR's demographic data and projections are the "official" ones within Orange County that are built into the overall SCAG forecast for Southern California. CDR is supported and overseen by several governmental agencies (Sponsors) under a Memorandum of Understanding (MOU). MWDOC has historically shared a Sponsorship with OCWD so that each pays only half dues. Staff recommends continuation of this arrangement. The latest MOU (including Amendment #1 and #2 which are renewed annually) covers fiscal years 2014-15, 2015-16, and 2016-17; MWDOC's contributions would be \$39,961, \$39,739.50, and \$39,971.50, respectively.

<b>Budgeted (Y/N): Yes</b>	Budgeted amount: \$39,972
<b>Action item amount: \$39,972</b>	Line item:
<b>Fiscal Impact (explain if unbudgeted):</b> These funds were budgeted in each of the 2014-15 and 2015-16 budgets, as well as the current budget.	

The current membership includes:

- OC Transportation Authority
- OC Council of Governments
- County of Orange
- OC Sanitation District
- Transportation Corridor Agencies
- Southern California Association of Governments
- MWDOC
- OCWD
- OC LAFCO (affiliate member/non-voting)

CDR's regular products include:

- Orange County Progress Report, annual
- Orange County Projections OCP-2016 (demographic projections out to Year 2040)
- Orange County Facts and Figures
- Orange County Profiles (a quarterly on OC demographic issues)
- Housing Inventory
- Population, Housing, Employment by Transportation Analysis Zones
- Census Data
- Disaggregate of OCP-2016 to Special District Sponsor Agencies

In addition to its regular products, CDR contracts for specific projects with a variety of public agencies. CDR's charges are less than private sector charges because CDR uses graduate student labor.

CDR is supported and overseen by several governmental agencies that have joined in a Memorandum of Understanding (MOU) to create the CDR Management Oversight Committee. Payment of dues entitles representation on the Committee. MWDOC and Orange County Water District (OCWD) shared a single Sponsorship under the existing MOU that expires 6/30/10. Our current Representative on the CDR Management Oversight Committee is Joan Finnegan; she is backed up by Director Brett Barbre.

**MEMORANDUM OF UNDERSTANDING**  
**by and between**  
**ORANGE COUNTY INTERESTS**  
**and**  
**CALIFORNIA STATE UNIVERSITY, FULLERTON AUXILIARY SERVICES**  
**CORPORATION**  
**for the**  
**CONTINUED OPERATION OF THE CENTER FOR DEMOGRAPHIC RESEARCH**  
**AT CALIFORNIA STATE UNIVERSITY, FULLERTON**

This Memorandum of Understanding ("MOU") is entered into between the County of Orange, Transportation Corridor Agencies, Orange County Sanitation District, Orange County Transportation Authority, Municipal Water District of Orange County, Orange County Water District, Orange County Council of Governments, and Southern California Association of Governments ("SPONSORS"); the Orange County Local Agency Formation Commission ("CONTRIBUTING PARTNERS") and the CSU Fullerton Auxiliary Services Corporation, ("ASC"), which is a 501 (c)3 California corporation organized under California law as an auxiliary organization of California State University, Fullerton ("CSUF"). This MOU is for the development of demographic data and related support products. Obligations and rights specified for CSUF in the MOU shall be exercised by the ASC.

**WHEREAS**, the development of demographic and related information for Orange County is a vital data source used for a wide range of local, subregional and regional applications, including, transportation infrastructure planning, facilities planning and timing, development of fee programs, bond revenue stream analysis, general planning and other applications; and

**WHEREAS**, a number of primary users of data in Orange County have recognized the benefit of having a local area expertise in developing demographic projections and associated products; and

**WHEREAS**, these SPONSORS, CONTRIBUTING PARTNERS, and California State University, Fullerton agree on the importance of having a single entity in Orange County developing demographic products and providing such products to data users; and

**WHEREAS**, these agencies also desire to establish a long-term process which allows each individual agency participation in the development and review of demographic products; and

**WHEREAS**, the Center for Demographic Research located at CSUF provides an opportunity to place demographic activities in a setting that accomplishes SPONSORS' and CONTRIBUTING PARTNERS' objectives and provides augmented educational opportunities for CSUF; and

**WHEREAS**, CSUF will be listed as a "SPONSOR" based upon their financial contribution as outlined in the budget in Attachment 1 and in-kind contributions for the balance of the remaining Sponsor seat; and

**WHEREAS**, the SPONSORS and CSUF have worked cooperatively in supporting and organizing the Center for Demographic Research for eighteen years and wish to continue their cooperation; and

**WHEREAS**, the CONTRIBUTING PARTNERS wish to participate in supporting the Center for Demographic Research beginning in Fiscal Year 2014/2015; and

**NOW, THEREFORE, IT IS RESOLVED** that the SPONSORS, CONTRIBUTING PARTNERS, and the ASC agree as follows:

I. The SPONSORS and CONTRIBUTING PARTNERS will fund the Center for Demographic Research for the next three years, subject to an annual review and two one-year options by the SPONSORS and CONTRIBUTING PARTNERS, for an annual total fee as set forth in Item IV below and Attachment 1.

II. Process and Structure

A. Orange County Projections

The Orange County Council of Governments (OCCOG) will be responsible for the approval of the Orange County Projections at the Regional Statistical Area level and subsequent to that action the County of Orange will approve the Orange County Projections. The OCCOG will work with CDR staff to integrate the Orange County Projections as approved into the Southern California Association of Governments (SCAG) Regional Growth Forecast. Sponsors will make good faith efforts to use the Orange County Projections data in all future forecasting and planning efforts.

B. Management Oversight

The Management Oversight Committee shall meet at least four (4) times each year to (1) consider policy matters associated with the operations of the Center for Demographic Research, (2) review products status and activities which are part of the core Work Program, (3) review the Center for Demographic Research's financial status and status of annual MOU signatures, (4) set CDR budget and modify staff salaries funded by this MOU (5) consider requests from additional agencies wishing to become sponsors or contributing partners, (6) modify budget and work program upon addition or termination of a sponsor or contributing partner, (7) address other matters vital to the function of the Center for Demographic Research, and (8) undertake additional tasks as requested by the SPONSORS.

The Management Oversight Committee will be comprised of staff representing the SPONSORS, CONTRIBUTING PARTNERS and CSUF. Each SPONSOR will have one voting member of equal standing on the Management Oversight Committee including one member jointly representing the Municipal Water

District of Orange County and the Orange County Water District; each CONTRIBUTING PARTNER will have one non-voting Ex-Officio member. The designees from each SPONSOR, CONTRIBUTING PARTNER, and the university shall be named by July 1 of each year. An organization may also designate an individual(s) to serve as an alternate member of the Management Oversight Committee. The committee chair and vice-chair will be elected for a three-year term.

C. Technical Oversight:

The Technical Advisory Committee provides technical guidance and input into the development of each product produced under this MOU before they are reviewed by the Management Oversight Committee. The Technical Advisory Committee advises the Director of the Center for Demographic Research, as well as reports to the Management Oversight Committee. The Committee will include one voting representative from each SPONSOR including a member representing the Municipal Water District of Orange County and the Orange County Water District; each CONTRIBUTING PARTNER will have one non-voting Ex-Officio member. University participation on the Technical Advisory Committee will include at least one voting member from CSUF, and one voting member each from the University of California, Irvine and Chapman University. The Director of the Center for Demographic Research will coordinate with research centers at these universities to ensure data consistency. The designees from each SPONSOR, CONTRIBUTING PARTNER, and agency shall be named by July 1 of each year. The committee chair and vice-chair will be elected for a three-year term.

The Technical Advisory Committee shall schedule at least four (4) meetings each year. It will (1) provide a report to the Management Oversight Committee summarizing its meetings, (2) provide advice on the approach, techniques, data sources and methods used to develop new products, (3) facilitate the acquisition of data necessary to produce products, (4) provide suggestions on the interpretation and analysis incorporated into deliverables, (5) provide input on assumptions for the development of the growth projections, (6) provide review of deliverables prior to approval by the Management Oversight Committee and (7) undertake other tasks as identified by the Management Oversight Committee.

D. Transportation Modeling Data

The Orange County Transportation Authority (OCTA) will be responsible for the approval of all transportation modeling variables used in the Orange County Transportation Analysis Model (OCTAM) at the Traffic Analysis Zone level. The transportation modeling variables shall be consistent with the Orange County Projections, as approved by the Orange County Council of Governments and the County of Orange at the Regional Statistical Area Level. The OCTA and Southern California Association of Governments (SCAG) will exercise user agreements for their consultants to access the transportation modeling variables.

### III. Duration and Terminations

This agreement will become effective upon execution and ends on June 30, 2017. A review of the performance of the Center for Demographic Research in meeting its obligations under this MOU will be conducted by the Management Oversight Committee throughout the term July 2014 through June 2017. This MOU may be extended and/or amended by mutual agreement of all signatories.

A party may terminate its participation under this MOU by giving each of the other parties sixty (60) days written notice thereof. Upon said notice of termination, the SPONSOR or CONTRIBUTING PARTNER terminating its participation shall pay the balance of fees owed by the SPONSOR or CONTRIBUTING PARTNER for that given fiscal year. Each fiscal year, the SPONSORS and CONTRIBUTING PARTNERS shall review and approve in writing the MOU, work program, and funding arrangement. Such written approval shall constitute a SPONSOR'S or CONTRIBUTING PARTNER'S agreement to participate in this Agreement. In the event that ASC wishes to terminate its participation, it shall reimburse the SPONSORS and CONTRIBUTING PARTNERS any advance payments, less an amount to cover expenses related to work in progress and less costs reasonably necessary to effect such termination. If a party wishes to withdraw from the agreement, said notice shall be affected by delivery of such notice in person or by depositing said notice in the United States mail, registered or certified mail, return receipt required, postage prepaid.

### IV. Funding and Schedule

Respective fees shall be as follows for the following fiscal year:

<b>Payment Schedule for 2014-2017</b>	<b>2014-2015</b>	<b>2015-2016</b>	<b>2016-2017</b>	<b>Three Year Total</b>
Orange County Transportation Authority	\$79,922.00	\$79,481.00	\$79,941.00	\$239,344.00
County of Orange	\$79,922.00	\$79,481.00	\$79,941.00	\$239,344.00
Orange County Council of Governments	\$79,922.00	\$79,481.00	\$79,941.00	\$239,344.00
Orange County Sanitation District	\$79,922.00	\$79,481.00	\$79,941.00	\$239,344.00
Transportation Corridor Agencies	\$79,922.00	\$79,481.00	\$79,941.00	\$239,344.00
Southern California Association of Governments	\$79,922.00	\$79,481.00	\$79,941.00	\$239,344.00
Municipal Water District of Orange County	\$39,961.00	\$39,739.50	\$39,971.50	\$119,672.00
Orange County Water District	\$39,961.00	\$39,739.50	\$39,971.50	\$119,672.00
Orange County Local Agency Formation Commission	\$15,000.00	\$15,000.00	\$15,000.00	\$45,000.00
<b>TOTAL</b>	<b>\$574,454.00</b>	<b>\$571,365.00</b>	<b>\$574,589.00</b>	<b>\$1,720,408.00</b>

Payments shall be made in accordance with invoicing policies of the ASC according to the schedule below. SPONSORS and CONTRIBUTING PARTNERS will be invoiced at the beginning of each quarter. Quarterly payments equal to 25% of the annual fees shall follow invoices submitted according to the calendar below:

Fiscal Year 2014/2015:	July 2014, October 2014, January 2015, April 2015
Fiscal Year 2015/2016:	July 2015, October 2015, January 2016, April 2016
Fiscal Year 2016/2017:	July 2016, October 2016, January 2017, April 2017

SPONSORS and CONTRIBUTING PARTNERS shall pay one-quarter of their annual fees upon receipt of said invoices or may prepay for an entire fiscal year. Prepayment does not imply a discounted rate.

V. Administrative Representatives

- A. The Principal Investigator for the operations and management of the Center for Demographic Research and the conduct of this MOU is Deborah Diep, Director. The Assistant Director, Scott Martin, will serve as the Principal Investigator in the Director's absence. They are authorized to negotiate supplemental services with the SPONSORS, CONTRIBUTING PARTNERS, and Non-sponsors as noted in Section VII. Denise Bell is designated as the administrative representative for the ASC. Should the Principal Investigators become unavailable for any reason, no other Principal Investigator shall be chosen by CSUF or the ASC without the approval of the SPONSORS. Furthermore, the ASC agrees that the Management Oversight Committee shall make the recommendation on the selection of the Director or interim Director of the Center for Demographic Research and no Director or interim Director shall be appointed without approval of the Management Oversight Committee. The Management Oversight Committee will serve as the search committee if a search committee for the Director is required by the ASC.
- B. Equipment and furniture purchased by ASC under the terms of this MOU shall remain the property of the SPONSORS. In the event that the Center for Demographic Research is disbanded, the equipment remains the property of the SPONSORS and the Management Oversight Committee shall determine its disposition.
- C. Databases and applications developed and maintained for the Center for Demographic Research purposes shall remain under control of the SPONSORS. In the event that Center for Demographic Research is relocated from CSUF, all Center for Demographic Research functions and designations shall accompany the Center for Demographic Research.

VI. Additional Sponsorships and Revenues

Other agencies and entities can become sponsors or contributing partners of the Center for Demographic Research with unanimous agreement among the SPONSORS as determined by a vote of the Management Oversight Committee. Adjustments in sponsor fees found necessary resulting from the addition of sponsors shall be

determined by the Management Oversight Committee with consultation from the Center for Demographic Research Principal Investigators.

The disposition of additional revenues generated through additional sponsors, and the sale of products and services to non-sponsors shall be determined by the Management Oversight Committee. The additional funds shall be prorated according to the respective sponsor fee. SPONSORS shall have the option of expending their share of the additional funds on CDR activities, products or equipment or having the funds returned to the SPONSORS at the end of the fiscal year.

## VII. Products and Deliverables

- A. The Center for Demographic Research will produce the identified core Demographic Products and Services as listed in Attachment 2 and described in Attachment 3. Each SPONSOR will receive ten (10) copies in printed form and one (1) copy of estimates and projections in electronic form.
- B. The SPONSORS and CONTRIBUTING PARTNERS have the right to request supplemental products and support services from the Center for Demographic Research through a purchase order. Projects above the amount of \$25,000 shall be approved by the ASC. Such purchases may be entered into if the SPONSOR or CONTRIBUTING PARTNER agrees to pay ASC all additional costs resulting from the additional products or services, including an indirect cost of 25%, and if the activities do not interfere with the normal functioning of the CDR. If requests for additional products or services require interference with the normal functioning of the CDR as determined by the Management Oversight Committee or additional resources from the CDR's basic budget the proposal for such products and services will be forwarded to the Management Oversight Committee for their advice and consent prior to finalization of the agreement. In all cases, supplemental work for SPONSORS and CONTRIBUTING PARTNERS shall be assessed indirect costs of 25%.
- C. Non-sponsors can contract with the Center for Demographic Research through the ASC for its services or obtain supplemental products and support services from the Center for Demographic Research through a Non-sponsor purchase order. A list of these projects will be submitted to the MOC on a quarterly basis. If the Director assesses a proposed project contains a conflict of interest, conflict of time commitment, or interference with the normal functioning of CDR, the Management Oversight Committee will be informed of the request for services and will review it for any potential conflicts. The Director shall notify the Management Oversight Committee of any such proposed agreement and provide the committee with draft text and budget, before the intended start of work. The Management Oversight Committee shall review the proposed project for possible conflicts of interests, conflicts of time commitment, and budgetary adequacy. The Management Oversight Committee may at its discretion impose a surcharge of funds to be used at its discretion. Action on these matters may be taken only with

the concurrence of a majority of the members of the Management Oversight Committee and all such supplemental work for Non-sponsors shall be assessed normal indirect costs of 25%.

- D. Use of revenues generated by the sale of products produced by the Center for Demographic Research shall be determined by the Management Oversight Committee. A quarterly report on product sales will be presented to the Management Oversight Committee.
- E. Additional projects should not adversely affect the schedule of deliverables unless otherwise agreed to by the Management Oversight Committee.

#### VIII. Sponsorship

This Agreement shall be signed by all SPONSORS and CONTRIBUTING PARTNERS by June 30, 2014 with the exception of the Southern California Association of Governments. The Southern California Association of Governments shall sign this Agreement by September 30, 2014. If all SPONSORS and CONTRIBUTING PARTNERS listed in Section XVIII do not sign by September 30, 2014, the work program and budget will be modified to reflect the committed funding. If any SPONSOR or CONTRIBUTING PARTNER does not sign this Agreement, the funding amounts of the remaining SPONSORS and CONTRIBUTING PARTNERS will not change. The remaining SPONSORS and CONTRIBUTING PARTNERS are not required to make up the difference in the reduced budget. Any SPONSOR or CONTRIBUTING PARTNER listed as an ORANGE COUNTY INTEREST that does not sign this Agreement forfeits all rights, services, and privileges as a CDR SPONSOR or CONTRIBUTING PARTNER unless otherwise negotiated. A formal status report on execution will be delivered at each Management Oversight Committee meeting until all SPONSORS and CONTRIBUTING PARTNERS sign this Agreement.

#### IX. Liability and Insurance

Each party to this MOU hereby assumes any and all risks for personal injury and property damage attributable to the negligent acts or omissions of that party and the officers, employees, and agents thereof. ASC warrants that it has adequate Worker's Compensation Insurance and liability insurance for its own employees. The ASC, the SPONSORS (the County of Orange, Transportation Corridor Agencies, Orange County Sanitation District, Orange County Transportation Authority, Municipal Water District of Orange County, Orange County Water District, Orange County Council of Governments, and Southern California Association of Governments), and the CONTRIBUTING PARTNERS (the Orange County Local Agency Formation Commission) agree to indemnify and hold each other, their respective officers, employees, students, agents, harmless from and against all liability, loss, expense (including reasonable attorney's fees), or claims for injury or damages arising out of the performance of this Agreement but only in proportion to and to the extent such

liability, loss, expense, attorney's fees, or claims for injury or damages are caused by or result from negligent or intentional acts or omissions of the indemnifying party, its officers, employees, students or agents.

X. Independent Contractor

In the performance of all services and obligations under this agreement, SPONSORS, CONTRIBUTING PARTNERS, and ASC shall act as independent contractors. None shall be considered an employee or agent of the other.

XI. Use of Names

SPONSORS and CONTRIBUTING PARTNERS agree not to use the names of the ASC or CSUF in any commercial connection with work performed under this Agreement without prior written permission from the ASC. SPONSORS and CONTRIBUTING PARTNERS may use said names in ordinary internal business reports concerning this Agreement and may use the names of the Center for Demographic Research and the Principal Investigators in non-commercial publicity announcing the results of the project.

ASC agrees not to use the names of SPONSORS and/or CONTRIBUTING PARTNERS in any commercial connection with this work without prior written permission from SPONSORS and/or CONTRIBUTING PARTNERS. ASC may use SPONSORS' and/or CONTRIBUTING PARTNERS' name in ordinary internal business reports concerning this agreement and in non-commercial publicity announcing the awarding of the contract.

The provisions of this Section of the Agreement shall survive for two (2) years beyond any termination date specified in Section III or any extension thereof.

XII. Force Majeure

SPONSORS, CONTRIBUTING PARTNERS, and ASC shall not be liable or deemed to be in default for any delay or failure in performance under this Agreement or interruption of services resulting, directly or indirectly, from acts of God, civil or military authority, acts of public enemy, strikes, labor disputes, or any similar cause beyond the reasonable control of SPONSORS, CONTRIBUTING PARTNERS, or ASC, provided the affected party notifies the other party of the delay in writing within ten days of the onset of the delay.

XIII. Assignment

This Agreement shall inure to the benefit of and be binding upon and enforceable by the parties and their successors and permitted assigns. However, neither party may assign any of its rights or obligations under this Agreement without the prior written consent of the other.

#### XIV. Modification and Waiver

None of the terms of the Agreement may be waived or modified except by an express agreement in writing signed by SPONSORS, CONTRIBUTING PARTNERS, and ASC. Modifications not documented in writing cannot be enforced. The failure or delay of either party in enforcing any of its rights under this Agreement shall not be deemed a continuing waiver or a modification by such party of such right.

#### XV. Governing Law

The validity and interpretation of this Agreement shall be governed by the laws of the State of California.

#### XVI. Federal Statutes Relating to Nondiscrimination

ASC will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S. C. sections 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S. C. section 794), which prohibits discrimination on the basis of handicaps; (d) Age discrimination Act of 1975, as amended (42 U.S.C. sections 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970 (P.O. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-d and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. section 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (I) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirement of any other federal nondiscrimination statute(s) which may apply to the application.

