

CALENDAR FOR THE BOARD OF SUPERVISORS
CONTRA COSTA COUNTY
AND FOR SPECIAL DISTRICTS, AGENCIES, AND AUTHORITIES GOVERNED BY THE BOARD
**BOARD CHAMBERS ROOM 107, ADMINISTRATION BUILDING, 651 PINE STREET
MARTINEZ, CALIFORNIA 94553-1229**

CANDACE ANDERSEN, CHAIR, 2ND DISTRICT
MARY N. PIEPHO, VICE CHAIR, 3RD DISTRICT
JOHN GIOIA, 1ST DISTRICT
KAREN MITCHOFF, 4TH DISTRICT
FEDERAL D. GLOVER, 5TH DISTRICT

DAVID J. TWA, CLERK OF THE BOARD AND COUNTY ADMINISTRATOR, (925) 335-1900

PERSONS WHO WISH TO ADDRESS THE BOARD DURING PUBLIC COMMENT OR WITH RESPECT TO AN ITEM THAT IS ON THE AGENDA, WILL BE LIMITED TO THREE (3) MINUTES.

The Board Chair may reduce the amount of time allotted per speaker at the beginning of each item or public comment period depending on the number of speakers and the business of the day. Your patience is appreciated.

A lunch break or closed session may be called at the discretion of the Board Chair.

Staff reports related to open session items on the agenda are also accessible on line at www.co.contra-costa.ca.us.

AGENDA
March 8, 2016

9:00 A.M. Convene and announce adjournment to closed session in Room 101.

Closed Session Agenda

A. CONFERENCE WITH LABOR NEGOTIATORS

1. Agency Negotiators: David Twa and Bruce Heid.

Employee Organizations: Contra Costa County Employees' Assn., Local No. 1; Am. Fed., State, County, & Mun. Empl., Locals 512 and 2700; Calif. Nurses Assn.; Service Empl. Int'l Union, Local 1021; District Attorney's Investigators Assn.; Deputy Sheriffs Assn.; United Prof. Firefighters, Local 1230; Physicians' & Dentists' Org. of Contra Costa; Western Council of Engineers; United Chief Officers Assn.; Service Empl. Int'l Union United Health Care Workers West; Contra Costa County Defenders Assn.; Probation Peace Officers Assn. of Contra Costa County; Contra Costa County Deputy District Attorneys' Assn.; and Prof. & Tech. Engineers, Local 21, AFL-CIO; Teamsters Local 856.

2. Agency Negotiators: David Twa.

Unrepresented Employees: All unrepresented employees.

B. CONFERENCE WITH LEGAL COUNSEL--EXISTING LITIGATION (Gov. Code, § 54956.9(d)(1))

Retiree Support Group of Contra Costa County v. Contra Costa County, U.S. District Court, Northern District of California, Case No. C12-00944 JST

C. CONFERENCE WITH LEGAL COUNSEL--ANTICIPATED LITIGATION

Significant exposure to litigation pursuant to Gov. Code, § 54956.9(d)(2): one potential case

D. CONFERENCE WITH REAL PROPERTY NEGOTIATORS

Property: 1700 Oak Park Blvd., Pleasant Hill

Agency Negotiator: Karen Laws, Principal Real Property Agent

Negotiating Parties: Contra Costa County and Pleasant Hill Recreation & Park District

Under negotiation: Price and payment terms

9:30 a.m. Call to order and opening ceremonies.

Inspirational Thought- *“Spring is when you feel like whistling even with a shoe full of slush.”* –
Doug Larson

CONSIDER CONSENT ITEMS (Items listed as C.1 through C.49 on the following agenda) –
Items are subject to removal from Consent Calendar by request of any Supervisor or on request
for discussion by a member of the public. **Items removed from the Consent Calendar will be
considered with the Discussion Items.**

PRESENTATIONS (5 Minutes Each)

- PR.1** PRESENTATION honoring Chief Probation Officer Philip Kader on the occasion
of his retirement from Contra Costa County. (David Twa, County Administrator)

- PR.2** PRESENTATION honoring Joseph L. Campbell for his 25 years of service on the
Contra Costa Water District Board of Directors. (Supervisor Mitchoff)

- PR.3** PRESENTATION honoring County employees for their many years of service to
Contra Costa County:
 - **Tracey Walker** for her 25 years of service, to be presented by Obiel Leyva,
Health Services Department
 - **Sergeant Terry DeCosta** for her 30 years of service in the Animal Services
Department, to be presented by Beth Ward, Animal Services Director

- PR.4** PRESENTATION recognizing March 2016 as Prescription Drug Abuse
Awareness Month. (Supervisor Andersen and Supervisor Piepho)

- PR.5** PRESENTATION recognizing March 2016 as Grand Jury Month in Contra Costa
County. (Supervisor Andersen)

DISCUSSION ITEMS

D. 1 CONSIDER Consent Items previously removed.

D. 2 PUBLIC COMMENT (3 Minutes/Speaker)

- D.3** CONSIDER approving and authorizing the Health Services Director, or designee, to execute a contract with Resource Development Associates, Inc., in an amount not to exceed \$400,000 to provide consultation and technical assistance to the Department with regard to the County's Assertive Community Treatment, for persons with serious mental illness who demonstrate resistance to voluntarily participating in services that have been offered, for the period November 16, 2015 through June 30, 2019. (100% State Mental Health Services Act) (Continued from March 1, 2016) (Cynthia Belon & Warren Hayes, Behavioral Health Services)
- D.4** RECEIVE update on the status of the Contra Costa Transportation Authority's development of a Transportation Expenditure Plan for a possible sales tax measure in 2016, including aspects related to the Urban Limit Line, and CONSIDER directing staff as appropriate. (John Cunningham, Conservation and Development Department)
- D.5** CONSIDER waiving the 180-day sit out period for Dr. Domenic Cavallaro, Exempt Medical Staff Dentist in the Health Services Department and approving and authorizing the hiring of Dr. Cavallero as a temporary County Employee for the period of April 1, 2016 through March 31, 2017, as recommended by the Health Services Department Director. (Dr. Samir Shah, Health Services Department)
- D.6** CONSIDER waiving the 180 day "sit out" period for Bobby Romero, former Supervising Accountant of the Property Tax division of the Office of the Auditor-Controller, and APPROVE and AUTHORIZE the hiring of County retiree Mr. Romero as a temporary County employee effective March 14 through September 30, 2016.

D. 7 CONSIDER reports of Board members.

Closed Session

ADJOURN

CONSENT ITEMS

Road and Transportation

- C. 1** APPROVE and AUTHORIZE the Public Works Director, or designee, to execute, on behalf of the County, Contract Amendment No. 1 to the Joint Exercise of Powers Agreement/Contribution Agreement between East Contra Costa Regional Fee and Financing Authority and Contra Costa County for Phase 1 of the State Route 4 Bypass to increase the maximum reimbursement amount from \$3.0 million to \$3.35 million and extend the payment date from June 30, 2011 to June 30, 2020, East County area. (100% Proposition 1B Funds)

- C. 2 AUTHORIZE the Public Works Director, or designee, to advertise for the 2016 On-Call Sweeping Services Contract(s) for Various Road Maintenance Work, for routine maintenance of existing road pavement, Countywide. (100% Local Road Funds)

Engineering Services

- C. 3 ADOPT Resolution No. 2016/109 approving and authorizing the Public Works Director, or designee, to partially close a portion of Parker Avenue, eastbound lanes between San Pablo Avenue and 6th Street, on March 12, 2016 from 9:00 a.m. through 9:20 a.m., for the purpose of the Annual Little League Opening Day Parade, Rodeo area. (No fiscal impact)
- C. 4 ADOPT Resolution No. 2016/107 accepting completion of warranty period for the Road Improvement Agreement and release of cash deposit for faithful performance for RA11-01247, a project developed by Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, Danville area. (100% Developer Fees)
- C. 5 ADOPT Resolution No. 2016/106 accepting completion of warranty period for the Subdivision Agreement and release of cash deposit for faithful performance, Subdivision SD06-09134, for a project developed by Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area. (100% Developer Fees)

Special Districts & County Airports

- C. 6 APPROVE and AUTHORIZE the Chief Engineer, Flood Control & Water Conservation District, or designee, to execute, on behalf of the Contra Costa Clean Water Program, a contract amendment with Larry Walker Associates, Inc., to increase the payment limit by \$62,843, to a new payment limit of \$202,843, for general technical support services necessary to comply with federal and state stormwater rules contained in National Pollutant Discharge Elimination System Permits issued by the San Francisco Bay and Central Valley Regional Water Quality Control Boards, Countywide. (100% Cities and County Stormwater Utility Fee Assessments)
- C. 7 ADOPT Resolution No. 2016/105 establishing a rate of \$30 per Equivalent Runoff Unit for Stormwater Utility Area 17 (Unincorporated County) for Fiscal Year 2016/2017 and requesting that the Contra Costa County Flood Control & Water Conservation District adopt annual parcel assessments for drainage maintenance and the National Pollutant Discharge Elimination System Program, as recommended by the Public Works Director, Countywide. (100% Stormwater Utility Area 17 Funds)

- C. 8** APPROVE and AUTHORIZE the conveyance of a portion of Contra Costa County Flood Control & Water Conservation District property to the City of Pinole and related actions under the California Environmental Quality Act; and ACCEPT a Grant of Easement from the City of Pinole for ingress and egress purposes, in accordance with Section 31 of the Contra Costa County Flood Control & Water Conservation District Act. (100% Flood Control Permit Fees)

Claims, Collections & Litigation

- C. 9** DENY claims filed by Daniel Franklin, Karen McDuffie-Smith, Dennis Salopagio, and Darrell Sanders.

Honors & Proclamations

- C. 10** ADOPT Resolution No. 2016/62 recognizing March 2016 as Grand Jury Month in Contra Costa County, as recommended by Supervisor Andersen.
- C. 11** ADOPT Resolution No. 2016/85 to recognize Tracey Walker for twenty-five years of service, as recommended by the Health Services Director.
- C. 12** ADOPT Resolution No. 2016/86 recognizing the contributions of Jann Edmunds on her 25 years of service to Contra Costa County, as recommended by the Public Works Director. (No fiscal impact)
- C. 13** ADOPT Resolution No. 2016/93 to honor Sergeant Terry DeCosta for her thirty years of dedicated service in the Contra Costa County Animal Services Department, as recommended by the Animal Services Director.
- C. 14** ADOPT Resolution No. 2016/97 recognizing March 2016 as Prescription Drug Abuse Awareness Month, as recommended by Supervisor Andersen and Supervisor Piepho.
- C. 15** ADOPT Resolution No. 2016/112 to honor Joseph L. Campbell for his 25 years of service on the Contra Costa Water District Board of Directors, as recommended by Supervisor Mitchoff.
- C. 16** ADOPT Resolution No. 2016/113 honoring Chief Probation Officer Philip Kader on the occasion of his retirement from Contra Costa County, as recommended by the County Administrator.

