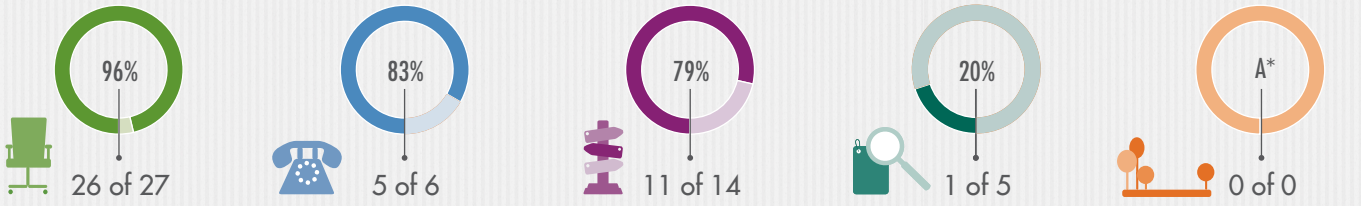
2016 Annual Board Performance Report

Santa Clara Valley Water District

OVERVIEW OF BOARD'S ANNUAL PERFORMANCE



I. Governance, Transparency and Conduct

	Indicator	Measure	
Education	**1** Number, nature, and scope of continuing education, undertaken individually and collectively, on issues relevant to the district to improve board performance and increase governance skills and understanding	A. Percent of board-attended meetings, events, and conferences attended to improve board performance and increase governance skills and understanding. *Target = 100% (≥ 10 per board member)*	100%
Attendance	**2** Board member attendance	A. Percent of board meeting attendance, not including excused absences. *Target ≥ 95%*	99%
		B. Percent of Board Standing and Ad Hoc Committee meeting attendance (excluding advisory committees), not including excused absences. *Target ≥ 95%*	98%
		C. Percent of board advisory committee meeting attendance, not including excused absences. *Target ≥ 90%*	96%
Review	**3** Review board's performance in open session annually, no later than March 31	A. Conduct annual board performance review by March 31 for the previous calendar year. *Target = Yes*	YES
		B. Conduct annual mid-year review of board performance by September 30. *Target = Yes*	YES

BOARD GOVERNANCE POLICIES AND PERFORMANCE

The board's governance policies provide for fiduciary oversight, transparency, and accountability to further organizational stewardship, which contributes both to the effectiveness of the organization and to the trust that is placed in it by stakeholders and the public it serves.

These governance policies provide the basis for the board's performance monitoring framework, which was established in 2013, and annually reviewed during open, public meetings of the board. Specifically, the expectation that the board will monitor its performance against its own policies is defined by Governance Process Policy 2.7:

"The board will monitor the board's process and performance. Self-monitoring will include comparison of board activity and discipline to policies in the Governance Process and Board-BAO Linkage categories."

Enclosed in this report are the results of the board's review of its own performance for calendar year 2016.

A* No board action taken in 2016 (0 of 0)

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Employment

4 Comply with board ban on seeking/ accepting compensated employment with the district while serving on board and for one year after serving on board

A. Number of attempts to seek or accept compensated employment. *Target = Zero* — **0**

Reserves

5 Review financial reserves at the same time and place that budget is publicly reviewed, including an overview of and rationale for its reserve management policy, and receive public comments before acting on the budget

A. Conduct annual board budget work study sessions prior to budget adoption. *Target = Yes* — **YES**

B. Board budget development update sessions include a review of financial reserves, a rationale for reserve management policy (sustainable and minimum reserves), and time for public comment. *Target = Yes* — **YES**

Lobbying

6 Comply with district's lobbying ordinance provision requiring Directors' disclosure of contact with lobbyists prior to voting on matters related to the contact (Ord. No.10-01, Sec. 8)

A. Number of lobbying contacts by board members that resulted in admonition, censure, sanction, or referral to District Attorney. *Target = Zero* — **0**

Meetings

7 Conduct all board and committee meetings (including those composed of less than a quorum of the board) in accordance with the District Act and Brown Act (California Open Meetings Law)