#### XVII. Notices

Notices under this agreement shall be considered to be given if delivered by first class mail to the following addresses:

##### For SPONSORS:

Carolyn McInerney  
County of Orange  
10 Civic Center Plaza, 3rd Floor  
Santa Ana, CA 92701

Gwenn Norton-Perry  
Orange County Council of Governments  
550 South Main Street  
P.O. Box 14184  
Orange, CA 92613-1584

James D. Herberg  
Orange County Sanitation District  
10844 Ellis Avenue  
P.O. Box 8127  
Fountain Valley, CA 92738-8127

Kurt Brotcke  
Orange County Transportation Authority  
550 South Main Street  
P.O. Box 14184  
Orange, CA 92613-1584

Hasan Ikhata  
Southern California Association of Governments  
818 West Seventh Street, 12<sup>th</sup> Floor  
Los Angeles, CA 90017-3435

Valarie McFall  
Transportation Corridor Agencies  
125 Pacifica, Suite 100  
Irvine, CA 92618-3304

Robert Hunter  
Municipal Water District of Orange County  
18700 Ward Street  
P.O. Box 20895  
Fountain Valley, CA 92728

Michael R. Markus  
Orange County Water District  
18700 Ward Street  
P.O. Box 8300  
Fountain Valley, CA 92728-8300

**For CONTRIBUTING PARTNERS:**

Carolyn Emery  
Orange County Local Agency Formation Commission  
12 Civic Center Plaza, Room 235  
Santa Ana, CA 92701

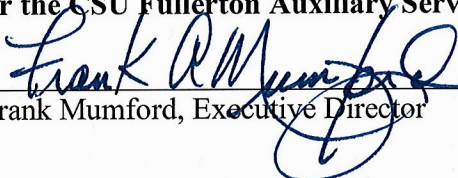
For CSU FULLERTON AUXILIARY SERVICES CORPORATION

Denise Bell, Director, Sponsored Programs  
CSUF Auxiliary Services Corporation  
2600 Nutwood Ave., Suite 250  
Fullerton, CA 92831

XVIII. Execution

**IN WITNESS THEREOF**, the SPONSORS, CONTRIBUTING PARTNERS, and the ASC have executed this Agreement on the date first herein written. This Agreement is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

5/16/14  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhata, Executive Director

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Neil Peterson, Chief Executive Officer

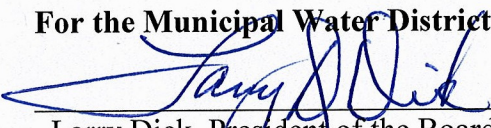
\_\_\_\_\_  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Neil Peterson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Municipal Water District of Orange County:**

  
\_\_\_\_\_  
Larry Dick, President of the Board

3-6-14  
Date

  
\_\_\_\_\_  
Robert Hunter, General Manager

3-6-14  
Date

**For the Orange County Water District:**

\_\_\_\_\_  
Shawn Dewane, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

\_\_\_\_\_  
Joe Carchio, Chair

\_\_\_\_\_  
Date

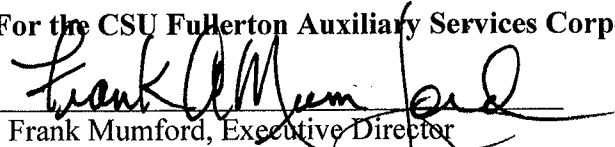
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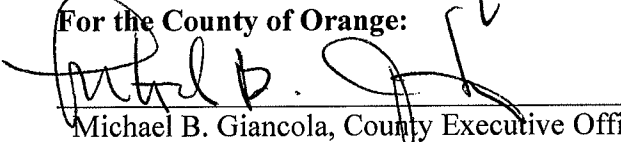
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**For the CSU Fullerton Auxiliary Services Corporation:**

  
Frank Mumford, Executive Director

  
Date 5/16/14

**For the County of Orange:**

  
Michael B. Giancola, County Executive Officer

  
Date 4/10/14

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
Jim Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhata, Executive Director

\_\_\_\_\_  
Date

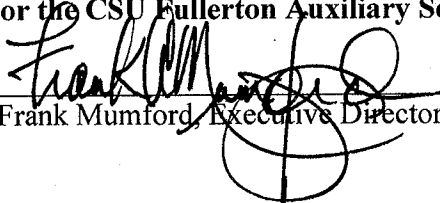
For CSU FULLERTON AUXILIARY SERVICES CORPORATION

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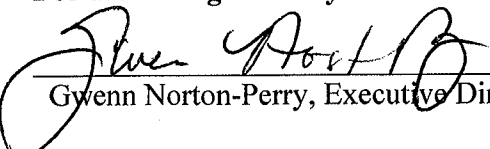
5/16/14  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

  
\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

2/27/14  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
Jim Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhata, Executive Director

\_\_\_\_\_  
Date

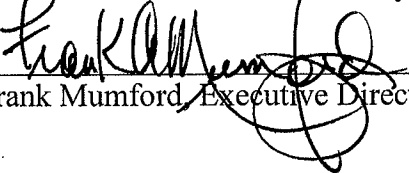
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**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

7/3/14  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

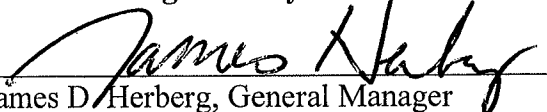
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Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

  
\_\_\_\_\_  
James D. Herberg, General Manager

05-29-2014  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhrata, Executive Director

\_\_\_\_\_  
Date

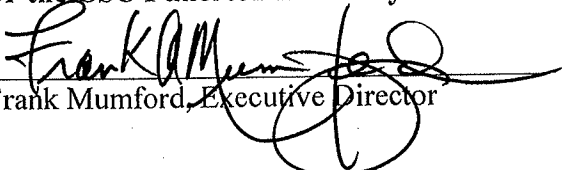
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Fullerton, CA 92831

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IN WITNESS THEREOF, the SPONSORS, CONTRIBUTING PARTNERS, and the ASC have executed this Agreement on the date first herein written. This Agreement is to be signed in counter parts.

For the CSU Fullerton Auxiliary Services Corporation:

  
Frank Mumford, Executive Director

7/3/14  
Date

For the County of Orange:

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

For the Orange County Council of Governments:

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

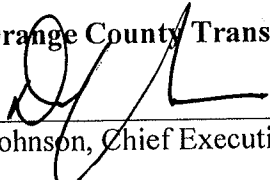
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Date

For the Orange County Sanitation District:

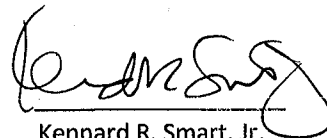
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Jim Herberg, General Manager

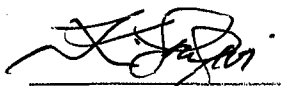
\_\_\_\_\_  
Date

For the Orange County Transportation Authority:

  
\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

6/23/14  
Date

  
Kennard R. Smart, Jr.  
General Counsel

  
\_\_\_\_\_  
Kia Mortazavi  
Executive Director, Planning

For the Southern California Association of Governments:

\_\_\_\_\_  
Hasan Ikhrata, Executive Director

\_\_\_\_\_  
Date

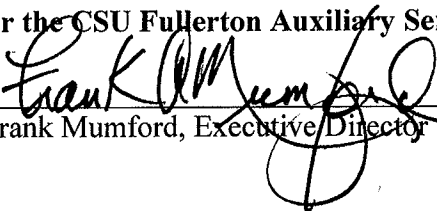
For CSU FULLERTON AUXILIARY SERVICES CORPORATION

Denise Bell, Director, Sponsored Programs  
CSUF Auxiliary Services Corporation  
2600 Nutwood Ave., Suite 250  
Fullerton, CA 92831

XVIII. Execution

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**For the CSU Fullerton Auxiliary Services Corporation:**

  
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Frank Mumford, Executive Director

7/3/14  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
Jim Herberg, General Manager


\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

  
\_\_\_\_\_  
Hasan Ikhrata, Executive Director

6/18/2014  
Date

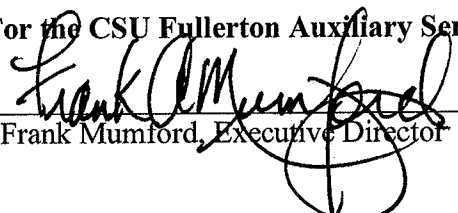
For CSU FULLERTON AUXILIARY SERVICES CORPORATION

Denise Bell, Director, Sponsored Programs  
CSUF Auxiliary Services Corporation  
2600 Nutwood Ave., Suite 250  
Fullerton, CA 92831

XVIII. Execution

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**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

5/16/14  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhrata, Executive Director

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

Michael A. Kraman  
Mike Kraman, Acting Chief Executive Officer

4/14/2014  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

Michael A. Kraman  
Mike Kraman, Acting Chief Executive Officer

4/14/2014  
Date

**For the Municipal Water District of Orange County:**

\_\_\_\_\_  
Joan Finnegan, President of the Board

\_\_\_\_\_  
Date

\_\_\_\_\_  
Robert Hunter, General Manager

\_\_\_\_\_  
Date

**For the Orange County Water District:**

\_\_\_\_\_  
Shawn Dewane, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

\_\_\_\_\_  
Joe Carchio, Chair

\_\_\_\_\_  
Date

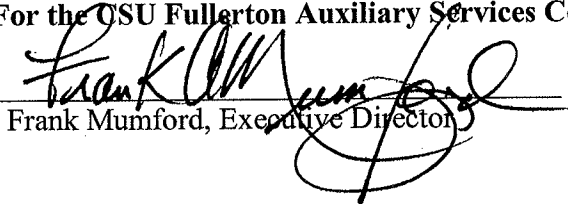
For CSU FULLERTON AUXILIARY SERVICES CORPORATION

Denise Bell, Director, Sponsored Programs  
CSUF Auxiliary Services Corporation  
2600 Nutwood Ave., Suite 250  
Fullerton, CA 92831

XVIII. Execution

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**For the CSU Fullerton Auxiliary Services Corporation:**

  
Frank Mumford, Executive Director

7/3/14  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhata, Executive Director

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Neil Peterson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Neil Peterson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Municipal Water District of Orange County:**

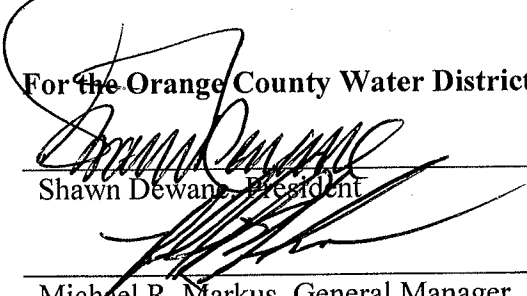
\_\_\_\_\_  
Joan Finnegan, President of the Board

\_\_\_\_\_  
Date

\_\_\_\_\_  
Robert Hunter, General Manager

\_\_\_\_\_  
Date

**For the Orange County Water District:**

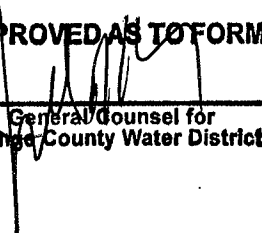
  
\_\_\_\_\_  
Shawn Dewane, President

  
\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**APPROVED AS TO FORM**

By   
\_\_\_\_\_  
General Counsel for  
Orange County Water District

**For the Orange County Local Agency Formation Commission:**

\_\_\_\_\_  
Joe Carchio, Chair

\_\_\_\_\_  
Date

Carolyn Emery  
Orange County Local Agency Formation Commission  
12 Civic Center Plaza, Room 235  
Santa Ana, CA 92701

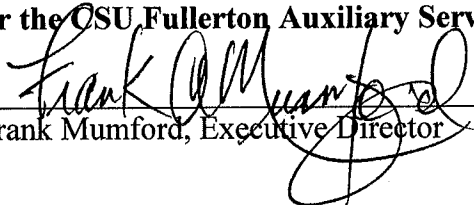
**For CSU FULLERTON AUXILIARY SERVICES CORPORATION**

Denise Bell, Director, Sponsored Programs  
CSUF Auxiliary Services Corporation  
2600 Nutwood Ave., Suite 250  
Fullerton, CA 92831

**XVIII. Execution**

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**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

6/5/14  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

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Gwenn Norton-Perry, Executive Director

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Jim Herberg, General Manager

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**For the Orange County Transportation Authority:**

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Darrell Johnson, Chief Executive Officer

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Date

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\_\_\_\_\_  
Hasan Ikhata, Executive Director  
**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Date

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Neil Peterson, Chief Executive Officer

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Date

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Joan Finnegan, President of the Board

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\_\_\_\_\_  
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Shawn Dewane, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

  
\_\_\_\_\_  
Joe Carchio, Chair

5/14/14  
Date

**Attachment 1: Center for Demographic Research  
Proposed Annual Budget: July 1, 2014 through June 30, 2017**

	<u>2014-15</u>	<u>2015-16</u>	<u>2016-17</u>
Director	\$98,717	\$98,717	\$98,717
Benefits	\$37,366	\$38,114	\$38,877
Assistant Director	\$78,780	\$78,780	\$78,780
Benefits	\$33,252	\$33,917	\$34,595
GIS/Analyst	\$60,713	\$60,713	\$60,713
Benefits	\$29,523	\$30,113	\$30,716
Administrative Assistant	\$45,031	\$45,031	\$45,031
Benefits	\$26,286	\$26,812	\$27,348
Demographic Analyst	\$30,500	\$30,500	\$30,500
Benefits	\$4,575	\$4,575	\$4,575
Research Assistants	\$9,620	\$9,620	\$9,620
Benefits	\$1,443	\$1,443	\$1,443
Supplies	\$7,000	\$7,000	\$7,000
Printing & Publications	\$8,900	\$3,900	\$3,900
Meetings, Mileage, & Training	\$500	\$500	\$500
Equipment	\$500	\$500	\$500
<b>Expenses</b>	<b>\$472,706</b>	<b>\$470,235</b>	<b>\$472,814</b>
25% Indirect Cost (IDC) / Overhead	\$118,177	\$117,559	\$118,204
40% of office space rent not paid through IDC (office space rent is exempt from overhead)	\$26,257	\$26,257	\$26,257
<b>Gross Total</b>	<b>\$617,140</b>	<b>\$614,051</b>	<b>\$617,275</b>
University will contribute: 40% of office space rent	\$26,257	\$26,257	\$26,257
HSS Dean will contribute \$16,429 to Administrative Asst salary	\$16,429	\$16,429	\$16,429
<b>Monetary Subtotal</b>	<b>\$42,686</b>	<b>\$42,686</b>	<b>\$42,686</b>
<b>NET CDR BUDGET TOTAL</b>	<b>\$574,454</b>	<b>\$571,365</b>	<b>\$574,589</b>

<b>Number of Seats</b>				
OCTA	1	\$79,922.00	\$79,481.00	\$79,941.00
COUNTY	1	\$79,922.00	\$79,481.00	\$79,941.00
OCCOG	1	\$79,922.00	\$79,481.00	\$79,941.00
OCSO	1	\$79,922.00	\$79,481.00	\$79,941.00
TCA	1	\$79,922.00	\$79,481.00	\$79,941.00
SCAG	1	\$79,922.00	\$79,481.00	\$79,941.00
MWDOC	0.5	\$39,961.00	\$39,739.50	\$39,971.50
OCWD	0.5	\$39,961.00	\$39,739.50	\$39,971.50
CSUF	1	see above	see above	see above
<b>CONTRIBUTING PARTNER: LAFCO</b>		<b>\$15,000.00</b>	<b>\$15,000.00</b>	<b>\$15,000.00</b>
<b>TOTAL</b>	<b>8</b>	<b>\$574,454.00</b>	<b>\$571,365.00</b>	<b>\$574,589.00</b>
Cost per Sponsorship Seat= Net Budget / 7 remaining seats		\$79,922.00	\$79,481.00	\$79,941.00

## Notes:

Director's salary includes transportation expenses.

IDC/Overhead covers direct and indirect support services of CSUF ASC and 60% of space rent.

University provides in-kind support in addition to monetary contributions listed above.

2013/2014 Sponsor seat = \$79,917

**Attachment 2**  
**Proposed CDR 2014-2017 Services and Products**

**REPORTS**

**Orange County Progress Report**

Produce an annual Orange County Progress Report. This document presents a unified and a comprehensive picture of Orange County and its 34 cities including its economic health, its demographic status and trends, and other information of interest to those who might wish to relocate to Orange County, do business in the County, or otherwise have an interest in the economic and demographic status and future of Orange County. A new two-page spread will be added displaying a map and table of city spheres of influence.

**Orange County Projections**

Complete OCP-2014 dataset and adoption. Following the adoption of **OCP-2014**, produce a report containing assumptions, tables, charts, maps, and methodology. Preparation and development of **OCP-2018** will begin during this three-year MOU. The OCP dataset contains population, housing, and employment projections by 2010 census tract, jurisdiction, Community Analysis Area, and Regional Statistical Area for a 25-year period.

**Orange County Facts and Figures**

Update quarterly the Orange County Facts and Figures. This document focuses on the most frequently asked questions about Orange County demographics and related information.

**PUBLIC INFORMATION SERVICES**

**Provide Public Information on Orange County Demographics as Requested**

Provide information in response to numerous requests made by government agencies, elected officials, private companies, non-profit organizations, schools, students, and citizens regarding demographic and related information about Orange County.

**Maintain CDR Homepage**

Update the information currently on the CDR homepage on a regular basis and expand as information becomes available.

**Provide Information and Analysis to News Media**

Provide information, description, interviews, and analysis of demographics to news media to assist them in doing stories where demographics is the focus.

**Update RHNA Allocations**

Develop allocations of 2012 RHNA for annexations and incorporations. Provide data support to local jurisdictions and SCAG during development of 2016 RHNA if any Orange County jurisdiction is subject to a 2016 RHNA. Provide data support to local jurisdictions and SCAG during development of the 2020 RHNA. Monitor RHNA development process to ensure Orange County data is incorporated.

## **Process Decennial Census and American Community Survey Data**

Process Bureau of Census data as it pertains to development of the Orange County Projections and at the request of CDR Sponsors.

### **DATA BASES**

#### **Housing Inventory System**

The Housing Inventory System (HIS) is a data system that includes all changes to each jurisdiction's housing stock. Data is collected at the address level and converted into a GIS database by geocoding. After geocoding, quality analysis efforts include tying activity to parcels. Depending on the jurisdiction, different documents are used to record added units including certificates of use and occupancy, utility release log, or building final documents. Demolitions and conversions are recorded through other recordation. Changes to the mobile home inventory will be verified with HCD. This project will be expanded to include an annual review and sign off process by each jurisdiction of their geocoded data to ensure accuracy.

#### **Census Data by Partial TAZ**

Update the correspondence tables of 2010 Census blocks to the TAZs after release of Census Bureau data and GIS shapefiles. As the various census files become available, transportation modeling variables and other key variables useful for projecting the modeling variables will be aggregated to TAZ.

#### **Calibrate Age Cohort Component, Shift-Share and Headship Rate Models**

Based on data from the Census Bureau, DOF, and EDD data, calibrate the models used to project county-wide population, housing and employment.

#### **Master Polygon File**

Update master polygon file based on the 2010 Census block file for use in development of OCP dataset and annual population and housing unit estimates. Allocate Census block data to TAZ, CAA, RSA, MWDOC, OCSD, and OCWD. Working with information from OC LAFCO, the master polygon file will be updated annually to include changes to agency boundaries: jurisdiction, MWDOC, OCSD, and OCWD.

#### **Population and Housing Estimates by TAZ (OCP)**

Estimates of population and housing by unit type will be developed using the 2010 Census and American Community Survey data at the split TAZ. From 2014 onwards, housing unit changes will be geocoded and aggregated to the TAZ. Annual estimates of population and housing will be produced by TAZ for maintenance of the OCP base file.

#### **Annual Population and Housing Estimates by Partial Census Tract and Sponsor Agency**

Estimates of population and housing units developed using the 2010 Census for each of the special district sponsors will be updated annually. From 2014 onwards, annual estimates (January 1) of population and housing will be produced by partial census tract and for each of the special district sponsor agencies: MWDOC, OCSD, and OCWD.

### **Project Total County Population, Housing, and Employment**

Draft assumptions for OCP-2018 will be developed and reviewed by the CDR TAC. These will then be incorporated into the macro level models used to project population, housing, and employment. The resulting projections will be reviewed by the CDR TAC and MOC and then brought to the OCCOG TAC and Board for approval as the controls totals for OCP-2018.

### **Projected Population, Housing and Employment by TAZ (OCP)**

Preparation and development of OCP-2018 will begin during this MOU cycle. Countywide population, housing, and employment for years 2020 through 2045 will be allocated to Traffic Analysis Zones split by jurisdictions. Following the allocation, extensive review and refinement will occur to assure the accuracy of the projections.

### **Secondary Variables by TAZ (OCTAM)**

The basic projected population, housing, and employment from OCP-2014 will be expanded to the 14 OCTAM variables. These variables will include resident population, group quarters population, employed residents, median income, occupied single family dwelling units, occupied multiple family dwelling units, household size, retail employment, service employment, K-12 public school employment, all other employment, school enrollment, university enrollment, and area. Data for the projection years will be updated in the next MOU cycle. Preparation of the base year OCTAM data for OCP-2018 will begin in this MOU cycle.

### **Consolidated Boundary and Annexation Program (CBAS)**

CDR staff will report annual jurisdictional boundary and feature changes through a new, voluntary program of the U.S. Census Bureau that allows for a consolidated annual review of jurisdiction boundaries. This review will be done using the official County Surveyor/OC LAFCO jurisdiction GIS boundary file. Orange County jurisdictions will be able to opt in or out of this CDR service annually. CDR will notify each participating jurisdiction and OC LAFCO of the outcome of the BAS review, i.e. whether there were any areas where jurisdiction boundaries needed to be corrected.

### **COMMITTEES**

#### **Participate in Sponsor Technical Advisory Committees as Requested**

Participate in appropriate Sponsor technical advisory committees including, OCCOG TAC, County's Demographic Steering Committee, OCTA's Modeling TAC, Orange County Sanitation District's Planning Advisory Committee, Water Use Efficiency Project Advisory Committee, and SCAG's Technical Working Group and Scenario Planning Model Working Group.

#### **Coordinate with SCAG and SCAG Committees**

This service revolves around the incorporation of OCP into the SCAG growth forecast. This service includes participation in SCAG expert panels and workshops to develop assumptions for their population and employment projections; monitoring the discussions relevant to the development of SCAG's growth forecast at SCAG policy committees and subregional coordinator meetings; and coordinating with relevant SCAG staff on this issue.

### **Coordinate with University Research Centers**

CDR staff will coordinate with UCI and Chapman University research centers to ensure consistency between the CDR's forecast and estimates and those produced by these institutes.

### **2014-2017 LAFCO FUNDED PROJECT: Sphere of Influence Estimates**

CDR will update its master polygon file on an annual basis with changes to the sphere of influence (SOI) boundaries. CDR will produce annual estimate of January 1 population and housing for each of the SOI polygons upon completion of the annual Housing Inventory System to maintain this information in preparation for the 2018-2022 OC LAFCO municipal service review cycle.

### **NEW PROJECTS**

#### **Boundary and Annexation Report**

Working with information provided by OC LAFCO, CDR staff will produce an annual report of the jurisdictional boundary changes. This multi-page report will contain a map of the year to year boundary changes and a table listing the area change and specific annexations and incorporations for each calendar year. Detailed annexation and vicinity maps from OC LAFCO's approved changes of organization documents will also be included in the report. For ease of reference and to make the information publically available, the report will be posted on OC LAFCO's website. Working with OC LAFCO over the three-year MOU cycle, CDR will attempt to build a historical reference collection of these reports going back to 2000 as information is available.

Attachment 3

Proposed Draft Work Program 7/2014 - 6/2017



● Startup  
▲ Milestone/Completion

**AMENDMENT No. 1 to Agreement No. C-4-1557**  
**by and between**  
**ORANGE COUNTY INTERESTS**  
**and**  
**CSU FULLERTON AUXILIARY SERVICES CORPORATION**  
**for the**  
**CONTINUED OPERATION OF THE CENTER FOR DEMOGRAPHIC RESEARCH**  
**AT CALIFORNIA STATE UNIVERSITY, FULLERTON**

This Amendment is pursuant to Agreement no. C-4-1557 effective July 1, 2014 between the County of Orange, Transportation Corridor Agencies, Orange County Sanitation District, Orange County Transportation Authority, Municipal Water District of Orange County, Orange County Water District, Orange County Council of Governments, and Southern California Association of Governments ("SPONSORS"); the Orange County Local Agency Formation Commission ("CONTRIBUTING PARTNERS") and the CSU Fullerton Auxiliary Services Corporation, ("ASC"), which is a 501 (c)3 California corporation organized under California law as an auxiliary organization of California State University, Fullerton ("CSUF").

