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Minutes - Draft

To: NCPA Commission
From: Cary A. Padgett, Assistant Secretary to the Commission
Subject: October 27, 2016, NCPA Special Commission Meeting

Item #1 – Call Meeting to Order and Introductions

Chair Bob Lingl called the meeting to order at 9:42 am at NCPA's Roseville Office, 651 Commerce Drive, Roseville, California. A quorum was present. Introductions were made. Those in attendance are shown on the attached attendance list.

PUBLIC FORUM

Chair Lingl asked if any members of the public were present who would like to address the Commission on the agenda item. No members of the public were present.

DISCUSSION / ACTION ITEMS

Item #2 – Resolution No. 16-82, Authorizing the General Manager to Issue Purchase Orders to Carry Out the Lodi Energy Center Stack Stratification Correction Project – adopt resolution by all members authorizing the General Manager or his designee to issue Purchase Orders in a total amount not-to-exceed \$430,000 to carry out the Lodi Energy Center Stack Stratification Correction Project.

Fiscal Impact: total cost of the project is not-to-exceed \$430,000. A purchase order was issued on October 21, 2016, for mobilization and investigation into the issues and those costs are included in the total cost of the project. This project was not included in the current fiscal year budget. However, funds will be drawn from the existing budgeted maintenance account 553-009-011-610-044-001 to fund this project. There is a total of \$3.2M currently budgeted for fixed maintenance costs. Cost allocation will be based on generation entitlement share.

Lodi Plant Manager Michael DeBortoli gave a presentation and background on the Lodi Energy Center stack stratification correction project.

Motion: A motion was made by Gary Plass and seconded by Roger Frith to adopt resolution by all members authorizing the General Manager or his designee to issue Purchase Orders in a total amount not-to-exceed \$430,000 to carry out the Lodi Energy Center Stack Stratification Correction Project. The motion carried by a unanimous roll call vote of those members present. *BART, Gridley and Truckee Donner were absent. Alameda, Palo Alto, Port of Oakland, and Redding abstained.*

ADJOURNMENT

The October 27, 2016, Commission meeting was adjourned at 9:58 am.

Respectfully submitted,

CARY A. PADGETT
Assistant Secretary to the Commission

Northern California Power Agency
Commission Meeting of October 27, 2016
COMMISSIONER
Attendance List

NCPA Commissioners are requested to sign, but signature by members of the public is voluntary.

MEMBER	NAME
ALAMEDA	Madelin Elbertson
BIGGS	Roger I. Smith
GRIDLEY	
HEALDSBURG	Heidi A. Smith
LODI	Mark Chandler
LOMPOC	Russ A. Smith
PALO ALTO	Jane O. Katcheye
PORT OF OAKLAND	M. Paves
PLUMAS-SIERRA REC	Michael Briggs
REDDING	Barry Tipton
ROSEVILLE	Carol Garcia
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT	
SANTA CLARA	Teresa Driscoll
TRUCKEE DONNER	
UKIAH	M. J. Gaudin

Attendance List

NCPA Commissioners, Alternates & Staff are requested to sign, but signature by members of the public is voluntary.

NAME	AFFILIATION
Arthur Z...	NCPA asst general counsel
Gray Pharr	HALDSBURN
John Roarkema	Shasta Clearing
Michelle Bertolino	Rosennie
BARRY LESKA	ALAMEDA
Peggy Frith	Biggs
Alyssa Thompson	Koff & Associates
Donna Stevener	NCPA
Vicki Cichocki	NCPA
Michael DeBortoli	NCPA
Randy Bonersof	NCPA
Janet Cirrincione	NCPA
Dave Doodman	NCPA
LIZ KIRKLEY	Liz
Mike Brozo	PSREC
Mike Deer	NCPA - GC
Bob L...	Compa
Tom Miller	Shasta Lake

**Northern California Power Agency
ROLL CALL VOTE**

Topic: Resolution 16-82

	<u>VOTE</u>	<u>ABSTAIN</u>	<u>ABSENT</u>
Alameda	_____	<u>X</u>	_____
BART	_____	_____	<u>X</u>
Biggs	<u>Y</u>	_____	_____
Gridley	_____	_____	<u>X</u>
Healdsburg	<u>Y</u>	_____	_____
Lodi	<u>Y</u>	_____	_____
Lompoc	<u>Y</u>	_____	_____
Palo Alto	_____	<u>X</u>	_____
Plumas-Sierra	<u>Y</u>	_____	_____
Port of Oakland	_____	<u>X</u>	_____
Redding	_____	<u>X</u>	_____
Roseville	<u>Y</u>	_____	_____
Santa Clara	<u>Y</u>	_____	_____
Truckee Donner	_____	_____	<u>Y</u>
Ukiah	<u>Y</u>	_____	_____

Passed and adopted this 27th day of October 2016, by the above vote on roll call.

Bob Lingl
BOB LINGL
Chair

ATTEST: Cary A. Radgett
CARY A. RADGETT
Assistant Secretary



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Minutes - Draft

To: NCPA Commission

From: Cary A. Padgett, Assistant Secretary to the Commission

Subject: October 27, 2016, NCPA Commission Meeting

Item #1 – Call Meeting to Order and Introductions

Chair Bob Lingl called the meeting to order at 9:58 am at NCPA's Roseville Office, 651 Commerce Drive, Roseville, California. A quorum was present. Introductions were made. Those in attendance are shown on the attached attendance list.

Item #2 – Approve Minutes of the September 23, 2016, Regular Commission Meeting

Motion: A motion was made by Gary Plass and seconded by Mark Chandler to approve the Minutes of the September 23, 2016, Regular Commission Meeting. The motion carried unanimously on a voice vote of those members present.

PUBLIC FORUM

Chair Lingl asked if any members of the public were present who would like to address the Commission on the agenda items. No members of the public were present.

Member of Month was Vicki Cichocki NCPA's Human Resource Manager.

REPORTS AND COMMITTEE UPDATES

Item #3 – General Manager's Business Progress Report and Update

- NCPA Assistant General Manager and CFO Donna Stevener announced her plans to retire at the end of the year. In the process of working through a transition plan. Job announcement has been posted on NCPA's website
- Completed all NCPA member site visits for the year – met with City of Lompoc this week.
- Met with Modesto Irrigation District this week regarding potential NCPA membership.
- Held discussions with Merced Irrigation District (Merced) regarding potential membership. At this time, they are not ready to move forward with an application, but could in the near future.
- Provided an updated on the status of the Amendment No. 1 to the Joint Powers Agreement (JPA) – at this time, only three outstanding member signatures.

Item #4 – Executive Committee

Committee Chair Bob Lingl reported that the Committee met that morning and heard a report from the General Manager, discussed the results of NCPA's salary survey, General Counsel Position and met under closed session. No reportable action was take on the closed session item.

Item #5 – Facilities Committee

Assistant General Manager Dave Dockham reported the Committee met once since the last Commission meeting. The Committee met at its regular scheduled meeting and discussed Items 13, 14, 15, 19, 20, 21, and 22 on today's Agenda. The Committee also discussed revenue allocation, no action was take on that item, but the Committee will provide a recommendation at the next meeting. A quorum of the Committee was present at the meeting. The Committee recommended Commission approval of all items.

Item #6 – Finance Committee

Committee Chair Madeline Deaton reported the Committee met once since the last Commission meeting. The Committee held a special meeting on October 19th and discussed Items 16 and 17 on today's agenda. The Committee voted unanimously to recommend Commission approval of both items. The Geothermal Bond refunding deal successfully closed on October 6th and is included on today's agenda as Item 12. Jordan Ayers, Assistant City Manager/Finance Director at the City of Lodi announced his retirement in December. This will leave an opening on the Committee that will need to be filled.

The next regular Committee meeting is scheduled on November 9th at 10 am.

Item #7 – Legal Committee

General Counsel Michael Dean reported the Committee did not meet.

Item #8 – Legislative & Regulatory Affairs Committee

Committee Chair Gary Plass reported that the Committee will hold its annual Strategic Planning meeting on November 30th from 12:00 – 4:00 pm at NCPA's Roseville office.

Mark your calendar for the 2017 Strategic Issues Conference being held at the Embassy Suites in Sacramento January 17-19. Online registration will open on November 8th.

NCPA's new Electric Vehicle Working Group held its second meeting this week. The working group's next meeting will be held on December 14th with CMUA and SCPA.

Congratulated Roger and Mary Frith on their 50th wedding anniversary earlier this month.

Item #9 – Members' Announcements & Meeting Reporting

No member announcement or meeting reporting was provided.

CONSENT CALENDAR

Prior to the roll call vote to approve the Consent Calendar, the Commissioners were polled to determine if any member wished to pull an item or abstain from one or more items on the Consent Calendar. No items were pulled for discussion.

Motion: A motion was made by Gary Plass and seconded by Bob Lingl to approve the Consent Calendar consisting of Items 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, and 24. The motion carried by a majority of those members present on a roll call vote with the abstentions noted below for each item.

BART, Gridley and Truckee Donner were absent.

Item #10 – NCPA’s Financials for the Month Ended September 30, 2016 – approval by all members.

Item #11 – Treasurer’s Report for the Month Ended September 30, 2016 – accept by all members.

Item #12 – Final Report on Geothermal 2016A Bond Refunding – receive and file Geothermal 2016A Bond Refunding Report.

Fiscal Impact: the bond refunding resulted in net present value savings of \$1.034 million for the Geothermal participants. The savings will occur over the next 8 years through 2024 and will be allocated in accordance with project participant percentages as shown above.

Item #13 – Resolution 16-71, Approve ACCO Engineered Systems, Inc. – Five Year Multi-Task General Services Agreement for HVAC Maintenance Services; Applicable to the following projects: All NCPA Facility Locations, Members, SCPPA, and SCPPA Members – adopt resolution by all members authorizing the General Manager or his designee to enter into a Multi-Task General Services Agreement with ACCO Engineered Systems, Inc. for HVAC maintenance services, with any non-substantial changes recommended and approved by the NCPA General Counsel, which shall not exceed \$750,000 over five years for use at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority (“SCPPA”), or by SCPPA members.

Fiscal Impact: total cost of the agreement is not-to-exceed \$750,000 over five years to be used out of NCPA approved budgets as services are rendered. Purchase orders referencing the terms and conditions of the Agreement will be issued following NCPA procurement policies and procedures.

Item #14 – Resolution 16-72, Approve Burns & McDonnell – Five Year Multi-Task Professional Services Agreement for Consulting Services for Project Support and Plant Operations; Applicable to the following projects: All NCPA Facility Locations, Members, SCPPA, and SCPPA Members – adopt resolution by all members authorizing the General Manager or his designee to enter into a Multi-Task Professional Services Agreement with Burns & McDonnell for consulting services related to project support and plant operations, with any non-substantial changes recommended and approved by the NCPA General Counsel, which shall not exceed \$1,000,000 over five years for use at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority (“SCPPA”), or by SCPPA members.

Fiscal Impact: total cost of the agreement is not-to-exceed \$1,000,000 over five years to be used out of NCPA approved budgets as services are rendered. NCPA will bid the specific scope of work consistent with NCPA procurement policies and procedures. Purchase orders referencing the terms and conditions of the Agreement will be issued following NCPA procurement policies and procedures.

Item #15 – Resolution 16-73, Approve Hart High-Voltage Apparatus Repair & Testing Co., Inc. – Five Year Multi-Task General Services Agreement for Electrical Services; Applicable to the following projects: All NCPA Facility Locations, Members, SCLPPA, and SCLPPA Members – adopt resolution by all members authorizing the General Manager or his designee to enter into a Multi-Task General Services Agreement with Hart High-Voltage Apparatus Repair & Testing Co., Inc. for electrical services, with any non-substantial changes recommended and approved by the NCPA General Counsel, which shall not exceed \$700,000 over five years for use at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority (“SCLPPA”), or by SCLPPA members.

Fiscal Impact: total cost of the agreement is not-to-exceed \$700,000 over five years to be used out of NCPA approved budgets as services are rendered. Purchase orders referencing the terms and conditions of the Agreement will be issued following NCPA procurement policies and procedures.

Item #16 – Resolution 16-75, Approval of the Sixteenth Supplemental Indenture of Trust to Amend the Geothermal Project Number 3 Indenture of Trust – adopt resolution by all members to amend the Geothermal Bond Indenture to reflect the current project participation and future removal of the City of Palo Alto from the project in accordance with Amendment Two to the Agreement for Construction, Operation and Financing of Geothermal Generating Project Number 3, changes the deadline for submission of annual financial reports to 210 days from 120 days to match continuing disclosure requirements and removes the requirement for a special Accountant’s Certificate regarding bond covenant defaults.

Fiscal Impact: this amendment is for clarification of language only. There is no fiscal impact to NCPA.

Port of Oakland and Redding abstained.

Item #17 – Acceptance of the Annual Financial Statements and Associated Audit Report and Letters for the Years Ended June 30, 2016 and 2015 – accept and file by all members the Annual Financial Statements and Associated Audit Report and Letters for the years ended June 30, 2016 and 2015.

Fiscal Impact: this is a financial report for the years ended June 30, 2016 and 2015, which has no direct budget impact to the agency, but merely reports on the fiscal impacts for the last fiscal year.

Item #18 - Resolution 16-76, Approval of Updated Lodi Energy Center (LEC) Exhibit 8 to the Project Management and Operations Agreement Schedule 1.00 – adopt resolution by all members approving the changes to Exhibit 8 of PMOA Schedule 1.00.

Fiscal Impact: no significant costs will be incurred to implement the changes to the PMOA Schedules and funds are available in the NCPA budget to support the work associated with this contract update.

Palo Alto, Port of Oakland and Redding abstained.

Item #19 – Resolution 16-77, Approval of Scheduling Coordination Program Agreement Appendix B Version 20 – adopt resolution by all members approving implementing revised Scheduling Coordination Program Agreement (SCPA) Appendix B for the processing of CAISO daily and monthly settlements in accordance with the terms of the Appendix B.

Fiscal Impact: no significant costs will be incurred to implement the changes to the SCPA Appendices and funds are available in the NCPA budget to support the work associated with these contract updates.

Item #20 – Resolution 16-79, Approval of Amendment No. 2 to the BART Single Member Services Agreement – adopt resolution by all members approving the Amendment No. 2 to the BART SMSA, which includes a revised Attachment A that is attached to and made part of the BART SMSA, and authorize the General Manager of NCPA to execute Amendment No. 2 to the BART SMSA, on behalf of NCPA, including any non-substantive modifications to Amendment No. 2 to the BART SMSA approved by NCPA’s General Counsel.

Fiscal Impact: costs associated with development of Amendment No. 2 to the BART SMSA are included in the FY 2017 annual budget. All costs associated with NCPA's provision of services to BART pursuant to the BART SMSA are determined and allocated through the annual budget process.

Item #21 – Resolution 16-80, Approval of Amendment to Appendix E of the Amended and Restated Scheduling Coordination Program Agreement – adopt resolution by all members approving an amendment to Appendix E of the Amended and Restated Scheduling Coordination Program Agreement, to add the following three (3) generating resources to the list of resources that take Scheduling Coordination Services from NCPA: (i) Crow Creek Solar 1 (Resource ID: CRWCKS_1_SOLAR1), (ii) Western Antelope Blue Sky Ranch B LLC (Resource ID: BIGSKY_2_SOLAR4), and (iii) Elevation Solar C LLC (Resource ID: BIGSKY_2_SOLAR2).

Fiscal Impact: costs associated with administering the SCPA, including amending the appendices of the agreement, are included in the FY 2017 annual budget. All costs associated with NCPA's provision of Scheduling Coordination Services to the three (3) new resources are determined and allocated through the annual budget process.

Item #22 – Resolution 16-81, Approval of Extension of Natural Gas Pipeline Transportation Contracts for the NGTL and Foothills BC Pipeline Transportation Systems – adopt resolution by all members extending the natural gas pipeline transportation contracts to maintain NCPA's natural gas pipeline transport volume rights on the NOVA and Foothills transportation systems for one (1) year through October 31, 2018.

Fiscal Impact: based on current transportation rates, the cost for acquiring natural gas pipeline transportation capacity on the NOVA system is approximately \$130,000 per year, and acquiring natural gas pipeline transportation capacity on the Foothills system is approximately \$70,000 per year. All costs associated with acquiring natural gas pipeline transportation capacity on the NOVA and Foothills system are included in the NCPA annual budget, and are treated as Project Costs and allocated to the STIG project participants based on their respective project participation percentages.

Palo Alto, Port of Oakland and Redding abstained.

DISCUSSION / ACTION ITEMS

Item #23 – Resolution 16-74, Adoption of Amount of Employer Contribution to CalPERS Medical Plans for Calendar Year 2017 – adopt resolution by all members approving the fixed amount of \$1,615.91 per month as the maximum Agency contribution for the CalPERS Medical Plans for employees and annuitants and their dependents for calendar year 2017; and approve specific CalPERS Resolutions for each employee and/or employee/annuitant group including Resolution Nos. 16-74 A for IBEW Local 1245-Group 200, 16-74 B for HEA-Group 300, 16-74 C for Unrepresented Staff-Group 400, 16-74 D for Power Generation Employees-NPERS Group 701, 16-74 E for Unrepresented Administrative Members-NPERS Group 702, 16-74 F for HEA-NPERS Group 702, 16-74 G for IBEW Local 1245-Group 002, 16-74 H for HEA-Group 003, and 16-74 I for Unrepresented Staff-Group 004.

Fiscal Impact: the cost of the Agency's contribution for the CalPERS Medical Plans for employees and annuitants is included in the current fiscal year approved budget. The recommended monthly maximum contribution amount of \$1,615.91 for 2017 is \$10.66 less per employee/annuitant than the approved amount of \$1,626.56 in 2016.

Human Resources Manager Vicki Cichocki provided a brief update on the CalPERS medical insurance.

Motion: A motion was made by Barry Tippin and seconded by Gary Plass to adopt the resolution approving the fixed amount of \$1,615.91 per month as the maximum Agency contribution for the CalPERS Medical Plans for employees and annuitants and their dependents for calendar year 2017; and approve specific CalPERS Resolutions for each employee and/or employee/annuitant group including Resolution Nos. 16-74 A for IBEW Local 1245-Group 200, 16-74 B for HEA-Group 300, 16-74 C for Unrepresented Staff-Group 400, 16-74 D for Power Generation Employees-NPERS Group 701, 16-74 E for Unrepresented Administrative Members-NPERS Group 702, 16-74 F for HEA-NPERS Group 702, 16-74 G for IBEW Local 1245-Group 002, 16-74 H for HEA-Group 003, and 16-74 I for Unrepresented Staff-Group 004. The motion carried by a unanimous roll call vote of those members present.

BART, Gridley and Truckee Donner were absent

Item #24 – Overview of Budget Process and Approach – Request for Approval of 2017/18 NCPA Operating Budget Directions – approve by all members the 2017/18 Operating Budget directions as presented and instruct staff to prepare the draft 2017/18 Operating Budget in accordance with those approved directions.

Fiscal Impact: direction provided in this presentation will provide budget guidance for fiscal year 2017/18. Specific fiscal impact is not known at this time. Actual fiscal impact will be presented at the time of final approval of the 2017/18 Operating Budget, currently scheduled for April 2017.

Assistant General Manager/CFO Donna Stevener gave a presentation on the overview of the budget process and approach for FY2017-2018 Operating Budget.

Motion: A motion Carol Garcia and seconded by Madeline Deaton to approve the 2017/2018 Operating Budget directions as presented and instruct staff to prepare the draft 2017/2018 Operating Budget in accordance with those approved directions. The motion carried unanimously on a voice vote of those members present.

BART, Gridley, and the Truckee Donner were absent.

Item #25 – Resolution 16-78, 2016 Salary Survey and Recommendations for 2017 Salary Ranges – adopt resolution by all members approving to assign new salary grades to select job classifications, approve the 2017 salary ranges and pay schedule, and delegate authority to the General Manager to implement as well as make any minor adjustments as necessary.

Fiscal Impact: total annual cost to bring the employees up to the minimum of their respective job classifications is approximately \$17,562.80 and funding is included in the current fiscal year budget. Funds are available in NCPA's Salaries and Benefits accounts.

General Manager Randy Howard provided a brief background on the NCPA Salary Survey process. Human Resource Manager Vicki Cichocki provided a more detailed explanation of the results. Katie Kaneko of Koff and Associates, consultants that were awarded the contract to manage the salary survey study, provided the Commission with a presentation that outlined the study objective, criteria, scope of services, and outcome – unrepresented and dispatcher job classifications were not included in the study. Based on the study, most classifications will remain in the same pay grades, although some classifications, primarily in the Computer Technology and Power Settlements job families will move up and other, primarily in the Accounting and Materials Coordinator job families, will move down. In addition, some classifications recommended for salary grade changes, up or down, were not be fully implemented due to internal alignment issues. Overall, Koff and Associates determined that the majority of NCPA's positions are competitive in their current pay grades. The report showed NCPA's base salaries are 1.8 percent below the market, but 1.4 percent above with benefits, and the labor market position at the 70th percentile on base pay.

The Commission discussed and recommend approval of the resolution with the additional language in the second WHEREAS explaining that the labor market position at the 70th percentile on base pay was used.

Motion: A motion by Jane Ratchye and seconded by Gary Plass to adopt resolution approving to assign new salary grades to select job classifications, approve the 2017 salary ranges and pay schedule, and delegate authority to the General Manager to implement, as well as make any minor adjustments as necessary, and including language at the end of the second WHEREAS "...labor market position at the 70th percentile on base pay was used." The motion carried unanimously on a voice vote of those members present.

BART, Gridley, and the Truckee Donner were absent.

CLOSED SESSION

Item #26 – CONFERENCE WITH LEGAL COUNSEL – Existing litigation pursuant to Government Code Section 54956.9(d)(1): Name of case: *Northern California Power Agency, City of Redding, City of Roseville, and City of Santa Clara v. the United States*, Court of Federal Claims no. 14-817C.

REPORT FROM CLOSED SESSION

Upon return to open session, General Counsel Michael Dean reported there was no reportable action on Closed Session Item 26.

NEW BUSINESS

No new business was discussed.

ADJOURNMENT

The October 27, 2016, Commission meeting was adjourned at 11:28 am.

Respectfully submitted,

//

CARY A. PADGETT

Assistant Secretary to the Commission

Attachments

**Northern California Power Agency
Commission Meeting of October 27, 2016
COMMISSIONER
Attendance List**

NCPA Commissioners are requested to sign, but signature by members of the public is voluntary.

MEMBER	NAME
ALAMEDA	Madelene Ellerton
BIGGS	Ryan I. [Signature]
GRIDLEY	
HEALDSBURG	[Signature]
LODI	Mark Chandler
LOMPOC	[Signature]
PALO ALTO	Jane O. Katcheye
PORT OF OAKLAND	M. Paves
PLUMAS-SIERRA REC	Michael Bragg
REDDING	Barry Tiffin
ROSEVILLE	Carol Marcini
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT	
SANTA CLARA	Teresa Dreill
TRUCKEE DONNER	
UKIAH	M.J. Gaudin

**Northern California Power Agency
Commission Meeting of October 27, 2016
Attendance List**

NCPA Commissioners, Alternates & Staff are requested to sign, but signature by members of the public is voluntary.

NAME	AFFILIATION
Arthur Zayas	NCPA asst general counsel
Gray Pharr	HALDSBURN
John Roarkema	Santa Clara
Michelle Bertolino	Rosennie
BARRY LESKA	ALAMEDA
Peggy Feith	Biggs
Alyssa Thompson	Koff & Associates
Donna Stevener	NCPA
Vicki Cichocki	NCPA
Michael DeBortoli	NCPA
Randy Bonersof	NCPA
Janet Currinione	NCPA
Dave Dockham	NCPA
LIZ KIRKLEY	Liz
Mike Brozo	PSREC
Mike Deer	NCPA - GC
Bob Ling	Lompoc
Tom Miller	Shasta Lake

CONSENT CALENDAR

All items on the Consent Calendar are considered routine and will be approved without discussion by a single-roll call vote. Any Commissioner or member of the public may remove any item from the Consent Calendar. If an item is removed, it will be discussed separately following approval of the remainder of the Consent Calendar.

Prior to the roll call vote to approve the Consent Calendar, the Commissioners will be polled to determine if any Member wishes to abstain from one or more items on the Consent Calendar.

CONSENT CALENDAR ROLL-CALL APPROVAL

Commission Meeting Date: 10/27/16

Consent Items Listed on the Agenda: # 10 to # 24

Consent Items Removed from the Agenda and Approved Separately:

7

Hea / Lodi

ROLL-CALL VOTE BY MEMBERS:

Member	Item Numbers Abstained	Vote	Absent
Alameda		Y	
BART		Y	X
Biggs		Y	
Gridley		Y	Y
Healdsburg		Y	
Lodi		Y	
Lompoc		Y	
Palo Alto	18 22	Y	
Port of Oakland	16 18 22	Y	
Redding	16 18 22	Y	
Roseville		Y	
Santa Clara		Y	
Truckee Donner		Y	X
Ukiah		Y	
Plumas-Sierra		Y	
		Y	

ATTEST:

Cary A. Padgett
 Assistant Secretary to the Commission

**Northern California Power Agency
ROLL CALL VOTE**

Topic: Resolution 16-74

	<u>VOTE</u>	<u>ABSTAIN</u>	<u>ABSENT</u>
Alameda	<u>✓</u>	<u> </u>	<u> </u>
BART	<u> </u>	<u> </u>	<u>X</u>
Biggs	<u>✓</u>	<u> </u>	<u> </u>
Gridley	<u> </u>	<u> </u>	<u>X</u>
Healdsburg	<u>✓</u>	<u> </u>	<u> </u>
Lodi	<u>✓</u>	<u> </u>	<u> </u>
Lompoc	<u>✓</u>	<u> </u>	<u> </u>
Palo Alto	<u>✓</u>	<u> </u>	<u> </u>
Plumas-Sierra	<u>✓</u>	<u> </u>	<u> </u>
Port of Oakland	<u>✓</u>	<u> </u>	<u> </u>
Redding	<u>✓</u>	<u> </u>	<u> </u>
Roseville	<u>✓</u>	<u> </u>	<u> </u>
Santa Clara	<u>✓</u>	<u> </u>	<u> </u>
Truckee Donner	<u> </u>	<u> </u>	<u>X</u>
Ukiah	<u>✓</u>	<u> </u>	<u> </u>

Passed and adopted this 27th day of October 2016, by the above vote on roll call.

Bob Lingl
BOB LINGL
Chair

ATTEST: Cary A. Padgett
CARY A. PADGETT
Assistant Secretary

**Northern California Power Agency
ROLL CALL VOTE**

Topic: Resolution 16-78

	<u>VOTE</u>	<u>ABSTAIN</u>	<u>ABSENT</u>
Alameda	<u>✓</u>	<u> </u>	<u> </u>
BART	<u> </u>	<u> </u>	<u>X</u>
Biggs	<u>✓</u>	<u> </u>	<u> </u>
Gridley	<u> </u>	<u> </u>	<u>X</u>
Healdsburg	<u>✓</u>	<u> </u>	<u> </u>
Lodi	<u>✓</u>	<u> </u>	<u> </u>
Lompoc	<u>✓</u>	<u> </u>	<u> </u>
Palo Alto	<u>✓</u>	<u> </u>	<u> </u>
Plumas-Sierra	<u>✓</u>	<u> </u>	<u> </u>
Port of Oakland	<u>✓</u>	<u> </u>	<u> </u>
Redding	<u>✓</u>	<u> </u>	<u> </u>
Roseville	<u>✓</u>	<u> </u>	<u> </u>
Santa Clara	<u>✓</u>	<u> </u>	<u> </u>
Truckee Donner	<u> </u>	<u> </u>	<u>X</u>
Ukiah	<u>✓</u>	<u> </u>	<u> </u>

Passed and adopted this 27th day of October 2016, by the above vote on roll call.

Bob Lingl
BOB LINGL
Chair

ATTEST: Cary A. Padgett
CARY A. PADGETT
Assistant Secretary



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Commission Staff Report

AGENDA ITEM NO.: 5

Date: November 17, 2016

To: NCPA Commission

Subject: November 2, 2016 Facilities Committee Meeting Minutes & November 16, 2016
Special Facilities Meeting Minutes

The attached Draft Minutes are being provided for information and to augment the oral Committee report.



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Minutes

To: NCPA Facilities Committee
From: Michelle Schellentrager
Subject: November 2, 2016, Facilities Committee Meeting Minutes

1. **Call meeting to order & Roll Call** - The meeting was called to order by Committee Chair Alan Hanger at 9:06am. A sign-in sheet was passed around. Attending via teleconference and/or on-line presentation were Debbie Whiteman (Alameda), Mark Sorensen (Biggs), Paul Eckert (Gridley), Terry Crowley (Healdsburg), Monica Padilla (Palo Alto), Basil Wong (Port of Oakland), Kathleen Hughes and Steve Hance (Santa Clara), and Willie Manuel (TID). Those attending in person are listed on the attached Attendee Sign-in Sheet. Committee Representatives from BART, Lompoc, and Ukiah were absent. A quorum of the Committee was established.

PUBLIC FORUM

No public comment.

2. **Approve minutes from the October 5th Facilities Committee meetings.** A motion was made by Shannon McCann and seconded by Mike Brozo recommending approval of the October 5th Facilities Committee meeting minutes, as long as the sign-in sheet is attached to the version on the NCPA website. A vote was taken by roll call: YES = Biggs, Gridley, Healdsburg, Palo Alto, Plumas-Sierra, Port of Oakland, Roseville, Santa Clara. ABSTAIN = Alameda. The motion passed.
3. **Appointment of Facilities Committee Chair and Vice Chair** - In accordance with the Amended and Restated Facilities Agreement that became effective October 1, 2014, the current Vice Chair, Melissa Price, will assume the role of Facilities Committee Chair due to the conclusion of the existing Chair's annual term. Her new role becomes effective at the next Facilities Committee meeting. Mike Brozo has been nominated to serve as the Committee Vice Chair. The Committee took a vote to approve the appointment of the ensuing Vice Chair, and Mike Brozo was elected unanimously. The Committee Secretary remains Michelle Schellentrager.
4. **Geo Facility Disposition and Sulfur Cake** – Staff recommended approval to continue to allow the sale of the sulfur produced as a secondary product during standard operations at the Geysers Geothermal Facility, for agricultural amendments. The sulfur produced has vanadium and mercury limits well under the USA EPA standards. NCPA hired a consultant to review the practice and risk associated with selling its sulfur products. The consultant concluded that the use of the non-hazardous sulfur product for agricultural purposes is an acceptable and beneficial use of the material. The alternative would be to have the sulfur shipped to Kettleman Hills (the only landfill able to accept the material), at a cost of about \$250,000.

Motion: A motion was made by Shannon McCann and seconded by Melissa Price recommending Commission approval to allow the sale of the sulfur, for agricultural amendments, that is produced from the Geysers Geothermal Facility that has vanadium and mercury limits less than 100mg/kg (vanadium) and 17mg/kg (mercury). Any material with limits

above those will be properly disposed of in a landfill. A vote was taken by roll call: YES = Alameda, Biggs, Gridley, Healdsburg, Lodi, Plumas-Sierra, Roseville, Santa Clara, TID. ABSTAIN = Palo Alto, Port of Oakland. The motion passed.

- 5. GP Crane & Hoist Services Agreement** – Staff recommended for Commission to approve of a five year Multi-Task General Services Agreement with GP Crane & Hoist Services for an amount not to exceed \$500,000. GP Crane would perform inspections, annual certifications, and maintenance for the overhead bridge cranes as well as the boom truck. NCPA has had an agreement in place with GP Crane in the past. As this activity would not result in a direct or indirect change in the physical environment, no environmental review would be required.

Motion: A motion was made by Melissa Price and seconded by Shannon McCann recommending Commission approval of a five year Multi-Task General Services Agreement with GP Crane & Hoist Services for an amount not to exceed \$500,000 for inspection and maintenance services for cranes and related equipment at all facilities owned and/or operated by NCPA, its Members, SPCPA, and SPCPA members. All purchase orders issued pursuant to the agreement will be charged against approved Annual Operating budgets (Sponsor Geo). A vote was taken by roll call: YES = Alameda, Biggs, Gridley, Healdsburg, Lodi, Palo Alto, Plumas-Sierra, Roseville, Santa Clara, TID. The motion passed.

- 6. Power Management Revenue Allocation Update** – Staff presented analysis, findings, and recommendations regarding policy considerations for Revenue Allocation. The materials were based on the work of the Review Group, which met four times on this topic. Following staff's presentation, Members raised questions regarding the accounting and timing of revenue allocations. Staff explained that revenue allocations would automatically be applied every month to each member's monthly bill for Power Management Services. Members expressed that they are uncomfortable with netting the revenues with the costs in the accounting process; they would prefer revenues and costs be accounted for separately. Members are comfortable with net billing on the All Resources Bill, once revenues and costs are properly accounted for. There is also a concern from members about how they will be able to factor these projected revenues into their annual budgets. Staff made a broad recommendation to use the Nexant model to calculate the allocation of these revenues, possibly having a separate tab in Nexant specifically for Power Management Revenues. The Facilities Committee voted on this recommendation.

Motion: A motion was made by Monica Padilla and seconded by Mike Brozo recommending Commission approval of recommendation to use the Power Management & Administrative Services cost allocation model (a.k.a. the Nexant model) to develop allocation of revenues. The Facilities Committee will review the actual determinants resulting from cost allocation models to use and develop a recommendation. A vote was taken by roll call: YES = Alameda, Biggs, Gridley, Healdsburg, Lodi, Palo Alto, Plumas-Sierra, Port of Oakland, Roseville, Santa Clara, TID. The motion passed.

The Committee discussed whether non-members that are Participants in projects that are owned and operated by NCPA should be allocated revenues. The Committee discussed the merits to each course of action. The Facilities Committee decided to vote on the issue of who will be eligible for revenues, with the understanding that revenue allocation for future projects will be determined separately.

Motion: A motion was made by Shannon McCann and seconded by Willie Manuel recommending Commission approval to allocate revenues to NCPA members and non-members that are project participants that are subject to the variable rate cost structure of the Power Management Administrative Services cost allocation model. At this time, the only eligible non-member participants are the LEC Project participants and TID. A vote was taken by roll

call: YES = Alameda, Biggs, Gridley, Healdsburg, Lodi, Plumas-Sierra, Port of Oakland, Roseville, Santa Clara, TID. NO = Palo Alto. The motion passed.

The Committee referred several topics back to the Review Group for additional analysis and discussion, including how to handle new members and how the transition period should be handled (for any non-members who become members), whether to allocate a proportion of revenues through the Administrative and General business unit, and selecting a revenue allocation determinate using the Nexant model. The Review Group will come back to the Facilities Committee at a later time with additional recommendations.

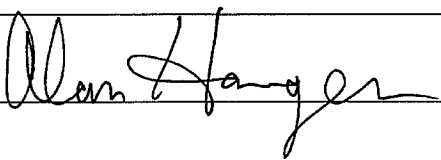
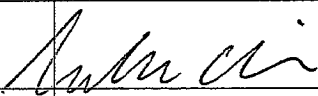
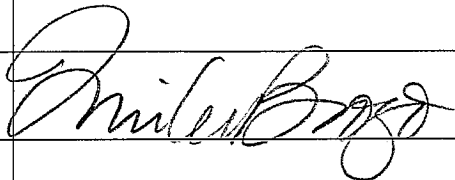
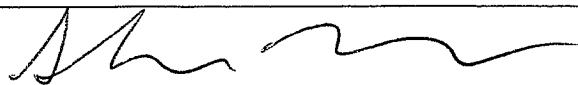
7. **NCPA Insurance Renewal Update** – NCPA has put out an FRP for new insurance; goal is to keep the insurance rates flat. All bids should be received by November 11th. This will need to go before the December Commission Meeting, so a Special Facilities Committee Meeting will need to be scheduled. The Committee agreed on November 16 at 10:00 AM for the Special Meeting.
8. **Planning and Operations Update** –
 - Staff reported that a services proposal was submitted to Merced Irrigation District on May 31st.
 - Short-term planner, Don Imamura is retiring effective June 2nd; Bernard Erlich has been hired as his replacement.
 - NCPA is working with CMUA regarding Transmission Access Charges and the CAISO regionalization. Staff will provide to the Facilities Committee the straw proposal regarding CMUA's TAC Allocation methodology.
 - Shasta's membership application was approved at the May Legislative & Regulatory Committee meeting. This will be brought to the June Commission meeting for approval of the application.
9. **Schedule next meeting date** – the next regular Facilities Committee meeting is scheduled for December 7th.

ADJOURNMENT

The meeting was adjourned at 11:58am.

**Northern California Power Agency
Facilities Committee Meeting of November 2, 2016
Facilities Committee
Attendance List**

NCPA Facilities Committee members are requested to sign, but signature by members of the public is voluntary.

MEMBER	NAME
ALAMEDA	
BART	
BIGGS	
GRIDLEY	
HEALDSBURG	
LODI	
LOMPOC	
PALO ALTO	
PLUMAS-SIERRA REC	
PORT OF OAKLAND	
ROSEVILLE	
SANTA CLARA	
TID	
UKIAH	

Attendance List

NCPA Facilities Committee members, Alternates & Staff are requested to sign, but signature by members of the public is voluntary.

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651 Commerce Drive
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Minutes

To: NCPA Facilities Committee
From: Michelle Schellentrager
Subject: November 16, 2016, Special Facilities Committee Meeting Minutes

1. **Call meeting to order & Roll Call** - The meeting was called to order by Committee Chair Alan Hanger at 10:03am. A sign-in sheet was passed around. Attending via teleconference and/or on-line presentation were Mark Sorensen (Biggs), Paul Eckert (Gridley), Melissa Price (Lodi), Monica Padilla (Palo Alto), Nico Procos (Port of Oakland), Wes Gray and Mike Brozo (Plumas-Sierra), Shannon McCann (Roseville), and Steve Hance (Santa Clara). Those attending in person are listed on the attached Attendee Sign-in Sheet. Committee Representatives from BART, Healdsburg, Lompoc, TID, and Ukiah were absent. A quorum of the Committee was established.

PUBLIC FORUM

No public comment.

2. **2017 NCPA Insurance Renewal** - Staff recommended approval of the proposed major insurance renewals. Staff extended the term so that special Facilities meetings will not be necessary in the future (updated term runs from Dec 15, 2016 – Dec 15, 2017). At members' request, staff provided a table showing the cost comparisons for premiums between FY16 and FY17. There was a brief discussion on potential avenues for lowering premiums in the future.

Motion: A motion was made by Shannon McCann and seconded by Melissa Price recommending Commission approval of the proposed major insurance renewals and authorize the General Manager or his designee to bind the coverage at amounts not to exceed the proposed premiums. A vote was taken by roll call: YES = Alameda, Gridley, Lodi, Palo Alto, Plumas-Sierra, Roseville and Santa Clara. The motion passed.

3. **Power Management Revenue Allocation** – Staff recommended that the Facilities Committee approve one of three options for how Power Management revenues would be calculated. James Takehara provided an overview of each option, explaining which budget areas would be factored into the calculations for each of the three options. James also gave a breakdown of the revenue allocation discussions that took place at the UD meeting, including feedback and preferences expressed by the UD's. A discussion about revenue determinates took place, with members debating the merits of the three available options.

Motion: A motion was made by Shannon McCann and seconded by Monica Padilla recommending Commission approval for utilizing Option 3 for calculating how Power Management Revenues may be allocated for FY18. A vote was taken by roll call: YES = Alameda, Biggs, Gridley, Lodi, Palo Alto, Roseville and Santa Clara. NO = Plumas Sierra. The motion passed.

A discussion took place regarding whether or not to allocate a portion of Power Management revenues to A&G. James provided a flow chart which members found helpful for visualizing how

A&G allocations would be distributed. James also provided a table which broke down the estimated amounts that would go towards L&R programs. There was a discussion among the members regarding what percentage of the Power Management revenues would be appropriate to allocated to A&G.

Motion: A motion was made by Steve Hance and seconded by Alan Hanger recommending Commission approval for allocating 10% of the Power Management Revenues through the A&G for FY18, with the understanding that the concept will be re-evaluated after one year. A vote was taken by roll call: YES = Alameda, Gridley, Lodi, Palo Alto, Plumas-Sierra, Roseville and Santa Clara. The motion passed.

James also provided an update on member transition issues. The review group still needs to define what constitutes a new member, as well as further discuss the use of lag data for determining eligibility for receiving revenues. The review group will discuss these member transition issues further before coming back to the Committee with recommendations.

ADJOURNMENT

The meeting was adjourned at 12:21pm.

**Northern California Power Agency
Facilities Committee Meeting of November 16, 2016
Facilities Committee
Attendance List**

NCPA Facilities Committee members are requested to sign, but signature by members of the public is voluntary.

MEMBER	NAME
ALAMEDA	<i>Alan Hanger</i>
BART	
BIGGS	
GRIDLEY	
HEALDSBURG	
LODI	
LOMPOC	
PALO ALTO	
PLUMAS-SIERRA REC	
PORT OF OAKLAND	
ROSEVILLE	
SANTA CLARA	
TID	
UKIAH	

**Northern California Power Agency
Facilities Committee Meeting of November 16, 2016
Attendance List**

NCPA Facilities Committee members, Alternates & Staff are requested to sign, but signature by members of the public is voluntary.

[illegible]



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Commission Staff Report

AGENDA ITEM NO.: 6

Date: December 1, 2016

To: NCPA Commission

Subject: November 9, 2016 Finance Committee Meeting Minutes

The attached Draft Minutes are being provided for information and to augment the oral Committee report.



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TO: NCPA Finance Committee

FROM: Donna Stevener, AGM/CFO Finance/Administrative Services

SUBJECT: November 9, 2016 Finance Committee Meeting Minutes

Finance Committee Attendees:

Committee Members

Madeline Deaton,	Alameda	Call-in
Chair		
Ann Hatcher	Santa Clara	Call-in
Jordan Ayers	Lodi	Call-in
Matt Michealis	Gridley	Call-in
Philip McAvoy	Roseville	Call-in

NCPA Staff

Donna Stevener
Randy Howard
Sondra Ainsworth
Victoria Nguyen

Attended:

Consultants

Mike Berwanger	PFM
Rian Irani	PFM
Tyler Old	PFM
Gene Carron	Orrick
Marc Bauer	Orrick
Larry Sobel	Orrick

Public

Bob Orbeta	Alameda
Tarun Narayan	Palo Alto

1. & 2. Call Meeting to Order and Roll Call

Chair Madeline Deaton called the meeting to order at 10:10 a.m. and roll call was conducted as listed above.

3. Approve Minutes of September 14, 2016 and October 19, 2016

Motion: A motion was made by Jordan Ayers and seconded by Matt Michaelis recommending approval of the September 14th and October 19th meeting minutes.

<i>Representative</i>	<i>Member Org</i>	<i>Vote</i>
Madeline Deaton, Chair	Alameda	Yes
Ann Hatcher	Santa Clara	Yes
Jordan Ayers	Lodi	Yes
Matt Michaelis	Gridley	Yes
Philip McAvoy	Roseville	Yes

Voting Results: 5 Ayes, 0 Noes, 0 Abstain, 0 Absent

PUBLIC FORUM

Ms. Deaton asked if anyone wished to address the Committee on matters within the jurisdiction of the Committee. No one from the public was present at the site or at any of the teleconference locations.

REPORTS AND COMMITTEE ACTION ITEMS

4. Review and approve the Finance Committee Calendar for 2017

Donna Stevener reminded the Committee that regular meetings of the Finance Committee are held on the 2nd Wednesday of February, May, August and November each year beginning at 10:00 a.m. A proposed calendar for calendar year 2017 was presented and approved as presented.

Motion: A motion was made by Ann Hatcher and seconded by Jordan Ayers recommending approval of the 2017 Finance Committee meeting calendar.

<i>Representative</i>	<i>Member Org</i>	<i>Vote</i>
Madeline Deaton, Chair	Alameda	Yes
Ann Hatcher	Santa Clara	Yes
Jordan Ayers	Lodi	Yes
Matt Michaelis	Gridley	Yes
Philip McAvoy	Roseville	Yes

Voting Results: 5 Ayes, 0 Noes, 0 Abstain, 0 Absent

5. Review and Discussion of a Proposed Long-Term CalPERS Pension Funding Plan

Ms. Stevener reviewed a PowerPoint presentation about the current unfunded pension liability for the CalPERS retirement plans and reviewed possible options for accelerating the amortization of this obligation, similar to the plan adopted earlier this year for the unfunded retiree medical plan. Management is recommending consideration of a plan that could be funded with the FY 2018 budget which is now in the initial stages of preparation. The Committee discussed the issue and had the follow guidance for a draft policy to be considered further at the next Finance Committee meeting:

- Maintain flexibility and don't lock in a funding plan with CalPERS
- Consider placing any funds in a separate trust like PARS (Jordan Ayers will provide specific information to staff on what Lodi has done with their prefunding program)
- Reevaluate any funding plan annually to maintain flexibility
- Consider the 15 year funding option as it appears to provide the best balance of "extra funding" and projected savings

Phillip McAvoy indicated that Roseville could not support any of the proposed options at this time.

Staff will prepare more information on the expected UAL funding for the next five years and look in to the PARS trust option prior to the next meeting. A formal policy will be drafted for consideration by the Committee at a special meeting in January.

Note: Item 7 was taken out of order and Ms. Hatcher left the meeting at 11:22 a.m. after discussion of Item 7 and prior to discussion of Item 6.

6. Annual Review of NCPA Investment Policy and Guidelines – Policy 200-100 and Delegation of Investment Duties to the Treasurer-Controller

Sondra Ainsworth discussed that it is a best practice to annually review the investment policy and that NCPA has a legal requirement to formally delegate investment authority to the Treasurer-Controller on an annual basis. Ms. Ainsworth outlined the changes recommended to the investment policy, which were mostly clean up items. A staff report and redlined version of the Investment Policy were presented to the Committee. The following motion was introduced:

Motion: A motion was made by Jordan Ayers and seconded by Philip McAvoy recommending that the NCPA Commission approve a Resolution adopting the revised NCPA Investment Policy and delegating authority to the Treasurer-Controller for making investments on behalf of the agency for the next year.

<i>Representative</i>	<i>Member Org</i>	<i>Vote</i>
Madeline Deaton, Chair	Alameda	Yes
Ann Hatcher	Santa Clara	Absent
Jordan Ayers	Lodi	Yes
Matt Michaelis	Gridley	Yes
Philip McAvoy	Roseville	Yes

Voting Results: 4 Ayes, 0 Noes, 0 Abstain, 1 Absent

7. Report on Recent Rating Agency Actions

Ms. Stevener reported that Silicon Valley Power (SVP) has been put on “negative watch” by Standard & Poor’s (S & P), which is a change in the rating outlook, not a change in the rating itself. Since SVP is a major participant in the Hydroelectric Project, NCPA has received notice that the Hydroelectric bond rating outlook has also been downgraded to “negative”. Ms. Hatcher reported that the concern was SVP’s use of rate stabilization reserves and that S & P’s “Fixed coverage ratio” was considered low by S & P due to using the reserves. Ms. Hatcher indicated that SVP has a planned rate increase that is moving forward that will improve this ratio. S & P told SVP that another review will occur in 12 – 18 months and that a “negative” outlook means there is a 33% chance of a downgrade over the next 2 to 3 years. Mr. Berwanger, PFM, indicated that although NCPA’s Hydroelectric bond outlook was also downgraded to “negative”, there is not immediate impact to NCPA at this time.

8. Report on Current Financial Market Conditions or Issues

Mr. Berwanger, PFM, reported on the recent changes to the municipal bond market due to the Presidential election on November 8th. Both the Treasury and municipal rates are up 15 basis points in one day. The long term rates were already up 25 basis points from our last meeting, but the short term rates are still low in comparison to historical rates. The Geothermal refunding happened at a good time based on the recent increase in rates. Municipal bond rates are up more than Treasury rates due to excess supply in the municipal market. Since the last report, concerns surrounding money market reforms have subsided and SIFMA is down from 80 to 50 basis points. The effect of the election on short term rates will be seen next week as variable rate indices are set on Tuesdays. Basically, page 9 of the presentation can be thrown out since the Election changed everything. Expectations are still that the Fed will raise interest rates by 25 basis points in December. It will be interesting to see if long term rates follow suit or if the yield curve will flatten.

Mr. Berwanger reviewed a proposal for refunding the Hydroelectric bonds submitted by Key Bank. This would be a deal that issues taxable debt to do an advanced refunding. It is a creative idea, but due to tax implications it is somewhat complicated. The recent increase in rates have made the idea less appealing. It could be considered if rates go down, otherwise the recommendation is to wait until the call date of the bonds to consider refunding. The Committee members concurred that there is no interest at this time in pursuing this proposal.

Mr. Berwanger then discussed SB 1029, a law that was recently passed requiring additional reporting on tax exempt debt issued in California and requiring that a formal debt policy be in place prior to issuing debt. The law lays out specific specific components that need to be included in the debt policy. While NCPA already has a debt policy, PFM has performed a review of the current policy and has provided staff with recommended changes to comply with SB 1029. This will be brought back to the Finance Committee for consideration at a future meeting.

NEW BUSINESS

9. Other Items of Interest to the Finance Committee

Ms. Stevener thanked Jorday Ayers for his years of service on the NCPA Finance Committee and congratulations on his upcoming retirement. Ms. Stevener announced that she too was retiring in December. Ms. Deaton thanked Ms. Stevener for her contributions to NCPA and the members over the years and wished her the best in the future.

10. Next Finance Committee Meeting

The next regular Finance Committee meeting is scheduled for February 8, 2017 at 10:00 a.m. A special Finance Committee meeting will be called in January to consider the proposed Pension Funding Plan.

ADJOURNMENT

Meeting was adjourned at approximately 11:49 a.m.



10


Commission Staff Report

November 10, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: October 2016 Financial Report (Unaudited)

AGENDA CATEGORY: Consent

FROM:	Sondra Ainsworth 	METHOD OF SELECTION:
	Treasurer-Controller	N/A
Division:	Administrative Services	
Department:	Accounting & Finance	

IMPACTED MEMBERS:

All Members <input checked="" type="checkbox"/>	City of Lodi <input type="checkbox"/>	City of Ukiah <input type="checkbox"/>
Alameda Municipal Power <input type="checkbox"/>	City of Lompoc <input type="checkbox"/>	Plumas-Sierra REC <input type="checkbox"/>
Bay Area Rapid Transit <input type="checkbox"/>	City of Palo Alto <input type="checkbox"/>	Port of Oakland <input type="checkbox"/>
City of Biggs <input type="checkbox"/>	City of Redding <input type="checkbox"/>	Truckee Donner PUD <input type="checkbox"/>
City of Gridley <input type="checkbox"/>	City of Roseville <input type="checkbox"/>	Other <input type="checkbox"/>
City of Healdsburg <input type="checkbox"/>	City of Santa Clara <input type="checkbox"/>	<i>If other, please specify:</i>

RECOMMENDATION:

Approval by all members.

NOTICE:

The disbursements of the Northern California Power Agency for the month reported herein, will be approved at the December 1, 2016 meeting of the NCPA Commission. The following page is a summary of those disbursements.

Prior to the Chairman's call to order, the Assistant Secretary to the Commission will, upon request, make available for review the detailed listing of those disbursements.

The report of budget vs. actual costs and the unaudited October 2016 financial reports are also included.

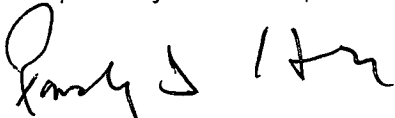
FISCAL IMPACT:

This report has no direct budget impact to the Agency.

ENVIRONMENTAL ANALYSIS:

The financial report would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 of the California Environmental Quality Act. No environmental review is necessary.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Randy S. Howard", with a stylized flourish at the end.

RANDY S. HOWARD
General Manager

Attachments: (1)

**NORTHERN CALIFORNIA POWER AGENCY
and ASSOCIATED POWER CORPORATIONS**

**Schedule of Disbursements
(Unaudited)**

For the Month of October 2016

Operations:

Geothermal	\$ 1,264,438
Hydroelectric	3,253,802
CT#1 Combustion Turbines	121,737
CT#2 STIG	561,617
Lodi Energy Center	3,202,981
NCPA Operating	<u>21,814,905</u>
Total	<u><u>\$ 30,219,480</u></u>

NORTHERN CALIFORNIA POWER AGENCY
REPORT OF BUDGET VS. ACTUAL COST
FOR THE PERIOD ENDED OCTOBER 31, 2016

PERCENT OF
YEAR ELAPSED
33%

	This Month	Actual Year To-Date	FY 2017 Budget	% Used	
GENERATION RESOURCES					
NCPA Plants					
Hydroelectric					
Other Plant Cost	\$ 1,212,611	\$ 3,654,836	\$ 13,601,891	27%	
Debt Service (Net)	3,187,715	12,750,858	38,252,575	33%	
Annual Budget Cost	4,400,326	16,405,694	51,854,466	32%	
Geothermal					
Other Plant Cost	2,132,968	7,831,718	28,035,560	28%	
Debt Service (Net)	425,812	1,703,248	5,109,745	33%	
Annual Budget Cost	2,558,780	9,534,966	33,145,305	29%	
Combustion Turbine No. 1	449,518	1,163,311	2,648,330	44%	(a)
Combustion Turbine No. 2 (Stig)					
Fuel and Pipeline Transport Charges	59,906	279,022	936,070	30%	
Other Plant Cost	39,624	609,170	2,025,600	30%	
Debt Service (Net)	468,797	1,875,189	5,625,568	33%	
Annual Budget Cost	568,327	2,763,381	8,587,238	32%	
Lodi Energy Center					
Fuel	641,661	4,242,664	44,100,578	10%	
Other Plant Cost	1,946,887	5,771,518	22,453,402	26%	
Debt Service (Net)	2,199,759	8,799,037	26,437,261	33%	
Annual Budget Cost	4,788,307	18,813,219	92,991,241	20%	
Member Resources - Energy	3,026,429	14,779,240	45,637,694	32%	
Member Resources - Natural Gas	402,317	1,762,506	4,877,728	36%	
Western Resources	1,000,648	8,560,356	30,288,301	28%	
Market Power Purchases	2,645,631	8,779,360	39,302,363	22%	
Load Aggregation Costs - CAISO	18,377,205	50,832,189	240,128,621	21%	
Net GHG Obligations	-	534,660	2,539,910	21%	
	38,217,488	133,928,882	552,001,197	24%	
TRANSMISSION					
Independent System Operator					
Grid Management Charge	91,601	1,030,889	3,799,908	27%	
Wheeling Access Charge	5,951,536	27,058,857	74,972,258	36%	
Ancillary Services	99,256	769,519	1,421,202	54%	(b)
Other Charges	1,014,339	1,829,507	807,975	226%	(c)
	7,156,732	30,688,772	81,001,343	38%	

NORTHERN CALIFORNIA POWER AGENCY
REPORT OF BUDGET VS. ACTUAL COST
FOR THE PERIOD ENDED OCTOBER 31, 2016

PERCENT OF YEAR ELAPSED 33%

	This Month	Actual Year To-Date	FY 2017 Budget	% Used	
MANAGEMENT SERVICES					
Legislative & Regulatory					
Legislative Representation	162,481	505,702	1,896,810	27%	
Regulatory Representation	85,555	262,099	794,328	33%	
Western Representation	50,730	177,235	816,695	22%	
Member Support Services	39,876	123,348	432,215	29%	
Judicial Action	65,293	89,513	625,000	14%	
Power Management					
System Control & Load Dispatch	521,690	1,704,357	5,621,941	30%	
Forecasting, Planning, Prescheduling & Trading	221,336	685,061	2,554,949	27%	
Industry Restructuring & Regulatory Affairs	34,589	98,534	414,128	24%	
Contract Admin, Interconnection Svcs & External Affairs	81,473	283,891	1,136,523	25%	
Green Power Project	173	632	17,782	4%	
Gas Purchase Program	6,360	19,865	86,550	23%	
Market Purchase Project	8,505	27,468	127,856	21%	
Energy Risk Management					
Settlements	15,152	50,877	211,925	24%	
Integrated Systems Support	61,757	168,047	861,558	20%	
Participant Pass Through Costs	2,624	71,568	310,532	23%	
Support Services	197,520	303,423	1,417,039	21%	
	11,827	12,437	-	N/A	
	1,566,941	4,584,057	17,325,831	26%	
TOTAL ANNUAL BUDGET COST	46,941,161	169,201,711	650,328,371	26%	
LESS: THIRD PARTY REVENUE					
Plant ISO Energy Sales	4,708,988	20,172,454	118,942,685	17%	(d)
Load Aggregation Energy Sales	11,573,753	29,020,461	184,116,660	16%	(e)
Ancillary Services Sales	282,796	1,382,662	3,790,032	36%	
Other ISO Revenue	1,573,137	3,236,953	-	N/A	
Transmission Sales	9,198	36,792	110,376	33%	
Western Credits, Interest and Other Income	867,407	9,085,131	14,810,642	61%	
	19,015,279	62,934,453	321,770,395	20%	
NET ANNUAL BUDGET COST TO PARTICIPANTS	\$ 27,925,882	\$ 106,267,258	\$ 328,557,976	32%	

- (a) Increase in costs due to greater than projected MWhs of generation. CT1 is at 218% of budgeted MWhs at 10/31/16. Fuel costs, CA ISO charges, and other variable costs have all increased as a result of increased generation.
- (b) Ancillary services requirements increased two to three times. Budgeted price per MWh were \$5-\$10 while actuals were in the \$15-\$20 per MWh range.
- (c) The large budget to actual variance is caused by unbudgeted CA ISO costs including imbalance costs, neutrality allocations, congestion offsets, and other cost allocations. These costs are not budgeted due to their unpredictable nature.
- (d) Variance due to lower than anticipated ISO energy sales for the Lodi Energy Center (LEC). Power values in the CAISO markets remain low. In addition, LEC was offline from 10/20/16 to 10/31/2016 due to a failed emissions test. As a result, LEC is at 26% of budgeted generation at 10/31/16.
- (e) Market prices down due to increased hydro and solar generation availability in the CAISO markets.

COMBINED STATEMENTS OF NET POSITION

NORTHERN CALIFORNIA POWER AGENCY AND ASSOCIATED POWER CORPORATIONS

UNAUDITED

	October 31,	
	2016	2015
	(in thousands)	
ASSETS		
CURRENT ASSETS		
Cash and cash equivalents	\$ 37,272	\$ 49,065
Investments	26,351	29,082
Accounts receivable		
Participants	-	2
Other	317	854
Interest receivable	208	161
Inventory and supplies	9,258	8,298
Prepaid expenses	205	63
TOTAL CURRENT ASSETS	73,611	87,525
RESTRICTED ASSETS		
Cash and cash equivalents	41,780	42,245
Investments	160,478	153,677
Interest receivable	528	366
TOTAL RESTRICTED ASSETS	202,786	196,288
ELECTRIC PLANT		
Electric plant in service	1,500,967	1,500,510
Less: accumulated depreciation	(922,218)	(891,657)
	578,749	608,853
Construction work-in-progress	253	89
TOTAL ELECTRIC PLANT	579,002	608,942
OTHER ASSETS		
Regulatory assets	248,371	251,629
Unused vendor credits	44	-
TOTAL ASSETS	1,103,814	1,144,384
DEFERRED OUTFLOWS OF RESOURCES		
Excess cost on refunding of debt	51,657	59,526
Pension deferrals	9,093	5,310
TOTAL DEFERRED OUTFLOWS OF RESOURCES	60,750	64,836
TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES	\$ 1,164,564	\$ 1,209,220

COMBINED STATEMENTS OF NET POSITION

NORTHERN CALIFORNIA POWER AGENCY AND ASSOCIATED POWER CORPORATIONS

UNAUDITED

	October 31,	
	2016	2015
	(in thousands)	
LIABILITIES		
CURRENT LIABILITIES		
Accounts payable and accrued expenses	\$ 21,169	\$ 19,494
Member advances	993	993
Operating reserves	19,315	22,656
Current portion of long-term debt	39,440	37,390
Accrued interest payable	13,295	13,924
TOTAL CURRENT LIABILITIES	94,212	94,457
NON-CURRENT LIABILITIES		
Net pension liability	57,774	57,260
Operating reserves and other deposits	134,141	128,367
Interest rate swap liability	23,260	20,657
Long-term debt, net	747,384	788,760
TOTAL NON-CURRENT LIABILITIES	962,559	995,044
TOTAL LIABILITIES	1,056,771	1,089,501
DEFERRED INFLOWS OF RESOURCES		
Regulatory credits	72,877	75,057
Pension deferrals	6,599	4,947
TOTAL DEFERRED INFLOWS OF RESOURCES	79,476	80,004
NET POSITION		
Net investment in capital assets	(48,286)	(47,672)
Restricted	56,539	52,029
Unrestricted	20,064	35,358
TOTAL NET POSITION	28,317	39,715
TOTAL LIABILITIES, DEFERRED INFLOWS OF RESOURCES AND NET POSITION	\$ 1,164,564	\$ 1,209,220

COMBINED STATEMENTS OF REVENUES, EXPENSES
AND CHANGES IN NET POSITION

NORTHERN CALIFORNIA POWER AGENCY
AND ASSOCIATED POWER CORPORATIONS

UNAUDITED

	Four Months Ended October 31,	
	2016	2015
	(in thousands)	
OPERATING REVENUES		
Participants	\$ 109,878	\$ 114,293
Other Third-Party	52,287	66,009
TOTAL OPERATING REVENUES	162,165	180,302
OPERATING EXPENSES		
Purchased power	81,508	79,174
Operations	17,842	27,301
Transmission	32,032	27,401
Depreciation	10,242	10,245
Maintenance	4,660	6,918
Administrative and general	5,540	5,295
TOTAL OPERATING EXPENSES	151,824	156,334
NET OPERATING REVENUES	10,341	23,968
OTHER (EXPENSES) REVENUES		
Interest expense	(15,119)	(18,599)
Interest income	(340)	679
Other	6,799	2,224
TOTAL OTHER EXPENSES	(8,660)	(15,696)
FUTURE RECOVERABLE AMOUNTS	(1,148)	1,970
REFUNDS TO PARTICIPANTS	(179)	(517)
INCREASE IN NET POSITION	354	9,725
NET POSITION, Beginning of year	27,963	29,990
NET POSITION, Period ended	\$ 28,317	\$ 39,715

OTHER FINANCIAL INFORMATION
COMBINING STATEMENT OF NET POSITION
NORTHERN CALIFORNIA POWER AGENCY
AND ASSOCIATED POWER CORPORATIONS
(000's omitted)

October 31, 2016

GENERATING & TRANSMISSION RESOURCES											
	Geothermal	Hydroelectric	Multiple Capital Facilities	CT No. One	Lodi Energy Center	Transmission No. One	Purchased Power & Transmission	Associated Member Services	Other Agency	Combined	
ASSETS											
CURRENT ASSETS											
Cash and cash equivalents	\$ 1	\$ -	\$ 1	\$ 1	\$ 71	\$ -	\$ -	\$ 48	\$ 37,150	\$ 37,272	
Investments	-	-	-	-	-	-	-	-	26,351	26,351	
Accounts receivable	-	-	-	-	-	-	-	-	-	-	
Participants	-	-	-	-	-	-	-	-	-	-	
Other	9	-	-	-	-	-	304	-	3	317	
Interest receivable	-	-	-	1	31	-	47	-	130	208	
Inventory and supplies	4,258	1,079	642	1,402	1,877	-	-	-	-	9,258	
Prepaid expenses	-	-	-	-	-	-	-	13	192	205	
Due from Agency and other programs*	17,907	13,550	2,076	(911)	11,458	-	7,325	6,642	(58,047)	-	
TOTAL CURRENT ASSETS	22,175	14,629	2,719	493	13,437	-	7,676	6,703	5,779	73,611	
RESTRICTED ASSETS											
Cash and cash equivalents	4,287	2,638	1	-	7,634	-	3,319	-	23,901	41,780	
Investments	19,842	40,100	3,066	-	26,415	-	18,687	-	52,368	160,478	
Interest receivable	59	133	11	-	38	-	-	-	287	528	
TOTAL RESTRICTED ASSETS	24,188	42,871	3,078	-	34,087	-	22,006	-	76,556	202,786	
ELECTRIC PLANT											
Electric plant in service	568,730	393,936	64,826	36,245	423,561	7,736	-	657	5,276	1,500,967	
Less: accumulated depreciation	(529,376)	(246,163)	(44,682)	(34,176)	(57,203)	(7,736)	-	(339)	(2,546)	(922,218)	
	39,354	147,773	20,144	2,069	366,358	-	-	321	2,730	578,749	
	128	-	-	-	101	-	-	-	24	253	
Construction work-in-progress	39,482	147,773	20,144	2,069	366,459	-	-	321	2,754	579,002	
TOTAL ELECTRIC PLANT	39,482	147,773	20,144	2,069	366,459	-	-	321	2,754	579,002	
OTHER ASSETS											
Regulatory assets	1,417	158,057	12,542	-	19,989	-	-	-	56,366	248,371	
Unused vendor credits	44	-	-	-	-	-	-	-	-	44	
TOTAL ASSETS	87,306	363,330	38,483	2,562	433,972	-	29,682	7,024	141,455	1,103,814	
DEFERRED OUTFLOWS OF RESOURCES											
Excess cost on refunding of debt	-	49,468	2,189	-	-	-	-	-	-	51,657	
Pension deferrals	-	-	-	-	-	-	-	-	9,093	9,093	
TOTAL DEFERRED OUTFLOWS OF RESOURCES	-	49,468	2,189	-	-	-	-	-	9,093	60,750	
TOTAL ASSETS AND DEFERRED OUTFLOWS OF RESOURCES	\$ 87,306	\$ 412,798	\$ 40,672	\$ 2,562	\$ 433,972	\$ -	\$ 29,682	\$ 7,024	\$ 150,548	\$ 1,164,564	

* Eliminated in Combination

OTHER FINANCIAL INFORMATION

COMBINING STATEMENT OF NET POSITION

NORTHERN CALIFORNIA POWER AGENCY
AND ASSOCIATED POWER CORPORATIONS
(000's omitted)

October 31, 2016

	GENERATING & TRANSMISSION RESOURCES									
	Geothermal	Hydroelectric	Multiple Capital Facilities	CT No. One	Lodi Energy Center	Transmission	Purchased Power & Transmission	Associated Member Services	Other Agency	Combined
LIABILITIES										
CURRENT LIABILITIES										
Accounts payable and accrued expenses	\$ 52	\$ 262	\$ 2	\$ -	\$ 724	\$ -	\$ 15,420	\$ -	\$ 4,709	\$ 21,169
Member advances	791	-	-	-	-	-	-	202	-	993
Operating reserves	6,213	250	513	425	11,914	-	-	-	-	19,315
Current portion of long-term debt	4,345	21,385	3,760	-	9,950	-	-	-	-	39,440
Accrued interest payable	465	5,530	457	-	6,843	-	-	-	-	13,295
TOTAL CURRENT LIABILITIES	11,866	27,427	4,732	425	29,431	-	15,420	202	4,709	94,212
NON-CURRENT LIABILITIES										
Net pension liability	-	-	-	-	-	-	-	-	-	-
Operating reserves and other deposits	16,373	15,057	-	-	1,715	-	22,054	1,950	57,774	57,774
Interest rate swap liability	-	23,260	-	-	-	-	-	-	76,992	134,141
Long-term debt, net	27,300	333,928	34,532	-	351,624	-	-	-	-	23,260
TOTAL NON-CURRENT LIABILITIES	43,673	372,245	34,532	-	353,339	-	22,054	1,950	134,766	962,559
TOTAL LIABILITIES	55,539	399,672	39,264	425	382,770	-	37,474	2,152	139,475	1,056,771
DEFERRED INFLOWS OF RESOURCES										
Regulatory credits	19,899	3,730	1,030	2,199	42,839	-	-	321	2,859	72,877
Pension deferrals	-	-	-	-	-	-	-	-	6,599	6,599
TOTAL DEFERRED INFLOWS OF RESOURCES	19,899	3,730	1,030	2,199	42,839	-	-	321	9,458	79,476
NET POSITION										
Net investment in capital assets	(5,515)	(21,509)	(4,420)	-	(16,842)	-	-	-	-	(48,286)
Restricted	6,477	33,330	2,621	-	14,549	-	-	-	(438)	56,539
Unrestricted	10,906	(2,425)	2,177	(62)	10,656	-	(7,792)	4,551	2,053	20,064
TOTAL NET POSITION	11,868	9,396	378	(62)	8,363	-	(7,792)	4,551	1,615	28,317
TOTAL LIABILITIES, DEFERRED INFLOWS OF RESOURCES AND NET POSITION	\$ 87,306	\$ 412,798	\$ 40,672	\$ 2,562	\$ 433,972	\$ -	\$ 29,682	\$ 7,024	\$ 150,548	\$ 1,164,564

OTHER FINANCIAL INFORMATION

COMBINING STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET POSITION

NORTHERN CALIFORNIA POWER AGENCY
AND ASSOCIATED POWER CORPORATIONS
(000's omitted)

For the Four Months Ended October 31, 2016

GENERATING & TRANSMISSION RESOURCES											
	Geothermal	Hydroelectric	Multiple Capital Facilities	CT No. One	Lodi Energy Center	Transmission	Purchased Power & Transmission	Associated Member Services	Other Agency	Combined	
Participants	\$ 3,344	\$ 13,101	\$ 2,475	\$ 965	\$ 11,666	\$ -	\$ 73,297	\$ 4,908	\$ 122	\$ 109,878	
Other Third-Party	9,897	3,815	124	398	7,493	-	30,560	-	-	52,287	
TOTAL OPERATING REVENUES	13,241	16,916	2,599	1,363	19,159	-	103,857	4,908	122	162,165	
OPERATING EXPENSES											
Purchased power	-	-	-	-	1,105	-	80,403	-	-	81,508	
Operations	4,775	967	456	495	6,278	-	1,763	3,099	9	17,842	
Transmission	228	206	44	66	219	-	31,267	2	-	32,032	
Depreciation	1,265	3,183	737	59	4,868	5	-	26	99	10,242	
Maintenance	1,387	1,378	219	392	1,264	-	-	20	-	4,660	
Administrative and general	1,427	1,046	162	176	1,389	-	-	1,989	(649)	5,540	
Intercompany (sales) purchases, net*	(167)	67	16	35	76	-	-	(27)	-	-	
TOTAL OPERATING EXPENSES	8,915	6,847	1,634	1,223	15,199	5	113,433	5,109	(541)	151,824	
NET OPERATING REVENUES	4,326	10,069	965	140	3,960	(5)	(9,576)	(201)	663	10,341	
OTHER (EXPENSES) REVENUES											
Interest expense	(450)	(8,736)	(628)	-	(5,305)	-	-	-	-	(15,119)	
Interest income	36	(248)	(66)	-	45	-	56	13	(176)	(340)	
Other	291	24	424	-	5,864	-	-	-	196	6,799	
TOTAL OTHER EXPENSES	(123)	(8,960)	(270)	-	604	-	56	13	20	(8,660)	
FUTURE RECOVERABLE AMOUNTS	(495)	(955)	(535)	-	832	5	-	-	-	(1,148)	
REFUNDS TO PARTICIPANTS	11	6	12	(20)	-	-	(256)	113	(45)	(179)	
INCREASE (DECREASE) IN NET POSITION	3,719	160	172	120	5,396	-	(9,776)	(75)	638	354	
NET POSITION, Beginning of year	8,149	9,236	206	(182)	2,967	-	1,984	4,626	977	27,963	
NET POSITION, Period ended	\$ 11,868	\$ 9,396	\$ 378	\$ (62)	\$ 8,363	\$ -	\$ (7,792)	\$ 4,551	\$ 1,615	\$ 28,317	

* Eliminated in Combination

NORTHERN CALIFORNIA POWER AGENCY & ASSOCIATED POWER CORPORATIONS
 AGED ACCOUNTS RECEIVABLE
 October 31, 2016

Status	Participant / Customer	Description	Amount
CURRENT			\$ 317,118
PAST DUE:			
1 - 30			
31 - 60			
61 - 90			
91 - 120			
Over 120 Days			
PARTICIPANT and OTHER RECEIVABLES (net)			<u>\$ 317,118</u>

NOTE: All amounts invoiced or credited to members and others are project/program specific.
 NCPA does not apply any credits issued to outstanding invoices unless directed.