Ordinances

- C. 17** INTRODUCE Ordinance No. 2016-08, establishing an environmental health color-coded placard program for food facilities, WAIVE reading, and FIX March 15, 2016 for adoption, as recommended by the Health Services Director.

Appointments & Resignations

- C. 18** ACCEPT the Resignation of Barbara Ward, DECLARE vacant the Consumer of Any Age, Seat 4 on the In-Home Supportive Services Public Authority Advisory Committee, and DIRECT the Clerk of the Board to post the vacancy, as recommended by the Employment and Human Services Department Director.
- C. 19** ACCEPT the resignation of Sharon Thygessen, DECLARE a vacancy in the Appointed Seat 2 on the El Sobrante Municipal Advisory Council, and DIRECT the Clerk of the Board to post the vacancy, as recommended by Supervisor Gioia.
- C. 20** ACCEPT resignation of Mike Smith, DECLARE vacant Seat B2 – American Heart Association on the Emergency Medical Care Committee and DIRECT the Clerk of the Board to post the vacancy as recommended by the Health Services Director.
- C. 21** APPOINT Susan Captain to the At Large #1, James Donnelly to the At Large #3, and Wayne Lanier, PhD, to the Public Member Alternate seats on the Integrated Pest Management Advisory Committee, as recommended by the Internal Operations Committee.
- C. 22** REAPPOINT Frank Gordon to the General Public seat, Tim Bancroft to the General Public Alternate seat, Jim Payne to the Labor #2 seat, and Tracy Scott to the Labor #2 Alternate seat, and REASSIGN Usha Vedagiri to the Environmental Organization #2 seat on the Hazardous Materials Commission; and DECLARE vacant the Environmental Organizations #3 Alternate seat held by Usha Vedagiri due to her reassignment to a regular seat and DIRECT the Clerk of the Board to post the vacancy, as recommended by the Internal Operations Committee.
- C. 23** ACCEPT resignation of Uche Uwahemu, DECLARE a vacancy in the Economic Opportunity Council Private/Non-Profit Sector Seat No.5, and DIRECT the Clerk of the Board to post the vacancy, as recommended by the Employment & Human Services Director.

Intergovernmental Relations

- C. 24 ADOPT a position of support on AB 1592 (Bonilla) *Autonomous Vehicles: Pilot Project*, a bill that authorizes the Contra Costa Transportation Authority to conduct a pilot project for the testing of autonomous vehicles under specified conditions, and AUTHORIZE the Chair of the Board of Supervisors to sign a letter communicating the Board's position, as recommended by the Transportation, Water, and Infrastructure Committee.

Personnel Actions

- C. 25 ADOPT Position Adjustment Resolution No. 21834 to increase the hours of one Nutrition Assistant position from 12/40 to 24/40; one Therapist Aide position from 20/40 to 40/40; one Physical Therapist II position from 20/40 to 24/40; one Physical Therapist II position from 36/40 to 40/40; and one Senior Radiological Technician position from 24/40 to 40/40 in the Health Services Department. (100% Hospital Enterprise Fund I)
- C. 26 ADOPT Position Adjustment Resolution No. 21835 to reclassify one Account Clerk Advanced Level (represented) position and its incumbent to Accounting Technician (represented) in the Office of the Auditor-Controller. (General Fund)

Grants & Contracts

APPROVE and AUTHORIZE execution of agreements between the County and the following agencies for receipt of fund and/or services:

- C. 27 APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, a contract amendment with the California Department of Public Health, Tuberculosis Control Branch, effective February 1, 2016, to increase the amount payable to the County by \$23,476, to a new total of \$314,618, to provide additional Tuberculosis Control Program services, with no change in the original term of July 1, 2015 through June 30, 2016. (No County match)
- C. 28 APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with the California Endowment, to pay the County an amount not to exceed \$302,028, for the Richmond Public Health Solutions Project, for the period from February 1, 2016 through January 31, 2018. (No County match)
- C. 29 APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract amendment with the California Department of Public Health, effective April 1, 2015, to make technical adjustments to increase the amount payable to County by \$21,333, to a new total payment limit of \$1,351,397, for County Public Health HIV Care and Minority AIDS Initiative Project, with no change in the original term of March 31, 2014 through March 31, 2016. (No County match)

- C. 30** APPROVE and AUTHORIZE the Employment & Human Services Director, or designee, to execute a contract amendment with California Department of Education, effective February 1, 2016, to increase the payment limit by \$51,144 for a new total limit of \$4,105,899, to provide for childcare and development programs (CalWORKS Stage 2) with no change to the term of July 1, 2015 through June 30, 2016. (No County match)

APPROVE and AUTHORIZE execution of agreement between the County and the following parties as noted for the purchase of equipment and/or services:

- C. 31** APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to execute a contract amendment with Delta Personnel Services, Inc., dba Guardian Security Agency, effective March 1, 2016, to increase the payment limit by \$20,000 to a new total not to exceed \$357,110 to provide security services for the period July 1, 2015 through June 30, 2016. (2% County, 49% State, 49% Federal)
- C. 32** APPROVE and AUTHORIZE the Auditor-Controller, or designee, to pay the San Ramon Valley Fire Protection District \$33,000 for EMS (Emergency Medical Services) Fire First Responder medical equipment, medical supplies and EMS training to the San Ramon Valley Fire Protection District, upon approval of the EMS Director for FY 2015-16. (100% Measure H Funds)
- C. 33** APPROVE and AUTHORIZE the Health Services Director or designee, to execute a contract with Heat Software USA, Inc., in an amount not to exceed \$494,643, to provide software and services to the Health Services Department's Information Technology Unit, for the period March 30, 2016 through March 29, 2019. (100% Hospital Enterprise Fund I)
- C. 34** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with La Clinica de La Raza, Inc., including modified indemnification language, for transfer and coordination of care for patients requiring emergency medical care at Contra Costa Regional Medical, for the period from March 1, 2016 through February 28, 2018. (No fiscal impact)
- C. 35** APPROVE and AUTHORIZE the County Administrator, or designee to execute a contract amendment agreement between the County and Steckbauer Weinhart, LLP, effective November 1, 2015 to increase the payment limit by \$25,000 to a new payment limit of \$125,000 for continued legal services on behalf of the County on a case-by-case basis in the area of tax related bankruptcy matters, as requested by the Treasurer-Tax Collector and County Counsel.

- C. 36** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract amendment with Health Management Systems, Inc., effective February 1, 2016, to increase the payment limit by \$200,000 to a new payment limit of \$850,000 to continue providing auditing services, with no change in the original term of February 1, 2015 through January 31, 2017. (100% Contra Costa Health Plan Enterprise Fund II)
- C. 37** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Children's Hospital & Research Center at Oakland (dba UCSF Benioff Children's Hospital Oakland), including modified indemnification language, an amount not to exceed \$20,360 to provide specialized training and case conference group sessions to the County's Family Maternal & Child Health, Home Visiting Programs, for the period from July 1, 2015 through June 30, 2016. (100% State)
- C. 38** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Edward Y. Tang, M.D. Inc., in an amount not to exceed \$400,000, to provide orthopedic services at Contra Costa Regional Medical and Health Centers, for the period from March 1, 2016 through February 28, 2017. (100% Hospital Enterprise Fund I)
- C. 39** ACKNOWLEDGE receipt of notice from William C. Lyon, M.D., APC, requesting termination of his for the provision of orthopedic surgery services for Contra Costa Health Plan members, effective at the close of business on December 1, 2015. (100% Contra Costa Health Plan Enterprise Fund II)
- C. 40** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute contract amendment with Cross Country Staffing, Inc. (dba medical Staffing Network), effective November 1, 2015, to modify the rate sheet to include hourly rates for X-Ray Tech and Registered Nurse Specialty services with no change in the payment limit of \$8,000,000, at Contra Costa Regional Medical and Health Centers, and no change in the original term July 1, 2015 through June 30, 2016. (100% Hospital Enterprise Fund I)
- C. 41** APPROVE and AUTHORIZE the Chief Information Officer (Department of Information Technology), or designee, to execute a contract amendment with Infosec Professionals, LLC, to decrease the payment limit from \$120,000 to a new payment limit of \$62,000 with no change in the term of July 1, 2015 through June 30, 2016, for continuing information security services. (100% IT Security User fees)

Other Actions

- C. 42** APPROVE revised Bylaws of the Advisory Council on Aging as recommended by the Employment and Human Services Department Director.

- C. 43 ACCEPT the Fiscal Year 2015/16 Community Facilities District Administration Report on County of Contra Costa Community Facilities District No. 2001-1 (Norris Canyon), as recommended by the County Auditor-Controller.
- C. 44 ACCEPT the Treasurer's Quarterly Investment Report as of December 31, 2015, as recommended by the County Treasurer-Tax Collector.
- C. 45 APPROVE amended Conflict of Interest Code for the Department of Conservation and Development, including the list of designated positions, as recommended by the County Counsel.
- C. 46 APPROVE amended Conflict of Interest Code for the Contra Costa Community College District, including the list of designated positions, as recommended by the County Counsel.
- C. 47 AUTHORIZE the discharge from accountability for certain Health Services accounts totaling \$7,119,735.24, which are not collectible due to one or more of the following reasons: the accounts are being discharged in bankruptcy; debtors are deceased, the statute of limitations for pursuing recovery of the debt has expired; the cost of recovery is excessive; and/or the debtor no longer resides in the state. (No net impact)
- C. 48 ACCEPT year-end productivity report from the 2015 Public Protection Committee and APPROVE recommended disposition of referrals, as recommended by the Public Protection Committee. (No fiscal impact)
- C. 49 ADOPT Resolution No. 2016/111 updating and reaffirming the County Debt Management Policy, as recommended by the County Administrator. (No fiscal impact)

GENERAL INFORMATION

The Board meets in all its capacities pursuant to Ordinance Code Section 24-2.402, including as the Housing Authority and the Successor Agency to the Redevelopment Agency. Persons who wish to address the Board should complete the form provided for that purpose and furnish a copy of any written statement to the Clerk.