This Amendment provides for the continuation of the Agreement no. C-4-1557. In accordance with Sections I and III of said Agreement, the first-year option period is exercised and performance period is hereby extended through June 30, 2016. Funding for the period July 1, 2015 through June 30, 2016 is obligated in accordance with said Agreement Section IV-Funding and Schedule.

**XVII. Notices**

Notices under this agreement shall be considered to be given if delivered by first class mail to the following addresses:

For SPONSORS:

Carolyn McInerney  
County of Orange  
10 Civic Center Plaza, 3rd Floor  
Santa Ana, CA 92701

Gwenn Norton-Perry  
Orange County Council of Governments  
3028 Summitview Lane  
Chino Hills, CA 91709

Valarie McFall  
Transportation Corridor Agencies  
125 Pacifica, Suite 100  
Irvine, CA 92618-3304

James D. Herberg  
Orange County Sanitation District  
10844 Ellis Avenue  
Fountain Valley, CA 92738-8127

Kurt Brotcke  
Orange County Transportation Authority  
550 South Main Street  
P.O. Box 14184  
Orange, CA 92613-1584

Robert Hunter  
Municipal Water District of Orange County  
18700 Ward Street  
P.O. Box 20895  
Fountain Valley, CA 92728

Michael R. Markus  
Orange County Water District  
18700 Ward Street  
P.O. Box 8300  
Fountain Valley, CA 92728-8300

Hasan Ikhrata  
Southern California Association of Governments  
818 West Seventh Street, 12<sup>th</sup> Floor  
Los Angeles, CA 90017-3435

For CONTRIBUTING PARTNERS:

Carolyn Emery  
Orange County Local Agency Formation Commission  
12 Civic Center Plaza, Room 235  
Santa Ana, CA 92701

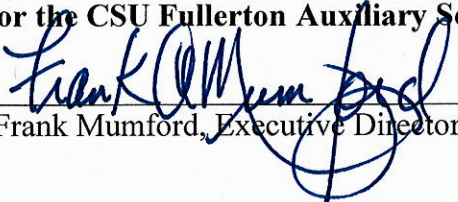
For CSU FULLERTON AUXILIARY SERVICES CORPORATION

Denise Bell, Director, Sponsored Programs  
CSUF Auxiliary Services Corporation  
2600 Nutwood Ave., Suite 250  
Fullerton, CA 92831

All other terms and conditions of the Agreement shall remain the same.

**IN WITNESS THEREOF**, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

4/1/15  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

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James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

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Michael Kraman, Chief Executive Officer

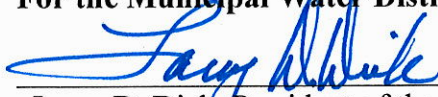
\_\_\_\_\_  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Municipal Water District of Orange County:**

  
\_\_\_\_\_  
Larry D. Dick, President of the Board

2-19-15  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Robert Hunter, General Manager

2-19-15  
\_\_\_\_\_  
Date

**For the Orange County Water District:**

\_\_\_\_\_  
Cathy Green, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhrata, Executive Director

\_\_\_\_\_  
Date

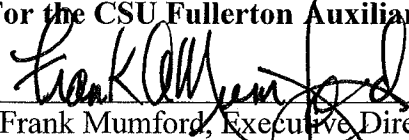
**For the Orange County Local Agency Formation Commission:**

\_\_\_\_\_  
Derek J. McGregor, Chair

\_\_\_\_\_  
Date

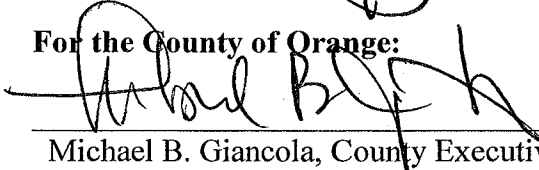
IN WITNESS THEREOF, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

4/1/15  
Date

**For the County of Orange:**

  
\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

2/24/15  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

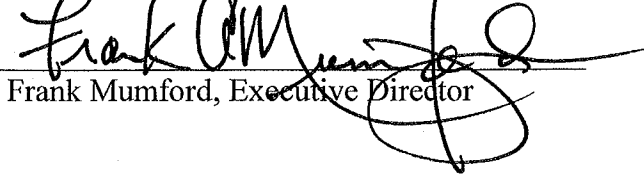
**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**IN WITNESS THEREOF**, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
Frank Mumford, Executive Director

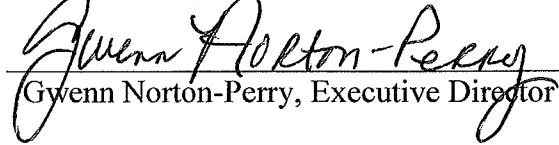
3/2/15  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

  
Gwenn Norton-Perry, Executive Director

2-19-15  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

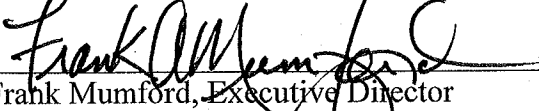
**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

IN WITNESS THEREOF, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

3/2/15  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

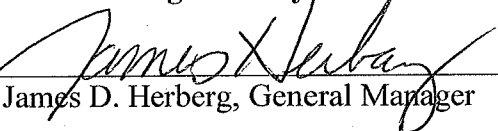
\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

  
\_\_\_\_\_  
James D. Herberg, General Manager

02-18-2014  
\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

IN WITNESS THEREOF, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

*for Denise Bee*  
\_\_\_\_\_  
Frank Mumford, Executive Director

*9/22/15*  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

*Virginia Abadessa*  
\_\_\_\_\_  
Virginia Abadessa, Director Contracts Administration  
And Materials Management

*1/27/15*  
\_\_\_\_\_  
Date

*Cassie A. Donich*  
\_\_\_\_\_  
James M. Donich  
General Counsel

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

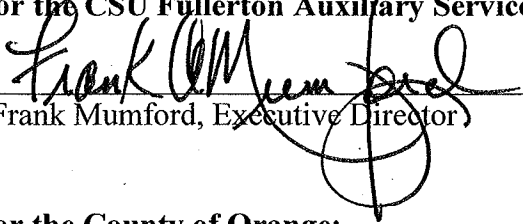
**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

IN WITNESS THEREOF, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

4/1/15  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

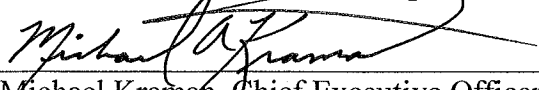
\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

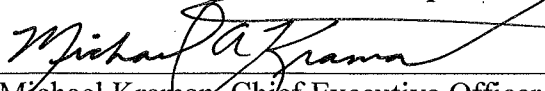
\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

  
\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

2/17/2015  
\_\_\_\_\_  
Date

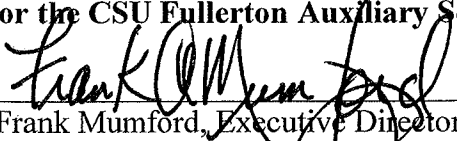
**For the San Joaquin Hills Transportation Corridor Agency:**

  
\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

2/17/2015  
\_\_\_\_\_  
Date

**IN WITNESS THEREOF**, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

4/1/15  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer


\_\_\_\_\_  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Municipal Water District of Orange County:**

  
\_\_\_\_\_  
Larry D. Dick, President of the Board

2-19-15  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Robert Hunter, General Manager

2-19-15  
\_\_\_\_\_  
Date

**For the Orange County Water District:**

\_\_\_\_\_  
Cathy Green, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhata, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

\_\_\_\_\_  
Derek J. McGregor, Chair

\_\_\_\_\_  
Date

IN WITNESS THEREOF, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

Danise R. Lee  
for Frank Mumford, Executive Director

9/22/15  
Date

**For the County of Orange:**

Michael B. Giancola, County Executive Officer  
Date

**For the Orange County Council of Governments:**

Gwenn Norton-Perry, Executive Director  
Date

**For the Orange County Sanitation District:**

James D. Herberg, General Manager  
Date

**For the Orange County Transportation Authority:**

Darrell Johnson, Chief Executive Officer  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

Michael Kraman, Chief Executive Officer  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

Michael Kraman, Chief Executive Officer  
Date

**For the Municipal Water District of Orange County:**

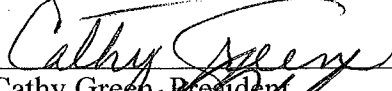
\_\_\_\_\_  
Larry D. Dick, President of the Board

\_\_\_\_\_  
Date


\_\_\_\_\_  
Robert Hunter, General Manager

\_\_\_\_\_  
Date

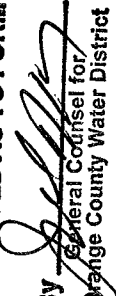
**For the Orange County Water District:**

  
\_\_\_\_\_  
Cathy Green, President

3-18-15  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Michael R. Markus, General Manager

03-18-15  
\_\_\_\_\_  
Date

APPROVED AS TO FORM  
By   
General Counsel for  
Orange County Water District

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhata, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

\_\_\_\_\_  
Derek J. McGregor, Chair

\_\_\_\_\_  
Date

IN WITNESS THEREOF, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

Dease' Blue  
for Frank Mumford, Executive Director

9/23/15  
Date

**For the County of Orange:**

Michael B. Giancola, County Executive Officer

                      
Date

**For the Orange County Council of Governments:**

Gwenn Norton-Perry, Executive Director

                      
Date

**For the Orange County Sanitation District:**

James D. Herberg, General Manager

                      
Date

**For the Orange County Transportation Authority:**

Darrell Johnson, Chief Executive Officer

                      
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

Michael Kraman, Chief Executive Officer

                      
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

Michael Kraman, Chief Executive Officer

                      
Date

**For the Municipal Water District of Orange County:**

\_\_\_\_\_  
Larry D. Dick, President of the Board

\_\_\_\_\_  
Date

\_\_\_\_\_  
Robert Hunter, General Manager

\_\_\_\_\_  
Date

**For the Orange County Water District:**


\_\_\_\_\_  
Cathy Green, President

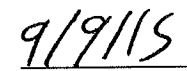
\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

  
\_\_\_\_\_  
Hasan Ikhrata, Executive Director

  
\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

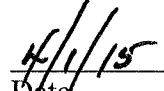
\_\_\_\_\_  
Derek J. McGregor, Chair

\_\_\_\_\_  
Date

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**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank Mumford, Executive Director

  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Michael B. Giancola, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Gwenn Norton-Perry, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Municipal Water District of Orange County:**

\_\_\_\_\_  
Larry D. Dick, President of the Board

\_\_\_\_\_  
Date

\_\_\_\_\_  
Robert Hunter, General Manager

\_\_\_\_\_  
Date

**For the Orange County Water District:**

\_\_\_\_\_  
Cathy Green, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

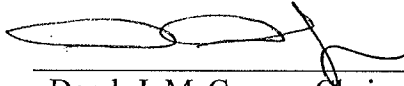
\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhrata, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

  
\_\_\_\_\_  
Derek J. McGregor, Chair

3-11-15  
Date



## Center for Demographic Research

### Sponsors:

California State  
University, Fullerton

County of Orange

Municipal Water  
District of  
Orange County

Orange County  
Council of  
Governments

Orange County  
Sanitation District

Orange County  
Transportation  
Authority

Orange County  
Water District

Southern California  
Association of  
Governments

Transportation  
Corridor Agencies

### Contributing Partner:

Orange County  
Local Agency  
Formation Commission

September 29, 2015

Karl Seckel  
Municipal Water District of Orange County  
18700 Ward Street  
Fountain Valley, CA. 92728

**Re: 2014-2017 MOU Agreement No. C-4-1557**  
***SIGNED AMENDMENT NO. 1 (2015-2016)***

Dear Karl,

Enclosed for your records are your one (1) original ink hard copy of the **SIGNED AMENDMENT NO. 1 (2015-2016)** to the **2014-2017 MOU AGREEMENT NO. C-4-1557**, seven (7) copies of the other sponsors' signed pages, including that of the CSUF Auxiliary Services Corporation (CSUF ASC), and one (1) signed page of the contributing partner (LAFCO).

If you have any questions, please feel free to contact me.

Sincerely,

Kathy Rinos  
Administrative Assistant  
Center for Demographic Research  
krinos@fullerton.edu  
(657) 278-4875

Email cc: Robert Hunter  
Joan Finnegan  
Larry Dick

Enclosures: Amendment No.1



# Center for Demographic Research

RECEIVED

FEB 17 2015

MWD OF OC

Sponsors:

California State  
University, Fullerton

County of Orange

Municipal Water  
District of  
Orange County

Orange County  
Council of  
Governments

Orange County  
Sanitation District

Orange County  
Transportation  
Authority

Orange County  
Water District

Southern California  
Association of  
Governments

Transportation  
Corridor Agencies

Contributing Partner:

Orange County  
Local Agency  
Formation Commission

February 13, 2015

Robert Hunter, General Manager  
Municipal Water District of Orange County  
18700 Ward Street  
Fountain Valley, CA 92728

*Re: 2014-2017 Memorandum of Understanding Agreement No. C-4-1557  
Amendment No. 1*

Dear Robert,

Enclosed for your signature and that of Larry D. Dick, President of the Board, are two (2) original copies of Amendment No. 1 and a copy of its 2014-2017 MOU Agreement No. C-4-1557 for your ease of reference.

Please return both signed copies of the Amendment to Kathy Rinos, Center for Demographic Research, 2600 Nutwood Avenue, Suite 750, Fullerton, CA 92831.

Upon receipt of both sets, CDR will obtain the signature of Frank Mumford, the CSUF ASC Executive Director. The CSUF ASC will retain one (1) original signed set and CDR will then return one (1) original signed set to you, along with copies of the other sponsors' signatures of the same Amendment.

If you have any questions, please contact me at (657) 278-4875 or by email at [krinos@fullerton.edu](mailto:krinos@fullerton.edu).

Sincerely,

Kathy Rinos  
Administrative Assistant

Email CC: Karl Seckel

Enclosures: Amendment No. 1 (2)  
Agreement No. C-4-1557

**AMENDMENT No. 2 to Agreement No. C-4-1557**  
**by and between**  
**ORANGE COUNTY INTERESTS**  
**and**  
**CSU FULLERTON AUXILIARY SERVICES CORPORATION**  
**for the**  
**CONTINUED OPERATION OF THE CENTER FOR DEMOGRAPHIC RESEARCH**  
**AT CALIFORNIA STATE UNIVERSITY, FULLERTON**

This Amendment is pursuant to Agreement no. C-4-1557 effective July 1, 2014 between the County of Orange, Transportation Corridor Agencies, Orange County Sanitation District, Orange County Transportation Authority, Municipal Water District of Orange County, Orange County Water District, Orange County Council of Governments, and Southern California Association of Governments ("SPONSORS"); the Orange County Local Agency Formation Commission ("CONTRIBUTING PARTNERS") and the CSU Fullerton Auxiliary Services Corporation, ("ASC"), which is a 501 (c)3 California corporation organized under California law as an auxiliary organization of California State University, Fullerton ("CSUF").

This Amendment provides for the continuation of the Agreement no. C-4-1557. In accordance with Sections I and III of said Agreement, the second-year option period is exercised and performance period is hereby extended through June 30, 2017. Funding for the period July 1, 2016 through June 30, 2017 is obligated in accordance with said Agreement Section IV-Funding and Schedule.

**XVII. Notices**

Notices under this agreement shall be considered to be given if delivered by first class mail to the following addresses:

For SPONSORS:

Carolyn McInerney  
County of Orange  
10 Civic Center Plaza, 3rd Floor  
Santa Ana, CA 92701

Marnie O'Brien Primmer  
Orange County Council of Governments  
600 S. Main Street, 9<sup>th</sup> Floor  
Orange, CA 92613

James D. Herberg  
Orange County Sanitation District  
10844 Ellis Avenue  
Fountain Valley, CA 92738-8127

Kurt Brotcke  
Orange County Transportation Authority  
550 South Main Street  
P.O. Box 14184  
Orange, CA 92613-1584

Valarie McFall  
Transportation Corridor Agencies  
125 Pacifica, Suite 100  
Irvine, CA 92618-3304

Robert Hunter  
Municipal Water District of Orange County  
18700 Ward Street  
P.O. Box 20895  
Fountain Valley, CA 92728

Michael R. Markus  
Orange County Water District  
18700 Ward Street  
P.O. Box 8300  
Fountain Valley, CA 92728-8300

Hasan Ikhrata  
Southern California Association of Governments  
818 West Seventh Street, 12<sup>th</sup> Floor  
Los Angeles, CA 90017-3435

For CONTRIBUTING PARTNERS:

Carolyn Emery  
Orange County Local Agency Formation Commission  
2677 N. Main Street, Suite 1050  
Santa Ana, CA 92705

For CSU FULLERTON AUXILIARY SERVICES CORPORATION

Denise Bell, Director, Office of Sponsored Programs  
CSUF Auxiliary Services Corporation  
2600 Nutwood Ave., Suite 250  
Fullerton, CA 92831

All other terms and conditions of the Agreement shall remain the same.

IN WITNESS THEREOF, the SPONSORING PARTIES and the CSUF ASC have executed this Amendment on the date first herein written. This Amendment is to be signed in counter parts.

**For the CSU Fullerton Auxiliary Services Corporation:**

  
\_\_\_\_\_  
Frank A. Mumford, Executive Director

  
\_\_\_\_\_  
Date

**For the County of Orange:**

\_\_\_\_\_  
Frank Kim, County Executive Officer

\_\_\_\_\_  
Date

**For the Orange County Council of Governments:**

\_\_\_\_\_  
Marnie O'Brien Primmer, Interim Executive Director

\_\_\_\_\_  
Date

**For the Orange County Sanitation District:**

\_\_\_\_\_  
James D. Herberg, General Manager

\_\_\_\_\_  
Date

**For the Orange County Transportation Authority:**

\_\_\_\_\_  
Darrell Johnson, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Foothill/Eastern Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**For the San Joaquin Hills Transportation Corridor Agency:**

\_\_\_\_\_  
Michael Kraman, Chief Executive Officer

\_\_\_\_\_  
Date

**For the Municipal Water District of Orange County:**

Wayne S. Osborne  
Wayne Osborne, President of the Board

3/2/2016  
Date

Robert Hunter  
Robert Hunter, General Manager

2-29-16  
Date

**For the Orange County Water District:**

\_\_\_\_\_  
Cathy Green, President

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michael R. Markus, General Manager

\_\_\_\_\_  
Date

**For the Southern California Association of Governments:**

\_\_\_\_\_  
Hasan Ikhata, Executive Director

\_\_\_\_\_  
Date

**For the Orange County Local Agency Formation Commission:**

\_\_\_\_\_  
Derek J. McGregor, Chair

\_\_\_\_\_  
Date



## Item No. 6a

### INFORMATION ITEM

September 14, 2016

**TO:** Board of Directors, MWDOC Water Facilities Corporation

**FROM:** Robert Hunter, General Manager      Staff Contact: Jeffrey Stalvey

**SUBJECT:** 2016 Annual Filing of Tax Compliance Reports for the MWDOC Water Facilities Corporation

#### STAFF RECOMMENDATION

---

Staff recommends that the Board of Directors authorize the annual filing of the Water Facilities Corporation tax compliance reports as presented.

#### COMMITTEE RECOMMENDATION

---

Committee recommends (to be determined at committee meeting).

#### SUMMARY

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To maintain the Water Facilities Corporation ("Corporation") as an active entity, the following tax compliance reports will be filed on behalf of the Corporation for FY 2015-16, upon review of the Administration & Finance Committee, and concurrence by the Corporation Board of Directors:

- Return of Organization Exempt from Income Tax (IRS Form 990EZ)
- California Exempt Organization Annual Information Return (CA Form 199)
- Annual Registration Renewal Fee Report to Attorney General of California (CA Form RRF-1)
- The Corporation Board of Directors approved filing these reports for FY 2014-15 on September 16, 2015.

#### Attachments

- IRS Form 990EZ
- CA Form 199
- CA Form RRF-1

Budgeted (Y/N): N/A	Budgeted Amount: N/A	Core __	Choice __
Action Item Amount: N/A	Line item:		
Fiscal Impact (explain if unbudgeted): N/A			

**MAIL TO:**

Registry of Charitable Trusts  
P.O. Box 903447  
Sacramento, CA 94203-4470  
Telephone: (916) 445-2021

**WEB SITE ADDRESS:**

<http://ag.ca.gov/charities/>

# ANNUAL REGISTRATION RENEWAL FEE REPORT TO ATTORNEY GENERAL OF CALIFORNIA

Sections 12586 and 12587, California Government Code  
11 Cal. Code Regs. sections 301-307, 311 and 312

Failure to submit this report annually no later than four months and fifteen days after the end of the organization's accounting period may result in the loss of tax exemption and the assessment of a minimum tax of \$800, plus interest, and/or fines or filing penalties as defined in Government Code section 12586.1. IRS extensions will be honored.



State Charity Registration Number 34561

Municipal Water District of Orange County-Water Facilities Corporation

Name of Organization  
18700 Ward Street

Address (Number and Street)  
Fountain Valley, Ca 92708

City or Town, State and ZIP Code

Check if:

☐ Change of address

☐ Amended report

Corporate or Organization No. D-0844386

Federal Employer I.D. No. 95-3500739

## ANNUAL REGISTRATION RENEWAL FEE SCHEDULE (11 Cal. Code Regs. sections 301-307, 311 and 312) Make Check Payable to Attorney General's Registry of Charitable Trusts

Gross Annual Revenue	Fee	Gross Annual Revenue	Fee	Gross Annual Revenue	Fee
Less than \$25,000	0	Between 100,001 and \$250,000	\$50	Between \$1,000,001 and \$10 million	\$150
Between \$25,000 and \$100,000	\$25	Between \$250,001 and \$1 million	\$75	Between \$10,000,001 and \$50 million	\$225
				Greater than \$50 million	\$300

**PART A - ACTIVITIES**

For your most recent full accounting period (beginning 07 / 01 / 2015 ending 06 / 30 / 2016) list:

Gross annual revenue \$ 0 Total assets \$ 0

**PART B - STATEMENTS REGARDING ORGANIZATION DURING THE PERIOD OF THIS REPORT**

**Note:** If you answer "yes" to any of the questions below, you must attach a separate sheet providing an explanation and details for each "yes" response. Please review RRF-1 instructions for information required.