**NORTHERN CALIFORNIA POWER AGENCY
and ASSOCIATED POWER CORPORATIONS**

**Schedule of Disbursements
(Unaudited)**

For the Month of October 2016

Operations:

Geothermal	\$ 1,264,438
Hydroelectric	3,253,802
CT#1 Combustion Turbines	121,737
CT#2 STIG	561,617
Lodi Energy Center	3,202,981
NCPA Operating	<u>21,814,905</u>
Total	<u>\$ 30,219,480</u>



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Commission Staff Report

November 17, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Treasurer's Report for Month Ended October 31, 2016

AGENDA CATEGORY: Consent

FROM:	Sondra Ainsworth <i>[Signature]</i>	METHOD OF SELECTION:
	Treasurer-Controller	N/A
Division:	Administrative Services	
Department:	Accounting & Finance	

IMPACTED MEMBERS:

All Members <input checked="" type="checkbox"/>	City of Lodi <input type="checkbox"/>	City of Ukiah <input type="checkbox"/>
Alameda Municipal Power <input type="checkbox"/>	City of Lompoc <input type="checkbox"/>	Plumas-Sierra REC <input type="checkbox"/>
Bay Area Rapid Transit <input type="checkbox"/>	City of Palo Alto <input type="checkbox"/>	Port of Oakland <input type="checkbox"/>
City of Biggs <input type="checkbox"/>	City of Redding <input type="checkbox"/>	Truckee Donner PUD <input type="checkbox"/>
City of Gridley <input type="checkbox"/>	City of Roseville <input type="checkbox"/>	Other <input type="checkbox"/>
City of Healdsburg <input type="checkbox"/>	City of Santa Clara <input type="checkbox"/>	<i>If other, please specify:</i>

RECOMMENDATION:

Approval by all members.

BACKGROUND:

In compliance with Agency policy and State of California Government Code Sections 53601 and 53646(b), the following monthly report is submitted for your information and acceptance.

Cash - At month end cash totaled \$19,669,256 of which approximately \$143,652 was applicable to Special and Reserve Fund Deposits, \$1,280 to Debt Service and \$19,524,324 to Operations and other.

The cash balance held at U.S. Bank includes outstanding checks that have not yet cleared. This cash balance is invested nightly in a fully collateralized (U.S. Government Securities) repurchase agreement.

Investments - The carrying value of NCPA's investment portfolio totaled \$245,713,701 at month end. The current market value of the portfolio totaled \$246,040,068.

The overall portfolio had a combined weighted average interest rate of 0.969% with a bond equivalent yield (yield to maturity) of 0.982%. Investments with a maturity greater than one year totaled \$144,592,000. October maturities totaled \$4 million and monthly receipts totaled \$26 million. During the month \$14 million was invested.

Funds not required to meet annual cash flow are reinvested and separately reported as they occur.

Interest Rates - During the month, rates on 90 day T-Bills increased by 5 basis points (from 0.27% to 0.32%) and rates on one year T-Bills increased by 8 basis points (from 59% to 0.67%).

To the best of my knowledge and belief, all securities held by NCPA as of October 31, 2016 are in compliance with the Agency's investment policy. There are adequate cash flow and investment maturities to meet next month's cash requirements.

FISCAL IMPACT:

This report has no direct budget impact to the Agency.

ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

Respectfully submitted,



RANDY S. HOWARD
General Manager

Attachment

NORTHERN CALIFORNIA POWER AGENCY

TREASURER'S REPORT

OCTOBER 31, 2016

TABLE OF CONTENTS

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CASH & INVESTMENT BALANCE	1
CASH ACTIVITY SUMMARY	2
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INVESTMENT MATURITIES ANALYSIS	5
DETAIL REPORT OF INVESTMENTS	APPENDIX

**Northern California Power Agency
Treasurer's Report
Cash & Investment Balance
October 31, 2016**

	CASH	INVESTMENTS	TOTAL	PERCENT
NCPA FUNDS				
Operating	\$ 18,485,750	\$ 66,173,921	84,659,671	31.90%
Special Deposits	1,007,239	1	1,007,240	0.38%
Construction	31,335	4,852,212	4,883,547	1.84%
Debt Service	1,280	25,815,909	25,817,189	9.73%
Special & Reserve	143,652	148,871,658	149,015,310	56.15%
	<u>\$ 19,669,256</u>	<u>\$ 245,713,701</u>	<u>\$ 265,382,957</u>	<u>100.00%</u>

Portfolio Investments at Market Value

\$ 246,040,068

NOTE A -Investment amounts shown at book carrying value.

**Northern California Power Agency
Treasurer's Report
Cash Activity Summary
October 31, 2016**

	RECEIPTS			EXPENDITURES			CASH
	OPS/CONSTR	INTEREST (NOTE B)	INVESTMENTS (NOTE A)	OPS/CONSTR	INVESTMENTS (NOTE B)	INTER-COMPANY/ FUND TRANSFERS	INCREASE / (DECREASE)
NCPA FUNDS							
Operating	\$ 26,385,652	\$ 111,690	\$ 3,860,975	\$ (13,657,870)	\$ (3,495,184)	\$ (16,249,489)	\$ (3,044,226)
Special Deposits	93,466	4	-	(10,531,958)	-	9,741,616	(696,872)
Construction	-	-	-	-	-	-	-
Debt Service	-	48	1,466	(219,427)	(9,645,230)	6,031,227	(3,831,916)
Special & Reserve	-	78,986	205,800	(273,554)	(538,685)	476,646	(50,807)
	<u>\$ 26,479,118</u>	<u>\$ 190,728</u>	<u>\$ 4,068,241</u>	<u>\$ (24,682,809)</u>	<u>\$ (13,679,099)</u>	<u>\$ -</u>	<u>\$ (7,623,821)</u>

NOTE A -Investment amounts shown at book carrying value.

NOTE B -Net of accrued interest purchased on investments.

**Northern California Power Agency
Treasurer's Report
Investment Activity Summary
October 31, 2016**

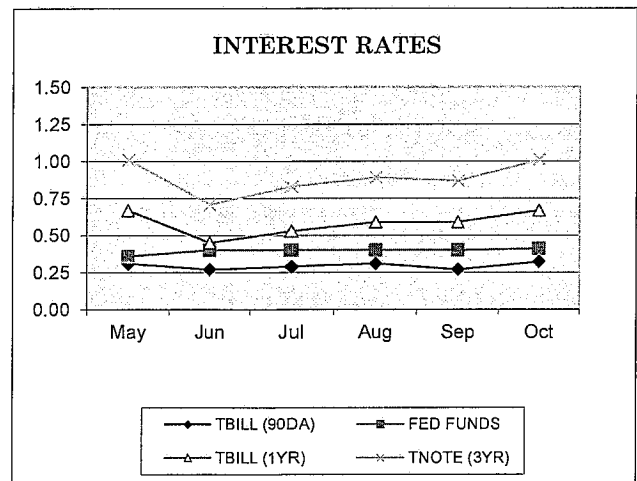
	PURCHASED	SOLD OR MATURED	(NON-CASH) DISC/(PREM) AMORT	(NON-CASH) GAIN/(LOSS) ON SALE	INVESTMENTS	
					TRANSFERS	INCREASE / (DECREASE)
NCPA FUNDS						
Operating	\$ 3,495,184	\$ (3,860,975)	\$ (3,102)	\$ -	\$ -	\$ (368,893)
Special Deposits	-	-	-	-	-	-
Construction	-	-	(704)	-	-	(704)
Debt Service	9,645,230	(1,466)	5,364	-	-	9,649,128
Special & Reserve	538,685	(205,800)	(3,440)	1,746	-	331,191
	<u>\$ 13,679,099</u>	<u>\$ (4,068,241)</u>	<u>\$ (1,882)</u>	<u>\$ 1,746</u>	<u>\$ -</u>	<u>\$ 9,610,722</u>
 Less Non- Cash Activity						
Disc/(Prem) Amortization & Gain/(Loss) on Sale						<u>136</u>
 Net Change in Investment --Before Non-Cash Activity						<u>\$ 9,610,858</u>

NOTE A -Investment amounts shown at book carrying value.

Northern California Power Agency
Interest Rate/Yield Analysis
October 31, 2016

	<u>WEIGHTED AVERAGE INTEREST RATE</u>	<u>BOND EQUIVALENT YIELD</u>
OVERALL COMBINED	<u>0.969%</u>	<u>0.982%</u>
<u>OPERATING FUNDS:</u>	1.008%	0.969%
<u>PROJECTS:</u>		
Geothermal	1.177%	1.186%
Capital Facilities	1.332%	1.318%
Hydroelectric	1.104%	1.081%
Lodi Energy Center	0.789%	0.748%

KEY INTEREST RATES		
	<u>CURRENT</u>	<u>PRIOR YEAR</u>
Fed Fds (Ovrnight)	0.41%	0.12%
T-Bills (90da.)	0.32%	0.05%
Agency Disc (90da.)	0.36%	0.09%
T-Bills (1yr.)	0.67%	0.31%
Agency Disc (1yr.)	0.67%	0.33%
T-Notes (3yr.)	1.01%	0.99%



**Northern California Power Agency
Total Portfolio
Investment Maturities Analysis
October 31, 2016**

Type	0-7 Days	8-90 Days	91-180 Days	181-270 Days	271-365 Days	1-5 Years	6-10 Years	Total	Percent
US Government Agencies	\$ -	\$ 23,406	\$4,997	\$ 3,970	\$ 4,170	\$ 139,221	\$ 5,371	\$ 181,135	68.61%
US Bank Trust Money Market	5,611							5,611	2.13%
Commercial Paper	5,000							5,000	1.89%
Investment Trusts (LAIF)	50,248							50,248	19.03%
U.S.Treasury Market Acct. *	21,995							21,995	8.33%
U.S.Treasury Bill									0.00%
Certificates of Deposit		10						10	0.00%
Total Dollars	\$ 82,854	\$23,416	\$4,997	\$3,970	\$4,170	\$139,221	\$5,371	\$ 263,999	100.00%
Total Percents	31.38%	8.87%	1.89%	1.50%	1.58%	52.74%	2.03%	100.00%	

Investments are shown at Face Value, in thousands.

* The cash balance held at US Bank includes outstanding checks that have not yet cleared. This cash balance is invested nightly in a fully collateralized (U.S. Government Securities) repurchase agreement. Cash held by Union Bank of California is invested nightly in fully collateralized U.S. Treasury Securities.

NORTHERN CALIFORNIA POWER AGENCY

Detail Report Of Investments

APPENDIX

Note: This appendix has been prepared to comply with
Government Code section 53646.



Northern California Power Agency
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Operating

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
US Bank, N.A.	USB	5,000,000	0.100	11/26/2014	5,000,000		1	0.100	5,000,000	SYS70101	70101	5,000,000
Local Agency Investm	LAIF	15,205,364	0.602	07/01/2013	15,205,364		1	0.602	15,205,364	SYS70000	70000	15,205,364
Union Bank of Califo	UBOC	3,426,194	0.002	07/01/2013	3,426,194		1	0.002	3,426,194	SYS70014	70014	3,426,194
US Bank	USB	18,485,748	0.001	06/30/2013	18,485,748		1	0.001	18,485,748	SYS70050	70050	18,485,748
US Bank	USB	10,000	0.050	10/07/2016	10,000	01/07/2017	67	0.050	10,000	SYS30301	30301	10,000
Federal Farm Credit	UBOC	3,626,000	1.290	12/21/2015	3,624,948	11/19/2018	748	1.300	3,646,813	3133EFPJ0	26280	3,625,260
Federal Home Loan Mt	UBOC	9,870,000	1.750	06/09/2015	9,983,900	05/30/2019	940	1.450	10,057,629	3137EADG1	26231	9,943,943
Federal Home Loan Ba	UBOC	7,785,000	1.400	07/19/2016	7,781,108	01/19/2021	1,540	1.411	7,726,301	3130A8P80	26355	7,781,353
Fund Total and Average		\$ 63,408,306	0.672		\$ 63,517,282		379	0.627	\$ 63,558,049			\$ 63,477,862

MPP GHG Auction Acct

Local Agency Investm		47,821	0.602	07/01/2013	47,821		1	0.602	47,821	SYS70045	70045	47,821
Fund Total and Average		\$ 47,821	0.603		\$ 47,821		1	0.603	\$ 47,821			\$ 47,821

SCPA Balancing Account

Local Agency Investm	LAIF	2,318,297	0.602	07/01/2013	2,318,297		1	0.602	2,318,297	SYS70022	70022	2,318,297
Union Bank of Califo	UBOC	56,962	0.005	07/01/2013	56,962		1	0.005	56,962	SYS70023	70023	56,962
US Bank	USB	0	0.000	07/01/2013	0		1	0.000	0	SYS70058	70058	0
Federal Home Loan Ba	UBOC	4,510,000	1.000	04/27/2015	4,510,000	04/27/2018	542	1.000	4,509,098	3130A55T2	26223	4,510,000
Federal National Mtg	UBOC	3,982,000	1.625	12/18/2014	4,000,630	11/27/2018	756	1.369	4,015,645	3135GOYT4	26187	3,982,308
Federal National Mtg	UBOC	5,098,000	1.350	04/28/2016	5,098,000	10/28/2019	1,091	1.350	5,101,925	3135GOJ95	26330	5,098,000
Federal National Mtg	UBOC	5,097,000	1.350	07/28/2016	5,097,000	07/28/2020	1,365	1.350	5,051,382	3136G3T39	26357	5,097,000
Fund Total and Average		\$ 21,042,259	1.241		\$ 21,080,889		853	1.193	\$ 21,053,309			\$ 21,062,567

General Operating Reserve

Local Agency Investm	LAIF	23,883,300	0.602	07/01/2013	23,883,300		1	0.602	23,883,300	SYS70000	70002	23,883,300
Union Bank of Califo	UBOC	17,173	0.002	07/01/2013	17,173		1	0.002	17,173	SYS70019	70019	17,173
US Bank	USB	0	0.000	07/01/2013	0		1	0.000	0	SYS70051	70051	0
Federal National Mtg	UBOC	3,263,000	0.750	12/16/2014	3,261,466	04/20/2017	170	0.770	3,266,459	3135GOZB2	26186	3,262,693
Federal National Mtg	UBOC	5,970,000	1.625	12/23/2014	6,009,701	11/27/2018	756	1.450	6,050,834	3135GOYT4	26188	5,990,945
Federal National Mtg	UBOC	4,982,000	1.750	08/28/2015	5,047,364	11/26/2019	1,120	1.430	5,077,256	3135GOZY2	26246	5,029,269
Federal Farm Credit	UBOC	4,285,000	1.440	07/20/2016	4,280,715	01/19/2021	1,540	1.463	4,252,777	3133EGMP7	26356	4,280,982
Federal Home Loan Ba	UBOC	16,720,000	1.400	07/19/2016	16,711,640	01/19/2021	1,540	1.411	16,593,931	3130A8P80	26354	16,712,166
Federal National Mtg	UBOC	5,162,000	1.625	05/25/2016	5,162,000	05/25/2021	1,666	1.625	5,153,431	3136G3NL5	26332	5,162,000



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General Operating Reserve

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
Federal National Mtg	UBOC	1,300,000	1.500	08/30/2016	1,300,000	05/28/2021	1,669	1.500	1,290,146	3136G3W3	26368	1,300,000
Federal Farm Credit	UBOC	10,629,000	1.690	06/02/2016	10,629,000	06/02/2021	1,674	1.690	10,635,059	3133EGDH5	26335	10,629,000
Fund Total and Average		\$ 76,211,473	1.223		\$ 76,302,359		939	1.192	\$ 76,220,366			\$ 76,267,528
GRAND TOTALS:		\$ 160,709,859	1.008		\$ 160,948,331		707	0.969	\$ 160,879,545			\$ 160,855,778

*Bond Equivalent Yield to Maturity is shown based on a 365 day year to provide a basis for comparison between all types. Investments with less than 6 months to maturity use an approximate method, all others use an exact method.

Current Market Value is based on prices from Trustee/ Custodian Statements or bid prices from the Wall Street Journal as of 10/31/2016

Investment #26223 - FHLMC - Callable on 4/27/2017 Only.
Investment #26330 - FNMA - Callable quarterly.
Investment #26332 - FNMA - Callable quarterly.
Investment #26335 - FFCB - Callable 6/2/17, then anytime
Investment #26354 - FHLMC - Callable anytime
Investment #26355 - FFCB - Callable anytime
Investment #26356 - FFCB - Callable anytime
Investment #26357 - FNMA - Callable quarterly.
Investment #26368 - FNMA - Callable 2/28/17, then quarterly.



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GEO 2012 Construction Fund

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
Federal Home Loan Ba	USB	870,000	0.875	05/27/2016	871,305	05/24/2017	204	0.722	871,409	3130A1NN4	26334	870,742
Fund Total and Average		\$ 870,000	0.875		\$ 871,305		204	0.723	\$ 871,409			\$ 870,742

Geothermal Debt Service

Federal Home Loan Ba	USBT	303,000	0.400	07/28/2016	302,478	12/30/2016	59	0.406	302,897	313384V30	26347	302,801
Federal Home Loan Ba	USBT	303,000	0.300	08/29/2016	302,689	12/30/2016	59	0.304	302,897	313384V30	26360	302,851
Federal Home Loan Ba	USBT	385,000	0.260	10/31/2016	385,833	12/30/2016	59	0.263	385,869	313384V30	26377	385,836
Fund Total and Average		\$ 992,000	0.315		\$ 991,000		59	0.320	\$ 991,663			\$ 991,488

Geo 2012A Debt Service

Federal Home Loan Ba	USBT	123,000	0.255	10/03/2016	122,942	12/09/2016	38	0.258	122,973	313384S67	26370	122,967
Federal Home Loan Ba	USBT	124,000	0.400	07/28/2016	123,786	12/30/2016	59	0.406	123,958	313384V30	26348	123,919
Federal Home Loan Ba	USBT	124,000	0.300	08/29/2016	123,873	12/30/2016	59	0.304	123,958	313384V30	26361	123,939
Federal Home Loan Ba	USBT	123,000	0.260	10/31/2016	122,947	12/30/2016	59	0.263	122,958	313384V30	26378	122,948
Fund Total and Average		\$ 494,000	0.304		\$ 493,548		54	0.308	\$ 493,847			\$ 493,773

Geothermal Special Reserve

Local Agency Investm	LAIF	0	0.356	07/01/2013	0		1	0.356	0	SYS70032	70032	0
Union Bank of Calif	UBOC	0	0.002	07/01/2013	0		1	0.002	0	SYS70015	70015	0
US Bank	USB	0	0.000	07/01/2013	0		1	0.000	0	SYS70063	70063	0
Federal Home Loan Mt	UBOC	1,500,000	1.150	02/26/2016	1,500,000	11/26/2018	755	1.150	1,498,170	3134G8KVO	26302	1,500,000
Fund Total and Average		\$ 1,500,000	1.150		\$ 1,500,000		755	1.150	\$ 1,498,170			\$ 1,500,000

Geo Decommissioning Reserve

Local Agency Investm	LAIF	4,280,102	0.602	07/01/2013	4,280,102		1	0.602	4,280,102	SYS70027	70027	4,280,102
Union Bank of Calif	UBOC	14	0.002	07/01/2013	14		1	0.002	14	SYS70034	70034	14
US Bank	USB	0	0.000	07/01/2013	0		1	0.000	0	SYS70059	70059	0
Federal Home Loan Mt	UBOC	865,000	0.625	12/20/2012	865,000	12/05/2016	34	0.624	865,303	3134G3Z37	25946	865,000
Federal National Mtg	UBOC	9,700,000	1.500	08/30/2016	9,700,000	05/28/2021	1,669	1.500	9,626,474	3136G33W3	26369	9,700,000
Fund Total and Average		\$ 14,845,116	1.190		\$ 14,845,116		1093	1.190	\$ 14,771,893			\$ 14,845,116



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GEO Debt Service Reserve Acct

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
GEO Debt Service Reserve Acct												
Federal Home Loan Mt	USBT	907,000	1.750	06/02/2015	920,886	05/30/2019	940	1.354	924,242	3137EADG1	26228	915,971
Federal Home Loan Mt	USBT	2,515,000	1.250	02/27/2015	2,483,839	10/02/2019	1,065	1.530	2,527,877	3137EADM8	26197	2,495,211
Fund Total and Average		\$ 3,422,000	1.384		\$ 3,404,725		1031	1.483	\$ 3,452,119			\$ 3,411,182

Geo 2012A DSR Account

Federal National Mtg	USBT	1,517,000	1.625	05/25/2016	1,517,000	05/25/2021	1,666	1.625	1,514,482	3136G3NLS	26333	1,517,000
Fund Total and Average		\$ 1,517,000	1.625		\$ 1,517,000		1666	1.625	\$ 1,514,482			\$ 1,517,000
GRAND TOTALS:		\$ 23,640,116	1.177		\$ 23,622,694		1001	1.186	\$ 23,593,583.			\$ 23,629,301

*Bond Equivalent Yield to Maturity is shown based on a 365 day year to provide a basis for comparison between all types. Investments with less than 6 months to maturity use an approximate method, all others use an exact method.

Current Market Value is based on prices from Trustee/ Custodian Statements or bid prices from the Wall Street Journal as of 10/31/2016

Investment #26302 - FHLMC - Callable quarterly.
Investment #26333 - FNMA - Callable quarterly.
Investment #26369 - FNMA - Callable 2/28/17, then quarterly.



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Capital Dev. Reserve Hydro

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
Local Agency Investm	LAIF	2,469,599	0.602	07/01/2013	2,469,599		1	0.602	2,469,599	SYS70028	70028	2,469,599
Union Bank of Califo	UBOC	0	0.002	07/01/2013	0		1	0.002	0	SYS70031	70031	0
US Bank	USB	0	0.000	07/01/2013	0		1	0.000	0	SYS70052	70052	0
Federal Home Loan Mt	UBOC	3,993,000	0.950	06/29/2016	3,993,000	06/29/2018	605	0.950	3,990,564	3134G9A80	26339	3,993,000
Federal Home Loan Mt	UBOC	3,221,000	1.150	02/29/2016	3,221,000	11/26/2018	755	1.150	3,217,070	3134G8KVO	26304	3,221,000
Federal National Mtg	UBOC	5,320,000	1.350	06/30/2016	5,320,000	12/30/2019	1,154	1.350	5,320,053	3136G3VH5	26340	5,320,000
Fund Total and Average		\$ 15,003,599	1.078		\$ 15,003,599		732	1.078	\$ 14,937,286			\$ 15,003,599

Hydro Initial Facilities

Federal National Mtg	USB	1,529,000	1.625	12/12/2014	1,539,244	11/27/2018	756	1.450	1,549,703	3135GOYT4	26189	1,534,363
Federal Farm Credit	USB	2,437,000	1.250	02/02/2016	2,450,501	01/22/2019	812	1.060	2,452,158	3133EFVQ7	26300	2,447,107
Fund Total and Average		\$ 3,966,000	1.395		\$ 3,989,745		790	1.210	\$ 4,001,861			\$ 3,981,470

Hydro Debt Service

Federal Home Loan Ba	USBT	2,939,000	0.255	10/03/2016	2,937,605	12/09/2016	38	0.258	2,938,353	313384S67	26371	2,938,209
Federal Home Loan Ba	USBT	2,957,000	0.400	07/28/2016	2,951,907	12/30/2016	59	0.406	2,955,995	313384V30	26346	2,955,062
Federal Home Loan Ba	USBT	2,941,000	0.300	08/29/2016	2,937,985	12/30/2016	59	0.304	2,940,000	313384V30	26362	2,939,554
Federal Home Loan Ba	USBT	2,939,000	0.260	10/31/2016	2,937,726	12/30/2016	59	0.263	2,938,001	313384V30	26379	2,937,748
Fund Total and Average		\$ 11,776,000	0.304		\$ 11,765,223		54	0.308	\$ 11,772,349			\$ 11,770,573

Hydro Debt Service Resrv 2010A

Federal Farm Credit	USB	5,528,000	1.750	08/28/2015	5,546,187	08/04/2020	1,372	1.680	5,617,830	3133EE529	26243	5,541,855
Fund Total and Average		\$ 5,528,000	1.750		\$ 5,546,187		1372	1.680	\$ 5,617,830			\$ 5,541,855

Hydro 2012A Rebate Account

Federal Home Loan Mt	USB	651,000	1.000	02/09/2012	649,392	03/08/2017	127	1.050	652,302	3137EADCO	25853	650,888
Fund Total and Average		\$ 651,000	1.000		\$ 649,392		127	1.050	\$ 652,302			\$ 650,888

Hydro Special Reserve

Local Agency Investm	LAIF	0	0.377	07/01/2013	0		1	0.377	0	SYS70000	70003	0
Local Agency Investm	LAIF	0	0.356	07/01/2013	0		1	0.356	0	SYS70033	70033	0



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Hydro Special Reserve

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
Union Bank of Calif	UBOC	0	0.002	07/01/2013	0		1	0.002		0 SYS70016	70016	0
US Bank	USB	0	0.000	07/01/2013	0		1	0.000	0	0 SYS70064	70064	0
Federal Home Loan Mt	UBOC	1,500,000	1.150	02/26/2016	1,500,000	11/26/2018	755	1.150	1,498,170	3134G8KVO	26303	1,500,000
Fund Total and Average		\$ 1,500,000	1.150		\$ 1,500,000		755	1.150	\$ 1,498,170			\$ 1,500,000

Hydro 2012 DSRA

Federal Farm Credit	USB	100,000	1.750	08/28/2015	100,329	08/04/2020	1,372	1.680	101,625	3133EE5Z9	26244	100,251
Federal National Mtg	USB	94,000	1.530	07/28/2016	94,000	07/28/2021	1,730	1.530	92,864	3136G3S97	26359	94,000
Federal Home Loan Mt	USB	3,928,000	2.375	02/09/2012	3,926,232	01/13/2022	1,999	2.380	4,103,228	3137EADB2	25852	3,927,074
Fund Total and Average		\$ 4,122,000	2.341		\$ 4,120,561		1882	2.344	\$ 4,287,717			\$ 4,121,325
GRAND TOTALS:		\$ 42,546,599	1.104		\$ 42,574,707		736	1.081	\$ 42,837,515.			\$ 42,569,710

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Current Market Value is based on prices from Trustee/ Custodian Statements or bid prices from the Wall Street Journal as of 10/31/2016
Investment #26303 – FHLMC - Callable quarterly.
Investment #26339 – FHLMC - Callable quarterly.
Investment #26340 – FNMA - Callable quarterly.
Investment #26359 – FNMA - Callable on 7/28/17, then quarterly.



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Cap Facilities Debt Service

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
Federal Home Loan Ba	USBT	468,000	0.280	10/03/2016	467,581	01/26/2017	86	0.284	467,644	313385BB1	26372	467,687
Federal Home Loan Ba	USBT	470,000	0.399	08/29/2016	469,185	02/01/2017	92	0.406	469,568	313385BH8	26363	469,520
Federal Home Loan Ba	USBT	470,000	0.340	10/31/2016	469,587	02/01/2017	92	0.345	469,568	313385BH8	26380	469,592
Federal National Mtg	USBT	143,000	0.440	07/28/2016	142,671	02/01/2017	92	0.447	142,868	313589BH5	26349	142,839
Fund Total and Average		\$ 1,551,000	0.349		\$ 1,549,024		90	0.355	\$ 1,549,648			\$ 1,549,638

Cap. Fac. Debt Svc Reserve

Federal National Mtg	USB	71,000	1.530	07/28/2016	71,000	07/28/2021	1,730	1.530	70,142	3136G3S97	26358	71,000
Federal Home Loan Mt	USB	1,443,000	2.375	02/13/2012	1,447,430	01/13/2022	1,899	2.340	1,507,372	3137EADB2	25845	1,445,323
Fund Total and Average		\$ 1,514,000	2.335		\$ 1,518,430		1891	2.302	\$ 1,577,514			\$ 1,516,323
GRAND TOTALS:		\$ 3,065,000	1.332		\$ 3,067,454		981	1.318	\$ 3,127,162			\$ 3,065,961

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Current Market Value is based on prices from Trustee/ Custodian Statements or bid prices from the Wall Street Journal as of 10/31/2016
Investment #26358 - FNMA - Callable on 7/28/17, then quarterly.



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LEC GHG Auction Acct

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
Local Agency Investm		71,419	0.602	07/01/2013	71,419		1	0.602	71,419	SYS70046	70046	71,419
Fund Total and Average		\$ 71,419	0.603		\$ 71,419		1	0.603	\$ 71,419			\$ 71,419

LEC Construction Revolving

Local Agency Investm		1	0.254	07/01/2013	1		1	0.254		1 SYS70040	70040	1
Fund Total and Average		\$ 1	0.254		\$ 1		1	0.254	\$ 1	1		\$ 1

LEC Issue#1 2010A DS Fund

US Bank Trust	USB	694,290	0.100	07/01/2013	694,290		1	0.100	694,290	SYS79003	79003	694,290
Federal Home Loan Ba	USBT	693,000	0.250	10/05/2016	692,755	11/25/2016	24	0.253	692,910	313384Q85	26373	692,885
Federal Home Loan Ba	USBT	694,000	0.370	07/28/2016	693,101	12/01/2016	30	0.375	693,879	313384R68	26350	693,786
Federal Home Loan Ba	USBT	695,000	0.309	08/29/2016	694,437	12/01/2016	30	0.314	694,878	313384R68	26364	694,820
Federal National Mtg	USBT	694,000	0.340	07/11/2016	693,063	12/01/2016	30	0.345	693,882	313588R64	26342	693,803
Fund Total and Average		\$ 3,470,290	0.274		\$ 3,467,646		23	0.278	\$ 3,469,839			\$ 3,469,584

LEC Issue #1 2010B DS Fund

US Bank Trust	USB	724,474	0.100	07/01/2013	724,474		1	0.100	724,474	SYS79004	79004	724,474
Federal Home Loan Ba	USBT	725,000	0.250	10/05/2016	724,743	11/25/2016	24	0.253	724,906	313384Q85	26374	724,879
Federal Home Loan Ba	USBT	726,000	0.370	07/28/2016	725,060	12/01/2016	30	0.375	725,873	313384R68	26351	725,776
Federal Home Loan Ba	USBT	725,000	0.310	08/29/2016	724,413	12/01/2016	30	0.314	724,873	313384R68	26365	724,813
Federal National Mtg	USBT	727,000	0.339	07/11/2016	726,018	12/01/2016	30	0.345	726,876	313588R64	26343	726,794
Fund Total and Average		\$ 3,627,474	0.274		\$ 3,624,708		23	0.278	\$ 3,627,002			\$ 3,626,736

LEC Issue #2 2010A DS Fund

US Bank Trust	USB	434,825	0.100	07/01/2013	434,825		1	0.100	434,825	SYS79011	79011	434,825
Federal Home Loan Ba	USBT	434,000	0.250	10/05/2016	433,846	11/25/2016	24	0.253	433,944	313384Q85	26375	433,928
Federal Home Loan Ba	USBT	435,000	0.370	07/28/2016	434,437	12/01/2016	30	0.375	434,924	313384R68	26352	434,866
Federal Home Loan Ba	USBT	434,000	0.309	08/29/2016	433,649	12/01/2016	30	0.314	433,924	313384R68	26366	433,888
Federal National Mtg	USBT	434,000	0.340	07/11/2016	433,414	12/01/2016	30	0.345	433,926	313588R64	26344	433,877
Fund Total and Average		\$ 2,171,825	0.274		\$ 2,170,171		23	0.278	\$ 2,171,543			\$ 2,171,384



Northern California Power Agency
Treasurer's Report

10/31/2016

LEC Issue #2 2010B DS Fund

Issuer	Trustee / Custodian	Stated Value	Interest Rate	Purchase Date	Purchased Price	Maturity Date	Days to Maturity	Bond* Equiv Yield	Market Value	CUSIP	Investment #	Carrying Value
LEC Issue #2 2010B DS Fund												
US Bank Trust	USB	348,089	0.100	07/01/2013	348,089		1	0.100	348,089	SYS79012	79012	348,089
Federal Home Loan Ba	USBT	349,000	0.250	10/05/2016	348,876	11/25/2016	24	0.253	348,955	313384Q85	26376	348,942
Federal Home Loan Ba	USBT	349,000	0.370	07/28/2016	348,548	12/01/2016	30	0.375	348,939	313384R68	26353	348,892
Federal Home Loan Ba	USBT	348,000	0.309	08/29/2016	347,718	12/01/2016	30	0.314	347,939	313384R68	26367	347,910
Federal National Mig	USBT	349,000	0.340	07/11/2016	348,529	12/01/2016	30	0.345	348,941	313588R64	26345	348,901
Fund Total and Average		\$ 1,743,089	0.274		\$ 1,741,760		23	0.278	\$ 1,742,863			\$ 1,742,734

LEC Issue #1 2010 DSR Fund

US Bank Trust	USB	59,082	0.100	07/01/2013	59,082		1	0.100	59,082	SYS79005	79005	59,082
Federal National Mig	USB	4,170,000	0.875	05/30/2014	4,171,960	08/28/2017	300	0.977	4,178,590	3135GOMZ3	26136	4,170,498
Federal Farm Credit	USB	4,360,000	1.660	06/08/2016	4,360,000	05/25/2021	1,666	1.659	4,365,363	3133EG6Z7	26337	4,360,000
Fund Total and Average		\$ 8,589,082	1.268		\$ 8,591,042		991	1.318	\$ 8,603,035			\$ 8,589,580

LEC Iss#1 2010B BABS Subs Resv

US Bank Trust	USB	2,263,031	0.100	07/01/2013	2,263,031		1	0.100	2,263,031	SYS79006	79006	2,263,031
Fund Total and Average		\$ 2,263,031	0.100		\$ 2,263,031		1	0.100	\$ 2,263,031			\$ 2,263,031

LEC Issue #2 2010B DSR BABS

US Bank Trust	USB	1,087,439	0.100	07/01/2013	1,087,439		1	0.100	1,087,439	SYS79013	79013	1,087,439
Fund Total and Average		\$ 1,087,439	0.100		\$ 1,087,439		1	0.100	\$ 1,087,439			\$ 1,087,439

LEC O & M Reserve

Local Agency Investm		1,972,548	0.602	07/01/2013	1,972,548		1	0.602	1,972,548	SYS70047	70047	1,972,548
Union Bank of Calif	UBOC	8,533	0.002	07/18/2013	8,533		1	0.002	8,533	SYS70041	70041	8,533
Federal Home Loan Ba	UBOC	3,100,000	0.625	06/27/2016	3,099,380	06/27/2017	238	0.645	3,099,287	3130A8LC5	26338	3,099,594
Federal National Mig	UBOC	2,933,000	1.875	08/28/2015	2,998,142	02/19/2019	840	1.220	2,991,631	3135G0ZA4	26248	2,976,116
Federal National Mig	UBOC	3,000,000	1.300	06/30/2016	3,000,000	06/30/2020	1,337	1.300	2,979,840	3136G31J2	26341	3,000,000
Fund Total and Average		\$ 11,014,081	1.140		\$ 11,078,603		656	0.970	\$ 11,051,839			\$ 11,056,791

GRAND TOTALS:	\$	34,037,731	0.789	\$	34,085,820	470	0.748	\$	34,088,011.	\$	34,078,699
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*Bond Equivalent Yield to Maturity is shown based on a 365 day year to provide a basis for comparison between all types. Investments with less than 6 months to maturity use an approximate method, all others use an exact method.

Current Market Value is based on prices from Trustee/ Custodian Statements or bid prices from the Wall Street Journal as of 10/31/2016

Investment # 26337 – FFCB - Callable on 5/25/17, then any time.
Investment # 26341 – FNMA - Callable on 6/30/17 only.




Commission Staff Report

November 17, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Sale or Disposal of Surplus Property

AGENDA CATEGORY: Consent

FROM:	Sondra Ainsworth 	METHOD OF SELECTION:
	Treasurer-Controller	
Division:	Administrative Services	
Department:	Accounting & Finance	

IMPACTED MEMBERS:

- | | | |
|---|---|--|
| All Members <input checked="" type="checkbox"/> | City of Lodi <input type="checkbox"/> | City of Ukiah <input type="checkbox"/> |
| Alameda Municipal Power <input type="checkbox"/> | City of Lompoc <input type="checkbox"/> | Plumas-Sierra REC <input type="checkbox"/> |
| Bay Area Rapid Transit <input type="checkbox"/> | City of Palo Alto <input type="checkbox"/> | Port of Oakland <input type="checkbox"/> |
| City of Biggs <input type="checkbox"/> | City of Redding <input type="checkbox"/> | Truckee Donner PUD <input type="checkbox"/> |
| City of Gridley <input type="checkbox"/> | City of Roseville <input type="checkbox"/> | Other <input type="checkbox"/> |
| City of Healdsburg <input type="checkbox"/> | City of Santa Clara <input type="checkbox"/> | <i>If other, please specify.</i> |

RECOMMENDATION:

Note and file report by all members for the disposal of computers, monitors, and laptops, scrap metal and water logs.

BACKGROUND:

The NCPA Policy for the Disposal or Destruction of Surplus Supplies, Materials, or Equipment requires that such disposal or destruction be reported to the NCPA Commission within 60 days of such action.

In accordance with that policy, the following disposal or destruction is hereby reported:

<u>Property Description</u>	<u>Quantity</u>	<u>*Method of Disposal</u>	<u>Net Proceeds From Sale</u>	
End of life computers, monitors, and laptops	1	S	\$	0.00
Scrap metal	1	S		65.00
H350XL & H500XL water logs	15	P		3,000.00
		Total	\$	3,065.00

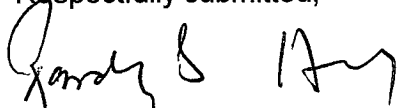
FISCAL IMPACT:

This report has no direct budget impact to the Agency.

ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

Respectfully submitted,



RANDY S. HOWARD
General Manager

Attachments

* Note: Public Sale (PS); Private Sale (P), Disposal – Net Scrap Value (S)



DECLARATION OF SURPLUS SUPPLIES, MATERIALS & EQUIPMENT

Date: _____

QTY	U/M*	DESCRIPTION (Including All Applicable Model #'s, LCNs & VINs)	COND**	ESTIMATED VALUE UNIT TOTAL	NCPA Property or Project #	SITE LOCATION
1.		End of life computers, monitors and laptops	S	0 0.00	E1040,0315,0267,0975,0 0995,1248,1227,1026,06 00,0606,1027,0533,0632 ,0603,0176,1029,1028,1 036,0978,0761,1114,111 6,01008,0744,0986,1021 ,1614,0745,0977,0976,0 768,0710,1387,0692,100 2,1018,1539,1232	

JUSTIFICATION FOR SURPLUS/DISPOSAL: Computers that have come to end of life and are no longer functioning at a satisfactory level for the Agency

RECOMMENDED DISPOSITION:

NEGOTIATED (Private) SALE _____
PUBLIC SALE: _____ SEALED BIDS _____ AUCTION _____
DISPOSAL: _____ X _____ SCRAP/RECYCLE VALUE _____ NO VALUE - TRASH/JUNK _____
DISPOSITION JUSTIFICATION:

PREPARED BY: Victoria Schofield, Nguyen

ORG.

CODE: 300

(ASST. GEN. MANAGER)

AUTHORIZATION TO PROCEED: Andy S 17m DATE: 8/23/16

(GENERAL MANAGER)

** CONDITION: EXCELLENT (E), GOOD (G), AVERAGE (A), POOR (P), SCRAP (S)

ORIGINAL TO TREASURER-CONTROLLER

ATTACHMENT 1



NORTHERN CALIFORNIA POWER AGENCY
DECLARATION OF EXCESS

Date: 11/4/16

QTY	U/M*	DESCRIPTION (Including All Applicable Model #'s, LCNs & VINs)	COND**	ESTIMATED VALUE		NCPA Property# / Stock # / Fleet # or Project #	SITE LOCATION
				UNIT	TOTAL		
1.	1	Scrap Metal	S				LEC
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							

JUSTIFICATION FOR EXCESS/DISPOSAL: Scrap metal

RECOMMENDED DISPOSITION: Disposal

PREPARED BY: Melissa Philpot / Michael DeBortoli
ORG. *W. A. DeR*
APPROVED BY: *Jim Spier* CODE: _____
(ASST. GEN. MANAGER)
AUTHORIZATION *James S. Hume* DATE: 11/2/16
TO PROCEED: (GENERAL MANAGER)

PUBLIC SALE \$ _____ PRIVATE SALE
X DISPOSAL - ~~NO~~ NET SCRAP VALUE

*U/M = UNIT OF MEASURE

** CONDITION: EXCELLENT (E), GOOD (G), AVERAGE
POOR (P), SCRAP (S)

ORIGINAL TO TREASURER-CONTROLLER



Date: 8/25/16

DECLARATION OF SURPLUS SUPPLIES, MATERIALS & EQUIPMENT

QTY	U/M*	DESCRIPTION (Including All Applicable Model #'s, LCNs & VINs)	COND**	ESTIMATED VALUE		NCPA Property or Project #	SITE LOCATION
				UNIT	TOTAL		
1.	7	ea H350XL-30-ET-PM water logs (see attached)	Good	\$350.00	\$2450	Hydro	Murphys
2.	8	ea H500XL water logs (see attached)	Good	\$500.00	\$4000	Hydro	Murphys
3.							
4.							
5.							
6.							
7.							
8.							

JUSTIFICATION FOR SURPLUS/DISPOSAL: Hydro recently upgraded their water logs. Hydro would like to dispose of the above-listed surplus water logs through a private negotiated sale as this is specialized equipment. The above is a rough estimated value based on a review of current ebay listings (noting there have been no recent successful transaction/sales on ebay for this equipment) and information obtained from the manufacturer that the surplus equipment is no longer under warranty and is no longer supported by the manufacturer.

PREPARED BY: Tracy Ives 8/25/16 *Tracy Ives*
APPROVED BY: *Sen Speer* ORG. CODE: *9/30/16*
AUTHORIZATION TO PROCEED: *Sen Speer* ASST. GEN. MANAGER DATE: *8/31/16*
Sen Speer (GENERAL MANAGER)

RECOMMENDED DISPOSITION:
 NEGOTIATED (Private) SALE XX
 PUBLIC SALE: SEALED BIDS AUCTION
 DISPOSAL: SCRAP/RECYCLE VALUE NO VALUE - TRASH/JUNK
 DISPOSITION JUSTIFICATION: Equipment has been upgraded at Hydro and is no longer under warranty or supported by the manufacturer.

** CONDITION: EXCELLENT (E), GOOD (G), AVERAGE (A), POOR (P), SCRAP (S)

ORIGINAL TO TREASURER-CONTROLLER

ATTACHMENT I



2017 Committee Meeting Calendar - **DRAFT**

Facilities/ Pooling Committees 9:00 am	LEC PPC Committee 10:00 am <i>at Lodi</i>	Public Benefits Committee 10:00 am	Finance Committee 10:00 am	Utility Directors 9:00 am	*Legal Committee	L&R Affairs Committee 12:00 pm	Executive Committee 8:30 am & **Commission Meeting 9:30 am
<i>TBD</i>	January 9	January 26		January 12			January 19 <i>Sacramento</i>
February 1	February 13	February 16	February 8	February 9		February 22	February 23
March 1	March 13	March 16		March 8/10 Retreat <i>Healdsburg</i>			March 23
April 5	April 10	April 13		April 6			April 20
May 3	May 8	May 18	May 10	May 11		May 24	May 25
June 7	June 12	June 15		June 15			June 29 <i>Ukiah</i>
July 5	July 10	July 20		July 13			July 27 <i>Murphys</i>
August 2	August 14	August 17	August 9	August 10		August 23	August 24
September 6	September 11	September 21		September 14	September 27 <i>Napa</i>	September 27 <i>Napa</i>	September 29 <i>Napa</i>
October 4	October 9 <i>Columbus Day</i>	October 19		October 12			October 26
November 1	November 13	November 16	November 8	November 9		November 29	November 30
December 6	December 11	December 7		December 14			No December Meeting

*Legal Committee meets once a year during NCPA's Annual Conference – Special Committee meetings may be held as required.

**Commission Packet mailed the Thursday prior to the meeting date.

Unless noted otherwise, Commission meetings will be held at NCPA's Roseville office.

Commission meetings highlighted in blue – potential conference call meeting dates being considered for pilot program.

NCPA 101 Presentation: January 17, 2017, Embassy Suites, Sacramento

NCPA Strategic Issues Conference: January 17-19, 2017, Embassy Suites, Sacramento

NCPA/NWPPA Federal Policy Conference: April 23-26, 2017, Washington, D.C.

NCPA Annual Conference: September 27-29, 2017, Silverado Resort, Napa



Commission Staff Report

November 17, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Approval of NCPA Major Insurance Renewals for the Policy Year of 2017

AGENDA CATEGORY: Consent

FROM:	Rui Dai <i>RD</i>	METHOD OF SELECTION:
	Energy Risk Manager	N/A
Division:	Administrative Services	
Department:	Risk Management	

IMPACTED MEMBERS:

All Members <input checked="" type="checkbox"/>	City of Lodi <input type="checkbox"/>	City of Ukiah <input type="checkbox"/>
Alameda Municipal Power <input type="checkbox"/>	City of Lompoc <input type="checkbox"/>	Plumas-Sierra REC <input type="checkbox"/>
Bay Area Rapid Transit <input type="checkbox"/>	City of Palo Alto <input type="checkbox"/>	Port of Oakland <input type="checkbox"/>
City of Biggs <input type="checkbox"/>	City of Redding <input type="checkbox"/>	Truckee Donner PUD <input type="checkbox"/>
City of Gridley <input type="checkbox"/>	City of Roseville <input type="checkbox"/>	Other <input type="checkbox"/>
City of Healdsburg <input type="checkbox"/>	City of Santa Clara <input type="checkbox"/>	<i>If other, please specify.</i>

RECOMMENDATION:

That the Commission approve the proposed major insurance renewals and authorize the General Manager or his designee to bind the coverage at the proposed "not to exceed" premiums.

BACKGROUND:

The Agency utilizes the insurance brokerage services of Aon Risk Solutions, San Francisco, California to market and place the Agency's insurance programs; one for the Lodi Energy Center Project and a separate program for all other projects combined. Each insurance policy and the related insurance market conditions are reviewed prior to the renewal date and remarketed as required to qualified insurers experienced in underwriting the applicable insurance risk. Current property and liability insurance coverage expires on December 15, 2016. This report outlines the proposed premiums negotiated by our broker for the renewal period from December 15, 2016 to December 15, 2017.

Highlights of the Program

- Property insurance market remains soft; rates remain flat or slightly lower, given two pending claims (Geothermal fire and Hydroelectric landslide)
- Premiums increased due to increases in insurable value; particularly for Business Interruption Insurance
- Maintaining the same underwriters panel for continuity in consideration of the two pending claims
- Enhanced certain sub-limits at the same premium levels; for example, unscheduled/unnamed locations was increased from \$1 million to \$10 million, Error and Omissions from \$5 million to \$15 million
- Primary liability coverage premium rate increase is less than half of the normal 5% imposed on "no loss" accounts
- Actively marketed NCPA's Worker's Compensation insurance; renewal premium is lower than last year
- Premiums and values as compared to last year are shown in the attached summary analysis

NCPA Property Insurance Renewal

Although, the broker is still in the process of securing final quotes, the indicative rates from underwriters show the replacement cost Property Insurance program renewal will remain flat from the previous year. Business Interruption insurance rates are also expected to remain the same as last year. The initial premium target is a 5-10% reduction in rates (amounts charged per \$100 of covered value) this year. However, the wildfire and landslide claims have had a negative impact on premium rates. Our broker is still pushing the markets for a reduction in rates. A final report to the Commission will be provided after all the quotes are in.

The annual property insurance premium is expected "not to exceed" \$1,786,000 for property coverage, including \$606,000 for Business Interruption coverage for extra expenses for replacement power and coverage for RECs and Resource Adequacy on an annual exposure estimated at \$76.56 million.

NCPA Excess Liability Insurance Renewal

The \$35 million Primary Liability Insurance program renewal is also proposed for another year as expiring with the same insurer, American Electric & Gas Insurance Services (AEGIS), who continues to provide the best program at the most competitive pricing. The premium (including taxes) is \$320,545, which represents a 2.5% increase over last year. Additional coverages for \$45 million excess liability coverage were also quoted. Costs for the additional layers are expected to be \$248,455. Terrorism coverage is included as part of the premium quotes.

The total premium (including taxes) for \$80 million excess liability coverage is \$569,000, which represents a \$1,632 or 0.29% increase over last year.

Lodi Energy Center Operational Insurance Programs

The Lodi Energy Center (LEC) operational property and liability insurance renewals are proposed at the same limits, with no proposed increase in coverages. The annual premium costs are expected to be \$565,000 for property coverage and \$96,480 for general liability. The rate for property insurance remains flat and the rate for liability insurance increased by 2% compared to last year. Terrorism coverages are also included in the premium quotes and recommended by the LEC PPC.

Worker's Compensation Insurance Programs

Aon Risk Solutions actively marketed NCPA's Worker's Compensation insurance. The renewal Premium is expected to be lower than last year with the same \$1 million policy limit and zero deductible. The exact quotes are not available at this time. Prior year premiums were \$288,000.

FISCAL IMPACT:

Estimated insurance costs based on current not to exceed indications are as follows:

	Not to Exceed Quotes	FY 2017 Budget	Budget Variance
NCPA (excl. LEC)	\$2,355,000	\$2,550,000	-7.65%
LEC	\$661,480	\$660,000	0.22%
TOTAL	\$3,016,480	\$3,210,000	-6.03%

To-date, insurance renewals have been accomplished within the Insurance Program budget. The total "not to exceed" quote for the above major insurance programs is \$3,016,480, 6.03% below FY 2017 approved budget of \$3,210,000 for those programs.

NCPA property insurance cost will be allocated to plants according to its insured value and further allocated to participants based on project entitlement share. NCPA liability insurance cost allocation will be based on budget allocation for Admin & General expenses. LEC insurance program cost allocation will be based on generation entitlement share.

ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

COMMITTEE REVIEW:

The recommendation was reviewed by the Lodi Energy Center Project Participants Committee on November 14, 2016 and was recommended for Commission approval. The recommendation was also reviewed by the Facilities Committee on November 16, 2016 and was recommended for Commission approval.

Respectfully submitted,



RANDY S. HOWARD
General Manager

Attachments:

- NCPA and LEC Insurance Renewal Premium Summaries



NCPA Insurance Premium Summary

	NCPA			
	2016 Expiring	2017 Renewal	\$ Change	% Change
Property Damage				
Property Damage & Terrorism	\$ 1,139,999	\$ 1,180,000	\$ 40,001	3.51%
Insurable Value	\$ 718,788,633	\$ 741,619,733		3.18%
	0.00159	0.00159		0.32%
Time Element	410,024	606,000	\$ 195,976	47.80%
Taxes/Fees	28,276			
BI Exposure	54,650,000	76,560,000		40.09%
	0.00802	0.00792		-1.31%
Premium Total	\$ 1,578,299	\$ 1,786,000	\$ 207,701	13.16%
Casualty				
\$35mm Excess Liability	\$ 312,727	\$ 320,545		2.50%
Additional \$45 Liability	226,811	248,455		9.54%
Terrorism	10,636			
Taxes/Fees	17,194			
Premium Total	\$ 567,368	\$ 569,000	\$ 1,632	0.29%
Grand Total	\$ 2,145,667	\$ 2,355,000	\$ 209,333	9.76%



Lodi Energy Center (LEC) Insurance Premium Summary

LEC

2016 Expiring 2017 Renewal \$ Change % Change

Property Damage

Property Damage & Terrorism	\$ 552,211	\$ 565,000	\$ 12,789
Insurable Value	\$ 347,302,702	\$ 355,228,162	

0.00159 0.00159

Time Element Not Purchased Not Purchased

Taxes/Fees 8,906

BI Exposure

Premium Total	\$ 561,117	\$ 565,000	\$ 3,883	0.69%
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Casualty

\$35mm Excess Liability	\$ 89,792			-100.00%
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Additional \$45 Liability Not Purchased Not Purchased

Terrorism

1,863

Taxes/Fees

2,933

Premium Total	\$ 94,588	\$ 96,480	\$ 1,892	2.00%
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Grand Total	\$ 655,705	\$ 661,480	\$ 5,775	0.88%
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651 Commerce Drive
Roseville, CA 95678

phone (916) 781-3636
fax (916) 783-7693
web www.ncpa.com

Minutes - Draft

To: NCPA Commission
From: Cary A. Padgett, Assistant Secretary to the Commission
Subject: October 27, 2016, NCPA Special Commission Meeting

Item #1 – Call Meeting to Order and Introductions

Chair Bob Lingl called the meeting to order at 9:42 am at NCPA's Roseville Office, 651 Commerce Drive, Roseville, California. A quorum was present. Introductions were made. Those in attendance are shown on the attached attendance list.

PUBLIC FORUM

Chair Lingl asked if any members of the public were present who would like to address the Commission on the agenda item. No members of the public were present.

DISCUSSION / ACTION ITEMS

Item #2 – Resolution No. 16-82, Authorizing the General Manager to Issue Purchase Orders to Carry Out the Lodi Energy Center Stack Stratification Correction Project – adopt resolution by all members authorizing the General Manager or his designee to issue Purchase Orders in a total amount not-to-exceed \$430,000 to carry out the Lodi Energy Center Stack Stratification Correction Project.

Fiscal Impact: total cost of the project is not-to-exceed \$430,000. A purchase order was issued on October 21, 2016, for mobilization and investigation into the issues and those costs are included in the total cost of the project. This project was not included in the current fiscal year budget. However, funds will be drawn from the existing budgeted maintenance account 553-009-011-610-044-001 to fund this project. There is a total of \$3.2M currently budgeted for fixed maintenance costs. Cost allocation will be based on generation entitlement share.

Lodi Plant Manager Michael DeBortoli gave a presentation and background on the Lodi Energy Center stack stratification correction project.

Motion: A motion was made by Gary Plass and seconded by Roger Frith to adopt resolution by all members authorizing the General Manager or his designee to issue Purchase Orders in a total amount not-to-exceed \$430,000 to carry out the Lodi Energy Center Stack Stratification Correction Project. The motion carried by a unanimous roll call vote of those members present. *BART, Gridley and Truckee Donner were absent. Alameda, Palo Alto, Port of Oakland, and Redding abstained.*

ADJOURNMENT

The October 27, 2016, Commission meeting was adjourned at 9:58 am.

Respectfully submitted,

CARY A. PADGETT
Assistant Secretary to the Commission

Northern California Power Agency
Commission Meeting of October 27, 2016
COMMISSIONER
Attendance List

NCPA Commissioners are requested to sign, but signature by members of the public is voluntary.

MEMBER	NAME
ALAMEDA	Madelin Elbertson
BIGGS	Roger I. Smith
GRIDLEY	
HEALDSBURG	Heidi A. Smith
LODI	Mark Chandler
LOMPOC	Russ A. Smith
PALO ALTO	Jane O. Katcheye
PORT OF OAKLAND	M. P. Paves
PLUMAS-SIERRA REC	Michael Briggs
REDDING	Barry Tipton
ROSEVILLE	Carol Garcia
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT	
SANTA CLARA	Teresa Driscoll
TRUCKEE DONNER	
UKIAH	M. J. Gaudin

Attendance List

NCPA Commissioners, Alternates & Staff are requested to sign, but signature by members of the public is voluntary.

NAME	AFFILIATION
Arthur Z...	NCPA asst general counsel
Gray Pharr	HALDSBURN
John Roarkema	Shasta Clearing
Michelle Bertolino	Rosennie
BARRY LESKA	ALAMEDA
Peggy Feith	Biggs
Alyssa Thompson	Koff & Associates
Donna Stevener	NCPA
Vicki Cichocki	NCPA
Michael DeBortoli	NCPA
Randy Bonersof	NCPA
Janet Cirrincione	NCPA
Dave Doodman	NCPA
LIZ KIRKLEY	Liz
Mike Brozo	PSREC
Mike Deer	NCPA - GC
Bob L...	Compa
Tom Miller	Shasta Lake

Northern California Power Agency
ROLL CALL VOTE

Topic: Resolution 16-82

	<u>VOTE</u>	<u>ABSTAIN</u>	<u>ABSENT</u>
Alameda	<u> </u>	<u> X </u>	<u> </u>
BART	<u> </u>	<u> </u>	<u> X </u>
Biggs	<u> Y </u>	<u> </u>	<u> </u>
Gridley	<u> </u>	<u> </u>	<u> X </u>
Healdsburg	<u> Y </u>	<u> </u>	<u> </u>
Lodi	<u> Y </u>	<u> </u>	<u> </u>
Lompoc	<u> Y </u>	<u> </u>	<u> </u>
Palo Alto	<u> </u>	<u> X </u>	<u> </u>
Plumas-Sierra	<u> Y </u>	<u> </u>	<u> </u>
Port of Oakland	<u> </u>	<u> X </u>	<u> </u>
Redding	<u> </u>	<u> X </u>	<u> </u>
Roseville	<u> Y </u>	<u> </u>	<u> </u>
Santa Clara	<u> Y </u>	<u> </u>	<u> </u>
Truckee Donner	<u> </u>	<u> </u>	<u> Y </u>
Ukiah	<u> Y </u>	<u> </u>	<u> </u>

Passed and adopted this 27th day of October 2016, by the above vote on roll call.

Bob Lingl
BOB LINGL
Chair

ATTEST: Cary A. Radgett
CARY A. RADGETT
Assistant Secretary



651 Commerce Drive
Roseville, CA 95678

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Minutes - Draft

To: NCPA Commission

From: Cary A. Padgett, Assistant Secretary to the Commission

Subject: October 27, 2016, NCPA Commission Meeting

Item #1 – Call Meeting to Order and Introductions

Chair Bob Lingl called the meeting to order at 9:58 am at NCPA's Roseville Office, 651 Commerce Drive, Roseville, California. A quorum was present. Introductions were made. Those in attendance are shown on the attached attendance list.

Item #2 – Approve Minutes of the September 23, 2016, Regular Commission Meeting

Motion: A motion was made by Gary Plass and seconded by Mark Chandler to approve the Minutes of the September 23, 2016, Regular Commission Meeting. The motion carried unanimously on a voice vote of those members present.

PUBLIC FORUM

Chair Lingl asked if any members of the public were present who would like to address the Commission on the agenda items. No members of the public were present.

Member of Month was Vicki Cichocki NCPA's Human Resource Manager.

REPORTS AND COMMITTEE UPDATES

Item #3 – General Manager's Business Progress Report and Update

- NCPA Assistant General Manager and CFO Donna Stevener announced her plans to retire at the end of the year. In the process of working through a transition plan. Job announcement has been posted on NCPA's website
- Completed all NCPA member site visits for the year – met with City of Lompoc this week.
- Met with Modesto Irrigation District this week regarding potential NCPA membership.
- Held discussions with Merced Irrigation District (Merced) regarding potential membership. At this time, they are not ready to move forward with an application, but could in the near future.
- Provided an updated on the status of the Amendment No. 1 to the Joint Powers Agreement (JPA) – at this time, only three outstanding member signatures.

Item #4 – Executive Committee

Committee Chair Bob Lingl reported that the Committee met that morning and heard a report from the General Manager, discussed the results of NCPA's salary survey, General Counsel Position and met under closed session. No reportable action was take on the closed session item.

Item #5 – Facilities Committee

Assistant General Manager Dave Dockham reported the Committee met once since the last Commission meeting. The Committee met at its regular scheduled meeting and discussed Items 13, 14, 15, 19, 20, 21, and 22 on today's Agenda. The Committee also discussed revenue allocation, no action was take on that item, but the Committee will provide a recommendation at the next meeting. A quorum of the Committee was present at the meeting. The Committee recommended Commission approval of all items.

Item #6 – Finance Committee

Committee Chair Madeline Deaton reported the Committee met once since the last Commission meeting. The Committee held a special meeting on October 19th and discussed Items 16 and 17 on today's agenda. The Committee voted unanimously to recommend Commission approval of both items. The Geothermal Bond refunding deal successfully closed on October 6th and is included on today's agenda as Item 12. Jordan Ayers, Assistant City Manager/Finance Director at the City of Lodi announced his retirement in December. This will leave an opening on the Committee that will need to be filled.

The next regular Committee meeting is scheduled on November 9th at 10 am.

Item #7 – Legal Committee

General Counsel Michael Dean reported the Committee did not meet.

Item #8 – Legislative & Regulatory Affairs Committee

Committee Chair Gary Plass reported that the Committee will hold its annual Strategic Planning meeting on November 30th from 12:00 – 4:00 pm at NCPA's Roseville office.

Mark your calendar for the 2017 Strategic Issues Conference being held at the Embassy Suites in Sacramento January 17-19. Online registration will open on November 8th.

NCPA's new Electric Vehicle Working Group held its second meeting this week. The working group's next meeting will be held on December 14th with CMUA and SCPA.

Congratulated Roger and Mary Frith on their 50th wedding anniversary earlier this month.