Any disclosable public records related to an open session item on a regular meeting agenda and distributed by the Clerk of the Board to a majority of the members of the Board of Supervisors less than 96 hours prior to that meeting are available for public inspection at 651 Pine Street, First Floor, Room 106, Martinez, CA 94553, during normal business hours.

All matters listed under CONSENT ITEMS are considered by the Board to be routine and will be enacted by one motion. There will be no separate discussion of these items unless requested by a member of the Board or a member of the public prior to the time the Board votes on the motion to adopt.

Persons who wish to speak on matters set for PUBLIC HEARINGS will be heard when the Chair calls for comments from those persons who are in support thereof or in opposition thereto. After persons have spoken, the hearing is closed and the matter is subject to discussion and action by the Board. Comments on matters listed on the agenda or otherwise within the purview of the Board of Supervisors can be submitted to the office of the Clerk of the Board via mail: Board of Supervisors, 651 Pine Street Room 106, Martinez, CA 94553; by fax: 925-335-1913.

The County will provide reasonable accommodations for persons with disabilities planning to attend Board meetings who contact the Clerk of the Board at least 24 hours before the meeting, at (925) 335-1900; TDD (925) 335-1915. An assistive listening device is available from the Clerk, Room 106.

Copies of recordings of all or portions of a Board meeting may be purchased from the Clerk of the Board. Please telephone the Office of the Clerk of the Board, (925) 335-1900, to make the necessary arrangements.

Forms are available to anyone desiring to submit an inspirational thought nomination for inclusion on the Board Agenda. Forms may be obtained at the Office of the County Administrator or Office of the Clerk of the Board, 651 Pine Street, Martinez, California.

Subscribe to receive to the weekly Board Agenda by calling the Office of the Clerk of the Board, (925) 335-1900 or using the County's on line subscription feature at the County's Internet Web Page, where agendas and supporting information may also be viewed:

www.co.contra-costa.ca.us

STANDING COMMITTEES

The **Airport Committee** (Supervisors Mary N. Piepho and Karen Mitchoff) meets monthly on the fourth Wednesday of the month at 1:30 p.m. at Director of Airports Office, 550 Sally Ride Drive, Concord.

The **Family and Human Services Committee** (Supervisors Candace Andersen and Federal D. Glover) meets on the second Monday of the month at 1:00 p.m. in Room 101, County Administration Building, 651 Pine Street, Martinez.

The **Finance Committee** (Supervisors Federal D. Glover and Mary N. Piepho) meets on the second Thursday of the month at 10:30 a.m. in Room 101, County Administration Building, 651 Pine Street, Martinez.

The **Hiring Outreach Oversight Committee** (Supervisors Karen Mitchoff and John Gioia) meets on the second Monday of the month at 9:00 a.m. in Room 101, County Administration Building, 651 Pine Street, Martinez.

The **Internal Operations Committee** (Supervisors John Gioia and Candace Andersen) meets on the fourth Monday of the month at 11:00 a.m. in Room 101, County Administration Building, 651 Pine Street, Martinez.

The **Legislation Committee** (Supervisors Federal D. Glover and Karen Mitchoff) meets on the second Monday of the month at 10:30 a.m. in Room 101, County Administration Building, 651 Pine Street, Martinez.

The **Public Protection Committee** (Supervisors Candace Andersen and John Gioia) meets on the fourth Monday of the month at 9:00 a.m. in Room 101, County Administration Building, 651 Pine Street, Martinez.

The **Transportation, Water & Infrastructure Committee** (Supervisors Mary N. Piepho and Karen Mitchoff) meets on the second Thursday of the month at 1:00 p.m. in Room 101, County Administration Building, 651 Pine Street, Martinez.

Airports Committee	March 23, 2016	1:30 p.m.	See above
Family & Human Services Committee	March 14, 2016	1:00 p.m.	See above
Finance Committee	March 10, 2016	10:30 a.m.	See above
Hiring Outreach Oversight Committee	March 14, 2016 canceled April 11, 2016	9:00 a.m.	See above
Internal Operations Committee	March 28, 2016	11:00 A.M.	See above
Legislation Committee	March 14, 2016	10:30 a.m.	See above
Public Protection Committee	March 28, 2016	9:00 a.m.	See above
Transportation, Water & Infrastructure Committee	March 10, 2016	1:00 p.m.	See above

AGENDA DEADLINE: Thursday, 12 noon, 12 days before the Tuesday Board meetings.

Glossary of Acronyms, Abbreviations, and other Terms (in alphabetical order):

Contra Costa County has a policy of making limited use of acronyms, abbreviations, and industry-specific language in its Board of Supervisors meetings and written materials. Following is a list of commonly used language that may appear in oral presentations and written materials associated with Board meetings:

AB Assembly Bill

ABAG Association of Bay Area Governments

ACA Assembly Constitutional Amendment

ADA Americans with Disabilities Act of 1990

AFSCME American Federation of State County and Municipal Employees
AICP American Institute of Certified Planners
AIDS Acquired Immunodeficiency Syndrome
ALUC Airport Land Use Commission
AOD Alcohol and Other Drugs
ARRA American Recovery & Reinvestment Act of 2009
BAAQMD Bay Area Air Quality Management District
BART Bay Area Rapid Transit District
BayRICS Bay Area Regional Interoperable Communications System
BCDC Bay Conservation & Development Commission
BGO Better Government Ordinance
BOS Board of Supervisors
CALTRANS California Department of Transportation
CalWIN California Works Information Network
CalWORKS California Work Opportunity and Responsibility to Kids
CAER Community Awareness Emergency Response
CAO County Administrative Officer or Office
CCCPCFD (ConFire) Contra Costa County Fire Protection District
CCHP Contra Costa Health Plan
CCTA Contra Costa Transportation Authority
CCRMC Contra Costa Regional Medical Center
CCWD Contra Costa Water District
CDBG Community Development Block Grant
CFDA Catalog of Federal Domestic Assistance
CEQA California Environmental Quality Act
CIO Chief Information Officer
COLA Cost of living adjustment
ConFire (CCCPCFD) Contra Costa County Fire Protection District
CPA Certified Public Accountant
CPI Consumer Price Index
CSA County Service Area
CSAC California State Association of Counties
CTC California Transportation Commission
dba doing business as
DSRIP Delivery System Reform Incentive Program
EBMUD East Bay Municipal Utility District
ECCPCFD East Contra Costa Fire Protection District
EIR Environmental Impact Report
EIS Environmental Impact Statement
EMCC Emergency Medical Care Committee
EMS Emergency Medical Services
EPSDT Early State Periodic Screening, Diagnosis and Treatment Program (Mental Health)
et al. et alii (and others)
FAA Federal Aviation Administration
FEMA Federal Emergency Management Agency
F&HS Family and Human Services Committee
First 5 First Five Children and Families Commission (Proposition 10)
FTE Full Time Equivalent

FY Fiscal Year
GHAD Geologic Hazard Abatement District
GIS Geographic Information System
HCD (State Dept of) Housing & Community Development
HHS (State Dept of) Health and Human Services
HIPAA Health Insurance Portability and Accountability Act
HIV Human Immunodeficiency Syndrome
HOME Federal block grant to State and local governments designed exclusively to create affordable housing for low-income households
HOPWA Housing Opportunities for Persons with AIDS Program
HOV High Occupancy Vehicle
HR Human Resources
HUD United States Department of Housing and Urban Development
IHSS In-Home Supportive Services
Inc. Incorporated
IOC Internal Operations Committee
ISO Industrial Safety Ordinance
JPA Joint (exercise of) Powers Authority or Agreement
Lamorinda Lafayette-Moraga-Orinda Area
LAFCo Local Agency Formation Commission
LLC Limited Liability Company
LLP Limited Liability Partnership
Local 1 Public Employees Union Local 1
LVN Licensed Vocational Nurse
MAC Municipal Advisory Council
MBE Minority Business Enterprise
M.D. Medical Doctor
M.F.T. Marriage and Family Therapist
MIS Management Information System
MOE Maintenance of Effort
MOU Memorandum of Understanding
MTC Metropolitan Transportation Commission
NACo National Association of Counties
NEPA National Environmental Policy Act
OB-GYN Obstetrics and Gynecology
O.D. Doctor of Optometry
OES-EOC Office of Emergency Services-Emergency Operations Center
OPEB Other Post Employment Benefits
OSHA Occupational Safety and Health Administration
PARS Public Agencies Retirement Services
PEPRA Public Employees Pension Reform Act
Psy.D. Doctor of Psychology
RDA Redevelopment Agency
RFI Request For Information
RFP Request For Proposal
RFQ Request For Qualifications
RN Registered Nurse
SB Senate Bill

SBE Small Business Enterprise
SEIU Service Employees International Union
SUASI Super Urban Area Security Initiative
SWAT Southwest Area Transportation Committee
TRANSPAC Transportation Partnership & Cooperation (Central)
TRANSPLAN Transportation Planning Committee (East County)
TRE or **TTE** Trustee
TWIC Transportation, Water and Infrastructure Committee
UASI Urban Area Security Initiative
VA Department of Veterans Affairs
vs. versus (against)
WAN Wide Area Network
WBE Women Business Enterprise
WCCTAC West Contra Costa Transportation Advisory Committee



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Contract #24-716-1 with Resource Development Associates, Inc.

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Contract #24-716-1 with Resource Development Associates, Inc., a corporation, in an amount not to exceed \$400,000, to provide consultation and technical assistance with regard to County's Assertive Community Treatment (ACT), for persons with serious mental illness who demonstrate resistance to voluntarily participating in services that have been offered, for the period from November 16, 2015 through June 30, 2019.

FISCAL IMPACT:

This Contract is funded 100% State Mental Health Services Act (MHSA)

BACKGROUND:

This Contract meets the social needs of County's population by providing

-
- APPROVE OTHER
 - RECOMMENDATION OF CNTY ADMINISTRATOR RECOMMENDATION OF BOARD COMMITTEE
-

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Cynthia Belon,
957-5201

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

assistance to the Behavioral Health Administration with various programs within the AB 1421 or Laura's Law under the Mental Health Services Act. This contract covers Assertive Community Treatment (ACT) model. Treatment is provided in the community on an outpatient basis for individuals whose symptoms of mental illness result in serious functioning difficulties in several major areas of life.