	Yes	No
1. During this reporting period, were there any contracts, loans, leases or other financial transactions between the organization and any officer, director or trustee thereof either directly or with an entity in which any such officer, director or trustee had any financial interest?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2. During this reporting period, was there any theft, embezzlement, diversion or misuse of the organization's charitable property or funds?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3. During this reporting period, did non-program expenditures exceed 50% of gross revenues?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4. During this reporting period, were any organization funds used to pay any penalty, fine or judgment? If you filed a Form 4720 with the Internal Revenue Service, attach a copy.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5. During this reporting period, were the services of a commercial fundraiser or fundraising counsel for charitable purposes used? If "yes," provide an attachment listing the name, address, and telephone number of the service provider.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6. During this reporting period, did the organization receive any governmental funding? If so, provide an attachment listing the name of the agency, mailing address, contact person, and telephone number.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
7. During this reporting period, did the organization hold a raffle for charitable purposes? If "yes," provide an attachment indicating the number of raffles and the date(s) they occurred.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8. Does the organization conduct a vehicle donation program? If "yes," provide an attachment indicating whether the program is operated by the charity or whether the organization contracts with a commercial fundraiser for charitable purposes.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
9. Did your organization have prepared an audited financial statement in accordance with generally accepted accounting principles for this reporting period?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Organization's area code and telephone number ( 714 ) 593 - 5022

Organization's e-mail address istalvey@mwdoc.com

**I declare under penalty of perjury that I have examined this report, including accompanying documents, and to the best of my knowledge and belief, it is true, correct and complete.**

Jeffrey Stalvey

Deputy Treasurer

8/23/2016

Signature of authorized officer

Printed Name

Title

Date

Form **990-EZ****Short Form****Return of Organization Exempt From Income Tax**

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

OMB No. 1545-1150

**2015****Open to Public Inspection**Department of the Treasury  
Internal Revenue Service

▶ Do not enter social security numbers on this form as it may be made public.

▶ Information about Form 990-EZ and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

<b>A</b> For the 2015 calendar year, or tax year beginning July 1, 2015, and ending June 30, 2016	
<b>B</b> Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	<b>C</b> Name of organization <b>Municipal Water District of Orange County - Water Facilities Corporation</b> Number and street (or P.O. box, if mail is not delivered to street address) Room/suite <b>P.O. Box 20895</b> City or town, state or province, country, and ZIP or foreign postal code <b>Fountain Valley, California 92728</b>
<b>G</b> Accounting Method: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual Other (specify) ▶	<b>D</b> Employer identification number <b>95-3500739</b>
<b>I</b> Website: ▶ <a href="http://mwdoc.com">http://mwdoc.com</a>	<b>E</b> Telephone number <b>714-593-5022</b>
<b>J</b> Tax-exempt status (check only one) — <input type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527	<b>F</b> Group Exemption Number ▶
<b>K</b> Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other	<b>H</b> Check <input checked="" type="checkbox"/> if the organization is not required to attach Schedule B (Form 990, 990-EZ, or 990-PF).
<b>L</b> Add lines 5b, 6c, and 7b to line 9 to determine gross receipts. If gross receipts are \$200,000 or more, or if total assets (Part II, column (B) below) are \$500,000 or more, file Form 990 instead of Form 990-EZ . . . . . ▶ \$	

**Part I Revenue, Expenses, and Changes in Net Assets or Fund Balances** (see the instructions for Part I)Check if the organization used Schedule O to respond to any question in this Part I . . . . . ☐

<b>Revenue</b>	<b>1</b> Contributions, gifts, grants, and similar amounts received . . . . .	<b>1</b>	0
	<b>2</b> Program service revenue including government fees and contracts . . . . .	<b>2</b>	0
	<b>3</b> Membership dues and assessments . . . . .	<b>3</b>	0
	<b>4</b> Investment income . . . . .	<b>4</b>	0
	<b>5a</b> Gross amount from sale of assets other than inventory . . . . . <b>5a</b>		
	<b>b</b> Less: cost or other basis and sales expenses . . . . . <b>5b</b>		
	<b>c</b> Gain or (loss) from sale of assets other than inventory (Subtract line 5b from line 5a) . . . . . <b>5c</b>		
	<b>6</b> Gaming and fundraising events		
	<b>a</b> Gross income from gaming (attach Schedule G if greater than \$15,000) . . . . . <b>6a</b>		
<b>b</b> Gross income from fundraising events (not including \$ of contributions from fundraising events reported on line 1) (attach Schedule G if the sum of such gross income and contributions exceeds \$15,000) . . . . . <b>6b</b>			
<b>c</b> Less: direct expenses from gaming and fundraising events . . . . . <b>6c</b>			
<b>d</b> Net income or (loss) from gaming and fundraising events (add lines 6a and 6b and subtract line 6c) . . . . . <b>6d</b>			
<b>7a</b> Gross sales of inventory, less returns and allowances . . . . . <b>7a</b>			
<b>b</b> Less: cost of goods sold . . . . . <b>7b</b>			
<b>c</b> Gross profit or (loss) from sales of inventory (Subtract line 7b from line 7a) . . . . . <b>7c</b>		0	
<b>8</b> Other revenue (describe in Schedule O) . . . . . <b>8</b>		0	
<b>9</b> <b>Total revenue.</b> Add lines 1, 2, 3, 4, 5c, 6d, 7c, and 8 . . . . . ▶ <b>9</b>		0	
<b>Expenses</b>	<b>10</b> Grants and similar amounts paid (list in Schedule O) . . . . . <b>10</b>		
	<b>11</b> Benefits paid to or for members . . . . . <b>11</b>		
	<b>12</b> Salaries, other compensation, and employee benefits . . . . . <b>12</b>		
	<b>13</b> Professional fees and other payments to independent contractors . . . . . <b>13</b>		
	<b>14</b> Occupancy, rent, utilities, and maintenance . . . . . <b>14</b>		
	<b>15</b> Printing, publications, postage, and shipping . . . . . <b>15</b>		
	<b>16</b> Other expenses (describe in Schedule O) . . . . . <b>16</b>		
<b>17</b> <b>Total expenses.</b> Add lines 10 through 16 . . . . . ▶ <b>17</b>		0	
<b>Net Assets</b>	<b>18</b> Excess or (deficit) for the year (Subtract line 17 from line 9) . . . . . <b>18</b>		
	<b>19</b> Net assets or fund balances at beginning of year (from line 27, column (A)) (must agree with end-of-year figure reported on prior year's return) . . . . . <b>19</b>		
	<b>20</b> Other changes in net assets or fund balances (explain in Schedule O) . . . . . <b>20</b>		
	<b>21</b> Net assets or fund balances at end of year. Combine lines 18 through 20 . . . . . ▶ <b>21</b>		0

For Paperwork Reduction Act Notice, see the separate instructions.

Cat. No. 106421

Form **990-EZ** (2015)

Check if the organization used Schedule O to respond to any question in this Part II ☐

**Part III**      **Statement of Program Service Accomplishments** (see the instructions for Part III)

## Expenses

28		
	(Grants \$ ) If this amount includes foreign grants, check here . . . . ▶ <input type="checkbox"/>	28a 0
29		
	(Grants \$ ) If this amount includes foreign grants, check here . . . . ▶ <input type="checkbox"/>	29a 0
30		
	(Grants \$ ) If this amount includes foreign grants, check here . . . . ▶ <input type="checkbox"/>	30a 0
31	Other program services (describe in Schedule O) . . . . .	
	(Grants \$ ) If this amount includes foreign grants, check here . . . . ▶ <input type="checkbox"/>	31a 0
32	<b>Total program service expenses</b> (add lines 28a through 31a) . . . . . ▶	32 0

Check if the organization used Schedule O to respond to any question in this Part IV . . . . . ☐

Form **990-EZ** (2015)

**Part V Other Information** (Note the Schedule A and personal benefit contract statement requirements in the instructions for Part V) Check if the organization used Schedule O to respond to any question in this Part V ☐

	Yes	No
<b>33</b> Did the organization engage in any significant activity not previously reported to the IRS? If "Yes," provide a detailed description of each activity in Schedule O . . . . .		✓
<b>34</b> Were any significant changes made to the organizing or governing documents? If "Yes," attach a conformed copy of the amended documents if they reflect a change to the organization's name. Otherwise, explain the change on Schedule O (see instructions) . . . . .		✓
<b>35a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year from business activities (such as those reported on lines 2, 6a, and 7a, among others)? . . . . .		✓
<b>b</b> If "Yes," to line 35a, has the organization filed a Form 990-T for the year? If "No," provide an explanation in Schedule O . . . . .		✓
<b>c</b> Was the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization subject to section 6033(e) notice, reporting, and proxy tax requirements during the year? If "Yes," complete Schedule C, Part III . . . . .		✓
<b>36</b> Did the organization undergo a liquidation, dissolution, termination, or significant disposition of net assets during the year? If "Yes," complete applicable parts of Schedule N . . . . .		✓
<b>37a</b> Enter amount of political expenditures, direct or indirect, as described in the instructions ▶ <b>37a</b> . . . . .		
<b>b</b> Did the organization file <b>Form 1120-POL</b> for this year? . . . . .		✓
<b>38a</b> Did the organization borrow from, or make any loans to, any officer, director, trustee, or key employee or were any such loans made in a prior year and still outstanding at the end of the tax year covered by this return? . . . . .		✓
<b>b</b> If "Yes," complete Schedule L, Part II and enter the total amount involved . . . . . <b>38b</b> . . . . .		
<b>39</b> Section 501(c)(7) organizations. Enter: . . . . .		
<b>a</b> Initiation fees and capital contributions included on line 9 . . . . . <b>39a</b> . . . . .		
<b>b</b> Gross receipts, included on line 9, for public use of club facilities . . . . . <b>39b</b> . . . . .		
<b>40a</b> Section 501(c)(3) organizations. Enter amount of tax imposed on the organization during the year under: section 4911 ▶ . . . . . ; section 4912 ▶ . . . . . ; section 4955 ▶ . . . . .		
<b>b</b> Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in any section 4958 excess benefit transaction during the year, or did it engage in an excess benefit transaction in a prior year that has not been reported on any of its prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I . . . . .		✓
<b>c</b> Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Enter amount of tax imposed on organization managers or disqualified persons during the year under sections 4912, 4955, and 4958 . . . . . ▶ . . . . .		
<b>d</b> Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Enter amount of tax on line 40c reimbursed by the organization . . . . . ▶ . . . . .		
<b>e</b> All organizations. At any time during the tax year, was the organization a party to a prohibited tax shelter transaction? If "Yes," complete Form 8886-T . . . . .		✓
<b>41</b> List the states with which a copy of this return is filed ▶ . . . . .		
<b>42a</b> The organization's books are in care of ▶ <u>Hilary Chumplitazi</u> Telephone no. ▶ <u>714.593.5019</u> Located at ▶ <u>18700 Ward Street, Fountain Valley CA</u> ZIP + 4 ▶ <u>92708</u>		
<b>b</b> At any time during the calendar year, did the organization have an interest in or a signature or other authority over a financial account in a foreign country (such as a bank account, securities account, or other financial account)? If "Yes," enter the name of the foreign country: ▶ . . . . . See the instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		✓
<b>c</b> At any time during the calendar year, did the organization maintain an office outside the U.S.? . . . . . If "Yes," enter the name of the foreign country: ▶ . . . . .		✓
<b>43</b> Section 4947(a)(1) nonexempt charitable trusts filing Form 990-EZ in lieu of <b>Form 1041</b> —Check here <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the tax year . . . . . ▶ <b>43</b> . . . . .		
<b>44a</b> Did the organization maintain any donor advised funds during the year? If "Yes," Form 990 must be completed instead of Form 990-EZ . . . . .		✓
<b>b</b> Did the organization operate one or more hospital facilities during the year? If "Yes," Form 990 must be completed instead of Form 990-EZ . . . . .		✓
<b>c</b> Did the organization receive any payments for indoor tanning services during the year? . . . . .		✓
<b>d</b> If "Yes" to line 44c, has the organization filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . . .		✓
<b>45a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)? . . . . .		✓
<b>b</b> Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," Form 990 and Schedule R may need to be completed instead of Form 990-EZ (see instructions) . . . . .		✓

- 46 Did the organization engage, directly or indirectly, in political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I . . . . .

	Yes	No
46		✓

**Part VI Section 501(c)(3) organizations only**

All section 501(c)(3) organizations must answer questions 47–49b and 52, and complete the tables for lines 50 and 51.

Check if the organization used Schedule O to respond to any question in this Part VI . . . . . ☐

- 47 Did the organization engage in lobbying activities or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II . . . . .

	Yes	No
47		

- 48 Is the organization a school as described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E . . . . .

48		
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- 49a Did the organization make any transfers to an exempt non-charitable related organization? . . . . .

49a		
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- b If "Yes," was the related organization a section 527 organization? . . . . .

49b		
-----	--	--

- 50 Complete this table for the organization's five highest compensated employees (other than officers, directors, trustees and key employees) who each received more than \$100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and title of each employee	(b) Average hours per week devoted to position	(c) Reportable compensation (Forms W-2/1099-MISC)	(d) Health benefits, contributions to employee benefit plans, and deferred compensation	(e) Estimated amount of other compensation

- f Total number of other employees paid over \$100,000 . . . . . ▶

- 51 Complete this table for the organization's five highest compensated independent contractors who each received more than \$100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and business address of each independent contractor	(b) Type of service	(c) Compensation

- d Total number of other independent contractors each receiving over \$100,000 . . . . . ▶

- 52 Did the organization complete Schedule A? **Note:** All section 501(c)(3) organizations must attach a completed Schedule A . . . . . ☐ Yes ☐ No

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

<b>Sign Here</b>	Signature of officer		Date			
	Jeffrey D. Stalvey - Deputy Treasurer					
<b>Paid Preparer Use Only</b>	Print/Type preparer's name		Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
	Firm's name ▶		Firm's EIN ▶			
	Firm's address ▶		Phone no. ▶			
	May the IRS discuss this return with the preparer shown above? See instructions . . . . . <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No					

**2015****California Exempt Organization  
Annual Information Return****199**Calendar Year 2015 or fiscal year beginning (mm/dd/yyyy) 07/01/2015, and ending (mm/dd/yyyy) 06/30/2016

Corporation/Organization name

Municipal Water District of Orange County - Water Facilities Corporation

California corporation number

0844386

Additional information. See instructions.

FEIN

9 5 3 5 0 0 7 3 9

Street address (suite or room)

P.O. Box 20895

PMB no.

City

Fountain Valley

State

ca

Zip code

92728

Foreign country name

Foreign province/state/county

Foreign postal code

**A** First Return ..... ☐ Yes ☒ No

**B** Amended Return ..... ☐ Yes ☒ No

**C** IRC Section 4947(a)(1) trust ..... ☐ Yes ☒ No

**D** Final Information Return?  
☐ Dissolved ☐ Surrendered (Withdrawn) ☐ Merged/Reorganized  
 Enter date: (mm/dd/yyyy)      /      /     

**E** Check accounting method: (1) ☐ Cash (2) ☒ Accrual (3) ☐ Other

**F** Federal return filed? (1) ☐ 990T (2) ☐ 990PF (3) ☐ Sch H (990)  
 (4) ☒ Other 990 series

**G** Is this a group filing? See instructions. .... ☐ Yes ☒ No

**H** Is this organization in a group exemption ..... ☐ Yes ☒ No  
 If "Yes," what is the parent's name? \_\_\_\_\_

**I** Did the organization have any changes to its guidelines  
 not reported to the FTB? See instructions. .... ☐ Yes ☒ No

**J** If exempt under R&TC Section 23701d, has the organization  
 engaged in political activities? See instructions. .... ☐ Yes ☒ No

**K** Is the organization exempt under R&TC Section 23701g?.. ☐ Yes ☒ No  
 If "Yes," enter the gross receipts from nonmember sources .. \$ \_\_\_\_\_

**L** If organization is exempt under R&TC Section 23701d and  
 meets the filing fee exception, check box.  
 No filing fee is required. .... ☐

**M** Is the organization a Limited Liability Company?..... ☐ Yes ☒ No

**N** Did the organization file Form 100 or Form 109 to report  
 taxable income?..... ☐ Yes ☒ No

**O** Is the organization under audit by the IRS or has the IRS  
 audited in a prior year?..... ☐ Yes ☒ No

**P** Is federal Form 1023/1024 pending?..... ☐ Yes ☒ No  
 Date filed with IRS \_\_\_\_\_

**Part I Complete Part I unless not required to file this form. See General Instructions B and C.**

<b>Receipts and Revenues</b>	1	Gross sales or receipts from other sources. From Side 2, Part II, line 8. ....	1	0	00
	2	Gross dues and assessments from members and affiliates .....	2	0	00
	3	Gross contributions, gifts, grants, and similar amounts received .....	3	0	00
	4	Total gross receipts for filing requirement test. Add line 1 through line 3. <b>This line must be completed.</b> If the result is less than \$50,000, see General Instruction B. ....	4	0	00
	5	Cost of goods sold .....	5	00	
	6	Cost or other basis, and sales expenses of assets sold .....	6	00	
	7	Total costs. Add line 5 and line 6. ....	7	0	00
	8	Total gross income. Subtract line 7 from line 4. ....	8	0	00
<b>Expenses</b>	9	Total expenses and disbursements. From Side 2, Part II, line 18 .....	9	0	00
	10	Excess of receipts over expenses and disbursements. Subtract line 9 from line 8 .....	10	0	00
<b>Filing Fee</b>	11	Total payments .....	11	0	00
	12	Use tax. See General Instruction K .....	12	0	00
	13	Payments balance. If line 11 is more than line 12, subtract line 12 from line 11 .....	13	0	00
	14	Use tax balance. If line 12 is more than line 11, subtract line 11 from line 12 .....	14	0	00
	15	Filing fee \$10 or \$25. See General Instruction F. ....	15	0	00
	16	Penalties and Interest. See General Instruction J .....	16	0	00
	17	<b>Balance due.</b> Add line 12, line 15, and line 16. Then subtract line 11 from the result .....	17	0	00
<b>Sign Here</b>	Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.				
	Signature of officer ►	Title <u>Deputy Treasurer</u>	Date <u>8/23/2016</u>	<input checked="" type="checkbox"/> Telephone <u>( 714 ) 593-5022</u>	
<b>Paid Preparer's Use Only</b>	Preparer's signature ►	Date	Check if self-employed ► <input type="checkbox"/>	<input type="checkbox"/> PTIN <input type="checkbox"/> FEIN <input type="checkbox"/> Telephone <u>(      )</u>	
	Firm's name (or yours, if self-employed) and address				
	May the FTB discuss this return with the preparer shown above? See instructions ..... <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No				

**Part II Organizations with gross receipts of more than \$50,000 and private foundations regardless of amount of gross receipts — complete Part II or furnish substitute information.**

<b>Receipts from Other Sources</b>	<b>1</b> Gross sales or receipts from all business activities. See instructions . . . . .	●	<b>1</b>	0	00
	<b>2</b> Interest . . . . .	●	<b>2</b>		00
	<b>3</b> Dividends . . . . .	●	<b>3</b>		00
	<b>4</b> Gross rents . . . . .	●	<b>4</b>		00
	<b>5</b> Gross royalties . . . . .	●	<b>5</b>		00
	<b>6</b> Gross amount received from sale of assets (See Instructions) . . . . .	●	<b>6</b>		00
	<b>7</b> Other income. Attach schedule . . . . .	●	<b>7</b>		00
	<b>8</b> <b>Total</b> gross sales or receipts from other sources. Add line 1 through line 7. Enter here and on Side 1, Part I, line 1 . . . . .		<b>8</b>	0	00
<b>Expenses and Disbursements</b>	<b>9</b> Contributions, gifts, grants, and similar amounts paid. Attach schedule . . . . .	●	<b>9</b>		00
	<b>10</b> Disbursements to or for members . . . . .	●	<b>10</b>		00
	<b>11</b> Compensation of officers, directors, and trustees. Attach schedule . . . . .	●	<b>11</b>		00
	<b>12</b> Other salaries and wages . . . . .	●	<b>12</b>		00
	<b>13</b> Interest . . . . .	●	<b>13</b>		00
	<b>14</b> Taxes . . . . .	●	<b>14</b>		00
	<b>15</b> Rents . . . . .	●	<b>15</b>		00
	<b>16</b> Depreciation and depletion (See instructions) . . . . .	●	<b>16</b>		00
	<b>17</b> Other Expenses and Disbursements. Attach schedule . . . . .	●	<b>17</b>		00
	<b>18</b> <b>Total</b> expenses and disbursements. Add line 9 through line 17. Enter here and on Side 1, Part I, line 9 . . . . .		<b>18</b>	0	00

**Schedule L Balance Sheet**

	Beginning of taxable year		End of taxable year	
	(a)	(b)	(c)	(d)
<b>Assets</b>				
<b>1</b> Cash . . . . .		0	●	0
<b>2</b> Net accounts receivable . . . . .			●	
<b>3</b> Net notes receivable . . . . .			●	
<b>4</b> Inventories . . . . .			●	
<b>5</b> Federal and state government obligations . . . . .			●	
<b>6</b> Investments in other bonds . . . . .			●	
<b>7</b> Investments in stock . . . . .			●	
<b>8</b> Mortgage loans . . . . .			●	
<b>9</b> Other investments. Attach schedule . . . . .			●	
<b>10 a</b> Depreciable assets . . . . .				
<b>b</b> Less accumulated depreciation . . . . .	( )		( )	
<b>11</b> Land . . . . .			●	
<b>12</b> Other assets. Attach schedule . . . . .			●	
<b>13</b> <b>Total assets</b> . . . . .		0		0
<b>Liabilities and net worth</b>				
<b>14</b> Accounts payable . . . . .			●	
<b>15</b> Contributions, gifts, or grants payable . . . . .			●	
<b>16</b> Bonds and notes payable . . . . .			●	
<b>17</b> Mortgages payable . . . . .			●	
<b>18</b> Other liabilities. Attach schedule . . . . .				
<b>19</b> Capital stock or principal fund . . . . .			●	
<b>20</b> Paid-in or capital surplus. Attach reconciliation . . . . .			●	
<b>21</b> Retained earnings or income fund . . . . .			●	
<b>22</b> <b>Total liabilities and net worth</b> . . . . .		0		0

**Schedule M-1 Reconciliation of income per books with income per return**

Do not complete this schedule if the amount on Schedule L, line 13, column (d), is less than \$50,000.