Item #9 – Members' Announcements & Meeting Reporting

No member announcement or meeting reporting was provided.

CONSENT CALENDAR

Prior to the roll call vote to approve the Consent Calendar, the Commissioners were polled to determine if any member wished to pull an item or abstain from one or more items on the Consent Calendar. No items were pulled for discussion.

Motion: A motion was made by Gary Plass and seconded by Bob Lingl to approve the Consent Calendar consisting of Items 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, and 24. The motion carried by a majority of those members present on a roll call vote with the abstentions noted below for each item.

BART, Gridley and Truckee Donner were absent.

Item #10 – NCPA’s Financials for the Month Ended September 30, 2016 – approval by all members.

Item #11 – Treasurer’s Report for the Month Ended September 30, 2016 – accept by all members.

Item #12 – Final Report on Geothermal 2016A Bond Refunding – receive and file Geothermal 2016A Bond Refunding Report.

Fiscal Impact: the bond refunding resulted in net present value savings of \$1.034 million for the Geothermal participants. The savings will occur over the next 8 years through 2024 and will be allocated in accordance with project participant percentages as shown above.

Item #13 – Resolution 16-71, Approve ACCO Engineered Systems, Inc. – Five Year Multi-Task General Services Agreement for HVAC Maintenance Services; Applicable to the following projects: All NCPA Facility Locations, Members, SCPPA, and SCPPA Members – adopt resolution by all members authorizing the General Manager or his designee to enter into a Multi-Task General Services Agreement with ACCO Engineered Systems, Inc. for HVAC maintenance services, with any non-substantial changes recommended and approved by the NCPA General Counsel, which shall not exceed \$750,000 over five years for use at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority (“SCPPA”), or by SCPPA members.

Fiscal Impact: total cost of the agreement is not-to-exceed \$750,000 over five years to be used out of NCPA approved budgets as services are rendered. Purchase orders referencing the terms and conditions of the Agreement will be issued following NCPA procurement policies and procedures.

Item #14 – Resolution 16-72, Approve Burns & McDonnell – Five Year Multi-Task Professional Services Agreement for Consulting Services for Project Support and Plant Operations; Applicable to the following projects: All NCPA Facility Locations, Members, SCPPA, and SCPPA Members – adopt resolution by all members authorizing the General Manager or his designee to enter into a Multi-Task Professional Services Agreement with Burns & McDonnell for consulting services related to project support and plant operations, with any non-substantial changes recommended and approved by the NCPA General Counsel, which shall not exceed \$1,000,000 over five years for use at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority (“SCPPA”), or by SCPPA members.

Fiscal Impact: total cost of the agreement is not-to-exceed \$1,000,000 over five years to be used out of NCPA approved budgets as services are rendered. NCPA will bid the specific scope of work consistent with NCPA procurement policies and procedures. Purchase orders referencing the terms and conditions of the Agreement will be issued following NCPA procurement policies and procedures.

Item #15 – Resolution 16-73, Approve Hart High-Voltage Apparatus Repair & Testing Co., Inc. – Five Year Multi-Task General Services Agreement for Electrical Services; Applicable to the following projects: All NCPA Facility Locations, Members, SCLPA, and SCLPA Members – adopt resolution by all members authorizing the General Manager or his designee to enter into a Multi-Task General Services Agreement with Hart High-Voltage Apparatus Repair & Testing Co., Inc. for electrical services, with any non-substantial changes recommended and approved by the NCPA General Counsel, which shall not exceed \$700,000 over five years for use at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority (“SCLPA”), or by SCLPA members.

Fiscal Impact: total cost of the agreement is not-to-exceed \$700,000 over five years to be used out of NCPA approved budgets as services are rendered. Purchase orders referencing the terms and conditions of the Agreement will be issued following NCPA procurement policies and procedures.

Item #16 – Resolution 16-75, Approval of the Sixteenth Supplemental Indenture of Trust to Amend the Geothermal Project Number 3 Indenture of Trust – adopt resolution by all members to amend the Geothermal Bond Indenture to reflect the current project participation and future removal of the City of Palo Alto from the project in accordance with Amendment Two to the Agreement for Construction, Operation and Financing of Geothermal Generating Project Number 3, changes the deadline for submission of annual financial reports to 210 days from 120 days to match continuing disclosure requirements and removes the requirement for a special Accountant’s Certificate regarding bond covenant defaults.

Fiscal Impact: this amendment is for clarification of language only. There is no fiscal impact to NCPA.

Port of Oakland and Redding abstained.

Item #17 – Acceptance of the Annual Financial Statements and Associated Audit Report and Letters for the Years Ended June 30, 2016 and 2015 – accept and file by all members the Annual Financial Statements and Associated Audit Report and Letters for the years ended June 30, 2016 and 2015.

Fiscal Impact: this is a financial report for the years ended June 30, 2016 and 2015, which has no direct budget impact to the agency, but merely reports on the fiscal impacts for the last fiscal year.

Item #18 - Resolution 16-76, Approval of Updated Lodi Energy Center (LEC) Exhibit 8 to the Project Management and Operations Agreement Schedule 1.00 – adopt resolution by all members approving the changes to Exhibit 8 of PMOA Schedule 1.00.

Fiscal Impact: no significant costs will be incurred to implement the changes to the PMOA Schedules and funds are available in the NCPA budget to support the work associated with this contract update.

Palo Alto, Port of Oakland and Redding abstained.

Item #19 – Resolution 16-77, Approval of Scheduling Coordination Program Agreement Appendix B Version 20 – adopt resolution by all members approving implementing revised Scheduling Coordination Program Agreement (SCPA) Appendix B for the processing of CAISO daily and monthly settlements in accordance with the terms of the Appendix B.

Fiscal Impact: no significant costs will be incurred to implement the changes to the SCPA Appendices and funds are available in the NCPA budget to support the work associated with these contract updates.

Item #20 – Resolution 16-79, Approval of Amendment No. 2 to the BART Single Member Services Agreement – adopt resolution by all members approving the Amendment No. 2 to the BART SMSA, which includes a revised Attachment A that is attached to and made part of the BART SMSA, and authorize the General Manager of NCPA to execute Amendment No. 2 to the BART SMSA, on behalf of NCPA, including any non-substantive modifications to Amendment No. 2 to the BART SMSA approved by NCPA’s General Counsel.

Fiscal Impact: costs associated with development of Amendment No. 2 to the BART SMSA are included in the FY 2017 annual budget. All costs associated with NCPA's provision of services to BART pursuant to the BART SMSA are determined and allocated through the annual budget process.

Item #21 – Resolution 16-80, Approval of Amendment to Appendix E of the Amended and Restated Scheduling Coordination Program Agreement – adopt resolution by all members approving an amendment to Appendix E of the Amended and Restated Scheduling Coordination Program Agreement, to add the following three (3) generating resources to the list of resources that take Scheduling Coordination Services from NCPA: (i) Crow Creek Solar 1 (Resource ID: CRWCKS_1_SOLAR1), (ii) Western Antelope Blue Sky Ranch B LLC (Resource ID: BIGSKY_2_SOLAR4), and (iii) Elevation Solar C LLC (Resource ID: BIGSKY_2_SOLAR2).

Fiscal Impact: costs associated with administering the SCPA, including amending the appendices of the agreement, are included in the FY 2017 annual budget. All costs associated with NCPA's provision of Scheduling Coordination Services to the three (3) new resources are determined and allocated through the annual budget process.

Item #22 – Resolution 16-81, Approval of Extension of Natural Gas Pipeline Transportation Contracts for the NGTL and Foothills BC Pipeline Transportation Systems – adopt resolution by all members extending the natural gas pipeline transportation contracts to maintain NCPA's natural gas pipeline transport volume rights on the NOVA and Foothills transportation systems for one (1) year through October 31, 2018.

Fiscal Impact: based on current transportation rates, the cost for acquiring natural gas pipeline transportation capacity on the NOVA system is approximately \$130,000 per year, and acquiring natural gas pipeline transportation capacity on the Foothills system is approximately \$70,000 per year. All costs associated with acquiring natural gas pipeline transportation capacity on the NOVA and Foothills system are included in the NCPA annual budget, and are treated as Project Costs and allocated to the STIG project participants based on their respective project participation percentages.

Palo Alto, Port of Oakland and Redding abstained.

DISCUSSION / ACTION ITEMS

Item #23 – Resolution 16-74, Adoption of Amount of Employer Contribution to CalPERS Medical Plans for Calendar Year 2017 – adopt resolution by all members approving the fixed amount of \$1,615.91 per month as the maximum Agency contribution for the CalPERS Medical Plans for employees and annuitants and their dependents for calendar year 2017; and approve specific CalPERS Resolutions for each employee and/or employee/annuitant group including Resolution Nos. 16-74 A for IBEW Local 1245-Group 200, 16-74 B for HEA-Group 300, 16-74 C for Unrepresented Staff-Group 400, 16-74 D for Power Generation Employees-NPERS Group 701, 16-74 E for Unrepresented Administrative Members-NPERS Group 702, 16-74 F for HEA-NPERS Group 702, 16-74 G for IBEW Local 1245-Group 002, 16-74 H for HEA-Group 003, and 16-74 I for Unrepresented Staff-Group 004.

Fiscal Impact: the cost of the Agency's contribution for the CalPERS Medical Plans for employees and annuitants is included in the current fiscal year approved budget. The recommended monthly maximum contribution amount of \$1,615.91 for 2017 is \$10.66 less per employee/annuitant than the approved amount of \$1,626.56 in 2016.

Human Resources Manager Vicki Cichocki provided a brief update on the CalPERS medical insurance.

Motion: A motion was made by Barry Tippin and seconded by Gary Plass to adopt the resolution approving the fixed amount of \$1,615.91 per month as the maximum Agency contribution for the CalPERS Medical Plans for employees and annuitants and their dependents for calendar year 2017; and approve specific CalPERS Resolutions for each employee and/or employee/annuitant group including Resolution Nos. 16-74 A for IBEW Local 1245-Group 200, 16-74 B for HEA-Group 300, 16-74 C for Unrepresented Staff-Group 400, 16-74 D for Power Generation Employees-NPERS Group 701, 16-74 E for Unrepresented Administrative Members-NPERS Group 702, 16-74 F for HEA-NPERS Group 702, 16-74 G for IBEW Local 1245-Group 002, 16-74 H for HEA-Group 003, and 16-74 I for Unrepresented Staff-Group 004. The motion carried by a unanimous roll call vote of those members present.

BART, Gridley and Truckee Donner were absent

Item #24 – Overview of Budget Process and Approach – Request for Approval of 2017/18 NCPA Operating Budget Directions – approve by all members the 2017/18 Operating Budget directions as presented and instruct staff to prepare the draft 2017/18 Operating Budget in accordance with those approved directions.

Fiscal Impact: direction provided in this presentation will provide budget guidance for fiscal year 2017/18. Specific fiscal impact is not known at this time. Actual fiscal impact will be presented at the time of final approval of the 2017/18 Operating Budget, currently scheduled for April 2017.

Assistant General Manager/CFO Donna Stevener gave a presentation on the overview of the budget process and approach for FY2017-2018 Operating Budget.

Motion: A motion Carol Garcia and seconded by Madeline Deaton to approve the 2017/2018 Operating Budget directions as presented and instruct staff to prepare the draft 2017/2018 Operating Budget in accordance with those approved directions. The motion carried unanimously on a voice vote of those members present.

BART, Gridley, and the Truckee Donner were absent.

Item #25 – Resolution 16-78, 2016 Salary Survey and Recommendations for 2017 Salary Ranges – adopt resolution by all members approving to assign new salary grades to select job classifications, approve the 2017 salary ranges and pay schedule, and delegate authority to the General Manager to implement as well as make any minor adjustments as necessary.

Fiscal Impact: total annual cost to bring the employees up to the minimum of their respective job classifications is approximately \$17,562.80 and funding is included in the current fiscal year budget. Funds are available in NCPA's Salaries and Benefits accounts.

General Manager Randy Howard provided a brief background on the NCPA Salary Survey process. Human Resource Manager Vicki Cichocki provided a more detailed explanation of the results. Katie Kaneko of Koff and Associates, consultants that were awarded the contract to manage the salary survey study, provided the Commission with a presentation that outlined the study objective, criteria, scope of services, and outcome – unrepresented and dispatcher job classifications were not included in the study. Based on the study, most classifications will remain in the same pay grades, although some classifications, primarily in the Computer Technology and Power Settlements job families will move up and other, primarily in the Accounting and Materials Coordinator job families, will move down. In addition, some classifications recommended for salary grade changes, up or down, were not be fully implemented due to internal alignment issues. Overall, Koff and Associates determined that the majority of NCPA's positions are competitive in their current pay grades. The report showed NCPA's base salaries are 1.8 percent below the market, but 1.4 percent above with benefits, and the labor market position at the 70th percentile on base pay.

The Commission discussed and recommend approval of the resolution with the additional language in the second WHEREAS explaining that the labor market position at the 70th percentile on base pay was used.

Motion: A motion by Jane Ratchye and seconded by Gary Plass to adopt resolution approving to assign new salary grades to select job classifications, approve the 2017 salary ranges and pay schedule, and delegate authority to the General Manager to implement, as well as make any minor adjustments as necessary, and including language at the end of the second WHEREAS "...labor market position at the 70th percentile on base pay was used." The motion carried unanimously on a voice vote of those members present.

BART, Gridley, and the Truckee Donner were absent.

CLOSED SESSION

Item #26 – CONFERENCE WITH LEGAL COUNSEL – Existing litigation pursuant to Government Code Section 54956.9(d)(1): Name of case: *Northern California Power Agency, City of Redding, City of Roseville, and City of Santa Clara v. the United States*, Court of Federal Claims no. 14-817C.

REPORT FROM CLOSED SESSION

Upon return to open session, General Counsel Michael Dean reported there was no reportable action on Closed Session Item 26.

NEW BUSINESS

No new business was discussed.

ADJOURNMENT

The October 27, 2016, Commission meeting was adjourned at 11:28 am.

Respectfully submitted,

//

CARY A. PADGETT

Assistant Secretary to the Commission

Attachments

**Northern California Power Agency
Commission Meeting of October 27, 2016
COMMISSIONER
Attendance List**

NCPA Commissioners are requested to sign, but signature by members of the public is voluntary.

MEMBER	NAME
ALAMEDA	Madelin Elderton
BIGGS	Ryan I. [Signature]
GRIDLEY	
HEALDSBURG	[Signature]
LODI	Mark Chandler
LOMPOC	[Signature]
PALO ALTO	Jane O. Katcheye
PORT OF OAKLAND	M. Paves
PLUMAS-SIERRA REC	Michael Bragg
REDDING	Barry Tiffin
ROSEVILLE	Carol Marcini
SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT	
SANTA CLARA	Teresa Dreill
TRUCKEE DONNER	
UKIAH	M.J. Gaudin

**Northern California Power Agency
Commission Meeting of October 27, 2016
Attendance List**

NCPA Commissioners, Alternates & Staff are requested to sign, but signature by members of the public is voluntary.

NAME	AFFILIATION
Arthur Zayas	NCPA asst general counsel
Gray Pharr	HALDSBURN
John Roarkema	Santa Clara
Michelle Bertolino	Rosennie
BARRY LESKA	ALAMEDA
Peggy Feith	Biggs
Alyssa Thompson	Koff & Associates
Donna Stevener	NCPA
Vicki Cichocki	NCPA
Michael DeBortoli	NCPA
Randy Bowersox	NCPA
Janet Currinione	NCPA
Dave Dockham	NCPA
LIZ KIRKLEY	Liz
Mike Brozo	PSREC
Mike Deer	NCPA - GC
Bob L...	Lompoc
Tom Miller	Shasta Lake

CONSENT CALENDAR

All items on the Consent Calendar are considered routine and will be approved without discussion by a single-roll call vote. Any Commissioner or member of the public may remove any item from the Consent Calendar. If an item is removed, it will be discussed separately following approval of the remainder of the Consent Calendar.

Prior to the roll call vote to approve the Consent Calendar, the Commissioners will be polled to determine if any Member wishes to abstain from one or more items on the Consent Calendar.

CONSENT CALENDAR ROLL-CALL APPROVAL

Commission Meeting Date: 10/27/16

Consent Items Listed on the Agenda: # 10 to # 24

Consent Items Removed from the Agenda and Approved Separately:

7

Hea / Lodi

ROLL-CALL VOTE BY MEMBERS:

Member	Item Numbers Abstained	Vote	Absent
Alameda		Y	
BART		Y	X
Biggs		Y	
Gridley		Y	Y
Healdsburg		Y	
Lodi		Y	
Lompoc		Y	
Palo Alto	18 22	Y	
Port of Oakland	16 18 22	Y	
Redding	16 18 22	Y	
Roseville		Y	
Santa Clara		Y	
Truckee Donner		Y	X
Ukiah		Y	
Plumas-Sierra		Y	
		Y	

ATTEST:

Cary A. Padgett
 Assistant Secretary to the Commission

**Northern California Power Agency
ROLL CALL VOTE**

Topic: Resolution 16-74

	<u>VOTE</u>	<u>ABSTAIN</u>	<u>ABSENT</u>
Alameda	<u>✓</u>	<u> </u>	<u> </u>
BART	<u> </u>	<u> </u>	<u>X</u>
Biggs	<u>✓</u>	<u> </u>	<u> </u>
Gridley	<u> </u>	<u> </u>	<u>X</u>
Healdsburg	<u>✓</u>	<u> </u>	<u> </u>
Lodi	<u>✓</u>	<u> </u>	<u> </u>
Lompoc	<u>✓</u>	<u> </u>	<u> </u>
Palo Alto	<u>✓</u>	<u> </u>	<u> </u>
Plumas-Sierra	<u>✓</u>	<u> </u>	<u> </u>
Port of Oakland	<u>✓</u>	<u> </u>	<u> </u>
Redding	<u>✓</u>	<u> </u>	<u> </u>
Roseville	<u>✓</u>	<u> </u>	<u> </u>
Santa Clara	<u>✓</u>	<u> </u>	<u> </u>
Truckee Donner	<u> </u>	<u> </u>	<u>X</u>
Ukiah	<u>✓</u>	<u> </u>	<u> </u>

Passed and adopted this 27th day of October 2016, by the above vote on roll call.

Bob Lingl
BOB LINGL
Chair

ATTEST: Cary A. Padgett
CARY A. PADGETT
Assistant Secretary

Northern California Power Agency
ROLL CALL VOTE

Topic: Resolution 16-78

	<u>VOTE</u>	<u>ABSTAIN</u>	<u>ABSENT</u>
Alameda	<u>✓</u>	<u> </u>	<u> </u>
BART	<u> </u>	<u> </u>	<u>X</u>
Biggs	<u>✓</u>	<u> </u>	<u> </u>
Gridley	<u> </u>	<u> </u>	<u>X</u>
Healdsburg	<u>✓</u>	<u> </u>	<u> </u>
Lodi	<u>✓</u>	<u> </u>	<u> </u>
Lompoc	<u>✓</u>	<u> </u>	<u> </u>
Palo Alto	<u>✓</u>	<u> </u>	<u> </u>
Plumas-Sierra	<u>✓</u>	<u> </u>	<u> </u>
Port of Oakland	<u>✓</u>	<u> </u>	<u> </u>
Redding	<u>✓</u>	<u> </u>	<u> </u>
Roseville	<u>✓</u>	<u> </u>	<u> </u>
Santa Clara	<u>✓</u>	<u> </u>	<u> </u>
Truckee Donner	<u> </u>	<u> </u>	<u>X</u>
Ukiah	<u>✓</u>	<u> </u>	<u> </u>

Passed and adopted this 27th day of October 2016, by the above vote on roll call.

Bob Lingl
BOB LINGL
Chair

ATTEST: Cary A. Padgett
CARY A. PADGETT
Assistant Secretary



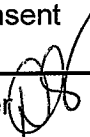
Commission Staff Report

November 14, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Approval of Revised Records Management Policy 100-182

AGENDA CATEGORY: Consent

FROM:	Donna Stevener 	METHOD OF SELECTION:
	Asst. General Manager/CFO	N/A
Division:	Administrative Services	
Department:	Accounting & Finance	

IMPACTED MEMBERS:		
All Members <input checked="" type="checkbox"/>	City of Lodi <input type="checkbox"/>	City of Ukiah <input type="checkbox"/>
Alameda Municipal Power <input type="checkbox"/>	City of Lompoc <input type="checkbox"/>	Plumas-Sierra REC <input type="checkbox"/>
Bay Area Rapid Transit <input type="checkbox"/>	City of Palo Alto <input type="checkbox"/>	Port of Oakland <input type="checkbox"/>
City of Biggs <input type="checkbox"/>	City of Redding <input type="checkbox"/>	Truckee Donner PUD <input type="checkbox"/>
City of Gridley <input type="checkbox"/>	City of Roseville <input type="checkbox"/>	Other <input type="checkbox"/>
City of Healdsburg <input type="checkbox"/>	City of Santa Clara <input type="checkbox"/>	<i>If other, please specify:</i>
<hr/> <hr/>		

RECOMMENDATION:

That the Commission adopt Resolution 16-83 approving the attached Records Management Policy and related Exhibits as revised.

BACKGROUND:

In October 2007, NCPA adopted a formal Records Management Policy 100-182 (with a Records Retention Schedule and Destruction of Records Notice attached thereto as Exhibits A and D, respectively) to enable NCPA to systematically dispose of obsolete or inactive records in accordance with Government Code Section 34090, Code of Federal Regulations Title 18, Section 125.2 and 125.3 and other regulations currently in place. The policy was revised in December 2008, and again in June 2014 to provide improvements and corrections to the forms and the Exhibit A, Records Retention Schedule.

Over the past year, NCPA has continued implementation of its electronic document management system and during the course of the implementation; new document categories have been discovered. In addition, for ease of use going forward, many of the previous categories were combined together to simplify the Record Retention Schedule (Exhibit A). Included with this report is a draft of a revised Records Management Policy (100-182) and related Exhibits. The policy was revised to clarify duties surrounding the policy and other minor corrections. The main change was to the Records Retention Schedule (Exhibit A), which has been reformatted, reorganized, new document types have been added to the Schedule, other types have been deleted or combined, certain items clarified, and certain retention periods have been revised. The Schedule includes a column explaining changes from the previous schedule.

The proposed changes to Exhibit A were reviewed by General Counsel and legal citations were updated as well. In addition, Two Exhibits (B & C) were removed from the policy as they are no longer needed. Stored records are now tracked in the vendor's electronic system eliminating the need for Exhibit B and original records are mostly received in an electronic form, eliminating the need for official scanning of large amounts of documents and certification of such scanning process. Exhibit D has been re-lettered to reflect the elimination of these two Exhibits and to update the form to include destruction of electronic documents.

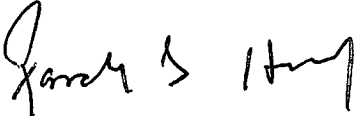
FISCAL IMPACT:

No monetary impact is expected from the policy revisions proposed in this staff report.

ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Randy S. Howard". The signature is fluid and cursive, with the first name "Randy" being more prominent.

RANDY S. HOWARD
General Manager

Attachments:

- Resolution 16-83
- Revised Records Management Policy 100-82 and Exhibits
- Redline Records Management Policy 100-182 and Exhibits

RESOLUTION 16-83

RESOLUTION OF THE NORTHERN CALIFORNIA POWER AGENCY REVISING THE RECORDS MANAGEMENT POLICY AND RETENTION SCHEDULE (EXHIBIT A)

(reference Staff Report #219:16)

WHEREAS, the Northern California Power Agency is a public joint powers agency ("Agency") whose Joint Powers Agreement dated the 19th of July 1968, as amended and restated as of January 1, 2008, provides that the Agency is governed by the law applicable to general law cities; and

WHEREAS, the Agency is governed by the Commission of the Northern California Power Agency ("Commission") and seeks to comply with applicable records retention laws by adopting a policy of records management and retention and a corresponding schedule for destruction; and

WHEREAS, records management concerns the creation, processing, maintenance, protection retrieval, retention, preservation and disposition of recorded information required for the operation of Agency business; and

WHEREAS, records retention is an ongoing practice of systematic, timely and effective disposal or removal of obsolete or inactive records from expensive office space and the effective, but economical preservation of records of permanent value; and

WHEREAS, the Agency's Joint Powers Agreement requires it to comply with laws applicable to general law cities, including but not limited to Government Code Section 34090 and following relating to the retention and destruction of public records; and

WHEREAS, except for records less than two (2) years old and certain other records, Government Code Section 34090 authorizes the Agency to destroy certain records, documents or instruments under the General Manager's charge, without duplication, with the approval of the Commission, by resolution, and with the written consent of the Agency's General Counsel; and

WHEREAS, the Commission adopted a Records Management Policy in October 2007 with a Records Retention Schedule and Destruction of Records Notice attached to the Policy as Exhibits A and D respectively; and

WHEREAS, certain minor clerical errors and changes were adopted in a revised Retention Schedule in December 2008; and certain other updates were made in June 2014; and

WHEREAS, continued implementation of a document management system has revealed the need to include certain types of documents not previously included, reorganize the Records Retention Schedule to combine and simplify the Schedule, change certain retention periods, add clarification to the policy and make other improvements to the policy and the related Exhibits; and

WHEREAS, the Commission seeks to adopt a revised Records Management Policy (100-182), including Exhibits; and

WHEREAS, This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary; and

NOW, THEREFORE BE IT RESOLVED by the Commission of the Northern California Power Agency as follows:

Section 1. Records Management Policy. The Records Management Policy of the Northern California Power Agency consists of administrative policies and regulations set forth in the attached, Records Management Policy (100-182) and is hereby adopted by the Commission.


Section 2. Records Retention Schedule. The revised Records Retention Schedule attached hereto as Exhibit A of the Records Management Policy is also hereby adopted by the Commission. The records set forth therein are no longer needed and no longer required by law to be retained pursuant to Government Code Section 34090 and Code of Federal Regulations Title 18, Sections 125.2 and 125.3 (as currently existing and hereafter amended). Said records may be destroyed, as directed by the General Manager, without making a copy thereof, subject to the prior written approval of the Agency General Counsel.

PASSED, ADOPTED and APPROVED this ____ day of _____, 2016 by the following vote on roll call:

	<u>Vote</u>	<u>Abstained</u>	<u>Absent</u>
Alameda	_____	_____	_____
BART	_____	_____	_____
Biggs	_____	_____	_____
Gridley	_____	_____	_____
Healdsburg	_____	_____	_____
Lodi	_____	_____	_____
Lompoc	_____	_____	_____
Palo Alto	_____	_____	_____
Port of Oakland	_____	_____	_____
Redding	_____	_____	_____
Roseville	_____	_____	_____
Santa Clara	_____	_____	_____
Truckee Donner	_____	_____	_____
Ukiah	_____	_____	_____
Plumas-Sierra	_____	_____	_____

BOB LINGL
CHAIR

ATTEST: _____
CARY A. PADGETT
ASSISTANT SECRETARY

	POLICIES & PROCEDURES MANUAL	No. 100-182	Page 1 of 4
		Owner: Administrative Services	Effective: 10-2007 Updated 12-1-2016
SUBJECT:	RECORDS MANAGEMENT	APPROVED: RANDY S. HOWARD, GENERAL MANAGER	

POLICY

The Agency will manage the retention, creation, utilization, maintenance, preservation and destruction of its records in an efficient and cost effective manner that ensures compliance with the applicable laws of the United States of America and the State of California.

PURPOSE

The purpose of this policy and procedure is to provide for a system of records management that meets the following objectives:

1. Preservation of records of inherent important informational or intrinsic value. Such records serve as evidence of the Agency's history, internal structure, decisions, policies, procedures, operations or other important basic activities;
2. Ensure that preserved records are properly stored as follows:
 - (A) In an orderly manner such that records are readily retrievable for future reference based on frequency of use.
 - (B) Maintained under secure, controlled conditions.
 - (C) For an appropriate period of time before being destroyed.
3. Orderly, controlled destruction of records that no longer need to be preserved to provide authentic and adequate documentation of the Agency's structure, functioning, etc.


SCOPE

This policy applies to any records of the Agency. This includes all papers, maps, exhibits, photographs or similar documents (without regard to their physical form or characteristics), including electronic documents, produced, received, owned or used by the Agency in connection with the conduct of the Agency's business.

REFERENCES


1. U.S. Code of Federal Regulations, Title 18-Conservation of Power and Water Resources, Section 125-Preservation of Records of Public Utilities and Licensees and California Government Code Sections 34090, 60201, 84009, 12946
2. California Public Records Act, Government Code Section 6250 et seq.)
3. California City Clerks Association 1998 list of common local government records and recommended retention periods.
4. State of California, Local Government Records Management Guidelines
5. California Code of Civil Procedure Sections 343, 337.2, 337.5, 349
6. 8 California Code of Regulations Section 15400
7. 29 United States Code Sections 211c, 203 m
8. Immigration Reform & Control Act

DEFINITIONS

	Records Management	No. 100-182	Page 2 of 5
		Owner: Administrative Services	Effective: 10-2007 Updated 12-1- 2016

- **ACTIVE FILES** - Records needed for conducting current business. This includes, but is not limited to, all records not greater than two years old.
- **ARCHIVE** - Record to be preserved by the Agency on a long-term basis because of its important evidential value or uniqueness in documenting the ongoing historical structure and functioning of the Agency or provides valuable research data.
- **NON-RECORDS** - All records not usually included within the definition of "records", such as:
 - (1) Unofficial copies kept only for convenience or reference (except copies of record value retained by the issuing office), including library material intended solely for reference;
 - (2) Extra copies of any publication;
 - (3) Copies of documents reflecting routine administrative operations, e.g., notices of meetings or work schedules, appointment logs, advertisements, requests for supplies, transmittal letters that do not contain significant information;
 - (4) Preliminary work materials (working papers, rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents) provided that all of the needed information in them was incorporated in a final document of significant import so as to be considered an official record.
- **PUBLIC RECORD or RECORD**– Any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by the Agency regardless of physical form or characteristics. A Public Record may be subject to disclosure pursuant to the California Public Records Act or other applicable law.
 - Records include any documentary material of inherent important informational value concerning the Agency's internal structure, decisions, policies, procedures, operations or other basic activities. For example, a copy of a completed document maintained by the issuing office may be an archivable record, but informational copies of the same document maintained by other departments in the Agency are not records.

The term "record" as used herein shall apply to electronic information including but not limited to: (i) information regarding energy trades; (ii) substantive email communication serving as a memorandum, letter, or otherwise used to conduct business.
- **RECORDS RETENTION SCHEDULE** - A schedule listing all official record files of the Agency showing the records to be archived, the period for which archived records are to be retained, and any conditions related to their destruction. The Agency's legal authority to receive, create, retain and dispose of official public records is contained in this schedule, as adopted and modified by the Commission.
- **RETENTION PERIOD** – The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. Then a record should be disposed of as soon as possible in accordance with an approved Records Retention Schedule.

	Records Management	No. 100-182	Page 3 of 5
		Owner: Administrative Services	Effective: 10-2007 Updated 12-1- 2016

RESPONSIBILITIES

Assistant General Manager-Administrative Services


1. Administration and maintenance of the master Records Retention Schedule (Exhibit A) for all records;
2. Development of procedures/or electronic systems to provide for efficient and effective implementation of this policy;
3. Periodic review (at least biennially) of this policy and related Exhibits;
4. Maintenance of all records or forms documenting destruction of records in accordance with this policy.

Assistant General Managers ("AGMs")

1. Identification and evaluation of the records under their control which have administrative, legal, fiscal, research, or historical value meeting the Agency's stated records management objectives;
2. Determination of storage custody for hardcopy records, i.e., main office, site, other warehouse, based on usage needs;
3. Preparation and delivery of records for hardcopy storage
4. Budgeting departmental funds to pay for the boxing and processing of records to be stored and for the storage of records under his/her control;
5. Storage of hardcopy and electronic working copies under his/her control;
6. Identification, tracking, and control of records for retrieval, delivery, and return as required; and,
7. Approval, monitoring, and confirmation of physical or electronic destruction of archived records currently under their control (Exhibit B).
8. Sending all records or forms documenting destruction of records to the AGM Administrative Services for permanent storage.

Department Managers

1. Budgeting funds to pay for the ongoing storage of records under his/her control;
2. Identification, tracking, and control of records under his/her control for retrieval, delivery, and return as required;
3. Initiating and monitoring the physical or electronic destruction of all records in accordance with this policy (Exhibit B); and
4. Providing updated inventory listings of all archived records to Assistant General Managers.


	Records Management	No. 100-182	Page 4 of 5
		Owner: Administrative Services	Effective: 10-2007 Updated 12-1- 2016

PROCEDURE

1. **Identification and Classification** of Agency records shall be done in accordance with the "Records Retention Schedule" (Exhibit A). While documents may be classified as a certain type of document based on the Records Retention Schedule at the time of document creation, upon notification of a legal or contractual dispute or other matter, such documents related to such disputes or legal actions should be reclassified and retained until conclusion of the dispute or legal action to protect such documents from destruction during the dispute. See the Legal category on the Records Retention Schedule for specific retention periods.
2. **Period of Retention** for an Agency record to be archived will be the longest period prescribed under either Federal or State Law, or as determined by the Commission based on recommendation from Agency staff responsible for records management.
3. **Electronic Storage** is the preferred method of archived record storage, subject to Federal or State Law Prohibitions. A backup copy of each archived record will be housed at a suitable, separate location from where working copies are maintained.
4. **Destruction of Records** shall be accomplished by shredding or other method resulting in complete destruction of the records, including electronic copies, which shall be confirmed by the appropriate Assistant General Manager or other designated Agency official. Such destruction will be initiated only when the "Destruction of Records Notice" (Exhibit B) has been fully approved by all parties, including the General Counsel and General Manager. This form will be maintained on file by the AGM Administrative Services as a permanent record of all destroyed records.
5. **Loss of Records** must be reported to the applicable Assistant General Manager and the AGM Administrative Services as soon as possible.

EXHIBITS

- EXHIBIT A** - Records Retention Schedule
EXHIBIT B - Destruction of Records Notice

	Records Management	No. 100-182	Page 5 of 5
		Owner: Administrative Services	Effective: 10-2007 Updated 12-1- 2016

VERSION HISTORY

No.	Explanation	Date	Author
5			
4	Update to clarify responsibility for this policy and to make changes to the Records Retention Schedule (Exhibit A); change general manager; Eliminate Exhibit forms that were no longer used	12/1/2016	DS
3	Provide clarification on reclassification of retention period for records related to a legal dispute or claim and revision of records retention schedule for new record types, reorganization and clarification.	6/14	DS
2	Formatted with new header and version history	08/13	MM
1	Revised Retention schedule and Forms based on feedback from users.	12/08	DS
0	Original Policy	10/07	DBL

**Northern California Power Agency
Records Retention Schedule**

Exhibit A

1 of 14
11/7/2016

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Administrative	Calendar	Calendars/Schedules	All Commission, Committee, or staff meeting schedules and calendars; includes individual calendars in Outlook.	CY+2	CY+2	Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Administrative	Completed Forms	Completed Forms	Completed forms not captured in another record series; some include request for credit card and other administrative forms related to Administrative policies & procedures, waiver of liability, declaration of excess for assets less than \$5,000, community relations, etc.	AC+5	AC+5	Y	GC 34090; 2 year minimum; State of California Guideline
Administrative	Completed Forms	Vacation Requests Forms - completed	Completed vacation requests.	CY+2	CY+2	Y	GC 34090; 2 year minimum; State of California Guideline
Administrative	Completed Forms	Emergency Contact Form	Completed forms; information is put into ADP.	SUP	SUP	N	64 Ops.Cal.Atty.Gen. 317 (1981).
Administrative	Completed Forms	HR & Technology Forms	Forms completed by employees that tie to HR and technology policies and/or procedures.	T+2	T+3	Y	GC 34090; 2 year minimum; State of California Guideline
Administrative	Contact List	Contact Lists & Rosters	Contact lists, including those associated with potential vendors for RFPs, RFQs, RFIs, audits, & financial advisors; NCPA Roster of all members of the Commission, Utility Directors, Committees and NCPA Management staff; advertising and hiring sources; etc.	SUP+2	TEMP	Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Administrative	Logs	General Logs and Matrices	Includes all general logs and matrices; may include inventory logs, visitor logs, warranty logs, tracking matrices, test results log, chron file log, personal protection equipment log, transmission line log, records and archives list, etc. This does not include debugging logs when troubleshooting software, which are not a record.	CY+5	CY+5	Y	Chron File, Records & Archives: GC 34090; 2 year minimum; State of California Guidelines; Test Results Log: 40 CFR 262.40(c); test results; 3 year minimum; Transmission Line Log: 18 CFR § 125.3(14)(a-b); 3 year minimum
Administrative	Records Destruction	Certificates of Destruction	Includes list of records destroyed and destruction certificates	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Records Management Disposition Certification, permanent; Permanent for destruction tracking purposes.
Administrative	Security Incident Log	Logs related to a security incident	Logs related to a security incident. A security incident includes those that affect the reliability of the bulk electric system and business continuity. It is defined as continuous attempts to gain unauthorized access to a system or its data (whether successful or unsuccessful); unwanted disruption or denial of service; unauthorized use of a system for the processing or storage of data; changes to system hardware, firmware or software characteristics without the owner's knowledge, instruction or consent; unauthorized access to facilities, significant damage to property, or injury to a person on site.	PERM	CY+7	Y	GC 34090; 2 years minimum.
Agreement	Financial	Financial Agreements	Grants and financial agreements related to regular banking activities, merchant accounts; legal service requests, pertinent correspondence, attestations, etc.	AE+10	AE+10	Y	Banking: 18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; Grants & co-operative agreements, 3 years after submission of last expenditure report; OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition; State of California Guidelines; Closure plus 3 years for loans.
Agreement	Labor	General Manager Agreement	Includes executed General Manager Agreements, pertinent correspondence, legal service requests, attestations, etc.	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines, non-public-safety employees' human resources documents, 3 years after termination.
Agreement	Labor	Negotiations & original Memorandums of Understanding	Negotiations with labor groups and employees, and original Memoranda of Understanding. Includes executed Agreements, notes, bargaining meeting minutes, notebooks, pertinent correspondence, legal service requests, attestations, etc.	PERM	PERM	Y	29 USC 211c; Maintain, indefinite; 29 USC 203(m); Definitions; 29 USC 207(g); State of California Guidelines; Permanent
Agreement	License	Licenses/Use Agreements	Includes all documents related to the license agreement, including license keys, legal service requests, pertinent correspondence, etc.	LOS+5	LOS+5	Y	CCP 337.2; Statutes of limitations; 4 year standard limitation; RSA Suggestion; Life of software/system plus 5 years

AA- After Audit
AC- After Closure/Completion
AE- After Expiration
AF- After Filing

CN/CY- Calendar Month/Year
FY- Fiscal Year
SUP- Superseded
TEMP- Temporary

LOP- Life of Plant
LOS- Life of Software/System
T- Terminated
PERM- Permanent

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Agreement	Long Term	Long Term Agreements (greater than 5 years)	NCPA agency agreements in effect for more than 5 years, including RMR, MSSA, WAPA 2948A, Balancing Authority Agreements; Interconnection Agreements with Balancing Authorities, such as PG&E; Member Agreements such as governance, services, projects, programs such as Third Phase, WAPA Assignment, JPA, SMSA, Facilities, Pooling, etc.; Co-Tenancy Agreements, such as those with PG&E for transmission; related documents including signed and executed agreements, contract authorization forms, pertinent correspondence, attestations; and other completed and signed required documents related to long term agreements.	AE+15	AE+15	Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; CCP 337; CCP 343; Statutes of limitations; 4 year limitation; Original in Safe Deposit
Agreement	Non Disclosure	General Non Disclosure Agreements	Non Disclosure Agreements (NDAs) with Entities NCPA is conducting business.		[follow retention with the associated item]	Y	
Agreement	Non Disclosure	Non Disclosure Agreements with Members	Non Disclosure Agreements (NDAs) with NCPA Members and Project Participants related to market data made available by NCPA.		T+2	Y	The NDA is not required by law. It is a condition that NCPA places on those members that wish access to the data portal.
Agreement	Short Term	Short Term Agreements (5 years or less)	NCPA agency agreements in effect for 5 years or less, including commodity purchases and guarantees for services and products, DCS1; Leases, including operating or capital leases for equipment or property; Vendor agreements associated with maintenance & support, professional services, services & products, financial services; Employee medical, dental, vision, disability contracts or other administrative contracts; Related documents including signed and executed agreements, contractor safety forms, contract authorization forms, pertinent correspondence, insurance certificates, attestations; RFP, winning vendor proposal, bid summary for public works; and other completed and signed required documents related to short term agreements.	AE+5	AE+5	Y	General: CCP 337; CCP 343; Statutes of limitations; 4 year limitation; maintenance & support: RSA suggestion; Life of System plus 5 years; Professional Services: GC 34090; 2 year minimum requirement; State of California Guidelines; Current year Service/Product: 18 CFR 125.3(3); 4 years after expiration of agreement or until conclusion of any disputes pertaining to such agreements; Original in Safe Deposit. Guaranty: 2 years after the guaranty expires. CCP 337.2; Statutes of limitations; 4 years after breach, abandonment or termination of tenant possession
Agreement	Utility Plant	Agreements Relating to construction, acquisition or sale of Utility Plant	Executed Agreements and related documents associated with the construction, acquisition or sale of a utility plant; including licenses to construct, operate, and maintain a utility plant; pertinent correspondence, legal service requests, contractor safety forms, contract authorization form, attestations, etc.	LOP+6	LOP+6	Y	18 CFR § 125.3(22)
Bonds		Bonds	Final bond documentation (original on CD) such as pricing book, official statement, agreement, authorization letters, signature cards, resolutions; letters of credit, other liquidity products related to variable rate debt issuances, debt related promissory notes; Statements of deposits and withdrawals related to bonds; includes documentation evidencing the expenditure of bond proceeds. Documentation evidencing the use of the Project by public and private sources (i.e., copies of management contracts, research agreements, leases, any long term power sales to private entities, etc.); documents like vouchers, demonstrating transfer of revenues to debt service fund. Maintain until after expiration of the bonds; legal service requests, pertinent correspondence, attestations, etc. Maintain until after expiration of the bonds.		AE+10	Y/N	Bond/Revenue: GC34090; 2 year minimum; CCP 337.5 Statute of limitations; State of California Guidelines; 10 years after closure; Letters of Credit/Liquidity Facilities: GC 34090; 2 years minimum; GC 43900-43903; Destruction guidelines for bonds; CCP 336a; Statutes of limitations; 6 years after expiration; FC 30210; State of California Guidelines; Maintain 10 years after closure/expiration; Promissory Notes: 24 CFR 85.42; Investments: GC 53607; 2 year minimum; CCP 337; Statutes of limitations, 4 years for action; GC 53607; Maintain State of California Guidelines; Permanent Bonds: 18 CFR § 125.3(35)(c) until fund is dissolved; State of California guidelines AC+10.
Chemistry		ELAP Documents	Documentation associated with compliance with the Environmental Laboratory Accreditation Program.		AA+7	Y	GC 34090; 2 years minimum; 22 CCR 64815, maintain quality assurance program records for 3 years minimum.
Chemistry		Chemistry analysis and laboratory equipment documentation	Chemistry analysis and laboratory equipment documentation; including reports generated from chemistry analysis.		LOP+2	Y	GC 34090; 2 years minimum.

Northern California Power Agency
Records Retention Schedule

Exhibit A

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Correspondence		Related Correspondence	Correspondence essential for clarifying or explaining provisions of agreements, audits, NERC alerts, ELAP, litigation claims, insurance claims, GOR, grants, chemistry analysis, public records requests, property purchases, State & Federal legislation bills, permits, procurement, plant operations, regulatory and regulatory filings, MOU negotiations, etc. "Essential correspondence" is any correspondence with a sentence or more related to the subject as listed above, even if there is a clause in an agreement that states all negotiations prior to execution of the agreement are null and void.	[follow retention with the associated item]	[follow retention with the associated item]	Y	[see the associated item's record series]
Correspondence		External & Internal General Correspondence	General correspondence including emails, letters, memos; those with Union Representatives/Organizations, media, etc.; does not include correspondence associated with a specific program or item tied to another record series as listed in the Related Correspondence record series.	CY+4	CY+4	Y/N	GC 34090; 2 year minimum; Administrative Record, State of California Guidelines
Correspondence		Legal Opinions - Bond Counsel	Legal opinions from bond counsel. This correspondence can go into SharePoint as long as there are limited permissions set where it is stored.	LOP+15	LOP+15	Y/N	GC 34090; 2 year. 6254; Disclosure of records. State of California Guidelines, Legal opinions, 2 years after being superseded.
Correspondence		Legal Opinions	Legal opinions from general counsel or special counsel. This correspondence can go into SharePoint as long as there are limited permissions set where it is stored.	PERM	PERM	Y/N	GC 34090; 2 year 6254; Disclosure of records. State of California Guidelines, Legal opinions, 2 years after being superseded.
Correspondence		General Email	This type of correspondence stays in Outlook, and refers to e-mails that are considered transmittal in nature without any substance in the body of the email or are not made or retained for the purpose of preserving their informational content for future reference. This does not include correspondence associated with another specific record series.	TEMP	TEMP	N	Administrative decision; temporary retention for storage capacity and Public Records Act reasons
Counterparty		Counterparty Evaluations	Includes cash flow analysis, CRAM, Counterparty Authorization Form, Counterparty evaluation summary, counterparty financial statements.	CY+2	CY+2	Y	GC 34090; 2 years minimum.
Counterparty		Approved Counterparty list	Approved Counterparty list.	SUP+2	SUP+2	Y	GC 34090; 2 years minimum.
Database Record		Database Record Backup	Backup of database records performed daily, weekly, monthly, and/or annually.	[follow Disaster Recovery & Business Continuity Policy 337]	[follow Disaster Recovery & Business Continuity Policy 337]	N	GC 34090.7; duplicates and copies may be destroyed within the 2 year minimum period.
Database Record		System Log Data	Events logged by Windows system components; such as those during normal operations. Logs include data related to informational and diagnostics.	CM+6 Months	CM+6 Months	Y	64 Ops.Cal.Atty.Gen. 317 (1981).
Database Record		CAISO Settlements Raw Data	Raw data associated with ISO invoices and settlement statements; zip files sent from CAISO		CY+10	N	GC 34090; 2 years minimum.
Database Record		Power Supply Data Output	Output of production cost modeling data for power supply planning; includes loads, resources, transactions, other power agreements.	CY+10	CY+10	N	GC 34090; 2 years minimum.

Northern California Power Agency
Records Retention Schedule

Exhibit A

4 of 14
11/7/2016

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Database Record		NCPA Database	In addition to data replicated from the ACES database (data associated with Resource outages (SLIC availability), Real Time Scheduling, Unit Energy Allocation output data, ISO Bids/Awards (from TABS), ISO Dispatches/Instructions (from NADS), Member Preferred Schedules (from Scheduling Web Services (Roseville & Santa Clara) and Web Prescheduler (TID)), includes data associated with ISO Settlements output data (estimates, allocations), All Resources Bill raw data, Recorder ID data sent to ISO, Imbalance Energy process output data, historical Market Prices (ICE), dispatch logs (NCPA Logger), ISO Market information (from CMRI), BPA line ratings, JP Morgan Gas settlements, Greenhouse Gas settlements, MARS data, Deals, Prescheduling bids & ETC schedules (from Prescheduler, Web SAS logs, Timesheet data. Note: ACES and SAMC databases are temporary pass-through locations; data kept in NCPA database is the record. CY = Trade Date	CY+20	CY+20	N	GC 34090; 2 years minimum.
Database Record		ZEXI Database	Includes data associated with ISO OASIS market data, ISO CRR auction results, Platt's gas prices, Baker Hughes US Oil & Gas split data, CEC Energy Facilities status data, CME NYMEX Futures & Options data, EOX Price curve, BPA Line Ratings, Natural Gas Prices, PLEXOS data.	CY+10	CY+20	N	GC 34090; 2 years minimum.
Database Record		Help Desk Data	Records in customer management/job tracking system.	CY+10	CY+3	N	GC 34090; 2 years minimum.
Database Record		Plant/Project Databases	Database records associated with NCPA Plants/Projects such as Aquarium (NCPA business activities at Hydro); CMMS (computerized database with maintenance records for Plant assets); PI (Plant information, status, readings, etc. from various equipment); Red Tag (Generation Services safety procedures).	LOP+2	LOP+2	N	GC 34090; 2 years minimum; State of California Guidelines, agency-owned facilities, life of plant plus 2 years.
Database Record		Meter & Water Data (NCPA Database)	Data associated with SCADA, Trimark, and SQMD (meter data); Water accounting data (water schedules and allocated hydro meter data).		PERM	N	GC 34090; 2 years minimum.
Database Record		Power Supply Data Model (Plexos)	Production cost data model for power supply planning.		TEMP	N	GC 34090; 2 years minimum.
Default Energy Bid		Negotiated Default Energy Bids (NDEB) Methodology	Negotiated Default Energy Bids (NDEB) Methodology	SUP+2	SUP+2	Y	GC 34090; 2 years minimum.
Enterprise Architecture		Enterprise Architecture	Documents related to NCPA enterprise architecture and specific projects; including glossaries, decision tables, business rules/requirements, process/data flows, network diagrams, workstation/server configurations, access rights, IP addresses, etc.	SUP+4	SUP+4	Y/N	Network architecture documents: GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years
Enterprise Architecture		Plant Network Configurations	Network configuration at Plants stored in the Siemens T3000.		TEMP	N	Network architecture documents: GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years
Evidence	Audit	Safety Audits	Audits per Safety Policies and Procedures.		CY+2	Y	GC 34090; 2 year minimum Administrative Record, State of California Guidelines
Evidence	Audit	NERC Compliance and Internal Audit	NERC Compliance (including CIP); includes requested reports, steady-state and dynamics data for modeling & simulation of the interconnected transmission system, audits, specific-requested data reports, engineering records, logs, attendance lists, RBAM, RSAW, NERC Standards, agendas and attendance sheets of meetings where compliance was discussed (including staff meetings), etc. Internal Audits: includes workpapers related to safety audits, permits, departmental audits, internal & external; not related to financial audits.	CY+7	CY+7	Y	Internal Audits: GC 34090; 2 year minimum Administrative Record, State of California Guidelines

AA- After Audit
AC- After Closure/Completion
AE- After Expiration
AF- After Filing

CM/CY- Calendar Month/Year
FY- Fiscal Year
SUP- Superseded
TEMP- Temporary

LOP- Life of Plant
LOS- Life of Software/System
T- Terminated
PERM- Permanent

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Finance	Billing	Billing & Settlements Support	Administrative (including related correspondence and ARB memos), validation, and settlement output documents associated with the billing and settlements processes; including year-end settlements & output from members' cost allocations. (PDF version is in SharePoint), WREGIS documents (participant transfer requests, REC downloads, & other REC administrative documents), Greenhouse Gas documents (participant transfer requests, auction bidding strategies, CITSS downloads, & other greenhouse gas administrative documents), and invoices sent to non Members or one-off invoices (including supporting documents). The reports within the ARB remain on a network drive for publishing to DataPortal. The same reports are available as documents and raw data on the DataPortal. Raw data is in the NCPA Database.	AA+6	AA+10	Y/N	Invoices: State of California Guidelines; after audit plus 4 years
			Includes proposed budgets and all work papers leading up to final annual budget; general files of member cost allocations, including schedules suspended or superseded; model, methodology, business rules for the cost allocations.	AA+6	AA+10	Y	Budget Workpapers: GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2 years; Administrative Decision 6 years after audit for tracking purposes. Cost Allocations: 18 CFR § 125.3(30); 6 years after superseded or no longer used.
Finance	Budget	Budget & Cost Allocation Workpapers	Adopted Budget.	PERM	PERM	Y	GC 34090; 2 years minimum; GC 40802; State of California Guidelines; Final copy of approved budget is permanent. Working copies can be destroyed after use.
Finance	Financial Records	Accounting Support Documentation	Includes declaration of excess form for assets more than \$5,000, authorization for sales, bid invitation, bid register, contribution slip, donation receipt, and other supporting documentation; GOR letters of direction, correspondence regarding GOR deposits, and other documents related to GOR; cancelled checks; check registers, A/P listing reports, month-end reports; original purchase orders; In CMMIS: ledger sheets of materials and supplies received, issued, and on hand; records showing distribution of materials and supplies, including IT materials/supplies; records pertaining to reclassification of plant accounts; bank statements, summaries for receipts, disbursements; reconciliation; signed employee timecards and/or timesheets, travel requests (including any supporting documents), maintained audit reports; voucher registers when used as source document; paid and canceled vouchers; original bills and invoices paid by vouchers; paid checks and receipts for payments of vouchers; authorization for payment of specific vouchers; invoices paid may go in SharePoint or in Great Plains. Voucher will go in Great Plains.	AA+6	AA+10	Y/N	Check Register: GC 34090.7; Warrant registers are 2 years after audit; copies of information contained in another form/location; GC 34090; 2 year minimum; Cancelled Checks: GC 34090; 2 year minimum; CCP 337; Statute of limitations; State of California Guidelines; 5 years after audit; Purchase Order: GC 34090; 2 year minimum; CCP 337; Statute of limitations; State of California Guidelines; 4 years after audit; Bank statements: GC 34090; 2 years minimum; FC 30210; Maintain, indeterminate retention; GC 43900-43903; Bond records, notification to public of destruction; State of California Guidelines; 2 years after audit; Timesheets: GC 34090; 2 year minimum; 29 CFR 516.2; 29 CFR 516.6; maintain 2 years; § 19530; 3 years after tax return due; LC 1174; 2 years after pay period; 26 CFR 31.6001-1; 4 years after tax return due; State of California Guidelines; 6 years after audit; Declaration of Excess: 18 CFR § 125.3(28); 3 years; Inventory, Plant Records: 18 CFR § 125.3(26); 6 years after creation; Voucher packet: 18 CFR § 125.3(10)-(11); 5 years.
			Includes general financial audit workpapers and asset retirement work such as summary sheets, distribution sheets, reports, statements, and papers directly supporting debits and credits to utility plant accounts not covered by construction or retirement work; workbooks with links/macros will remain on the network drives while others will be in SharePoint; journal entries, analyses, summarization, distributions, and computations; does not include those for Hydro Plant Accounts. PDFs are in SharePoint; data in Great Plains.	AA+10	AA+10	Y/N	Annual Audit: GC 34090; 2 years minimum; State of California Guidelines; 7 years after audit; Administrative Decision 10 years after audit; Journal entry support: 18 CFR § 125.3(8)(b)(2); 6 years for non-plant accounts; Asset Retirement Work: 18 CFR § 125.3(19); 5 years.
Finance	Financial Records	General and Subsidiary Ledgers	General Ledger and other subsidiary ledger data maintained in the financial system.	PERM	PERM	N	GC 34090; 2 year minimum; CCP 337; Statutes of limitations, 4 years for action; State of California Guidelines; Permanent; 18 CFR § 125.3(6); 10 years

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Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	On Share-Point	Legal Citation
Finance	Grants	Miscellaneous Grants	Actual grant application, grant filings, reimbursement requests, other related documents.	AC+6	AC+6	Y	24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report; OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition; 29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years; State of California Guidelines; 5 years after grant closure; State recommends referring to grant application close-out procedures, if any.
Finance	Payroll	Employee Payroll Files	Payroll pay sheets, FLSA worksheets; hourly and salary employees.	T+3	T+3	N	GC 34090; 2 years minimum; GC 12946; 2 years after termination; 29 CFR 516.5-6; Maintain at least 2 or 3 years, depending upon record; 29 CFR 1627.3; Maintain 3 years; State of California Guidelines; 3 years after employee termination or separation.
Finance	Plant Records	Plant Ledgers and Depreciation Records	Ledgers of utility plant accounts including land and other detailed ledgers showing cost of utility plant by classes; continuing plant inventory ledger or book showing description, location, quantities, cost, etc., of physical units of utility plant, asset list, depreciation schedule, includes supporting computation of expense, records of analysis sheets, and records reflecting the service life of the property and percentage of salvage.	CY+25	CY+25	Y/N	Plant Ledgers: 18 CFR § 125.3(16); 25 years; Depreciation: 18 CFR § 125.3(24); 25 years
Finance	Plant Records	Asset Construction & Retirement Work, and Hydro Asset Support	Construction Work in Progress, Ledgers, Work Orders, journal entries, etc., including work orders for utility plant additions; Documents supporting journal entries charged to Hydro Plant Asset Accounts, including analyses, summarization, distributions, and computations; Retirement Work in Progress, ledgers, etc. These are in CMMS; work order sheets to which are posted removal costs, materials recovered and credits to utility plant accounts.	LOP+6	LOP+6	Y/N	Construction-related: 18 CFR § 125.3(17)(a-b); 5 years after plant is retired, or 5 years after clearance to plant account only if continuing plant inventory records are maintained; Hydro Plant Assets: 18 CFR § 125.3(8)(b)(1); 25 years for plant accounts; see also 18 CFR § 125.2(g); records related to hydro facilities must be retained until ERC determines the actual legitimate original cost of facilities; Retirement-related: 18 CFR § 125.3(18); 5 years after plant retirement.
Finance	Statements	Investment Transactions - Operations	Listing of all investments leading up to the creation of the Treasurer's Report; Statements of deposits and withdrawals related to operations.		AC+10	Y	Investments: GC 53607; 2 year minimum; CCP 337; Statutes of limitations, 4 years for action; GC 53607; Maintain State of California Guidelines; Permanent
Finance	Statements	Annual Financial Statements	Includes financial statements used for annual financial audit report.	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Permanent
Finance	Work Orders	Work Orders	In CMMS and/or Great Plains; work order sheets with detailed entries for labor and materials and other charges pertaining to utility operations; summaries of expenditures on maintenance and job orders and clearances.	LOP+2	AA+10	N	18 CFR § 125.3(15); 5 years
HR	Benefit Plan	Employee Benefit Plans	CalPERS, Retiree Medical, Deferred Compensation 457/401A benefit plan contracts; includes related documents such as correspondence, LSRs, etc; does not include Employee Medical, Dental, Vision, Disability contracts or other administrative contracts (see Vendor Agreements).	PERM	PERM	Y	GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent

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HR	Benefits	Employee Benefit Information	EAP, AFLAC, Life Insurance, etc.; non-medical and/or non-insurance related employee services; supplemental insurance, etc.; applications, brochures and general plan information for deferred compensation, health benefits (medical, dental, vision), long term disability and life insurance, PERS, state disability, workers compensation; does not include records relating to specific employees, reports of claims and/or individual events or denied enrollment; or contracts.	CY+2	SUP+2	Y	Health, Long Term Disability: GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent; PERS: GC 34090; 2 year minimum; State Disability: Administrative documents from the State. Keep while current; Workers Comp: GC 34090; 2 year minimum. Benefit Plan Information: State of California Guidelines; 2 years after being superseded.
HR	Benefits	Employee Handbook	Employee reference guide to benefits and personnel matters.	CY+2	SUP+2	Y	GC 34090; 2 year minimum; State of California Guidelines; 2 years after superseded
HR	Compensation	Compensation & Reclassification Studies	General pay and classification plan; does not include records for specific employees; compensation study, reclassification study.	CY+5	CY+7	N	GC 34090; 2 year minimum; GC 12946; 2 years after completion/position filled; 29 CFR 516.6(2); 2 years for wage rate and similar tables; 29 CFR 1602.14; 1 year after action/change; State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.
HR	Employee File	EEO Applicant Survey	Completed EEO survey provided to the US Equal Employment Opportunity Commission.	CY+3	CY+3	N	GC 34090; 2 year minimum; State of California guidelines; closed/completion plus 3 years
HR	Employee File	Employee Records	All personnel related materials and correspondences for Agreement, full time, part time, temporary/seasonal, and terminated employees; includes investigations/disciplinary actions; appraisals; completed tuition aide, FMLA, and HIPAA forms; FMLA letters and tracking calendars. Does not include medical leave records, worker's compensation or PERS information.	PERM	PERM	N	GC 34090; 2 year minimum; State of California Guidelines; Non-Public-Safety Employees, 3 years after termination; Benefit Plan Claims, Permanent.
HR	Employee File	Payroll Forms	All personnel related completed payroll forms.	PERM	PERM	N	GC 34090; 2 year minimum; State of California Guidelines; Non-Public-Safety Employees, 3 years after termination.
HR	Employee File	Medical Records & Worker's Compensation	Includes general employees; actual records pertaining to an employee's illness or injury.	T+30	T+30	N	8 CCR 15400.2; Maintain reports; LC 110 - 139.6; 5 years for auditing; LC 6410; 29 CFR 1910.1020; 30 years after employee termination; State of California Guidelines; 30 years after termination
HR	Grievance	Employee Grievances	Employee grievances and related documents/correspondence.	T+2	PERM	N	GC 34090; 2 years minimum; State of California Guidelines; After employee termination plus 2 years. Decision: PERM for history of precedence setting.
HR	Job Description	Position Information/Job Descriptions	NCPA job descriptions.	SUP+3	SUP+3	Y	GC 34090 & 60201; 2 year minimum; State of California guidelines; 2 years after superseded
HR	Org Charts	Organization Charts	NCPA organization charts not included in the Budget; original from Payroll.	SUP+5	SUP+5	Y	GC 34090; 2 years minimum.
HR	Recruitment	Recruitment	Includes job announcements, prospective employee job applications and testing information.	AC+1	AC+2	Y/N	Job announcements: GC 12946; 2 years after completion/position filled; GC 6250; Public Records Act, release of confidential information; 29 CFR 1602.14; 1 year after position filled; 29 CFR 1607; Maintain EEOC demographic information; 29 CFR 1627.3; 1 year after position filled; Applications & Testing Info: GC 12946; 2 years after completion/position filled; CFR 1602.14; 1 year after position filled; 29 CFR 1607; Maintain EEOC demographic information; 29 CFR 1627.3; 1 year after position filled.

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Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
HR		State & Federal Employment Verification	Background checks; completed I-9s.		T+5	N	Background checks: GC 34090; 2 year minimum; State of California Guidelines; 3 years after termination I-9s: Immigration Reform & Control Act. 5 year statute of limitations
Insurance Policy		Agency Insurance Coverage Policies	Includes information pertaining to insurance programs such as pooled liability, property, public official bond, workers compensation, identity theft, etc.; damage claims involving Agency employees; personal and damage claims against the Agency.	PERM	PERM	Y	CCP 337.2 & 343; Statute of limitations, 4 years; State of California Guidelines; Permanent
Legal	Claims	Claims, Lien & Release Support	Insurance; in connection with losses and claims against insurance companies; GL posting, remittance, report, letter, etc. Some on SharePoint and some not; Legal Proceedings: Claims filed by/against NCPA, whether paid or denied; including settlement agreements; supporting documents for liens and releases.	AC+10	AC+10	Y/N	Insurance: 18 CFR § 125.3(12)(b); 6 years; Legal Proceedings: GC 34090; 2 year minimum; 29 USC 1113; ERISA claim; 6 years after date of last action or 3 years after plaintiff had knowledge of breach or violation, whichever comes first; GC 910-913; Statute of limitations; 6 months to 1 year after event occurs; State of California guidelines; 5 years after settlement or closure; Lien/Release Support: GC 34090; 2 year minimum; State of California Guidelines; After closure plus 2 years for supporting documentation.
Legal	Claims	Liens & Releases	Recorded liens.	PERM	PERM	Y	GC 34090; destruction not authorized; State of California guidelines; Permanent for recorded liens
Legal	LSRs	Legal Service Requests	Completed & signed Legal Service Requests that are not captured in another record series.	AC+2 or follow retention with associated Agreement or Legal Opinion	AC+2	Y	GC 34090; 2 year minimum; State of California guidelines; Current year plus 2 years
Legal	Public Records Request	Public Records Requests	Public Records Requests and related correspondence.	AC+2	AC+2	Y	GC 34090; 2 years minimum; State of California Guidelines; 2 years after completion
Legal	Legal & Regulatory Proceedings	Legal & Regulatory Proceedings	Court records, filings and comments to filings, subpoenas, attestations, and other supporting documentation; includes titles, franchises, and licenses; including those with FERC, CPUC, CEC, NERC.	AC+10	AC+10	Y/N	Court Records: GC 34090; 2 year minimum; State of California Guidelines; After closure plus 7 years; Formal Court Orders: 18 CFR § 125.3(2)(b); 6 years after final non-appealable order.
Meetings	Brown Act	Brown Act (Public) Committee Documents	Brown Act Committees: Facilities, Legal, Finance, L&R Affairs, LEC PPC; includes all documents related to these meetings (i.e., public notice, legal publications, attendance lists, staff reports, presentations, meeting materials, agendas, minutes).	CY+15	CY+15	Y	GC 34090; 2 years minimum; Administrative Decision: Current Year plus 10 years for reference purposes; GC 36814; Maintain record of proceedings
Meetings	Brown Act	Official Commission & Executive Committee Meeting Documents	Commission & Executive Committee only; includes all documents related to these meetings; including any closed session documents (i.e., public notices, legal publications, agendas, minutes, notes, attendance lists, presentations, meeting materials, staff reports, resolutions, confidential memos to the Commission). Confidential memos are not stored in SharePoint based upon legal counsel advice regarding confidentiality.	PERM	PERM	Y/N	Commission documents: GC 34090; 2 years minimum; State of California guidelines; superseded plus 2 years Commission Memos: GC 34090; 2 year minimum; State of California Guidelines; Current year plus 2; Administrative Decision: permanent
Meetings	Commendations	Commendations/Proclamations	Commendations and proclamations issued by the Commission or NCPA Management team for recognition of service, retirement, etc.	CY+4	CY+10	Y	GC 34090; 2 years minimum; State of California guidelines; superseded plus 2 years
Meetings	External	General Meeting Materials	Meeting Materials, presentations, notes from meetings with external parties that is kept as pertinent reference.		CY+2	Y	GC 34090; 2 years minimum.