Under Contract #24-716-1, the Contractor will provide consultation and technical assistance to the Department with regard to County's Assertive Community Treatment (ACT), for intensive and highly integrated outpatient treatment for individuals whose symptoms of mental illness result in serious functioning difficulties in several areas of life, including work, social relationships, residential independence, money management, physical health and wellness through June 30, 2019.

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, County will not receive consultation and technical assistance for Assertive Community Treatment cited by AB 1421, from this contractor.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra
Costa
County

To: Board of Supervisors
From: John Kopchik, Director, Conservation & Development Department
Date: March 8, 2016

Subject: Update on the Status of the Contra Costa Transportation Authority's Development of a Transportation Expenditure Plan

RECOMMENDATION(S):

RECEIVE update on the status of the Contra Costa Transportation Authority's (Authority) development of a Transportation Expenditure Plan (TEP) for a possible sales tax measure in 2016, including aspects related to the Urban Limit Line (ULL), and DIRECT staff as appropriate.

FISCAL IMPACT:

None. The recommendation addresses an outside agency's actions.

BACKGROUND:

As established in both the October 21, 2014 and November 3, 2015 letters to the Authority regarding the TEP, the Board of Supervisors (BOS) has not yet endorsed the proposed transportation sales tax. That broader issue will be addressed at a future meeting of the Board.

Please note, aspects of TEP formulation related to the ULL are discussed at the end of this report and a list of preliminary alternatives for responding to public requests to discourage all changes to the ULL without voter approval is provided in Attachment 12.

HISTORY

Reports on this issue have been brought to previous BOS meetings. Those reports included a substantial amount of background information. The most recent comprehensive report is available at the link below:

-
- APPROVE OTHER
 - RECOMMENDATION OF CNTY ADMINISTRATOR RECOMMENDATION OF BOARD COMMITTEE
-

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: John Cunningham (925) 674-7833

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

September 15, 2015

http://64.166.146.245/docs/2015/BOS/20150915_640/650_09-15-15_826_AGENDApacket.pdf#page=128

For additional background, the previous two letters from the BOS to the Authority are attached (Attachment 1: *BOS to CCTA re TEP Nov 2015* and Attachment 2: *BOS to CCTA re TEP Oct 2014*).

RECENT EVENTS

February 2016

The Authority released an "Initial DRAFT Transportation Expenditure Plan (For Discussion Only)". Please see Attachment 3: *Draft TEP 1-1*. Several more versions are anticipated prior to CCTA adoption of a final TEP which is scheduled for May (See Attachment 4: *CCTA TEP Schedule*). The schedule anticipates a next draft TEP to come before the Cities and the County in April.

January 2016

A coalition of environmental, labor, transportation, housing, social justice, faith, civic and other public interest advocates submitted a document to the Authority entitled "*A Community Vision for a New Transportation Sales Tax*". The document (Attachment 5: *Community Vision for a New Transportation Sales Tax 1-6-16*.pdf) enumerates what the coalition believes are the major planning issues facing Contra Costa County. In summary:

- *Ever-increasing traffic, the direct result of land use decisions and induced demand.*
- *A pressing demand for new homes and jobs within our cities and towns where residents and employees of all incomes have access to safe and convenient transit, walking, and biking networks, reducing single-occupant driving and greenhouse gas emissions.*
- *The need to dramatically increase funding for transit and enhance the existing transit system for peak performance.*
- *Growing threats to our natural and agricultural lands, requiring stronger protections and investments.*
- *An economic imperative to create quality jobs closer to home.*

The document goes on to suggest solutions to the problem urging that the funding measure be "*transformational*".

STAFF REVIEW OF DRAFT TRANSPORTATION EXPENDITURE PLAN (TEP)

The following information reviews TEP funding categories relative to prior BOS input to the Authority. Not all TEP categories were addressed by the BOS, so the information below is limited to those areas previously addressed by the BOS. The entire TEP is attached to this report, Attachment 3: *Draft TEP 1-1.pdf*.

1. Local Streets Maintenance & Improvements

Draft TEP Language

Funding Level: 23.1%

Narrative

"1: Local Streets Maintenance & Improvements

Funds from this category will fund maintenance and improvement projects on local streets and roads and may be used for any eligible transportation purposes as defined under the Act and to comply with the GMP requirements.

The Authority will distribute 23.1 percent of the annual sales tax revenues to all local jurisdictions with a base allocation of \$100,000 for each jurisdiction, the balance will be distributed based 50 percent on relative population and 50 percent on road miles for each jurisdiction, subject to compliance with the Authority's reporting, audit and GMP requirements, consistent with the current Measure J program. Population figures used shall be the most current available from the State Department of Finance. Road mileage shall be from the most current State Controller's Annual Report of Financial Transactions for Streets and Roads.

Funds shall be used by each jurisdiction to maintain and enhance existing roadway and other transportation facilities. Jurisdictions shall comply with the Authority's Maintenance of Effort (MOE) policy as well as Implementation Guidelines of this TEP. Local agencies will report on the use of these funds, such as the amount spent on roadway maintenance, bicycle and pedestrian facilities, transit facilities, and other roadway improvements."

Prior Contra Costa County BOS Comment

Funding Level: 25%-30%

Narrative (partial excerpt)

"Considering the above, the Board supports the funding levels for local streets and roads (maintenance and improvements) in a new TEP that the Regional Transportation Planning Committees (RTPCs) have taken. Specifically, SWAT at 25%-30%, TRANSPAC at 30%, TRANSPLAN at 30% and WCCTAC at 28%.

This support includes complete streets concepts as detailed below. The Board recognizes the importance of improving and maintaining our local streets and roads for all modes of transportation."

Staff Comments

While the distribution formula proposed is consistent with existing policies and the reporting mechanism is consistent with prior BOS input, the difference in proposed funding relative to the need is substantial. Even the higher funding level recommended by the RTPCs would not have addressed the full need.

Several issues magnify the importance of increased maintenance funding, the lack of stability of state funding, and directly related non-pavement roadway maintenance needs. These have been discussed previously at the BOS:

Maintenance Funding: From the 9/15/15 report:

"While pavement condition data and costs are most frequently reported, the directly related, non-pavement needs exceed the pavement needs. These non-pavement needs are included in this discussion because they are inextricably linked to road maintenance costs and activities. Some of these costs include signage, traffic signal systems, shoulder maintenance, lighting, drainage/stormwater infrastructure (culverts, gutter, hydrauger, etc.), clean water infrastructure requirements, guardrail/crash cushion, sweeping, landscaping, street trees, curb/sidewalk, retaining walls, etc. This is an incomplete list."

These issues have been recently highlighted with the County having to repair several sinkholes in the recent past, one on Hazel Avenue in East Richmond and the other on Marsh Creek Road. The storm drain system is very often, "out of sight, out of mind" but is, nonetheless, an integral asset of the roadway system.

State Transportation Funding: From the 9/15/15 report:

...the reliability of state revenues is somewhat speculative. This is distinct from local funds which are insulated from being used for other purposes. Local funds are relatively stable for the life of local transportation measures, subject only to the performance of the overall economy. Given the glaring maintenance shortfall that remains even after an assumed increase in local maintenance funds, staff does not consider the potential for increased state maintenance funding and funding reliability as substantially off-setting the need for increases in local maintenance funding.

This issue has been highlighted recently with the reduction of gas tax revenues having a disastrous effect on maintenance revenues. Please see Attachment 6: *Collapse of Gas Tax 2016* which quantifies and depicts the reductions.

The Board may wish to consider whether, given the competing needs for funding in multiple categories, the proposed allocation is appropriate.

12. Transportation for Seniors & People With Disabilities

Draft TEP Language

Funding Level: 2.1%

Narrative

"Transportation for Seniors & People With Disabilities or what is often referred to as "Paratransit" services or Accessible Transportation Services (ATS) can be broadly divided into two categories: (1) services required to be provided by transit operators under the Americans with Disabilities Act (ADA) to people functionally unable to ride fixed route service; and (2) services not required by law but necessary for frail seniors and people with disabilities whose needs are beyond the requirements of the ADA (for example, extra hours of service or greater geographic coverage or requirement for service beyond curb-to-curb), or for non-ADA eligible seniors.

Projections indicate that people that would be eligible for these services is the fasts growing segment of our population and will likely (blank) over the next (blank) years.

Funding in this category will be used to fund accessible transportation services. These services shall support both non-ADA and ADA services for eligible participants. To ensure services are delivered in a coordinated system that maximizes both service delivery and efficiency an Accessible Transportation Service (ATS) Strategic Plan will be developed and periodically updated during the term of the measure. No funding under this category will be allocated until the ATS Strategic Plan has been developed and adopted.

An overarching component in the development and delivery of the ATS Strategic Plan is using mobility management to ensure coordination and efficiencies in accessible service delivery. The plan will evaluate the appropriate model for our local structure including how accessible services are delivered by all agencies and where appropriate coordination can improve transportation services, eliminate gaps in service and find efficiencies in the service delivered. The ATS Strategic Plan would also determine the investments and oversight of the program funding and identify timing, projects, service delivery options, administrative structure, and fund leverage opportunities."

Prior Contra Costa County BOS Comment

From the 11/3/15 BOS Letter re: the TEP

Funding Level: n/a

Narrative

"1) The TEP should, in addition to providing additional operations funding, fund a countywide mobility management program as recommended in the CCMMMP (Contra Costa Mobility Management Plan). The CCMMMP includes preliminary cost figures for implementation which may need to be refined as we move ahead. As implementation progresses, the Board strongly recommends consideration of a transition to the mobility management/brokerage model used in Santa Clara County.

2) Currently, Measure J has eligibility requirements placed on local jurisdictions in order to receive Local Streets & Maintenance funding. As mentioned in the Local Streets and Roads section above, additional requirements are being considered for supplementary maintenance funding. Similar to those requirements, the Board is proposing that eligibility for transit funding under a new TEP be contingent upon participation in the implementation of the mobility management program and other identified improvements to accessible services.

3) Implementing the service model proposed in #1 above is a substantial investment. We believe that the County and Authority Board members would benefit from a tour of the Santa Clara County accessible services operation, OUTREACH. The OUTREACH operation is non-profit based and is a national model for cost-effective procurement, contracting and operations. During a time where our own transit operations show a trend of increasing costs, the OUTREACH model has shown reduced costs. The Board is requesting attendance from Authority members on this tour tentatively scheduled for mid-November/December.