<b>1</b> Net income per books . . . . .	●	0	<b>7</b> Income recorded on books this year not included in this return. Attach schedule . . . . .	●	0
<b>2</b> Federal income tax . . . . .	●		<b>8</b> Deductions in this return not charged against book income this year. Attach schedule . . . . .	●	0
<b>3</b> Excess of capital losses over capital gains . . . . .	●		<b>9</b> Total. Add line 7 and line 8 . . . . .		0
<b>4</b> Income not recorded on books this year. Attach schedule . . . . .	●		<b>10</b> Net income per return. Subtract line 9 from line 6 . . . . .		0
<b>5</b> Expenses recorded on books this year not deducted in this return. Attach schedule . . . . .	●				
<b>6</b> Total. Add line 1 through line 5 . . . . .		0			

**FEDERAL STATEMENTS**  
Municipal Water District of Orange County  
Water Facilities Corporation  
95-3500739  
Year 2015

STATEMENT 1

FORM 990EZ, PART IV

LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

Name and Address	Title & average hrs/week devoted to position	Compensation	Contributions to employee benefits & def comp	Expense disbursements & allowances
Brett Barbre [REDACTED]	Director	0	0	0
Sat Tamaribuchi [REDACTED]	Director	0	0	0
Larry Dick [REDACTED]	Director	0	0	0
Joan Finnegan [REDACTED]	Director	0	0	0
Susan Hinman [REDACTED]	Director	0	0	0
Wayne Osborne [REDACTED]	President	0	0	0
Jeffery Thomas [REDACTED]	Vice President	0	0	0

**CALIFORNIA STATEMENTS**  
Municipal Water District of Orange County  
Water Facilities Corporation  
D-0844386  
Year 2015

STATEMENT 1

FORM 199, PART II, LINE 11

LIST OF OFFICERS, DIRECTORS, TRUSTEES, AND KEY EMPLOYEES

Name and Address	Title & average hrs/week devoted to position	Compensation	Contributions to employee benefits & def comp	Expense disbursements & allowances
Brett Barbre [REDACTED]	Director	0	0	0
Sat Tamaribuchi [REDACTED]	Director	0	0	0
Larry Dick [REDACTED]	Director	0	0	0
Joan Finnegan [REDACTED]	Director	0	0	0
Susan Hinman [REDACTED]	Director	0	0	0
Wayne Osborne [REDACTED]	President	0	0	0
Jeffery Thomas [REDACTED]	Vice President	0	0	0



## Item No. 6b

### INFORMATION ITEM

September 14, 2016

**TO:** Board of Directors, MWDOC Water Facilities Corporation

**FROM:** Robert Hunter, General Manager                      Staff Contact: Jeffrey Stalvey

**SUBJECT:** Annual Reorganization of Board Officers for the MWDOC Water Facilities Corporation

#### STAFF RECOMMENDATION

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Staff recommends that the Board of Directors consider reorganization of Board Officers for the MWDOC Water Facilities Corporation.

#### COMMITTEE RECOMMENDATION

---

Committee recommends (to be determined at committee meeting).

#### SUMMARY

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In December 2010, the Board of Directors adopted the Amended and Restated By-Laws for the Water Facilities Corporation ("Corporation"). An annual reorganization of Corporation Board Officers shall be conducted in accordance with Article IV., Sections 4.02 and 4.03, as excerpted below.

**Section 4.02. Appointment.** The officers shall be chosen at the annual meeting each year by the Board of Directors and each shall hold their office until they shall resign, be removed, or otherwise disqualified to serve, or a successor shall be qualified and appointed.

**Section 4.03. Term of Office.** Unless otherwise determined at the discretion of the Board of Directors, the term of office of the President and Vice President of the Corporation shall be for one year. The term of office of the General Manager, Secretary and Treasurer of the Corporation, respectively, shall coincide with each individual's term of employment with the District.

Currently Director Dick serves as President and Director Osborne serves as Vice President of the MWDOC Water Facilities Corporation.

Budgeted (Y/N): N/A	Budgeted Amount: N/A	Core __	Choice __
Action Item Amount: N/A		Line item:	
Fiscal Impact (explain if unbudgeted): N/A			

**Administration Activities Report  
August 5, 2016 to September 8, 2016**

Activity	Summary
<b>Administration/Board</b>	<ul style="list-style-type: none"> <li>• Maribeth has been scheduling meetings for Rob Hunter and other various meetings of the Board members.</li> <li>• Maribeth has been assisting Rob/Karl with various write ups and follow-up for the Committees and Board, as well as a couple of comprehensive research projects.</li> <li>• Maribeth received confirmation that the District was awarded the CSDA/SDLF Transparency of Excellence award; a presentation will be made at the September Board meeting</li> <li>• Maribeth is orchestrating updates to the Open. Government Portal and recommending changes/updates.</li> <li>• Maribeth continues to send the Water Supply Reports to the member agencies.</li> <li>• Maribeth has been collecting records and responding to four Public Records Act requests</li> <li>• Pat has been scheduling meetings for Rob, Karl, Keith and Harvey, MET Directors' luncheon meeting, OC MET Managers, and ordering lunches for several meetings.</li> <li>• Pat proofed and formatted letters for Rob, Karl, Joe, Heather and Keith.</li> <li>• Pat registered staff and board members for conferences and events; scheduled travel for ACWA Federal Affairs and Legislative Committees; CCEEB, CUWCC; CAL Desal and other misc. travel and/or workshops, which includes preparation of purchase requisitions and back-up.</li> <li>• Pat spent a week training on front desk duties: phones, guests, emergencies, etc. to be prepared to be a back-up.</li> <li>• Pat prepared a number of annual consultant agreements and change orders for rate increases for legal, special counsel, MET issues, strategic issues, State legislative advocacy, and Federal legislative advocacy. Also prepared purchase requisitions for all of these.</li> </ul>
<b>MWDOC/OCWD Joint Administration</b>	<ul style="list-style-type: none"> <li>• On September 7<sup>th</sup>, Cathy met with Eleanor Torres to discuss joint planning efforts for items to be hung on the walls in the joint areas (C-3, Foyer and Joint Boardroom).</li> </ul>
<b>Health Benefits</b>	<ul style="list-style-type: none"> <li>• No new information this month.</li> </ul>
<b>Records Management</b>	<ul style="list-style-type: none"> <li>• Sarah purged 1 box of old files from the Library.</li> <li>• Sarah reviewed the retention schedule based on the consultant's recommendations and this item is included in the Board Packet for consideration.</li> <li>• Sarah reviewed the proposed records management policy documents.</li> <li>• New scanners- Sarah researched available models, Patrick ordered and installed them and Sarah worked with ECS to calibrate them for optimal performance.</li> </ul>

	<ul style="list-style-type: none"> <li>• Sarah prepared 5 boxes of 2011-2014 Turf Program. Applications to send to Iron Mountain (no space available on-site to store them).</li> <li>• Sarah covered for Leah and Pari during vacations/sick days.</li> <li>• Sarah entered new agreements into Laserfiche.</li> <li>• On August 23<sup>rd</sup>, Katie, Sarah, Jeff, Patrick and Rob met with efile cabinet to evaluate a system for organizing emails and district wide files.</li> <li>• August 30<sup>th</sup>, Cathy, Sarah, Patrick and Jeff met with ECS (the Laserfiche vendor) to review the upgrade options to the current system and various modules that can meet our needs in the future.</li> </ul>
<b>CalPERS</b>	No information to report.
<b>Agency Inquiries</b>	No information to report.
<b>Recruitment /Departures</b>	<ul style="list-style-type: none"> <li>• The Principal Engineer position has been filled and the candidate will start on September 23.</li> <li>• Recruitment for the WUE Specialist position is underway and applications are being reviewed.</li> <li>• Recruitment for the Director of Public Affairs position is underway.</li> <li>• Interviews are currently underway for the WEROC Coordinator position.</li> </ul>
<b>Other</b>	
<b>Projects and Activities</b>	<ul style="list-style-type: none"> <li>• Cathy has been assisting President Osborne with the General Manager Performance Evaluation process.</li> <li>• Cathy is also completing a General Manager Salary Survey.</li> <li>• Cathy Attended meeting with Hilary and PARS on August 9.</li> <li>• Cathy attended meeting with Records Management Consultant and various departments to discuss documents used in each department and how files are shared, stored and purged.</li> <li>• Cathy and Leah are obtaining quotes for paint, carpet, window coverings to refresh two offices.</li> <li>• On August 25<sup>th</sup>, Cathy attended the Alert OC Public Notification workshop held at the County EOC in Orange.</li> <li>• On August 26<sup>th</sup>, Cathy participated in telephone interviews for the WEROC Coordinator position.</li> <li>• On September 2, Cathy participated in the WEROC panel interviews.</li> </ul>

**INFORMATION ITEM**

September 14, 2016

**TO:** Administration & Finance Committee  
(Directors Thomas, Barbre, Finnegan)

**FROM:** Robert J. Hunter, General Manager

Staff Contact: Jeff Stalvey

**SUBJECT:** Finance and IT Pending Items Report

**SUMMARY**

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The following list details the status of special projects that are in-progress or to be completed during FY 2016-17.

Description	% of Completion	Estimated Completion date	Status
<b><u>Finance</u></b>			
Further Implementation of WUE Landscape Programs Databases and Web Site.	On-going	On-going	In Progress
Government Compensation in California Report 2016	0%	03-30-17	Not Started
State Controller Report preparation FY15-16	0%	11-30-16	Not Started
State Tax filing for Water Facilities FY15-16	90%	11-30-16	Not Started
FY2015-16 Annual Audit by Vavrinek, Trine, Day & Company	50%	10-08-16	Final Audit – week of September 19th
Annual Financial Statement Report FY2015-16	75%	10-08-16	In Progress
Preparation of documents for FY17-18 budget process.	0%	5-31-17	Not Started
2016 W-9 collection for water rebates. Currently holding 3 June and 10 August rebate checks, awaiting completed W-9's.	98%	On-going	In Progress

<b><u>Information Technology</u></b>			
Network security issues (hackers, viruses and spam emails)	On-going	On-going	Continuous system monitoring
Get quotes and have Fire Suppression system installed in server room	<b>10%</b>	6/30/17	In Progress
Upgrade Server software for Data Server.	<b>75%</b>	3/31/17	In Progress
Upgrade and deploy new Backup software with Cloud backup.	<b>75%</b>	3/31/17	In Progress
Upgrade District Firewall.	<b>40%</b>	6/30/17	In Progress
Upgrade Record Management Server and Storage Area Network, scanners.	<b>40%</b>	3/31/17	In Progress
Continue to upgrade computers and monitors for Staff.	<b>20%</b>	3/31/17	In Progress
Purchase and install enclosed Server Racks.	<b>0%</b>	6/30/17	Not Started
Upgrade HR ABRA Server (software)	<b>70%</b>	3/31/17	In Progress

Description	% of Completion	Estimated Completion date	Status
<b><u>FY 2016-17 Completed Special Tasks</u></b>			
<b><u>Finance</u></b>			
<b><u>Information Technology</u></b>			
Upgrade Exchange E-mail Server to the latest version	<b>100%</b>	6/30/16	Completed
Upgrade District Desktop Computers to Windows 10	<b>100%</b>	6/30/16	Completed



**INFORMATION ITEM**

September 14, 2016

**TO:**           **Administration & Finance Committee**  
(Directors Thomas, Osborne, Finnegan)

**FROM:**       Robert Hunter, General Manager

Staff Contact: Kevin Hostert

**SUBJECT:   Monthly Water Usage Data, Tier 2 Projection, and Water Supply Info.**

**STAFF RECOMMENDATION**

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Staff recommends the Administration & Finance Committee receive and file this information.

**COMMITTEE RECOMMENDATION**

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Committee recommends (To be determined at Committee Meeting)

**REPORT**

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The attached figures show the recent trend of water consumption in Orange County (OC), an estimate of Tier 2 volume for MWDOC, and selected water supply information.

- Fig. 1    OC Water Usage, Monthly by Supply   OCWD Groundwater water was the main supply in July.
- Fig. 2    OC Water Usage, Monthly, Comparison to Previous Years   Water usage in July 2016 was low compared to the last 5 years with the exception of July 2015. Lower usage is primarily due to strong conservation efforts and mandatory restrictions set by the Governor for the period of June 2015 to May 2016. In June 2016 all water conservation became voluntary for MWDOC agencies.
- Fig. 3    Historical OC Water Consumption   OC water consumption is projected to be 517,000 AF in FY 2016-17 (*this includes ~15 TAF of agricultural usage and non-retail water agency usage*). This is about 22,000 AF more than FY 2015-16 and is about 55,000 AF less than FY 2014-15. Water usage per person is projected to be slightly higher than in FY 2015-16 for Orange County at 145 gallons per day (This includes recycled water). Although OC population has increased 20% over the past two decades, water usage has not increased, on

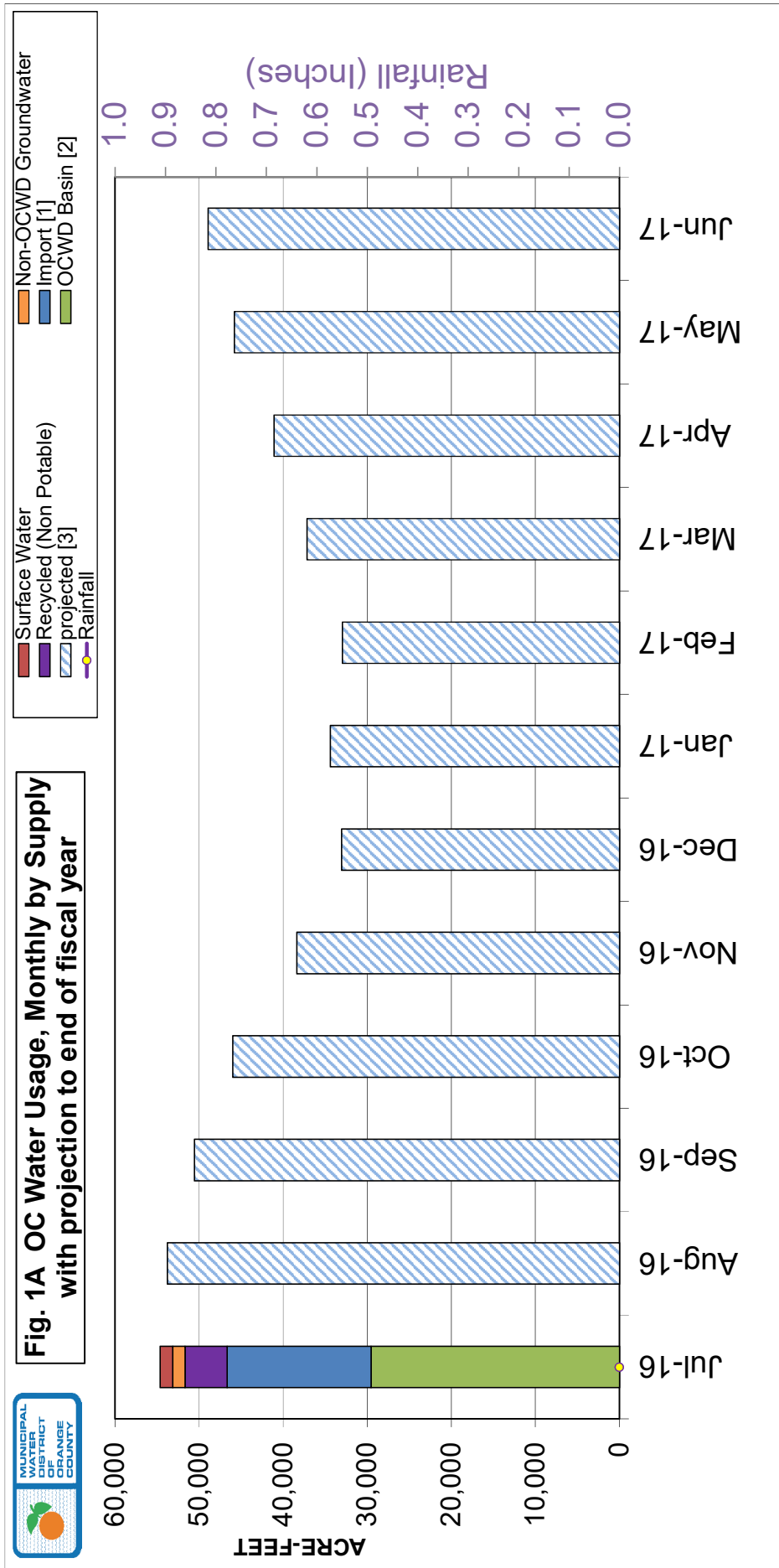
Budgeted (Y/N): N	Budgeted amount: N/A	Core <u>X</u>	Choice <u>  </u>
Action item amount: N/A	Line item:		
Fiscal Impact (explain if unbudgeted):			

average. A long-term decrease in per-capita water usage is attributed mostly to Water Use Efficiency (water conservation) efforts.

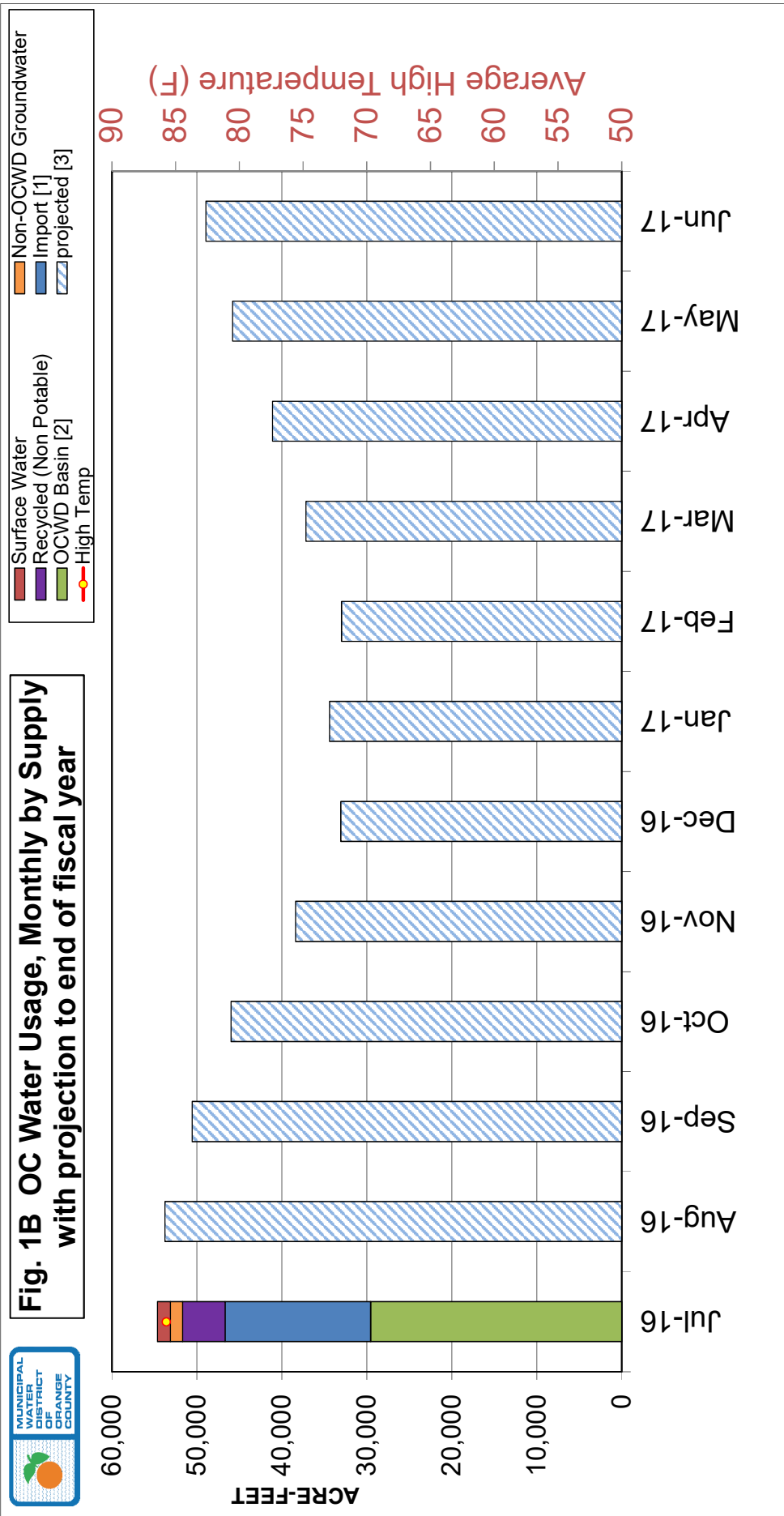
Fig. 4 MWDOC “Firm” Water Purchases, 2016 “Firm” water above the Tier 1 limit will be charged at the higher Tier 2 rate. Our current projection of Tier 2 purchases is zero in 2016.

Water Supply Information Includes data on: Rainfall in OC; the OCWD Basin overdraft; Northern California and Colorado River Basin hydrologic data; the State Water Project (SWP) Allocation, and regional storage volumes. The data has implications for the magnitude of supplies from the three watersheds that are the principal sources of water for OC. Note that a hydrologic year is Oct. 1<sup>st</sup> through Sept. 30<sup>th</sup>.

- Orange County’s accumulated rainfall through August was well below average for this period. This continues the impact of the previous four hydrologic years’ below-normal rainfall in reducing those local supplies that are derived from local runoff. El Nino conditions have diminished and NOAA is predicted a moderate chance of La Nina for next winter (La Nina is generally associated with cool dry winters in Southern California).
- Northern California accumulated precipitation in August was around 117% of normal for this period. The Northern California snowpack is 97% of normal as of April 1<sup>st</sup>. This follows three below-average hydrologic years. The State of California has been in a declared Drought Emergency since January 2014. The State Water Project Contractors Table A Allocation is at 60% as of the end of June.
- Colorado River Basin accumulated precipitation in August was 96% average for this period. The Upper Colorado Basin snowpack was 85% of normal as of April 15<sup>th</sup>. This follows two below-average hydrologic years, the Colorado River Basin is in the recovery of a long term drought. Lake Mead and Lake Powell combined have about 61% of their average storage volume for this time of year. If Lake Mead’s level falls below a “trigger” limit 1,075 ft. at the end of a calendar year, then a shortage will be declared by the US Bureau of Reclamation (USBR), impacting Colorado River water deliveries for the Lower Basin states. As of late August Lake Mead levels were slightly below the “trigger” limit but fortunately levels are expecting to increase due to water releases schedule at Lake Powell. The USBR predicts that the “trigger” level will not be hit by the end of 2016.



- [1] Imported water for consumptive use. Includes "In-Lieu" deliveries and CUP water extraction. Excludes "Direct Replenishment" deliveries of spreading water, "Barrier Replenishment" deliveries, and deliveries into Irvine Lake.
- [2] GW for consumptive use only. Excludes In-Lieu water deliveries and CUP water extraction that are counted with Import. BPP in FY '15-16 is 75%.
- [3] MWDOC's estimate of monthly demand is based on the projected FY 15-16 "Retail" water demand and historical monthly demand patterns.
- [4] Total water usage includes IRWD groundwater agricultural use and usage by non-retail water agencies.



[1] Imported water for consumptive use. Includes "In-Lieu" deliveries and CUP water extraction. Excludes "Direct Replenishment" deliveries of spreading water, "Barrier Replenishment" deliveries, and deliveries into Irvine Lake.