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Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Meetings	non Brown Act	non Brown Act (non Public) Meeting Documents	Non Brown Act Committees: Pooling, UD's, ROC, RMC, Public Benefits, Agency Safety, HQ Safety, EARC, Clearance, Electrical Safety, Quarterly Safety, Geo Safety, Hydro Safety, CT Safety, Coordinated Operations Group, External Affairs, CMOG, Northern California Municipal Power Corporation, ITSC; includes all documents related to these meetings (i.e., attendance lists, staff reports, presentations, meeting materials, agendas, minutes).	CY+10	CY+10	Y	GC 34090; 2 years minimum; Administrative Decision: Current Year plus 10 years for reference purposes
Meetings	Presentations	General Presentations	Includes presentations that do not fall under another record series; e.g., Credit Rating presentations, non Committee/Commission budget presentations.	CY+10	CY+10	Y	GC 34090; 2 years minimum.
Meetings	Staff	Staff Meeting Documents	Departmental staff meetings and meeting notes for non-formal meetings; non-agenda related reports and supporting documentation.	CY+2	CY+2	Y	GC 34090; 2 year minimum; Administrative Record, State of California Guidelines
Permits		External Work Permits and Reports	Includes permits related to confined space (used for specific events, generally lasting 1-2 weeks); excavating (posted at location and hard copy scanned into SharePoint; these are applicable for duration of the project); hot work external (permit needed to perform welding, torching, burning etc. granted by an external agency such as USFS; hard copy and/or pdf; applicable for the specific job). Also includes related filings/reports showing compliance with the permit and associated notifications such as notifications to districts; notifications are made via phone and then followed up with an email (which should be saved into SharePoint).		AC+2	Y/N	Confined Space: 29CFR 1910.146; 1 year after cancellation/expiration; Excavating: State of California guidelines; close/completion plus 2 years; Hot Work External: 8 CCR 6777(i); 6 months after date of issue
Permits		Annual Renewal Permits	Includes underground storage tank permit and associated notifications; posted on location and renewed annually. scan hard copy into SharePoint.	SUP+1	AE+2	Y/N	GC 34090; 2 years minimum; State of California Guidelines; Non-Construction Permits; 2 year minimum after closure/completion; Underground Storage Tank Maintenance & Operation; 2 year minimum.
Permits		Permit Certifications	Includes air receiver certification, crane certification, and other permit-related certifications; associated notifications Posted at location and hard copy scanned into SharePoint.	SUP	AE+2	Y/N	GC 34090; 2 years minimum.
Permits		Hazardous Materials Storage Permits and Reports	Includes the permit, filings/reports showing compliance with the permit, and associated notifications such as notifications to districts of exceedance or breakdowns related to permits; notifications are made via phone and then followed up with an email (which should be saved into SharePoint);. Posted at location and hard copy scanned into SharePoint.	CY+20	AE+20	Y/N	State of California guidelines; current year plus 2 years; Administrative decision; after expiration plus 20 years based on CERCLA/Superfund contribution liability
Permits		Short Term Permits	USFS Special Use Permits (short term), RWQCB sump discharge permits, pressure vessel permits, UST permits, etc. Also includes related reports/filings showing compliance and associated notifications such as notifications to districts; notifications are made via phone and then followed up with an email (which should be saved into SharePoint).	AE+4	AE+4	Y	GC 34090; 2 year minimum
Permits		Internal Work Permit	Permit needed to perform welding, torching, burning etc. issued by NCPA under the Hot Work Safety Procedure; hard copy and/or pdf; applicable for the specific job; includes associated notifications.	CM+6 Months	CM+6 Months	Y/N	8 CCR 6777(i); 6 months after date of issue
Permits		Long Term Permits & FERC Licenses	Includes FERC licenses; USFS Special Use Permits (long term), air permits; air receiver permits; CEC permit licenses; disposal permits; encroachment permits; grading permits; production well permits, including BLM Sundry notice, CARB A/C/Operating, DOGGR; underground storage tank compliance; operations permits; also includes filings/reports showing compliance with permits and associated notifications such as 24 - Hour notification to district prior to shutting down emissions monitoring equipment for maintenance; notifications to districts of exceedance or breakdowns related to permits; notifications are made via phone and then followed up with an email (which should be saved into SharePoint).	PERM	PERM	Y	Encroachment & Grading; GC 34090(a) Real property records, maintain Permanently; GC 4003, 4004; H&S 19850; Life of Building, with exceptions; NPDES: 40 CFR 122.41(j)(2)-(3); 5 years for sewage sludge use and disposal activities; 3 years for all other monitoring information, etc. related to permit

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Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Permits		National Pollutant Discharge Elimination System Permits	National Pollutant Discharge Elimination System (NPDES) permits (issued by the State Water Resources Control Board, Regional Water Quality Control Board, or Environmental Protection Agency) and supporting documents such as submittals, laboratory test results, associated notifications such as 24 - Hour notification to district prior to shutting down emissions monitoring equipment for maintenance; notifications to districts of exceedence or breakdowns related to permits; notifications are made via phone and then followed up with an email (which should be saved into SharePoint), etc.	AE+10	SUP+10	Y	40 CFR 122.41(j)(2)-(3); 5 years for sewage sludge use and disposal activities; 3 years for all other monitoring information, etc. related to permit
Photo		Official Photos & Logos	Professional photographs of facilities and high resolution official NCPA logos; does not include copies (low resolution versions)	PERM	PERM	Y	64 Ops.Cal.Atty.Gen. 317 (1981).
Photo		Images	Includes logos of NCPA Members, Customers, and Project Participants; stock photos; facility photos taken by staff, project-related photos, employee association photos, event/celebration photos, etc.		TEMP	Y	64 Ops.Cal.Atty.Gen. 317 (1981).
Policies & Procedures		Policies and Procedures	Agency and department policies and procedures; including those requiring formal approval and those that do not, Emergency Response Plan/Procedure (ERP), Risk Management Plan/Process Safety Management, ILPP Safety Program, technology related, day-to-day activity related, etc.	SUP+7	SUP+7	Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded; Risk Management Plan: 40 CFR 68.67, at least life of the process
Procurement		Procurement of Services, Materials, Commodities	Documents associated with the procurement of services, materials, and commodities (power, gas, capacity, REC's and other authorized commodities); including bids and bid packages, protests, proof of publication, bid sign in sheets, Requests for Qualification, Requests for Proposal, and Requests for Information; quotes; pre-qualification questionnaires, procurement notices, vendor evaluations, vendor proposals, etc.; bid summary in ReQlogic; Public Works bid packages must be tied to the specific Agreement.	AA+5	AA+5	Y/N	GC 34090; 2 years minimum; CCP 337; Statute of limitations; State of California Guidelines; 5 years after audit, successful; 2 years after audit, unsuccessful.
Projects	Business Projects	General projects for improving efficiencies and overall business activities	Documents related to projects for improving efficiencies and overall business activities, including project plan, timeline, progress reports, test cases, testing deployment plans, testing acceptance, checklists, and other supporting documentation throughout the life of the project.		AC+5	Y	GC 34090; 2 years minimum.
Projects	Engineering	Engineering Records, Drawings, and Supporting Documentation	Includes the following engineering records: authorization for expenditures (AFE), calculators, correspondence, drawings, notes, O&M manuals, engineering reports, scope of work, specifications, studies, field service reports, soil reports, Collierville rerating studies, WECC related key planning studies and reports; also includes same records for proposed or constructed utility facilities.	LOP+2	LOP+2	Y	18 CFR § 125.3(21); retain until facility retired
Projects	O&M, Capital & Public Works	O&M, Capital Improvement and Public Works Projects Supporting Documents	Includes maps, correspondence, calculators, operations tools, project economics, notes, reports, schedules, and other supporting documents related to Operations & Maintenance (O&M), Capital Improvement and Public Works Projects; does not include drawings or specifications.	AC+10	AC+10	Y	GC 34090; 2 year minimum; 29 USC 1113; ERISA Statute of Limitations; 6 years; CCP 337; Statute of Limitations 4 years; CCP 337.15; 10 years after completion; State of California guidelines; Permanent.
Projects	O&M, Capital & Public Works	O&M, Capital Improvement and Public Works Projects Specifications	Includes plans, specifications, and drawings for Operations & Maintenance (O&M), Capital Improvement and Public Works Projects; does not include other related support documentation.	PERM	PERM	Y	GC 34090; 2 year minimum; 29 USC 1113; ERISA Statute of Limitations; 6 years; CCP 337; Statute of Limitations 4 years; CCP 337.15; 10 years after completion; State of California guidelines; Permanent
Public Relations	Press	Legislative Policy, NCPA Hosted Events, Editorials, General Press Releases, and Newsletters	Includes policy position papers, event programs, Tour materials, Federal Policy Conference materials, and APPA Rally materials; event planning, and other NCPA hosted events; also includes presentations on L&R briefings, opinion editorials and general press releases; scripts and audio files; newsletters (i.e., NCPA Weekly newsletter, Facility newsletters, etc.).	CY+5	CY+10	Y	Event Programs: GC 34090; 2 years minimum; State of California Guidelines; Current year plus 7; Newsletters & scripts: GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 2.
Public Relations	Press	Facility Brochures, Press Releases	Includes brochures and press releases related to NCPA Facilities.	LOP+2	LOP+2	Y	GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 2

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Public Relations	Press	General NCPA Brochures, Bios & Headshots	Includes general NCPA brochures; bios and headshots for NCPA executive team and Commissioners; those related to an event are kept within those publications.	TEMP	TEMP	Y	GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 2
Real Property	Appraisals	Appraisals and Valuations - properties	Made by Agency of its properties or those of associated companies	LOP+2	LOP+2	Y	18 CFR § 125.3(20)(a); 3 years after appraisal
Real Property	Land/Property	Land/Property Files	Includes easements, lot line adjustments, deeds, quitclaim deeds, acquisitions/indications of Real Property, escrow closing agreements, legal descriptions, correspondence related to purchase, etc.; original Deeds are held with the County.	PERM	PERM	Y	GC 34090(a); Permanent for property related records; State of California Guidelines; Permanent
Reference	General	General References	Includes APPA safety manual; notes used within a department for day to day activities; media references, including Software user guides, manuals, and other reference materials; Legislative policy references; technical references, manuals, guidelines and reference materials for general office management and equipment; vendor technical manuals; vendor brochures, pamphlets, and general information about each vendor (save in SharePoint based on individual's choice); bulletins related to products, services and safety; training, conference, or external meeting handouts.	SUP	SUP	Y/N	State of California Guidelines; Administrative Record; Reference documents and books, no required retention; Vendors: State of California Guidelines; While active; does not include vendor registers (alphabetical vendor listing of purchase orders, invoices, account numbers and check dates), which are kept permanently per State of California guidelines.
Reference	Safety	Safety Data Sheets	CTs uses hard copies; a link to the SDS system to view online is available to all facilities; Hydro has hard copies and SharePoint.	CY+30	CY+30	N	1910.1020(d)(1)(ii)(B) 30 years; safety data sheets need not be retained for any specified period as long as some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years.
Reporting	Air Permit	Air Permit Reports	Includes EDR report, startup, shutdown, breakdown; Continuous Emissions Monitor System and other non Title V reports; annual and 6 month reports, Continuous Emissions Monitor System Title V; Title V reports completed by all Facilities; annual compliance testing; emissions air data; quarterly written report to district.	CY+5	CY+5	Y	per Air Permit itself; Non Title V: 40 CFR 60.7(f)
Reporting	Audit	Internal Audit Report	Actual audit report; does not include work papers.	AA+10	AA+10	Y	8 CFR § 125.3(4)GC 34090; 5 years after report; State of California guidelines; 7 years after audit
Reporting	Audit	External Audit Reports	Includes reports of examinations and audits by accountants and auditors not in the regular employ of the Agency (such as records of public accounting firms and commission accountants) such as sales tax, royalties, Federal or State audit for grants, PERS, Workers Compensation, IRS, etc.; NERC/Cyber Security (CIP) Compliance Audit; actual audit report, does not include workpapers.	PERM	PERM	Y	General & Annual Financial: 8 CFR § 125.3(4)GC 34090; 5 years after report; State of California guidelines; 7 years after audit
Reporting	Financial	Debt, Credit Rating, & Arbitrage Reporting	Calculations of arbitrage liabilities for bonds; includes credit rating summaries, rating agency reports.	AE+10	AE+10	Y	GC 34090; 2 years minimum; GC 43900-43903; Destruction guidelines for bonds; CCP 337.5; Statute of limitations, 10 years; FC 30210; Maintain; State of California guidelines; 10 years after closure/expiration
Reporting	Financial	Monthly & Annual Budget Reports	Includes year-end budget to actual cost summary or budget status reports by Facility; monthly cost summary reports, budget status reports, budget management reports, encumbrance reports, business progress report; GOR reports, purchase order reports, and others as developed by Accounting.	FY+6	FY+6	Y/N	GC 34090; 2 years minimum; State of California Guidelines; current year plus 2
Reporting	Financial	Actuarial Report	Includes CalPERS, Employee Medical, etc.	PERM	PERM	Y	GC 34090; 2 years minimum; 29 CFR 1627 et al; Maintain 3 years; State of California guidelines; close/completion plus 5 years
Reporting	Financial	NCPA Annual Report (Package)	Could be a hardcopy or on CD.	PERM	PERM	N	GC 34090; 2 years minimum; State of California Guidelines; Annual Financial Report; 2 years after closure/completion.

AA+ After Audit
AC- After Closure/Completion
AE- After Expiration
AF- After Filing

CN/CY- Calendar Month/Year
FY- Fiscal Year
SUP- Superseded
TEMP- Temporary

LOP- Life of Plant
LOS- Life of Software/System
T- Terminated
PERM- Permanent

Northern California Power Agency
Records Retention Schedule

Exhibit A

12 of 14
11/7/2016

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Reporting	Financial	State Controllers Reports - Agency	State Controller's Report prepared by NCPA.	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Permanent
Reporting	Financial	Treasurer's Report	Treasurer's Report prepared by NCPA.	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Annual Financial Report; 2 years after closure/completion.
Reporting	Hazardous Waste	Hazardous Waste Inspections & Reports	Includes hazardous waste manifest itself and hazardous waste disposal receipts; inspections, biennial reports, chemical emissions reports, exception reports, and others related to hazardous waste disposal.	CY+4	PERM	Y/N	40 CFR 262.40(b); 3 years from due date of report
Reporting	Incident	Incident specific - blood borne pathogen	Incident specific - blood borne pathogen report	T+30	T+30	Y	OSHA
Reporting	Injection Well	Injection Well Reports & Samples	Includes quarterly or monthly samples; permit to operate issue by the State of California and/or County, monthly inspection reports, MIT (mechanical integrity testing reports), calibration of injection well monitoring equipment reports, etc.	LOS+2	LOP+2	Y	5 years from date of sample, measurement or report throughout operating life of well. Records must be retained after retention period unless delivered to EPA Division 9 Director or written approval from Director to discard is obtained.
Reporting	Operations	Gauge reading reports	Hard copy sheets, such as operator rounds. Some would be in SharePoint. Does not include Hydro stream gauge.	CY+2	CY+2	Y/N	GC 34090; 2 years minimum.
Reporting	Operations	Lock Out Tag Out (Clearances)	In Red Tag system; does not include stored procedure in red tag system.	CY+2	CY+2	N	GC 34090; 2 years minimum.
Reporting	Operations	Resource, Station, & System Generation Reports & Logs	Generation and output logs with supporting data, including clearance, hydroelectric, steam, switching, and other logs; generation report is in SharePoint; logs kept in and out of the Operator Plant Logging system.	CY+25	CY+25	Y	18 CFR § 125.3(13.1)(c)(1); 25 years
Reporting	Operations	Production - Public utilities & licensees (non-nuclear)	Boiler-tube failure report; generating high-tension and low-tension load records; load curves, temperature logs, coal, and water logs	CY+3	CY+3	Y	18 CFR § 125.3(13.1)(a, b, d, e) 3 years;
Reporting	Operations	Gauge Reading Logs & Data	Includes CMMS and PI data and historical gauge strip charts; associated gauge reading logs.	LOP+2	LOP+2	Y/N	18 CFR § 125.3(13.1)(f); 2 years except river flow data collected in connection with operation must be retained for life of corporation
Reporting	Operations	Steamfield Forecast and Operations Reports	Steamfield Forecast and Operations Reports.		LOP+2	Y	GC 34090; 2 years minimum; State of California Guidelines, Agency-Owned Facilities, life of plant plus 2 years.
Reporting	Operations	Equipment History Records	Equipment and transformer records; in CMMS; includes system output, maintenance records, inspections, etc.	LOS+2	LOS+2	N	History records: 18 CFR § 125.3(14)(c); life of transformer; Inspection records: 18 CFR § 125.3(14)(d) destroy at option; GC § 34090; 2 years
Reporting	Operations	Hydro River Flow Data	Data, reports, and field observations; including supporting documentations. Saved in SharePoint, Aquarius and PI.	PERM	PERM	Y/N	18 CFR § 125.3(13.1)(f); life of corporation
Reporting	Operations	Arc Flash Engineering Evaluation	Arc Flash Engineering Evaluation.	SUP	SUP+2	Y	GC 34090; 2 years minimum.
Reporting	OSHA	OSHA 300 Logs	Completed OSHA 300 forms posted to OSHA.	CY+5	CY+5	Y	29 CFR 1904.33(a); current year plus 5
Reporting	Regulatory	Mandated Costs Filings	Filings with State of California for reimbursement of mandated programs (i.e., Brown Act postings).	AA+10	AA+10	Y	GC 34090; 2 year minimum; CCP 337, Statute of limitations; State of California Guidelines; 4 years after audit; Administrative Decision 10 years after audit.
Reporting	Regulatory	PERS Reports	Filings with PERS.	AA+10	AA+10	Y	GC 34090; 2 years minimum; GC 12946; 2 years after termination; State of California Guidelines; Permanent
Reporting	Regulatory	Regulatory Reports filed with outside agencies (Compliance)	Includes reports and stakeholder comments filed by NCPA with Regulatory Agencies, including CEC, CPUC, FERC, NERC, ARB, WCI, CAISO. Does not include those tied to the Hydro FERC License.	CY+15	CY+15	Y	GC 34090; 2 years minimum.

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**Northern California Power Agency
Records Retention Schedule**

Exhibit A

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11/7/2016

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Reporting	Regulatory	EEO4 Survey	Annual EEO4 filing (State and Local Government Report)	CY+5	CY+5	Y	42 USC sec. 2008-8(c); Public Law 88-352, Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972; reports and information be retained for a period of 3 years. (29 CFR 1602.30)
Reporting	Regulatory	Statements of Economic Interest and Lobbyist Employer - Forms 635 & 700	Includes all FPFC forms and schedules for all designated positions including designated employees, consultants, and commission of the Agency. Agency Secretary is the Filing Officer and retains the original forms and schedules.	T+7	T+7	Y	GC 81009(e); 7 years; State of California guidelines for originals; 7 years after termination; Copies for 4 years
Reporting	Risk Management	Incident reports	Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement); Includes OSHA reportable incidents and internal investigation of accidents, police reports, incident write-ups, etc.	AC+10	AC+10	Y	GC 34090; 2 year minimum; CCP 343, Statute of limitations, 4 years; State of California guidelines; after closure/completion plus 7 years
Reporting	Safety	Safe Work Permit Reports	Reports related to the internal permit and safety procedure.	CM+6 Months	CM+6 Months	N	GC 34090; 2 years minimum.
Reporting	Safety	Safety points Reports	Safety points Reports	CY+2	CY+2	Y	GC 34090; 2 years minimum.
Reporting	Safety	Noise Exposure Measurements Reports	Various documents related to a study stemming from an environmental or notice of complaint; some are in CMMS and others in SharePoint.	CY+2	SUP+2	Y/N	29 CFR 1910.95(m)(3)(i); 2 years
Reporting	Studies		Reports or studies prepared internally and by outside agencies not captured in another record series; includes various ad-hoc reports, power content label and analysis, capacity balancing filing (i.e., RA requirements for CAISO), resource investigations and analysis, transmission studies, surveys; special studies (e.g., CAISO and ABB LMP/CRR studies, LOAs, FA & PA schedule development, fuel contracting & analysis, market analytics, etc.); the master forecast spreadsheet updated monthly and various spreadsheets created from the data and sent to various groups (for example, forecast for billing); Excel output from Plexos Database; examples include annual 10 year load forecast, market conditions, monthly load forecast, risk assessments, etc.; FA 3.03 Hydro (accounting for water shares, supporting documentation for Steamfield Forecast & Operations Reports, etc.); daily operational reports; business progress report.	CY+7	CY+7	Y	GC 34090; 2 year minimum; 2 year minimum; State of California guidelines; Administrative Record; current year plus 2; 18 CFR 125.3(38); 5 years
Reporting	Tax Filing	Tax Filings	Filings with IRS, State of California, and other Regulatory Agencies; including W-2, property, sales, use, 1099 misc., filings with taxing authorities to qualify employee benefit plans, and other taxes.	AA+8	AF+10	Y	Payroll Tax Filings: GC 34090; 2 year minimum; 29 USC 436; 5 years; 26 CFR 31.6001; 4 years after tax return is filed; 29 CFR 516.2-6; Maintain at least 3 years; State of California Guidelines; 4 years after audit; Administrative Decision: 8 years after audit; Other Tax Filings: 18 CFR § 125.3(34)(a)-(c); 3 years after final tax liability is determined; State of California guidelines after audit plus 4; Benefit Filings: 18 CFR § 125.3(34)(b); 5 years after discontinuance of plan
Reporting	Waste Water Discharge	Waste Water Discharge Reports & Data	Includes storm water sampling, measurements, monitoring; sewage and storm water use and disposal; quarterly waste water discharge sampling; monthly discharge report; annual waste water discharge sampling.	CY+3	CY+5	Y	General Reports: per specific Plant Permit; Storm Water Sampling: 40 CFR 122.41 (j)(2); sewage sludge use and disposal, 5 years, all others 3 years; 40 CFR 503; 5 years; Sewage & Storm Water Disposal: GC 34090; 2 year minimum; State of California guidelines; Reports and studies may be destroyed after completion plus 2.
Software Code		In house software source code (Production)	Production software code written by NCPA staff.	LOS+2	LOS+2	N	GC 34090; 2 years minimum.
Strategic Plan		Strategic Plans	Agency and department strategic plans.	SUP+5	SUP+5	Y	GC 34090; 2 years minimum; State of California Guidelines; Annual or strategic plans; superseded plus 2 years.

AA+ After Audit
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PERM+ Permanent

Major Category	Minor Category	Record Series	Description	Previous Retention	Retention	on Share-Point	Legal Citation
Training		Safety Training Materials & Manuals	Includes training matrix, safety training presentations, attendance lists, fossil books, system descriptions, quizzes; follows Local requirements, OSHA, and/or permits; also includes plant technical training.	CY+30	CY+30	Y	OSHA
Training		Training Materials & Manuals	Includes training manuals, user guides, video/webinar tutorials, lecture notes, class handouts, presentations; not related to safety training.	SUP+2	SUP+2	Y	GC 34090; 2 years minimum.
Transaction Confirmations		Transaction Confirmations	Transaction confirmations related to commodities such as energy, gas, financial bookouts, etc.; investment confirmations, including trade tickets/confirmations.	AE+6	AE+5	Y/N	GC 34090; 2 years minimum.
Transaction Confirmations		Counterparty IM & Voice Recording	Counterparty Instant Messages & voice recordings. (IMs and voice recordings are not stored on SharePoint).	AE+6	CY+5	N	

NORTHERN CALIFORNIA POWER AGENCY

651 Commerce Drive
Roseville, California 95678

DESTRUCTION OF RECORDS NOTICE

Department: _____

Date: _____

The retention period has expired for the records listed below. If there is no further use for them, please indicate authorization and approval for their destruction by signing and dating this document.

Title - Description of Records	Period Covered	Box Bar Code/File Location	Retention Period	Eligible Destruction Date

Authorization/Approval:

Submitted by: _____ Date: _____

Department Manager: _____ Date: _____

Assistant General Manager: _____ Date: _____

General Counsel: _____ Date: _____

General Manager: _____ Date: _____

Destruction Date: _____

Confirmed By: _____


(HQ Facilities Manager/Info Services Manager)

Destroyed By (Method): _____

Remarks: _____

Instructions: This form must be fully completed and approved prior to the destruction of the related records. Please attach detailed listing of records and proof of destruction documentation to this form for filing. This record of destruction and attachments must be retained in accordance with this policy by the AGM Administrative Services.



	POLICIES & PROCEDURES MANUAL	No. 100-182	Page 1 of 4
		Owner: Administrative Services	Effective: 10-2007 Updated 6- 201412-1-2016
SUBJECT:	RECORDS MANAGEMENT	APPROVED: JAMES H. POPE <u>RANDY S. HOWARD</u> , GENERAL MANAGER	

POLICY

The Agency will manage the retention, creation, utilization, maintenance, preservation and destruction of its records in an efficient and cost effective manner that ensures compliance with the applicable laws of the United States of America and the State of California.

PURPOSE

The purpose of this policy and procedure is to provide for a system of records management that meets the following objectives:

1. Preservation of records of inherent important informational or intrinsic value. Such records serve as evidence of the Agency's history, internal structure, decisions, policies, procedures, operations or other important basic activities;
2. Ensure that preserved records are properly stored as follows:
 - (A) In an orderly manner such that records are readily retrievable for future reference based on frequency of use.
 - (B) Maintained under secure, controlled conditions.
 - (C) For an appropriate period of time before being destroyed.
3. Orderly, controlled destruction of records that no longer need to be preserved to provide authentic and adequate documentation of the Agency's structure, functioning, etc.

SCOPE

This policy applies to any records of the Agency. This includes all papers, maps, exhibits, photographs or similar documents (without regard to their physical form or characteristics), including electronic documents, produced, received, owned or used by the Agency in connection with the conduct of the Agency's business.

REFERENCES

1. ~~Resolution No. 07-66 Adopted by Commission on October 25, 2007~~
2. 1. U.S. Code of Federal Regulations, Title 18-Conservation of Power and Water Resources, Section 125-Preservation of Records of Public Utilities and Licensees and California Government Code Sections 34090, 60201, 84009, 12946
3. 2. California Public Records Act, Government Code Section 6250 et seq.)
4. 3. California City Clerks Association 1998 list of common local government records and recommended retention periods.
5. 4. State of California, Local Government Records Management Guidelines
6. 5. California Code of Civil Procedure Sections 343, 337.2, 337.5, 349
7. 6. 8 California Code of Regulations Section 15400
8. 7. 29 United States Code Sections 211c, 203 m
9. 8. Immigration Reform & Control Act



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DEFINITIONS

- **ACTIVE FILES** - Records needed for conducting current business. ~~Generally, these are~~This includes, but is not limited to, all records not greater than two years old.
 - **ARCHIVE** - Record to be preserved by the Agency on a long-term basis because of its important evidential value or uniqueness in documenting the ongoing historical structure and functioning of the Agency or provides valuable research data.
 - **NON-RECORDS** - All records not usually included within the definition of "records", such as:
 - (1) Unofficial copies kept only for convenience or reference (except copies of record value retained by the issuing office), including library material intended solely for reference;
 - (2) Extra copies of any publication;
 - (3) Copies of documents reflecting routine administrative operations, e.g., notices of meetings or work schedules, appointment logs, advertisements, requests for supplies, transmittal letters that do not contain significant information;
 - (4) Preliminary work materials (working papers, rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents) provided that all of the needed information in them was incorporated in a final document of significant import so as to be considered an official record.
 - **PUBLIC RECORD or RECORD**— Any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by the Agency regardless of physical form or characteristics. A Public Record may be subject to disclosure pursuant to the California Public Records Act or other applicable law.
 - **RECORD**— Records include Any documentary material of inherent important informational value concerning the Agency's internal structure, decisions, policies, procedures, operations or other basic activities. For example, a copy of a completed document maintained by the issuing office may be an archivable record, but informational copies of the same document maintained by other departments in the Agency are not records.
- The term "record" as used herein shall apply to electronic information including but not limited to: (i) information regarding energy trades; (ii) substantive email communication serving as a memorandum, letter, or otherwise used to conduct business.
- **RECORDS RETENTION SCHEDULE** - A schedule listing all official record files of the Agency showing the records to be archived, the period for which archived records are to be retained, and any conditions related to their destruction. The Agency's legal authority to receive, create, retain and dispose of official public records is contained in this schedule, as adopted and modified by the Commission.
 - **RETENTION PERIOD** – The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. Then a record should be disposed of as soon as possible in accordance with an approved Records Retention Schedule.



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RESPONSIBILITIES

Assistant General Manager-Administrative Services

1. Administration and maintenance of the master Records Retention Schedule (Exhibit A) for all records;
2. Development of procedures/or electronic systems to provide for efficient and effective implementation of this policy;
3. Periodic review (at least biennially) of this policy and related Exhibits;
4. Maintenance of all records or forms documenting destruction of records in accordance with this policy.

Assistant General Managers ("AGMs")

1. Identification and evaluation of the records under their control which have administrative, legal, fiscal, research, or historical value meeting the Agency's stated records management objectives;
2. Determination of storage custody for hardcopy records, i.e., main office, site, other warehouse, based on usage needs;
3. Preparation and delivery of records for ~~electronic processing and or~~ hardcopy storage (Exhibit B);
4. Budgeting departmental funds to pay for the boxing and processing of records to be electronically stored and for the storage of records under his/her control;
5. Storage of hardcopy and electronic working copies under his/her control;
6. Identification, tracking, and control of records for retrieval, delivery, and return as required ~~(Exhibit B); and,~~
7. Approval, monitoring, and confirmation of physical or electronic destruction of archived records currently under their control (Exhibit DB).
- 7.8. Sending all records or forms documenting destruction of records to the AGM Administrative Services for permanent storage.

Facilities-Department Managers

- ~~1. Administration and maintenance of the master Records Retention Schedule (Exhibit A) for all records;~~
- ~~2.1. Budgeting funds to pay for the ongoing storage of records under his/her control;~~
- ~~3.2. Identification, tracking, and control of records under his/her control for retrieval, delivery, and return as required (Exhibit B);~~
- ~~4.3. Initiating and monitoring the physical or electronic destruction of all records in accordance with this policy (Exhibit DB); and~~
- ~~5.4. Providing updated inventory listings of all archived records to Assistant General Managers.~~



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PROCEDURE

1. **Identification and Classification** of Agency records shall be done in accordance with the "Records Retention Schedule" (Exhibit A). While documents may be classified as a certain type of document based on the Records Retention Schedule at the time of document creation, upon notification of a legal or contractual dispute or other matter, such documents related to such disputes or legal actions should be reclassified and retained until conclusion of the dispute or legal action to protect such documents from destruction during the dispute. See the Legal category on the Records Retention Schedule for specific retention periods.
2. **Period of Retention** for an Agency record to be archived will be the longest period prescribed under either Federal or State Law, or as determined by the Commission based on recommendation from Agency staff responsible for records management.
3. **Electronic Storage** is the preferred method of archived record storage, subject to Federal or State Law Prohibitions. ~~Each electronic record series shall include, as an integral part, a fully completed "Electronic Certification" form (Exhibit C) that has been certified by an Agency employee having personal knowledge as prescribed in the certification language. A backup copy of each archived record will be housed at a suitable, separate location from where working copies are maintained.~~
4. **Destruction of Records** shall be accomplished by shredding or other method resulting in complete destruction of the records, including electronic copies, which shall be confirmed by the appropriate Assistant General Manager or other designated Agency official. Such destruction will be initiated only when the "Destruction of Records Notice" (Exhibit ~~DB~~) has been fully approved by all parties, including the General Counsel and General Manager. This form will be maintained on file by the ~~Facilities Manager~~ AGM Administrative Services as a permanent record of all destroyed records.
5. **Loss of Records** must be reported to the applicable Assistant General Manager and the ~~Facilities Manager~~ AGM Administrative Services as soon as possible.

EXHIBITS

EXHIBIT A - Records Retention Schedule

EXHIBIT B - Request for/Transfer of Records

EXHIBIT C ~~Electronic Document Certification~~

EXHIBIT D ~~Destruction of Records Notice~~



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VERSION HISTORY

No.	Explanation	Date	Author
5			
4	<u>Update to clarify responsibility for this policy and to make changes to the Records Retention Schedule (Exhibit A); change general manager; Eliminate Exhibit forms that were no longer used</u>	<u>12/1/2016</u>	<u>DS</u>
3	Provide clarification on reclassification of retention period for records related to a legal dispute or claim and revision of records retention schedule for new record types, reorganization and clarification.	6/14	DS
2	Formatted with new header and version history	08/13	MM
1	Revised Retention schedule and Forms based on feedback from users.	12/08	DS
0	Original Policy	10/07	DBL

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one log record series. Changed minor category from Administration to Logs. Changed retention period from SUP+3 to CY+5 to match up with other logs.	Administrative	Administration	Records and Archives	Current guidelines and indices of active and inactive records systems, including microfilm and electronic file storage information.	SUP+3	CY+5	Y	GC 34090; 2 years minimum; State of California Guidelines
Merged into one calendar record series.	Administrative	Calendar	Brown Act Meeting Schedules	Brown Act Committees: Facilities, Legal, Finance, L&R, Executive, PPC	CY+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged all calendars/schedules into one calendar record series. Updated short description.	Administrative	Calendar	Calendars/Schedules	All Commission, Committee, or staff meeting schedules and calendars; includes individual calendars in Outlook.	CY+2	CY+2	Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged into one calendar record series.	Administrative	Calendar	Commission Meeting Schedules	Commission only.	CY+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged into one calendar record series.	Administrative	Calendar	non-Brown Act Meeting Schedules	Non-Brown Act Committees: Pooling, UD's, ROC, RMC, Public Benefits, Safety, EARC, Clearance, Electrical Safety, Quarterly Safety, Plant-Safety, Coordinated Operations Group, External Affairs, CMOC	CY+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Updated short description and legal citation to incorporate other completed forms.	Administrative	Completed Forms	Completed Forms	Completed forms not captured in another record series; some include request for credit card and other administrative forms related to Administrative policies & procedures, waiver of liability, declaration of excess for assets less than \$5,000, community relations, etc. Completed forms not captured in another record series; some include request for credit card and other administrative forms related to Administrative policies & procedures, waiver of liability, declaration of excess, etc.	AC+5	AC+5	Y	GC 34090; 2 year minimum; State of California Guideline
Added legal citation.	Administrative	Completed Forms	Emergency Contact Form	Completed forms; information is put into ADP	SUP	SUP	N	64 Ops.Cal.Atty.Gen. 317 (1981).
Updated retention period, record series and description.	Administrative	Completed Forms	HR & Technology Forms	Forms completed by employees that tie to HR and technology policies and/or procedures.	T+2	T+3	Y	GC 34090; 2 year minimum; State of California Guideline
	Administrative	Completed Forms	Vacation Requests Forms - completed	Completed vacation requests	CY+2	CY+2	Y	GC 34090; 2 year minimum; State of California Guideline
Merged into one contact list record series.	Administrative	Contact List	Advertising/Hiring Sources	Administrative record; no retention citation, keep while active.	SUP+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged into one contact list record series.	Administrative	Contact List	Audit Mailing List	Audit RFP mailing lists.	SUP+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged into one contact list record series.	Administrative	Contact List	Committee Contact Lists	Committee members listing of names.	SUP+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Updated short description and record series to include all contact lists and rosters; updated retention.	Administrative	Contact List	Financial Advisors Contact Lists & Rosters	Contact lists, including those associated with potential vendors for RFPs, RFQs, RFIs, audits, & financial advisors; NCPA Roster of all members of the Commission, Utility Directors, Committees and NCPA Management staff; advertising and hiring sources; etc. Contact lists associated with potential financial advisors.	SUP+2	TEMP	Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged into one contact list record series.	Administrative	Contact List	NCPA Directory (aka Member Roster)	Roster of all Members of Commission, Utility Directors, Committees and NCPA Management staff	SUP+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged into one contact list record series.	Administrative	Contact List	Procurement Contact Lists	Contact lists associated with potential vendors to send Request for Proposals, Request for Qualifications, or Request for Information.	SUP+2		Y	GC 34090; 2 year minimum; State of California Guideline. Administrative Reference Record; maintain while current
Merged into one log record series.	Administrative	Logs	Chron File Log	Log of correspondence maintained in chronological order by year.	CY+5		Y	GC 34090; 2 year minimum; State of California Guidelines.
Updated short description to include various types of logs merged into this record series; updated record series from "General Logs not in another Retention Policy listing".	Administrative	Logs	General Logs and Matrices General Logs not in another Retention Policy listing	Includes all general logs and matrices; may include inventory logs, visitor logs, warranty logs, tracking matrices, test results log, chron file log, personal protection equipment log, transmission line log, records and archives list, etc. This does not include debugging logs when troubleshooting software, which are not a record. Includes all general logs not already captured in another record series.	CY+5	CY+5	Y	Chron File, Records & Archives: GC 34090; 2 year minimum; State of California Guidelines; Test Results Log: 40 CFR 262.40(c); test results; 3 year minimum; Transmission Line Log: 18 CFR § 125.3(14)(a-b); 3 year minimum

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Removed; NCPA procedures do not use a log.	Administrative	Logs	Manifests Log		CY+5		Y	40CFR 262.40(a); 3 year minimum.
Merged into one log record series.	Administrative	Logs	Personal Protection Equipment Logs	In CMMS	CY+5		N	
Merged into one log record series.	Administrative	Logs	Record of Test Results	Test results from waste testing for hazardous materials.	CY+5		Y	40 CFR 262.40©; test results; 3 year minimum.
Merged into one log record series.	Administrative	Logs	Substation and transmission line logs	In logger/logbook; Includes substation and transmission logs, Operator's daily logs	CY+5		N	18 CFR § 125.3(14)(a-b); 3 year minimum.
	Administrative	Records Destruction	Certificates of Destruction	Includes list of records destroyed and destruction certificates	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Records Management Disposition Certification, permanent; Permanent for destruction tracking purposes.
Added short description, legal citation, and retention period.	Administrative	Security Incident Log	Logs related to a security incident	Logs related to a security incident. A security incident includes those that affect the reliability of the bulk electric system and business continuity. It is defined as continuous attempts to gain unauthorized access to a system or its data (whether successful or unsuccessful); unwanted disruption or denial of service; unauthorized use of a system for the processing or storage of data; changes to system hardware, firmware or software characteristics without the owner's knowledge, instruction or consent; unauthorized access to facilities, significant damage to property, or injury to a person on site.	PERM	CY+7	Y	GC 34090; 2 years minimum.
Merged into one long term agreement record series.	Agreement	Balancing Authority Agreements	Balancing Authority Agreements	Includes RMR, MSSA, WAPA 2948A, Balancing Authority Agreements	AE+15		Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; CCP 337; CCP 343; Statutes of limitations; 4 year limitation; Original in Safe Deposit.
Merged into one financial agreement record series.	Agreement	Banking	Banking Agreements	Agreements for regular banking activities, merchant accounts, etc.	AE+10		Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements.
Merged into one short term agreement record series.	Agreement	Commodity Agreement	Service and Product Agreements (commodity purchase Agreements)	Agreements and related documents related to commodity purchases for services and products; DCS1	AE+5		Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; CCP 337; CCP 343; Statutes of limitations; 4 year limitation; Original in Safe Deposit.
Merged into one financial agreement record series.	Agreement	Debt Agreement	Bond Agreements/Revenue Bonds	Original on CD; Final bond documentation; pricing book, official statement, agreement, letters (authorizations), resolutions	AE+10		Y	GC34090; 2 year minimum; CCP 337.5 Statute of limitations; State of California Guidelines; 10 years after closure.
Merged into one financial agreement record series.	Agreement	Debt Agreement	Letters of Credit, Liquidity Facilities	Agreements related to letters of credit or other liquidity products related to variable rate debt issuances	AE+10		Y	GC 34090; 2 years minimum; GC 43900-43903; Destruction guidelines for bonds; CCP 336a; Statutes of limitations, 6 years after expiration; FC 30210; State of California Guidelines; Maintain10 years after closure/expiration
Merged into one financial agreement record series.	Agreement	Debt Agreement	Promissory Notes	Debt related promissory notes	AE+10		Y	24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report; OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition; State of California Guidelines; Closure plus 3 years for loans

AA= After Audit
AC= After Closure/Completion
AE= After Expiration
AF= After Filing

CM/CY= Calendar Month/Year
FY= Fiscal Year
SUP= Superseded
TEMP= Temporary

LOP= Life of Plant
LOS= Life of Software/System
T= Terminated
PERM= Permanent

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged Banking Agreements record series into one series.	Agreement	Financial	Financial Agreements	Grants and financial agreements related to regular banking activities, merchant accounts; legal service requests, pertinent correspondence, attestations, etc.	AE+10	AE+10	Y	Banking: 18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; Grants & co-operative agreements, 3 years after submission of last expenditure report; OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition; State of California Guidelines; Closure plus 3 years for loans.
Merged into one long term agreement record series.	Agreement	Interconnection Agreements	Interconnection Agreements	Interconnection Agreements with Balancing Authorities, such as PG&E	AE+15		Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; CCP337; CCP 343; Statutes of limitations; 4 year limitation; Original in Safe Deposit.
new listing	Agreement	Labor Agreements	General Manager Agreement	Includes executed General Manager Agreements, pertinent correspondence, legal service requests, attestations, etc.		PERM	Y	GC 34090; 2 years minimum; State of California Guidelines, non-public-safety employees' human resources documents, 3 years after termination.
Updated description to include more related documents.	Agreement	Labor Agreements	Negotiations & original Memorandums of Understanding	Negotiations with labor groups and employees, and original Memoranda of Understanding. Includes executed Agreements, notes, bargaining meeting minutes, notebooks, pertinent correspondence, legal service requests, attestations, etc. Negotiations with labor groups and employees, and original Memoranda of Understanding. Includes notes, notebooks, correspondence, and Agreements	PERM	PERM	Y	29 USC 211c; Maintain, indefinite; 29 USC 203(m); Definitions; 29 USC 207(g); State of California Guidelines; Permanent
Merged into one short term agreement record series.	Agreement	Lease Agreements	Lease Agreements	Leases, including operating or capital leases for equipment or property.	AE+5		Y	CCP 337.2; Statutes of limitations; 4 years after breach, abandonment or termination of tenant possession.
Updated description to include related documents.	Agreement	License Agreements	Licenses/Use Agreements	Includes all documents related to the license agreement, including license keys, legal service requests, pertinent correspondence, etc. Includes all documents related to the license agreement, including license keys	LOS+5	LOS+5	Y	CCP 337.2; Statutes of limitations; 4 year standard limitation; RSA Suggestion; Life of software/system plus 5 years
Merged all AE+15 agreements into one record series.	Agreement	Long Term	Long Term Agreements (greater than 5 years)	NCPA agency agreements in effect for more than 5 years, including RMR, MSSA, WAPA 2948A, Balancing Authority Agreements; Interconnection Agreements with Balancing Authorities, such as PG&E; Member Agreements such as governance, services, projects, programs such as Third Phase, WAPA Assignment, JPA, SMSA, Facilities, Pooling, etc.; Co-Tenancy Agreements, such as those with PG&E for transmission; related documents including signed and executed agreements, contract authorization forms, pertinent correspondence, attestations; and other completed and signed required documents related to long term agreements.	AE+15	AE+15	Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; CCP 337; CCP 343; Statutes of limitations; 4 year limitation; Original in Safe Deposit
Merged into one long term agreement record series.	Agreement	Member Agreements	Member Agreements	Includes governance, services, projects, programs; i.e., Third Phase, WAPA Assignment, JPA, SMSA, Facilities, Pooling, etc.	AE+15		Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; CCP337; CCP 343; Statutes of limitations; 4 year limitation; Original in Safe Deposit.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
New listing.	Agreement	Non Disclosure	General Non Disclosure Agreements	Non Disclosure Agreements (NDAs) with Entities NCPA is conducting business.		[follow retention with the associated item]	Y	
New listing.	Agreement	Non Disclosure	Non Disclosure Agreements with Members	Non Disclosure Agreements (NDAs) with NCPA Members and Project Participants related to market data made available by NCPA.		T+2	Y	The NDA is not required by law. It is a condition that NCPA places on those members that wish access to the data portal.
Merged all AE+5 agreements and counterparty guaranty into one record series.	Agreement	Short Term	Short Term Agreements (5 years or less)	NCPA agency agreements in effect for 5 years or less, including commodity purchases and guarantees for services and products, DCS1; Leases, including operating or capital leases for equipment or property; Vendor agreements associated with maintenance & support, professional services, services & products, financial services; Employee medical, dental, vision, disability contracts or other administrative contracts; Related documents including signed and executed agreements, contractor safety forms, contract authorization forms, pertinent correspondence, insurance certificates, attestations; RFP, winning vendor proposal, bid summary for public works; and other completed and signed required documents related to short term agreements.	AE+5	AE+5	Y	General: CCP 337; CCP 343; Statues of limitations; 4 year limitation; maintenance & support: RSA suggestion; Life of System plus 5 years; Professional Services: GC 34090; 2 year minimum requirement; State of California Guidelines; Current year plus 4 years; Service/Product: 18 CFR 125.3(3); 4 years after expiration of agreement or until conclusion of any disputes pertaining to such agreements; Original in Safe Deposit. Guaranty: 2 years after the guaranty expires. CCP 337.2; Statutes of limitations; 4 years after breach, abandonment or termination of tenant possession
Updated description to include more related documents.	Agreement	Utility Plant Agreements	Agreements Relating to construction, acquisition or sale of Utility Plant	Executed Agreements and related documents associated with the construction, acquisition or sale of a utility plant; including licenses to construct, operate, and maintain a utility plant; pertinent correspondence, legal service requests, contractor safety forms, contract authorization form, attestations, etc. Agreements and related documents associated with the construction, acquisition or sale of a utility plant	LOP+6	LOP+6	Y	18 CFR § 125.3(22)
Merged into one short term agreement record series.	Agreement	Vendor Agreements	Agency General Agreements (Vendor Agreements)	Includes contractor safety orientation forms, Contractor Contract Form (CCF) and other completed and signed required documents related to vendor agreements	AE+5		Y	CCP 337; CCP 343; Statues of limitations; 4 year limitation
Merged into one short term agreement record series.	Agreement	Vendor Agreements	Maintenance & Support Agreements	Agreements and related documents associated with maintenance and support vendor agreements	AE+5		Y	CCP 337; CCP 343; Statues of limitations; 4 year limitation; RSA suggestion; Life of System plus 5 years
Merged into one short term agreement record series.	Agreement	Vendor Agreements	Professional Services Agreements	Agreements and related documents associated with professional services vendor agreements	AE+5		Y	GC 34090; 2 year minimum requirement; CCP 337; CCP 343; Statues of limitations; 4 year limitation; State of California Guidelines; Current year plus 4 years
Merged into one short term agreement record series.	Agreement	Vendor Agreements	Service and Product Agreements (Vendor Agreements)	Agreements and related documents associated with management, accounting, financial services vendor agreements	AE+5		Y	18 CFR 125.3(3); 4 years after expiration of Agreement or until conclusion of any disputes pertaining to such Agreements; CCP 337; CCP 343; Statutes of limitations; 4 year limitation; Original in Safe Deposit.
New listing to separate bond documents.	Bonds		Bonds	Final bond documentation (original on CD) such as pricing book, official statement, agreement, authorization letters, signature cards, resolutions; letters of credit, other liquidity products related to variable rate debt issuances, debt related promissory notes; Statements of deposits and withdrawals related to bonds; includes documentation evidencing the expenditure of bond proceeds. Documentation evidencing the use of the Project by public and private sources (i.e., copies of management contracts, research agreements, leases; any long term power sales to private entities, etc.); documents like vouchers, demonstrating transfer of revenues to debt service fund. Maintain until after expiration of the bonds; legal service requests, pertinent correspondence, attestations, etc. Maintain until after expiration of the bonds.		AE+10	Y/N	Bond/Revenue: GC34090; 2 year minimum; CCP 337.5 Statute of limitations; State of California Guidelines; 10 years after closure; Letters of Credit/Liquidity Facilities: GC 34090; 2 years minimum; GC 43900-43903; Destruction guidelines for bonds; CCP 336a; Statutes of limitations, 6 years after expiration; FC 30210; State of California Guidelines; Maintain 10 years after closure/expiration; Promissory Notes: 24 CFR 85.42; Investments: GC 53607; 2 year minimum; CCP 337; Statutes of limitations, 4 years for action; GC 53607; Maintain State of California Guidelines; Permanent Bonds: 18 CFR § 125.3(35)(c) until fund is dissolved; State of California guidelines AC+10.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
new listing	Chemistry		Chemistry analysis and laboratory equipment documentation	Chemistry analysis and laboratory equipment documentation; including reports generated from chemistry analysis.		LOP+2	Y	GC 34090; 2 years minimum.
new listing	Chemistry		ELAP Documents	Documentation associated with compliance with the Environmental Laboratory Accreditation Program.		AA+7	Y	GC 34090; 2 years minimum; 22 CCR 64815, maintain quality assurance program records for 3 years minimum.
Merged with a general "Related Correspondence" record series that ties correspondence to the item it's associated with, and the subsequent retention period and record type.	Correspondence	Agreement- Correspondence	Any correspondence regarding Agreements	Correspondence essential for clarifying or explaining provisions of Agreements; includes requests for discounts, insurance certificates, Legal Services Requests, Contractor Contract Forms, and other supporting documentation	{follow retention with the associated Agreement}		Y	18 CFR 125.3(3)(c)-(d); years after expiration of Agreement
Merged with "Official Commission & Executive Committee Meeting Documents" record series.	Correspondence	Confidential- Commission	Confidential-Memos to the Commission	Commission-only memos	PERM		Y	GC 34090; 2-year minimum; State of California Guidelines; Current-year plus 2; Administrative Decision: permanent
Updated legal citation & description.	Correspondence	Confidential- Legal	Legal Opinions	Legal opinions from general counsel or special counsel. This correspondence can go into SharePoint as long as there are limited permissions set where it is stored. This correspondence does not go in SharePoint because that would break confidentiality.	PERM	PERM	Y/N	GC 34090; 2 year. 6254; Disclosure of records. State of California Guidelines, Legal opinions, 2 years after being superseded. GC 34090; 2-year 6254; Disclosure of records
Updated legal citation & description.	Correspondence	Confidential- Legal	Legal Opinions - Bond Counsel	Legal opinions from bond counsel. This correspondence can go into SharePoint as long as there are limited permissions set where it is stored. This correspondence does not go in SharePoint because that would break confidentiality.	LOP+15	LOP+15	Y/N	GC 34090; 2 year 6254; Disclosure of records. State of California Guidelines, Legal opinions, 2 years after being superseded. GC 34090; 2-year 6254; Disclosure of records
Merged with a general "Related Correspondence" record series that ties correspondence to the item it's associated with, and the subsequent retention period and record type.	Correspondence	Financial- Correspondence	Declaration of Excess Correspondence	Correspondence related to declaration of excess (disposal of surplus-supply) process	AA+6		Y	
Merged with a general "Related Correspondence" record series that ties correspondence to the item it's associated with, and the subsequent retention period and record type.	Correspondence	Financial- Correspondence	GOR Correspondence	Includes letters of direction, correspondence regarding GOR deposits	AA+6		Y/N	
Updated short description.	Correspondence	General- Correspondence	External & Internal General Correspondence	General correspondence including emails, letters, memos; those with Union Representatives/Organizations, media, etc.; does not include correspondence associated with a specific program or item tied to another record series as listed in the Related Correspondence record series. General correspondence (letters, memos, etc.); does not include correspondence associated with a specific program tied to another record series	CY+4	CY+4	Y/N	GC 34090; 2 year minimum; Administrative Record, State of California Guidelines
Updated short description.	Correspondence	General- Correspondence	General E-mail	This type of correspondence stays in Outlook, and refers to e-mails that are considered transmittal in nature without any substance in the body of the email or are not made or retained for the purpose of preserving their informational content for future reference. This does not include correspondence associated with another specific record series. This type of correspondence stays in Outlook. Does not include correspondence associated with another specific record series.	TEMP	TEMP	N	Administrative decision: temporary retention for storage capacity and Public Records Act reasons

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged with the "General Correspondence" record series.	Correspondence	General Correspondence	Media Correspondence		CY+4		Y	GC 34090; 2 year minimum; State of California Guidelines; Current year plus 2
Merged with the "General Correspondence" record series.	Correspondence	General Correspondence	Union Representatives/Organizations Correspondence		CY+4		Y	GC 34090; 2 year minimum
Merged with a general "Related Correspondence" record series that ties correspondence to the item it's associated with, and the subsequent retention period and record type.	Correspondence	Land/Property Correspondence	Any correspondence related to purchase of land/property	Correspondence related to purchase of property	PERM		Y	
Merged with a general "Related Correspondence" record series that ties correspondence to the item it's associated with, and the subsequent retention period and record type.	Correspondence	Legislative Correspondence	State & Federal Legislation Bill Correspondence	Includes bill analysis correspondence and other supporting documents	CY+7		Y	
Merged with a general "Related Correspondence" record series that ties correspondence to the item it's associated with, and the subsequent retention period and record type.	Correspondence	Procurement Correspondence	Formal Bids/RFPs/RFPs/RFPs Correspondence	Correspondence essential to the procurement process	AA+5		Y	
Merged all correspondence related to specific item called out in another record series into one record series; updated short description and created new record series.	Correspondence		Related Correspondence	Correspondence essential for clarifying or explaining provisions of agreements, audits, NERC alerts, ELAP, litigation claims, insurance claims, GOR, grants, chemistry analysis, public records requests, property purchases, State & Federal legislation bills, permits, procurement, plant operations, regulatory and regulatory filings, MOU negotiations, etc. "Essential correspondence" is any correspondence with a sentence or more related to the subject as listed above, even if there is a clause in an agreement that states all negotiations prior to execution of the agreement are null and void.	[follow retention with the associated item]	[follow retention with the associated item]	Y	[see the associated item's record series]
Added short description and legal citation.	Counterparty		Approved Counterparty list	Approved Counterparty list	SUP+2	SUP+2	Y	GC 34090; 2 years minimum.
Added legal citation.	Counterparty		Counterparty Evaluations	Includes cash flow analysis, CRAM, Counterparty Authorization Form, Counterparty evaluation summary, counterparty financial statements	CY+2	CY+2	Y	GC 34090; 2 years minimum.
Increased retention from AE+2 to AE+5; merged with Short Term Agreements.	Counterparty		Counterparty Guarantees	2 years after the guarantee expires	AE+2		Y	
Removed line; this database is a tool to pass through the data to NCPA database.	Database Record		AGES Database	Includes data associated with Resource outages (SLIC availability), Real Time Scheduling, Unit Energy Allocation output data, ISO Bids/Awards (from TABS), ISO Dispatches/Instructions (from NADS), Member Preferred Schedules (from Scheduling Web Services (Roseville & Santa Clara) and Web Prescheduler (TID)), Prescheduling energy & AS Schedules (from Prescheduler). Note: all of this data is replicated to the NCPA Database as well, except for history	CY+10	CY+10	N	GC 34090; 2 years minimum.
Merged into one Plant/Project Database record series.	Database Record		Aquarius Database	Database maintained for NCPA business activities	LOP+2		N	
New listing; pulled SAMC data out of associated database record series.	Database Record		CAISO Settlements Raw Data	Raw data associated with ISO invoices and settlement statements; zip files sent from CAISO		CY+10	N	GC 34090; 2 years minimum.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one Plant/Project Database record series.	Database Record		CMMS Database	Computerized database with maintenance records for plant assets.	LOP+2		N	
Updated record series from System Backup - Annually to Database Record Backup; merged 4 related record series into one and updated short description. 2014: new listing.	Database Record		Database Record Backup	Backup of database records performed daily, weekly, monthly, and/or annually.	[follow Disaster Recovery & Business Continuity Policy 337]	[follow Disaster Recovery & Business Continuity Policy 337]	N	GC 34090.7; duplicates and copies may be destroyed within the 2 year minimum period.
Added legal citation; updated retention period and short description.	Database Record		Help Desk Data	Records in customer management/job tracking system. (Spiceworks)	CY+10	CY+3	N	GC 34090; 2 years minimum.
Pulled out of NCPA Database record series and increased retention period.	Database Record		Meter & Water Data (NCPA Database)	Data associated with SCADA, Trimark, and SQMD (meter data); Water accounting data (water schedules and allocated hydro meter data).		PERM	N	GC 34090; 2 years minimum.
Added legal citation; pulled meter and water data out of this record series into its own meter & water data record series; updated short description.	Database Record		NCPA Database	In addition to data replicated from the ACES database (data associated with Resource outages (SLIC availability), Real Time Scheduling, Unit Energy Allocation output data, ISO Bids/Awards (from TABS), ISO Dispatches/Instructions (from NADS), Member Preferred Schedules (from Scheduling Web Services (Roseville & Santa Clara) and Web Prescheduler (TID))), includes data associated with SCADA, Trimark, and SQMD (meter data) ; ISO Settlements output data (estimates, allocations), All Resources Bill raw data, Recorder ID data sent to ISO, Water accounting , Imbalance Energy process output data, historical Market Prices (ICE), dispatch logs (NCPA Logger), ISO Market information (from CMRI), BPA line ratings, JP Morgan Gas settlements, Greenhouse Gas settlements, MARS data, Trade Manager, Deals , Prescheduling bids & ETC schedules (from Prescheduler, Web SAS logs, Timesheet data. Note: ACES and SAMC databases are temporary pass-through locations; data kept in NCPA database is the record. CY = Trade Date	CY+20	CY+20	N	GC 34090; 2 years minimum.
Merged into one Plant/Project Database record series.	Database Record		PI Database	Plant information, statuses, readings, etc. from various equipment.	LOP+2		N	
Merged 4 record series into one; these were new in 2014 based on legal counsel recommendation. Added legal citation.	Database Record		Plant/Project Databases	Database records associated with NCPA Plants/Projects such as Aquarius (NCPA business activities at Hydro); CMMS (computerized database with maintenance records for Plant assets); PI (Plant information, status, readings, etc. from various equipment); Red Tag (Generation Services safety procedures).	LOP+2	LOP+2	N	GC 34090; 2 years minimum; State of California Guidelines, agency-owned facilities, life of plant plus 2 years.
New Listing.	Database Record		Power Supply Data Model (Plexos)	Production cost data model for power supply planning.		TEMP	N	GC 34090; 2 years minimum.
2016: Added legal citation; updated record series and short description. 2014: updated retention period.	Database Record		Power Supply Data Output Plexos database	Output of production cost modeling data for power supply planning; includes loads, resources, transactions, other power agreements.	CY+10	CY+10	N	GC 34090; 2 years minimum.
Merged into one Plant/Project Database record series.	Database Record		Red Tag Database	Database for Generation Services safety procedures.	LOP+2		N	
Removed line; this database is a tool to pass through the data from xml to NCPA database.	Database Record		SAMC Database	Includes data associated with ISO Invoices and Settlement Statements.	CY+10	CY+10	N	GC 34090; 2 years minimum.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Removed line; these are all copies of records.	Database Record		System Backup – Annually	Backup database records performed annually.	[follow Disaster Recovery & Business Continuity Policy 337]		N	
Removed line; these are all copies of records.	Database Record		System Backup – Daily	Backup database records performed daily.	[follow Disaster Recovery & Business Continuity Policy 337]		N	
Removed line; these are all copies of records.	Database Record		System Backup – Monthly	Backup database records performed monthly.	[follow Disaster Recovery & Business Continuity Policy 337]		N	GC 34090.7; duplicates and copies may be destroyed within the 2 year minimum period.
Removed line; these are all copies of records.	Database Record		System Backup – Weekly	Backup database records performed weekly.	[follow Disaster Recovery & Business Continuity		N	GC 34090.7; duplicates and copies may be destroyed within the 2 year minimum period.
Added legal citation and short description.	Database Record		System Log Data	Events logged by Windows system components; such as those during normal operations. Logs include data related to informational and diagnostics.	CM+6M	CM+6 Months	Y	64 Ops.Cal.Atty.Gen. 317 (1981).
Added legal citation and updated retention period.	Database Record		ZEXI Database	Includes data associated with ISO OASIS market data, ISO CRR auction results, Platt's gas prices, Baker Hughes US Oil & Gas split data, CEC Energy Facilities status data, CME NYMEX Futures & Options data, EOX Price curve, BPA Line Ratings, Natural Gas Prices, PLEXOS data	CY+10	CY+20	N	GC 34090; 2 years minimum.
Merged into one transaction confirmations record series.	Deal Confirms		Investment Confirmations	Trade tickets/ confirmations	AE+6		Y	
Merged into one transaction confirmations record series.	Deal Confirms		Transaction Confirms, DCS1, DCS3 (3rd parties & Members)	Confirmations related to power deals	AE+6		Y	
Added short description and updated retention period.	Deal Confirms-Transaction Confirmations		Counterparties IM & Voice Recordings	Counterparty Instant Messages & voice recordings. (IMs and voice recordings are not stored on SharePoint).	AE+6	CY+5	N	
Added legal citation and short description.	Default Energy Bid		Negotiated Default Energy Bids (NDEB) Methodology	Negotiated Default Energy Bids (NDEB) Methodology	SUP+2	SUP+2	Y	GC 34090; 2 years minimum.
merged into one record series line of Enterprise Architecture	Design	Business	Business & System Rules & Requirements	Includes glossaries, decision tables, business rules, etc. related to specific projects, agency business model, department business model, and other areas of NCPA business as it arises	SUP+4		Y	
merged into one record series line of Enterprise Architecture	Design	Business	Deployment Testing Documentation	Includes test cases, testing deployment plans, testing acceptance, checklists, etc.	SUP+4		Y	
merged into one record series line of Enterprise Architecture	Design	Business	Process Flows	Includes work flows, business process flows, data flows, hierarchies, etc. related to specific projects, agency business model, department business model, and other areas of NCPA business as it arises	SUP+4		Y	
merged into one record series line of Enterprise Architecture	Design	Network	Infrastructure & Wiring		SUP+4		Y	GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
merged into one record series line of Enterprise Architecture	Design	Network	Network Maps, Plans & Diagrams		SUP+4		Y	GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years
merged into one record series line of Enterprise Architecture	Design	Network	Security & Data Integrity	Access rights, IP addresses, etc.	SUP+4		Y	GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years
merged into one record series line of Enterprise Architecture	Design	Network	System Configuration	Workstation/server configurations	SUP+4		Y	GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years
Updated record series from "Business & System Rules & Requirements" and short description; merged all related business and network records into one record series.	Enterprise Architecture		Enterprise Architecture	Documents related to NCPA enterprise architecture and specific projects; including glossaries, decision tables, business rules/requirements, process/data flows, network diagrams, workstation/server configurations, access rights, IP addresses, etc	SUP+4	SUP+4	Y/N	Network architecture documents: GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years
New listing	Enterprise Architecture		Plant Network Configurations	Network configuration at Plants stored in the Siemens T3000.		TEMP	N	Network architecture documents: GC 34090; 2 year minimum requirement; CCP 343; SOL is 4 years for actions to commence; State of California Guidelines; Current year plus 4 years
Merged into one record series line for NERC Compliance & Internal Audit.	Evidence	Audit	Cyber Security (CIP) Audit work papers and other documentation		CY+7		Y	
Merged into one record series line for NERC Compliance & Internal Audit.	Evidence	Audit	Internal Audit Work Papers	Work papers related to safety audits, departmental audits, internal & external; Not related to financial audits	CY+7		Y	GC 34090; 2 year minimum Administrative Record, State of California Guidelines
Merged internal, cyber security, and NERC compliance workpapers into one record series.	Evidence	Audit	NERC Compliance and Internal Audit NERC Compliance work papers and other documentation	NERC Compliance (including CIP): includes requested reports, steady-state and dynamics data for modeling & simulation of the interconnected transmission system, audits, specific-requested data reports, engineering records, logs, attendance lists, RBAM, RSAW,	CY+7	CY+7	Y	Internal Audits: GC 34090; 2 year minimum Administrative Record, State of California Guidelines
New listing	Evidence	Audit	Safety Audits	Audits per Safety Policies and Procedures.		CY+2	Y	GC 34090; 2 year minimum Administrative Record, State of California Guidelines
Merged into one record series for Accounting Support.	Finance	Bank Statements	Bank Statements	Includes statements, summaries for receipts, disbursements & reconciliation	AA+6		Y	GC 34090; 2 years minimum; FC 30210; Maintain, indeterminate retention; GC 43900-43903; Bond records, notification to public of destruction; State of California Guidelines; 2 years after audit
Merged into one record series: Investment Transactions.	Finance	Bank Statements	Funds with Administrators or Trustees	Statements of deposits and withdrawals related to bonds	AE+10		N	Citations: 18 CFR § 125.3(35)(c) until fund is dissolved; State of California guidelines AC+10