4) One barrier to progress on this issue is the understandable resistance to any changes in service to a sensitive population. As we move ahead with this effort, an explicit commitment should be made by all agencies involved to insulate current accessible transit customers from service degradations or interruptions."

Staff Comments

The narrative and proposed policies in the Draft TEP are largely consistent with County input and look positive.

The "Non-Rail Transit Enhancements" program includes the following qualification: *"Recipients of funding under this category are required to participate in the development of the Accessible Transportation Services Strategic Plan included in Category 12. Transportation for Seniors and People with Disabilities."* This is directly responsive to BOS input to ensure implementation.

The Draft TEP includes a recommendation for a Accessible Transportation Service (ATS) Strategic Plan which is a positive development. Considering our numerous public and private accessible transit providers, migrating to a different system will require a substantial amount of planning, the ATS Strategic Plan will fulfill that. At a recent Authority Board meeting, there was a suggestion that *the study should be done in the short term, there is no*

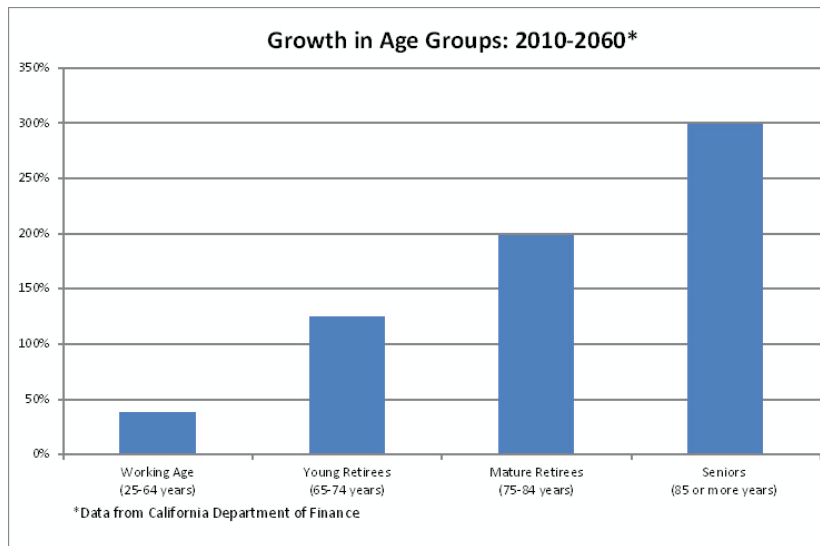
reason to wait for the TEP process to be completed. The BOS may wish to discuss this option and communicate its preference.

See Attachment 7: *Mobility Matters* which was distributed at a recent Authority Special TEP meeting during the Accessible Transit discussion.

The BOS did not weigh in on an appropriate funding level for this program. Now that a figure has been proposed in the Draft TEP the BOS may wish to consider providing input on the amount of funding. The following information is provided to inform that consideration:

1) Demographics

From 2010 to 2060 the working age (25-64) population will grow 38%. During this same time period the population that will increase demand for accessible transit service will grow as follows, 65-74=125%, 75-84=198%, and 85+=299%. See chart below.



2) Other Cost Magnifiers

There are other factors that will magnify the impact of the demographics illustrated above:

- The consolidation trend in medical facilities and services will result in more trips and longer trips.
- Expansions of fixed route service funded in the TEP will result in a compulsory expansion of ADA paratransit.
- An increase in the veterans population.

3) Implications of a New Service Model

The study and service proposals in the TEP are likely to improve service efficiency, reduce costs, and attract other funds. However, given the substantial demographics problem mentioned above, the "silver tsunami", these improvements and efficiencies are not likely to completely offset the growth in demand. In addition, the study of and incubation of a new mobility management program will take some investment.

4) RTPC Input

See chart below comparing RTPC input compared to funding levels in the Draft TEP. The "Transportation for Seniors and People with Disabilities" program had the largest negative discrepancy between the RTPC "ask" and proposed funding level: RTPC Request: \$105M, Draft TEP: \$50M.

16. Community Development Incentive (CDI) Program

Draft TEP Language

Funding Level: 6%

Narrative

"Funds from this category will be used implement this new Community Development Incentive program, administered by the Authority's Regional Transportation Planning Committees (RTPC's). Funds will be allocated on a competitive basis to transportation projects or programs that promote economic development, job creation and/or housing within established (or planned) transit supportive community centers. Project sponsors must demonstrate that at least 20% of the project is funded from other than local transportation sales tax revenue and the Authority will prioritize funding to projects that demonstrate over 50% funding from other sources. Additional priority will be given to projects where the sponsor can demonstrate that the project supports and facilitates development of housing for all income levels. Working with the RTPCs, the Authority will prepare guidelines and establish overall criteria for the program."

Prior Contra Costa County BOS Comment

From the 11/3/15 BOS Letter re: the TEP

Funding Level: n/a

Narrative

"Improved Land Use Coordination...Initial Ideas on the Funding Allocation Approach: The TEP could allocate a portion of the future funds to a congestion reduction program related to stimulating certain types of new development. Funds for such a program could be used to stimulate certain infill and other development that demonstrates positive impacts on the transportation system, such as reduced demand on the most congested freeways and roads, better utilization of transit, greater off-peak utilization, reduced average commute times, and reduction of out-of-county commute trips. This could take the form of development in Priority Development Areas (PDAs) near transit or other types of development that achieve the demand reduction goal. For Contra Costa County, jobs/housing balance is a key concern. A focus on developing employment centers that would offer well-paying jobs proximate to housing (i.e. priority industrial areas or priority employment areas) could have merit. Stimulating development that establishes well-paying jobs in East County, for example, could reduce strain on Highway 4, offer a far easier commute for East County residents and make better use of prior transportation investments by stimulating the counter commute."

Subject to feasibility studies, demonstration of congestion reduction, and Authority approval, local jurisdictions could request funding for projects that would stimulate development that would reduce congestion. Such investments could include transportation infrastructure (e.g. improvements to transit and roadways in areas targeted for job growth). However, to realize the congestion reduction benefit of the desired development, a broader range of investments could be considered, such as advanced telecommunication/broadband infrastructure, water, sewer, power, impact fee offsets, land assembly, or other investments. The analysis should consider not only the direct growth in jobs (and housing) likely to result from the investment, but also the net growth in jobs (certain jobs such as advanced manufacturing can have relatively high job multipliers).

Initial Ideas on the Policy Incentives Approach: The TEP might include additional policy incentives to promote infill and other development that reduces congestion. For example, the TEP could include incentives for local agencies to adopt and implement certain land-use policies such as PDAs, priority industrial areas or priority employment areas, greater density along transit or employment targets. Alternatively, incentives could be linked to certain TEP funding categories. For instance, economic development/jobs-housing balance/congestion reduction goals could be criteria for allocating funding to any competitively awarded pots of funds."

Staff Comments

There has been some concern at the Authority Board regarding expenditures indirectly related to transportation. The proposal in the Draft TEP takes an approach that funds a program as suggested by the BOS and others, but also addresses the concerns regarding expenditures.

The draft program is potentially consistent with the BOS input. Because the policy details are deferred to a future date, "...the Authority will prepare guidelines and establish overall criteria..." it is not entirely clear how the program will be structured or administered, though it is envisioned as a competitive grant program managed primarily at the RTPC level.

The BOS input had language requiring a nexus between the funded project and congestion reduction. The TEP proposal includes the following, "...projects or programs that promote economic development, job creation and/or housing within established or (or planned) transit supportive community centers". While this policy will result in congestion reduction as a derivative, the Authority may wish to be more explicit on this point in order to better address the concerns expressed regarding expenditures indirectly relating to transportation. Likewise, staff recommends that the language be adjusted to avoid preventing funding for needed job growth in areas that will substantially reduce congestion, vehicle miles traveled and greenhouse gas emissions but immediately proximate to transit. The Board may also wish to provide input on the funding amount for the program and discuss other aspects such as how the program should be administered.

15. Pedestrian, Bicycle and Trail Facilities

Draft TEP Language

Two-thirds of the funds from this program will be used implement projects in the Countywide Bicycle and Pedestrian Plan, consistent with the current Measure J program. These funds will be allocated competitively to projects that improve safety for pedestrians and bicyclists, serve the greatest number of users and significant destinations, and remove missing segments and existing barriers to walking and bicycling. The review process shall also consider project feasibility and readiness and the differing needs of the sub-regions when identifying projects for funding. Funding available through this program shall be primarily used for the construction, maintenance, and safety or other improvements of bicycle, pedestrian and trail projects. No design, project approval, right-of-way purchase and environmental clearance may only shall be funded as part of a construction project. Planning to identify a preferred alignment for major new bicycle, pedestrian or trail connections may also be funded through this program.

One third of the funds are to be allocated to the East Bay Regional Park District (EBRPD) for the development and rehabilitation of paved regional trails. EBRPD is to spend its allocation proportionally in each sub-region, subject to the review and approval of the applicable sub-regional committee, prior to funding allocation by the Authority. The Authority in conjunction with EBRPD will develop a maintenance-of- effort requirement for funds under this category.

Consistent with the Countywide Bicycle and Pedestrian Plan and the complete streets policy established in this expenditure plan, project sponsors receiving funding through other funding categories in this Plan shall incorporate, whenever possible, pedestrian, bicycle, and trail facilities into their projects.

Prior Contra Costa County BOS Comment

Contra Costa County currently has the lowest rate of trips-by-bike rate in the Bay Area according to the MTC . Please consider a strategic approach to developing and prioritizing bicycle project and program activities to reverse this rate to improve the County's ranking.

One component of that strategic approach could be to further expand and improve the County's network of separated, Class I trails. These facilities often have a substantial number of users, traveling at varying speeds, on a single path. For example, a "bicycle expressway" could be a separate project in the Iron Horse corridor that would accommodate faster cyclists. This would increase usage, safety, and comfort for both cyclists and pedestrians and merits consideration during development of the TEP.

Staff Comment

The program largely continues the existing policies. The "bicycle expressway" concept proposed by the BOS could be funded under this program.

Major Projects

Draft TEP Language

At this time, the Draft TEP does not include project specific information. Another draft will be distributed for review by the Cities and County in May. However, at this time, all projects proposed by the County would be eligible for funding under the appropriate program categories.

OTHER COMMENTS

• BART Funding Request

The magnitude of proposed BART TEP funding has been discussed at recent Authority meetings. Attached is communication from BART (Attachment 8: *BART Information*) documenting the funding need, reiterating that BART expenditures poll well, and generally communicating BART benefits to Contra Costa County.