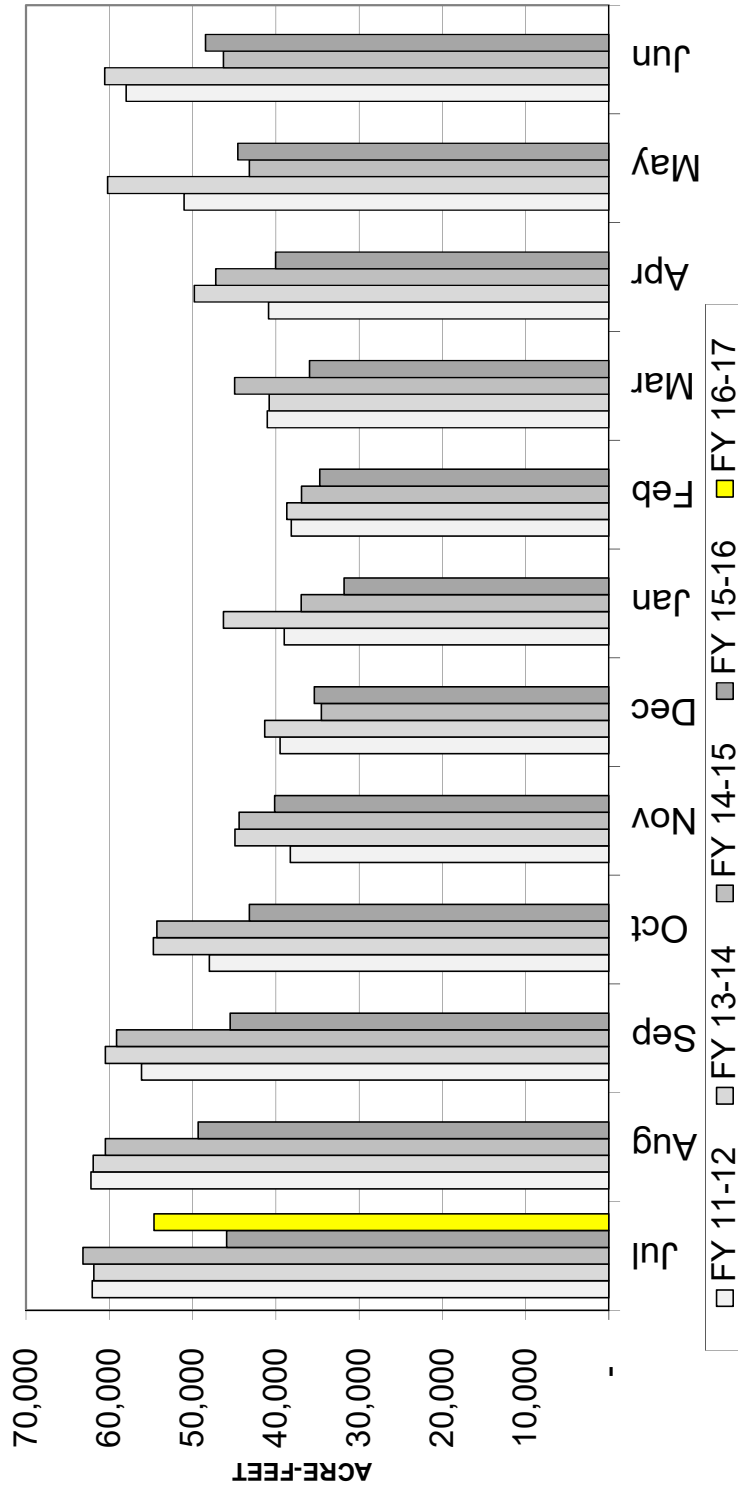
[2] GW for consumptive use only. Excludes In-Lieu water deliveries and CUP water extraction that are counted with Import. BPP in FY '15-16 is 75%.

[3] MWDOC's estimate of monthly demand is based on the projected FY 15-16 "Retail" water demand and historical monthly demand patterns.

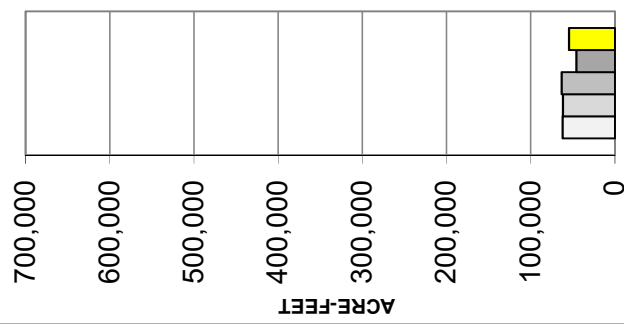
[4] Total water usage includes IRWD groundwater agricultural use and usage by non-retail water agencies.



**Fig. 2A OC Monthly Water Usage [1]: Comparison to Last 4 Fiscal Years**



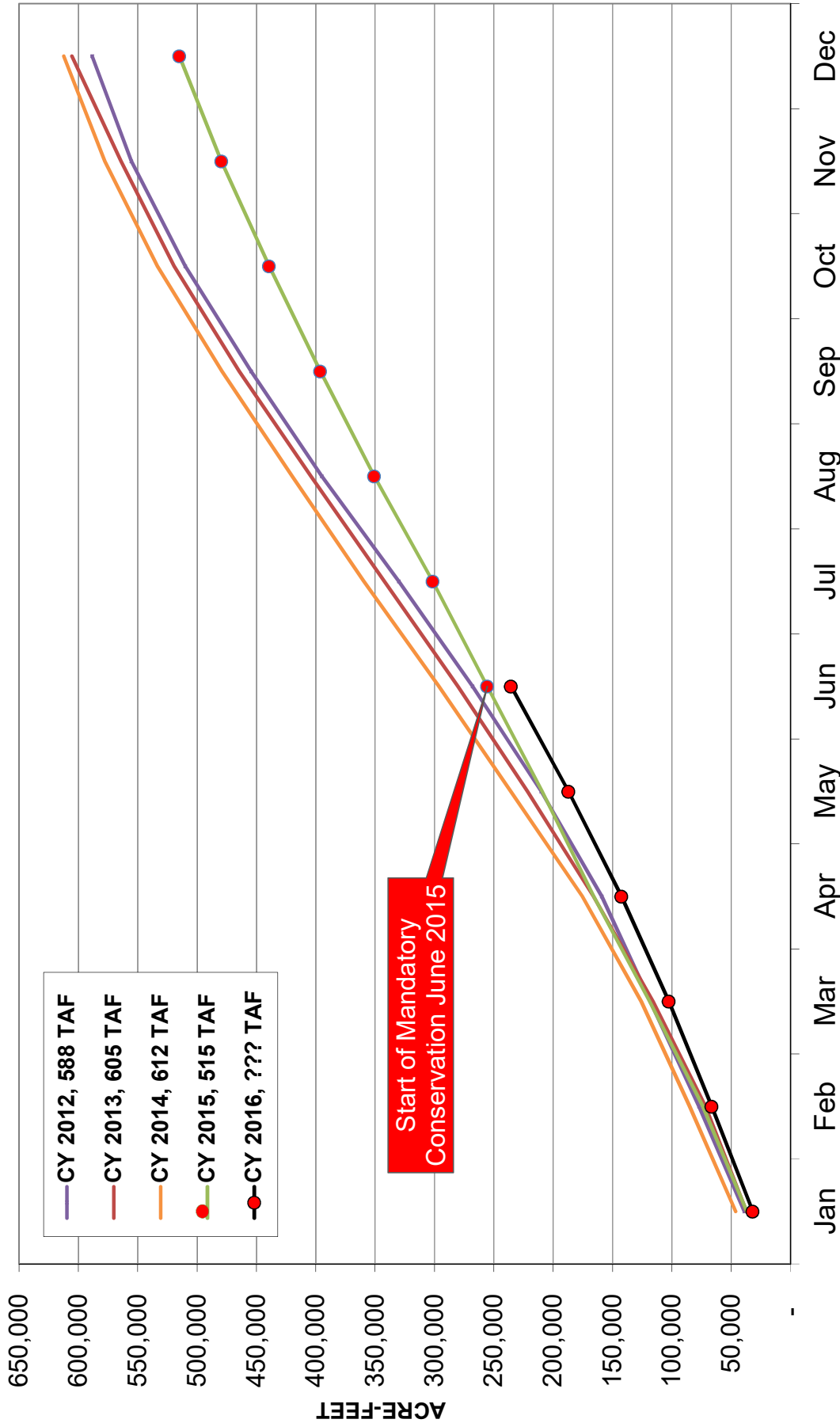
**Partial Year Subtotals**



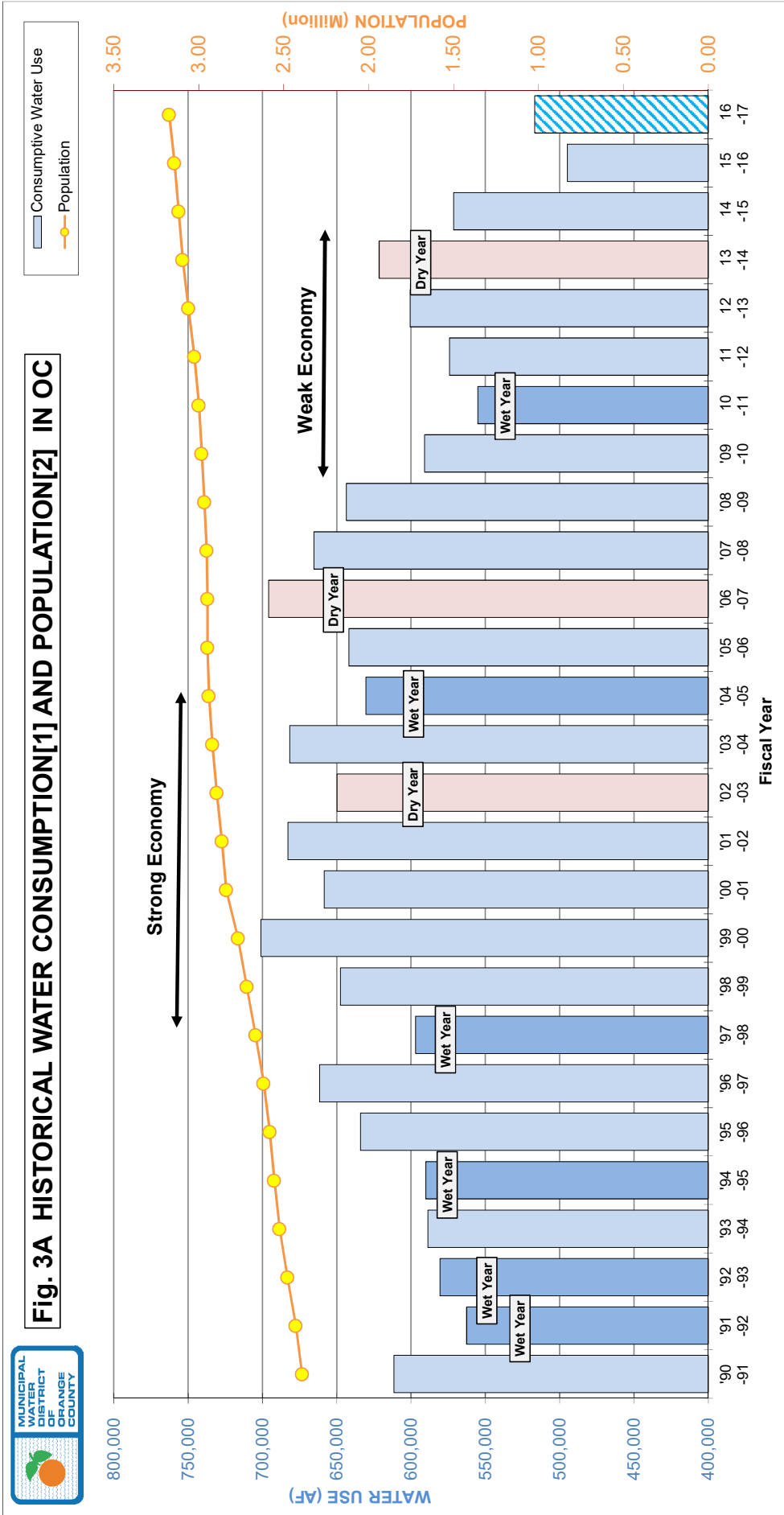
[1] Sum of Imported water for consumptive use (includes "In-Lieu" deliveries; excludes "Direct Replenishment" and "Barrier Replenishment") and Local water for consumptive use (includes recycled and non-potable water; excludes GWRs production, groundwater pumped to waste, and waste brine from water treatment projects.) Recent months numbers include some estimation.



**Fig. 2B Orange County Cumulative Monthly Consumptive Water Usage [1]:**  
present year compared to last 4 calendar years



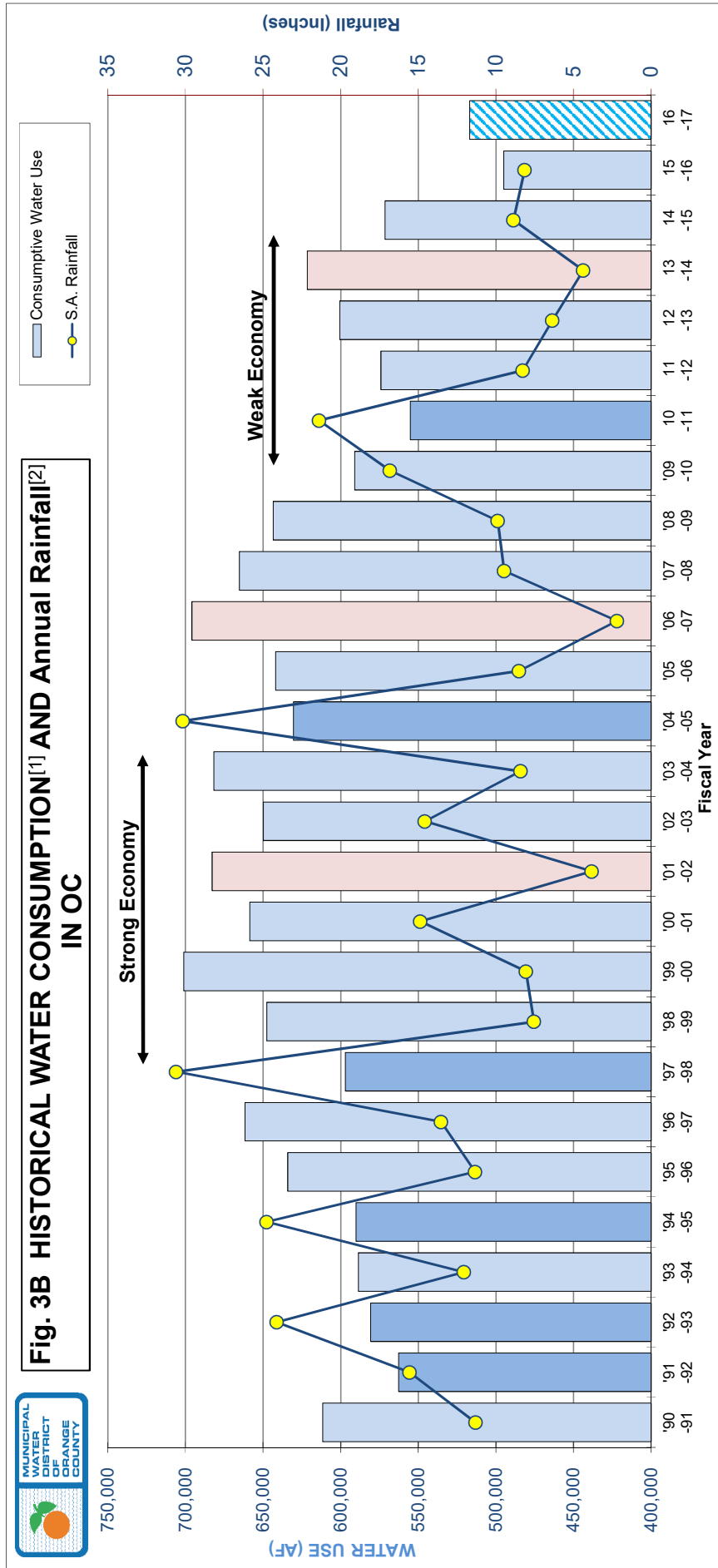
[1] Sum of Imported water for consumptive use (includes "In-Lieu" deliveries; excludes "Direct Replenishment" and "Barrier Replenishment") and Local water for consumptive use (includes recycled and non-potable water; excludes GWRs production and waste brine from water quality pumping projects).



[1] Consumption includes potable, recycled and non-potable usage; excludes Barrier and Spreading water. The most recent data involve some estimation.

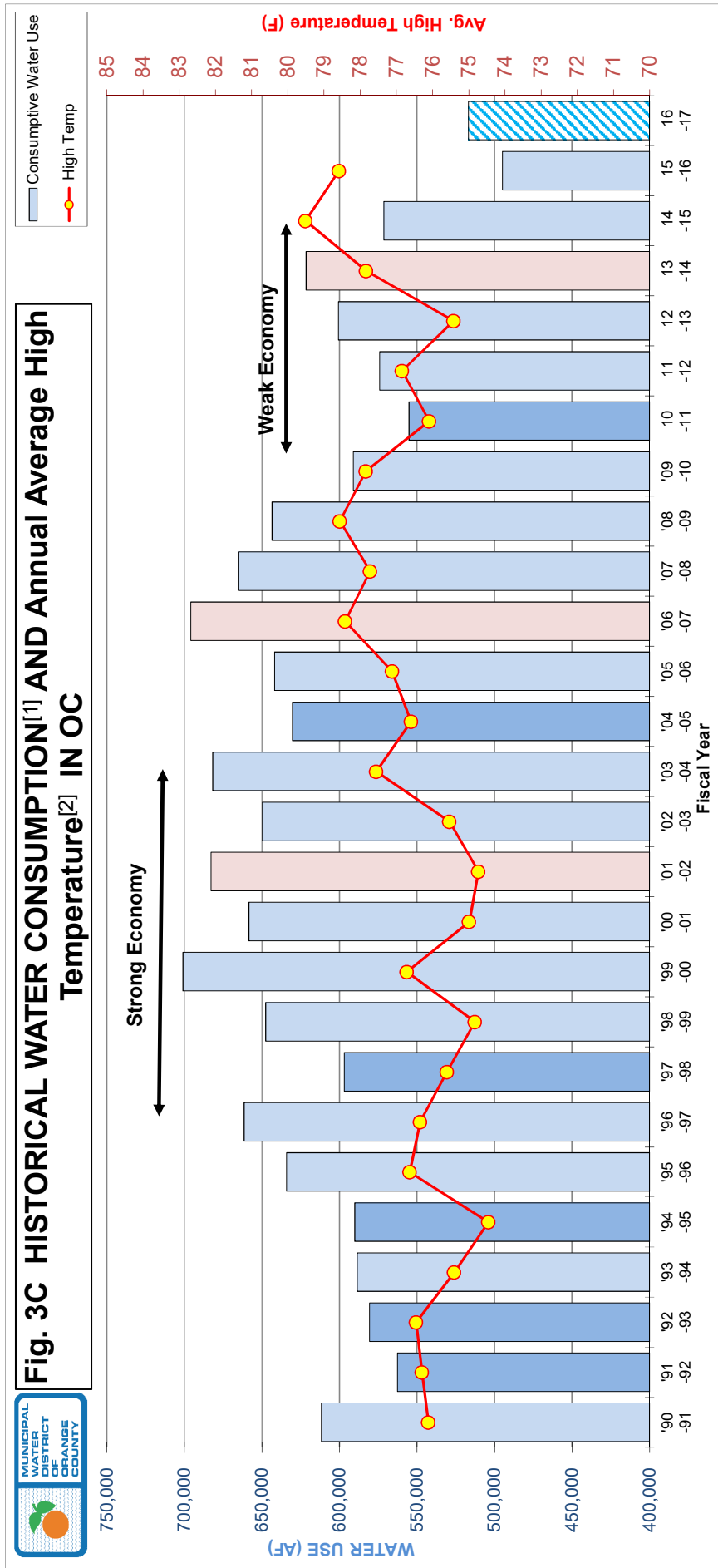
[2] Population estimates in the 2000s decade were revised by the State Dept. of Finance to reflect the 2010 Census counts.

[3] Projection of FY 15-16 water use estimated by MWDOC based on partial-year data.



[1] Consumption includes potable, recycled and non-potable usage; excludes Barrier and Spreading water. The most recent data involve some estimation.

[2] Rainfall data from Santa Ana Station #121

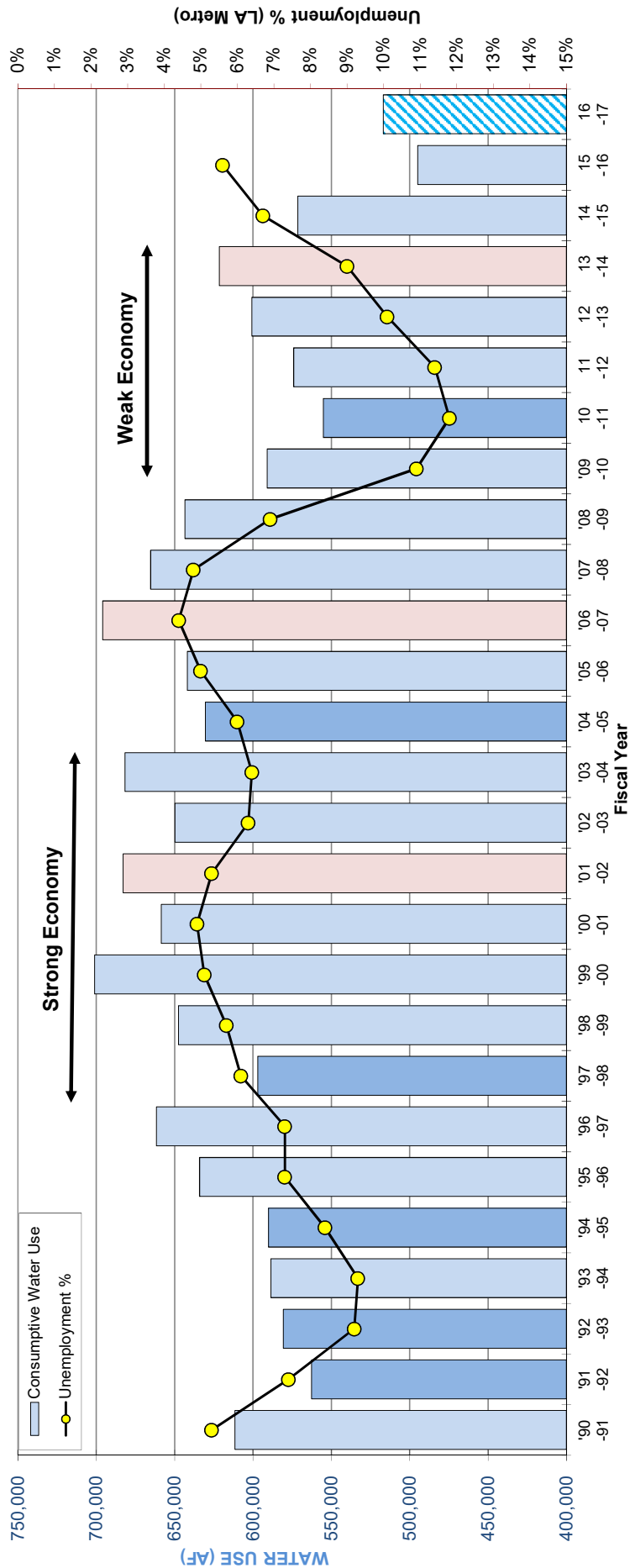


[1] Consumption includes potable, recycled and non-potable usage; excludes Barrier and Spreading water. The most recent data involve some estimation.