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one billing & settlements support record series.	Finance	Billing	Accounts Receivable Misc.	Invoices sent to non-Members; one off invoices; includes supporting documents	AA+6		Y	State of California Guidelines; after audit plus 4 years
Updated record series name, added legal citation and updated retention period; merged billing and settlements working documents into this record series.	Finance	Billing	All Resource Bill Billing & Settlements Support	Administrative (including related correspondence and ARB memos), validation, and settlement output documents associated with the billing and settlements processes; including year-end settlements & output from members' cost allocations. (PDF version is in SharePoint), WREGIS documents (participant transfer requests, RECs downloads, & other RECs administrative documents), Greenhouse Gas documents (participant transfer requests, auction bidding strategies, CITSS downloads, & other greenhouse gas administrative documents), and invoices sent to non Members or one-off invoices (including supporting documents). The reports within the ARB remain on a network drive for publishing to DataPortal. The same reports are available as documents and raw data on the DataPortal. Raw data is in the NCPA Database.	AA+6	AA+10	Y/N	Invoices: State of California Guidelines; after audit plus 4 years
Merged into one billing & settlements support record series.	Finance	Billing	Billing and Settlements Validation Working Documents	Administrative, validation, and settlement output documents associated with the billing and settlements processes; including year-end settlements & output from members' cost allocations. (PDF version is in SharePoint); WREGIS documents (participant transfer requests, RECs downloads, & other RECs administrative documents); Greenhouse Gas documents (participant transfer requests, auction bidding strategies, CITSS downloads, & other greenhouse gas administrative documents); and invoices sent to non-Members or one-off invoices (including supporting documents);	AA+6	AA+6	Y	Invoices: State of California Guidelines; after audit plus 4 years
Merged into one billing & settlements support record series.	Finance	Billing	Greenhouse Gas administrative documents	Includes participant transfer requests, auction bidding strategies, CITSS downloads, and other greenhouse gas administrative documents.	AA+6		Y	
Merged into one billing & settlements support record series.	Finance	Billing	Year-end billing Settlement	Year-end settlements and output from Members Cost Allocations. The PDF version is in SharePoint.	AA+6		Y	
	Finance	Budget	Annual/Final Budget	Adopted Budget	PERM	PERM	Y	GC 34090; 2 years minimum; GC 40802; State of California Guidelines; Final copy of approved budget is permanent. Working copies can be destroyed after use.
Merged budget workpapers and cost allocations into one record series; updated retention period.	Finance	Budget	Budget & Cost Allocation Workpapers	Includes proposed budgets and all work papers leading up to final annual budget; general files of member cost allocations, including schedules suspended or superseded; model, methodology, business rules for the cost allocations.	AA+6	AA+10	Y	Budget Workpapers: GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2 years; Administrative Decision 6 years after audit for tracking purposes. Cost Allocations: 18 CFR § 125.3(30); 6 years after superseded or no longer used.
Merged into one record series: budget & cost allocation workpapers.	Finance	Budget	Budget & Revenue Work papers	Includes proposed budgets and all work papers leading up to final annual budget	AA+6		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2 years; Administrative Decision: 6 years after audit for tracking purposes.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one record series: budget & cost allocation workpapers.	Finance	Budget	Rate Schedules – Members Cost Allocations (methodology)	General files of member cost allocations, including schedules – suspended or superseded; model, methodology, business rules for the cost allocations	AA+6		Y	18 CFR § 125.3(30); 6 years after superseded or no longer used.
Merged several records together into one record series: declaration of excess, GOR, cancelled checks, check registers, purchase orders, inventory, plant account reclassification, bank statements, timesheets, voucher packet.	Finance	Financial Records	Accounting Support Documentation	Includes declaration of excess form for assets more than \$5,000, authorization for sales, bid invitation, bid register, contribution slip, donation receipt, and other supporting documentation; GOR letters of direction, correspondence regarding GOR deposits, and other documents related to GOR; cancelled checks; check registers, A/P listing reports, month-end reports; original purchase orders; In CMMS; ledger sheets of materials and supplies received, issued, and on hand; records showing distribution of materials and supplies, including IT materials/supplies; records pertaining to reclassification of plant accounts; bank statements, summaries for receipts, disbursements; reconciliation; signed employee timecards and/or timesheets, travel requests (including any supporting documents), maintained audit reports; voucher registers when used as source document; paid and canceled vouchers; original bills and invoices paid by vouchers; paid checks and receipts for payments of vouchers; authorization for payment of specific vouchers; invoices paid may go in SharePoint or in Great Plains. Voucher will go in Great Plains.	AA+6	AA+10	Y/N	Check Register: GC 34090.7; Warrant registers are 2 years after audit; copies of information contained in another form/location; GC 34090; 2 year minimum; Cancelled Checks: GC 34090; 2 year minimum; CCP 337; Statute of limitations; State of California Guidelines; 5 years after audit; Purchase Order: GC 34090; 2 year minimum; CCP 337; Statute of limitations; State of California Guidelines; 4 years after audit; Bank statements: GC 34090; 2 years minimum; FC 30210; Maintain, indeterminate retention; GC 43900-43903; Bond records, notification to public of destruction; State of California Guidelines; 2 years after audit; Timesheets: GC 34090; 2 year minimum; 29 CFR 516.2; 29 CFR 516.6; maintain 2 years; § 19530; 3 years after tax return due; LC 1174; 2 years after pay period; 26 CFR 31.6001-1; 4 years after tax return due; State of California Guidelines; 6 years after audit; Declaration of Excess: 18 CFR § 125.3(28); 3 years; Inventory, Plant Records: 18 CFR § 125.3(26); 6 years after creation; Voucher packet: 18 CFR § 125.3(10)-(11); 5 years.
Merged annual audit worksheets, documents supporting journal entries, and asset retirement work into one record series.	Finance	Financial Records	Annual Audit Workpapers & Journal Entry Support	Includes general financial audit workpapers and asset retirement work such as summary sheets, distribution sheets, reports, statements, and papers directly supporting debits and credits to utility plant accounts not covered by construction or retirement work; workbooks with links/macros will remain on the network drives while others will be in SharePoint; journal entries, analyses, summarization, distributions, and computations; does not include those for Hydro Plant Accounts. PDFs are in SharePoint; data in Great Plains.	AA+10	AA+10	Y/N	Annual Audit: GC 34090; 2 years minimum; State of California Guidelines; 7 years after audit; Administrative Decision 10 years after audit; Journal entry support: 18 CFR § 125.3(8)(b)(2); 6 years for non-plant accounts; Asset Retirement Work: 18 CFR § 125.3(19); 5 years.
Merged into one record series for Audit & Journal Entry Support.	Finance	Financial Records	Annual Audit Worksheets	General financial audit work papers; workbooks with links/macros will remain on the network drives; while others will be in SharePoint	AA+10		Y/N	GC 34090; 2 years minimum; State of California Guidelines; 7 years after audit; Administrative Decision: 10 years after audit
Merged into one record series for Accounting Support.	Finance	Financial Records	Cancelled Checks		AA+6		N	GC 34090; 2 year minimum; CCP 337; Statute of limitations; State of California Guidelines; 5 years after audit
Merged into one record series for Accounting Support.	Finance	Financial Records	Check Register	Includes A/P Listing Reports, and Month-End Reports	AA+6		N	GC 34090.7; Warrant registers are 2 years after audit; copies of information contained in another form/location; GC 34090; 2 year minimum
Merged into one record series for Audit & Journal Entry Support.	Finance	Financial Records	Documents supporting journal entries	Includes journal entries, analyses, summarization, distributions, and computations; does not include those for Hydro Plant Accounts. PDFs are in SharePoint; data in Great Plains.	AA+10		Y/N	18 CFR § 125.3(8)(b)(2); 6 years for non-plant accounts
	Finance	Financial Records	General and Subsidiary Ledgers	General Ledger and other subsidiary ledger data maintained in the financial system	PERM	PERM	N	GC 34090; 2 year minimum CCP 337; Statutes of limitations, 4 years for action State of California Guidelines; Permanent 18 CFR § 125.3(6); 10 years
Merged into one record series for Accounting Support.	Finance	Financial Records	GOR working documents	Includes letters of direction, correspondence regarding GOR deposits, and other documents related to GOR.	AA+6		Y/N	
Merged into one record series for Accounting Support.	Finance	Financial Records	Purchase Orders	Original purchase orders; n/a for SharePoint	AA+6		N	GC 34090; 2 year minimum; CCP 337; Statute of limitations; State of California Guidelines; 4 years after audit
Merged into one record series for Accounting Support.	Finance	Financial Records	Records of Sales of Scrap and Materials and Supplies	Authorization for sales; contribution slip; other supporting documentation; declaration of excess	AA+6		Y	18 CFR § 125.3(28); 3 years

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
	Finance	Grants	Miscellaneous Grants	Actual grant application, grant filings, reimbursement requests, other related documents	AC+6	AC+6	Y	24 CFR 85.42; Grants & co-operative agreements, 3 years after submission of last expenditure report; OMB Cir. A-110, (C)(53); 3 years after submission of final expenditure report or final disposition; 29 CFR 97.42; grants covered by a consolidated action plan must be kept for 5 years; State of California Guidelines; 5 years after grant closure; State recommends referring to grant application close-out procedures, if any.
Merged into one record series for Accounting Support.	Finance	Inventory	Material Ledgers; Materials and Supply Records	In CMMS; ledger sheets of materials and supplies received, issued, and on hand; records showing distribution of materials and supplies, including IT materials/supplies	AA+6		N	18 CFR § 125.3(26); 6 years after creation.
Merged into one record series: Investment Transactions.	Finance	Investment Statements	Investment Transactions	Listing of all investments leading up to the creation of the Treasurer's Report	AE+10		Y	GC 53607; 2 year minimum; CCP 337; Statutes of limitations, 4 years for action; GC 53607; Maintain State of California Guidelines; Permanent Meyers Nave recommendation; after expiration plus 10
	Finance	Payroll	Employee Payroll Files	Payroll pay sheets, FLSA worksheets; hourly and salary employees	T+3	T+3	N	GC 34090; 2 years minimum; GC 12946; 2 years after termination; 29 CFR 516.5-6; Maintain at least 2 or 3 years, depending upon record; 29 CFR 1627.3; Maintain 3 years; State of California Guidelines; 3 years after employee termination or separation
New listing; merged Hydro asset and general asset construction & retirement into one record series.	Finance	Plant Records	Asset Construction & Retirement Work, and Hydro Asset Support	Construction Work in Progress, Ledgers, Work Orders, journal entries, etc., including work orders for utility plant additions; Documents supporting journal entries charged to Hydro Plant Asset Accounts, including analyses, summarization, distributions, and computations; Retirement Work in Progress, ledgers, etc. These are in CMMS; work order sheets to which are posted removal costs, materials recovered and credits to utility plant accounts.	LOP+6	LOP+6	Y/N	Construction-related: 18 CFR § 125.3(17)(a-b); 5 years after plant is retired, or 5 years after clearance to plant account only if continuing plant inventory records are maintained; Hydro Plant Assets: 18 CFR § 125.3(8)(b)(1); 25 years for plant accounts; see also 18 CFR § 125.2(g); records related to hydro facilities must be retained until ERC determines the actual legitimate original cost of facilities; Retirement-related: 18 CFR § 125.3(18); 5 years after plant retirement.
Merged into one Asset Construction & Retirement Work, and Hydro Asset Support record series.	Finance	Plant Records	Construction Work in Progress, Ledgers, Work Orders, journal entries, Etc.	Construction work in progress ledgers; work orders for utility plant additions	LOP+6	LOP+6	N	18 CFR § 125.3(17)(a-b); 5 years after plant is retired, or 5 years after clearance to plant account <i>only if</i> continuing plant inventory records are maintained
Merged into one Asset Construction & Retirement Work, and Hydro Asset Support record series.	Finance	Plant Records	Documents supporting journal entries charged to Hydro Plant Asset Accounts	Includes analyses, summarization, distributions, and computations	LOP+6	LOP+6	Y/N	18 CFR § 125.3(8)(b)(1); 25 years for plant accounts; see also 18 CFR § 125.2(g); records related to hydro facilities must be retained until ERC determines the actual legitimate original cost of facilities.
Merged into one Plant Ledgers and Depreciation Records record series.	Finance	Plant Records	Plant Ledgers	Ledgers of utility plant accounts including land and other detailed ledgers showing cost of utility plant by classes; continuing plant inventory ledger or book showing description, location, quantities, cost, etc., of physical units of utility plant, asset list, depreciation schedule	CY+25	CY+25	N	18 CFR § 125.3(16); 25 years
New listing; merged plant ledgers and depreciation records into one record series.	Finance	Plant Records	Plant Ledgers and Depreciation Records	Ledgers of utility plant accounts including land and other detailed ledgers showing cost of utility plant by classes; continuing plant inventory ledger or book showing description, location, quantities, cost, etc., of physical units of utility plant, asset list, depreciation schedule; Includes supporting computation of expense, records of analysis sheets, and records reflecting the service life of the property and percentage of salvage.	CY+25	CY+25	Y/N	Plant Ledgers: 18 CFR § 125.3(16); 25 years; Depreciation: 18 CFR § 125.3(24); 25 years

AA= After Audit
AC= After Closure/Completion
AE= After Expiration
AF= After Filing

CM/CY= Calendar Month/Year
FY= Fiscal Year
SUP= Superseded
TEMP= Temporary

LOP= Life of Plant
LOS= Life of Software/System
T= Terminated
PERM= Permanent

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one Plant Ledgers and Depreciation Records record series.	Finance	Plant Records	Records of Provisions for Depreciation and Depletion of Plant	Includes supporting computation of expense, records of analysis sheets, and records reflecting the service life of the property and percentage of salvage	CY+25	CY+25	Y	18 CFR § 125.3(24); 25 years
Merged into one record series for Accounting Support.	Finance	Plant Records	Records Pertaining to Reclassification of Plant Accounts	Includes supporting papers showing the basis for reclassifications	AA+6		Y	18 CFR § 125.3(23) 6 years
Merged into one Asset Construction & Retirement Work, and Hydro Asset Support record series.	Finance	Plant Records	Retirement Work in Progress, ledgers, etc.	In CMMS; work order sheets to which are posted removal costs; materials recovered and credits to utility plant accounts	LOP+6	LOP+6	Y	18 CFR § 125.3(18); 5 years after plant retirement
Merged into annual audit worksheets & journal entry support record series	Finance	Plant Records	Summary Sheets of Asset Retirement Work	Summary sheets, distribution sheets, reports, statements, and papers directly supporting debits and credits to utility plant accounts not covered by construction or retirement work	AA+6	AA+10	Y	18 CFR § 125.3(19); 5 years
Merged with Financial Agreement record type	Finance	Signature Cards	Signature Cards		AE+10		Y	
New listing	Finance	Statements	Investment Transactions - Operations	Listing of all investments leading up to the creation of the Treasurer's Report; Statements of deposits and withdrawals related to operations.		AC+10	Y	Investments: GC 53607; 2 year minimum; CCP 337; Statutes of limitations, 4 years for action; GC 53607; Maintain State of California Guidelines; Permanent
Updated minor category from "Financial Statements".	Finance	Statements Financial Statements	Annual Financial Statements	Includes financial statements used for annual financial audit report	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Permanent
Merged into one record series for Accounting Support.	Finance	Timesheet	Time Cards	Signed employee time cards and/or timesheets; maintained audit reports	AA+6		Y	GC 34090; 2 year minimum; 29 CFR 516.2; 29 CFR 516.6; maintain 2 years; R&T 19530; 3 years after tax return due; LC 1174; 2 years after pay period; 26 CFR 31.6001-1; 4 years after tax return due; State of California Guidelines; 6 years after audit
Merged into one record series for Accounting Support.	Finance	Voucher Packet	Vouchers & Invoices	Voucher registers when used as source document; paid and canceled vouchers; original bills and invoices paid by vouchers; paid checks and receipts for payments of vouchers; authorization for payment of specific vouchers; invoices paid may go in SharePoint or in Great Plains. Voucher will go in Great Plains.	AA+6		N	18 CFR § 125.3(10) (11); 5 years
Updated Retention.	Finance	Work Orders	Work Orders	In CMMS and/or Great Plains; work order sheets with detailed entries for labor and materials and other charges pertaining to utility operations; summaries of expenditures on maintenance and job orders and clearances	LOP+2	AA+10	N	18 CFR § 125.3(15); 5 years
Merged into one State & Federal Employment Verification record series.	HR	Background Checks	Department of Justice Fingerprinting & Background Checks		T+3	T+5	N	GC 34090; 2 year minimum; State of California Guidelines; 3 years after termination
Updated description and record series title.	HR	Benefit Plan	Employee Benefit Plans Public Employees Retirement System—CalPERS	CalPERS, Retiree Medical, Deferred Compensation 457/401A benefit plan contracts; includes related documents such as correspondence, LSRs, etc; does not include Employee Medical, Dental, Vision, Disability contracts or other administrative contracts (see Vendor Agreements). Plan documents; includes PERS amendments	PERM	PERM	Y	GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent
Merged into one record series for benefit information.	HR	Benefits	Deferred Compensation Program Administration	Applications, brochures and general plan information; does not include denied enrollment or claims.	CY+2		Y	GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged all benefit information into one record series; updated retention period and legal citation.	HR	Benefits	Employee Benefit Information	EAP, AFLAC, Life Insurance, etc.; non-medical and/or non-insurance related employee services, supplemental insurance, etc.; applications, brochures and general plan information for deferred compensation, health benefits (medical, dental, vision), long term disability and life insurance, PERS, state disability, workers compensation; does not include records relating to specific employees, reports of claims and/or individual events or denied enrollment; or contracts.	CY+2	SUP+2	Y	Health, Long Term Disability: GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent; PERS: GC 34090; 2 year minimum; State Disability: Administrative documents from the State. Keep while current; Workers Comp: GC 34090; 2 year minimum. Benefit Plan Information: State of California Guidelines; 2 years after being superseded.
Updated Retention and added description.	HR	Benefits	Employee Handbook	Employee reference guide to benefits and personnel matters.	CY+2	SUP+2	Y	GC 34090; 2 year minimum; State of California Guidelines; 2 years after superseded
Merged into one record series for benefit information.	HR	Benefits	Health-Benefits – Medical/Dental/Vision	General plan information; <u>does not include denied enrollment or claims.</u>	CY+2		Y	GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent
Merged into one record series for benefit information.	HR	Benefits	Long-Term Disability & Life Insurance	General plan information	CY+2		Y	GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent
Merged into one record series for benefit information.	HR	Benefits	Other Employee Services/Benefits	EAP, AFLAC, Life Insurance, etc.; non-medical and/or non-insurance related employee services, supplemental insurance, etc.	CY+2		Y	GC 34090; 2 year minimum; GC 12946; 2 years after submission or creation; 29 CFR 1627.3(b)(2); full period of plan or system plus 1 year; State of California guidelines; Permanent
Merged into one record series for benefit information.	HR	Benefits	PERS Information	General plan information	CY+2		Y	GC 34090; 2 year minimum
Merged into one record series for benefit information.	HR	Benefits	State Disability Insurance	Administrative documents from State; blank disability claim forms	CY+2		Y	Administrative documents from the State. Keep while current.
Merged into one record series for benefit information.	HR	Benefits	Workers Compensation Administration	Administrative documents used for workers compensation; <u>does not include reports of claims and/or individual events</u>	CY+2		Y	GC 34090; 2 year minimum
Merged records into one record series; updated minor category from "Salary" and updated retention.	HR	Compensation	Compensation & Reclassification Studies	General pay and classification plan; does not include records for specific employees; compensation study; reclassification study.	CY+5	CY+7	N	GC 34090; 2 year minimum; GC 12946; 2 years after completion/position filled; 29 CFR 516.6(2); 2 years for wage rate and similar tables; 29 CFR 1602.14; 1 year after action/change; State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.
Added short description.	HR	Employee File	EEO Applicant Survey	Completed EEO survey provided to the US Equal Employment Opportunity Commission.	CY+3	CY+3	N	GC 34090; 2 year minimum; State of California guidelines; closed/completion plus 3 years
Added legal citation.	HR	Employee File	Employee Records	All personnel related materials and correspondences for Agreement, full time, part time, temporary/seasonal, and terminated employees; includes investigations/disciplinary actions; appraisals; completed tuition aide, FMLA, and HIPAA forms; FMLA letters and tracking calendars. Does not include medical leave records, worker's compensation or PERS information	PERM	PERM	N	GC 34090; 2 year minimum; State of California Guidelines; Non-Public-Safety Employees, 3 years after termination; Benefit Plan Claims, Permanent.
	HR	Employee File	Medical Records & Worker's Compensation	Includes general employees; actual records pertaining to an employee's illness or injury	T+30	T+30	N	8 CCR 15400.2; Maintain reports; LC 110 - 139.6; 5 years for auditing; LC 6410; 29 CFR 1910.1020; 30 years after employee termination; State of California Guidelines; 30 years after termination
Added legal citation.	HR	Employee File	Payroll Forms	All personnel related completed payroll forms	PERM	PERM	Y	GC 34090; 2 year minimum; State of California Guidelines; Non-Public-Safety Employees, 3 years after termination.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Updated retention period, legal citation, and added short description.	HR	Grievance	Employee Grievances	Employee grievances and related documents/correspondence.	T+2	PERM	N	GC 34090; 2 years minimum; State of California Guidelines; After employee termination plus 2 years. Decision: PERM for history of precedence setting.
Merged into one State & Federal Employment Verification record series.	HR	I-9s	Completed I-9s	Completed I-9s	T+5	T+5	N	Immigration Reform & Control Act; 5 year statue of limitations.
Added short description.	HR	Job Description	Position Information/Job Descriptions	NCPA job descriptions.	SUP+3	SUP+3	Y	GC 34090 & 60201; 2 year minimum; State of California guidelines; 2 years after superseded
Updated short description; added legal citation	HR	Org Charts	Organization Charts	NCPA organization charts not included in the Budget; original from Payroll. and included in budget	SUP+5	SUP+5	Y	GC 34090; 2 years minimum.
Merged into one recruitment record series.	HR	Recruitment	Job Flyers/Announcements		AC+1		Y	GC 12946; 2 years after completion/position filled; GC 6250; Public Records Act, release of confidential information; 29 CFR 1602.14; 1 year after position filled; 29 CFR 1607; Maintain EEOC demographic information; 29 CFR 1627.3; 1 year after position filled
Merged into one recruitment record series.	HR	Recruitment	Position Recruitment Applications		AC+1		Y	GC 12946; 2 years after completion/position filled; CFR 1602.14; 1 year after position filled; 29 CFR 1607; Maintain EEOC demographic information; 29 CFR 1627.3; 1 year after position filled
Merged 3 recruitment record series into one; updated retention period.	HR	Recruitment	Recruitment	Includes job announcements, prospective employee job applications and testing information.	AC+1	AC+2	Y/N	Job announcements: GC 12946; 2 years after completion/position filled; GC 6250; Public Records Act, release of confidential information; 29 CFR 1602.14; 1 year after position filled; 29 CFR 1607; Maintain EEOC demographic information; 29 CFR 1627.3; 1 year after position filled; Applications & Testing Info: GC 12946; 2 years after completion/position filled; CFR 1602.14; 1 year after position filled; 29 CFR 1607; Maintain EEOC demographic information; 29 CFR 1627.3; 1 year after position filled.
Merged into one recruitment record series.	HR	Recruitment	Testing Information		AC+1		N	GC 12946; 2 years after completion/position filled; CFR 1602.14; 1 year after position filled; 29 CFR 1607; Maintain EEOC demographic information; 29 CFR 1627.3; 1 year after position filled
Merged into one record series for compensation.	HR	Salary	Pay & Classification Plan	General pay and classification plan; does not include records for specific employees	CY+5		Y	GC 34090; 2 year minimum; GC 12946; 2 years after completion/position filled; 29 CFR 516.6(2); 2 years for wage rate and similar tables; 29 CFR 1602.14; 1 year after action/change; State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.
Merged into one record series for compensation.	HR	Salary	Salary Surveys & Reclassification Studies		CY+5		Y/N	GC 34090; 2 year minimum; GC 12946; 2 years after completion/position filled; 29 CFR 516.6(2); 2 years for wage rate and similar tables; 29 CFR 1602.14; 1 year after action/change; State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.
Merged into one record series and updated description.	HR		State & Federal Employment Verification	Background checks; completed I-9s.		T+5	N	Background checks: GC 34090; 2 year minimum; State of California Guidelines; 3 years after termination I-9s: Immigration Reform & Control Act; 5 year statue of limitations
	Insurance Policy		Agency Insurance Coverage Policies	Includes information pertaining to insurance programs such as pooled liability, property, public official bond, workers compensation, identity theft, etc.; damage claims involving Agency employees; personal and damage claims against the Agency	PERM	PERM	Y	CCP 337.2 & 343; Statute of limitations, 4 years; State of California Guidelines; Permanent

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Removed from retention policy. NCPA does not have these. Bonds are included within the Agency insurance policy.	Insurance Policy		Employee Bonds	Employee fidelity bonds	T+4		Y	GC 34090; 2 years minimum; CCP 337 & 343, Statutes of limitations, 4 years; State of California Guidelines; Termination or separation plus 2 years; 03-00-00 Legal & Legislative Function
Merged into one claim record series.	Legal	Claims	Claims by/against Agency	Claims filed by/against NCPA; whether paid or denied	AC+10		Y	GC 34090; 2 year minimum; 29 USC 1113; ERISA claim; 6 years after date of last action or 3 years after plaintiff had knowledge of breach or violation, whichever comes first; GC 910-913; Statute of limitations; 6 months to 1 year after event occurs; State of California guidelines; 5 years after settlement or closure
Merged claim records into one record series.	Legal	Claims	Claims, Lien & Release Support	Insurance: in connection with losses and claims against insurance companies; GL posting, remittance, report, letter, etc. Some on SharePoint and some not; Legal Proceedings: Claims filed by/against NCPA; whether paid or denied; including settlement agreements; supporting documents for liens and releases.	AC+10	AC+10	Y/N	Insurance: 18 CFR § 125.3(12)(b); 6 years; Legal Proceedings: GC 34090; 2 year minimum; 29 USC 1113; ERISA claim; 6 years after date of last action or 3 years after plaintiff had knowledge of breach or violation, whichever comes first; GC 910-913; Statute of limitations; 6 months to 1 year after event occurs; State of California guidelines; 5 years after settlement or closure; Lien/Release Support: GC 34090; 2 year minimum; State of California Guidelines; After closure plus 2 years for supporting documentation.
	Legal	Claims	Liens & Releases	Recorded liens	PERM	PERM	Y	GC 34090; destruction not authorized; State of California guidelines; Permanent for recorded liens
Merged into one claim record series.	Legal	Claims	Liens & Releases Supporting Information	Supporting documents for liens and releases	AC+10		Y	GC 34090; 2 year minimum; State of California Guidelines; After closure plus 2 years for supporting documentation
Merged into one claim record series.	Legal	Claims	Records related to Insurance Claims	In connection with losses and claims against insurance companies; GL posting, remittance, report, letter, etc. Some on SharePoint and some not.	AC+10		Y/N	18 CFR § 125.3(12)(b); 6 years
Merged into one Legal record series.	Legal	Litigation	Litigation & Regulatory Proceedings	Court records, filings, all documentation; including those with FERC, CPUC, CEC, NERC	AC+10		Y	GC 34090; 2 year minimum; State of California Guidelines; After closure plus 7 years
2016: updated retention and short description.	Legal	LSRs	Legal Service Requests	Completed & signed Legal Service Requests that are not captured in another record series. <i>not-related-to-agreements</i>	AC+2 or follow retention with associated Agreement or Legal Opinion	AC+2 or follow retention with associated Agreement or Legal Opinion	Y	GC 34090; 2 year minimum; State of California guidelines; Current year plus 2 years
Merged into one Air Permit Notice record series.	Legal	Notices	24 – Hour notification to district prior to shutting down emissions monitoring equipment for maintenance	Notifications are made via phone call and then followed up with an email. The email should reside in SharePoint.	CY+5		Y	based on permit
Merged into other related record series.	Legal	Notices	Legal Notices	Includes public notices and legal publications for Commission and Committee meetings, procurement process, and other legal publication requirements; notices have the same retention period as the specific thing they are about (i.e., CEQA, Public Works, Commission meetings, etc.)	{follow retention with the associated function}		Y	GC 34090; 2 year minimum; CCP 343,349 et seq.; Statute of limitations
Merged into one Air Permit Notice record series.	Legal	Notices	Notifications of Exceedence or Breakdowns related to Permits	Verbal notification to districts (FERC, BLM, CEC, etc.) of a exceedence of permit conditions; notifications are made via phone call and then followed up with an email. The email should reside in SharePoint.	CY+5		Y	based on permit
Merged into associated permits record series.	Legal	Notices	Notifications related to Air Permits	24 – Hour notification to district prior to shutting down emissions monitoring equipment for maintenance; notifications of exceedence or breakdowns related to permits to districts (FERC, BLM, CEC, etc.); notifications are made via phone and then followed up with an email (which should be saved into SharePoint).	CY+5	CY+5	Y	GC 34090; 2 years minimum.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Added short description.	Legal	Public Records Request	Public Records Requests	Public Records Requests and related correspondence.	AC+2	AC+2	Y	GC 34090; 2 years minimum; State of California Guidelines; 2 years after completion
Merged into one Legal record series.	Legal	Regulatory Orders	Formal Orders of Regulatory Commissions served upon the Agency.	Includes titles, franchises, and licenses. FERC, CPUC, CEC, NERC	AC+10		Y	18 CFR § 125.3(2)(b); 6 years after final non-appealable order.
Merged litigation and regulatory records into one record series.	Legal		Legal & Regulatory Proceedings	Court records, filings and comments to filings, subpoenas, attestations, and other supporting documentation; includes titles, franchises, and licenses; including those with FERC, CPUC, CEC, NERC.	AC+10	AC+10	Y/N	Court Records: GC 34090; 2 year minimum; State of California Guidelines; After closure plus 7 years; Formal Court Orders: 18 CFR § 125.3(2)(b); 6 years after final non-appealable order.
Merged with Official Commission and Executive Committee Meeting Documents.	Meetings	Brown Act (Public) Commission & Committee Meeting Materials	Commission Agenda Packets	Commission only.	CY+4		Y	Reference only; GC 34090; 2 years minimum; State of California guidelines; current year plus 2 years.
Updated legal citation and short description; Updated minor category.	Meetings	Brown Act (Public) Commission & Committee Meeting Materials	Official Commission & Executive Committee Meeting Documents	Commission & Executive Committee only; includes all documents related to these meetings (i.e., agendas, minutes, notes, attendance lists, presentations, meeting materials, staff reports, resolutions) Confidential memos are not stored in SharePoint based upon legal counsel advice regarding confidentiality.	PERM	PERM	Y/N	Commission documents: GC 34090; 2 years minimum; State of California guidelines; superseded plus 2 years Commission Memos: GC 34090; 2 year minimum; State of California Guidelines; Current year plus 2; Administrative Decision: permanent
Updated minor category.	Meetings	Brown Act (Public) Committees	Brown Act (Public) Committee Documents	Brown Act Committees: Facilities, Legal, Finance, L&R Affairs, LEC PPC; includes all documents related to these meetings (i.e., attendance lists, staff reports, presentations, meeting materials, agendas, minutesbusiness progress report)	CY+15	CY+15	Y	GC 34090; 2 years minimum; Administrative Decision: Current Year plus 10 years for reference purposes; GC 36814; Maintain record of proceedings
Updated short description retention period, and minor category.	Meetings	Commendations (Public) Commission & Committee Meeting Materials	Commendations/Proclamations	Commendations and proclamations issued by the Commission or NCPA Management team for recognition of service, retirement, etc. Commission only; not assigned to a resolution or ordinance number.	CY+4	CY+10	Y	GC 34090; 2 years minimum; State of California guidelines; superseded plus 2 years
New listing.	Meetings	External	General Meeting Materials	Meeting Materials, presentations, notes from meetings with external parties that is kept as pertinent reference.		CY+2	Y	GC 34090; 2 years minimum.
Updated minor category.	Meetings	non Brown Act (non-Public) Committees	non Brown Act (non Public) Meeting Documents	Non Brown Act Committees: Pooling, UDs, ROC, RMC, Public Benefits, Agency Safety, HQ Safety, EARC, Clearance, Electrical Safety, Quarterly Safety, Geo Safety, Hydro Safety, CT Safety, Coordinated Operations Group, External Affairs, CMOC, Northern California Municipal Power Corporation, ITSC; includes all documents related to these meetings (i.e., attendance lists, staff reports, presentations, meeting materials, agendas, minutes)	CY+10	CY+10	Y	GC 34090; 2 years minimum; Administrative Decision: Current Year plus 10 years for reference purposes
Added legal citation.	Meetings	Presentations	General Presentations	Includes presentations that do not fall under another record series; e.g., Credit Rating presentations, non Committee/Commission budget presentations	CY+10	CY+10	Y	GC 34090; 2 years minimum.
Updated minor category.	Meetings	Staff Meetings	Staff Meeting Documents	Departmental staff meetings and meeting notes for non-formal meetings; non-agenda related reports and supporting documentation	CY+2	CY+2	Y	GC 34090; 2 year minimum; Administrative Record, State of California Guidelines
Merged into one FERC license/long term permit record series.	Permits		Air Permits	emissions	PERM		Y	
Merged into one FERC license/long term permit record series.	Permits		Air Receiver Permits	Posted at location and hard copy scanned into SharePoint	PERM		Y/N	

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
changed retention; AE makes more sense than SUP; additional year to incorporate other listings. Merged records into one Annual Permit record series; added legal citation.	Permits		Annual Renewal Permits	Includes underground storage tank permit; posted on location and renewed annually; scan hard copy into SharePoint.	SUP+1	AE+2	Y/N	GC 34090; 2 years minimum; State of California Guidelines; Non-Construction Permits; 2 year minimum after closure/completion; Underground Storage Tank Maintenance & Operation; 2 year minimum.
Merged into one FERC license/long term permit record series.	Permits		CEC Permit Licenses		PERM		Y	
Merged into one External Work Permit listing.	Permits		Confined Space (Permits-completed or-cancelled)	Used for specific events, generally lasting 1-2 weeks	CY+2		Y	29CFR 1910.146; 1 year after cancellation/expiration
Merged into one Permit Certification record series.	Permits		Crane Certification	Posted at location and hard copy scanned into SharePoint; these are applicable for current year only.	SUP		Y/N	
Merged into one FERC license/long term permit record series.	Permits		Disposal Permits		PERM		Y	
Merged into one FERC license/long term permit record series.	Permits		Encroachment Permits		PERM		Y	GC 34090(a) Real property records, maintain Permanently; GC-4003, 4004; H&S 19850; Life of Building, with exceptions
Merged into one External Work Permit listing.	Permits		Excavating Permits	Posted at location and hard copy scanned into SharePoint; these are applicable for duration of the project	CY+2		Y/N	State of California guidelines; close/completion plus 2 years
Updated short description and record series title to add related filings/reports. Created new listing to bring together CY+2 and CY+4 permit listings.	Permits		External Work Permits and Reports	Includes permits related to confined space (used for specific events, generally lasting 1-2 weeks); excavating (posted at location and hard copy scanned into SharePoint; these are applicable for duration of the project); hot work external (permit needed to perform welding, torching, burning etc. granted by an external agency such as USFS; hard copy and/or pdf; applicable for the specific job). Also includes related filings/reports showing compliance with the permit and associated notifications such as notifications to districts; notifications are made via phone and then followed up with an email (which should be saved into SharePoint).		AC+2	Y/N	Confined Space: 29CFR 1910.146; 1 year after cancellation/expiration; Excavating: State of California guidelines; close/completion plus 2 years; Hot Work External: 8 CCR 6777(i); 6 months after date of issue
Merged into one FERC license/long term permit record series.	Permits		FERC Licenses		PERM		Y	
Merged into one FERC license/long term permit record series.	Permits		Grading Permits		PERM		Y	GC 34090(a) Real property records, maintain Permanently; GC-4003, 4004; H&S 19850; Life of Building, with exceptions
Updated short description and record series title to include filings/reports.	Permits		Hazardous Materials Storage Permits and Reports Hazardous Materials Storage Permits-Renewal	Includes the permit, filings/reports showing compliance with the permit, and associated notifications such as notifications to districts of exceedence or breakdowns related to permits; notifications are made via phone and then followed up with an email (which should be saved into SharePoint).; Posted at location and hard copy scanned into SharePoint.	CY+20	AE+20	Y/N	State of California guidelines; current year plus 2 years; Administrative decision; after expiration plus 20 years based on CERCLA/Superfund contribution liability
Merged into one External Work Permit listing.	Permits		Hot Work - External Permit	Permit needed to perform welding, torching, burning etc. granted by an external agency such as USFS; hard copy and/or pdf; applicable for the specific job	CY+4		Y/N	8 CCR 6777(i); 6 months after date of issue
Updated record series from "Hot Work - Internal Permit) and short description.	Permits		Internal Work Permit Hot work-Internal Permit	These are hard copies. Permit needed to perform welding, torching, burning etc. issued by NCPA under the Hot Work Safety Procedure; hard copy and/or pdf; applicable for the specific job; includes associated notifications.	CM+6 Months	CM+6 Months	Y/N	8 CCR 6777(i); 6 months after date of issue

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged all permanent permits into one record series. Updated short description and record series title to include associated filings/reports.	Permits		Long Term Permits & FERC Licenses	Includes FERC licenses; USFS Special Use Permits (long term), air permits; air receiver permits; CEC permit licenses; disposal permits; encroachment permits; grading permits; production well permits, including BLM Sundry notice, CARB AFC/Operating, DOGGR; underground storage tank compliance; operations permits; also includes filings/reports showing compliance with permits and associated notifications such as 24 - Hour notification to district prior to shutting down emissions monitoring equipment for maintenance; notifications to districts of exceedence or breakdowns related to permits; notifications are made via phone and then followed up with an email (which should be saved into SharePoint).	PERM	PERM	Y	Encroachment & Grading; GC 34090(a) Real property records, maintain Permanently; GC 4003, 4004; H&S 19850; Life of Building, with exceptions; NPDES: 40 CFR 122.41(j)(2)-(3); 5 years for sewage sludge use and disposal activities; 3 years for all other monitoring information, etc. related to permit
Merged into one FERC license/long term permit record series.	Permits		National Pollutant Discharge Elimination System Permits	Permit issued by the State Water Resources Control Board, Regional Water Quality Control Board, or Environmental Protection Agency.	PERM		Y	40 CFR 122.41(j)(2)-(3); 5 years for sewage sludge use and disposal activities; 3 years for all other monitoring information, etc. related to permit.
Combined NPDES permits with supporting documents, updated record series name and retention.	Permits		National Pollutant Discharge Elimination System Permits-Supporting Documents	National Pollutant Discharge Elimination System (NPDES) permits (issued by the State Water Resources Control Board, Regional Water Quality Control Board, or Environmental Protection Agency) and supporting documents such as submittals, laboratory test results, associated notifications such as 24 - Hour notification to district prior to shutting down emissions monitoring equipment for maintenance; notifications to districts of exceedence or breakdowns related to permits; notifications are made via phone and then followed up with an email (which should be saved into SharePoint)., etc. Supporting documents, submittals, laboratory test results, etc. for National Pollutant Discharge Elimination System Permits.	AE+10	SUP+10	Y	40 CFR 122.41(j)(2)-(3); 5 years for sewage sludge use and disposal activities; 3 years for all other monitoring information, etc. related to permit
Changed retention to AE; makes more sense than SUP. Merged certifications into one record series; added legal citation.	Permits		Permit Certifications	Includes air receiver certification, crane certification, and other permit-related certifications; associated notifications Posted at location and hard copy scanned into SharePoint.	SUP	AE+2	Y/N	GC 34090; 2 years minimum.
Merged into Short Term Permit listing.	Permits		Pressure Vessels Permits	Posted at location and hard copy scanned into SharePoint	SUP+2		Y/N	
Merged into one FERC license/long term permit record series.	Permits		Production Well Permits	BLM Sundry notice, CARB AFC/Operating, DOGGR	PERM		Y	
Updated name of record series and short description.	Permits		Short Term Permits Miscellaneous Permits	USFS Special Use Permits (short term), RWQCB sump discharge permits, pressure vessel permits, UST permits, etc. Also includes related reports/filings showing compliance and associated notifications such as notifications to districts; notifications are made via phone and then followed up with an email (which should be saved into SharePoint). USFS Special Use Permits, RWQCB sump discharge permits, pressure vessel permits, UST permits, etc.	AE+4	AE+4	Y	GC 34090; 2 year minimum
Merged into one FERC license/long term permit record series.	Permits		Underground Storage Tank Compliance & Operations Permit		PERM		Y	
Merged into one Annual Permit record series.	Permits		Underground Storage Tank Permits—Annual Renewal	Posted at location and renewed annually.	SUP+1		N	
Added listing to incorporate all photos and logos mentioned in the short description; added legal citation; All are made MWC with the idea that a person will need to manually choose to delete them.	Photo		Images	Includes logos of NCPA Members, Customers, and Project Participants; stock photos; facility photos taken by staff, project-related photos, employee association photos, event/celebration photos, etc.		TEMP	Y	64 Ops.Cal.Atty.Gen. 317 (1981).

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one images record series called Logos & Images.	Photo		Member Logos	Official member logos	TEMP		Y	
Merged into one Official Photos & Logos record series.	Photo		NCPA High-Quality-Facility Photos	High quality professional photographs of facilities	PERM		Y	
Merged into one images record series called Logos & Images.	Photo		NCPA Photos	Includes non-high quality facility photographs, employee association photos, event/celebration photos, etc.	TEMP		Y	
Merged into one Official Photos & Logos record series.	Photo		Official NCPA Logos	High res official logos; does not include copies (e.g., low res)	PERM		Y	
Merged high-quality facility photos and official NCPA logos into one record series.	Photo		Official Photos & Logos	Professional photographs of facilities and high resolution official NCPA logos; does not include copies (low resolution versions)	PERM	PERM	Y	64 Ops.Cal.Atty.Gen. 317 (1981).
Merged into one images record series called Logos & Images.	Photo		Stock Photos		SUP		Y	
Merged into one policy and procedure record series.	Policies & Procedures		Administrative Policies & Procedures	Administrative Policies only; not those approved by Commission; includes forms, checklists, other reference material related to the policy and/or procedure	SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Merged into one policy and procedure record series.	Policies & Procedures		Commission Policies	Policies/programs approved by Commission; includes forms, checklists, other reference material related to the policy and/or procedure	SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Merged into one policy and procedure record series.	Policies & Procedures		Emergency Action Plan/Procedure	Emergency Response Plan/Procedure (ERP); Emergency Action Plan/Procedure (EAP)	SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Merged into one policy and procedure record series.	Policies & Procedures		General Department Procedures	Procedures used within a department for day to day activities	SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Merged into one policy and procedure record series.	Policies & Procedures		Operating Procedures		SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Merged into one policy and procedure record series.	Policies & Procedures		Personnel Rules, Regulations, Policies		SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Updated record series to combine all listings into one; updated short description.	Policies & Procedures		Policies and Procedures	Agency and department policies and procedures; including those requiring formal approval and those that do not, Emergency Response Plan/Procedure (ERP), Risk Management Plan/Process Safety Management, IIPP Safety Program, technology related, day-to-day activity related, etc.	SUP+7	SUP+7	Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded; Risk Management Plan: 40 CFR 68.67; at least life of the process
Merged into one policy and procedure record series.	Policies & Procedures		Retention Policies & Procedures		SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Merged into one policy and procedure record series.	Policies & Procedures		Risk Management Plan / Process Safety Management	Process hazard analysis; updated every 5 years	SUP+7		Y	40 CFR 68.67; at least life of the process
Merged into one policy and procedure record series.	Policies & Procedures		Safety Program Policies & Procedures	Includes IIPP	SUP+7		Y	
Merged into one policy and procedure record series.	Policies & Procedures		Technology Policies & Procedures	Policies, procedures, standards regarding information systems use and maintenance	SUP+7		Y	GC 34090; 2 year minimum; State of California guidelines; Administrative Record; recommends retaining for 5 years after superseded
Change to AA+5 and merged with Procurement Documents listing.	Procurement		Authorizations for expenditures (AFE)	Related to Plant accounts and construction	AA+6		Y	18 CFR 125.3; 5 years after clearance to plant account, provided continuing plant inventory records are maintained; otherwise 5 years after plant is retired

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one procurement record type and record series.	Procurement		Formal Bids/RFPs/RFQs/RFIs	Includes successful & unsuccessful formal bids, Requests for Qualification, Requests for Proposal, and Requests for Information.	AA+5		Y	GC 34090; 2 years minimum; CCP 337; Statute of limitations; State of California Guidelines; 5 years after audit, successful; 2 years after audit, unsuccessful
Merged into one procurement record type and record series.	Procurement		Informal Bids	Documents related to informal bids, and quotes	AA+5		Y	
Merged into one procurement record type and record series.	Procurement		Power & Gas RFPs	Requests for Proposal for Power, Gas, Capacity, RECs, and other authorized commodities (e.g., Natural Gas Purchase Program or Market Power Purchase Program with terms greater than or equal to one month in duration)	AA+5		Y	
Merged into one procurement record type and record series.	Procurement		Pre-qualification Questionnaire Applications		AA+5		Y	GC 34090; 2 year minimum
new listing to combine all other listings into one line.	Procurement		Procurement of Services, Materials, Commodities	Documents associated with the procurement of services, materials, and commodities (power, gas, capacity, RECs and other authorized commodities); including bids and bid packages, protests, proof of publication, bid sign in sheets, Requests for Qualification, Requests for Proposal, and Requests for Information; quotes; pre-qualification questionnaires, procurement notices, vendor evaluations, vendor proposals, etc.; bid summary in ReQlogic; Public Works bid packages must be tied to the specific Agreement.	AA+5	AA+5	Y/N	GC 34090; 2 years minimum; CCP 337; Statute of limitations; State of California Guidelines; 5 years after audit, successful; 2 years after audit, unsuccessful.
new listing	Projects	Business Projects	General projects for improving efficiencies and overall business activities	Documents related to projects for improving efficiencies and overall business activities, including project plan, timeline, progress reports, test cases, testing deployment plans, testing acceptance, checklists, and other supporting documentation throughout the life of the project.		AC+5	Y	GC 34090; 2 years minimum.
Merged several records into one Engineering Records record series.	Projects	Engineering	Engineering Records, Drawings, and Supporting Documentation	Includes the following engineering records: authorization for expenditures (AFE), calculators, correspondence, drawings, notes, O&M manuals, engineering reports, scope of work, specifications, studies, field service reports, soil reports, Collierville rerating studies, WECC related key planning studies and reports; also includes same records for proposed or constructed utility facilities.	LOP+2	LOP+2	Y	18 CFR § 125.3(21); retain until facility retired
Merged into one Engineering Records record series.	Projects	Engineering Records	Collierville Rerating Studies		LOP+2		Y	
Merged into one Engineering Records record series.	Projects	Engineering Records	Engineering Records, Drawings, and Supporting Data		LOP+2		Y	18 CFR § 125.3(21); retain until facility retired
Merged into one Engineering Records record series.	Projects	Engineering Records	Engineering records: For proposed or constructed utility facilities	Includes maps, diagrams, profiles, photos, field survey notes, project studies, O&M manuals, etc.	LOP+2		Y	18 CFR § 125.3(21); retain until facility retired
Merged into one Engineering Records record series.	Projects	Engineering Records	Soil Reports	Includes geotechnical reports, environmental soil sampling, etc.; these are typically in SharePoint and/or in historical engineering/construction files	LOP+2		Y	
Merged into one Engineering Records record series.	Projects	Engineering Records	WECC related key planning studies and reports		LOP+2		Y	
Merged drawings and specifications into one record series and updated minor category and record series to include O&M.	Projects	O&M, Capital & Public Works	O&M, Capital Improvement and Public Works Projects Specifications	Includes plans, specifications, and drawings for Operations & Maintenance (O&M), Capital Improvement and Public Works Projects; does not include other related support documentation.	PERM	PERM	Y	GC 34090; 2 year minimum; 29 USC 1113; ERISA Statue of Limitations; 6 years; CCP 337; Statute of Limitations 4 years; CCP 337.15; 10 years after completion; State of California guidelines; Permanent
Merged several records into one record series; added new minor category and added O&M.	Projects	O&M, Capital & Public Works	O&M, Capital Improvement and Public Works Projects Supporting Documents	Includes maps, correspondence, calculators, operations tools, project economics, notes, reports, schedules, and other supporting documents related to Operations & Maintenance (O&M), Capital Improvement and Public Works Projects; does not include drawings or specifications.	AC+10	AC+10	Y	GC 34090; 2 year minimum; 29 USC 1113; ERISA Statue of Limitations; 6 years; CCP 337; Statute of Limitations 4 years; CCP 337.15; 10 years after completion; State of California guidelines; Permanent.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one Project Specification record series.	Projects	O&M, Capital & Public Works Project	O&M, Capital Improvement and Public Works Projects	Includes plans and specifications for O&M, Capital Improvement and Public Works Projects	PERM		Y	GC 34090; 2 year minimum; 29 USC 1113; ERISA Statute of Limitations; 6 years; CCP 337; Statute of Limitations 4 years; CCP 337.15; 10 years after completion; State of California guidelines; Permanent
Merged into one Project Support record series.	Projects	O&M, Capital & Public Works Project	O&M, Capital Improvement and Public Works Projects Supporting Documents	Includes maps, correspondence, and other supporting documents related to Capital Improvement and Public Works Projects; Project-Schedule	AC+10		Y	GC 34090; 2 year minimum; 29 USC 1113; ERISA Statute of Limitations; 6 years; CCP 337; Statute of Limitations 4 years; CCP 337.15; 10 years after completion; State of California guidelines; Permanent
Merged with bios and headshots into one record series.	Public Relations	Brochures	General NCPA Brochures		TEMP		Y	
Merged into one Facility brochures, press releases record series.	Public Relations	Brochures	Plant Brochures		LOP+2		Y	GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 7
updated description; updated retention period	Public Relations	Events	NCPA Hosted Event Materials	Includes Tour materials, Federal Policy Conference materials, and APPA Rally materials; event planning, and other NCPA hosted events.	CY+10		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Merged into one Newsletters and Ad Radio Campaigns record series.	Public Relations	Newsletters	Newsletters	NCPA weekly, plant newsletters	CY+5		Y	GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 2
Merged into one Legislative Policy, NCPA Hosted Events, Editorials, and General Press Releases record series.	Public Relations	Presentations	Presentations on Legislative and Regulatory Briefings	May also include a white paper	CY+10		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Merged into one Newsletters and Ad Radio Campaigns record series.	Public Relations	Press	Ad Radio Campaigns	Scripts, audio files	CY+5		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Merged general brochures and bios/headshots into one record series.	Public Relations	Press	Bios & Headshots	Bios and headshots for NCPA executive team and Commissioners; those related to an event are kept within those publications.	TEMP		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Merged into one Facility public relations record series.	Public Relations	Press	Facility Brochures, Press Releases	Includes brochures and press releases related to NCPA Facilities.	LOP+2	LOP+2	Y	GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 2
Merged general brochures and bios/headshots into one record series.	Public Relations	Press	General NCPA Brochures, Bios & Headshots	Includes general NCPA brochures; bios and headshots for NCPA executive team and Commissioners; those related to an event are kept within those publications.	TEMP	TEMP	Y	GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 2
Merged into one Legislative Policy, NCPA Hosted Events, Editorials, and General Press Releases record series.	Public Relations	Press	General Press Releases		CY+10		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Merged into one Public Relations listing. Merged several records into one NCPA Event record series; updated name of record series from "Legislative Policy and NCPA Hosted Event Program". 2014: combined record series NCPA Hosted Event Materials and Legislative Policy and NCPA Hosted Event Program.	Public Relations	Press	Legislative Policy, NCPA Hosted Events, Editorials, and General Press Releases	Includes policy position papers, event programs, Tour materials, Federal Policy Conference materials, and APPA Rally materials; event planning, and other NCPA hosted events; also includes presentations on L&R briefings, opinion editorials and general press releases; scripts and audio files; newsletters (i.e., NCPA Weekly newsletter, Facility newsletters, etc.).	CY+5	CY+10	Y	Event Programs: GC 34090; 2 years minimum; State of California Guidelines; Current year plus 7; Newsletters & scripts: GC 34090; 2 years minimum; State of California Guidelines; Superseded plus 2.
Merged into one Legislative Policy, NCPA Hosted Events, Editorials, and General Press Releases record series.	Public Relations	Press	Opinion Editorials (OP-ED)		CY+10		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Merged into one Facility brochures, press releases record series.	Public Relations	Press	Plant Press Releases	Press releases regarding NCPA plants	LOP+2		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Updated short description and record series name.	Real Property	Appraisals	Appraisals and Valuations - properties/investments	Made by Agency of its properties or investments or those of associated companies	LOP+2	LOP+2	Y	18 CFR § 125.3(20)(a); 3 years after appraisal

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Updated short description.	Real Property	Land/Property Files	Land/Property Files	Includes easements, lot line adjustments, deeds, quitclaim deeds, acquisitions/dedications of Real Property, escrow closing agreements, legal descriptions, correspondence related to purchase, etc.; does not include the Agreements themselves ; original Deeds are held with the County.	PERM	PERM	Y	GC 34090(a); Permanent for property related records; State of California Guidelines; Permanent
Merged various reference material into one general reference record series.	Reference	General	General References	Includes APPA safety manual; notes used within a department for day to day activities; media references, including Software user guides, manuals, and other reference materials; Legislative policy references; technical references, manuals, guidelines and reference materials for general office management and equipment; vendor technical manuals; vendor brochures, pamphlets, and general information about each vendor (save in SharePoint based on individual's choice); bulletins related to products, services and safety; training, conference, or external meeting handouts.	SUP	SUP	Y/N	State of California Guidelines; Administrative Record; Reference documents and books, no required retention. Vendors: State of California Guidelines; While active; does not include vendor registers (alphabetical vendor listing of purchase orders, invoices, account numbers and check dates), which are kept permanently per State of California guidelines.
Merged into one general reference record series.	Reference	General Reference	Software Program Media	Software user guides, manuals, and other reference materials.	SUP		Y	State of California Guidelines; Administrative Record; Reference documents and books, no required retention.
Merged into one general reference record series.	Reference	General Reference	Technical Reference	Technical references, manuals, guidelines and reference materials for general office management and equipment; also includes vendor technical manuals.	SUP		Y	State of California Guidelines; Administrative Record; Reference documents and books, no required retention.
Merged into one general reference record series.	Reference	General Reference	Vendor Information	Includes brochures, pamphlets, and general information about each vendor; save in SharePoint based on individual's choice.	SUP		Y	State of California Guidelines; While Active; Does not include Vendor Registers (alphabetical vendor listing of purchase orders, invoices, account numbers and check dates), which are kept PERMANENTLY per State of California Guidelines.
Merged into one general reference record series.	Reference	Policy Reference	Legislative Policy Reference Documents		SUP		Y	
Merged into one general reference record series.	Reference	Safety Reference	APPA Safety Manual		SUP		Y	
	Reference	Safety Reference	Safety Data Sheets	CTs uses hard copies; a link to the SDS system to view online is available to all facilities; Hydro has hard copies and SharePoint	CY+30	CY+30	Y/N	1910.1020(d)(1)(ii)(B) 30 years; safety data sheets need not be retained for any specified period as long as some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used is retained for at least thirty (30) years
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Ad Hoc Reports	General and ad-hoc financial reports.	Includes the Greenhouse Gas Summary, member/participant requests, internal requests, one-off requested reports, etc.	CY+7		Y/N	
Merged all air permit report lines into one record series.	Reporting	Air Permit	Air Permit Reports	Includes EDR report, startup, shutdown, breakdown; Continuous Emissions Monitor System and other non Title V reports; annual and 6 month reports, Continuous Emissions Monitor System Title V; Title V reports completed by all Facilities; annual compliance testing; emissions air data; quarterly written report to district.	CY+5	CY+5	Y	per Air Permit itself; Non Title V: 40 CFR 60.7(f)
Merged into one Air Permit Report record series.	Reporting	Air Permit	Annual Compliance Testing Report		CY+5		Y	Per Air permit itself
Merged into one Air Permit Report record series.	Reporting	Air Permit	Emissions Air Data Report	Startup, shutdown, breakdown, etc.	CY+5		Y	Per Air permit itself
Merged into one Air Permit Report record series.	Reporting	Air Permit	Non Title V Report	Includes Continuous Emissions Monitor System and other non Title V reports	CY+5		Y	40 CFR 60.7(f)
Merged into one Air Permit Report record series.	Reporting	Air Permit	Other Air Permit Reports		CY+5		Y	Per Air permit itself
Merged into one Air Permit Report record series.	Reporting	Air Permit	Quarterly EDR (Electronic Data Reporting) to EPA		CY+5		Y	Per Air permit itself and EPA

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one Air Permit Report record series.	Reporting	Air Permit	Quarterly Written Report to District		CY+5		Y	Per Air permit itself
Merged into one Air Permit Report record series.	Reporting	Air Permit	Title V Report to District	Includes annual and 6-month reports, Continuous Emissions Monitor System Title V; Title V reports completed by all Facilities.	CY+5		Y	Per Air permit itself
Merged all external audit listings into one record series; updated minor category.	Reporting	Audit Report	External Audit Reports	Includes reports of examinations and audits by accountants and auditors not in the regular employ of the Agency (such as records of public accounting firms and commission accountants) such as sales tax, royalties, Federal or State audit for grants, PERS, Workers Compensation, IRS, etc.; NERC/Cyber Security (CIP) Compliance Audit; actual audit report, does not include workpapers. Includes reports of examinations and audits by accountants and auditors not in the regular employ of the Agency (such as records of public accounting firms and commission accountants) such as sales tax, royalties, Federal or State audit for grants, PERS, Workers Compensation, IRS, etc.	PERM	PERM	Y	8 CFR § 125.3(4)GC 34090; 5 years after report; Sate of California guidelines; 7 years after audit
Updated minor category.	Reporting	Audit Report	Internal Audit Report	Actual audit report; <u>does not include work papers</u>	AA+10	AA+10	Y	8 CFR § 125.3(4)GC 34090; 5 years after report; Sate of California guidelines; 7 years after audit
Merged into one External Audits record series.	Reporting	Audit Report	NERC/Cyber Security (CIP) Compliance Audit		PERM		Y	
Merged several records into one record series and updated short description.	Reporting	Financial	Monthly & Annual Budget Reports	Includes year-end budget to actual cost summary or budget status reports by Facility; monthly cost summary reports, budget status reports, budget management reports, encumbrance reports; business progress report; GOR reports, purchase order reports, and others as developed by Accounting.	FY+6	FY+6	Y/N	GC 34090; 2 years minimum; State of California Guidelines; current year plus 2
Added legal citation.	Reporting	Financial	NCPA Annual Report (package)	Could be a hardcopy or on CD	PERM	PERM	N	GC 34090; 2 years minimum; State of California Guidelines; Annual Financial Report; 2 years after closure/completion.
Updated minor category	Reporting	Financial Reports	Actuarial Report	Includes CalPERS, Employee Medical, etc.	PERM	PERM	Y	GC 34090; 2 years minimum; 29 CFR 1627 et al; Maintain 3 years; State of California guidelines; close/completion plus 5 years
Merged into one monthly and annual budget report record series.	Reporting	Financial Reports	Annual Budget Reports	Year-end Budget to Actual Cost Summary or Budget Status Reports by Facility	FY+6		Y	
Updated minor category	Reporting	Financial Reports	Debt , Credit Rating, & Arbitrage Reporting	Calculations of arbitrage liabilities for bonds; includes credit rating summaries, rating agency reports	AE+10	AE+10	Y	GC 34090; 2 years minimum; GC 43900-43903; Destruction guidelines for bonds; CCP 337.5; Statute of limitations, 10 years; FC 30210; Maintain; State of California guidelines; 10 years after closure/expiration
Merged into one monthly and annual budget report record series.	Reporting	Financial Reports	Departmental Budget Reports	Cost Summary reports, Budget Status reports, Budget management reports	FY+6		Y	GC 34090; 2 years minimum; State of California Guidelines; current year plus 2
Merged into one monthly and annual budget report record series.	Reporting	Financial Reports	Monthly GOR Reports		FY+6		Y	
Updated minor category	Reporting	Financial Reports	State Controllers Reports - Agency	State Controller's Report prepared by NCPA	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Permanent
Updated minor category; added legal citation.	Reporting	Financial Reports	Treasurer's Report	Treasurer's Report prepared by NCPA	PERM	PERM	Y	GC 34090; 2 years minimum; State of California Guidelines; Annual Financial Report; 2 years after closure/completion.
Merged into one Hazardous Waste record series.	Reporting	Hazardous Waste	Biennial Reports		CY+4		Y	40 CFR 262.40(b); 3 years from due date of report
Merged into one Hazardous Waste record series.	Reporting	Hazardous Waste	Chemical Emissions Reports		CY+4		Y	

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one Hazardous Waste record series.	Reporting	Hazardous Waste	Disposal Receipts Reporting		CY+4		Y	
Merged into one Hazardous Waste record series.	Reporting	Hazardous Waste	Exception Reports		CY+4		Y	40 CFR 262.42; 3 years from due date of report
Merged several records into one record series, updated short description and retention.	Reporting	Hazardous Waste	Hazardous Waste Inspections & Reports	Includes hazardous waste manifest itself and hazardous waste disposal receipts; inspections, biennial reports, chemical emissions reports, exception reports, and others related to hazardous waste disposal.	CY+4	PERM	Y/N	40 CFR 262.40(b); 3 years from due date of report
Merged into one Hazardous Waste record series.	Reporting	Hazardous Waste	Inspections		CY+4		Y	
Merged into general log record series.	Reporting	Hazardous Waste	Manifests		PERM		Y	
Added short description.	Reporting	Incident Reports	Incident specific - blood borne pathogen	Incident specific - blood borne pathogen report	T+30	T+30	Y	OSHA
Merged into one Injection Well record series.	Reporting	Injection Well	Calibration Report of Injection well monitoring equipment		LOS+2		Y	5 years from date of sample, measurement or report throughout operating life of well. Records must be retained after retention period unless delivered to EPA Division 9 Director or written approval from Director to discard is obtained.
Merged into one Injection Well record series.	Reporting	Injection Well	Injection waste water samples	Quarterly or monthly samples	LOS+2		Y	5 years from date of sample, measurement or report throughout operating life of well. Records must be retained after retention period unless delivered to EPA Division 9 Director or written approval from Director to discard is obtained.
Update record series name from "Calibration Report of Injection well monitoring equipment" to merge in all associated records; updated retention.	Reporting	Injection Well	Injection Well Reports & Samples	Includes quarterly or monthly samples; permit to operate issue by the State of California and/or County, monthly inspection reports, MIT (mechanical integrity testing reports), calibration of injection well monitoring equipment reports, etc. Permit to operate issue by the state and / or County, monthly inspection reports, MIT (mechanical integrity testing reports), etc.	LOS+2	LOP+2	Y	5 years from date of sample, measurement or report throughout operating life of well. Records must be retained after retention period unless delivered to EPA Division 9 Director or written approval from Director to discard is obtained.
Merged into equipment history record series. Updated short description to merge in inspection records.	Reporting	Operations	Transformer History Records	In CMMS; includes system output, maintenance records, etc.	LOS+2		N	18 CFR § 125.3(14)©; life of transformer
Merged into general Reports and Studies listing.	Reporting	Operations Reports	Annual Load/Resource Planning Forecast (10 year) & Risk Assessments	Excel output from Plexos Database	AA+6		Y	
Added short description and legal citation.	Reporting	Operations Reports	Arc Flash Engineering Evaluation	Arc Flash Engineering Evaluation	SUP	SUP+2	Y	GC 34090; 2 years minimum.
Merged into Resource, Station, & System reports and logs record series	Reporting	Operations Reports	Clearance logs; hydro-electric; steam and others; switching logs	Logs kept in and out of the Operator Plant Logging system	CY+25		Y/N	18 CFR § 125.3(13.1)(c)(1); 25 years
Merged into general reports and studies listing.	Reporting	Operations Reports	Daily Report		CY+6		Y	GC 34090; 2 years minimum; State of California Guidelines; Current year plus 2
Merged into equipment history record series. Updated short description to merge in inspection records.	Reporting	Operations Reports	Equipment history records	In CMMS	LOS+2		N	
Merged equipment and transformer history records into one record series. 2014: updated retention period based on legal counsel recommendation.	Reporting	Operations Reports	Equipment History Records	Equipment and transformer records; in CMMS; includes system output, maintenance records, inspections, etc.	LOS+2	LOS+2	N	History records: 18 CFR § 125.3(14)(c); life of transformer; Inspection records: 18 CFR § 125.3(14)(d) destroy at option; GC § 34090; 2 years
Merged into one Gauge Reading record series.	Reporting	Operations Reports	Gauge reading data	CMMS and PI data and historical gauge strip charts	LOP+2		N	18 CFR § 125.3(13.1)(f); 2 years except river flow data collected in connection with operation must be retained for life of corporation

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Updated short description and name of record series from "Gauge Reading Data".	Reporting	Operations-Reports	Gauge Reading Logs & Data	Includes CMMS and PI data and historical gauge strip charts; associated gauge reading logs.	LOP+2	LOP+2	Y/N	18 CFR § 125.3(13.1)(f); 2 years except river flow data collected in connection with operation must be retained for life of corporation
Added legal citation.	Reporting	Operations-Reports	Gauge reading reports	Historical (and current) Hard copy sheets, such as operator rounds. Some would be in SharePoint.	CY+2	CY+2	Y/N	GC 34090; 2 years minimum.
Added short description.	Reporting	Operations-Reports	Hydro River Flow Data	Data, reports, and field observations; including supporting documentations. Saved in SharePoint, Aquarius and PI .	PERM	PERM	Y/N	18 CFR § 125.3(13.1)(f); life of corporation
Added legal citation.	Reporting	Operations-Reports	Lock Out Tag Out (Clearances)	In Red Tag system; does not include stored procedure in red tag system	CY+2	CY+2	N	GC 34090; 2 years minimum.
Merged into general Reports and Studies listing.	Reporting	Operations Reports	Monthly Load/Resource Planning Forecast & Risk Assessments-	Includes the master spreadsheet that is updated monthly and various spreadsheets created from the data and sent to various groups (for example, forecast for billing).	AA+6		Y	
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Operations Reports	Power Content Labels & analysis	Content Labels are a filing with CEC done by Members and NCPA keeps a copy	CY+7		Y	
	Reporting	Operations-Reports	Production - Public utilities & licensees (non-nuclear)	Boiler-tube failure report; generating high-tension and low-tension load records; load curves, temperature logs, coal, and water logs	CY+3	CY+3	Y	18 CFR § 125.3(13.1)(a, b, d, e) 3 years;
	Reporting	Operations Reports	Records of transformer inspections, oil tests, etc.	In CMMS	LOP+2		N	18 CFR § 125.3(14)(d) destroy at option; GC § 34090; 2 years-
Merged into general reports and studies listing.	Reporting	Operations Reports	Resource Reports	Includes FA 3.03 Hydro (accounting for water shares)-	CY+6		Y	
Updated description and record series title.	Reporting	Operations-Reports	Resource, Station, & System Generation Reports & Logs	Generation and output logs with supporting data, including clearance, hydroelectric, steam, switching, and other logs; generation report is in SharePoint; logs kept in and out of the Operator Plant Logging system.	CY+25	CY+25	Y	18 CFR § 125.3(13.1)(c)(1); 25 years
new listing	Reporting	Operations-Reports	Steamfield Forecast and Operations Reports			LOP+2	Y	GC 34090; 2 years minimum; State of California Guidelines, Agency-Owned Facilities, life of plant plus 2 years.
	Reporting	OSHA	OSHA 300 Logs	Completed OSHA 300 forms posted to OSHA	CY+5	CY+5	Y	29 CFR 1904.33(a); current year plus 5
Merged into PERS Filings records series; duplicate	Reporting	Payroll Reports	Mandated Payroll Reports	PERS payroll reports	AA+8		Y	GC 34090; 2 years minimum; GC 37207; Maintain; GC 12946; 2 years after termination; 29 CFR 516.2-6; 4 years after tax return filing; 29 CFR 1627; 3 years; State of California Guidelines; current year plus 2
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Regulatory Filing	Capacity balance (for example, RA requirements)		CY+7		Y	
Added legal citation and updated record series and description.	Reporting	Regulatory Filing	EEO4 Report-EEO4 Survey	Annual EEO4 EEO4 filing (State and Local Government Report)	CY+5	CY+5	Y	42 USC sec. 2008-8(c): Public Law 88-352, Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972; reports and information be retained for a period of 3 years. (29 CFR 1602.30)
Removed; duplicate.	Reporting	Regulatory Filing	EPA Electronic Data Reporting Files (EDR)		CY+7		Y	
	Reporting	Regulatory Filing	Mandated Costs Filing	Filings with State of California for reimbursement of mandated programs (i.e., Brown Act postings)	AA+10	AA+10	Y	GC 34090; 2 year minimum; CCP 337; Statute of limitations; State of California Guidelines; 4 years after audit; Administrative Decision: 10 years after audit
	Reporting	Regulatory Filing	PERS Reports	Filings with PERS	AA+10	AA+10	Y	GC 34090; 2 years minimum; GC 12946; 2 years after termination; State of California Guidelines; Permanent
Updated short description and added legal citation.	Reporting	Regulatory Filing	Regulatory Reports filed with outside agencies (Compliance)	Reports filed by NCPA with Regulatory Agencies, including CEC, CPUC, FERC, NERC, ARB, WCI, CAISO. Does not include those tied to the Hydro FERC License.	CY+15	CY+15	Y	GC 34090; 2 years minimum.