A. Percent of board meetings in accordance with the District Act and the Brown Act. *Target = 100%* — **100%**

B. Percent of board committee meetings in accordance with the Brown Act. *Target = 100%* — **100%**

Board Chair

8 Chair's actions align with authority and roles detailed in GP-5

A. Rules for electing Chair and Vice Chair are followed. *Target = Yes* — **YES**

Loyalty

9 Members must have loyalty to the district and community and not be conflicted by loyalties to staff, other organizations or any personal interest

A. Percent of board members that comply with state mandated training requirement on ethics in public service for public officials in California. *Target = 100%* — **100%**

B. Percent of board members that timely file CA Form 700. *Target = 100%* — **100%**

Conduct

10 Comply with board member code of conduct, including limits on exercise of individual authority over organization

A. Number of code of conduct violations (censure, sanction, admonition, or referral to District Attorney). *Target = Zero* — **0**

Values

11 Demonstrate actions and behaviors in alignment with district values expressed in GP-7

A. Review and, if necessary, update the district values expressed in GP-7, annually. *Target = Yes* — **NO**

Committees

12 Establish clear expectations and purposes for board committees in order not to conflict with authority delegated to BAOs

A. Percent of board committees that have a formalized purpose and scope. *Target = 100%* — **100%**

B. Percent of standing board committees that have an annual work plan. *Target = 100%* — **100%**

Transparency

13 Conduct organizational transparency audit through a third party, periodically

A. Conduct third party transparency audit, periodically. *Target = Yes* — **YES**

Monitoring

14 Secure outside monitoring assistance as necessary, including for fiscal audit, to assure governing with excellence

A. Conduct annual board-commissioned audit planning. *Target = Yes* — **YES**

B. Percent of board-commissioned audits completed, or underway as scheduled, as identified in the multi-year audit plan. *Target ≥ 90%* — **100%**

C. Percent of required financial audits reviewed. *Target = 100%* — **100%**

Expenses

15 Review individual and collective board member expenses in open session quarterly, and make a determination whether reimbursements comply with board reimbursement policies

A. Percent of quarterly board member expense reports reviewed by the board. *Target =100%* — **100%**

B. Number of board member reimbursements that do not comply with board reimbursement policies. *Target = Zero* — **0**

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Compensation

16 Conduct board compensation adjustments in open session, annually

A. Percent of board compensation adjustments discussed in open session, following the standard board agenda process. *Target = 100%* — **A***

EEO / D&I

17 Demonstrate actions and behaviors as a board member in alignment with board commitment to Equal Employment Opportunity, diversity and inclusion

A. Number of board members that demonstrated actions and behaviors not in alignment with GP-11 that resulted in admonition, censure, sanction, or referral to District Attorney. *Target = Zero* — **0**

B. Percent of board members that comply with state mandated training requirement on sexual harassment prevention for public officials in California. *Target = 100%* — **100%**

II. Linkage with the Community

Indicator	Measure

Budget

18 Provide at least three opportunities for public input on development of operating budget (e.g., second pass budget, third pass budget, budget work study sessions)

A. Number of opportunities for public input in development of the annual operating budget. *Target ≥ 3* — **5**

CIP

19 Provide at least two opportunities for public input into development of capital budget (e.g., draft CIP, and final CIP)

A. Number of opportunities for public input in development of the Capital Improvement Program, annually. *Target ≥ 2* — **4**

Correspondence

20 Respond timely to correspondence received by the board from the public

A. Percent of correspondence addressed to the board provided to each board member within 7 calendar days from receipt. *Target =100%* — **99%**

B. Percent of board correspondence responded to within 14 calendar days of receipt, or in situations where it is not possible for the BAOs to respond completely to an inquiry, responses sent to originators, acknowledging receipt of the inquiry and an explanation of actions being taken and timelines for preparing the complete response is acceptable for complying with this 14 day response time. *Target ≥ 90%* — **97%**

Community

21 Conduct review of board linkage with community, including board member service on external committees

A. Conduct review of board linkage with community by annually reviewing proposed board member representation on external committees to determine if that representation serves in the best interest of the district. *Target = Yes* — **YES**

Outreach

22 Use outreach mechanisms that enhance board ability to listen to a broad range of viewpoints and values

A. Percent of board meetings that provide an opportunity for public comment. *Target = 100%* — **100%**

III. Policy Setting

Indicator	Measure

Policy Input

23 Provide two or more opportunities for public input in the annual policy development process. (e.g., process defining stage; agenda setting stage; one or more policy discussion sessions)