[2] Temperature data is from Santa Ana Fire Station, elevation 135'



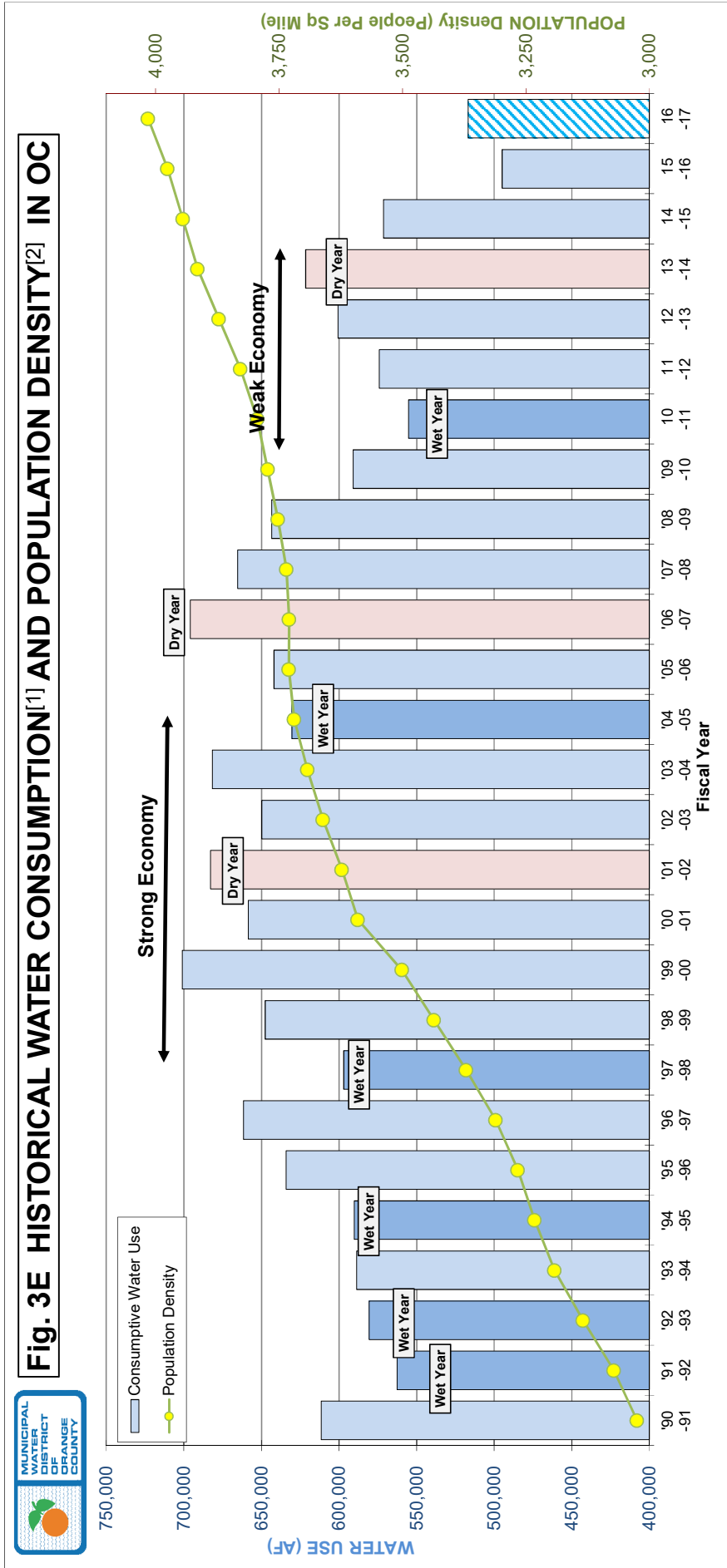
**Fig. 3D HISTORICAL WATER CONSUMPTION[1] AND Average Unemployment[2] IN OC**



[1] Consumption includes potable, recycled and non-potable usage; excludes Barrier and Spreading water. The most recent data involve some estimation.

[2] Employment Data source Bureau of Labor Statistic: for Long Beach-L.A.-Santa Ana Metro Area

<http://www.bls.gov/lau/>

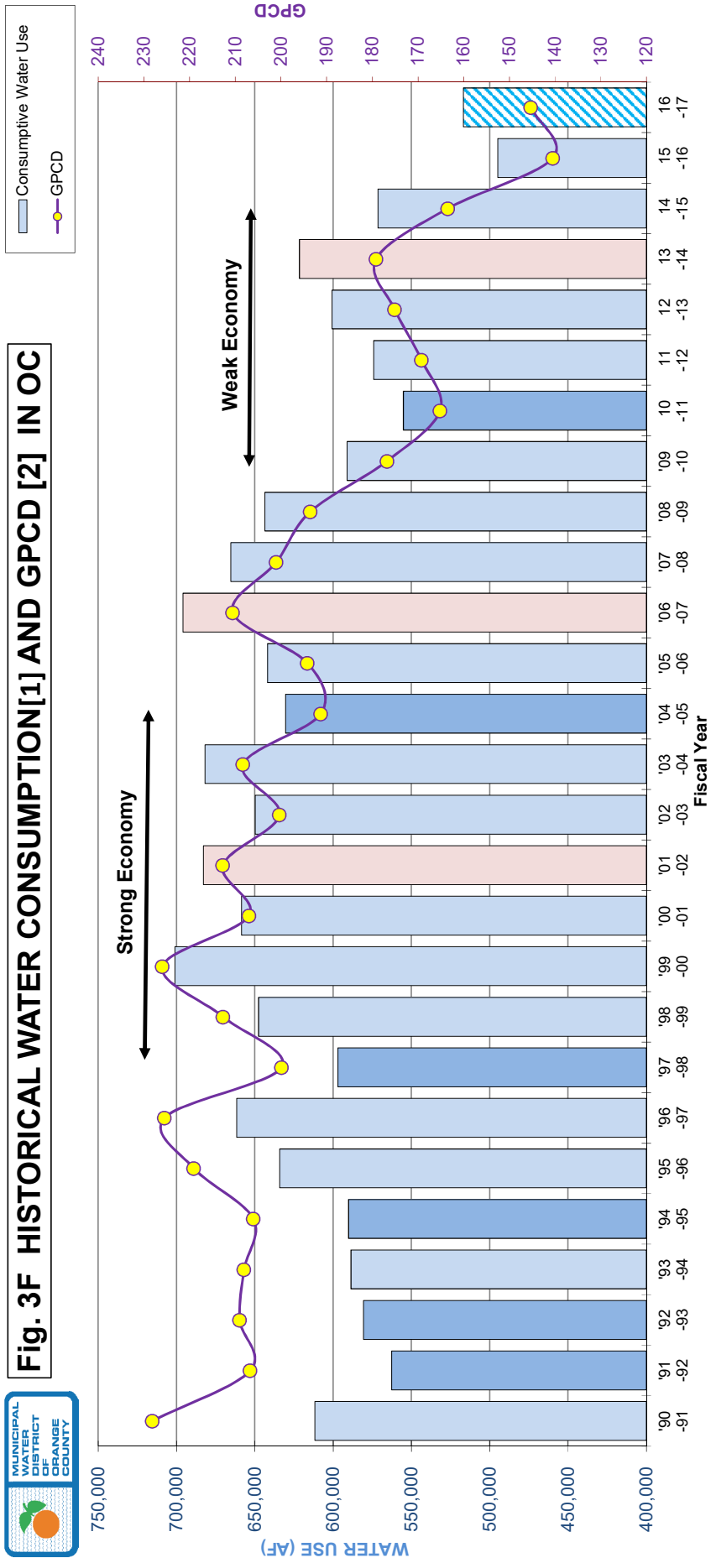


[1] Consumption includes potable, recycled and non-potable usage; excludes Barrier and Spreading water. The most recent data involve some estimation.

[2] Population estimates in the 2000s decade were revised by the State Dept. of Finance to reflect the 2010 Census counts.

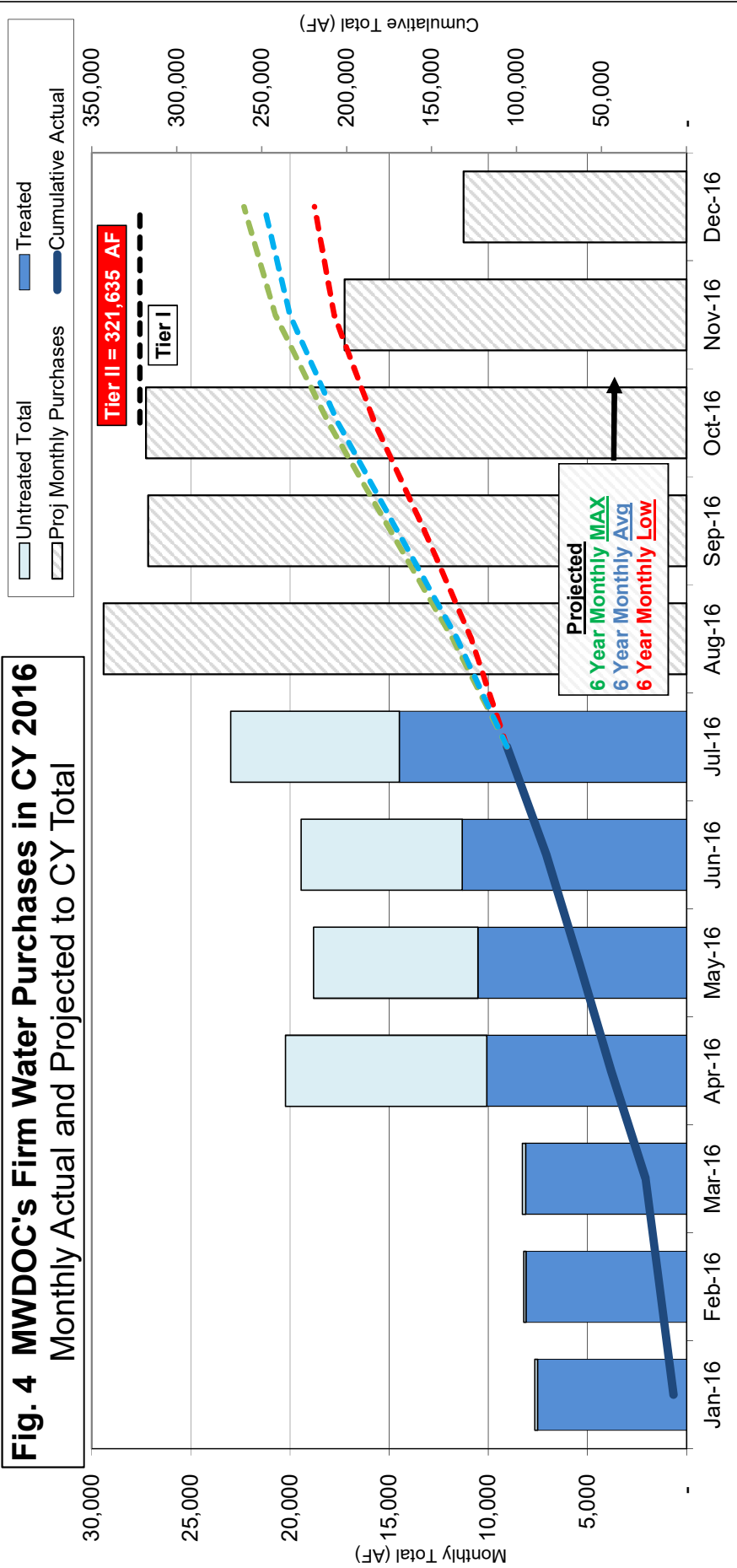


**Fig. 3F HISTORICAL WATER CONSUMPTION[1] AND GPCD [2] IN OC**



[1] Consumption includes potable, recycled and non-potable usage; excludes Barrier and Spreading water. The most recent data involve some estimation.  
 [2] Gallon per Capita Daily (includes all types of water usage and all type of water users).

**Fig. 4 MWDOC's Firm Water Purchases in CY 2016**  
Monthly Actual and Projected to CY Total



Notes

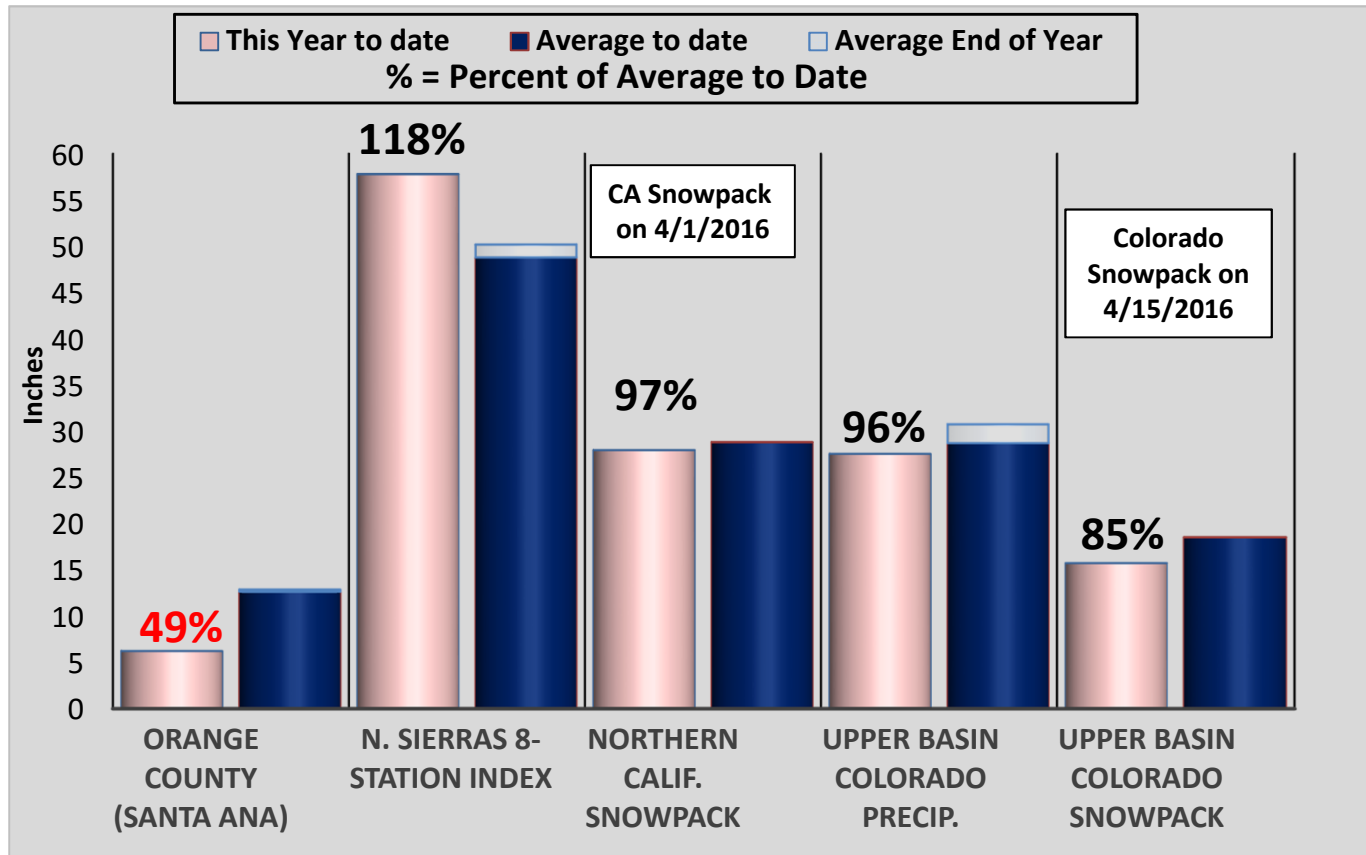
1. "Firm" includes Full Service (both Treated and Untreated) and Barrier water.
2. Basin Pumping Percentage (BPP) is the percentage of a retail water agency's total water demand that they are limited to pump from the OCWD-managed groundwater basin. BPP pertains to Basin agencies only. For example, if a Basin agency's total demand is 10,000 AF/yr and OCWD sets the BPP at 72%, then the agency is limited to 7,200 AF of groundwater that year. There may be certain exceptions and/or adjustments to that sample calculation. OCWD sets the BPP for the Basin agencies, usually as of July 1st.



prepared by the Municipal Water District of Orange County  
\*numbers are subject to change

printdate 9/3/2016

## Accumulated Precipitation for the Oct.-Sep. water year, through late August 2016

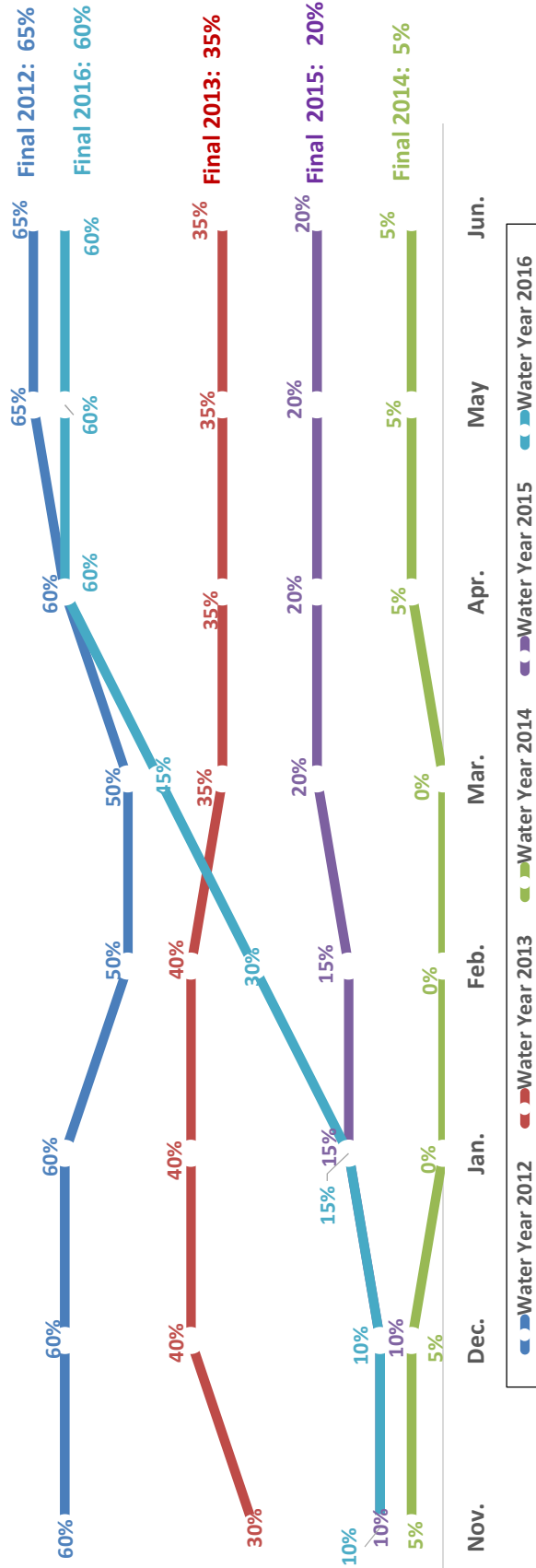


\* The date of maximum snowpack accumulation (April 1st in Northern Calif. , April 15th in the Upper Colorado Basin) is used for year to year comparison.