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
	Reporting	Regulatory-Filing	Statements of Economic Interest and Lobbyist Employer - Forms 635 & 700	Includes all FPPC forms and schedules for all designated positions including designated employees, consultants, and commission of the Agency. Agency Secretary is the Filing Officer and retains the original forms and schedules.	T+7	T+7	Y	GC 81009(e); 7 years; State of California guidelines for originals; 7 years after termination; Copies for 4 years
	Reporting	Risk Management Reports	Incident reports	Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement); Includes OSHA reportable incidents and internal investigation of accidents, police reports, incident write-ups, etc.	AC+10	AC+10	Y	GC 34090; 2 year minimum; CCP 343, Statute of limitations, 4 years; State of California guidelines; after closure/completion plus 7 years
Updated short description and retention.	Reporting	Safety-Reports	Noise Exposure Measurements Reports	Various documents related to a study stemming from an environmental or notice of complaint; some are in CMMS and others in SharePoint	CY+2	SUP+2	Y/N	29 CFR 1910.95(m)(3)(i); 2 years
Added legal citation.	Reporting	Safety-Reports	Safe Work Permit Reports	Reports related to the internal permit and safety procedure	CM+6 Months	CM+6 Months	N	GC 34090; 2 years minimum.
Added legal citation and description.	Reporting	Safety-Reports	Safety points Reports	Safety points Reports	CY+2	CY+2	Y	GC 34090; 2 years minimum.
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Studies	CAISO LMP Studies, LMP3B, LMP3C, etc.		CY+7		Y	
Merged various records into one Reports & Studies record series and updated the short description.	Reporting	Studies	Internal & External Reports, Studies, & Surveys	Reports or studies prepared internally and by outside agencies not captured in another record series; includes various ad-hoc reports, power content label and analysis, capacity balancing filing (i.e., RA requirements for CAISO), resource investigations and analysis, transmission studies, surveys; special studies (e.g., CAISO and ABB LMP/CRR studies, LOAs, FA & PA schedule development, fuel contracting & analysis, market analytics, etc.); the master forecast spreadsheet updated monthly and various spreadsheets created from the data and sent to various groups (for example, forecast for billing); Excel output from Plexos Database; examples include annual 10 year load forecast, market conditions, monthly load forecast, risk assessments, etc.; FA 3.03 Hydro (accounting for water shares, supporting documentation for Steamfield Forecast & Operations Reports, etc.; daily operational reports. Reports or studies prepared internally and by outside agencies.	CY+7	CY+7	Y	GC 34090; 2 year minimum; 2 year minimum; State of California guidelines; Administrative Record; current year plus 2; 18 CFR 125.3(38); 5 years
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Studies	LMP_CRR studies by ABB	NCPA and/or Consultant documents	CY+7		Y	
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Studies	Reports of annual transmission planning studies	Includes PG&E Transmission Assessment Reports, ISO Planning Studies, etc.	CY+7		Y	
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Studies	Resource investigations & analysis		CY+7		Y	
Merged into one internal & external reports, studies, & surveys record series.	Reporting	Studies	Special Studies	Includes LOAs, CRR, FA & PA Schedule development, fuel contracting/analysis, Market analytics, etc.	CY+7		Y	
Merged into one Tax Filings record series.	Reporting	Tax Filing	Filings with taxing authorities to qualify employee benefit plans		AE+5	AF+10	Y	Citations: 18 CFR § 125.3(34)(b); 5 years after discontinuance of plan

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Merged into one tax filing record series.	Reporting	Tax Filing	Tax and information reporting and/or filings	Property tax, sales, use, 1099 misc., and other taxes; does not include payroll taxes	AA+4	AF+5	Y	18 CFR § 125.3(34)(a)-(c); 3 years after final tax liability is determined; State of California guidelines after audit plus 4
Updated retention to match audit retention. Updated short description and merged payroll, benefit filings, and other taxes into one record series.	Reporting	Tax Filing	Tax Filings Payroll Tax Returns	Filings with IRS, State of California, and other Regulatory Agencies; including W-2, property, sales, use, 1099 misc., filings with taxing authorities to qualify employee benefit plans, and other taxes. Filings with IRS, State of California, and other Regulatory Agencies	AA+8	AF+10	Y	Payroll Tax Filings: GC 34090; 2 year minimum; 29 USC 436; 5 years; 26 CFR 31.6001; 4 years after tax return is filed; 29 CFR 516.2-6; Maintain at least 3 years; State of California Guidelines; 4 years after audit; Administrative Decision: 8 years after audit; Other Tax Filings: 18 CFR § 125.3(34)(a)-(c); 3 years after final tax liability is determined; State of California guidelines after audit plus 4; Benefit Filings: 18 CFR § 125.3(34)(b); 5 years after discontinuance of plan
Merged into one tax filing record series.	Reporting	Tax Filing	W-2/1099 Reporting		AA+8		Y	GC 34090; 2 year minimum; 29 USC 436; 5 years; 26 CFR 31.6001; 4 years after tax return is filed; 29 CFR 516.2-6; Maintain at least 3 years; State of California Guidelines; 4 years after audit; Administrative Decision: 8 years after audit
Merged into one waste water discharge reports and data record series; updated description.	Reporting	Waste Water Discharge	Annual Waste Water Discharge Sampling		CY+3		Y	Per Specific Plant Permit
Merged into one waste water discharge reports and data record series; updated description.	Reporting	Waste Water Discharge	Monthly Discharge Report		CY+3		Y	Per Specific Plant Permit
Merged into one waste water discharge reports and data record series; updated description.	Reporting	Waste Water Discharge	Quarterly Waste Water Discharge Sampling		CY+3		Y	Per Specific Plant Permit
Merged into one waste water discharge reports and data record series; updated description.	Reporting	Waste Water Discharge	Sewage and Storm water use and disposal		CY+3		Y	GC 34090; 2 year minimum; State of California guidelines; Reports and studies may be destroyed after completion plus 2.
Merged into one waste water discharge reports and data record series; updated description.	Reporting	Waste Water Discharge	Storm Water Sampling, measurements, monitoring		CY+3		Y	40 CFR 122.41 (j)(2); sewage sludge use and disposal, 5 years, all others 3 years; 40 CFR 503; 5 years
Merged several records for waste water into one record series; updated retention period.	Reporting	Waste Water Discharge	Waste Water Discharge Reports & Data	Includes storm water sampling, measurements, monitoring; sewage and storm water use and disposal; quarterly waste water discharge sampling; monthly discharge report; annual waste water discharge sampling.	CY+3	CY+5	Y	General Reports: per specific Plant Permit; Storm Water Sampling: 40 CFR 122.41 (j)(2); sewage sludge use and disposal, 5 years, all others 3 years; 40 CFR 503; 5 years; Sewage & Storm Water Disposal: GC 34090; 2 year minimum; State of California guidelines; Reports and studies may be destroyed after completion plus 2.
Added legal citation and updated short description.	Software Code		In house software source code (Production)	Production software code written by NCPA staff. In TFS server	LOS+2	LOS+2	N	GC 34090; 2 years minimum.
Added legal citation.	Strategic Plan		Strategic Plans	Agency and department strategic plans	SUP+5	SUP+5	Y	GC 34090; 2 years minimum; State of California Guidelines; Annual or strategic plans; superseded plus 2 years.
Removed minor category and updated short description.	Training	Evidence	Documentation on Technical and Safety Training Materials & Manuals	Includes safety training presentations, attendance lists, fossil books, system descriptions, quizzes; follows Local requirements, OSHA, and/or permits; also includes plant technical training.	CY+30	CY+30	Y	OSHA
Merged with vendor agreement record series.	Training		Contractor Safety Orientation Form	Contractor safety orientation checklists, attendance sheet, acknowledgement	[follow retention with the associated Agreement]		Y	

Change Notes	Major Category	Minor Category	Record Series	Description	Previous Retention	Proposed Retention	on Share-Point	Legal Citation
Added legal citation.	Training		Training Materials & Manuals	Includes training manuals, user guides, video/webinar tutorials, lecture notes, class handouts, presentations; not related to safety training.	SUP+2	SUP+2	Y	GC 34090; 2 years minimum.
Merged Deal Confirms and Investment Confirms record series into one record series; updated short description; updated major category and record series; added legal citation; updated retention period.	Transaction Confirmations		Transaction Confirmations	Transaction confirmations related to commodities such as energy, gas, financial bookouts, etc.; investment confirmations, including trade tickets/confirmations.	AE+6	AE+5	Y/N	GC 34090; 2 years minimum.



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Commission Staff Report

November 14, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Review and Approve Investment Policy Guidelines and Delegate Investment Duties to the Treasurer-Controller

AGENDA CATEGORY: Consent

FROM: Sondra Ainsworth  **METHOD OF SELECTION:**

Treasurer-Controller N/A

Division: Administrative Services

Department: Accounting & Finance

IMPACTED MEMBERS:

All Members <input checked="" type="checkbox"/>	City of Lodi <input type="checkbox"/>	City of Ukiah <input type="checkbox"/>
Alameda Municipal Power <input type="checkbox"/>	City of Lompoc <input type="checkbox"/>	Plumas-Sierra REC <input type="checkbox"/>
Bay Area Rapid Transit <input type="checkbox"/>	City of Palo Alto <input type="checkbox"/>	Port of Oakland <input type="checkbox"/>
City of Biggs <input type="checkbox"/>	City of Redding <input type="checkbox"/>	Truckee Donner PUD <input type="checkbox"/>
City of Gridley <input type="checkbox"/>	City of Roseville <input type="checkbox"/>	Other <input type="checkbox"/>
City of Healdsburg <input type="checkbox"/>	City of Santa Clara <input type="checkbox"/>	<i>If other, please specify:</i>

RECOMMENDATION:

It is recommended that the NCPA Commission approve Resolution 16-86. The resolution includes changes to NCPA investment policy No. 200-100 as follows: 1) a resolution reference; 2) the maximum investment limit permitted by the California Local Agency Investment Fund (LAIF); and 3) the addition of an authorized financial institution. The resolution also confirms delegation to the Treasurer-Controller the authority to invest, or to reinvest funds of the Agency, or to sell or exchange securities so purchased. The Treasurer-Controller assumes full responsibility for investment transactions until the authority is revoked or expires, and shall make a report each month of those transactions to the Commission.

BACKGROUND:

The Agency sets forth its objectives, risk preference, authorized investments and other investment related priorities in its investment policy. The investment policy serves as a guide for setting and achieving investment goals, defines rules, and reduces exposure to liability and loss. While it has long been deemed good investment practice to have a written policy, it is considered a standard of best practice for government agencies to have a written policy and review it annually.

In 2013, staff performed a comprehensive update to all administrative policies and as part of that review, a new investment policy No. 200-100 was approved in December, 2013. Staff has conducted the required annual review of the investment policy and recommends changes to a resolution reference, the maximum investment limit permitted by the California Local Agency Investment Fund (LAIF), and the addition of an authorized financial institution.

The Treasurer-Controller under authority granted by Commission Resolution No. 83-103, dated December 22, 1983, may invest monies of this Agency as provided in Section 53600 et. seq. of the Government Code. Government code section 53607 provides that:

"The authority of the legislative body to invest or reinvest funds of a local agency, or to sell or exchange securities so purchased may be delegated for a period of one year by the legislative body to the treasurer of the local agency, who shall thereafter assume full responsibility for those transactions until the authority is revoked or expires, and shall make a report of those transactions to the legislative body. Subject to review, the legislative body may renew the delegation of authority pursuant to this section each year."

Hence, a formal delegation of investment duties to the Treasurer-Controller is required annually.

FISCAL IMPACT:

There is no direct dollar impact to this proposed policy. The resolution approves the Agency policy surrounding investments and delegates authority to the Treasurer-Controller for the investment activities of the Agency.

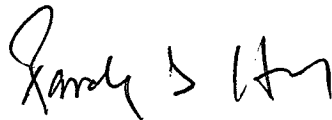
ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

COMMITTEE REVIEW:

The recommendation was reviewed by the Finance Committee on November 9, 2016 and was recommended for Commission approval.

Respectfully submitted,



RANDY S. HOWARD
General Manager

Concurs with,



MADELINE DEATON
Chair, Finance Committee

Attachments:

- Resolution 16-86
- Administrative Policy No. 200-100, Investment Policy and Guidelines

RESOLUTION 16-86

RESOLUTION OF THE NORTHERN CALIFORNIA POWER AGENCY DELEGATE INVESTMENT DUTIES TO THE TREASURER-CONTROLLER AND APPROVE REVISIONS TO THE NCPA INVESTMENT POLICY AND GUIDELINES (200-100)

(reference Staff Report #223:16)

WHEREAS, Chapter 4 of the California Government Code, section 53600 et. seq., deals with the financial affairs of local government agencies, including cities; and

WHEREAS, the Northern California Power Agency Joint Powers Agreement specifies the laws regulating general law cities as being the law that applies to the Agency; and

WHEREAS, Government Code section 53607 provides that "the authority of the legislative body to invest or reinvest funds of a local agency, or to sell or exchange securities so purchased may be delegated for a period of one year by the legislative body to the treasurer of the local agency, who shall thereafter assume full responsibility for those transactions until the authority is revoked or expires, and shall make a report of those transactions to the legislative body. Subject to review, the legislative body may renew the delegation of authority pursuant to this section each year"; and

WHEREAS, the Commission desires to confirm the authority of the Treasurer-Controller to invest or reinvest funds of the Agency, or to sell or exchange securities so purchased in compliance with Government Code section 53600 et. seq.; and

WHEREAS, staff has performed a review of policies related to the investment of NCPA funds and recommends revisions to a resolution reference, the maximum investment limit permitted by the California Local Agency Investment Fund (LAIF), and the addition of an authorized financial institution; and

WHEREAS, the Finance Committee has conducted an annual review of the Investment Policy and Guidelines (200-100) at their meeting on November 9, 2016 and recommended the revisions to a resolution reference, the maximum investment limit permitted by LAIF, and the addition of an authorized financial institution; and

WHEREAS, this activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary; and

NOW, THEREFORE BE IT RESOLVED, that the Commission of the Northern California Power Agency:

1. Adopts the revisions to a resolution reference, the maximum investment limit permitted by LAIF, and the addition of an authorized financial institution; and
2. Confirms that the duly appointed Treasurer-Controller of the Northern California Power Agency is delegated the authority to invest, or to reinvest funds of the Agency, or to sell or exchange securities so purchased. The Treasurer-Controller assumes full responsibility for

investment transactions until such authority is revoked or expires, and shall make a report each month of those transactions to the Commission.

PASSED, ADOPTED and APPROVED this ____ day of _____, 2016 by the following vote on roll call:

	<u>Vote</u>	<u>Abstained</u>	<u>Absent</u>
Alameda	_____	_____	_____
BART	_____	_____	_____
Biggs	_____	_____	_____
Gridley	_____	_____	_____
Healdsburg	_____	_____	_____
Lodi	_____	_____	_____
Lompoc	_____	_____	_____
Palo Alto	_____	_____	_____
Port of Oakland	_____	_____	_____
Redding	_____	_____	_____
Roseville	_____	_____	_____
Santa Clara	_____	_____	_____
Truckee Donner	_____	_____	_____
Ukiah	_____	_____	_____
Plumas-Sierra	_____	_____	_____

BOB LINGL
CHAIR

ATTEST:

CARY A. PADGETT
ASSISTANT SECRETARY



	POLICIES & PROCEDURES MANUAL	No. 200-100	Effective: 9-1993 Updated 11-2016
		Owner: Acctg. & Finance	
SUBJECT:	Investment Policy and Guidelines	APPROVED: RANDY S. HOWARD, GENERAL MANAGER	

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POLICY

It is the policy of the Agency to secure, protect and manage the funds of Agency and invest surplus funds in a manner which will:

- comply with applicable California state laws and bond indenture provisions;
- ensure safety of the principal;
- provide an appropriate level of liquidity so that money is available when reasonably expected to be required for payment of obligations; and,
- attain a market yield with no undue risks taken to maximize income at the expense of safety, liquidity, or investment quality.

PURPOSE AND SCOPE

The purpose of this policy is to establish general guidelines for the management of cash and investments of the Agency. The policy pertains to all financial assets of the Agency and any other funds under the control of the Treasurer-Controller and concerns the deposit, investment, maintenance, and safekeeping of all such assets.

Proceeds of debt issuance and other indentured funds shall be invested in accordance with the Agency's general investment philosophy as set forth in this policy; however, such monies are to be invested in accordance with permitted investment provisions of their specific bond indentures. See attachment 4.

This Policy does not apply to any pension moneys or deferred compensation funds.


REFERENCE

- California Government Code Section 53600 et seq.
- Joint Powers Agreement, Article II, Section 4.5 (as amended)
- NCPA Resolution No. ~~83-50~~12-72, Participation in Authorized Officers for Transactions with the State of California Local Agency Investment Fund (LAIF)
- NCPA Resolution No. 83-103, Establishing the position of Treasurer-Controller

RESPONSIBILITY

Treasurer-Controller is responsible for establishing proper safeguards, controls, and procedures to maintain Agency funds in a lawful, rational, and prudent manner. The Treasurer-Controller is responsible for the development of the overall investment policy as well as for the development and ongoing administration of the various portfolio strategies, tactics, performance monitoring and monthly reporting to the Commission.

The Assistant General Manager/Chief Financial Officer (CFO) is responsible for overseeing the development and implementation of investment policy review and approval of the portfolio investment strategies, and policy compliance.

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PRUDENCE, PERSONAL RESPONSIBILITY, AND ETHICS

Prudence: Management of Agency's investments is governed by the Prudent Investor Standard as set forth in California Government Code Section 53600.3:

"...all governing bodies of local agencies or persons authorized to make investment decisions on behalf of those local agencies investing public funds pursuant to this chapter are trustees and therefore fiduciaries subject to the prudent investor standard. When investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee shall act with care, skill, prudence, and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the agency. Within the limitations of this section and considering individual investments as part of an overall strategy, investments may be acquired as authorized by law."


Personal Responsibility: The Treasurer-Controller and other authorized persons responsible for managing Agency funds, acting in accordance with the investment policy and exercising due diligence, will be relieved of personal responsibility for an individual security's credit risk or market price changes, provided appropriate action is taken to control adverse developments.

Ethics: The Treasurer-Controller and other authorized persons involved in the investment process (1) will refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions and (2) shall not accept honoraria, gifts or gratuities from any advisor, broker, dealer, banker, or other person with whom the Agency conducts business, which has an aggregate value in excess of \$50.00 in any 12 month period.

GENERAL OBJECTIVES

The overriding objectives of the investment program are to preserve principal, provide sufficient liquidity, and manage investment risks. The specific objectives for the program are ranked in order of importance:

1. **Safety:** Safety of principal is the foremost objective of the investment program. Investments will be undertaken in a manner that seeks to ensure the preservation of capital.
2. **Liquidity:** The investment portfolio will remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated.
3. **Return on Investments:** The investment portfolio will be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles taking into account the investment risk constraints for safety and liquidity needs.

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PORTFOLIO RISK MANAGEMENT

Factors that can lead to an unexpected financial loss can be broadly grouped into the following categories; credit risk, market risk, and liquidity risk.

Mitigating credit risk in the portfolio: Credit risk is the risk that a security or a portfolio will lose some or all of its value due to a real or perceived change in the ability of the issuer to repay its debt. Agency will mitigate credit risk by adopting the following strategies:


1. Diversify the investment portfolio to mitigate losses due to failure of individual issues or issuers;
2. Limit the amount of the total portfolio that may be invested in securities of a particular type and any single issuer. Authorized investment limitations under this policy are shown in Attachment 3; and,
3. If securities owned by the Agency are downgraded by at least one Nationally Recognized Statistical Rating Organization (NRSRO) to a level below the quality required by this Investment Policy, it will be the Agency's policy to review the credit situation and make a determination as to whether to sell or retain such securities in the portfolio.
 - a. The Treasurer-Controller will use discretion in determining whether to sell or hold the security based on its maturity, the economic outlook for the issuer, and other relevant factors.
 - b. If a decision is made to retain a downgraded security in the portfolio, its presence in the portfolio will be monitored and reported monthly to the governing board.

Mitigating market risk in the portfolio: Market risk, also referred to as interest rate risk, is the risk that the portfolio value will fluctuate due to changes in the general level of interest rates. The Agency recognizes that, over time, longer-term portfolios have the potential to achieve higher returns. On the other hand, longer-term portfolios have higher volatility when marked to market. The Agency will mitigate interest rate risk by providing adequate liquidity for short-term cash needs, and by making longer-term investments only with funds that are not needed for current cash flow purposes. The Agency, therefore, shall adopt the following strategies to control and mitigate its exposure to market risk:

1. The Agency will maintain working capital reserves for budgeted operating expenditures in short term investments to provide sufficient liquidity for expected disbursements;
2. The maximum percent of callable securities (does not include "make whole call" securities as defined in the Glossary) in the portfolio will be 20%;
3. The maximum time from investment to maturity of individual securities in the portfolio will be five years, except as otherwise stated in this policy.

Mitigating Liquidity Risk in the portfolio: Liquidity risk is the inability to convert a security to cash on a given date prior to maturity. It refers to the inability to sell a security for its cost and therefore it may have to be sold at a loss. The Agency shall employ the following strategies to control and mitigate its exposure to liquidity risk:

1. To the extent possible, match investment maturities with anticipated cash demands.
2. Since all possible cash demands cannot be anticipated, maintain portfolios largely of securities with active secondary or resale markets.
3. The Agency will maintain working capital reserves for budgeted operating expenditures in short term investments to provide sufficient liquidity for expected disbursements.

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AUTHORIZED INVESTMENT SECURITIES

All investments will be made in accordance with Sections 53600 *et seq.* of the Government Code of the State of California and as described within this Investment Policy. Authorized investments under this policy are shown in Attachment 3.

AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS

The Treasurer-Controller shall establish a list of approved brokers, dealers, banks and direct issuers of commercial paper to provide investment services to the Agency. The Agency shall conduct security transactions only with approved institutions and firms.

To be eligible for approval all broker/dealer firms must qualify under SEC Rule 15C3-1 (Uniform Net Capital Rule), must be registered with the Financial Industry Regulatory Authority (FINRA) and must be licensed to do business in the State of California and institutions shall have one or more of the following attributes:

- be recognized as a primary government dealer as designated by the Federal Reserve Bank;
- be a regional broker/dealer headquartered in the State of California; or
- be a national or state chartered bank which is a member of the FDIC; or
- be a direct issuer of securities eligible for purchase by the Agency.


Deposits will be made only in qualified public depositories within the state of California as established by State law. Deposits will be insured by the Federal Deposit Insurance Corporation, or, to the extent the amount exceeds the insured maximum, will be collateralized in accordance with State law.

A pool of qualified financial institutions and dealers will be maintained by the Treasurer-Controller using criteria based upon capitalization, credit worthiness, experience, reference checks and services offered. Selection of financial institutions and broker/dealers authorized to engage in transactions with the Agency will be at the sole discretion of the Agency.

INTERNAL CONTROL AND ACCOUNTING

Authority to manage Agency's investment program is derived from the California Government Code Sections 53600 *et seq.* Management responsibility for the investment program is delegated to the Treasurer-Controller by Agency Commission Resolution No. 83-103. Pursuant to Government Code section 53607 such delegation may be granted for a period of one year and must be renewed annually. No person may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the Treasurer-Controller or his/her designee.

The Treasurer-Controller shall establish and maintain a system of internal controls, designed to: ensure adherence to this investment policy, the prevention and detection of errors and fraud, the accuracy and completeness of accounting records and the timely preparation of reliable financial information.

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The Agency maintains its records on the basis of Plant/Program account groups, each of which may include one or more investment funds. All investment transactions shall be recorded in the various funds of the Agency in accordance with Generally Accepted Accounting Principles as promulgated by the Government Accounting Standards Board.

SAFEKEEPING AND COLLATERALIZATION

All security transactions, including collateral for repurchase agreements, entered into by the Agency shall be conducted on a delivery-versus-payment (DVP) basis. Securities will be held in the name of the Agency by a third party custodian designated by the Treasurer-Controller and evidenced by trade confirmations and safekeeping holdings report.

Collateralization will be required on two types of investments: certificates of deposit and repurchase agreements. In order to anticipate market changes and provide a level of security for all funds, a minimum collateralization level measured at specified times is required.

REPORTING REQUIREMENTS

Monthly Reports: A monthly report will be provided to the Agency Commission by the Treasurer-Controller. The report shall state compliance of the investment portfolio to the investment policy and a statement that the Agency has adequate cash flow and investment maturities to meet next month's cash requirements and such other information as may be required by State law.

The report will disclose, at a minimum, the following information:


1. An asset listing showing par value, cost adjusted for amortization of premiums and accretion of discounts and market value of each security, type of investment, issuer, and interest rate;
2. The Treasurer-Controller's report shall also provide:
 - a. an analysis of investment maturities;
 - b. a summary of cash and investment activity; and,
 - c. an analysis of interest rates/yields with a comparison to benchmark interest rates.

Annually: The Treasurer shall annually submit to the Commission a statement of investment policy and any recommended changes to the policy.

INVESTMENT OPERATIONS GUIDELINES

The following general operating guidelines shall be used in performing all investment functions:

- All investments will be made in the name of the Northern California Power Agency.
- All investments will be made in compliance with the NCPA Investment Fund Objectives (Attachment 2) and the NCPA Table of Authorized Investments (Attachment 3) unless otherwise required by bond indenture.
- Investments or collateral for all outside trustee accounts must be delivered to the trustee.
- Investments or collateral for all accounts held by NCPA will be delivered to and held in the safekeeping of an authorized financial institution.

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- All investment transactions will be recorded in the accounts of the Agency in accordance with Generally Accepted Accounting Principles as promulgated by the Government Accounting Standards Board.
- All accrued interest on purchased securities will be charged to the appropriate interest income account.
- Funds deposited in banks or savings and loan associations must be held under a written contract between the Agency and the institution, which requires collateralization as prescribed by law and/or this investment policy.
- Whenever practical Agency cash is to be consolidated and invested on a pooled concept basis. Interest earnings are allocated monthly according to monthly weighted average balance for each fund.
- Unless otherwise restricted, all holdings will be of sufficient size and held in issues which are actively traded to facilitate transactions at a minimum cost and accurate market valuation.
- Passive management portfolio strategies are preferred for all operating projects or other Agency programs, unless otherwise prohibited or restricted.
- When practicable, competitive bidding will be utilized for all investment and reinvestment activities not involving escrowed or other funds covered by a separate contract or agreement.

Prohibited investment vehicles and practices:

1. Notwithstanding that any such investment is permitted under State Law, any investment not specifically described herein is prohibited, including, but not limited to derivatives, futures and options.
2. In accordance with California Government Code Section 53601.6, investment in inverse floaters, range notes, or mortgage derived interest-only strips is prohibited.
3. Purchasing securities with a final maturity longer than five years from the time of investment, unless approved by the Commission.
4. Investment in any security that could result in a zero interest accrual if held to maturity is prohibited.
5. Trading securities for the sole purpose of speculating, whether on the future direction of interest rates or otherwise, is prohibited.
6. Purchasing or selling securities on margin is prohibited.
7. The use of reverse repurchase agreements, securities lending or any other form of borrowing or leverage is prohibited.
8. The purchase of foreign currency denominated securities is prohibited.

ATTACHMENTS

Attachment 1 - Glossary


Attachment 2 - Investment Fund Objectives

Attachment 3 - Table of Authorized Investments

Attachment 4 - Table of Bond Indenture Permitted Investments

Attachment 5 - Table of Authorized Financial Institutions and Dealers

Attachment 6 – Credit Rating Comparison

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VERSION HISTORY

No.	Explanation	Date	Author
5	Revised a resolution reference Updated maximum investment permitted by LAIF Added Authorized Financial Institution	11/16	SA
4	Annual review, no changes	11/15	SA
3	Annual review, no changes	11/14	KWW
2	Combined prior policies 200-97 and 200-98; updated to include more information on allowable investments, delegations, authorized financial institutions, and operations practices, Includes expanded attachments and glossary.	11/13	KWW
1	Updated	9/95	DBL
0	Original Policy	9/93	DBL

GLOSSARY OF INVESTMENT TERMS

Agencies - Shorthand market terminology for any obligation issued by a *government sponsored enterprise (GSE)*, or a *federally related institution*. Most obligations of GSEs are **not guaranteed** by the full faith and credit of the US government. Examples are:

- FFCB. The Federal Farm Credit Bank System provides credit and liquidity in the agricultural industry. FFCB issues discount notes and bonds.
- FHLB. The Federal Home Loan Bank provides credit and liquidity in the housing market. FHLB issues discount notes and bonds.
- FHLMC. Like FHLB, the Federal Home Loan Mortgage Corporation provides credit and liquidity in the housing market. FHLMC, also called "Freddie Mac" issues discount notes, bonds and mortgage pass-through securities.
- FNMA. Like FHLB and Freddie Mac, the Federal National Mortgage Association was established to provide credit and liquidity in the housing market. FNMA, also known as "Fannie Mae," issues discount notes, bonds and mortgage pass-through securities.

Certain GSE obligations are **guaranteed** by the full faith and credit of the US government. An example is:

- GNMA. The Government National Mortgage Association, known as "Ginnie Mae," issues mortgage pass-through securities.

Callable - A callable security gives the issuer the option to call it from the investor prior to its maturity. The main cause of a call is a decline in interest rates. If interest rates decline since an issuer issues securities, it will likely call its current securities and reissue them at a lower rate of interest. Callable securities have reinvestment risk as the investor may receive its principal back when interest rates are lower than when the investment was initially made.

Certificate of Deposit (CD) - A time deposit with a specific maturity evidenced by a certificate. Large denomination CDs may be marketable.

Collateral - Securities or cash pledged by a borrower to secure repayment of a loan or repurchase agreement. Also, securities pledged by a financial institution to secure deposits of public monies.

Commercial paper - Short-term unsecured debt of corporations.

Coupon - The rate of return at which interest is paid on a bond.

Current yield - The annual income from an investment divided by the current market value. Since the mathematical calculation relies on the current market value rather than the investor's cost, current yield is unrelated to the actual return the investor will earn if the security is held to maturity.

Dealer - A dealer acts as a principal in security transactions, selling securities from and buying securities for his own position

Delivery vs. payment (DVP) - A securities industry procedure whereby payment for a security must be made at the time the security is delivered to the purchaser's agent.

Demand Deposit - Sometimes referred to as a sight or on call deposit, can be withdrawn at any time (on demand) without notice or penalty; e.g., deposits into checking or savings accounts.

Derivative - Any security that has principal and/or interest payments which are subject to uncertainty (but not for reasons of default or credit risk) as to timing and/or amount, or any security which represents a component of another security which has been separated from other components ("Stripped" coupons and principal). A derivative is also defined as a financial

instrument the value of which is totally or partially derived from the value of another instrument, interest rate or index.

Discount - The difference between the par value of a bond and the cost of the bond, when the cost is below par. Some short-term securities, such as T-bills and banker's acceptances, are known as **discount securities**. They sell at a discount from par, and return the par value to the investor at maturity without additional interest. Other securities, which have fixed coupons, trade at a discount when the coupon rate is lower than the current market rate for securities of that maturity and/or quality.

Diversification - Dividing investment funds among a variety of investments to avoid excessive exposure to any one source of risk.

Duration - The weighted average time to maturity of a bond where the weights are the present values of the future cash flows. Duration measures the price sensitivity of a bond to changes in interest rates. (See modified duration).

Federal funds rate - The rate of interest charged by banks for short-term loans to other banks. The Federal Reserve Bank through open-market operations establishes it.

Financial Industry Regulatory Authority (FINRA) - A self-regulatory organization for brokerage firms doing business in the United States. FINRA operates under the supervision of the SEC. The organization's objectives are to protect investors and ensure market integrity. Liquidity - refers to the requirement that some portion of cash assets be invested in securities readily convertible into cash without loss of capital.

Make whole call - A type of call provision on a bond allowing the issuer to pay off remaining debt early. The issuer has to make a lump sum payment derived from a formula based on the net present value (NPV) of future coupon payments that will not be paid because of the call. Investors will be compensated, or "made whole."

Market value - The price at which a security can be traded.

Mark to market - The process of posting current market values for securities in a portfolio.

Maturity - The final date upon which the principal of a security becomes due and payable.

Money market - The market in which short term debt instruments (Tbills, discount notes, commercial paper and banker's acceptances) are issued and traded.

Nationally Recognized Statistical Rating Organization (NSRSO) - Is a credit rating agency (CRA) that issues credit ratings that the U.S. Securities and Exchange Commission (SEC) permits other financial firms to use for certain regulatory purposes. The largest NSROs are Moody's, Standard and Poor's and Fitch.

Portfolio Re-Optimization - Refers to the process wherein investment broker(s) re-evaluate a given dedicated investment portfolio using sophisticated computer programs based on the updated program or project estimated cash flows. This is usually done to increase or protect the portfolio's overall rate of return as a result of changing liability amounts or dates, changing market or credit risk condition, or a change in investment policy restrictions, etc.

Portfolio Strategy - Determining investment practices to best achieve the investors' primary goals. Strategies may be either passive or active. Passive strategies include: buy and hold, which includes the laddering of maturities; and bullet structure, which is designed to invest to a particular date or portfolio horizon; and benchmarking, which is done to mirror a particular segment of the market. Active strategies employ additional risk to take advantage of conditions in the fixed income markets that change as economic and financial conditions change.

Premium - The difference between the par value of a bond and the cost of the bond, when the cost is above par.

Primary Dealer - a firm that buys government securities directly from a government, with the intention of reselling them to others, thus acting as a market maker of government securities. The government may regulate the behavior and numbers of its primary dealers and impose conditions of entry.

Repurchase agreement (RP, Repo) - Short term purchases of securities with a simultaneous agreement to sell the securities back at a higher price. From the seller's point of view, the same transaction is a **reverse repurchase agreement**.

Risk - refers to the degree of probability of incurring a monetary loss as a result of investing in a particular security. Three general kinds of investment risks are:

- *Credit Risk* - risk that an issuer of a security cannot meet its obligations.
- *Market Risk* - risk from fluctuations in the market prices for individual securities over a period of time.
- *Liquidity Risk* - risk of an inability to sell a security at its fair market value.

Safety - refers to the varying degrees and types of risks associated with different types of investment securities and individual issues. Safety is a matter of degree, not an absolute.

Safekeeping - A service to bank customers whereby securities are held by the bank (as custodian) in the customer's name.

Total rate of return - A measure of a portfolio's performance over time. It is the internal rate of return, which equates the beginning value of the portfolio with the ending value; it includes interest earnings, realized and unrealized gains, and losses in the portfolio.

U.S. Treasury obligations - Securities issued by the U.S. Treasury and backed by the full faith and credit of the United States. Treasuries are considered to have no credit risk, and are the benchmark for interest rates on all other securities in the US and overseas. The Treasury issues both discounted securities and fixed coupon notes and bonds.

Treasury bills - All securities issued with initial maturities of one year or less are issued as discounted instruments, and are called Treasury bills. The Treasury currently issues three- and six-month T-bills at regular weekly auctions. It also issues "cash management" bills as needed to smooth out cash flows.

Treasury notes - All securities issued with initial maturities of two to ten years are called Treasury notes, and pay interest semi-annually.

Treasury bonds - All securities issued with initial maturities greater than ten years are called Treasury bonds. Like Treasury notes, they pay interest semi-annually.

Uniform Net Capital Rule - An SEC rule that requires broker-dealers to maintain sufficient liquidity to protect securities customers, counterparties, and creditors. Broker-dealers must maintain net capital (net worth adjusted by certain deductions for illiquid assets and reserves against possible market losses on securities positions) such that the liabilities incurred by the broker-dealer (aggregate indebtedness) do not exceed certain specified levels.

Volatility - The rate at which security prices change with changes in general economic conditions or the general level of interest rates.

Yield to Maturity - The annualized internal rate of return on an investment which equates the expected cash flows from the investment to its cost.

INVESTMENT FUND OBJECTIVES

Fund Type	Primary Investment Objective	Maximum Term of Investment ¹
Bond Financed Project Funds: ²		
Construction Fund (Geo)	C	1 year
Construction Revolving Acct (LEC)	A	90 days
Debt Service Fund	C	1 year
Debt Service Reserve	B, D	15 years
Reserve Fund	B, C, D	5 years
Rebate Fund	C	5 years
O&M Reserve (LEC)	B, D	5 years
Revenue Fund	A, B, C	1 year
Additional Operating Funds:		
Operating Account	A, C	1 year
General Operating Reserve	A, B, C	5 years
SCPA Balancing Account	A, B	5 years
Capital Development Account (Hydro)	A, C	5 years
Decommissioning Account (Geo)	C, D	5 years

Notes:

- A. Provide liquidity
- B. Provide reserves against uncertain liabilities
- C. Match prescribed cash flow
- D. Maximize long-term return on investment

- ¹ Investments shall mature not later than such times as shall be necessary to provide monies when reasonably expected to be needed for payments to be made from such fund.
- ² Proceeds of debt issuance and other funds held under a bond indenture shall be invested in accordance with the Agency's general investment philosophy as set forth in this policy; however, such moneys are to be invested in accordance with permitted investment provisions of their specific bond indentures.

TABLE OF AUTHORIZED INVESTMENTS

Type of Investment	Maximum % of Portfolio	Rating Requirement	Maximum Maturity	Other Restrictions
US Treasury Securities	100%	n/a	5 years	
Federal Agencies	100%	n/a	5 years	No more than 25% of portfolio from a single issuer. Callable securities limited to 20% of portfolio.
Local Agency Investment Fund (LAIF)	Up to maximum permitted by LAIF, currently \$650,000,000	n/a	n/a	n/a
Time Deposits (Non-negotiable CDs)	20%	By 2 NRSROs; Long-term of A or short-term of A-1 or better	5 years	No more than 5% per issuer
Negotiable CDs	30%	By 2 NRSROs; Long-term of A or short-term of A-1 or better	5 years	No more than 5% per issuer
Bankers Acceptances	40%	By 2 NRSROs; Long-term of A or short-term of A-1 or better	180 days	No more than 5% per issuer
Commercial Paper	40%	By 2 NRSROs; Long-term of A or short-term of A-1 or better	270 days	Assets >\$500MM No more than 5% per issuer
Money Market Funds	20%	By 2 NRSROs; Highest ranking or highest letter/numerical rating		Must be registered with SEC; Assets > \$500MM; No more than 5% per fund
Repurchase Agreements	100%		1 year	Collateral of at least 102% of market value required
Municipal Bonds	10%	By 2 NRSROs; Highest ranking or highest letter/numerical rating		Fully secured as to principal and interest by an escrow consisting of cash or direct obligations of the US government

TABLE OF BOND INDENTURE PERMITTED INVESTMENTS

Project Securities ¹	Geo/Hydro ²			Cap Facilities/LEC ³		
	Debt Service Acct.	Debt Service Reserve Acct.	All Other	Debt Service Acct.	Debt Service Reserve Acct.	All Other
Direct obligations of the United States of America.	x	x	x	x	x	x
Bonds issued or guaranteed by federal Agencies, which are backed by the full faith and credit of the United States of America.	x	x	x	x	x	x
Bonds issued or guaranteed by federal Agencies, which are not backed by the full faith and credit of the United States of America.	x	x	x	x	x	x
New Housing Authority bonds or notes of public agencies or municipalities secured by a pledge of annual contributions to be paid by the United States or agency thereof.	x	x	x			x
Direct and general obligations of the State of California or political subdivision rated A or higher.	x		x			
General obligation of any state rated A2 or higher.						x
Time deposits, FDIC insured or collateralized.			x			x
Repurchase agreements, insured or collateralized.			x			x
Money Market Funds rated AAAM G or AAAM or better.						x
Commercial Paper rated P-1 or A1+.						x
UD dollar denominated deposit accounts, federal funds or bankers' acceptances with ratings of A-1, A-1+ or P-1.						x
Prefunded municipal obligations rated highest rating category by S&P or Moody's, based on an irrevocable escrow.						x
Investment Agreements & GICS, supported by opinion of counsel.				x	x	x
California LAIF.						x
Shares in a California common law trust which invests exclusively in investment permitted under CA Code section 56635.						x
Any other form of investment.						x

¹ Investment types are detailed in each project bond Indenture of Trust. Generally, investment securities include those listed above, if and to the extent the same are legal for investment of Agency funds. The securities, as listed above, are summarized and may have additional limitations as to specific issuers, ratings, term of investment, or other requirements.

² The Geothermal Project bond indenture dated November 1, 1983 and the Hydroelectric Project bond indenture dated March 1, 1985 have the same definition for investment securities.

³ The Capital Facilities Project bond indenture dated January 1, 2010 and the Lodi Energy Center Issues One and Two, dated June 1, 2010 have the same definition for investment securities.

AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS

Authorized Financial Institutions/Dealers	Banking	Trust	Investment /Brokerage	Custodian
U.S. Bank N.A.	X	X		
Union Bank of California				X
UBS Financial Services Inc.			X	
Local Agency Investment Fund (LAIF)	X			
Citibank N.A. ^{1,2}				
Well Fargo & Company ¹				
Bank of America N.A. ^{1, 3}				
<u>Bank of America Merrill Lynch^{1, 4}</u>				

The Treasurer-Controller may add or delete institutions from this list from time to time. However, generally only financial institutions among the 100 largest in the world (based on assets) or among the 50 largest in the nation, and only nationally recognized primary broker/dealers of government securities or regional broker/dealers headquartered in the State of California will be considered for reinvestment purposes.

¹ Companies are not currently performing banking, trust, investment or safekeeping services for the Agency.

² Citibank N.A. is the liquidity provider for the Agency's variable rate Hydroelectric Project No. One, 2008 Series A and Series B bonds.

³ Banc of America Public Capital Corp, a subsidiary of Bank of America N.A., has purchased all of NCPA's Geothermal Project No. Three Revenue Bonds, Series 2012A, totaling \$12,910,000 under a Contract of Purchase dated September 12, 2012.

⁴ Bank of America N.A. has purchased all of NCPA's Geothermal Project No. Three Revenue Bonds, Series 2016A, totaling \$17,530,000 under a Bond Purchase Agreement dated October 1, 2016.

CREDIT RATINGS COMPARISON

Description	Moody's		Standard & Poors		Fitch	
	Long-term	Short-term	Long-term	Short-term	Long-term	Short-term
Prime:						
Extremely Strong	Aaa	P-1	AAA	A-1+	AAA	F1+
High Grade:						
Very Strong	Aa1		AA+		AA+	
	Aa2		AA		AA	
	Aa3		AA-		AA-	
Upper Medium Grade:		P-2		A-1		F1
Strong	A1		A+		A+	
	A2		A		A	
	A3		A-		A-	
Lower Medium Grade:						
Adequate	Baa1	P-3	BBB+	A-3	BBB+	F2
	Baa2		BBB		BBB	
	Baa3		BBB-		BBB-	
Non-investment Grade speculative:						
Vulnerable	Ba1	Not Prime	BB+	B	BB+	B
	Ba2		BB		BB	
	Ba2		BB-		BB-	

Credit ratings are opinions about credit risk published by a rating agency. They express opinions about the ability and willingness of an issuer, such as a corporation, state or city government, to meet its financial obligations in accordance with the terms of those obligations. Credit ratings are also opinions about the credit quality of an issue, such as a bond or other debt obligation, and the relative likelihood that it may default.

The Agency shall not invest in non-investment grade securities.



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Commission Staff Report

November 14, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: FY 2016 Annual Billing Settlements

AGENDA CATEGORY: Consent

FROM: Sondra Ainsworth  **METHOD OF SELECTION:**

Treasurer-Controller N/A

Division: Administrative Services

Department: Accounting & Finance

IMPACTED MEMBERS:

All Members <input checked="" type="checkbox"/>	City of Lodi <input type="checkbox"/>	City of Ukiah <input type="checkbox"/>
Alameda Municipal Power <input type="checkbox"/>	City of Lompoc <input type="checkbox"/>	Plumas-Sierra REC <input type="checkbox"/>
Bay Area Rapid Transit <input type="checkbox"/>	City of Palo Alto <input type="checkbox"/>	Port of Oakland <input type="checkbox"/>
City of Biggs <input type="checkbox"/>	City of Redding <input type="checkbox"/>	Truckee Donner PUD <input type="checkbox"/>
City of Gridley <input type="checkbox"/>	City of Roseville <input type="checkbox"/>	Other <input type="checkbox"/>
City of Healdsburg <input type="checkbox"/>	City of Santa Clara <input type="checkbox"/>	<i>If other, please specify:</i>

RECOMMENDATION:

Adopt, authorize and approve Resolution 16-87 and the attachments thereto regarding the FY 2015-2016 Annual Billing Settlements.

BACKGROUND:

The attached FY 2016 Annual Billing Settlements Summary shows a comparison of Actual Costs and Final Billing Settlements (i.e., Collections vs Actual).

This year's Net Refund of Excess Collections due to participants at fiscal year-end was \$6.2 million or 1.9% of Collections to date. The sources of these refunds were as follows: (1) Net Generation & Transmission operating costs of \$3.4 million; (2) Management Services costs of \$2.6 million; and (3) Pass-Through Costs and Interest and Other Income of \$0.2 million.

The Utility Directors have reviewed a draft of the FY 2016 Annual Billing Settlements Summary and supporting data, which is currently available on the Agency's data portal. Supporting data includes the final re-run of the All Resources Bill to reflect the final settlement amounts, explanations of the primary refund drivers, and schedules reflecting annual costs, collections, and resulting over/under collections by month.

As a result of the California Independent System Operator (CAISO) shortened settlement process, the Agency's Generation Resources cost categories for Member, Western, and Other Resources, Market Power Purchases and CAISO Energy Purchases and Sales no longer play a material role, if any, in the Agency's calculation of Annual Budget Settlement refunds. Rather, these categories of costs are settled monthly as invoices are received and are reflected in the respective All Resources Bill (ARB).

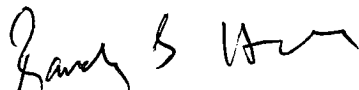
FISCAL IMPACT:

Upon approval by the Commission, the Amount of \$6,217,958 will be distributed to participants. NCPA member refund amounts will be deposited into their respective General Operating Reserve accounts, and other non-member participants will receive the refund payment in accordance with Agency payment terms unless otherwise directed in writing.

ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 of the California Environmental Quality Act. No environmental review is necessary.

Respectfully submitted,



RANDY S. HOWARD
General Manager

Attachments:

- Resolution 16-87
- Billing Settlements summaries

RESOLUTION 16-87

A RESOLUTION OF THE NORTHERN CALIFORNIA POWER AGENCY TO ADOPT, AUTHORIZE AND APPROVE FY 2015-2016 ANNUAL BILLING SETTLEMENTS

(reference Staff Report #221:16)

WHEREAS, the Northern California Power Agency, (Agency) FY 2015-2016 Annual Billing Settlements has been closed, reconciled, and finalized; and

WHEREAS, the independent audit of the Agency's financial statements has been completed; and

WHEREAS, the Agency's generating, transmission, energy contract resources, and other programs are billed monthly throughout the fiscal year on an estimated basis; and

WHEREAS, the Agency's monthly billings to participants for FY 2015-2016 have been re-run using the finalized FY 2015-2016 Annual Billing costs; and

WHEREAS, these processes have resulted in a final billing cost settlement for each program as summarized in the attached; and

WHEREAS, the Utility Directors reviewed the detailed support for the FY 2015-2016 Annual Billing Settlements Summary, the related Project and Program Cost Summary Reports, and the re-run of the monthly All Resources Bills and have found all to be satisfactory; and

WHEREAS, this activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary; and

NOW, THEREFORE, BE IT RESOLVED, that the Commission of the Northern California Power Agency hereby acts as follows:

Section 1. This Commission does hereby find and determine that the recitals contained herein above are true and correct.

Section 2. This Commission does hereby adopt, authorize and approve the FY 2015-2016 Annual Billing Settlements, as summarized in the attachments hereto; and, does hereby direct that any net refund amounts due to participants be distributed.

PASSED, ADOPTED and APPROVED this ____ day of _____, by the following vote on roll call:

	<u>Vote</u>	<u>Abstained</u>	<u>Absent</u>
Alameda	_____	_____	_____
BART	_____	_____	_____
Biggs	_____	_____	_____
Gridley	_____	_____	_____
Healdsburg	_____	_____	_____
Lodi	_____	_____	_____
Lompoc	_____	_____	_____
Palo Alto	_____	_____	_____
Port of Oakland	_____	_____	_____
Redding	_____	_____	_____
Roseville	_____	_____	_____
Santa Clara	_____	_____	_____
Truckee Donner	_____	_____	_____
Ukiah	_____	_____	_____
Plumas-Sierra	_____	_____	_____

BOB LINGL
CHAIRPERSON

ATTEST: _____
CARY PADGETT
ASSISTANT SECRETARY

**Northern California Power Agency
FY 2016 Billing Settlement Summary - By Participant**

	Collections	Actual Costs	Refund (Charge)
Summary all Participants	\$ 324,756,528	\$ 318,538,570	\$ 6,217,958
Summary By Participant			
Alameda	\$ 25,601,892	\$ 24,952,759	\$ 649,133
BART	22,550,087	22,407,211	142,876
Biggs	1,239,460	1,212,968	26,492
Gridley	3,516,895	3,467,161	49,734
Healdsburg	6,133,261	6,005,502	127,759
Lodi	38,953,711	38,311,308	642,403
Lompoc	10,494,652	10,432,728	61,924
Palo Alto	78,456,100	77,317,724	1,138,376
Plumas Sierra	7,770,285	7,595,949	174,336
Port of Oakland	2,811,086	2,745,256	65,830
Redding	592,010	540,951	51,059
Roseville	7,637,400	7,006,491	630,909
Santa Clara	93,005,955	90,929,007	2,076,948
Truckee-Donner	157,721	143,870	13,851
TID	696,636	616,944	79,692
Ukiah	8,620,210	8,431,438	188,772
Other Project Participants:			
Azusa	1,086,302	1,076,351	9,951
California Department of Water Resources	12,632,280	12,570,508	61,772
MID	918,368	901,758	16,610
Power & Water Resources Pooling Authority	1,882,217	1,872,686	9,531
Total	\$ 324,756,528	\$ 318,538,570	\$ 6,217,958
			1.9%

Northern California Power Agency
FY 2016 Billing Settlement Summary -- Explanation Overview

General Comment

Billing settlements is the process of comparing actual participant and third party collections to actual cost requirements. Participant collections are based on a combination of actual costs and the approved Annual Budget. NCPA Plant collections are based on budgeted fixed and variable costs. Fixed costs are collected ratably over the fiscal year, and variable costs are collected based on budgeted generation MWh. Management Services revenue requirements are generally collected ratably over the fiscal year.

As a result of the Independent System Operator (ISO) shortened settlement process, ISO charges and energy and ancillary services revenues do not play a material role, if any in the annual billing settlement process. Similarly Third Party energy purchases and sales, are settled up concurrently with ISO processes in the All Resources Bill. For detail changes of these non-plant generation resources, please see memo on Annual Settlement Summary.

The result of the year end settlements analysis is a refund of \$6,217,958 or 1.9% which is the net of total collections of \$324,756,528 less costs of \$318,538,570. The refund is primarily comprised of lower costs for Generation Resources and Management Services as follows:

Generation Resources

Generation Resources accounts for \$3.4 million or approximately 54.9% of the total refunded amount. The primary driver for the variance was the net decrease in actual costs from those billed to participants as outlined below.

<u>Refund (in 000's)</u>	
\$	
101	Routine O&M costs less than projected primarily due to lower operating costs resulting from lower generating output.
1,031	Postponement of certain O&M and capital projects
607	Final actual allocated Generation Services costs were lower than projected due to vacant positions and reduced use of outside services.
508	A&G costs less than projected primarily driven by lower salaries & benefits due to vacant positions and lower contract services as we continue to perform more work in-house.
1,313	Higher interest income, effluent income, Ethos (formerly Turbocare) settlement credits & miscellaneous income collected during the year
1,535	Other costs, primarily lower hydroelectric variable debt service costs and lower property and liability insurance premiums
(1,683)	Costs of repairs to Geothermal Plant and Effluent project resulting from the September 2015 Valley Fire.
<u>\$</u>	<u>3,412</u>

Management Services

Management Services accounts for \$2.6 million or approximately 42.1% of the total refunded amount. Billing requirements are generally collected ratably over the fiscal year. Variance drivers are listed below:

<u>Refund (in 000's)</u>	
\$	
835	Salaries and Benefits were less than projected primarily due to unfilled positions
480	Legal and Other Outside Services were lower than estimated.
258	Judicial Action activities related to Tariffs and Rates were lower than anticipated
511	A&G costs less than projected primarily driven by lower salaries & benefits due to vacant positions and lower contract services as we continue to perform more work in-house.
535	Travel, Hardware, Software, Supplies, Network and Data Services costs were less than projected
<u>\$</u>	<u>2,619</u>

Pass Through Costs

Pass Through Costs were overfunded by \$70 thousand or 1.0% of the total refunded amount. The overfunded amount represents primarily excess collection of BAMx and SOT costs.

Third Party Revenues

Third Party Revenue was higher than anticipated by \$0.1 million, or 2.0% of the total refunded amount; the increase was primarily driven by higher interest and other income.

NCPA Fiscal Year 2016 Settlement Summary - Collections for NCPA													
IDENTIFIER	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	APRIL	MAY	JUNE	Total \$
GENERATION RESOURCES													
NCPA Plants													
Hydroelectric	\$ 3,223,963	\$ 3,640,996	\$ 3,563,037	\$ 3,610,919	\$ 3,600,144	\$ 3,412,611	\$ 3,242,325	\$ 3,012,828	\$ 1,698,028	\$ 1,692,156	\$ 2,632,194	\$ 3,394,103	\$ 36,723,303
Geothermal	\$ 302,212	\$ 316,955	\$ 582,773	\$ 261,776	\$ 500,580	\$ 489,682	\$ 548,397	\$ 1,090,729	\$ 1,184,568	\$ 1,538,997	\$ 1,132,146	\$ 674,872	\$ 8,623,689
Combustion Turbine No. 1	\$ 120,752	\$ 187,439	\$ 185,918	\$ 238,256	\$ 241,827	\$ 240,840	\$ 240,925	\$ 239,937	\$ 240,986	\$ 239,949	\$ 240,082	\$ 231,853	\$ 2,648,763
Combustion Turbine No. 2 (STIG)	\$ 604,819	\$ 634,470	\$ 585,206	\$ 591,200	\$ 625,609	\$ 619,842	\$ 584,728	\$ 615,573	\$ 618,224	\$ 604,960	\$ 578,407	\$ 589,066	\$ 7,252,105
LEC	\$ 2,360,387	\$ 2,713,517	\$ 2,107,609	\$ 1,863,751	\$ 2,858,482	\$ 2,249,282	\$ 2,684,485	\$ 3,795,213	\$ 2,690,185	\$ 3,224,665	\$ 3,309,313	\$ 2,542,752	\$ 32,399,840
Member Resources & Contracts	\$ 2,693,662	\$ 3,127,616	\$ 3,016,519	\$ 3,538,696	\$ 3,307,240	\$ 3,816,756	\$ 3,490,207	\$ 3,221,900	\$ 3,417,974	\$ 2,498,564	\$ 3,224,048	\$ 3,821,351	\$ 39,174,534
NCPA Contracts - Gas	\$ 546,019	\$ 546,019	\$ 448,005	\$ 480,082	\$ 557,745	\$ 576,336	\$ 609,444	\$ 570,125	\$ 609,444	\$ 474,285	\$ 311,504	\$ 301,455	\$ 6,030,463
NCPA Contracts	\$ 1,049,932	\$ 1,315,619	\$ 1,729,646	\$ 2,446,621	\$ 2,884,344	\$ 3,193,586	\$ 3,066,585	\$ 2,725,504	\$ 2,950,711	\$ 1,999,910	\$ 1,810,332	\$ 1,522,912	\$ 26,695,702
Market Purchases	\$ 1,003,524	\$ 802,559	\$ 323,759	\$ 91,845	\$ 93,194	\$ 131,958	\$ 146,880	\$ 167,749	\$ 85,235	\$ 79,399	\$ 208,751	\$ 296,192	\$ 3,431,046
Western Resource	\$ 2,202,427	\$ 2,186,194	\$ 2,186,046	\$ 1,069,593	\$ 1,074,441	\$ 1,069,599	\$ 1,268,472	\$ 1,268,246	\$ 1,268,400	\$ 2,319,021	\$ 2,185,489	\$ 2,185,483	\$ 20,283,410
Net ISO Load Aggregation Costs	\$ 7,290,419	\$ 4,588,009	\$ 4,862,575	\$ 5,116,054	\$ 4,793,809	\$ 5,619,466	\$ 3,980,957	\$ 2,924,002	\$ 1,620,523	\$ 3,341,651	\$ 3,285,269	\$ 4,456,601	\$ 51,879,334
Net Capacity Pool	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Load Following Costs	\$ 39,985	\$ 59,809	\$ 45,445	\$ 67,961	\$ 49,156	\$ 31,202	\$ 37,011	\$ 37,737	\$ 35,126	\$ 32,444	\$ 24,256	\$ 50,504	\$ 510,614
GHG Allowance Purchases	\$	\$ 1,449,460	\$	\$	\$ 469,730	\$	\$ 14,366	\$ 1,183,890	\$	\$	\$ 1,323,920	\$	\$ 4,441,366
Subtotal Generation Resources	\$ 21,438,083	\$ 21,568,660	\$ 19,636,538	\$ 19,376,753	\$ 21,056,301	\$ 21,451,162	\$ 19,914,782	\$ 20,853,433	\$ 16,419,404	\$ 18,046,001	\$ 20,265,710	\$ 20,067,143	\$ 240,093,970
TRANSMISSION													
Independent System Operator													
ISO Load Costs	\$ 6,917,340	\$ 6,894,559	\$ 6,621,706	\$ 6,211,585	\$ 6,431,116	\$ 7,348,269	\$ 6,807,646	\$ 6,322,197	\$ 7,919,648	\$ 7,979,928	\$ 7,414,722	\$ 7,201,283	\$ 84,069,999
ISO Other Costs/(Credits)	\$ -394,914	\$ -696,340	\$ -471,128	\$ -125,951	\$ -432,008	\$ 189,768	\$ 119,540	\$ -283,307	\$ -369,555	\$ -183,678	\$ -506,161	\$ -539,244	\$ -3,692,977
ISO Avoided Costs	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
ISO [Manual] Adjustments	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Subtotal Transmission	\$ 6,522,426	\$ 6,198,219	\$ 6,150,577	\$ 6,085,634	\$ 5,999,108	\$ 7,538,038	\$ 6,927,186	\$ 6,038,890	\$ 7,550,093	\$ 7,796,250	\$ 6,908,561	\$ 6,662,039	\$ 80,377,021
MANAGEMENT SERVICES													
Legislative & Regulatory													
Legislative Representation	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 106,702	\$ 1,280,431
Regulatory Representation	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 44,961	\$ 539,549
Western Representation	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 66,068	\$ 792,801
Member Support Services	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
JPA Assessment	\$ 102,328	\$ 102,328	\$ 102,328	\$ 102,328	\$ 102,328	\$ 102,328	\$ 102,327	\$ 102,325	\$ 102,325	\$ 102,328	\$ 102,328	\$ 102,326	\$ 1,227,927
Judicial Action	\$ 47,918	\$ 231,837	\$ 47,918	\$ 227,999	\$ 47,918	\$ 47,918	\$ 47,917	\$ 47,918	\$ 47,916	\$ 47,915	\$ 47,913	\$ 300,014	\$ 1,191,101
Power Management													
SCALD, Energy Risk Mgmt & Settlements	\$ 807,800	\$ 807,800	\$ 807,800	\$ 807,800	\$ 807,800	\$ 807,800	\$ 807,800	\$ 807,801	\$ 807,801	\$ 807,805	\$ 807,807	\$ 807,805	\$ 9,693,619
Green Power Project	\$ 3,029	\$ 3,029	\$ 3,029	\$ 3,029	\$ 3,029	\$ 3,029	\$ 3,029	\$ 3,029	\$ 3,028	\$ 3,028	\$ 3,028	\$ 3,028	\$ 36,344
Market Power Purchase Project	\$ 9,507	\$ 9,507	\$ 9,507	\$ 9,507	\$ 9,507	\$ 9,507	\$ 9,506	\$ 9,506	\$ 9,506	\$ 9,505	\$ 9,507	\$ 9,507	\$ 114,079
Gas Purchase Program	\$ 5,765	\$ 5,765	\$ 5,765	\$ 5,765	\$ 5,765	\$ 5,765	\$ 5,765	\$ 5,766	\$ 5,766	\$ 5,766	\$ 5,766	\$ 5,763	\$ 69,182
Pass-Thru Costs	\$ 112,802	\$ 115,316	\$ 111,358	\$ 126,273	\$ 147,194	\$ 115,605	\$ 122,036	\$ 109,502	\$ 134,011	\$ 154,495	\$ 125,177	\$ 118,269	\$ 1,492,038
Miscellaneous / Other	\$ 15,644	\$	\$	\$	\$	\$	\$	\$	\$ -79,878	\$	\$	\$	\$ -64,234
Working Capital Deposit Adjustment	\$ 179,545	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$ 179,545
Subtotal Management Services	\$ 1,502,069	\$ 1,493,313	\$ 1,305,436	\$ 1,500,432	\$ 1,341,272	\$ 1,309,683	\$ 1,316,109	\$ 1,303,577	\$ 1,248,204	\$ 1,348,573	\$ 1,319,263	\$ 1,564,451	\$ 16,552,382
TOTAL ANNUAL ACTUAL COST	\$ 29,462,578	\$ 29,260,193	\$ 27,092,551	\$ 26,962,619	\$ 28,396,681	\$ 30,298,882	\$ 28,158,077	\$ 28,195,900	\$ 25,217,701	\$ 27,190,824	\$ 28,493,534	\$ 28,293,633	\$ 337,023,374
LESS: THIRD PARTY REVENUE, CREDITS AND TRANSFERS													
Market Sales	\$ -696,329	\$ -672,193	\$ -621,253	\$ -601,990	\$ -608,140	\$ -677,527	\$ -644,579	\$ -542,750	\$ -616,559	\$ -439,897	\$ -556,681	\$ -141,238	\$ -6,819,135
Ancillary Services Revenue	\$ -175,164	\$ -156,825	\$ -154,544	\$ -205,994	\$ -176,843	\$ -52,759	\$ -176,000	\$ -157,178	\$ -46,771	\$ -86,601	\$ -46,562	\$ -15,623	\$ -1,450,863
Other Sales&Income	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Net transfer (to) from GOR	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
GHG Allowance Collections	\$	\$ -1,086,313	\$	\$	\$ -143,249	\$	\$ -835,088	\$	\$	\$ -1,010,762	\$	\$	\$ -3,075,412
Other Revenue Adjustments	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Member Load Following Revenue	\$ -36,520	\$ -54,186	\$ -32,340	\$ -65,939	\$ -43,618	\$ -9,964	\$ -19,919	\$ -36,042	\$ -20,941	\$	\$	\$ -9,944	\$ -329,412
Displacement Revenue	\$ -283,453	\$ -32,054	\$ -62,388	\$	\$	\$	\$	\$	\$	\$ -5,349	\$ -16,346	\$ -192,431	\$ -592,021
TOTAL Third Party Revenue, Credits and Transfers	\$ -1,191,465	\$ -2,001,571	\$ -870,524	\$ -873,923	\$ -971,850	\$ -740,250	\$ -840,497	\$ -1,571,057	\$ -684,271	\$ -531,847	\$ -1,630,351	\$ -359,237	\$ -12,266,844
NET ANNUAL ACTUAL COST	\$ 28,271,113	\$ 27,258,621	\$ 26,222,027	\$ 26,088,696	\$ 27,424,831	\$ 29,558,632	\$ 27,317,580	\$ 26,624,842	\$ 24,533,430	\$ 26,658,977	\$ 26,863,183	\$ 27,934,396	\$ 324,756,529