• Public Managers Association (PMA) Input on the TEP

The PMA has met with Authority staff and provided input on the process. Attachment 9: *Public Managers Association - TEP* show the proposal discussed.

• RTPC Funding Requests Relative to Draft Transportation Expenditure Plan

Please see the two charts:

- Attachment 10: *NEW MEASURE TRANSPORTATION EXPENDITURE PLAN (DRAFT FOR DISCUSSION ONLY)*: Prepared by CCTA staff for discussion at the RTPCs. The chart shows the Draft TEP funding categories, what each RTPC requested, and what is proposed in the Draft TEP.

- Below: *New Measure Transportation Expenditure Plan: RTPC REQUEST COMPARED TO DRAFT TEP*: Prepared by County staff, this chart is based on the above chart which isolates and compares the RTPC \$ request to the Draft TEP amount and is sorted by % difference between the two. The table only compares two funding scenarios (RTPC recommendations and the first draft TEP).

The broader dialog on the measure actually includes multiple inputs--advocacy groups, individual agencies, etc. The RTPC scenario is included as the benchmark because the Board had input on this scenario through participation on the RTPCs.

New Measure Transportation Expenditure Plan: RTPC REQUEST COMPARED TO DRAFT TEP
(Sorted by % Change from RTPC Proposal to DRAFT TEP)

Prgm #	Funding Category	RTPC Request	Draft TEP	\$ Amount +/-	% Change
16	Community Development Investment Grant Program	\$ 41	\$ 140	\$ 99	240%
3	BART Capacity, Access and Parking Improvements	\$ 113	\$ 300	\$ 188	167%
17	Innovative Transportation Technology / Connected Communities Grant Program	\$ 60	\$ 65	\$ 5	9%
6	Improve traffic flow & implement high capacity transit in the I-680 corridor & SR 24 4	\$ 139	\$ 140	\$ 1	1%
8	Interstate 680 and State Route 4 Interchange Improvements	\$ 60	\$ 60	\$ -	0%
9	East County Corridor Transit & Interchange Improvements	\$ 120	\$ 117	\$ (3)	-3%
5	along the I-80 Corridor in West County	\$ 114	\$ 110	\$ (4)	-4%
10	Non-Rail Transit Enhancements	\$ 219	\$ 200	\$ (19)	-9%
7	Improve traffic flow along the SR 242 & SR 4 Corridors in Central and Eastern County	\$ 78	\$ 70	\$ (8)	-10%
4	East Contra Costa Transit Extension	\$ 80	\$ 70	\$ (10)	-13%
1	Local Streets Maintenance	\$ 680	\$ 540	\$ (140)	-21%
2	Major Streets and Complete Streets	\$ 280	\$ 200	\$ (80)	-28%
13	Safe Transportation For Children	\$ 77	\$ 50	\$ (27)	-35%
15	Pedestrian, Bicycle and Trail Facilities	\$ 97	\$ 60	\$ (37)	-38%
12	Transportation for Seniors and People with Disabilities	\$ 105	\$ 50	\$ (55)	-53%
0	Commute Alternatives	\$ 24	\$ -	\$ (24)	-100%

Notes

\$ shown are in millions.

- The Measure J Transportation for Liveable Communities Program could be considered to be represented in the CDIG Program.
- The "Regional Choice" category shown in the original CCTA table is a placeholder and will not remain in the final draft. RTPC's will allocate those funds to programs of their choice.
- CCTA budget items are **not** included in the table above as the RTPCs did not weigh in on these amounts.
- Please see the explanatory footnotes in the "NEW MEASURE TRANSPORTATION EXPENDITURE

PLAN (DRAFT FOR DISCUSSION ONLY)" table. It provides clarification on what funding category certain requests were assigned to.

GROWTH MANAGEMENT PROGRAM (GMP)

The Draft TEP does not yet have any changes proposed for the GMP, thorough proposals are expected soon. However, there has been substantial discussion regarding the Urban Limit Line and related matters, including proposals from the coalition that authored the document entitled "Community Vision for a New Transportation Sales Tax", Greenbelt Alliance and the Public Managers Association. See Attachment 5: *Community Vision for a New Transportation Sales Tax*, Attachment 9: *Public Managers Association - TEP* and Attachment 11: *2-2-16 Letter GA to CCTA re GMP*.

Measure J conditions receipt of certain return to source sales tax proceeds on local jurisdictions having a voter-approved ULL. Measure J also provides that adjustments to such ULLs be approved by the voters but allows changes less than 30-acres in size to be made without voter approval (30-acre exception).

In the January 6, 2016, document entitled, "A Community Vision for a New Transportation Sales Tax", a Coalition proposes the following relative to the ULL:

"Enhance our Urban Limit Lines (ULLs): To prevent sprawl development, we must eliminate the loophole in Contra Costa County's Urban Limit Lines that allows 30-acre expansions without a public vote. And we must refine our existing ULL policies by defining key terms such as "urban" and "rural," clarifying which services must comply with our urban limit lines (water, sewer, etc.), and preventing subdivisions outside the lines."

A more detailed rationale for making these changes is provided in Recommendation 1 in the February 2, 2016 letter from Greenbelt Alliance (Attachment 11).

The proposal to remove the 30-acre exception in the new measure has been discussed by the CCTA Board on several occasions, including most recently at their February 17 meeting. Several CCTA Board Members have expressed strong concerns with the idea of removing the 30-acre exception, citing a lack of evidence that the exception was being used, let alone abused. Some Members also described the need to maintain some flexibility because modest changes to the ULL may be necessary to address detailed placement of the line when it splits a parcel or to provide a safety valve in case of a jobs or housing crisis. Some members also expressed concern with making substantial changes to ULL policy while the County is in the middle of performing the 2016 review of the ULL required by Measure L. Concern has also been expressed that a consequence of requiring voter approval of even modest changes to the ULL may be that the ability to develop compromise approaches for 30-acre-or-less expansions through the land use planning process may be replaced with ballot measures where the only options are yes or no.

The CCTA Board also discussed various compromise alternatives to removing the 30-acre exception. CCTA staff was requested to work with County staff to describe a range of preliminary alternatives for consideration by the CCTA Board at a subsequent meeting. Supervisors Andersen and Mitchoff also expressed their intention to ask County staff to bring a discussion of the matter to the Board of Supervisors in early March.

County staff has worked with CCTA to develop some preliminary alternatives for responding to the request to remove the 30-acre exception. Please find those preliminary alternatives discussed in Attachment 12. Those alternatives include making no change to the ULL provisions, removing the 30-acre exception and options in between.

Several alternatives relate to ensuring greater consistency in the ULL amendment requirements of the various jurisdictions. CCTA staff prepared a summary table comparing the different requirements (Attachment 13). As illustrated in the table, current requirements for other jurisdictions are different from those of the County. For the County to expand the ULL by less than 30 acres without voter approval, Measure L requires a super majority vote of the BOS and requires the adoption of one of seven findings (see Attachment 14). In addition, the County has formalized interpretation of the Measure J requirements related to defining the phrase "non-consecutive adjustments" as it relates to the ULL (see attachment 15, Principles of Agreement for Establishing the Urban Limit Line from the Measure J TEP and Attachment 16, 2007 correspondence between Dennis Barry and Robert McCleary). At least two cities have codified this clarification on nonconsecutive adjustments through an Exhibit attached to their ULL Resolutions (see Attachment 17, the Oakley ULL Resolution, particularly Exhibit 1 to that Resolution).

For a summary history of the County's ULL, please see Attachment 18, a February 22, 2005 memo from Dennis Barry to the Board of Supervisors. In 2006, subsequent to the preparation of that memo, Measure L was approved by the voters.

Staff recommends that the Board review the preliminary alternatives provided in Attachment 13 and discuss the Board position relative to how the ULL is treated in the proposed 2016 sales tax measure.

CONSEQUENCE OF NEGATIVE ACTION:

If direction is not provided, the County may forego an opportunity to provide input on the development of the Transportation Expenditure Plan.

CHILDREN'S IMPACT STATEMENT:

None.

ATTACHMENTS

Attachment 1: BOS to CCTA re TEP Nov 2015

Attachment 2: BOS to CCTA re TEP Oct 2014

Attachment 3: Draft TEP 1-1

Attachment 4: CCTA TEP Schedule

Attachment 5: Community Vision for a New Transportation Sales Tax 1-6-16

Attachment 6: Collapse of Gas Tax 2016

Attachment 7: MobilityMatters.pdf

Attachment 8: BART Information

Attachment 9: Public Managers Association - TEP.pdf

- Attachment 10: CCTA TEP-Funding Breakdown by Subregion.pdf
- Attachment 11: 2-2-16 Letter GA to CCTA re GMP
- Attachment 12: ULL and 2016 Tax Measure- Preliminary Alternatives
- Attachment 13: Comparison of Requirements for ULL Changes
- Attachment 14: Excerpts from County Code Related to the Urban Limit Line
- Attachment 15: Principles of Agreement regarding ULL from Measure J TEP
- Attachment 16: Exchange of Letters--Interpretation of TEP regarding non-consecutive changes to ULL
- Attachment 17: Oakley Ordinance
- Attachment 18: ULL History from February 22, 2005 memo

The Board of Supervisors

County Administration Building
651 Pine Street, Room 106
Martinez, California 94553

John Giola, 1st District
Candace Andersen, 2nd District
Mary N. Piepho, 3rd District
Karen Mitchoff, 4th District
Federal D. Glover, 5th District

Contra Costa County



David Twa
Clerk of the Board
and
County Administrator
(925) 335-1900

November 3, 2015

Julie Pierce, Chair
Contra Costa Transportation Authority
2999 Oak Road, Suite 100
Walnut Creek, CA 94597

Subject: Transportation Expenditure Plan & Potential Sales Tax Measure

Dear Chair Pierce:

On November 3, 2015, the Board of Supervisors (Board) approved the following comments be transmitted to the Contra Costa Transportation Authority. This letter details our position on policies and funding levels for the Transportation Expenditure Plan (TEP), currently under development by the Contra Costa Transportation Authority (Authority). At its September 15, 2015 meeting the Board received a report on TEP issues and formally recommended the positions detailed below.

This comment letter does not constitute an endorsement by the Board of the concept of a 2016 transportation sales tax. The Board will consider that broader issue at a future meeting in the context of the Board's assessment of the need for new funding for transportation and other services.