A. Number of opportunities for public input in annual policy development process. *Target ≥ 2* — **0**

Policies

24 Initiate and maintain broad written policies with a major policy focus on intended results, not on the administrative or programmatic means of attaining those effects

A. Board has written Board Governance Policies. *Target = Yes* — **YES**

B. Board and BAOs annually review Board Governance Policies to determine if they have focus on intended results, not on the administrative or programmatic means of attaining those effects. *Target = Yes* — **NO**

C. Conduct an annual review of the Board Governance Policies and adopt new or revised policies by the end of September. *Target = Yes* — **NO**

Policy Categories

25 Produce written governing policies which, at the broadest levels, address each category of organizational decision

A. Board Governance Policies will include 4 categories: Governance Process, Board Appointed Officer Linkage, Ends, and Executive Limitations. *Target = Yes* — **YES**

A* No board action taken in 2016

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BAO Direction	**26** Instruct the BAOs through written policies which prescribe the organizational ends to be achieved, and describe organizational situations and actions to be avoided	A. Board Governance Policies will include Ends, Executive Limitations, and BAO Interpretations. *Target = Yes*	YES
BAO Limits	**27** Develop Executive Limitations policies as appropriate, and develop them systematically from the broadest, most general level to more defined levels	A. Board Governance Policies include Executive Limitations. *Target = Yes*	YES
Adopt Budget	**28** Adopt district capital and operating budget no later than June 15	A. Adopt district capital and operating budget no later than June 15. *Target = Yes*	YES
Water Rates	**29** Adopt water rate adjustments annually no later than June 1 and review for mid year water rate adjustment no later than December 15	A. Adopt water rate adjustments annually no later than June 1. *Target = Yes*	YES
		B. Review for mid year water rate adjustment no later than December 15. *Target = Yes*	YES
Planning	**30** Adopt a Board Policy Planning Calendar for the upcoming fiscal year by the end of June	A. Adopt a Board Policy Planning Calendar for the upcoming fiscal year by the end of June. *Target = Yes*	YES
Planning	**31** Conduct reviews of the Board Policy Planning Calendar when determined necessary by the board	A. Conduct quarterly reviews of the Board Policy Planning Calendar. *Target = Yes*	YES
Work Study	**32** The Board Policy Planning Calendar will include board work study sessions, as necessary, to provide the Board with information and education needed to perform its job of linkage with community, setting policies and monitoring organization performance, and engaging with its Advisory Committees	A. Board reviews the Board Policy Planning Calendar at least quarterly and includes board work study sessions, as necessary. *Target = Yes*	YES
Budget Planning	**33** The Board Policy Planning Calendar will include the upcoming fiscal year's budget planning agenda items	A. Budget planning agenda items for the upcoming fiscal year are on the Board Policy Planning Calendar by September. *Target = Yes*	YES

IV. Monitor and Review BAO Performance

Indicator		Measure	
BAO Review	**34** Conduct BAO performance reviews no less than twice per year (mid year by end of April, annual by end of September) in accordance with BAO Performance Evaluation procedure	A. Conduct mid-year BAO performance reviews by end of April. *Target = Yes*	NO
		B. Conduct annual BAO performance reviews by end of September. *Target = Yes*	NO
BAO Salary	**35** Conduct BAO salary adjustment in open session, in a regular board meeting, annually	A. Conduct annual BAO salary adjustment in open session, in a regular board meeting. *Target = Yes*	NO
Requests	**36** Refer board member requests that require substantive work to the board for direction	A. Number of requests from board members that the full board approves to go forward after the BAOs notify the board that the request will require more than 4 hours of staff time or unbudgeted expenses over $50. *Target ≤ 7*	0
BAO Monitoring	**37** Periodically review board's method and frequency for routine monitoring of BAO instructions/performance	A. Conduct board review of Board-BAO Linkage Policies during the annual board governance policy work study sessions. *Target = Yes*	NO

V. Naming of District-Owned Facilities and Land

Indicator		Measure	
Naming	**38** Approve or deny nominations to name or rename district-owned land, facilities and amenities in accordance with the naming procedure	A. Naming actions were approved or denied in accordance with the naming procedure. *Target = Yes*	A*

A* No board action taken in 2016

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