NCPA Fiscal Year 2016 Settlement Summary - Actual Cost for NCPA													
IDENTIFIER	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	APRIL	MAY	JUNE	Total \$
GENERATION RESOURCES													
NCPA Plants													
Hydroelectric	\$ 3,000,740	\$ 3,417,773	\$ 3,339,813	\$ 3,387,695	\$ 3,376,921	\$ 3,189,388	\$ 3,019,108	\$ 2,789,613	\$ 1,474,817	\$ 1,468,953	\$ 2,408,994	\$ 3,170,899	\$ 34,044,713
Geothermal	\$ 240,391	\$ 256,360	\$ 503,079	\$ 210,484	\$ 454,771	\$ 442,924	\$ 499,577	\$ 1,034,727	\$ 1,239,823	\$ 1,469,765	\$ 1,081,092	\$ 623,565	\$ 8,056,560
Combustion Turbine No. 1	\$ 126,852	\$ 194,624	\$ 192,218	\$ 241,900	\$ 245,327	\$ 244,258	\$ 244,350	\$ 243,210	\$ 244,395	\$ 243,224	\$ 243,375	\$ 237,272	\$ 2,701,007
Combustion Turbine No. 2 (STIG)	\$ 577,502	\$ 601,862	\$ 614,337	\$ 628,620	\$ 633,328	\$ 627,561	\$ 597,532	\$ 623,295	\$ 625,949	\$ 612,885	\$ 586,131	\$ 607,005	\$ 7,335,908
LEC	\$ 2,254,670	\$ 2,796,036	\$ 2,222,505	\$ 1,942,073	\$ 2,723,551	\$ 2,308,919	\$ 2,598,250	\$ 3,423,761	\$ 2,712,110	\$ 3,023,773	\$ 3,343,495	\$ 2,772,823	\$ 32,121,966
Member Resources & Contracts	\$ 2,693,662	\$ 3,127,616	\$ 3,016,519	\$ 3,538,696	\$ 3,307,240	\$ 3,816,756	\$ 3,471,253	\$ 3,234,215	\$ 3,302,637	\$ 2,601,474	\$ 3,224,048	\$ 3,821,351	\$ 39,155,468
NCPA Contracts - Gas	\$ 546,019	\$ 546,019	\$ 448,005	\$ 480,082	\$ 557,745	\$ 576,336	\$ 609,444	\$ 570,125	\$ 609,444	\$ 474,285	\$ 311,504	\$ 301,455	\$ 6,030,463
NCPA Contracts	\$ 1,049,932	\$ 1,315,619	\$ 1,729,646	\$ 2,446,621	\$ 2,884,344	\$ 3,193,586	\$ 3,066,585	\$ 2,725,504	\$ 2,950,711	\$ 1,994,235	\$ 1,810,332	\$ 1,522,912	\$ 26,690,027
Market Purchases	\$ 1,003,524	\$ 802,559	\$ 323,759	\$ 91,845	\$ 93,194	\$ 131,958	\$ 146,791	\$ 167,749	\$ 85,235	\$ 79,399	\$ 208,751	\$ 296,192	\$ 3,430,957
Western Resource	\$ 2,202,427	\$ 2,186,194	\$ 2,186,046	\$ 1,069,593	\$ 1,074,441	\$ 1,069,599	\$ 1,268,472	\$ 1,268,246	\$ 1,268,400	\$ 2,319,021	\$ 2,185,489	\$ 2,185,483	\$ 20,283,410
Net ISO Load Aggregation Costs	\$ 7,290,419	\$ 4,588,009	\$ 4,862,575	\$ 5,116,054	\$ 4,793,809	\$ 5,619,466	\$ 3,980,957	\$ 2,924,002	\$ 1,620,523	\$ 3,341,651	\$ 3,285,269	\$ 4,456,601	\$ 51,879,334
Net Capacity Pool	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Load Following Costs	\$ 39,965	\$ 59,809	\$ 45,445	\$ 67,961	\$ 49,156	\$ 31,202	\$ 37,011	\$ 37,737	\$ 35,126	\$ 32,444	\$ 24,256	\$ 50,504	\$ 510,614
GHG Allowance Purchases	\$	\$ 1,449,460	\$	\$	\$ 469,730	\$	\$ 14,366	\$ 1,183,890	\$	\$	\$ 1,323,920	\$	\$ 4,441,366
Subtotal Generation Resources	\$ 21,026,104	\$ 21,342,038	\$ 19,483,947	\$ 19,221,624	\$ 20,663,558	\$ 21,251,954	\$ 19,553,697	\$ 20,226,074	\$ 16,169,171	\$ 17,660,907	\$ 20,036,654	\$ 20,046,063	\$ 236,681,794
TRANSMISSION													
Independent System Operator													
ISO Load Costs	\$ 6,917,340	\$ 6,894,559	\$ 6,621,706	\$ 6,211,585	\$ 6,431,116	\$ 7,348,269	\$ 6,807,646	\$ 6,322,197	\$ 7,919,648	\$ 7,979,928	\$ 7,414,722	\$ 7,201,283	\$ 84,069,999
ISO Other Costs/Credits	\$ -394,914	\$ -696,340	\$ -471,128	\$ -125,951	\$ -432,008	\$ 189,768	\$ 119,540	\$ -283,307	\$ -369,555	\$ -183,678	\$ -506,161	\$ -539,244	\$ -3,692,977
ISO Avoided Costs	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
ISO [Manual] Adjustments	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Subtotal Transmission	\$ 6,522,426	\$ 6,198,219	\$ 6,150,577	\$ 6,085,634	\$ 5,999,108	\$ 7,538,038	\$ 6,927,186	\$ 6,038,890	\$ 7,550,093	\$ 7,796,250	\$ 6,908,561	\$ 6,662,039	\$ 80,377,021
MANAGEMENT SERVICES													
Legislative & Regulatory													
Legislative Representation	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 90,920	\$ 1,091,042
Regulatory Representation	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 40,337	\$ 484,039
Western Representation	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 42,898	\$ 514,780
Member Support Services	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
JPA Assessment	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 102,327	\$ 1,227,922
Judicial Action	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 77,764	\$ 933,166
Power Management													
SCALD, Energy Risk Mgmt & Settlements	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 662,146	\$ 7,945,751
Green Power Project	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -87	\$ -1,040
Market Power Purchase Project	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 6,121	\$ 73,456
Gas Purchase Program	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 4,754	\$ 57,049
Pass-Thru Costs	\$ 108,865	\$ 108,865	\$ 109,260	\$ 109,390	\$ 109,341	\$ 109,413	\$ 109,330	\$ 112,317	\$ 126,574	\$ 109,497	\$ 109,495	\$ 204,607	\$ 1,426,955
Miscellaneous / Other	\$ 15,644	\$	\$	\$	\$	\$	\$	\$	\$ -79,878	\$	\$	\$	\$ -64,234
Working Capital Deposit Adjustment	\$ 179,545	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$ 179,545
Subtotal Management Services	\$ 1,331,235	\$ 1,136,046	\$ 1,136,441	\$ 1,136,570	\$ 1,136,522	\$ 1,136,594	\$ 1,138,511	\$ 1,139,497	\$ 1,073,876	\$ 1,136,677	\$ 1,136,675	\$ 1,231,788	\$ 13,868,431
TOTAL ANNUAL ACTUAL COST													
	\$ 28,879,764	\$ 28,676,303	\$ 26,770,965	\$ 26,443,829	\$ 27,799,188	\$ 29,926,586	\$ 27,617,394	\$ 27,404,461	\$ 24,793,140	\$ 26,593,835	\$ 28,081,891	\$ 27,939,890	\$ 330,927,246
LESS: THIRD PARTY REVENUE, CREDITS AND TRANSFERS													
Market Sales	\$ -696,329	\$ -672,193	\$ -621,253	\$ -601,990	\$ -608,140	\$ -677,527	\$ -625,658	\$ -542,750	\$ -616,559	\$ -439,897	\$ -556,681	\$ -141,238	\$ -6,800,214
Ancillary Services Revenue	\$ -175,164	\$ -156,825	\$ -154,544	\$ -205,984	\$ -176,843	\$ -52,759	\$ -176,000	\$ -157,178	\$ -46,771	\$ -86,601	\$ -46,562	\$ -15,623	\$ -1,450,863
Interest and Other Income	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -11,729	\$ -140,753
Net transfer (to) from GOR	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
GHG Allowance Collections	\$	\$ -1,086,313	\$	\$	\$ -143,249	\$	\$ -835,088	\$	\$	\$	\$ -1,010,762	\$	\$ -3,075,412
Other Revenue Adjustments	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Member Load Following Revenue	\$ -36,520	\$ -54,186	\$ -32,340	\$ -65,939	\$ -43,618	\$ -9,964	\$ -19,919	\$ -36,042	\$ -20,941	\$	\$	\$ -9,944	\$ -329,412
Displacement Revenue	\$ -283,453	\$ -32,054	\$ -62,388	\$	\$	\$	\$	\$	\$	\$ -5,349	\$ -16,346	\$ -192,431	\$ -592,021
TOTAL Third Party Revenue, Credits and Transfers	\$ -1,203,195	\$ -2,013,301	\$ -882,254	\$ -885,652	\$ -983,579	\$ -751,980	\$ -833,306	\$ -1,582,787	\$ -696,001	\$ -543,576	\$ -1,642,080	\$ -370,967	\$ -12,388,676
NET ANNUAL ACTUAL COST													
	\$ 27,676,570	\$ 26,663,002	\$ 25,888,711	\$ 25,558,177	\$ 26,815,609	\$ 29,174,606	\$ 26,784,089	\$ 25,821,674	\$ 24,097,140	\$ 26,050,259	\$ 26,439,811	\$ 27,568,923	\$ 318,538,570

NCPA Fiscal Year 2016 Settlement Summary - Refund(Charge) for NCPA													
IDENTIFIER	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	APRIL	MAY	JUNE	Total \$
GENERATION RESOURCES													
NCPA Plants													
Hydroelectric	\$ 223,224	\$ 223,223	\$ 223,223	\$ 223,224	\$ 223,223	\$ 223,223	\$ 223,217	\$ 223,214	\$ 223,210	\$ 223,203	\$ 223,200	\$ 223,203	\$ 2,678,590
Geothermal	\$ 61,821	\$ 60,595	\$ 79,694	\$ 51,291	\$ 45,809	\$ 46,758	\$ 48,821	\$ 56,002	\$ -55,255	\$ 69,231	\$ 51,055	\$ 51,307	\$ 567,129
Combustion Turbine No. 1	\$ -6,100	\$ -7,185	\$ -6,300	\$ -3,645	\$ -3,501	\$ -3,418	\$ -3,425	\$ -3,273	\$ -3,410	\$ -3,275	\$ -3,293	\$ -5,419	\$ -52,244
Combustion Turbine No. 2 (STIG)	\$ 27,317	\$ 32,508	\$ -29,130	\$ -37,419	\$ -7,720	\$ -7,720	\$ -12,804	\$ -7,722	\$ -7,725	\$ -7,725	\$ -7,725	\$ -17,940	\$ -83,803
LEC	\$ 105,718	\$ -82,519	\$ -114,896	\$ -78,322	\$ 134,931	\$ -59,637	\$ 86,234	\$ 371,452	\$ -21,926	\$ 200,892	\$ -34,182	\$ -230,071	\$ 277,674
Member Resources & Contracts	\$	\$	\$	\$	\$	\$	\$ 18,954	\$ -12,315	\$ 115,337	\$ -102,910	\$	\$	\$ 19,067
NCPA Contracts - Gas	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
NCPA Contracts	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$ 5,675	\$	\$	\$ 5,675
Market Purchases	\$	\$	\$	\$	\$	\$	\$ 89	\$	\$	\$	\$	\$	\$ 89
Western Resource	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Net ISO Load Aggregation Costs	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Net Capacity Pool	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Load Following Costs	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
GHG Allowance Purchases	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Subtotal Generation Resources	\$ 411,979	\$ 226,622	\$ 152,591	\$ 155,129	\$ 392,743	\$ 199,207	\$ 361,085	\$ 627,359	\$ 250,233	\$ 385,093	\$ 229,055	\$ 21,080	\$ 3,412,177
TRANSMISSION													
Independent System Operator													
ISO Load Costs	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
ISO Other Costs/(Credits)	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
ISO Avoided Costs	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
ISO (Manual) Adjustments	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Subtotal Transmission	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
MANAGEMENT SERVICES													
Legislative & Regulatory													
Legislative Representation	\$ 15,782	\$ 15,782	\$ 15,782	\$ 15,782	\$ 15,782	\$ 15,782	\$ 15,782	\$ 15,780	\$ 15,781	\$ 15,783	\$ 15,786	\$ 15,787	\$ 189,389
Regulatory Representation	\$ 4,624	\$ 4,624	\$ 4,624	\$ 4,624	\$ 4,624	\$ 4,624	\$ 4,624	\$ 4,627	\$ 4,626	\$ 4,626	\$ 4,628	\$ 4,630	\$ 55,510
Western Representation	\$ 23,170	\$ 23,170	\$ 23,170	\$ 23,170	\$ 23,170	\$ 23,170	\$ 23,170	\$ 23,168	\$ 23,167	\$ 23,167	\$ 23,168	\$ 23,167	\$ 278,021
Member Support Services	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
JPA Assessment	\$ 1	\$ 1	\$ 1	\$ 1	\$ 1	\$ 1	\$	\$ -2	\$ -2	\$ 1	\$ 1	\$ -1	\$ 5
Judicial Action	\$ -29,846	\$ 154,073	\$ -29,846	\$ 150,235	\$ -29,846	\$ -29,846	\$ -29,847	\$ -29,846	\$ -29,848	\$ -29,849	\$ -29,851	\$ 222,250	\$ 257,935
Power Management													
SCALD, Energy Risk Mgmt & Settlements	\$ 145,654	\$ 145,654	\$ 145,654	\$ 145,654	\$ 145,654	\$ 145,654	\$ 145,654	\$ 145,655	\$ 145,655	\$ 145,659	\$ 145,661	\$ 145,659	\$ 1,747,868
Green Power Project	\$ 3,116	\$ 3,116	\$ 3,116	\$ 3,116	\$ 3,116	\$ 3,116	\$ 3,116	\$ 3,116	\$ 3,115	\$ 3,115	\$ 3,115	\$ 3,115	\$ 37,384
Market Power Purchase Project	\$ 3,386	\$ 3,386	\$ 3,386	\$ 3,386	\$ 3,386	\$ 3,386	\$ 3,385	\$ 3,385	\$ 3,385	\$ 3,384	\$ 3,386	\$ 3,386	\$ 40,623
Gas Purchase Program	\$ 1,011	\$ 1,011	\$ 1,011	\$ 1,011	\$ 1,011	\$ 1,011	\$ 1,011	\$ 1,012	\$ 1,012	\$ 1,012	\$ 1,012	\$ 1,009	\$ 12,133
Pass-Thru Costs	\$ 3,937	\$ 6,451	\$ 2,098	\$ 16,883	\$ 37,853	\$ 6,192	\$ 12,706	\$ -2,815	\$ 7,437	\$ 44,998	\$ 15,682	\$ -86,338	\$ 65,083
Miscellaneous / Other	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Working Capital Deposit Adjustment	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Subtotal Management Services	\$ 170,834	\$ 357,268	\$ 168,995	\$ 363,862	\$ 204,750	\$ 173,089	\$ 179,598	\$ 164,080	\$ 174,328	\$ 211,896	\$ 182,588	\$ 332,664	\$ 2,683,951
TOTAL ANNUAL ACTUAL COST	\$ 582,813	\$ 583,890	\$ 321,586	\$ 518,990	\$ 597,493	\$ 372,297	\$ 540,683	\$ 791,439	\$ 424,561	\$ 596,989	\$ 411,643	\$ 353,744	\$ 6,096,128
LESS: THIRD PARTY REVENUE, CREDITS AND TRANSFERS													
Market Sales	\$	\$	\$	\$	\$	\$	\$ -18,921	\$	\$	\$	\$	\$	\$ -18,921
Ancillary Services Revenue	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Interest and Other Income	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 140,753
Net transfer (to) from GOR	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
GHG Allowance Collections	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Other Revenue Adjustments	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Member Load Following Revenue	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Displacement Revenue	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
TOTAL Third Party Revenue, Credits and Transfers	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ -7,192	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 11,729	\$ 121,832
NET ANNUAL ACTUAL COST	\$ 594,543	\$ 595,619	\$ 333,316	\$ 530,720	\$ 609,223	\$ 384,026	\$ 533,492	\$ 803,168	\$ 436,290	\$ 608,719	\$ 423,372	\$ 365,473	\$ 6,217,958



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Commission Staff Report

October 27, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: GP Crane & Hoist Services – Five Year Multi-Task General Services Agreement. For Crane Inspection and Maintenance Services; Applicable to the following projects: All NCPA Facility Locations, Members, SCPPA, and SCPPA Members

AGENDA CATEGORY: Consent

FROM:	Ken Speer <i>KS</i>	METHOD OF SELECTION:
	Assistant General Manager	N/A
Division:	Generation Services	
Department:	Geothermal	

IMPACTED MEMBERS:					
All Members	<input checked="" type="checkbox"/>	City of Lodi	<input type="checkbox"/>	City of Ukiah	<input type="checkbox"/>
Alameda Municipal Power	<input type="checkbox"/>	City of Lompoc	<input type="checkbox"/>	Plumas-Sierra REC	<input type="checkbox"/>
Bay Area Rapid Transit	<input type="checkbox"/>	City of Palo Alto	<input type="checkbox"/>	Port of Oakland	<input type="checkbox"/>
City of Biggs	<input type="checkbox"/>	City of Redding	<input type="checkbox"/>	Truckee Donner PUD	<input type="checkbox"/>
City of Gridley	<input type="checkbox"/>	City of Roseville	<input type="checkbox"/>	Other	<input type="checkbox"/>
City of Healdsburg	<input type="checkbox"/>	City of Santa Clara	<input type="checkbox"/>		<input type="checkbox"/>
<hr/>					
<hr/>					
<i>Place an X in the box next to the applicable Member(s) above.</i>					

RECOMMENDATION:

Approve Resolution 16-88 authorizing the General Manager or his designee to enter into a Multi-Task General Services Agreement with GP Crane & Hoist Services for crane inspection and maintenance services, with any non-substantial changes recommended and approved by the NCPA General Counsel, which shall not exceed \$500,000 over five years for use at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority ("SCPPA") or by SCPPA members.

BACKGROUND:

Crane maintenance and inspection services are needed at various facility locations as well as member facilities for the operation of the plants. GP Crane & Hoist Services provides inspection and maintenance services on large overhead cranes as well as boom trucks and shop cranes. This service includes, but is not limited to Quadrennial Proof Load Tests, Annual OSHA inspections, certifications, and maintenance as required. In addition, GP Crane can provide crane rental when necessary.

FISCAL IMPACT:

Total cost of the agreement is \$500,000 over five years to be used out of NCPA approved budgets as services are rendered. Purchase Orders referencing the terms and conditions of the Agreement will be issued following NCPA procurement policies and procedures.

SELECTION PROCESS:

This five year enabling agreement does not commit NCPA to any expenditure of funds. At the time services are required, NCPA will bid the specific scope of work consistent with NCPA procurement policies and procedures. NCPA currently has in place two other enabling agreements with Bay Valve Service and Pacific Crane Inspections for similar services and seeks bids from as many qualified providers as possible including Sierra Crane and American Crane. Bids are awarded to the lowest cost provider. NCPA will issue purchase orders based on cost and availability of the services needed at the time the service is required.

ENVIRONMENTAL ANALYSIS:

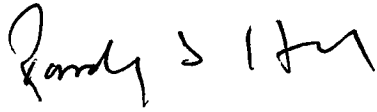
This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

COMMITTEE REVIEW:

The recommendation was reviewed by the Facility Committee on November 2, 2016 and was recommended for Commission approval.

The recommendation above was reviewed by the Lodi Energy Center Participant Committee on November 14, 2016 and was approved.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Randy S. Howard", with a stylized flourish at the end.

RANDY S. HOWARD
General Manager

Attachments: (2)

- Resolution
- Multi-Task General Services Agreement with GP Crane & Hoist Services

RESOLUTION 16-88

RESOLUTION OF THE NORTHERN CALIFORNIA POWER AGENCY APPROVING A MULTI-TASK GENERAL SERVICES AGREEMENT WITH GP CRANE & HOIST SERVICES (reference Staff Report #224:16)

WHEREAS, crane maintenance and inspection services are needed at various NCPA facility locations as well as member facilities for the operation of the plants; and

WHEREAS, GP Crane & Hoist Services provides inspection and maintenance services on large overhead cranes, boom trucks, and shop cranes including Quadrennial Proof Load Tests, Annual OSHA Inspections, certifications, maintenance, and crane rental when necessary; and

WHEREAS, on November 14, 2016, the LEC Project Participant Committee approved the agreement with GP Crane & Hoist Services in an amount not-to-exceed \$500,000 over five years; and

WHEREAS, this activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary; and

NOW, THEREFORE BE IT RESOLVED, that the Commission of the Northern California Power Agency authorizes the General Manager or his designee to enter into a Multi-Task General Services Agreement with GP Crane & Hoist Services, with any non-substantial changes as approved by the NCPA General Counsel, which shall not exceed \$500,000 over five years for the inspection, maintenance and certification of cranes at all facilities owned and/or operated by NCPA, its members, by the Southern California Public Power Authority (SCPPA), or by SCPPA members.

PASSED, ADOPTED and APPROVED this ____ day of _____, 2016 by the following vote on roll call:

	<u>Vote</u>	<u>Abstained</u>	<u>Absent</u>
Alameda	_____	_____	_____
BART	_____	_____	_____
Biggs	_____	_____	_____
Gridley	_____	_____	_____
Healdsburg	_____	_____	_____
Lodi	_____	_____	_____
Lompoc	_____	_____	_____
Palo Alto	_____	_____	_____
Port of Oakland	_____	_____	_____
Redding	_____	_____	_____
Roseville	_____	_____	_____
Santa Clara	_____	_____	_____
Truckee Donner	_____	_____	_____
Ukiah	_____	_____	_____
Plumas-Sierra	_____	_____	_____

BOB LINGL
CHAIR

ATTEST:

CARY A. PADGETT
ASSISTANT SECRETARY



**MULTI-TASK
GENERAL SERVICES AGREEMENT BETWEEN
THE NORTHERN CALIFORNIA POWER AGENCY AND
GP CRANE & HOIST SERVICES**

This agreement for general services ("Agreement") is made by and between the Northern California Power Agency, a joint powers agency with its main office located at 651 Commerce Drive, Roseville, CA 95678-6420 ("Agency") and GP Crane & Hoist Services, a corporation with its office located at 3933 Bristol Court, Napa, CA; mailing address P.O. Box 6497, Napa, CA 94581 ("Contractor") (together sometimes referred to as the "Parties") as of _____, 2016 ("Effective Date") in Roseville, California.

Section 1. SCOPE OF WORK. Subject to the terms and conditions set forth in this Agreement, Contractor is willing to provide to Agency the range of services and/or goods described in the Scope of Work attached hereto as Exhibit A and incorporated herein ("Work").

- 1.1 **Term of Agreement.** The term of this Agreement shall begin on the Effective Date and shall end when Contractor completes the Work, or no later than five (5) years from the date this Agreement was signed by Agency, whichever is shorter.
- 1.2 **Standard of Performance.** Contractor shall perform the Work in the manner and according to the standards observed by a competent practitioner of the profession in which Contractor is engaged and for which Contractor is providing the Work. Contractor represents that it is licensed, qualified and experienced to provide the Work set forth herein.
- 1.3 **Assignment of Personnel.** Contractor shall assign only competent personnel to perform the Work. In the event that Agency, in its sole discretion, at any time during the term of this Agreement, requests the reassignment of any such personnel, Contractor shall, immediately upon receiving written notice from Agency of such request, reassign such personnel.
- 1.4 **Work Provided.** Work provided under this Agreement by Contractor may include Work directly to the Agency or, as requested by the Agency and consistent with the terms of this Agreement, to Agency members, Southern California Public Power Authority ("SCPPA") or SCPPA members.
- 1.5 **Request for Work to be Performed.** At such time that Agency determines to have Contractor perform Work under this Agreement, Agency shall issue a Purchase Order. The Purchase Order shall identify the specific Work to be performed ("Requested Work"), may include a not-to-exceed cap on monetary cap on Requested Work and all related expenditures authorized by that Purchase Order, and shall include a time by which the Requested Work shall be completed. Contractor shall have seven calendar days from the date of the Agency's issuance of the Purchase Order in which to respond in writing that Contractor chooses not to perform the Requested Work. If Contractor agrees to perform

the Requested Work, begins to perform the Requested Work, or does not respond within the seven day period specified, then Contractor will have agreed to perform the Requested Work on the terms set forth in the Purchase Order, this Agreement and its Exhibits.

Section 2. COMPENSATION. Agency hereby agrees to pay Contractor an amount **NOT TO EXCEED** FIVE HUNDRED THOUSAND AND XX/100 dollars (\$500,000) for the Work, which shall include all fees, costs, expenses and other reimbursables, as set forth in Contractor's fee schedule, attached hereto and incorporated herein as Exhibit B. This dollar amount is not a guarantee that Agency will pay that full amount to the Contractor, but is merely a limit of potential Agency expenditures under this Agreement.

2.1 Invoices. Contractor shall submit invoices, not more often than once a month during the term of this Agreement, based on the cost for services performed and reimbursable costs incurred prior to the invoice date. Invoices shall contain the following information:

- The beginning and ending dates of the billing period;
- Work performed;
- The Purchase Order number authorizing the Requested Work;
- At Agency's option, for each work item in each task, a copy of the applicable time entries or time sheets shall be submitted showing the name of the person doing the work, the hours spent by each person, a brief description of the work, and each reimbursable expense, with supporting documentation, to Agency's reasonable satisfaction;
- At Agency's option, the total number of hours of work performed under the Agreement by Contractor and each employee, agent, and subcontractor of Contractor performing work hereunder.

Invoices shall be sent to:

Northern California Power Agency
651 Commerce Drive
Roseville, California 95678
Attn: Accounts Payable
AcctsPayable@ncpa.com

2.2 Monthly Payment. Agency shall make monthly payments, based on invoices received, for Work satisfactorily performed, and for authorized reimbursable costs incurred. Agency shall have thirty (30) days from the receipt of an invoice that complies with all of the requirements above to pay Contractor.

2.3 Payment of Taxes. Contractor is solely responsible for the payment of all federal, state and local taxes, including employment taxes, incurred under this Agreement.

- 2.4 **Authorization to Perform Work.** The Contractor is not authorized to perform any Work or incur any costs whatsoever under the terms of this Agreement until receipt of a Purchase Order from the Contract Administrator.
- 2.5 **Timing for Submittal of Final Invoice.** Contractor shall have ninety (90) days after completion of the Requested Work to submit its final invoice for the Requested Work. In the event Contractor fails to submit an invoice to Agency for any amounts due within the ninety (90) day period, Contractor is deemed to have waived its right to collect its final payment for the Requested Work from Agency.

Section 3. FACILITIES AND EQUIPMENT. Except as set forth herein, Contractor shall, at its sole cost and expense, provide all facilities and equipment that may be necessary to perform the Work.

Section 4. INSURANCE REQUIREMENTS. Before beginning any Work under this Agreement, Contractor, at its own cost and expense, shall procure the types and amounts of insurance listed below and shall maintain the types and amounts of insurance listed below for the period covered by this Agreement.

- 4.1 **Workers' Compensation.** If Contractor employs any person, Contractor shall maintain Statutory Workers' Compensation Insurance and Employer's Liability Insurance for any and all persons employed directly or indirectly by Contractor with limits of not less than one million dollars (\$1,000,000.00) per accident.
- 4.2 **Commercial General and Automobile Liability Insurance.**
- 4.2.1 **Commercial General Insurance.** Contractor shall maintain commercial general liability insurance for the term of this Agreement, including products liability, covering any loss or liability, including the cost of defense of any action, for bodily injury, death, personal injury and broad form property damage which may arise out of the operations of Contractor. The policy shall provide a minimum limit of \$1,000,000 per occurrence/\$2,000,000 aggregate. Commercial general coverage shall be at least as broad as ISO Commercial General Liability form CG 0001 (current edition) on "an occurrence" basis covering comprehensive General Liability, with a self-insured retention or deductible of no more than \$100,000. No endorsement shall be attached limiting the coverage.
- 4.2.2 **Automobile Liability.** Contractor shall maintain automobile liability insurance form CA 0001 (current edition) for the term of this Agreement covering any loss or liability, including the cost of defense of any action, arising from the operation, maintenance or use of any vehicle (symbol 1), whether or not owned by the Contractor, on or off Agency premises. The policy shall provide a minimum limit of \$1,000,000 per each accident, with a self-insured retention or deductible of no more than \$100,000. This insurance shall provide contractual liability covering all motor vehicles and mobile equipment to the extent coverage may be excluded from general liability insurance.

- 4.2.3 **General Liability/Umbrella Insurance.** The coverage amounts set forth above may be met by a combination of underlying and umbrella policies as long as in combination the limits equal or exceed those stated.
- 4.3 **Professional Liability Insurance.** (Intentionally Omitted)
- 4.4 **Pollution Insurance** (Intentionally Omitted)
- 4.5 **All Policies Requirements.**
- 4.5.1 **Verification of coverage.** Prior to beginning any work under this Agreement, Contractor shall provide Agency with (1) a Certificate of Insurance that demonstrates compliance with all applicable insurance provisions contained herein and (2) policy endorsements to the policies referenced in Section 4.2 and in Section 4.4, if applicable, adding the Agency as an additional insured and declaring such insurance primary in regard to work performed pursuant to this Agreement.
- 4.5.2 **Notice of Reduction in or Cancellation of Coverage.** Contractor shall provide at least thirty (30) days prior written notice to Agency of any reduction in scope or amount, cancellation, or modification adverse to Agency of the policies referenced in Section 4.
- 4.5.3 **Higher Limits.** If Contractor maintains higher limits than the minimums specified herein, the Agency shall be entitled to coverage for the higher limits maintained by the Contractor.
- 4.5.4 **Additional Certificates and Endorsements.** If Contractor performs Work for Agency members, SCPPA and/or SCPPA members pursuant to this Agreement, Agency shall the right to require Contractor to provide the certificates of insurance and/or policy endorsements, as referenced in Section 4.4.1, naming the specific Agency member, SCPPA and/or SCPPA member for which the Work is to be performed.
- 4.6 **Waiver of Subrogation.** Contractor agrees to waive subrogation which any insurer of Contractor may acquire from Contractor by virtue of the payment of any loss. Contractor agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation. The Workers' Compensation policy shall be endorsed with a waiver of subrogation in favor of Agency for all work performed by Contractor, its employees, agents and subcontractors.
- 4.7 **Contractor's Obligation.** Contractor shall be solely responsible for ensuring that all equipment, vehicles and other items utilized in the performance of Work are operated, provided or otherwise utilized in a manner that ensures they are and remain covered by

the policies referenced in Section 4 during this Agreement. Contractor shall also ensure that all workers involved in the provision of Work are properly classified as employees, agents or independent contractors and are and remain covered by any and all workers' compensation insurance required by applicable law during this Agreement.

Section 5. INDEMNIFICATION AND CONTRACTOR'S RESPONSIBILITIES.

- 5.1 Effect of Insurance.** Agency's acceptance of insurance certificates and endorsements required under this Agreement does not relieve Contractor from liability under this indemnification and hold harmless clause. This indemnification and hold harmless clause shall apply to any damages or claims for damages whether or not such insurance policies shall have been determined to apply. By execution of this Agreement, Contractor acknowledges and agrees to the provisions of this section and that it is a material element of consideration.
- 5.2 Scope.** Contractor shall indemnify, defend with counsel reasonably acceptable to the Agency, and hold harmless the Agency, and its officials, commissioners, officers, employees, agents and volunteers from and against all losses, liabilities, claims, demands, suits, actions, damages, expenses, penalties, fines, costs (including without limitation costs and fees of litigation), judgments and causes of action of every nature arising out of or in connection with any acts or omissions by Contractor, its officers, officials, agents, and employees, except as caused by the sole or gross negligence of Agency. Notwithstanding, should this Agreement be construed as a construction agreement under Civil Code section 2783, then the exception referenced above shall also be for the active negligence of Agency.
- 5.3 Transfer of Title.** (Intentionally Omitted)

Section 6. STATUS OF CONTRACTOR.

- 6.1 Independent Contractor.** Contractor is an independent contractor and not an employee of Agency. Agency shall have the right to control Contractor only insofar as the results of Contractor's Work and assignment of personnel pursuant to Section 1; otherwise, Agency shall not have the right to control the means by which Contractor accomplishes Work rendered pursuant to this Agreement. Notwithstanding any other Agency, state, or federal policy, rule, regulation, law, or ordinance to the contrary, Contractor and any of its employees, agents, and subcontractors providing services under this Agreement shall not qualify for or become entitled to, and hereby agree to waive any and all claims to, any compensation, benefit, or any incident of employment by Agency, including but not limited to eligibility to enroll in the California Public Employees Retirement System (PERS) as an employee of Agency and entitlement to any contribution to be paid by Agency for employer contributions and/or employee contributions for PERS benefits.

Contractor shall indemnify, defend, and hold harmless Agency for the payment of any employee and/or employer contributions for PERS benefits on behalf of Contractor or its employees, agents, or subcontractors, as well as for the payment of any penalties and interest on such contributions, which would otherwise be the responsibility of Agency. Contractor and Agency acknowledge and agree that compensation paid by Agency to Contractor under this Agreement is based upon Contractor's estimated costs of providing the Work, including salaries and benefits of employees, agents and subcontractors of Contractor.

Contractor shall indemnify, defend, and hold harmless Agency from any lawsuit, administrative action, or other claim for penalties, losses, costs, damages, expense and liability of every kind, nature and description that arise out of, pertain to, or relate to such claims, whether directly or indirectly, due to Contractor's failure to secure workers' compensation insurance for its employees, agents, or subcontractors.

Contractor agrees that it is responsible for the provision of group healthcare benefits to its fulltime employees under 26 U.S.C. § 4980H of the Affordable Care Act. To the extent permitted by law, Contractor shall indemnify, defend and hold harmless Agency from any penalty issued to Agency under the Affordable Care Act resulting from the performance of the Services by any employee, agent, or subcontractor of Contractor.

- 6.2 Contractor Not Agent.** Except as Agency may specify in writing, Contractor shall have no authority, express or implied, to act on behalf of Agency in any capacity whatsoever as an agent. Contractor shall have no authority, express or implied, pursuant to this Agreement to bind Agency to any obligation whatsoever.
- 6.3 Assignment and Subcontracting.** This Agreement contemplates personal performance by Contractor and is based upon a determination of Contractor's unique professional competence, experience, and specialized professional knowledge. A substantial inducement to Agency for entering into this Agreement was and is the personal reputation and competence of Contractor. Contractor may not assign this Agreement or any interest therein without the prior written approval of the Agency. Contractor shall not subcontract any portion of the performance contemplated and provided for herein, other than to the subcontractors identified in Exhibit A, without prior written approval of the Agency. Where written approval is granted by the Agency, Contractor shall supervise all work subcontracted by Contractor in performing the Work and shall be responsible for all work performed by a subcontractor as if Contractor itself had performed such work. The subcontracting of any work to subcontractors shall not relieve Contractor from any of its obligations under this Agreement with respect to the Work and Contractor is obligated to ensure that any and all subcontractors performing any Work shall be fully insured in all respects and to the same extent as set forth under Section 4, to Agency's satisfaction.
- 6.4 Certification as to California Energy Commission.** If requested by the Agency, Contractor shall, at the same time it executes this Agreement, execute Exhibit C.

- 6.5 **Certification as to California Energy Commission Regarding Hazardous Materials Transport Vendors.** If requested by the Agency, Contractor shall, at the same time it executes this Agreement, execute Exhibit D.
- 6.6 **Maintenance Labor Agreement.** If the Work is subject to the terms of one or more Maintenance Labor Agreements, which are applicable only to certain types of construction, repair and/or maintenance projects, then Contractor shall execute Exhibit E and/or similar documentation as to compliance.

Section 7. LEGAL REQUIREMENTS.

- 7.1 **Governing Law.** The laws of the State of California shall govern this Agreement.
- 7.2 **Compliance with Applicable Laws.** Contractor and its subcontractors and agents, if any, shall comply with all laws applicable to the performance of the work hereunder.
- 7.3 **Licenses and Permits.** Contractor represents and warrants to Agency that Contractor and its employees, agents, and subcontractors (if any) have and will maintain at their sole expense during the term of this Agreement all licenses, permits, qualifications, and approvals of whatever nature that are legally required to practice their respective professions.
- 7.4 **Monitoring by DIR.** The Work is subject to compliance monitoring and enforcement by the Department of Industrial Relations.
- 7.5 **Registration with DIR.** During the term of this Agreement, Contractor warrants that it is registered with the Department of Industrial Relations and qualified to perform Work consistent with Labor Code section 1725.5.
- 7.6 **Prevailing Wage Rates.** In accordance with California Labor Code Section 1771, not less than the general prevailing rate of per diem wages for work of a similar character in the locality in which the Work is to be performed, and not less than the general prevailing rate of per diem wages for holiday and overtime work as provided in the California Labor Code must be paid to all workers engaged in performing the Work. In accordance with California Labor Code Section 1770 and following, the Director of Industrial Relations has determined the general prevailing wage per diem rates for the locality in which the Work is to be performed; the Agency has obtained the general prevailing rate of per diem wages and the general rate for holiday and overtime work in the locality in which the Work is to be performed for each craft, classification or type of worker needed to perform the project; and copies of the prevailing rate of per diem wages are on file at the Agency and will be made available on request. Throughout the performance of the Work, Contractor must comply with all applicable laws and regulations that apply to wages earned in performance of the Work. Contractor assumes all responsibility for such payments and shall defend, indemnify and hold the Agency harmless from any and all claims made by the State of

California, the Department of Industrial Relations, any subcontractor, any worker or any other third party with regard thereto.

Additionally, in accordance with the California Administrative Code, Title 8, Group 3, Article 2, Section 16000, Publication of Prevailing Wage Rates by Awarding Bodies, copies of the applicable determination of the Director can be found on the web at: <http://www.dir.ca.gov/DLSR/PWD/> and may be reviewed at any time.

Contractor shall be required to submit to the Agency during the contract period, copies of Public Works payroll reporting information per California Department of Industrial Relations, Form A- 1-131 (New 2-80) concerning work performed under this Agreement.

Contractor shall comply with applicable law, including Labor Code Sections 1774 and 1775. In accordance with Section 1775, Contractor shall forfeit as a penalty to Agency \$50.00 for each calendar day or portion thereof, for each worker paid less than the prevailing rates as determined by the Director of Industrial Relations for such work or craft in which such worker is employed for any Work done under the Agreement by Contractor or by any subcontractor under Contractor in violation of the provisions of the Labor Code and in particular, Labor Code Sections 1770 *et seq.* In addition to the penalty and pursuant to Section 1775, the difference between such prevailing wage rates and the amount paid to each worker for each calendar day or portion thereof for which each worker was paid less than the prevailing wage rate shall be paid to each worker by the Contractor.

Section 8. TERMINATION AND MODIFICATION.

- 8.1 Termination.** Agency may cancel this Agreement at any time and without cause upon ten (10) days prior written notice to Contractor.

In the event of termination, Contractor shall be entitled to compensation for Work satisfactorily completed as of the effective date of termination; Agency, however, may condition payment of such compensation upon Contractor delivering to Agency any or all records or documents (as referenced in Section 9.1 hereof).

- 8.2 Amendments.** The Parties may amend this Agreement only by a writing signed by all the Parties.
- 8.3 Survival.** All obligations arising prior to the termination of this Agreement and all provisions of this Agreement allocating liability between Agency and Contractor shall survive the termination of this Agreement.
- 8.4 Options upon Breach by Contractor.** If Contractor materially breaches any of the terms of this Agreement, including but not limited to those set forth in Section 4, Agency's remedies shall include, but not be limited to, the following:

- 8.4.1 Immediately terminate the Agreement;
- 8.4.2 Retain the plans, specifications, drawings, reports, design documents, and any other work product prepared by Contractor pursuant to this Agreement;
- 8.4.3 Retain a different Contractor to complete the Work not finished by Contractor; and/or
- 8.4.4 Charge Contractor the difference between the costs to complete the Work that is unfinished at the time of breach and the amount that Agency would have paid Contractor pursuant hereto if Contractor had completed the Work.

Section 9. KEEPING AND STATUS OF RECORDS.

- 9.1 **Records Created as Part of Contractor's Performance.** All reports, data, maps, models, charts, studies, surveys, photographs, memoranda, plans, studies, specifications, records, files, or any other documents or materials, in electronic or any other form, that Contractor prepares or obtains pursuant to this Agreement and that relate to the matters covered hereunder shall be the property of the Agency. Contractor hereby agrees to deliver those documents to the Agency upon termination of the Agreement. Agency and Contractor agree that, unless approved by Agency in writing, Contractor shall not release to any non-parties to this Agreement any data, plans, specifications, reports and other documents.
- 9.2 **Contractor's Books and Records.** Contractor shall maintain any and all records or other documents evidencing or relating to charges for Work or expenditures and disbursements charged to the Agency under this Agreement for a minimum of three (3) years, or for any longer period required by law, from the date of final payment to the Contractor under this Agreement.
- 9.3 **Inspection and Audit of Records.** Any records or documents that this Agreement requires Contractor to maintain shall be made available for inspection, audit, and/or copying at any time during regular business hours, upon oral or written request of the Agency. Under California Government Code Section 8546.7, if the amount of public funds expended under this Agreement exceeds ten thousand dollars (\$10,000.00), the Agreement shall be subject to the examination and audit of the State Auditor, at the request of Agency or as part of any audit of the Agency, for a period of three (3) years after final payment under this Agreement.
- 9.4 **Confidential Information and Disclosure.**
 - 9.4.1 **Confidential Information.** The term "Confidential Information", as used herein, shall mean any and all confidential, proprietary, or trade secret information,

whether written, recorded, electronic, oral or otherwise, where the Confidential Information is made available in a tangible medium of expression and marked in a prominent location as confidential, proprietary and/or trade secret information. Confidential Information shall not include information that: (a) was already known to the Receiving Party or is otherwise a matter of public knowledge, (b) was disclosed to Receiving Party by a third party without violating any confidentiality agreement, (c) was independently developed by Receiving Party without reverse engineering, as evidenced by written records thereof, or (d) was not marked as Confidential Information in accordance with this section.

9.4.2 Non-Disclosure of Confidential Information. During the term of this Agreement, either party may disclose (the "Disclosing Party") Confidential Information to the other party (the "Receiving Party"). The Receiving Party: (a) shall hold the Disclosing Party's Confidential Information in confidence; and (b) shall take all reasonable steps to prevent any unauthorized possession, use, copying, transfer or disclosure of such Confidential Information.

9.4.3 Permitted Disclosure. Notwithstanding the foregoing, the following disclosures of Confidential Information are allowed. Receiving Party shall endeavor to provide prior written notice to Disclosing Party of any permitted disclosure made pursuant to Section 9.4.3.2 or 9.4.3.3. Disclosing Party may seek a protective order, including without limitation, a temporary restraining order to prevent or contest such permitted disclosure; provided, however, that Disclosing Party shall seek such remedies at its sole expense. Neither party shall have any liability for such permitted disclosures:

9.4.3.1 Disclosure to employees, agents, contractors, subcontractors or other representatives of Receiving Party that have a need to know in connection with this Agreement.

9.4.3.2 Disclosure in response to a valid order of a court, government or regulatory agency or as may otherwise be required by law; and

9.4.3.3 Disclosure by Agency in response to a request pursuant to the California Public Records Act.

9.4.4 Handling of Confidential Information. Upon conclusion or termination of the Agreement, Receiving Party shall return to Disclosing Party or destroy Confidential Information (including all copies thereof), if requested by Disclosing Party in writing. Notwithstanding the foregoing, the Receiving Party may retain copies of such Confidential Information, subject to the confidentiality provisions of this Agreement: (a) for archival purposes in its computer system; (b) in its legal department files; and (c) in files of Receiving Party's representatives where such

copies are necessary to comply with applicable law. Party shall not disclose the Disclosing Party's Information to any person other than those of the Receiving Party's employees, agents, consultants, contractors and subcontractors who have a need to know in connection with this Agreement.

Section 10. PROJECT SITE.

- 10.1 Operations at the Project Site.** Each Project site may include the power plant areas, all buildings, offices, and other locations where Work is to be performed, including any access roads. Contractor shall perform the Work in such a manner as to cause a minimum of interference with the operations of the Agency; if applicable, the entity for which Contractor is performing the Work, as referenced in Section 1.4; and other contractors at the Project site and to protect all persons and property thereon from damage or injury. Upon completion of the Work at a Project site, Contractor shall leave such Project site clean and free of all tools, equipment, waste materials and rubbish, stemming from or relating to Contractor's Work.
- 10.2 Contractor's Equipment, Tools, Supplies and Materials.** Contractor shall be solely responsible for the transportation, loading and unloading, and storage of any equipment, tools, supplies or materials required for performing the Work, whether owned, leased or rented. Neither Agency nor, if applicable, the entity for which Contractor is performing the Work, as referenced in Section 1.4, will be responsible for any such equipment, supplies or materials which may be lost, stolen or damaged or for any additional rental charges for such. Equipment, tools, supplies and materials left or stored at a Project site, with or without permission, is at Contractor's sole risk. Anything left on the Project site an unreasonable length of time after the Work is completed shall be presumed to have been abandoned by the Contractor. Any transportation furnished by Agency or, if applicable, the entity for which Contractor is performing the Work, as referenced in Section 1.4, shall be solely as an accommodation and neither Agency nor, if applicable, the entity for which Contractor is performing the Work, as referenced in Section 1.4, shall have liability therefor. Contractor shall assume the risk and is solely responsible for its owned, non-owned and hired automobiles, trucks or other motorized vehicles as well as any equipment, tools, supplies, materials or other property which is utilized by Contractor on the Project site. All materials and supplies used by Contractor in the Work shall be new and in good condition.
- 10.3 Use of Agency Equipment.** Contractor shall assume the risk and is solely responsible for its use of any equipment owned and property provided by Agency and, if applicable, the entity for which Contractor is performing the Work, as referenced in Section 1.4, for the performance of Work.

Section 11. WARRANTY.

- 11.1 **Nature of Work.** In addition to any and all warranties provided or implied by law or public policy, Contractor warrants that all Work shall be free from defects in design and workmanship, and that Contractor shall perform all Work in accordance with applicable federal, state, and local laws, rules and regulations including engineering, construction and other codes and standards and prudent electrical utility standards, and in accordance with the terms of this Agreement.
- 11.2 **Deficiencies in Work.** In addition to all other rights and remedies which Agency may have, Agency shall have the right to require, and Contractor shall be obligated at its own expense to perform, all further Work which may be required to correct any deficiencies which result from Contractor's failure to perform any Work in accordance with the standards required by this Agreement. If during the term of this Agreement or the one (1) year period following completion of the Work, any equipment, supplies or other materials or Work used or provided by Contractor under this Agreement fails due to defects in material and/or workmanship or other breach of this Agreement, Contractor shall, upon any reasonable written notice from Agency, replace or repair the same to Agency's satisfaction.
- 11.3 **Assignment of Warranties.** Contractor hereby assigns to Agency all additional warranties, extended warranties, or benefits like warranties, such as insurance, provided by or reasonably obtainable from suppliers of equipment and material used in the Work.

Section 12. HEALTH AND SAFETY PROGRAMS. The Contractor shall establish, maintain, and enforce safe work practices, and implement an accident/incident prevention program intended to ensure safe and healthful operations under their direction. The program shall include all requisite components of such a program under Federal, State and local regulations and shall comply with all site programs established by Agency and, if applicable, the entity for which Contractor is performing the Work, as referenced in Section 1.4.

- 12.1 Contractor is responsible for acquiring job hazard assessments as necessary to safely perform the Work and provide a copy to Agency upon request.
- 12.2 Contractor is responsible for providing all employee health and safety training and personal protective equipment in accordance with potential hazards that may be encountered in performance of the Work and provide copies of the certified training records upon request by Agency. Contractor shall be responsible for proper maintenance and/or disposal of their personal protective equipment and material handling equipment.
- 12.3 Contractor is responsible for ensuring that its lower-tier subcontractors are aware of and will comply with the requirements set forth herein.
- 12.4 Agency, or its representatives, may periodically monitor the safety performance of the Contractor performing the Work. Contractors and its subcontractors shall be required to comply with the safety and health obligations as established in the Agreement. Non-

compliance with safety, health, or fire requirements may result in cessation of work activities, until items in non-compliance are corrected. It is also expressly acknowledged, understood and agreed that no payment shall be due from Agency to Contractor under this Agreement at any time when, or for any Work performed when, Contractor is not in full compliance with this Section 12.

- 12.5 Contractor shall immediately report any injuries to the Agency site safety representative. Additionally, the Contractor shall investigate and submit to the Agency site safety representative copies of all written accident reports, and coordinate with Agency if further investigation is requested.
- 12.6 Contractor shall take all reasonable steps and precautions to protect the health of its employees and other site personnel with regard to the Work. Contractor shall conduct occupational health monitoring and/or sampling to determine levels of exposure of its employees to hazardous or toxic substances or environmental conditions. Copies of any sampling results will be forwarded to the Agency site safety representative upon request.
- 12.7 Contractor shall develop a plan to properly handle and dispose of any hazardous wastes, if any, Contractor generates in performing the Work.
- 12.8 Contractor shall advise its employees and subcontractors that any employee who jeopardizes his/her safety and health, or the safety and health of others, may be subject to actions including removal from Work.
- 12.9 Contractor shall, at the sole option of the Agency, develop and provide to the Agency a Hazardous Material Spill Response Plan that includes provisions for spill containment and clean-up, emergency contact information including regulatory agencies and spill sampling and analysis procedures. Hazardous Materials shall include diesel fuel used for trucks owned or leased by the Contractor.
- 12.10 If Contractor is providing Work to an Agency Member, SCPPA or SCPPA member (collectively "Member" solely for the purpose of this section) pursuant to Section 1.4 hereof, then that Member shall have the same rights as the Agency under Sections 12.1, 12.2, 12.4, 12.5, and 12.6 hereof.

Section 13 MISCELLANEOUS PROVISIONS.

- 13.1 **Attorneys' Fees.** If a party to this Agreement brings any action, including an action for declaratory relief, to enforce or interpret the provision of this Agreement, the prevailing party shall be entitled to reasonable attorneys' fees in addition to any other relief to which that party may be entitled. The court may set such fees in the same action or in a separate action brought for that purpose.

- 13.2 **Venue.** In the event that either party brings any action against the other under this Agreement, the Parties agree that trial of such action shall be vested exclusively in the state courts of California in the County of Placer or in the United States District Court for the Eastern District of California.
- 13.3 **Severability.** If a court of competent jurisdiction finds or rules that any provision of this Agreement is invalid, void, or unenforceable, the provisions of this Agreement not so adjudged shall remain in full force and effect. The invalidity in whole or in part of any provision of this Agreement shall not void or affect the validity of any other provision of this Agreement.
- 13.4 **No Implied Waiver of Breach.** The waiver of any breach of a specific provision of this Agreement does not constitute a waiver of any other breach of that term or any other term of this Agreement.
- 13.5 **Successors and Assigns.** The provisions of this Agreement shall inure to the benefit of and shall apply to and bind the successors and assigns of the Parties.
- 13.6 **Conflict of Interest.** Contractor may serve other clients, but none whose activities within the corporate limits of Agency or whose business, regardless of location, would place Contractor in a "conflict of interest," as that term is defined in the Political Reform Act, codified at California Government Code Section 81000 *et seq.*

Contractor shall not employ any Agency official in the work performed pursuant to this Agreement. No officer or employee of Agency shall have any financial interest in this Agreement that would violate California Government Code Sections 1090 *et seq.*

- 13.7 **Contract Administrator.** This Agreement shall be administered by Ken Speer, Assistant General Manager, or his/her designee, who shall act as the Agency's representative. All correspondence shall be directed to or through the representative.
- 13.8 **Notices.** Any written notice to Contractor shall be sent to:

GP Crane & Hoist Services
P.O. Box 6497
Napa, CA 94581
Attn: Brian Pinckney
brian@gpcraneandhoist.com

Any written notice to Agency shall be sent to:

Randy S. Howard
General Manager
Northern California Power Agency
651 Commerce Drive
Roseville, CA 95678

With a copy to:

Michael F. Dean
General Counsel
Northern California Power Agency
Meyers Nave
555 Capitol Mall, Suite 1200
Sacramento, CA 95814

- 13.9 Professional Seal.** Where applicable in the determination of the Agency, the first page of a technical report, first page of design specifications, and each page of construction drawings shall be stamped/sealed and signed by the licensed professional responsible for the report/design preparation.
- 13.10 Integration; Incorporation.** This Agreement, including all the exhibits attached hereto, represents the entire and integrated agreement between Agency and Contractor and supersedes all prior negotiations, representations, or agreements, either written or oral. All exhibits attached hereto are incorporated by reference herein.
- 13.11 Alternative Dispute Resolution.** If any dispute arises between the Parties that cannot be settled after engaging in good faith negotiations, Agency and Contractor agree to resolve the dispute in accordance with the following:
- 13.11.1** Each party shall designate a senior management or executive level representative to negotiate any dispute;
 - 13.11.2** The representatives shall attempt, through good faith negotiations, to resolve the dispute by any means within their authority.
 - 13.11.3** If the issue remains unresolved after fifteen (15) days of good faith negotiations, the Parties shall attempt to resolve the disagreement by negotiation between legal counsel. If the above process fails, the Parties shall resolve any remaining disputes through mediation to expedite the resolution of the dispute.
 - 13.11.4** The mediation process shall provide for the selection within fifteen (15) days by both Parties of a disinterested third person as mediator, shall be

commenced within thirty (30) days and shall be concluded within fifteen (15) days from the commencement of the mediation.

13.11.5 The Parties shall equally bear the costs of any third party in any alternative dispute resolution process.

13.11.6 The alternative dispute resolution process is a material condition to this Agreement and must be exhausted as an administrative remedy prior to either Party initiating legal action. This alternative dispute resolution process is not intended to nor shall be construed to change the time periods for filing a claim or action specified by Government Code §§ 900 *et seq.*

13.12 Controlling Provisions. In the case of any conflict between the terms of this Agreement and the Exhibits hereto, a Purchase Order, or Contractor's Proposal (if any), the Agreement shall control. In the case of any conflict between the Exhibits hereto and a Purchase Order or the Contractor's Proposal, the Exhibits shall control. In the case of any conflict between the terms of a Purchase Order and the Contractor's Proposal, the Purchase Order shall control.

13.13 Counterparts. This Agreement may be executed in multiple counterparts, each of which shall be an original and all of which together shall constitute one agreement.

13.14 Construction of Agreement. Each party hereto has had an equivalent opportunity to participate in the drafting of the Agreement and/or to consult with legal counsel. Therefore, the usual construction of an agreement against the drafting party shall not apply hereto.

13.15 No Third Party Beneficiaries. This Agreement is made solely for the benefit of the parties hereto, with no intent to benefit any non-signator third parties. However, should Contractor provide Work to an Agency member, SCLPA or SCLPA member (collectively for the purpose of this section only "Member") pursuant to Section 1.4, the parties recognize that such Member may be a third party beneficiary solely as to the Purchase Order and Requested Work relating to such Member.

The Parties have executed this Agreement as of the date signed by the Agency.

NORTHERN CALIFORNIA POWER AGENCY

GP CRANE & HOIST SERVICES

Date _____

Date _____

RANDY HOWARD, General Manager

BRIAN PINCKNEY, President

Attest:

Assistant Secretary of the Commission

Approved as to Form:

Ruthann G. Ziegler, Assistant General Counsel

EXHIBIT A

SCOPE OF WORK

As requested by Agency, GP Crane & Hoist Services, ("Contractor") shall perform inspection and maintenance services, including but not limited to the following, at any facilities owned or operated by Agency, its Members, Southern California Public Power Authority (SCPPA), or SCPPA members:

- Quadrennial Proof Load Tests
- Annual OSHA Inspection

Such inspection and maintenance program shall include, but not limited to the following:

- Provide replacement parts,
- Misc. maintenance as required for building cranes.
- Issue a load test certificate to Agency for all passing units within ten (10) days of test.
- Perform work during normal business hours, Monday through Friday 7:00 a.m. to 4:00 p.m.

All services identified above shall be promptly provided by Contractor to Agency as directed by Agency and in accordance with all Agency specifications.

EXHIBIT B

COMPENSATION SCHEDULE AND HOURLY FEES

Compensation for all work, including hourly fees and expenses, shall not exceed the amount set forth in Section 2 hereof. The hourly rates and or compensation break down and an estimated amount of expenses is as follows:

The following hourly rates and or compensation for services are valid at the NCPA Geothermal facility:

- Labor \$90.00 per hour
- Fuel surcharge of \$99.18 each round trip onsite

All services will be billed according to Time & Material (T&M) Rates

Prices are subject to change with the giving of 30 days' advance written notice to Agency.

Pricing for services to be performed at other NCPA facilities, NCPA Member, or SCPPA locations will be quoted at the time services are requested.

NOTE: As a public agency, NCPA shall not reimburse Contractor for travel, food and related costs in excess of those permitted by the Internal Revenue Service.

EXHIBIT C

CERTIFICATION

Affidavit of Compliance for Contractors

I, _____

(Name of person signing affidavit)(Title)

do hereby certify that background investigations to ascertain the accuracy of the identity and employment history of all employees of:

GP CRANE AND HOIST SERVICES

(Company name)

for contract work at:

LODI ENERGY CENTER, 12745 N. THORNTON ROAD, LODI, CA 95242

(Project name and location)

have been conducted as required by the California Energy Commission Decision for the above-named project.

(Signature of officer or agent)

Dated this _____ day of _____, 20 ____.

THIS AFFIDAVIT OF COMPLIANCE SHALL BE APPENDED TO THE PROJECT SECURITY PLAN AND SHALL BE RETAINED AT ALL TIMES AT THE PROJECT SITE FOR REVIEW BY THE CALIFORNIA ENERGY COMMISSION COMPLIANCE PROJECT MANAGER.

EXHIBIT D – NOT APPLICABLE

CERTIFICATION

Affidavit of Compliance for Hazardous Materials Transport Vendors

I, _____

(Name of person signing affidavit)(Title)

do hereby certify that the below-named company has prepared and implemented security plans in conformity with 49 CFR 172, subpart I and has conducted employee background investigations in conformity with 49 CFR 172.802(a), as the same may be amended from time to time,

(Company name)

for hazardous materials delivery to:

LODI ENERGY CENTER, 12745 N. THORNTON ROAD, LODI, CA 95242

(Project name and location)

as required by the California Energy Commission Decision for the above-named project.

(Signature of officer or agent)

Dated this _____ day of _____, 20 ____.

THIS AFFIDAVIT OF COMPLIANCE SHALL BE APPENDED TO THE PROJECT SECURITY PLAN AND SHALL BE RETAINED AT ALL TIMES AT THE PROJECT SITE FOR REVIEW BY THE CALIFORNIA ENERGY COMMISSION COMPLIANCE PROJECT MANAGER.

EXHIBIT E

ATTACHMENT A [from MLA]
AGREEMENT TO BE BOUND

MAINTENANCE LABOR AGREEMENT ATTACHMENT
LODI ENERGY CENTER PROJECT

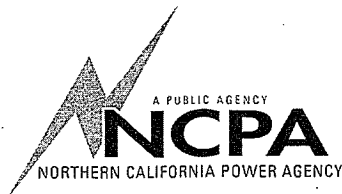
The undersigned hereby certifies and agrees that:

- 1) It is an Employer as that term is defined in Section 1.4 of the Lodi Energy Center Project Maintenance Labor Agreement ("Agreement" solely for the purposes of this Exhibit E) because it has been, or will be, awarded a contract or subcontract to assign, award or subcontract Covered Work on the Project (as defined in Section 1.2 and 2.1 of the Agreement), or to authorize another party to assign, award or subcontract Covered Work, or to perform Covered Work.
- 2) In consideration of the award of such contract or subcontract, and in further consideration of the promises made in the Agreement and all attachments thereto (a copy of which was received and is hereby acknowledged), it accepts and agrees to be bound by the terms and condition of the Agreement, together with any and all amendments and supplements now existing or which are later made thereto.
- 3) If it performs Covered Work, it will be bound by the legally establishes trust agreements designated in local master collective bargaining agreements, and hereby authorizes the parties to such local trust agreements to appoint trustees and successor trustee to administer the trust funds, and hereby ratifies and accepts the trustees so appointed as if made by the undersigned.
- 4) It has no commitments or agreements that would preclude its full and complete compliance with the terms and conditions of the Agreement.
- 5) It will secure a duly executed Agreement to be Bound, in form identical to this documents, from any Employer(s) at any tier or tiers with which it contracts to assign, award, or subcontract Covered Work, or to authorize another party to assign, award or subcontract Covered Work, or to perform Covered Work.

DATED: _____ Name of Employer _____

(Authorized Officer & Title)

(Address)



Commission Staff Report

November 16, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Geothermal Sulfur Product Sale

AGENDA CATEGORY: Consent

FROM:	Ken Speer <i>KS</i>	METHOD OF SELECTION:
	Assistant General Manager	N/A
Division:	Generation Services	
Department:	Geothermal	

IMPACTED MEMBERS:					
All Members	<input type="checkbox"/>	City of Lodi	<input checked="" type="checkbox"/>	City of Ukiah	<input checked="" type="checkbox"/>
Alameda Municipal Power	<input checked="" type="checkbox"/>	City of Lompoc	<input checked="" type="checkbox"/>	Plumas-Sierra REC	<input checked="" type="checkbox"/>
Bay Area Rapid Transit	<input type="checkbox"/>	City of Palo Alto	<input type="checkbox"/>	Port of Oakland	<input type="checkbox"/>
City of Biggs	<input checked="" type="checkbox"/>	City of Redding	<input type="checkbox"/>	Truckee Donner PUD	<input type="checkbox"/>
City of Gridley	<input checked="" type="checkbox"/>	City of Roseville	<input checked="" type="checkbox"/>	Other	<input checked="" type="checkbox"/>
City of Healdsburg	<input checked="" type="checkbox"/>	City of Santa Clara	<input checked="" type="checkbox"/>		<input type="checkbox"/>
<div style="float: right; text-align: right;">TID</div> <div style="clear: both;"></div>					
Place an X in the box next to the applicable Member(s) above.					

RECOMMENDATION:

Approve resolution 16-89 authorizing the General Manager or his designee to sell the non-hazardous sulfur product as a soil amendment that is produced as a by-product of the Geothermal operations that has a mercury level below 17 mg/kg (~.3lbs/ton) and a vanadium level below 100 mg/kg (~.2 lbs/ton).

BACKGROUND:

As a by-product of the Geothermal operation, sulfur is produced. Every bin of the sulfur has numerous samples pulled for testing. These tests of the sulfur determine the amount of vanadium and mercury within the product and if the bin will be deemed either hazardous or non-hazardous. In the past, the sulfur that was deemed to be non-hazardous was shipped and sold to a soil amendment distributor as a soil amendment for farming. When the distributor that had been buying the sulfur over the last 10 years announced that it was discontinuing the business, NCPA decided to review the practice of selling the sulfur versus sending it all to a waste disposal site at Kettleman Hills (at an annual additional cost of approximately \$250,000). The engineering firm Black and Veatch was then hired to provide a study on the risk of the sale of the sulfur as a product from the Geothermal facility.

The determination by Black and Veatch was that the sale of the non-hazardous sulfur to be used as a soil amendment was an acceptable and beneficial use of that material. In addition, the report stated that the sale of the sulfur did not create excessive risk to NCPA. Black and Veatch also determined that the analysis data for the sulfur to be shipped by NCPA for soil amendment was below the state waste criteria for mercury and below the US EPA sludge application limit for mercury. Additionally, the consultant found that NCPA had significant long-term analysis data showing limited variation in concentration over time. Thus, the sulfur to be sold as a soil amendment will be analyzed and determined to have levels, if any, of mercury that are below state and federal standards for hazardous wastes. If the level of mercury is below 17 mg/kg (~.3lbs/ton) and the level of vanadium is below 100 mg/kg (~.2 lbs/ton), the sale of such sulfur does not have a reasonable likelihood of having a significant effect on the environment. Any material with limits above these will be properly disposed of in a landfill.

FISCAL IMPACT:

The sale of the sulfur brings in a positive cash flow to the Agency. If the sale of the sulfur were to discontinue, all of the sulfur would have to go to Kettleman Hills at an estimated annual cost of \$250,000.

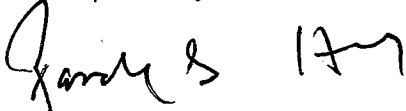
ENVIRONMENTAL ANALYSIS:

Based on the Black and Veatch analysis, the Commission finds that this activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary. NCPA believes that the use of the non-hazardous sulfur product for agricultural purposes is an acceptable and beneficial use of the material.

COMMITTEE REVIEW:

The recommendation was reviewed by the Facility Committee on November 2, 2016 and was recommended for Commission approval.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Randy S. Howard", written over a horizontal line.

RANDY S. HOWARD
General Manager

Attachments (1):

- Resolution

RESOLUTION 16-89

RESOLUTION OF THE NORTHERN CALIFORNIA POWER AGENCY GEOTHERMAL SULFUR PRODUCT SALE (reference Staff Report #225:16)

WHEREAS, as a by-product of the Geothermal operations, 99% pure sulfur is produced into bins that are shipped off site; and

WHEREAS, this sulfur is tested for impurities and approximately 97% of the bins of sulfur are found to be non-hazardous; and

WHEREAS, this non-hazardous sulfur can be sold to the farming community for a very small amount as a soil amendment; and

WHEREAS, a recent engineering study completed by Black and Veatch indicated that the sale of this sulfur did not present any significant risks for NCPA or its Members; and

WHEREAS, this sulfur product is used as a soil amendment in farming. This high purity sulfur has trace constituents of vanadium and mercury, along with other natural occurring trace elements. This material is analyzed and proven to be non-hazardous, and it is therefore not subject to either US EPA or California Department of Toxic Substance Control (DTSC) regulation; and

WHEREAS, this activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary. NCPA believes that the use of the non-hazardous sulfur product for agricultural purposes is an acceptable and beneficial use of the material; and

NOW, THEREFORE BE IT RESOLVED, that the Commission of the Northern California Power Agency authorizes the General Manager or his designee to sell the non-hazardous sulfur product as a soil amendment produced at the Geothermal Facility.

PASSED, ADOPTED and APPROVED this ____ day of _____ 2016, by the following vote on roll call:

	<u>Vote</u>	<u>Abstained</u>	<u>Absent</u>
Alameda	_____	_____	_____
BART	_____	_____	_____
Biggs	_____	_____	_____
Gridley	_____	_____	_____
Healdsburg	_____	_____	_____
Lodi	_____	_____	_____
Lompoc	_____	_____	_____
Palo Alto	_____	_____	_____
Port of Oakland	_____	_____	_____
Redding	_____	_____	_____
Roseville	_____	_____	_____
Santa Clara	_____	_____	_____
Truckee Donner	_____	_____	_____
Ukiah	_____	_____	_____
Plumas-Sierra	_____	_____	_____

BOB LINGL
CHAIR

ATTEST:

CARY A. PADGETT
ASSISTANT SECRETARY




Commission Staff Report

November 18, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Appointment to the NCPA Finance Committee

AGENDA CATEGORY: Consent

FROM:	Donna Stevener 	METHOD OF SELECTION:
	Asst. General Mgr/CFO	N/A
Division:	Administrative Services	
Department:	Administrative Services-Administration	

IMPACTED MEMBERS:		
All Members	<input checked="checked" type="checkbox"/>	
Alameda Municipal Power	<input type="checkbox"/>	City of Lodi
Bay Area Rapid Transit	<input type="checkbox"/>	City of Lompoc
City of Biggs	<input type="checkbox"/>	City of Palo Alto
City of Gridley	<input type="checkbox"/>	City of Redding
City of Healdsburg	<input type="checkbox"/>	City of Roseville
		City of Santa Clara
		City of Ukiah
		Plumas-Sierra REC
		Port of Oakland
		Truckee Donner PUD
		Other
		<input type="checkbox"/>

If other, please specify.

Place an X in the box next to the applicable Member(s) above.

RECOMMENDATION:

That the Commission ratify the appointment of Melissa Price, Lodi, as a member of the Finance Committee as described below.