Local Streets and Roads: As you are aware, the demand for increased maintenance funding is a national, statewide, and local problem. In reviewing data regarding the County's maintenance needs, it is clear that a substantial increase in Local Streets Maintenance and Improvements funding is necessary.

An analysis performed by the Metropolitan Transportation Commission (MTC) has shown that in unincorporated Contra Costa County over a 24 year period, we have a revenue shortfall of \$442 million to address pavement and directly related non-pavement needs. Expanding on that analysis, assuming 30% revenues from a new TEP,

there would continue to be a \$350 million shortfall over the same period. These figures don't include the maintenance demand for the 111 bridges in unincorporated County.

In addition to our current maintenance shortfall, we also have a need for more funding to implement and maintain complete street projects in our unincorporated communities to serve all of the users of our roads and enhance neighborhoods.

Considering the above, the Board supports the funding levels for local streets and roads (maintenance and improvements) in a new TEP that the Regional Transportation Planning Committees (RTPCs) have taken. Specifically, SWAT at 25%-30%, TRANSPAC at 30%, TRANSPLAN at 30% and WCCTAC at 28%. This support includes complete streets concepts as detailed below. The Board recognizes the importance of improving and maintaining our local streets and roads for all modes of transportation.

Recommendations from SWAT, TRANSPAC and WCCTAC include funding for complete streets and multi-modal projects within the local streets and roads category. TRANSPLAN recommends 30% for local streets maintenance and improvements and also recommends additional funding amounts for projects for bike and pedestrian improvements, safe transportation for schools as well as Transportation for Livable Communities.

During our discussion on maintenance needs, the topic of progress at the state regarding transportation finance reform was considered. While the Board has hope that the State will reform transportation financing practices, our data show that even if the maximum funding increases considered during the recent special session of the State legislature were enacted, we would continue to have a substantial maintenance backlog.

We understand there is an interest in establishing a reporting mechanism to provide additional accountability and tracking of maintenance funding. The Board is supportive of this and is willing to work with the Authority and other member agencies to develop a mechanism to ensure that maintenance expenditure practices are transparent.

Accessible Services/Mobility Management/Paratransit: As we indicated in our October 21, 2014 comment letter on the Countywide Transportation Plan, the issue of improvements to transit for the elderly and people with disabilities (accessible services) is a priority for the Board. This issue is longstanding; the Board made similar comments in 2002 during the effort to reauthorize Measure C. The Board is making these comments due to the forecasted growth of the target population¹ and increasing costs².

¹ 65+ Bay Area population is forecasted to grow 137% by 2040. Data sources: 2010 Census, California Department of Finance, ABAG

²60% increase in paratransit cost per trip from 2004 to 2013 (average of all Contra Costa County transit agencies)
Data source: 2004-2013 National Transit Database

The Board believes this issue requires substantial, deliberate attention given that accessible transit responsibilities are diffused in Contra Costa County, making progress challenging. Accessible transit in the County consists of four different public Americans with Disabilities Act (ADA) paratransit providers, program specific transit providers, city-based providers and the County itself has certain transportation obligations related to health care and the Older Americans Act. This structure grew organically over time and as such, no single organization falls naturally into a leadership role. With the recommendations below, we want to provide a countywide direction and improve services to our shared constituency while providing much needed cost controls.

In our October 2014 comment letter we indicated that accessible service would need, in addition to additional funding, fundamental administrative changes if we are to respond adequately in a cost-effective manner to the projected demand for service. The recommendations below build on those earlier comments and are consistent with the 2013 *Contra Costa Mobility Management Plan (CCMMP)*, as well as the unfulfilled recommendations in the 2004 *Contra Costa Paratransit Improvement Study*. The recommendations in this letter and found in the CCMMP are also consistent with MTC's *Coordinated Public Transit –Human Services Transportation Plan Update for the Bay Area*. The MTC Plan has the recommendation of “strengthening mobility management” which includes the designation of a Consolidated Transportation Services Agency³ (CTSA). The designation of a CTSA is also a recommendation in the 2013 CCMMP.

The Board supports the following relative to accessible services in a new TEP:

1) The TEP should, in addition to providing additional operations funding, fund a countywide mobility management⁴ program as recommended in the CCMMP⁵. The CCMMP includes preliminary cost figures for implementation which may need to be refined as we move ahead. As implementation progresses, the Board strongly

³ **CTSA:** Adapted from several public sources: Created under AB 210 (1979 – “Social Services Transportation Improvement Act”). The purpose of the Act was to improve the quality of transportation services to low mobility groups while achieving cost savings, lowered insurance premiums and more efficient use of vehicles and funding resources. The legislation took the middle course between absolutely mandating and simply facilitating the coordination of transportation services. Designation of CTSA's and implementation of other aspects of the Act were seen as a flexible mechanism to deal with the problem of inefficient or duplicative transportation services.

⁴ **Mobility Management Defined:** Mobility management (MM) is a strategic approach to the coordination of transportation service, revenue streams, technology implementation, and customer service. MM directs passengers to the most appropriate and cost-effective transportation option using information, incentives, and other voluntary measures. Best implemented on a larger scale, a mobility-managed service area provides a full range of well synchronized mobility services in a cost effective manner.

⁵ A small non-profit, “Mobility Matters” (formerly, “Senior Helpline Services”) has begun providing some mobility management in Contra Costa County. However, that organization has limited funding through grants expiring in 2016. TRANSPAC provides Mobility Matters some Measure J funds (20a – Sr/Disabled Transportation) for a volunteer driver program. No Measure J funds are used for mobility management functions.

recommends consideration of a transition to the mobility management/brokerage⁶ model used in Santa Clara County.

2) Currently, Measure J has eligibility requirements placed on local jurisdictions in order to receive *Local Streets & Maintenance* funding. As mentioned in the *Local Streets and Roads* section above, additional requirements are being considered for supplementary maintenance funding. Similar to those requirements, the Board is proposing that eligibility for transit funding under a new TEP be contingent upon participation in the implementation of the mobility management program and other identified improvements to accessible services.

3) Implementing the service model proposed in #1 above is a substantial investment. We believe that the County and Authority Board members would benefit from a tour of the Santa Clara County accessible services operation, OUTREACH. The OUTREACH operation is non-profit based and is a national model for cost-effective procurement, contracting and operations⁷. During a time where our own transit operations show a trend of **increasing costs**, the OUTREACH model has shown **reduced costs**⁸. The Board is requesting attendance from Authority members on this tour tentatively scheduled for December.

4) One barrier to progress on this issue is the understandable resistance to any changes in service to a sensitive population. As we move ahead with this effort, an explicit commitment should be made by all agencies involved to insulate current accessible transit customers from service degradations or interruptions.

The Authority should be aware that the Board is fully committed to pursuing improvements to accessible transit. The Santa Clara County mobility management/brokerage model includes County support by way of competitive pricing on vehicle maintenance, vehicle parking and bulk fuel purchases. The Board is currently exploring the possibility of duplicating that service in Contra Costa.

Improved Land Use Coordination: In our October 2014 letter and at our September 15th discussion, the Board discussed the need for economic development and balancing jobs

⁶ A mobility management operation can, over time, transition to a “brokerage” model. A brokerage model splits functions related to ADA paratransit/accessible service with a transit agency. Those functions span a continuum starting with administrative responsibilities (contracting with service providers, monitoring performance, customer service) all the way up to a full service brokerage (central call center/dispatch, management of a coordinated system, etc). Adapted from FTA Report #0081, “Accessible Services for All”:
http://www.fta.dot.gov/documents/FTA_Report_No._0081.pdf#page=39

⁷ Federal Transit Administration, “*Accessible Transit Services for All*” December 2014
www.fta.dot.gov/documents/FTA_Report_No._0081.pdf#page=246

⁸ 19% decrease in cost per trip from 2004 to 2013 Data source: 2004-2013 National Transit Database

and housing to make more efficient use of our transportation infrastructure. The following statistics underscore the structural problems that challenge our transportation network as well the potential benefits of addressing these problems:

- 1) The five cities in the Bay Area with the longest commute times are all in Contra Costa County⁹;
- 2) Contra Costa is second only to Solano for having the lowest number of jobs relative to housing¹⁰ and is forecast to be the only County in the Bay Area with fewer jobs than housing units in 2040¹¹; and
- 3) Travel patterns are imbalanced resulting in substantially underutilized infrastructure. For example, State Route 4 in East Contra Costa County carries approximately 2.3 times as many vehicles in the commute direction as in the non-commute direction¹².

Long and congested commute patterns cause residents to spend more of their time commuting than in other, more valuable activities and contribute substantially to unhealthful and climate-altering emissions. A primary cause of this unbalanced, inefficient and resource-intensive transportation pattern is that it can be difficult to find jobs and housing in close proximity, or to find jobs and housing connected by transit. The potential sales tax measure now under consideration may present an opportunity to better address a root cause of the transportation challenges we face.

The Board would like to discuss with the Authority and other stakeholders the possibility of developing policies in the TEP for promoting development that reduces congestion and makes better use of transit and other existing infrastructure. We propose that conversation include two types of approaches: a) funding allocations; and b) new policy incentives. To stimulate discussion, we have included some initial ideas below on each of these two approaches. We would welcome a discussion on these and other ideas that others may have.

Initial Ideas on the Funding Allocation Approach: The TEP could allocate a portion of the future funds to a congestion reduction program related to stimulating certain types of new development. Funds for such a program could be used to stimulate certain infill and other development that demonstrates positive impacts on the transportation system, such as reduced demand on the most congested freeways and roads, better

⁹ MTC's "Vital Signs": Oakley, Brentwood, Antioch, Hercules, Pittsburg

¹⁰ ABAG: San Francisco Bay Area: State of the Region: Economy/Population/Housing – 2015 (Figure 4.27 (Jobs to Housing Ratio, Bay Area Counties))

¹¹ ABAG: Draft Plan Bay Area: Forecast of Jobs, Population, & Housing, March 2013 (Table 14 (SF Bay Area County Housing and Job Growth, 2010-2040))

¹² MTC's Vital Signs

utilization of transit, greater off-peak utilization, reduced average commute times, and reduction of out-of-county commute trips. This could take the form of development in Priority Development Areas (PDAs) near transit or other types of development that achieve the demand reduction goal. For Contra Costa County, jobs/housing balance is a key concern. A focus on developing employment centers that would offer well-paying jobs proximate to housing (i.e. priority industrial areas or priority employment areas) could have merit. Stimulating development that establishes well-paying jobs in East County, for example, could reduce strain on Highway 4, offer a far easier commute for East County residents and make better use of prior transportation investments by stimulating the counter commute.