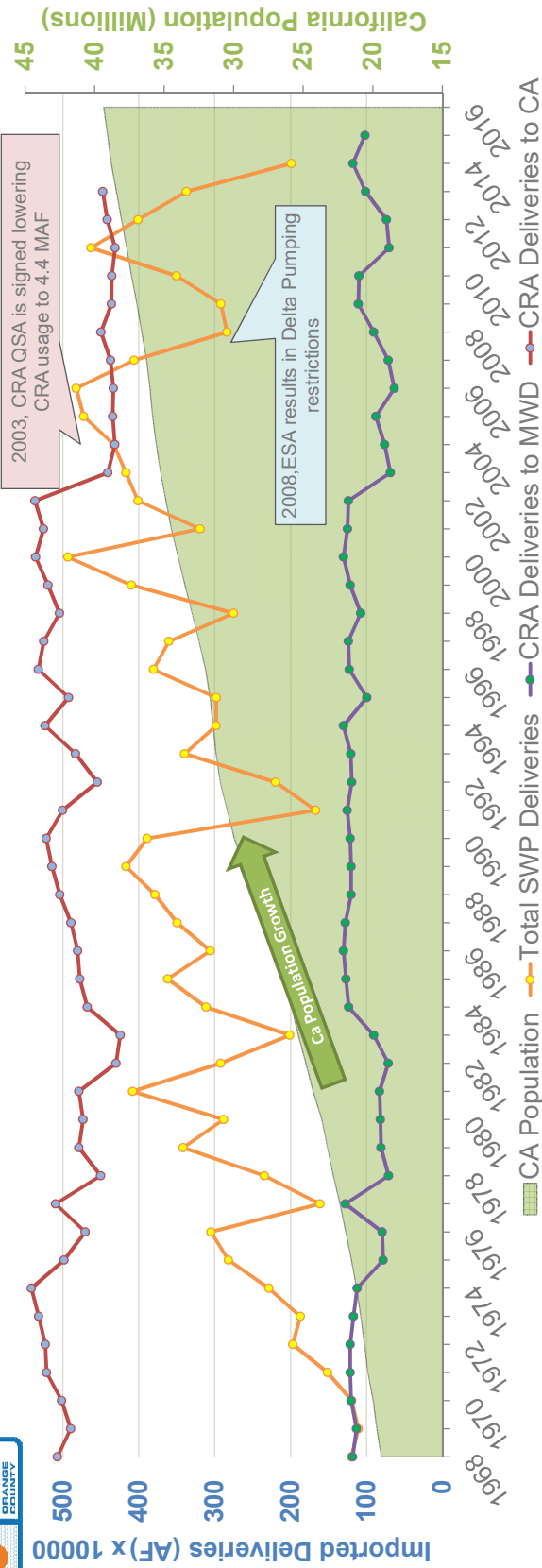
## SWP TABLE A ALLOCATION

FOR STATE WATER PROJECT CONTRACTORS

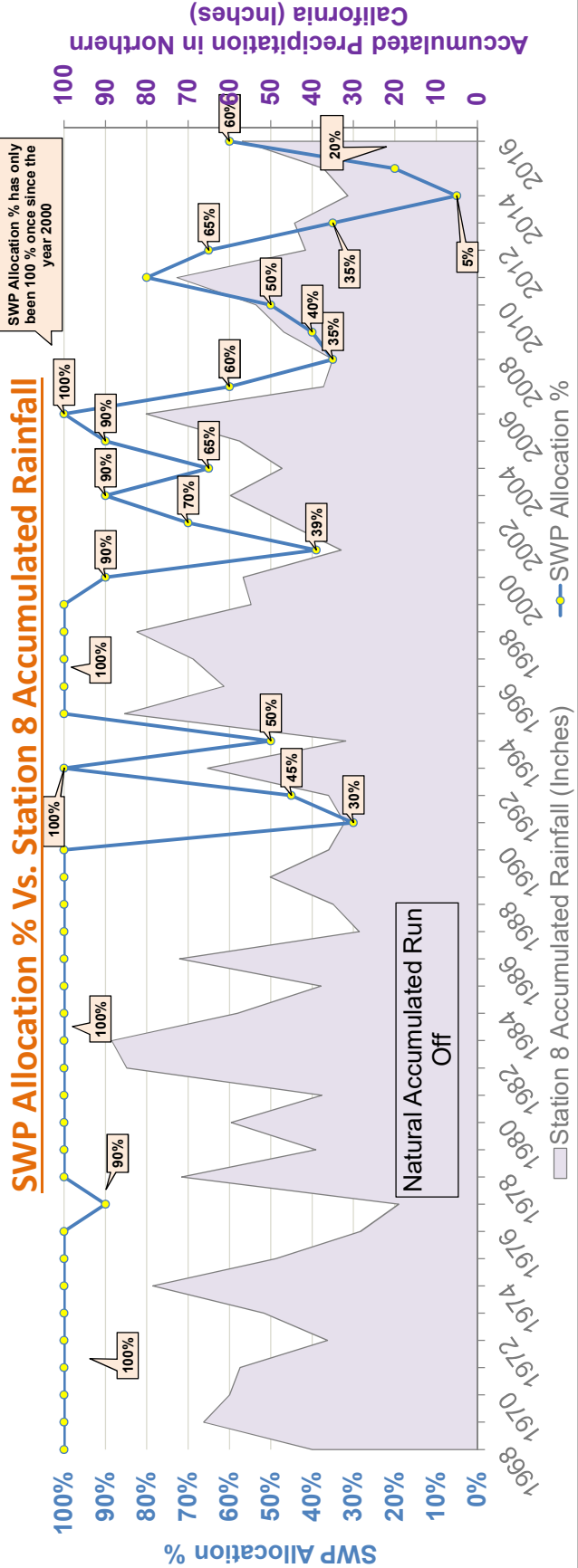




## Imported Water Deliveries Vs. California Population Growth



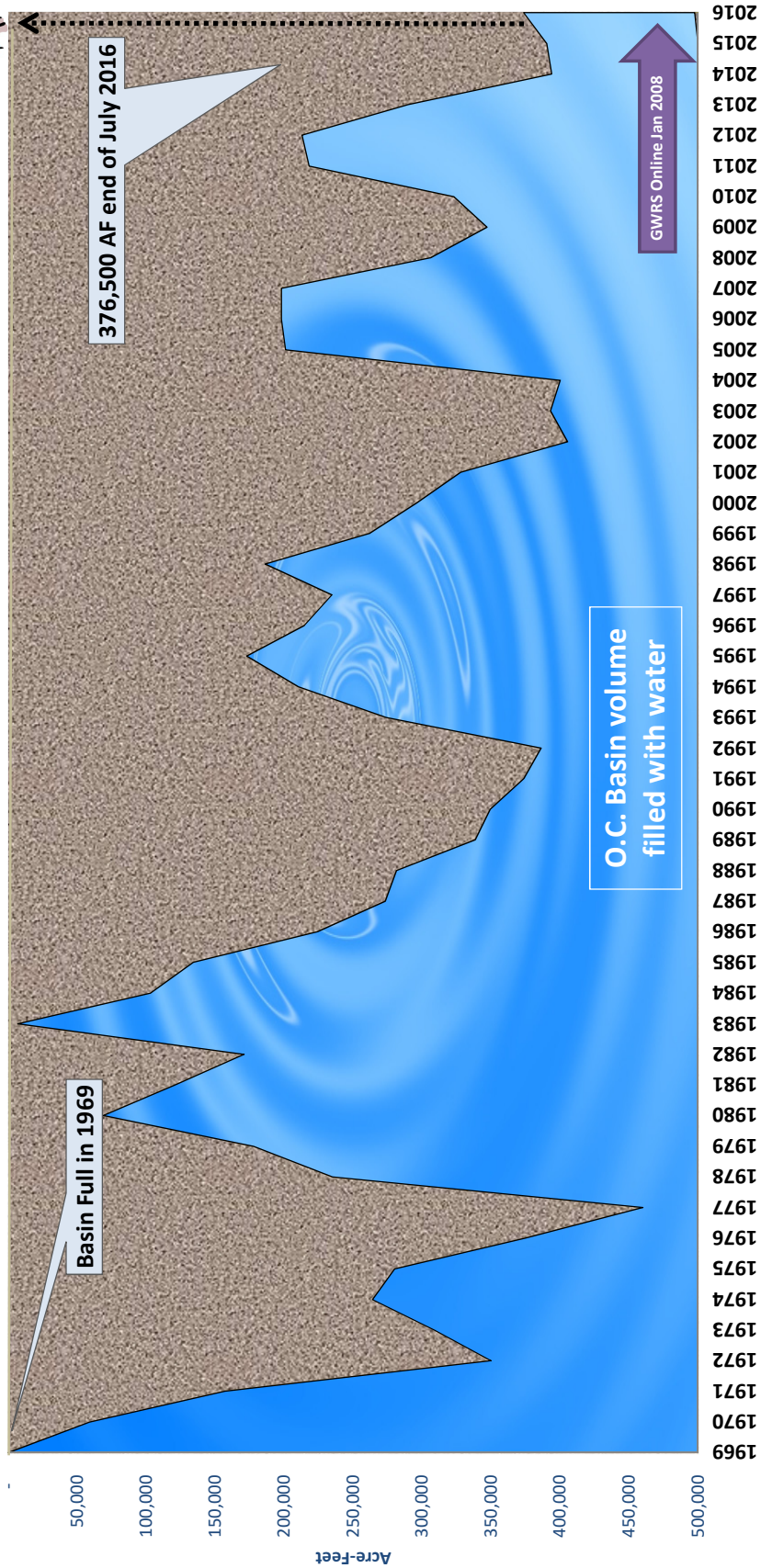
## SWP Allocation % Vs. Station 8 Accumulated Rainfall





## O.C. Basin Accumulated Overdraft

Annual, 1969 to Present

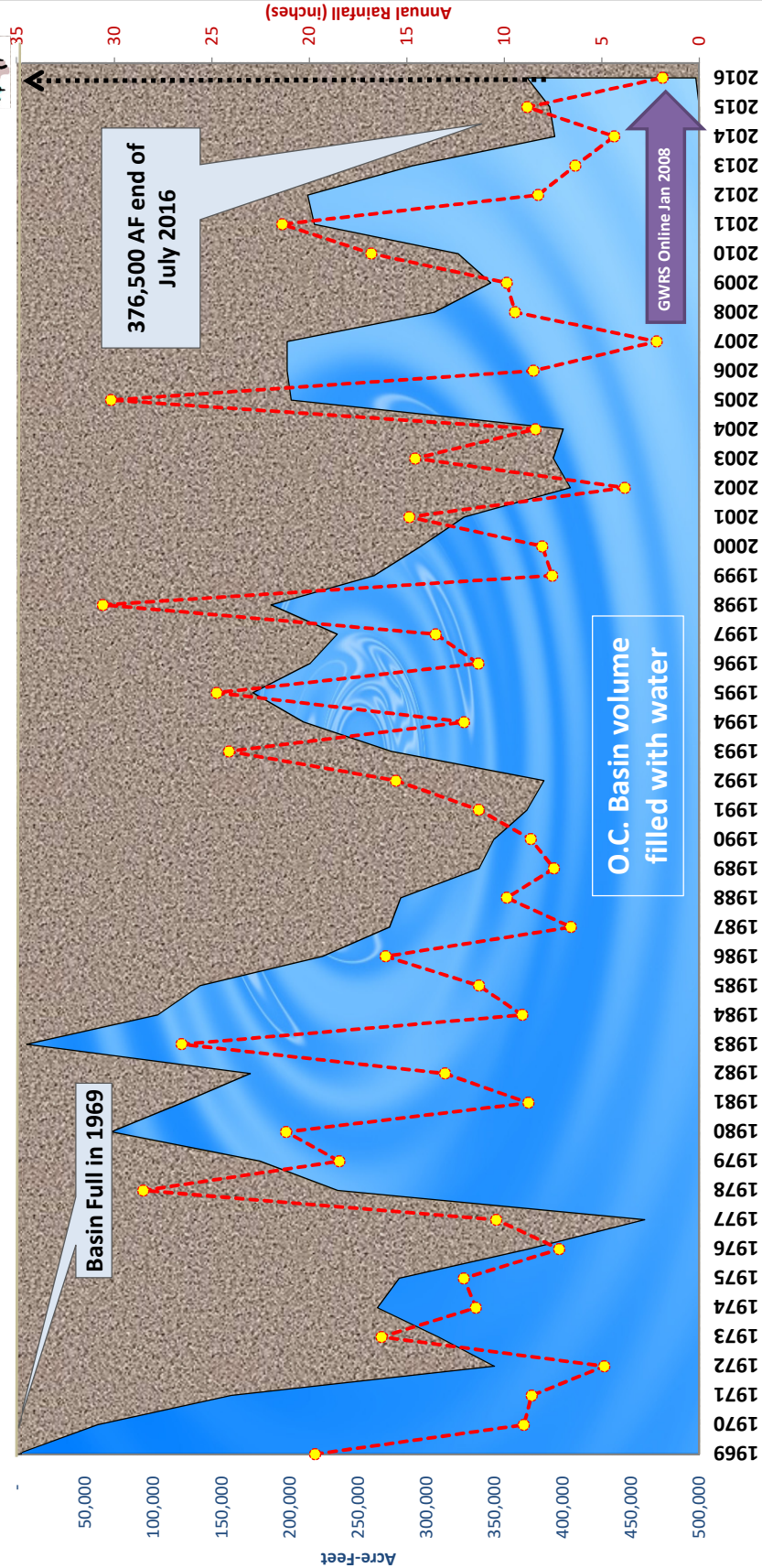
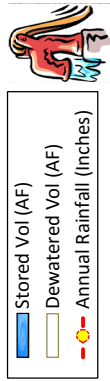


~ Accumulated Overdraft (dewatered volume) shown as white area, excluding the volume stored by Metropolitan. source: OCWD



## O.C. Basin Accumulated Overdraft Vs. Annual Rainfall

Annual, 1969 to Present

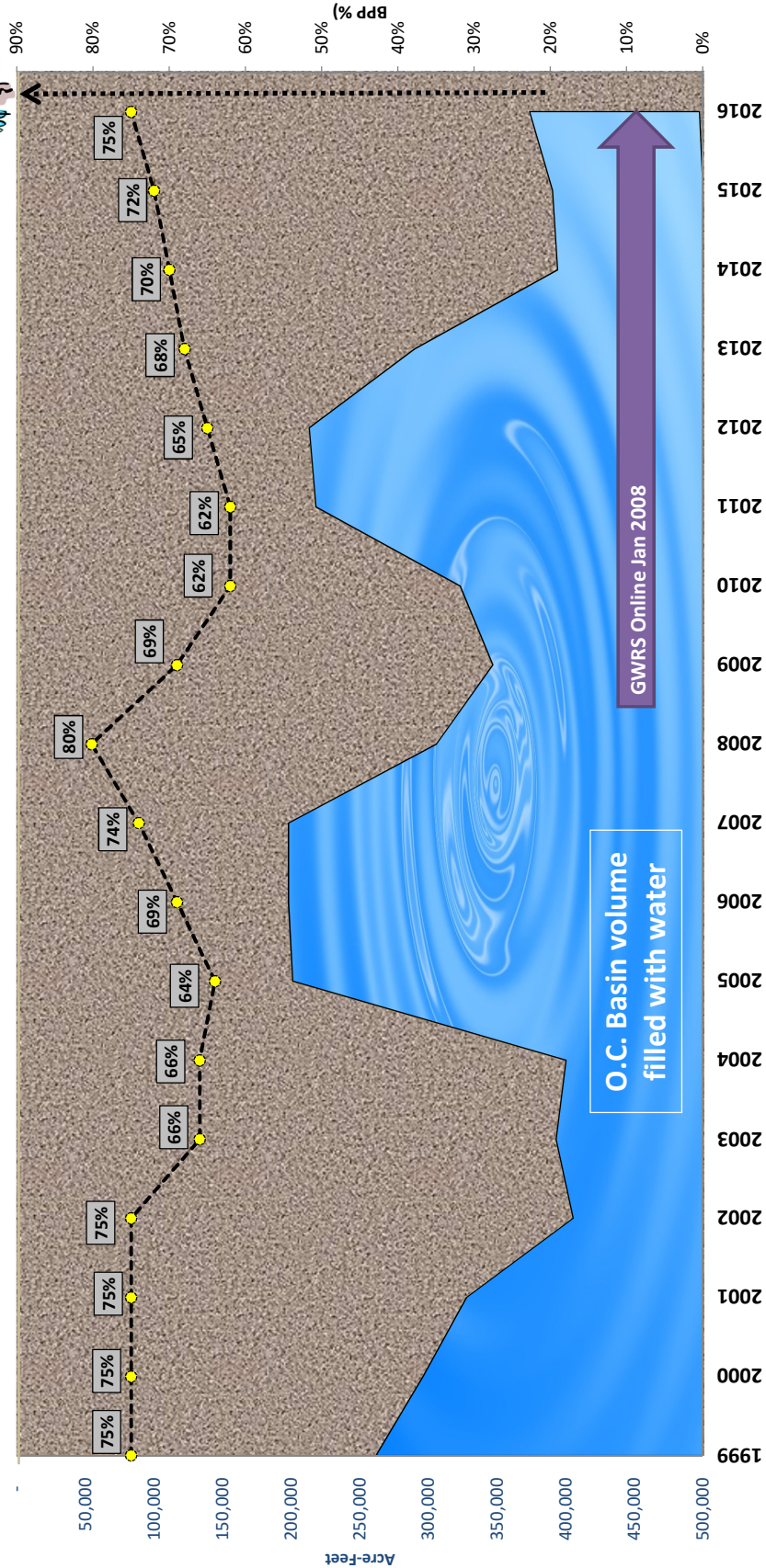
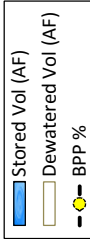


~ Accumulated Overdraft (dewatered volume) shown as white area, excluding the volume stored by Metropolitan. source: OCWD

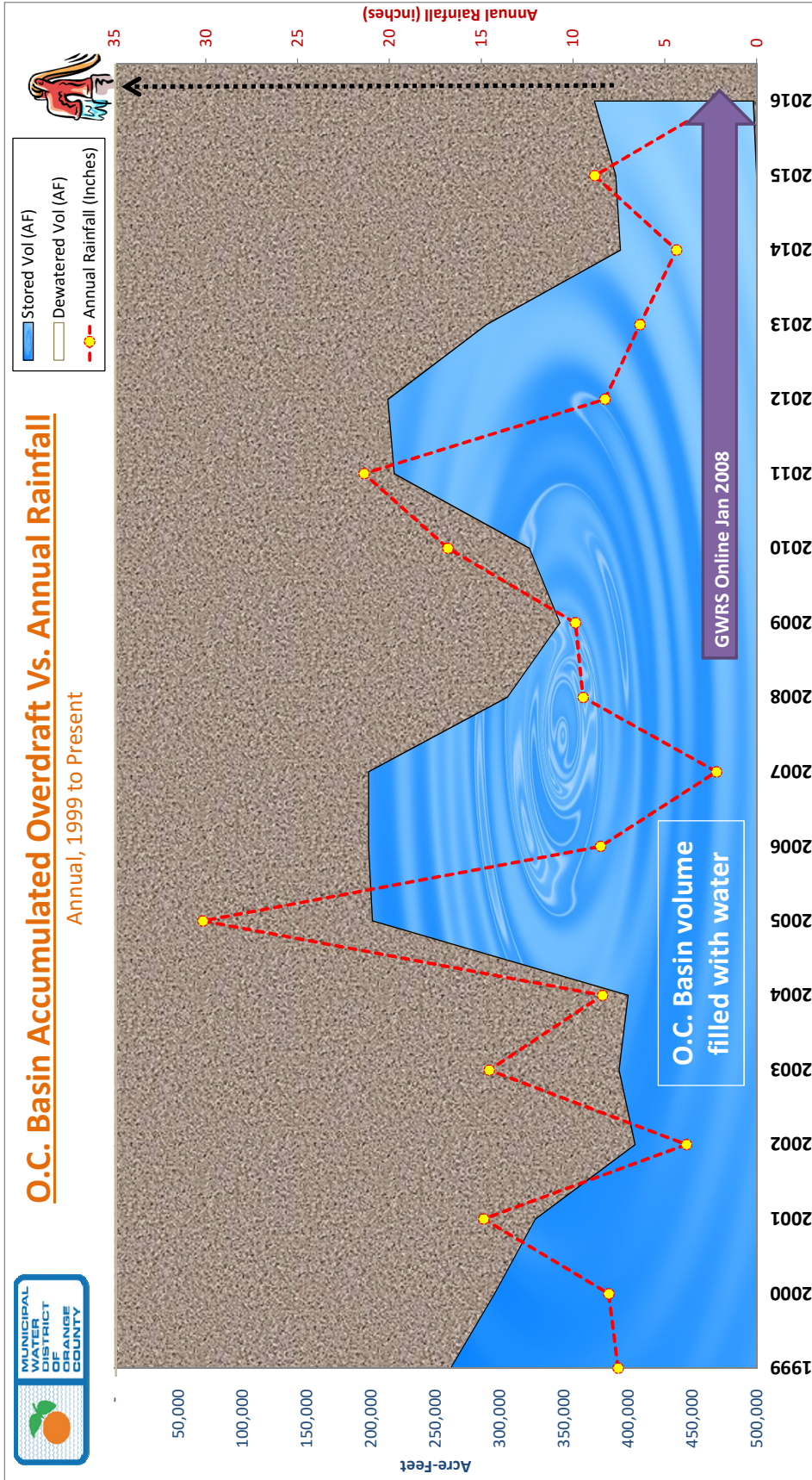


## O.C. Basin Accumulated Overdraft Vs. BPP %

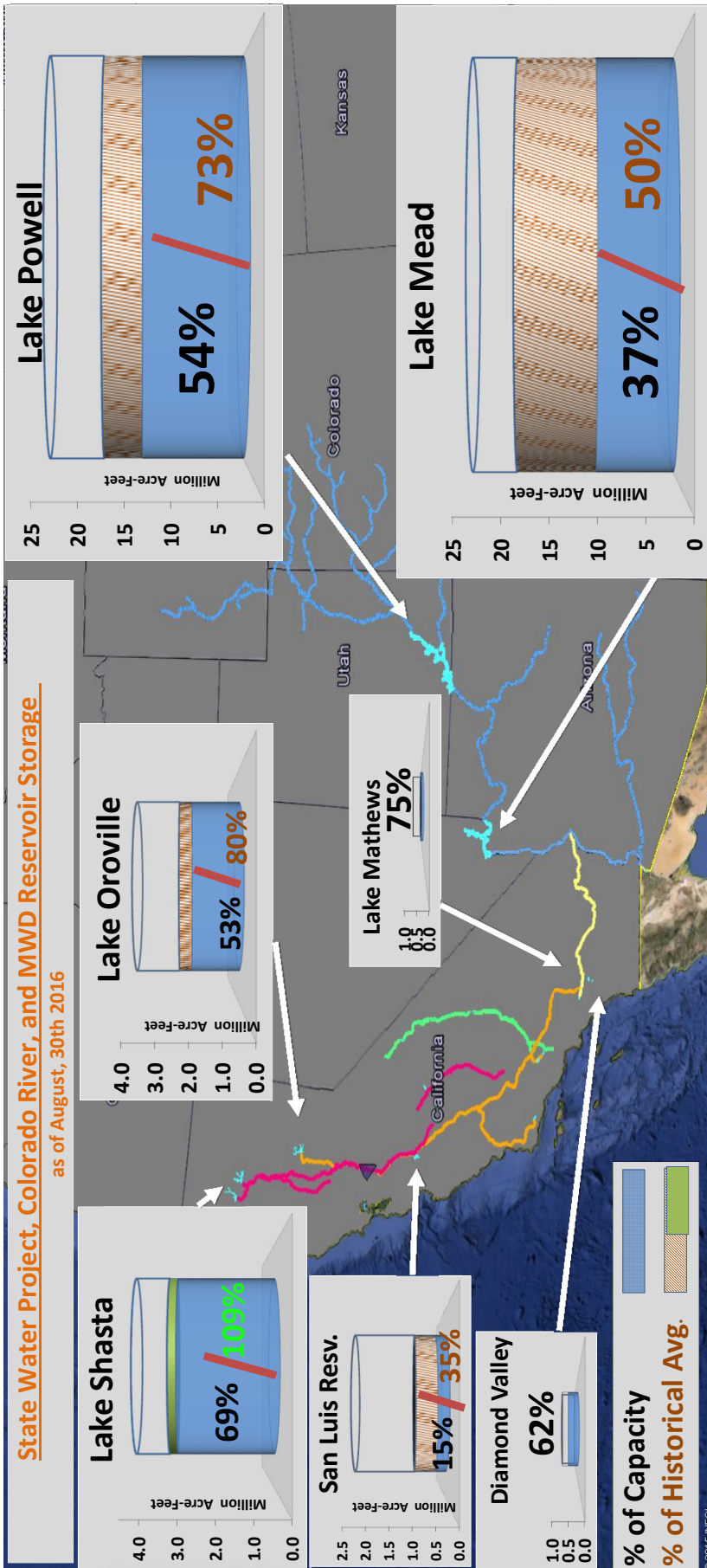
Annual, 1999 to Present



~ Accumulated Overdraft (dewatered volume) shown as white area, excluding the volume stored by Metropolitan. source: OCWD



~ Accumulated Overdraft (dewatered volume) shown as white area, excluding the volume stored by Metropolitan. source: OCWD





## Lake Mead Levels: Historical and Projected projection per USBR 24-Month Study