BACKGROUND:

The NCPA Amended and Restated Commission Rules of Procedure (a.k.a. By-Laws) provides for a standing Committee, known as the Finance Committee, which considers all financial, accounting or auditing matters referred to it by the Commission, its Chairman, the Executive Committee, the General Manager or the Chief Financial Officer of the Agency. Appointment to this Committee is made by the Commission Chairman, subject to ratification by the Commission and is presently comprised of 5 members.

Current members of the Finance Committee are as follows:

Maddi Deaton, City of Alameda Public Utilities Board Member, Chairman
Matt Michaelis, Finance Director, City of Gridley
Phillip McAvoy, Electric Rates and Financial Administrator, Roseville Electric
Jordan Ayers, Deputy City Manager/Internal Service Director, Lodi
Ann Hatcher, Electric Division Manager, Santa Clara

Jordan Ayers, City of Lodi, has given notice of his retirement in December 2016, thereby creating a vacant position on the Finance Committee. It is recommended by NCPA Commission Chairperson Bob Lingl, that Melissa Price, Rates & Resources Manager for the City of Lodi be appointed to the NCPA Commission Finance Committee, replacing Jordan Ayers.

FISCAL IMPACT:

This report has no direct fiscal impact to the Agency.

ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

Respectfully submitted,



BOB LINGL
Commission Chair



21

Commission Staff Report

November 14, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Agency In-House General Counsel; Approval of Position, Job Classification and Salary Grade

AGENDA CATEGORY: Discussion/Action

FROM: Vicki Cichocki *V/C*

METHOD OF SELECTION:

Human Resources Manager N/A

Division: Executive Services

Department: Human Resources

IMPACTED MEMBERS:

All Members ☒

City of Lodi ☐

City of Ukiah ☐

Alameda Municipal Power ☐

City of Lompoc ☐

Plumas-Sierra REC ☐

Bay Area Rapid Transit ☐

City of Palo Alto ☐

Port of Oakland ☐

City of Biggs ☐

City of Redding ☐

Truckee Donner PUD ☐

City of Gridley ☐

City of Roseville ☐

Other ☐

City of Healdsburg ☐

City of Santa Clara ☐

If other, please specify:

RECOMMENDATION:

Staff recommends that the Commission adopt Resolution 16-84 approving creation of an in-house legal position with Job Classification: General Counsel, with an assigned salary grade of 31, which has a minimum starting salary of \$208,146 and control point of \$260,182 as reflected in the Agency's 2017 Administrative General Wage Structure.

BACKGROUND:

Legal expertise and services are essential to the success of NCPA but must be integrated and coordinated across the Agency's various divisions to promote efficiency in decision-making in a complex legal environment and capture economies wherever possible. The Agency's Bylaws provide that "the General Counsel shall be appointed by, and serve at the pleasure of, the Commission. He or she shall provide legal advice and assistance to the Commission and its committees, officers and staff, as requested, and shall provide liaison for the Commission, its committees, officers, and its staff, with the principal attorneys of each of the Members."

Historically, NCPA has employed outside General Counsel and hired various specialized attorneys on an as-needed basis. The position of General Counsel was last evaluated in August 2010 through a formal Request for Qualifications process.

In furtherance of the Strategic Plan goals to control costs and minimize risks while maximizing the value of assets, the Agency has evaluated its legal needs in light of the changing electric industry and the associated challenges and complexities it faces. It has examined the costs associated with legal services over the past five years and seeks to reduce those costs by bringing the General Counsel position in-house. Among other duties and responsibilities, in-house counsel would handle the expected increase in legal transactional work associated with the shared services and expanded services contracts to support the Members, coordinate and provide oversight of the engagements with specialized outside counsel, represent NCPA in all legal actions, and work with the General Manager to provide highly expert counsel to the Commission. Access to General Counsel services would be available to the Commission, management, and employees on a full-time basis.

FISCAL IMPACT:

While an in-house General Counsel position was not included in the FY 2017 annual budget, an AGM I Business Development position was included. The Agency proposes repurposing that budgeted and approved headcount for this position. In addition, approximately \$450,000 of legal services was approved in the FY 2017 budget and it is estimated that a savings of approximately \$150,000 per year will be realized by bringing the General Counsel position in-house. As such, the costs to cover this position are already fully accounted for in the FY 2017 budget.

Based on comparator pay data obtained from NCPA members and industry salary surveys, a pay grade of 31, which has a minimum starting salary of \$208,146 and a control point of \$260,182 as reflected in the Agency's 2017 Administrative General Wage Structure, is recommended.

SELECTION PROCESS:

The Agency anticipates hiring in-house counsel supplemented by specialized external legal services. However, in the event no qualified in-house counsel can be identified, the Agency may elect to award a legal services contract to an outside legal entity. To support this approach, a Request for Qualifications and Proposals was dispatched to potentially qualified firms and individual attorneys on November 4, 2016. Proposals are due December 1, 2016.

Based on the results of the General Counsel job search and the responses submitted to the Request for Qualifications and Proposals, an analysis will be performed and a recommendation will be made to the Commission as to which alternative will bring more benefit to the Agency.

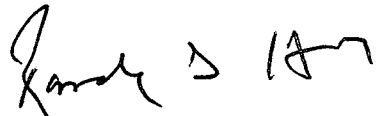
ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

COMMITTEE REVIEW:

General Counsel services for the Agency have been discussed with the Executive Committee. It was agreed that this two-pronged approach to the fulfillment of needed Agency legal services was the best approach and could provide potential cost savings to the Agency.

Respectfully submitted,



RANDY S. HOWARD
General Manager

Attachments:

- Resolution
- Job Description for General Counsel position

RESOLUTION 16-48

**RESOLUTION OF THE NORTHERN CALIFORNIA POWER AGENCY APPROVING
AGENCY IN-HOUSE GENERAL COUNSEL POSITION, JOB CLASSIFICATION, AND SALARY GRADE
(reference Staff Report #222:16)**

WHEREAS, legal expertise and services are essential to the success of NCPA but must be integrated and coordinated across the Agency's various divisions to promote efficiency in decision-making in a complex legal environment and capture economies wherever possible; and

WHEREAS, in furtherance of the Strategic Plan goals to control costs and minimize risks while maximizing the value of assets, the Agency has evaluated its legal needs and the costs associated with legal services over the past five years and seeks to reduce those costs by bringing the General Counsel position in-house; and

WHEREAS, a two-pronged approach to the fulfillment of needed Agency legal services is being pursued as the approach to provide potential cost savings to the Agency; and

WHEREAS, based on the results of the General Counsel job search and the responses submitted to the Request for Qualifications and Proposals, an analysis will be performed and a recommendation will be made to the Commission as to which alternative will bring more benefit to the Agency; and

WHEREAS, this activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary; and

NOW, THEREFORE BE IT RESOLVED, that the Commission of the Northern California Power Agency approves creation of an in-house legal position with Job Classification: General Counsel, with an assigned salary grade of 31, which has a minimum starting salary of \$208,146 and control point of \$260,182 as reflected in the Agency's 2017 Administrative General Wage Structure.

PASSED, ADOPTED and APPROVED this ____ day of _____, 2016 by the following vote on roll call:

	<u>Vote</u>	<u>Abstained</u>	<u>Absent</u>
Alameda	_____	_____	_____
BART	_____	_____	_____
Biggs	_____	_____	_____
Gridley	_____	_____	_____
Healdsburg	_____	_____	_____
Lodi	_____	_____	_____
Lompoc	_____	_____	_____
Palo Alto	_____	_____	_____
Port of Oakland	_____	_____	_____
Redding	_____	_____	_____
Roseville	_____	_____	_____
Santa Clara	_____	_____	_____
Truckee Donner	_____	_____	_____
Ukiah	_____	_____	_____
Plumas-Sierra	_____	_____	_____

BOB LINGL
CHAIR

ATTEST:

CARY A. PADGETT
ASSISTANT SECRETARY

NCPA Job Description

Job Classification: Attorney
Job Title: General Counsel
Department: Executive Services
Reports To: Board of Commissioners
FLSA Status: Exempt; At-Will status
Prepared By: Randy Howard
Prepared Date: September 26, 2016
Approved By: Vicki Cichocki, Human Resources Manager
Approved Date: 9/29/2016

Summary: Serves as General Counsel and provides highly expert and technical counsel to the NCPA Commissioners, management, and employees on major legal and business matters that are tied to the strategic goals of NCPA, as outlined by the Commissioners, and implemented by the General Manager through NCPA policy, practices, and/or procedures; Provides legal support and advice while working within a team environment; Represents NCPA in legal proceedings; and ensures that NCPA activities support NCPA's strategic objectives and are in compliance with applicable laws and regulations.

Essential Duties and Responsibilities include the following. Other duties may be assigned.

Serves as General Counsel and represents NCPA in all legal actions, including representing any officer or employee in any action arising from the performance of official duties.

Works with management in preparing the annual legal budget and develops metrics related to legal activity at NCPA.

Serves as legal, technical or functional expert or consultant providing legal expertise and/or direction in the areas of (i) municipal law, (ii) wholesale markets and transactions, including matters attendant to the California Independent System Operator Corporation (CAISO), (iii) North American Electric Reliability Corporation (NERC) reliability standards and compliance; (iv) complex transactions/project development and negotiations; (v) Federal Energy Regulatory Commission (FERC) regulatory matters, and (vi) labor and employee relations.

Assumes responsibility for working as an effective team member in resolving complex problems; oversees complex projects; and serves in an executive role and assists in planning, coordinating, prioritizing, monitoring and evaluating the work results of external counsel.

Prepares or assists in the preparation of all NCPA resolutions, agreements and contracts, and approves the form of such instruments. Attends meetings of the Commission and committees as may be required and provides legal advice on the agenda items.

Plans, coordinates, monitors, and guides activities with NCPA employees or within a Legal Committee environment to meet established task objectives and deadlines; effectively communicates and collaborates with the Commission; and demonstrates strategic ability by anticipating future consequences and trends accurately.

Provides expert written and verbal counsel to all levels of NCPA personnel by (i) researching current and proposed relevant laws and regulations; (ii) determining the facts related to the situation(s) being reviewed; (iii) analyzing the risks and benefits of proposed actions and policies (including alternatives); and (iv) recommending legally sound and proactive course(s) of action. Ensures the delivery of expert, legally sound, and thorough analyses and guidance in support of NCPA's strategic objectives and the minimization and/or resolution of claims and lawsuits brought against NCPA.

Supervises the litigation performed on behalf of NCPA in state and federal courts by (i) participating in all aspects of the litigation, including discovery, motions and trial preparation; (ii) coordinating and monitoring the assistance of external counsel, witnesses and others; (iii) preparing and conducting legal activities related to appeals; and (iv) presenting reports and analyses of the final resolution to management.

Provides counsel and legal services related to complex transactions by negotiating and drafting contracts and agreements for a variety of projects. Ensures the protection of NCPA in relation to its contracts and agreements and the provision of all contracted services and products.

Provides representation for NCPA in proceedings before various federal, state and local administrative agencies (such as: the U.S. Department of Energy, the Federal Energy Regulatory Commission, the California Energy Commission, the California Public Utilities Commission, the California Air Resources Board among others) by serving as a technical expert; preparing or overseeing preparation of all aspects of the proceeding; presenting and/or coordinating and monitoring the assistance of external counsel, expert witnesses and others; coordinating and preparing any necessary follow-up; and presenting reports and analyses of the final resolution to management.

Assists in administering the legal budget by participating in planning, monitoring and revising schedules, work plans, expenditures and assignments.

Provides staff training related to legal transactions, ethics, public record requests, and other legal matters as necessary; promotes a safe work environment.

Performs related duties, as required.

Supervisory Responsibilities

This job supervises one part-time Administrative Assistant.

Competencies

To perform the job successfully, an individual should demonstrate the following competencies:

Work with and gain the trust at all levels of NCPA, including Commissioners and members of executive management.

Research, analyze and interpret complex legal issues and problems skillfully and develop appropriate courses of action timely for management review. Demonstrate attention to detail. Provide practical, proactive, and solution-oriented legal advice in order to meet business and policy objectives.

Explain highly complex, sensitive and/or controversial policies, regulations, procedures and/or activities internally/externally. Express ideas/facts clearly and concisely to individuals or groups, taking into account the audience and nature of information. Communicate effectively (both orally and in writing) and appropriately shift from one communication style to another.

Negotiate complex transactions, and draft project agreements. Interact respectfully and communicate clearly, persuasively and tactfully with others to influence outcomes and motivate behavior(s). Reconcile significant and/or controversial differences to bring interested parties to consensus.

Clearly and concisely draft statements of fact, law and argument and other legal and business documents and correspondence. Represent NCPA's position in court and at legal hearings.

Interpret and apply NCPA policies, procedures, and agreements. Identify significant organizational issues, concerns and needs and develop strategies for rectifying them.

Provide leadership to other team members and subordinates. Work effectively as a team member with other NCPA personnel and managers. Listen and consider others opinions and perspectives.

Work ethically with integrity. Uphold organizational values. Take responsibility for own actions. Complete work in a timely manner. Follow through on commitments.

Qualifications

To perform this job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill, and/or ability required. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

Knowledge of

Principles and practices of municipal law including the organization, duties, powers, limitations, and authority of municipal government. Pertinent local, State and Federal laws, rules, and

regulations. Transmission system operations and wholesale energy markets; NERC reliability standards; FERC regulations regarding open access transmission and standards of conduct; statutes and case law governing the organization and powers of public agencies and utilities; principles, procedures and practices related to preparing for and conducting legal actions and proceedings; and techniques and practices for negotiating.

Education and/or Experience

Juris Doctorate degree from an accredited college or university.

Experience: Minimum of seven (7) years of progressively responsible relevant work experience; subject matter expertise in public policy, utility operations, transmission planning and operations, wholesale energy markets, and NERC reliability standards; and supervisory experience with external counsel, including areas of strategic importance to NCPA.

Language Skills

Ability to read, analyze, and interpret common scientific and technical journals, financial reports, and legal documents. Ability to respond to inquiries or complaints from customers, regulatory agencies, or members of the business community. Ability to write speeches and articles for publication that conform to prescribed style and format. Ability to effectively present information to top management, public groups, and/or boards of directors.

Reasoning Ability

Ability to solve practical problems and deal with a variety of concrete and changeable variables in situations where only limited standardization exists. Ability to interpret a variety of information furnished in written, oral, diagram, numeric, or other form.

Computer Skills

To perform this job successfully, an individual should have knowledge of and proficiency with legal databases and research tools; word processing, presentation, and email software, e.g. Outlook, Word, and PowerPoint

Certificates, Licenses, Registrations

Must be a member of the State Bar of California and be qualified to practice before the Supreme Court of the State of California.

Possession of, or ability to obtain, and maintenance of a valid California driver's license with a good driving record as evidenced by freedom from multiple or serious traffic violations or accidents for at least three years

Other Skills and Abilities

The successful candidate should combine as many of the skills, experience and knowledge listed above as possible. The General Counsel must use all of his/her skills, knowledge, and abilities as listed previously in a concerted effort to reach the desired objective of the Commission and executive management. This effort must be accomplished in an environment, which is complex from a factual stand-point and contains many players with differing objectives. Significant prior experience working for an electricity utility (publicly owned or investor-owned), relevant regulatory agency, or electricity utility related business or organization is preferred.

Other Qualifications

Physical Demands - The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

While performing the duties of this Job, the employee is regularly required to sit. The employee is frequently required to talk or hear. The employee is occasionally required to stand or walk. The employee must regularly use hands to finger, handle, or feel. The employee must occasionally lift and/or move up to 10 pounds. Specific vision abilities required by this job include close vision. Applicants must be able to perform the essential job functions with or without a reasonable accommodation.

Work Environment - The work environment characteristics described here are representative of those an employee encounters in an office environment while performing the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

The noise level in the work environment is usually moderate to quiet.

Travel – Some travel is required.

Employee Signature

Date



Commission Staff Report

November 16, 2016

COMMISSION MEETING DATE: December 1, 2016

SUBJECT: Approval of Interim Revenue Allocation Policy

AGENDA CATEGORY: Discussion/Action

FROM:	David Dockham <i>D. Dockham</i>	METHOD OF SELECTION:
	AGM, Power Management	N/A
Division:	Power Management	<i>If other, please describe:</i>
Department:	Industry Restructuring	N/A

IMPACTED MEMBERS:		
All Members <input checked="" type="checkbox"/>	City of Lodi <input type="checkbox"/>	City of Ukiah <input type="checkbox"/>
Alameda Municipal Power <input type="checkbox"/>	City of Lompoc <input type="checkbox"/>	Plumas-Sierra REC <input type="checkbox"/>
Bay Area Rapid Transit <input type="checkbox"/>	City of Palo Alto <input type="checkbox"/>	Port of Oakland <input type="checkbox"/>
City of Biggs <input type="checkbox"/>	City of Redding <input type="checkbox"/>	Truckee Donner PUD <input type="checkbox"/>
City of Gridley <input type="checkbox"/>	City of Roseville <input type="checkbox"/>	Other <input type="checkbox"/>
City of Healdsburg <input type="checkbox"/>	City of Santa Clara <input type="checkbox"/>	<i>If other, please specify.</i>
<hr/> <hr/>		

RECOMMENDATION:

Staff recommends the Commission adopt a Resolution that establishes an interim policy for allocating revenues to Members resulting from NCPA's provision of Power Management and Administrative services to non-member third parties, which is based on the following elements:

1. Implemented at the beginning of Fiscal Year 2018;
2. Reviewed annually, or more frequently if necessary;
3. Allocates revenues to Members that are not under a fixed-rate pricing structure;
4. Allocates ten percent (10%) of revenues received toward Administrative & General (A&G) costs, in the same manner in which A&G budgeted costs flow to Members; and
5. Allocates the balance of revenues received toward Power Management and Administrative Services costs using the existing NCPA Power Management Cost Allocation Spreadsheet Model (otherwise commonly known as the "Nexant Model"), as such is defined in the Power Management and Administrative Services Agreement.

BACKGROUND:

Pursuant to NCPA Commission Resolution 15-37, in May 2015 the Commission directed the Facilities Committee to review the existing Nexant Model, prepare any recommended changes to the Nexant Model, and to coordinate this effort through a group comprised of Member volunteers (the "Review Group"). The Review Group identified a total of seven (7) major topics to evaluate, including developing a policy recommendation for allocating revenues to Members resulting from NCPA's provision of Power Management and Administrative services to non-member third parties.

NCPA has been selected to provide certain Power Management and Administrative services to the Placer County Water Agency ("PCWA") and the Merced Irrigation District ("MEID"). A portion of these services are scheduled to begin during NCPA Fiscal Year 2018. Revenues associated with these services will be invoiced and collected during the service term, resulting in revenues being collected from non-member third party service-takers in FY18.

The policy recommendations contained herein are the work product of the Review Group, which met four (4) times on this matter; the Facilities Committee, which met twice; and the Utility Directors, which met once. Several policy elements received unanimous support in all three venues, while other policy elements did not. The discussion below highlights the main policy elements and a brief justification for the proposal:

- **One-year term, with annual review:**

All Members in all forums support the policy recommendation of implementing the recommended revenue sharing approach on an interim, short-term basis while further considering issues such as whether non-member project participants should be allocated a portion of revenues and/or whether a New Business Development category of costs and revenues should be established.

- **Allocating a portion of revenue to offset A&G Costs:**

In order to ensure all NCPA Members receive some benefit from the expansion of Power Management and Administrative Services, a portion of revenues are recommended to be allocated to offset A&G costs. The Facilities Committee unanimously recommends allocating ten percent (10%) of revenues received for this purpose. Utility Directors expressed an interest in ensuring that all members benefit from new services, and asked Agency staff for a commitment to review options to make sure this outcome was achieved, but did not recommend a policy or an amount similar to the 10% that has been recommended by the Facilities Committee.

- **Pricing structure:**

All Members that take Power Management and Administrative Services are under a variable-rate pricing structure, where annual costs can fluctuate between years due to changes in budgeting levels, changes in portfolio, or relative changes in activity-based cost allocation drivers. Some Members may take Power Management and Administrative Services under a fixed-rate pricing structure, protecting themselves from increases in costs. To create symmetric risk and equity amongst Members, the Review Group and Facilities Committee unanimously recommend the allocation of revenue be based on variable-rate pricing elements, only.

- **Revenue Allocation Methodology**

All Members in all forums unanimously support using the Nexant Model to allocate revenues amongst the Members. Members did not unanimously agree on the precise methodology. The majority of the Review Group, Facilities Committee, and Utility Directors support using a full model run of the Nexant Model to determine how revenues are allocated. The minority position is to allocate revenues in proportion to the costs Members pay toward the "General Power Management" sub-total of the Nexant Model.

A detailed white paper outlining the issues, options, policy related discussions amongst committee members, and recommendations on each of the policy issues is attached to this staff report for your reference. If the Commission approves the formal set of recommendations above, this white paper will be incorporated into the library of documentation associated with allocation of costs and revenues under the Power Management and Administrative Services Agreement (PMASA), and will serve as the initial policy reference guide for staff that will be tasked with allocating new revenues under the annual budget process and as part of the All Resource Bill each month.

FISCAL IMPACT:

There is no incremental cost associated with the staff time and effort needed to implement this policy. Staffing levels will be included in the FY18 budget, and implementation of this policy is not expected to change staffing levels. Revenues associated with NCPA's provision of Power Management and Administrative services to non-member third parties are expected to be approximately \$600,000 in Fiscal Year 2018. Ten percent (10%) will be allocated to offset A&G costs in the same manner in which A&G budgeted costs are allocated, and the balance of revenues received will be allocated to Members using the Nexant Model.

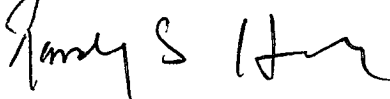
ENVIRONMENTAL ANALYSIS:

This activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary.

COMMITTEE REVIEW:

The recommendation contained herein was reviewed by the Facilities Committee, which met on November 2, 2016 and November 16, 2016, and was recommended for Commission approval.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Randy S. Howard", written over a horizontal line.

RANDY S. HOWARD
General Manager

Attachments: 2

RESOLUTION 16-90

RESOLUTION OF THE NORTHERN CALIFORNIA POWER AGENCY APPROVAL OF INTERIM REVENUE ALLOCATION POLICY

(reference Staff Report #228:16)

WHEREAS, pursuant to NCPA Commission Resolution 15-37, in May 2015 the Commission directed the Facilities Committee to review the existing NCPA Power Management Cost Allocation Spreadsheet Model (otherwise commonly known as the "Nexant Model"), prepare any recommended changes to the Nexant Model, and to coordinate this effort through a group of Member volunteers (the "Review Group"); and

WHEREAS, the Review Group identified a total of seven (7) major topics to evaluate as part of their effort, including developing a policy recommendation for allocating revenues to Members resulting from NCPA's provision of Power Management and Administrative services to non-member third parties; and

WHEREAS, based on the findings and recommendations developed by the Review Group and the Facilities Committee, NCPA staff propose to establish an interim revenue allocation policy to be used for allocating revenues resulting from NCPA's provision of Power Management and Administrative services to non-member third parties, as described in Staff Report 228:16; and

WHEREAS, this activity would not result in a direct or reasonably foreseeable indirect change in the physical environment and is therefore not a "project" for purposes of Section 21065 the California Environmental Quality Act. No environmental review is necessary; and

NOW, THEREFORE BE IT RESOLVED, that the Commission of the Northern California Power Agency adopts and approves an interim policy for allocating revenues to Members resulting from NCPA's provision of Power Management and Administrative services to non-member third parties, which is based on the following elements: (i) the policy will be implemented at the beginning of NCPA Fiscal Year 2018, (ii) the policy will be reviewed at least annually, (iii) revenues shall be allocated to Members that are not under a fixed-rate pricing structure and/or in proportion to services received under a variable pricing structure, (iv) ten percent (10%) of revenues received shall be allocated to offset Administrative and General ("A&G") costs, in the same manner in which A&G budgeted costs are allocated to Members, and (v) the balance of revenues received shall be allocated to offset Power Management and Administrative Services costs using the existing Nexant Model.

PASSED, ADOPTED and APPROVED this ____ day of _____, 2016 by the following vote on roll call:

	<u>Vote</u>	<u>Abstained</u>	<u>Absent</u>
Alameda	_____	_____	_____
BART	_____	_____	_____
Biggs	_____	_____	_____
Gridley	_____	_____	_____
Healdsburg	_____	_____	_____
Lodi	_____	_____	_____
Lompoc	_____	_____	_____
Palo Alto	_____	_____	_____
Port of Oakland	_____	_____	_____
Redding	_____	_____	_____
Roseville	_____	_____	_____
Santa Clara	_____	_____	_____
Truckee Donner	_____	_____	_____
Ukiah	_____	_____	_____
Plumas-Sierra	_____	_____	_____

BOB LINGL
CHAIR

ATTEST:

CARY A. PADGETT
ASSISTANT SECRETARY

COST ALLOCATION REVIEW GROUP WHITEPAPER

The NCPA Commission formed a group to review the Power Management and Administrative cost allocation methodologies. This "Review Group" is comprised of 5 volunteers representing 5 NCPA Members, and it has convened multiple meetings and explored 7 topics. This white paper presents the Review Group's finding and recommendations on "Issue 7" which addresses how to allocate revenues produced by the expansion of Power Management services. With certain caveats, the Review Group recommends the use of the Nexant cost allocation model to allocate revenues.

*Findings and
Recommendations
for "Issue 7" – The
allocation of Power
Management
revenues*

Issue #7: Allocating Revenue Associated with New Services

The following material is a detailed discussion of the Review Group's analyses and recommendations on the allocation of revenue from marketing Power Management services to third parties. The "Introduction" section captures this issue in brief, capturing all major concepts and recommendations. All subsequent sections, starting with "Broad Recommendations" on page 2, captures the discussion of each point in detail and offer greater insight in how the Review Group reached its recommendations.

Introduction

Successful marketing of Power Management services to new customers will create need for NCPA to allocate the associated revenues. The Review Group discussed this topic over several meetings¹ and has examined a number of ways NCPA could allocate revenues associated with new services. The Review Group ultimately recommends NCPA use the Nexant cost allocation model for this purpose, on a short-term basis. The rationale for using the Nexant model is strong, including its many strengths in advancing several principles the Review Group formed to help guide its analysis and recommendations. The Review Group has developed two threshold tests it recommends to determine eligibility to receive new revenues, and the group recommends a way to address transition issues when NCPA's Membership changes. The Review Group explored several detailed cases that test its recommendations. These include applying new revenue (a) to unfunded liabilities (personnel-related costs), (b) to NCPA Administrative and General (A&G) expenses, and (c) to facilities that have non-Member participants.

The Review Group reached unanimous positions on each of the following points and provided the following recommendations:

Recommendation	Rationale, in Brief
Use the Nexant cost allocation model to allocate revenues, on a short term basis	The model maps revenues to the functions that are producing that revenue; it is objective, repeatable, auditable; there is relatively low incremental cost to implement; it uses same drivers in allocating costs and revenues
Use membership status as a threshold test, reserving revenues for Members only, with some limited exceptions, under the discretion of the NCPA Commission	It is a bright-line test, it represents a clear value proposition for existing and prospective Members, and it recognizes Members' investments that have built NCPA technology and staff development.
Use Members' pricing structure as a threshold test, reserving revenues to Members that take NCPA Power Management services under a variable-rate price structure (i.e. can change from year-to-year), or portion thereof	This concept matches revenues with the type of price-risk Members take on under Power Management service contracts. Under fixed-rate price structures, Members would be shielded from price increases. Allocating revenues toward these portions of Members' portfolios create asymmetric risk/reward and does not balance equity with Members under a variable-rate structure (i.e. can change year-to-year).

¹ The Review Group met on May 5, and on October 3, 12, and 25.

Recommendation	Rationale, in Brief
Support use of revenues toward unfunded liabilities (personnel-related costs), provided that revenues and costs are accounted for separately and use of funds are directed by Members	Separate accounting of costs and revenues, to the Member level, best promotes an equitable allocation of both. Allowing Members to direct use of funds recognizes some may have alternative means to satisfying their share of obligations.
Support an allocation of revenues toward Agency A&G expenses (beyond what is already allocated to Power Management, provided that (a) the policy is applied broadly, and (b) the proportion allocated is representative of the time, effort and duration the A&G group expends in advancing business development	Other NCPA programs may generate revenue, and allocation processes should be applied consistently throughout the organization. The proportion and duration of revenues allocated to A&G should recognize (and be based on) effort expended by the group in business development.

The Review Group did not reach a unanimous position on how to address revenues toward NCPA Projects (i.e. assets owned and operated by NCPA, not power supply acquired through contract) that have non-Member participants. Discussions focused on the LEC, since it is a large payer of NCPA Power Management and Administrative Costs and its non-Member Participants represent about half of the Project. However, the matter affects the Geothermal facility since it has one non-Member Participant. At question is whether the portion of the facility represented by non-Members should be eligible for an allocation of revenue. The majority of the group (4 of 5) supports a full allocation of revenue to the facility, including to non-Members.

The discussion that follows describes the Review Group's broad recommendations, applications in specific cases, and conclusions.

Broad Recommendations

This section discusses three broad recommendations of the Review Group: (1) use the existing Nexant cost allocation model to allocate revenues, (2) implement two threshold tests to determine eligibility for revenue allocations, and (3) address transition issues with changes in Membership status by using lagged data for revenue allocation.

Use the Existing Nexant Cost Allocation Model to Allocate Revenues

Multiple members have expressed several concerns with the model, both in general and in the context of allocating revenues. This includes, but is not limited to, the age of the Nexant study and time in motion study that is used to translate NCPA budgeted costs into Members' allocated costs, that some Power Management activities may not be accurately captured by the Nexant model design (e.g. setup costs when adding new customers and/or resources), and the inherent challenges with allocating large fixed costs of shared resources using activity-based cost drivers.

Despite these concerns, the Review Group recommends the Nexant cost allocation model be used to allocate revenues associated with the provision of Power Management services to new customers, at least on a short term basis. This recommendation is based on the analysis of the Nexant cost allocation

model mechanics and an analysis of cost allocation principles for revenue allocation, below. The Review Group plans to hold additional meetings to develop recommendations for long-term application.

ANALYSIS OF NEXANT COST ALLOCATION MODEL MECHANICS

The purpose of this analysis is to determine if the model's design is suitable for allocating revenue. The model was explicitly designed to allocate Power Management and Administrative costs to Members who subscribe to power management services. It was not explicitly designed to allocate costs to third parties, nor was it explicitly designed to allocate revenues.

The Nexant cost allocation model uses a multi-step process to allocate all Power Management and Administrative Services overhead costs to all Power Management service takers, specific to services provide². This model first maps budgeted costs to specific service areas (e.g. schedule coordination, real-time dispatch). Costs are then allocated to members who take services in a service area, in proportion to appropriate cost allocation factors³.

The Nexant cost allocation model currently allocates revenue from additional services implicitly, using the same logic and methodologies used to allocate budgeted costs. To date, providing additional services to members and third parties has not changed NCPA's cost levels. However, the level of service, or the activity represented by model inputs, has increased as services are expanded. The model is allocating the same amount of costs to a larger number of customers. This results in an allocation of costs to the new customer/service and a decrease in allocated costs to incumbents (i.e. existing members). The allocation of revenue is implicit within the Nexant model, since revenues materialize in the form of reduced allocation of costs. It is important to highlight that the allocation of cost and revenue are using the same logic and allocation factors. This means that revenues for a particular service are allocated to those who take the same service. Furthermore, it means revenues are allocated to this sub-group of Members in proportion to their cost allocation factors, a proxy for how much of that service area they draw upon.

For example, when Palo Alto and SVP brought new generation facilities to NCPA for scheduling services, the Nexant cost allocation model was used to determine the cost of all associated Power Management services. Each took a different level of service from NCPA for their respective facilities. SVP introduced the Tri-Dams facilities and are allocated costs for SCALD⁴ (scheduling coordination and load dispatch), only. SVP was allocated costs for these resources, which decreased the allocated costs to all other Members who paid SCALD, which is nearly all of them. In a slightly different example, Palo Alto introduced solar PV facilities and are allocated costs for SCALD; Forecasting; Resource Planning, Optimization & Risk Analysis; Industry Restructuring and Regulatory Affairs; Contract Maintenance,

² Some costs are allocated to Members via a direct assignment.

³ As determined by the Nexant study and as reviewed and approved by NCPA, Members, and/or the NCPA Commission

⁴ SCALD includes costs associated with dispatch & real time resource management, scheduling coordination and real time portfolio balancing, system control and data acquisition, and NERC/WECC compliance.

Negotiation and Administration and Litigation Support⁵. Palo Alto's allocation of costs increased in all of these areas, which decreased costs for all other Members who took services in these same areas.

When services are expanded to third parties⁶, the model will allocate revenues in this same manner. Suppose a new customer is added and it takes services under SCALD only. Its costs are based on the Nexant cost allocation model, and all Members who take services in SCALD will be allocated their share of revenues in proportion to the cost allocation factors associated with SCALD. Since Palo Alto and SVP contribute a substantial amount towards SCALD costs (nearly 60% combined), they would receive the most benefit to a new customer who subscribes to SCALD services.

This analysis examined the Nexant cost allocation model structure to assess if there were any major flaws if used to allocate revenues. The Review Group finds no major flaws. In fact, the Nexant model allocates revenue today. Thus, the Review Group finds the Nexant cost allocation model could be used to allocate revenues. To help determine if the Nexant model should be used for this purpose, the Review Group expanded upon this analysis to assess whether the Nexant model promotes any of the Review Group's cost allocation principles, which is discussed next.

ASSESSING THE NEXANT MODEL BASED ON COST ALLOCATION PRINCIPLES

The Review Group invested substantial time in developing cost allocation principles, which serve as guideposts in assessing the numerous proposals and ideas deliberated by this group. These principles represent the overarching goals and values this Review Group seeks to promote with its recommendations. In this analysis, the Review Group finds that the use of the Nexant cost allocation model promotes most of its cost allocation principles, specifically: (i) Causation, (ii) Equitable Allocation of Fixed and Variable, (iii) Transparency, (iv) Simplicity, (v) Durability, and (vi) Comparable Treatment. Each are be discussed below.

Using the Existing Model Support the Principle of "Causation"

The principle of "Causation" focuses on the underlying factors as to why costs (or revenues) are incurred and finding the most appropriate way to allocate them. New revenue manifests when a service is marketed successfully. Since the specific service is the cause of the revenue, the Review Group believes it should be allocated to those Members who also subscribe to the service. Moreover, the allocation should be made in proportion to Members' allocation of cost in that service.

To illustrate that point, we return to the previous example where SVP was allocated costs for SCALD services when it introduced the Tri-dam facilities. SVP was allocated additional costs in this area for this addition. Would it have made sense for a portion of monies paid by SVP to be allocated to "Western Representation and Advocacy" or "Pooling Committee"? This Review Group does not believe so. The revenues are associated with the services provided in a specific service area and should be allocated to the Members who subscribe to that same area. This raises a second issue: in what proportion should

⁵ Provision of services is determined by the customer, members, and contracts with NCPA.

⁶ NCPA has used the Nexant cost allocation model when preparing quotes for prospective customers. The proposed scope of services is modeled as if for a Member, and the results are subject to review and revision through NCPA's established approval process. The final contract rate may differ from the Nexant model output.

revenues be allocated within a service area? The Review Group finds the best allocator is the proportion of costs paid by Members who subscribe to that service area.

The Nexant model allocates costs and revenues in the manner identified by the Review Group. It contains logic that isolates proportions of budgeted costs to specific services. Furthermore, the model contains model inputs specific to each member that can serve as a means to allocate revenue for a given service to those who also take that service. Therefore, the Review Group finds that using the existing Nexant cost allocation model to allocate revenues promotes the principle of "Causation."

*Using the Existing Model Support the Principle of
"Equitable Allocation of Fixed and Variable Costs"*

The principle of "Equitable Allocation of Fixed and Variable Costs" acknowledges that most of the costs allocated by the Nexant cost allocation model are fixed in nature, and many of the staffing and infrastructure of Power Management are shared resources (across multiple service areas and to several service takers within a service area). Finding cost (or revenue) allocation factors can be challenging, subjective, and open for prolonged debate. NCPA and its members suffered through such a prolonged debate that eventually produced the Nexant cost allocation model.

Despite the many concerns Members have expressed with the current Nexant cost allocation model, the Review Group finds that using the existing Nexant model to allocate both costs and revenues from new services would promote the principle of "Equitable Allocation of Fixed and Variable Costs." The Review Group evaluates "equitable" as (a) consistent treatment of cost and revenue from case to case, and (b) an objective means of executing an allocation. The Nexant cost allocation model promotes both. As described above, the Nexant cost allocation model allocates both costs and revenues simultaneously each time a new service is added, whether that is for a Member or a third party. These allocations are based on defined inputs identified in the Nexant study, are reviewed by NCPA and Members, and are ultimately approved by the NCPA Commission each budget cycle and with each proposal for new service. The process follows the same general process each time new services are rendered.

Using the Existing Model Support the Principle of "Transparency"

The principle of "Transparency" addresses the ease in which one can review the allocation methods, the repeatability and predictability in the relationship between inputs vs. outcomes, and the openness of the review process when the model is updated. The Review Group believes using the existing Nexant cost allocation model to allocate revenues promotes this goal, albeit with the caveat that the model may need updating and restructuring in some areas. Despite these concerns, the model can be used to generate simulations, outcomes can be repeated, and the methodology is laid out in a spreadsheet all Members have access to.

The process under which the Nexant model is updated and implemented each year is open and collaborative. The model inputs are provided to Members each year and all parties have an opportunity to review and comment before materials are sent to the Commission for final review and approval. There are a number of examples where this review process has identified issues and led to corrections

or changes to methodologies.

For these reasons, the Review Group finds that using the existing Nexant cost allocation model to allocate revenues supports the principle of "Transparency." Model inputs are provided to and reviewed by Members each budget cycle, its formulae are visible and available in spreadsheet form, it can be used for simulation modelling and results are repeatable.

Using the Existing Model Support the Principle of "Simplicity"

The principle of "Simplicity" addresses the Review Group's general preference to avoid cumbersome algorithms unless greater complexity adds measurable value. The Review Group discussed a number of different ways in which NCPA could allocate revenues from new service, some that are hybrids of others, and concepts that move beyond revenue allocation and into designating use of funds.

- (a) Use the existing Nexant cost allocation model
- (b) Equally dividing revenue to each Member (i.e. 1/n)
- (c) Using other allocation metrics, such as JPA percentages (i.e. load)
- (d) Peak demand for a defined time period
- (e) Proportionate share of a fiscal year budget
- (f) Allocating a portion of revenue broadly (e.g. 1/n) and allocating the balance of revenues using the Nexant model
- (g) Reserving a portion of revenue for a designated use, such as business development or new infrastructure.

As noted above, the principle of "Simplicity" encourages the use of straight forward methods unless there is value to adding complexity. Several possible methods contemplated above are simpler than using the Nexant cost allocation model, since few would characterize the existing Nexant model as simple.

Nonetheless, the Review Group discussed the merits of using the Nexant model to allocate revenue and finds it would promote the principle of "Simplicity." First, the Nexant cost allocation model is used to allocate revenues today. Continuing to apply the model in this way adds no additional cost or effort to NCPA or Members staff. Second, the additional complexity introduced by the model, compared to the other allocation drivers listed directly above, add greater precision to the allocation of cost and revenue. Third, it is highly likely that the Nexant cost allocation model will continue to be used to allocate costs, even if a separate method is adopted to allocate revenue. Adopting an alternative method to allocate revenues would introduce a second allocation model/method to operate and maintain.

Using the Existing Model Support the Principle of "Durability"

The principle of "Durability" addresses the Review Group's general preference toward algorithms that are robust and can withstand changes in the industry, NCPA membership, etc. The Review Group does not believe using the existing Nexant cost allocation model is a long-term solution. However, it is a strong solution until Members' concerns can be addressed. The Nexant cost allocation model has proven to be the most durable cost allocation method used in NCPA's history. It is an objective means to

allocate cost and revenues, it has proven to be sufficiently flexible and adaptable to cope with significant industry changes, it is has become an integral part of NCPA's budget approval process, and it serves as the basis for NCPA's responses to RFPs for power management services. Also, the Nexant cost allocation model currently allocates revenue for services. No changes would be required to use the Nexant model to allocate revenues. To the extent the NCPA Commission approves changes to the Nexant model as has occurred from time to time, changes could be limited to one set of allocation algorithms (i.e. same algorithms used to allocate cost and revenue), increasing durability.

Using the Existing Model Support the Principle of "Comparable Treatment"

The principle of "Comparable Treatment" addresses the Review Group's general preference for consistency. Members should be treated like other Members, generation resources should be treated like similar generation resources, etc.

The Nexant cost allocation model has been used to allocate revenues from Member services and the Review Group believes these same methodologies should be applied to revenues associated with revenues from third parties, in the short term. Members have changed their portfolios numerous times since the Nexant cost allocation model was implemented. In each case, new inputs were added according to the model structure, the Nexant study, NCPA contracts with Members, etc. In each case additional costs were allocated to the Member(s) who introduced the new workload and cost allocations were reduced for other Members who (a) participated in the same service area, and (b) were not adding new work. The Nexant cost allocation model was used to generate new revenue from Members who introduced new work to NCPA. The Review Group finds revenue from third parties should be allocated using a comparable method, or the Nexant cost allocation model, in accordance with the principle of "Comparable Treatment."

ANALYSIS OF ALTERNATIVES

In contrast to using the model, the Review Group examined a number of alternatives, listed below. The Review Group finds the existing Nexant model best promotes the group's principles.

Method	Strengths	Weaknesses
Existing Nexant Model (recommended)	See above	
Uniform allocation (1/n)	<ul style="list-style-type: none"> - Relatively simple and easy to implement - Predictable, replicable 	<ul style="list-style-type: none"> - Fails to meet several cost allocation principles; particularly causation, equity, transparency, and comparable treatment
JPA percentages		
Peak Demand for defined time period		

Method	Strengths	Weaknesses
Contribution toward Budgeted Costs	<ul style="list-style-type: none"> - Same as above - In proportion to contribution toward cost - Stronger relationship to activity-based allocation of Nexant model 	<ul style="list-style-type: none"> - Mapping to specific programs and activities is weaker than using the model directly - Small incremental effort to use the model for greater precision since it's already in production
Hybrid 1: <ul style="list-style-type: none"> - Uniform allocation - Nexant Model 	<ul style="list-style-type: none"> - Ensures recipients receive some base amount of revenues 	<ul style="list-style-type: none"> - Portion allocated between the two methods is subjective
Hybrid 2: <ul style="list-style-type: none"> - Business development fund - Nexant Model 	<ul style="list-style-type: none"> - Recognizes the current budget and Nexant model do not address BD functions 	<ul style="list-style-type: none"> - NCPA prefers actions such as business development come from Commission policy and actions with funding considerations held in those forums.

Threshold Tests to Determine Eligibility for Revenue Allocations

The second broad recommendation is to implement two threshold tests to determine whether an entity is eligible to receive revenue and to what extent. The first test is based on Membership status, while the second is based on the pricing structure under which the Member is receiving Power Management services (i.e. variable or fixed rate pricing structure).

MEMBERSHIP STATUS

The Review Group generally recommends the first threshold test to be based on Membership status, reserving revenues to NCPA Members. This creates a clear criterion when revenues are applied to members and non-members, it is a clear and measurable benefit to NCPA Membership when marketing to potential new Members, and it reflects the investments and commitments that today's Membership has made in forming and continuing to fund NCPA.

Types of Non-Members

The Review Group classified non-Members into 3 distinct groups based on their types of interactions with NCPA. First, there are service contracts with non-Member entities that individually subscribe to Power Management services. This includes entities like PCWA (Placer County Water Agency) and MEID (Merced Irrigation District), each of whom recently signed an agreement to take PM services on a contract basis. Second, there are non-Members who are part of a multi-party power purchase agreement that also includes NCPA Members. This is a hypothetical case since none exist in the NCPA portfolio. However, this case may materialize as Members increase purchase activity for RPS compliance. Third, there generation asset owned and operated by NCPA that include Non-Member Project Participants, which may represent an exception to this threshold test and will be addressed under "NCPA Projects with Non-Member Project Participants".

Service Contracts with Non-Members. The Review Group finds no reason to systematically allocate any

portion of revenue to Non-Members that have Power Management service agreements. The relationship between NCPA and these third parties is finite. It is defined by contract and risks, benefits, compensation, and service rates are defined. These parties negotiate with NCPA for services under a defined price structure for a defined period of time, and these contract terms should be adhered to for the applicable term of the contract.

Multi-Party Contracts with Members and Non-Members. The Review Group discussed the scenario where (a) NCPA Members work with non-Members to jointly purchase RPS-eligible products, and (b) NCPA wins contracts to provide Power Management services for some of these resources. The Review Group deliberated to assess how these types of resources and purchasing arrangements may affect revenue allocations. A key assumption to this analysis is that the resource is owned by a third party and the Members and Non-members purchase the output of the resource via a Power Purchase Agreement (i.e. the resource is not owned and operated by NCPA).

Under this construct, the Review Group finds no reason why the Non-member entity should systematically be allocated revenue that NCPA may produce by expanding Power Management services. Said differently, the service rates that NCPA charges to these Non-Members should not be affected by additional revenues that offset costs of the Power Management program. The Non-Members' investment in NCPA is finite and defined under the terms of the contract that facilitates scheduling services. For all intents and purposes, these Non-Members' relationship with NCPA is similar to those Non-Members that contract for Power Management services on an individual basis.

The complicating factor for this situation is the presence of NCPA Members. The Review Group finds that it may be appropriate to use these resources' model input factors in allocating revenues. Recall that this Review Group's overarching finding is to use the Nexant cost allocation model to allocate revenues. Thus, any resources added to the Nexant cost allocation model will impact the allocation of both costs and revenues. The Review Group finds that it is appropriate to use the resource's operating characteristics (i.e. Nexant model inputs) associated with the Member-controlled portions of these jointly-owned facilities to allocate revenues to NCPA Members, with one caveat. The Review Group believes that the type of pricing arrangement that the resource, Member participants, and Non-Member participants use when contracting for Power Management services should also be used to determine eligibility for revenue allocation, which is discussed

PRICING STRUCTURE FOR POWER MANAGEMENT SERVICES

The Review Group recommends that the second threshold test consider the pricing structure under which Power Management services are provided. Today, all services provided by NCPA Power Management are priced under a variable-rate structure that allows each Member's and/or Participant's allocation of cost to increase or decrease from year-to-year. Members have sought Power Management services under a fixed-price structure to avoid risk of increasing costs. The Review Group's analysis and recommendations focus on the symmetry of risk Members face under these two broad categories of pricing structure.

This discussion is intended to recognize the type of risks Members take on when contracting for Power

Management services with NCPA. Those that take services under a variable-rate structure are exposed to increases and decreases in costs between budget years. Those that take services under a fixed rate structure are not exposed to the same fluctuations, by design. The Review Group finds that the asymmetric risks that service-takers bear under these different pricing structures should influence revenue allocation. The chief argument is that revenue is a cause our source for cost allocations to Members/Participants to decrease and should be reserved for those that take on risks of cost allocation increases. No such risk of increase exists for those under a fixed-rate structure.

This exclusion would be applied by excluding any Nexant model inputs that are associated with the fixed-rate services. For example, suppose a Member purchases output from a resource and contracts for Power Management services under a fixed-rate service agreement for that resource. Any model inputs used to include and/or create the price for that specific resource would not be used in allocating revenues using the Nexant model. The Review Group understands this creates an implementation issue for NCPA staff. To date, no such functionality exists to include or exclude certain model inputs in allocating costs or revenues. NCPA staff will explore how this concept may be implemented.

Allocation of Revenues to New Members

The third broad recommendation of the Review Group is to considered how revenue allocation may be impacted if the NCPA membership level is changed. Under current policy, it is generally understood that new Members that also take Power Management services would receive an allocation of cost and revenues like any other Member, effective upon Membership. The Review Group believes this creates a small transition issue. The current Members have provided the commitment and investments to build the capabilities that are being marketed today. The Review Group recommends that these historic investments receive some consideration when allocating revenues to Members that join NCPA from this point forward. This could be as simple as using a previous year's Nexant model run to allocate revenues. The use of historic data is intended to capture legacy investments. While imperfect, it helps to address this transition issue.

This proposal introduces other issues. Lagged data are used elsewhere in the Nexant cost allocation methods and have come under scrutiny in recent years (e.g. schedule counts and contract counts). Historic data may not reflect current or future conditions particularly in changing conditions. The transition issue identified above is by definition a "changing condition." However, absent better data, the Review Group finds this to be a suitable concept that offers a small recognition toward legacy investments.

Alternatively, the Review Group briefly discussed other means of recognizing legacy investments made by the current membership. This included concepts along the lines of buy-in fees. However, the Review Group does not believe these to be appropriate at this time. Introducing additional barriers to expanding services would not promote NCPA's current strategic objective, especially if those costs are in no way tied to the proposed services to be provided.

The Review Group also discussed how the allocation of revenue to new members would make less revenue available to the existing member base. Discussions included limited (assumed) cases where the

allocation of revenue could result in an increase in the allocation of net costs to current members, giving the appearance of a cost increase. The Review Group does not believe these are a source of major concern that warrants specific action. One can assume that if a new Member joins (and takes Power Management services), their contribution toward Agency costs will be sufficient to offset any impact to the allocation of revenue.

Specific Application of the Review Groups Recommendations

The Review Group applied its broad recommendations to three specific cases, which follow:

1. Applying new revenues toward unfunded liabilities related to personnel costs;
2. Applying new revenues toward NCPA's Administrative & General costs, beyond what is allocated to the Power Management program; and
3. Applying new revenues to NCPA Projects that have Non-Member Participants

Unfunded Liabilities Related to Personnel Costs

On March 31, 2016, the NCPA Commission approved a formal Long Term Funding Plan for the Long-Term (NCPA) Retiree Medical Plan⁷. A component of that plan was to "consider [the use of] revenue [from new members or new services] to reduce the additional funding requirements [pending] a policy about allocation of revenue...by the Commission"⁸.

The Review Group agrees it is prudent to consider using new revenues to help prevent additional costs billed to Members. The Review Group believes this concept should be refined to allow each Member to direct how it may use its allocated portion of new revenue toward their allocated obligations contemplated under the long-term funding plan. In doing so, individual Members control their exposure to increased costs associated with this set of costs.

The Review Group shared a number of concerns over concepts that would direct new revenues to offset these costs without proper Member-by-Member accounting. These concerns stem from several inconsistencies with the Cost Allocation Principles that guide Review Group analyses. These concerns can be found in this Issue 7 paper, above, in section titled, "Analysis of Cost Allocation Principles, for Revenue Allocation."

In summary, the Review Group believes an accurate accounting of both the costs and new revenues are paramount to ensure equity within the NCPA membership. To help build upon the work of the Finance Committee, this Review Group offers additional criteria for the Commission's consideration when developing a policy that determines how new revenue will be allocated. The Review Group's contributions are as follows:

1. Revenues and costs should be accounted for on a Member-by-Member basis and in ways discussed in other areas of this paper,

⁷ Please see NCPA Staff Report 132:16.

⁸ Ibid, at 3.

2. Each Member be given control over its allocated share of new revenue, including the ability to direct any (or none) of its portion of new revenue to offset the Member's allocated share of obligations contemplated under the Long-Term Funding Plan.

NCPA Administrative and General Costs

In evaluating these concepts, the Review Group relied upon its principles of "Comparable Treatment" and "Causation."

Principle of Comparable Treatment. This principle was originally crafted with the Nexant model's algorithms in mind, but the Review Group finds this principle can be applied to the policy of allocating revenues. This principle is intended to create consistent actions across different situations. The policy that is being tested is: whether a portion of revenues produced by the expansion of Power Management services should be allocated to offset a broader set of A&G costs (i.e. outside of the Power Management program). The application of the Principle of Comparable Treatment is fairly straight-forward: if a portion of Power Management revenues are to be allocated outside of the Power Management program, then revenues generated by other NCPA Programs should be subject to the same treatment. Tying back to this policy test, if revenue is created by any program at NCPA, say expanded services in the Legislative & Regulatory division, then a portion of those revenues would be allocated to offset the broader A&G costs.

Principle of Causation. This principle drives the Review Group's global recommendation to rely upon the Nexant model to allocate revenues. In short, Causation drives the allocation costs and revenues based on the underlying sources of those costs and revenues. In general, NCPA's ability to expand its customer base in Power Management program activities is based on the Power Management department's capabilities and expertise (e.g. market expertise, staff capabilities, IS infrastructure, available capacity, etc.). The bulk of the staff time and expertise needed to expand Power Management's service base, including interactions with prospective clients/members is provided by Power Management staff. Therefore, it appears the allocation of revenue should flow predominately back to the Power Management program functions that provide these outreach, implementation, and operational services.

The "Causation" principle can be applied to determine if some proportion of new revenue should be allocated outside of the Power Management program. The Review Group recognizes that some of the technical capabilities and outreach efforts are provided by personnel in other divisions. What is not clear, and what is likely difficult to estimate, is the amount of time spent by other divisions and the duration of their efforts in business development.

- How much of A&G staff time and effort are used to expand Power Management services? If it is substantial, the "Causation" principle would support the notion of having some proportion of revenue allocated to A&G. Understanding the amount of time an effort other departments are spending on these efforts can help inform recommendations for the magnitude of the allocation of revenue.
- Is the effort short-term or persistent in nature? Is A&G's effort during marketing and implementation phases or does it carry over into operations (and not part of the normal

allocation of A&G)? Understanding this relationship help form recommendations for the duration in which PM revenues are allocated broadly to A&G functions. Example, this could be X% for Y fiscal years.

Combining the Principles of Comparable Treatment and Causation. The Review Group strongly believes it is important to apply a revenue allocation policy in a consistent manner and in a manner that relates back to the cause or source of that revenue. This group generally believes (1) policies for revenue allocation ought to be applied consistently—a portion of new revenue should be allocated to broader A&G in all cases or in no cases (Comparable Treatment); and (2) revenues should be allocated within the programs that are responsible for generating the revenue (Causation). As it relates to revenues generated by the expansion of Power Management services, this Review Group does not recommend allocating any portion outside the Power Management program, unless (a) there is a demonstrated and material amount of time and effort exercised by A&G in business development, and (b) a revenue allocation policy affords comparable treatment for revenues produced by other divisions and programs.

NCPA Projects with Non-Member Project Participants

While the Review Group recommends a threshold test that is based on Membership status, the Review Group discussed two possible exceptions: Lodi Energy Center and the NCPA Geothermal Project. Both Projects have one or more Project Participants that are not Members of NCPA. The Review Group explored whether the general notion of Members having exclusive rights to revenues is appropriate for these facilities. The Review Group focused its discussions on the LEC because of its large proportionate size in both cost and potential revenue allocation⁹.

The LEC is owned and operated by NCPA, it has a total of 13 Project Participants, 4 of which are not Members of NCPA, and the participation share¹⁰ between NCPA Members and non-Members is nearly 50/50¹¹. The LEC is not a traditional “NCPA Project” as defined in the Facilities Agreement. Membership status is a prerequisite in NCPA’s standard contracts. Thus, the LEC was established using different governing contracts¹².

LEC GOVERNING CONTRACTS

The LEC is allocated costs using the Nexant cost allocation model using the same methodologies applied to any other resources in the NCPA scheduling portfolio. Section 7.2 of the PSA notes, “NCPA shall use the same allocation method for allocating each category of NCPA Administrative Costs¹³ to the [LEC] as for other NCPA projects and programs.” NCPA General Counsel was asked to review the PMOA and PSA and to opine if NCPA is contractually obligated to allocate revenue to the LEC. General Counsel has concluded that the contract language does not obligate NCPA to allocate revenues to LEC. The contract

⁹ LEC contributed more than 10% of the Power Management & Administrative costs in FY 2016 and 2017. LEC would be allocated over 10% of revenues if the Nexant model is used to derive those figures.

¹⁰ The LEC governing documents use a defined term “Generation Entitlement Share” or “GES” to assess allocation of any and all liability, costs, and benefits.

¹¹ NCPA Members’ combined GES is 50.332% and non-Members combined GES is 49.668%.

¹² The “Project Management and Operations Agreement” or “PMOA” and the “Power Sales Agreement” or “PSA.”

¹³ The Section 6.1 of the PMOA refers to Section 7.2 of the PSA for the purposes of cost allocations and includes reference to Power Management costs.

contemplates project costs extensively but does not contemplate revenues. Thus, the question of whether to allocate revenues to LEC using the Nexant cost allocation model methodologies is a policy and business matter.

ALLOCATING COSTS TO LEC

The language in the PSA exposes the LEC Participants to a variable rate structure for Power Management services and is a direct function of Power Management's total budgeted costs. One specific example was raised in the Review Group's discussions: How would it affect LEC's costs if NCPA increases its staffing levels in the scheduling functions in response to the expansion of Power Management services? In this case, total costs have increased in areas where the LEC receives Power Management services, so the allocation of cost to LEC would increase. This point highlights how the pricing structure applied to LEC can result in an increased allocation of cost without a commensurate increase in work performed on behalf of LEC. It should be noted that the same mechanism applies in reverse: if the Power Management costs were to decrease, the allocation of costs to LEC would also decrease, presuming the decreases occur in areas where the LEC receives services.

The same mechanics can be seen in the application of the Nexant cost allocation model today. As noted above, SVP and Palo Alto have brought additional resources to NCPA for Power Management services (among other Members). Once these resources were added to the Nexant model, all costs were reallocated. SVP and Palo Alto, respectively, would be allocated a larger share of costs because of the increased level of the various activities that drive the allocation of cost. As a result, the allocation of cost to LEC decreased in direct proportion to the relative activities that drive the allocation of costs. The same will be true if Members remove resources from NCPA's portfolio. Assuming other things constant, all remaining service takers' costs, including LEC, would increase.

LEC's non-Member Participants also pay a JPA assessment in an amount they would otherwise pay if they were NCPA Members.

THE THRESHOLD TEST OF MEMBERSHIP STATUS

The Review Group examined the LEC with its principles toward membership status in mind. To reiterate, the Review Group generally believes revenues should be reserved for NCPA Members. Membership should have its privileges. During these discussions, the Review Group tested this principle as it relates to the LEC non-Member Participants to identify what differentiates Members and non-Members with respect to the plant. NCPA Members take on substantial operational, environmental, labor, general liability, etc. risks when investing in NCPA Projects. In these respects, the non-Member LEC Participants have taken on a commensurate level of risk as NCPA Members. The governing documents have the same force and effect as NCPA Third Phase agreements on other NCPA-owned facilities. It is a significant commitment and investment in the facility and NCPA.

REVIEW GROUP FINDINGS FOR LEC

The Review Group did not arrive at a unanimous position with respect to LEC. Alameda, Plumas, SVP, and Roseville favor a position that would allocate revenues to the LEC, and subsequently to non-Member participants of LEC. Palo Alto favors a position that would allocate revenues to the Members

that participate in LEC, but not the non-Member participants of LEC.

The main arguments in support of allocating revenues to LEC, including to non-Member Participants, are as follows:

1. LEC Participants have taken on a substantial level of risk and liability, for the life of the project, through the LEC governance contracts. The liabilities are commensurate with NCPA owned and operated facilities, including the CT1, CT2, Geothermal, and Calaveras Projects. In this sense, non-Member LEC Participants differ very little compared to Members. The level of risk exceeds that of other resources contracted for by Members through bilateral arrangements (i.e. owned and operated by third parties, purchased through a PPA).
2. LEC Participants are subject to an allocation of cost that can change from year to year. The change in cost can be independent of any service provision or activity level caused directly by LEC (e.g. increase staffing levels because of the expansion of services).
3. Current customs and practices allow LEC's allocated costs to increase or decrease when service levels are changed elsewhere in the NCPA portfolio (e.g. when Palo Alto and SVP introduced solar projects and the Tri-dams facilities, respectively).
4. The project economics of LEC were attractive, but participation levels from NCPA Members were insufficient to build to the proper scale to achieve those economics. Thus, NCPA expanded its participation base to include non-Members to increase participation levels.

The main arguments in support of limiting the allocating revenues to LEC, to Members only, are as follows:

1. Membership should have a clear benefit in order to promote the Agency. Allocation of revenues can serve that purpose.
2. NCPA General Counsel has opined that NCPA is under no contractual obligation to allocate revenue to the LEC. Also, to this Review Group's knowledge, there was no expectation that revenues would be allocated to LEC Participants at the time contracts were executed.
3. Scope creep: The same logic applied above (i.e. for allocating revenues to non-Member participants) can be applied to other NCPA Projects (i.e. Geothermal and TID) and future projects organized in similar fashion.
4. Causality: Members are ultimately responsible for directing and funding Agency activities, including building Power Management programs and developing staff capabilities. These activities are the services being marketed to non-Member agencies and any returns from the successful marketing should be returned to Members.

Summary & Conclusions

The Review Group identified the issue of revenue allocation as one of its seven areas of discussion. The group identified three broad recommendations:

1. The Nexant Cost Allocation model to be used to allocate revenues, on a short term basis.
2. Implement two threshold tests to determine eligibility for revenues and to what extent. The

tests are based on membership status and the pricing structure under which Power Management Services are provided (i.e. variable vs. fixed rate structures).

3. Address certain transition issues related to changes in Membership levels by using lagged data when allocating revenue.

The group applied its broad recommendations to three specific cases, reaching unanimous agreement on the first two issues listed below, and a 4-to-1 vote on the final issue.

4. Continue to consider the use of new revenue toward unfunded liabilities, but allowing each Member to direct its allocated share of revenue toward its allocated share of costs.
5. Consider allocating a portion of new revenues outside of the Power Management program (A&G expenses), provided that both the same allocation principle is used throughout NCPA and the amount of the allocation is representative to the amount of time and the duration of effort provided by those outside the primary NCPA program that is generating the new revenue.
6. Allocate revenues to NCPA Projects in total, including Project Participation shares represented by Non-Member Participants, with the understanding that revenues would flow to these Non-Member Participants.

Issue 7: Addendum

This supplemental material captures one additional topic discussed by the Review Group (i.e. selecting a specific revenue determinate), and it captures comments and modifications provided by the Facilities Committee¹⁴ and the Utility Directors¹⁵ in reaction to the Review Group's analysis, findings, and recommendations. The discussion that follows addresses each of the Review Group's recommendations and findings.

Using the Nexant Cost Allocation Model to Allocate Revenues

The Facilities Committee and Utility Directors both support using the Nexant model to allocate revenues that are produced with marketing Power Management (PM) and Administrative Services to non-member third parties. Both also agree to use the Nexant model for this purpose on a short term basis. The Utility Directors stated their preference that policy applied to the FY18 budget cycle should be temporary in nature and should defer making decisions in certain areas, described further below.

Using Threshold Tests to Determine Eligibility to Receive Revenues

All Members agree with the Review Group's recommendation to use membership status and the pricing structure under which PM and Admin Services are provided as threshold tests.

Transition Issues for New Members

The Review Group's recommendations in this area were not advanced to the Commission. This issue does not need to be in place at the beginning of FY18, but may be addressed should new Members express interest in PM and Admin Services. The Members did not oppose this concept, but prefer to develop this concept further before advancing a proposal to the Commission for approval.

Using Revenues for Unfunded Liabilities

The Review Group shared its opinion that revenues should not be used for unfunded liabilities. No additional action was taken by the Facilities Committee or Utility Directors on this subject.

Applying Some Revenues for Administrative and General Costs

Utility Directors reiterated their concerns that some Members may not benefit from the expansion of Power Management and Administrative Services to non-Member third parties. The Review Group shared these concerns at the Special FC meeting and reiterated its recommendation noted in the main body of this Issue 7 write-up. The FC recommended that 10% of revenues be applied to A&G costs and allocated in the same manner that A&G budgeted costs are charged to NCPA business units and to Members. This method ensures all NCPA Members receive some portion of the revenues.

¹⁴ The Facilities Committee deliberated on revenue allocation issues on November 2, 2016 and at a special meeting on November 16, 2016.

¹⁵ The Utility Directors deliberated on revenue allocation issues on November 10, 2016.

Allocating Revenues to NCPA Projects with Non-Member Project Participants

The FC supported the concept of allocating revenues to NCPA Projects in full, such that Non-Member Project Participants received a portion of revenues. This concept did not receive unanimous support, with one dissent. The Utility Directors expressed some concern with the concept but did not provide policy direction on this matter. Instead, the UD's proposed that this portion of the FC recommendation be tabled for the FY18 budget cycle. That is, LEC and Geothermal will be allocated revenues based on their Nexant Model inputs, but the portion of these Projects that are represented by non-Members would not be included in the revenue allocation process.

Revenue Determinate

As noted above, all Members in all forums agreed to use the Nexant model to allocate revenues, in general. The Review Group explored 3 ways¹⁶ to implement this and recommended using a method that would require full model runs of the Nexant model. This did not receive unanimous support, with one dissent. The Utility Directors also reviewed this issue on November 10, 2016, and also supported the full model run. This did not receive unanimous support receiving 7 supporting votes out of 12.

¹⁶ Please refer to staff presentation for the Special Facilities Committee meeting on November 16, 2016 for a detailed explanation of the 3 methods.

**RESOLUTION NO. 16-85
RESOLUTION OF THE COMMISSION OF THE
NORTHERN CALIFORNIA POWER AGENCY**

COMMENDING

CAROL GARCIA

WHEREAS, Carol Garcia has diligently served the City of Roseville as City Council Member, Vice Mayor, and Mayor, member of the Northern California Power Agency Executive Committee, and past Chairperson and Commissioner the Northern California Power Agency; and

WHEREAS, since January 2007 Carol has gracefully, enthusiastically and thoughtfully served the City of Roseville on the Commission of the Northern California Power Agency; and

WHEREAS, Carol persistently supports and promotes joint action approaches and solutions for the betterment of the Agency, its members, and the City of Roseville; and

WHEREAS, Carol was a strong presence and passionate advocate for the Northern California Power Agency issues both in Sacramento and in Washington, D.C.; and

WHEREAS, Carol devotedly serves the interests of her community through numerous activities and organizations bringing about innovative approaches and solutions to improve the quality of life for the City of Roseville; and

WHEREAS, Carol has diligently supported efforts to transform the energy resources and sustainability of the Northern California Power Agency and its members, while staying focused on the cost impacts to the ratepayers; and

WHEREAS, Carol has won an everlasting place in the hearts of our Agency, members and staff; and

NOW, THEREFORE BE IT RESOLVED by the Commission of the Northern California Power Agency, that this Agency, its members, and its employees heartily commend and thank Carol Garcia for her many years of attentive, dedicated and circumspect service to this Agency.

PASSED AND ADOPTED BY ACCLAMATION, on this 1st day of December 2016.

BOB LINGL
CHAIR

ATTEST: CARY A. PADGETT
ASSISTANT SECRETARY