Subject to feasibility studies, demonstration of congestion reduction, and Authority approval, local jurisdictions could request funding for projects that would stimulate development that would reduce congestion. Such investments could include transportation infrastructure (e.g. improvements to transit and roadways in areas targeted for job growth). However, to realize the congestion reduction benefit of the desired development, a broader range of investments could be considered, such as advanced telecommunication/broadband infrastructure, water, sewer, power, impact fee offsets, land assembly, or other investments. The analysis should consider not only the direct growth in jobs (and housing) likely to result from the investment, but also the net growth in jobs (certain jobs such as advanced manufacturing can have relatively high job multipliers).

Initial Ideas on the Policy Incentives Approach: The TEP might include additional policy incentives to promote infill and other development that reduces congestion. For example, the TEP could include incentives for local agencies to adopt and implement certain land-use policies such as PDAs, priority industrial areas or priority employment areas, greater density along transit or employment targets. Alternatively, incentives could be linked to certain TEP funding categories. For instance, economic development/jobs-housing balance/congestion reduction goals could be criteria for allocating funding to any competitively awarded pots of funds.

Finally, the Board hopes there can be a discussion regarding if and how the potential measure can address the fundamental shifts in the statewide transportation planning and funding landscape resulting from recent landmark greenhouse gas reduction legislation (for instance the State's replacement of the Level of Service (LOS) metric with a Vehicle Miles Travelled (VMT) metric). At this time, it may be appropriate to consider revisions to the Authority's *Growth Management Program* and *Technical Procedures* that would incrementally and strategically adapt to the new VMT standard while maintaining the local benefits of the current LOS standard.

The Board would welcome discussion on these and other ideas related to these challenging land use and transportation issues.

Bicycle Transportation Issues: Contra Costa County currently has the lowest rate of trips-by-bike rate in the Bay Area according to the MTC¹³. Please consider a strategic approach to developing and prioritizing bicycle project and program activities to reverse this rate to improve the County's ranking.

One component of that strategic approach could be to further expand and improve the County's network of separated, Class I trails. These facilities often have a substantial number of users, traveling at varying speeds, on a single path. For example, a "bicycle expressway" could be a separate project in the Iron Horse corridor that would accommodate faster cyclists. This would increase usage, safety, and comfort for both cyclists and pedestrians and merits consideration during development of the TEP.

Major Projects: The following is an update to the Board's priority project list transmitted in our October 2014 comment letter. The Board also intends on pursuing these priorities at the appropriate Regional Transportation Planning Committees.

The TriLink/State Route 239: This project continues to be a priority. In the interest of advancing a project within a shorter time frame, the Board is requesting that the Vasco-Byron Highway connector phase be prioritized in the TriLink program of projects.

The Kirker Pass Road Truck Climbing Lanes: This project addresses congestion and safety along in this critical TRANSPAC and TRANSPLAN connector road.

The northbound project, estimated to cost \$18 million, is scheduled for construction in 2018 and will provide a northbound truck climbing lane and paved shoulders for future Class II bike lanes between Clearbrook Drive in the City of Concord and the easternmost Hess Road intersection in the unincorporated area. The project is needed to improve safety for motorists and bicyclists along this stretch of road that experiences high truck traffic and is a major commute corridor between Central and East County. With sustained grades steeper than eight percent, trucks are unable to match the speed of other vehicles on the roadway, causing significant congestion and creating a safety hazard. The southbound project will add a truck climbing lane in the opposite direction and is estimated to cost over \$20 million. There is no date yet for construction, but project development activities are expected to be started within the next few years.

Capitol Corridor Voucher Program: This is a new proposed program that the Board is requesting WCCTAC and CCTA explore. WCCTAC is currently involved in a high capacity transit study that would explicitly or effectively extend BART service in West

¹³ MTC: Regional Bicycle Plan for the San Francisco Bay Area – 2009 Update.

Contra Costa County. Given that a service expansion of this type is typically a long-term process; a more immediate solution should be considered.

The Capitol Corridor Joint Powers Authority (CCJPA) currently operates the Capitol Corridor service through Contra Costa County. In order to provide some service increase to West Contra Cost residents in the short term, a TEP-funded, Capitol Corridor voucher program for Contra Costa residents should be considered. The CCJPA is currently involved in a Capitol Corridor Vision Planning process, which calls for coordination with WCCTAC and CCTA relative to the high capacity transit study. Either the CCJPA planning process or the WCCTAC High Capacity Transit Study may be an appropriate mechanism by which to explore this concept.

Marsh Creek Trail: The Board also suggests consideration of an emerging transportation project: a multi-use path in the Marsh Creek corridor that would connect east and west County on or near Marsh Creek Road. This project is in the concept stage and discussion among local jurisdictions has begun. The project would be a significant community asset and may mature enough in the next year to warrant eligibility for funding.

The following projects continue to be a priority: North Richmond Truck Route, I-680 HOV Gap Closure, Iron Horse/Lafayette-Moraga Trail Connector, Vasco Road Safety Improvements, and Northern Waterfront Goods Movement Infrastructure.

The Board of Supervisors greatly appreciates staff and consultant assistance during our deliberations on TEP development. We look forward to your response and additional engagement on this critical issue.

Sincerely,



John Gioia, Chair
Contra Costa County Board of Supervisors
Supervisor, District I

C:

David Twa, County Administrator
Sharon Anderson, County Counsel
Julie Bueren, Director – Public Works Department
John Kopchik, Director - Conservation and Development
Patricia Tanquary, CEO – Contra Costa Health Plan

Sherry McCoy, Chair – WCCTAC
Don Tatzin, Chair – SWAT
Robert Taylor, Chair, TRANSPLAN
Loella Haskew, Chair – TRANSPAC

The Board of Supervisors

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**Contra
Costa
County**



David Twa
Clerk of the Board
and
County Administrator
(925) 335-1900

October 21, 2014

Kevin Romick, Chair
Contra Costa Transportation Authority
2999 Oak Road, Suite 100
Walnut Creek, CA 94597

Subject: 2014 Countywide Transportation Plan Update

Dear Chair Romick:

On September 23, 2014, the Board of Supervisors authorized the Chair to transmit comments on the 2014 update to the Countywide Transportation Plan (CTP). We understand that the CTP is intended to guide the development of the transportation system for the next 25 years. We also understand that this update will result in a list of projects and programs intended to respond to growing population, increasing maintenance demands, and shifting priorities.

As an overall comment, the Board of Supervisors would like to thank the Contra Costa Transportation Authority (Authority) for the substantial effort put in to the draft CTP. The CTP raises numerous contemporary issues which should facilitate a productive discussion about our future.

The comment letter is comprised of three sections, broad discussion on priorities, chapter by chapter comments, and an attached, Public Review Draft Volume 3: Comprehensive Transportation Project List with comments embedded.

PRIORITIES

Increased Local Road Funding Needs: Maintenance, Complete Streets, Storm Water Requirements

Nationally, there is a well-documented, growing need to address our aging infrastructure. On the local level it is no different; we are straining to maintain adequate pavement conditions while being required to be compliant with new water quality, complete streets, and greenhouse gas reduction statutes and initiatives. **While the need for adequate maintenance funding is mentioned throughout the document, the scale of the issue warrants a much more prominent discussion in the CTP, particularly given the discussion of new revenue sources.**

Transit Service Improvements

There is increasing pressure to improve transit service due, in part, to new State statutes. As called out in the CTP, our maturing transportation network and land use patterns are at the point where we are facing diminishing returns on roadway capacity. In this light transit investments may be more attractive. Transit agencies in Contra Costa County are likely to need additional resources to respond to this increase in demand for service and the draft CTP acknowledges this unfunded demand. More specific comments:

- With **conventional fixed route service**, a number of potential mitigation measures proposed by the Office of Planning and Research (OPR) in their efforts to implement SB 743 (2013) relate to improved transit service. As acknowledged in the CTP, SB 743 eliminated congestion based transportation impact measures (level of service/LOS) under the California Environmental Quality Act (CEQA). A proposed alternative metric, likely to be Vehicle Miles Traveled (VMT), is intended to better reduce greenhouse gas production. However, in Contra Costa, our local policies compel us to continue using LOS **in addition to** the new impact measures imposed by the State. In order to offset any potential adverse impact on development activity caused by multiple mitigation measures, the Board of Supervisors requests that the Authority explore the possibility of using an expansion of bus service or bus service funding to establish a transit mitigation bank or programmatic VMT mitigation for member agencies.

The Board of Supervisors continues to be committed to the policy of having development pay for any facilities required to meet the demands resulting from growth. However, subjecting applicants to the full cost of both LOS and VMT analysis and mitigation may inappropriately constrain needed economic and housing development activities.

- **Paratransit** service for the elderly and people with disabilities, in addition to requiring additional funding, **will also require fundamental administrative changes if 1)** the Authority is to respond adequately to the projected demand for

service, and 2) expect that response to be cost-effective. In addition to the oft-cited demographic changes (aging population), the impact on travel demand for this portion of our constituency is likely to be further magnified by the consolidation of medical services and new health trends. The inclusion of these significant challenges would improve the “*new challenges*”, “*challenges ahead*” sections of the CTP.

- The Board of Supervisors is aware of the Authority’s efforts to implement the Mobility Management Plan (MMP) which could improve coordination and operating efficiencies of multiple transportation providers. We understand that progress is being made and applaud the efforts of Authority staff in navigating this complex issue. While we recognize that the MMP is mentioned in the Action Plan section of the CTP, given the countywide implications of the MMP a detailed discussion may be warranted in a more prominent place in the document.

Surveys conducted in the beginning of the CTP indicated that the Authority should be “more aspirational” in its undertakings. The implementation of a coordinated, countywide mobility management program would be responsive to that direction.

Safe Routes to School (SR2S) Program

The Authority’s Safe Routes to School Master Plan Task Force assisted with the development of a needs assessment to estimate the cost of SR2S projects and programs. The Board of Supervisors thanks the Authority for their leadership on this effort and we look forward to the findings and recommendations being implemented.

In order to make better use of past and future SR2S investments, we encourage the Authority to capitalize on one particular finding in the 2011 survey conducted early in the Master Plan effort. The survey established that the most consistent reason cited by parents and school administrators for K-12 students not walking and bicycling to school is related to traffic, either “*driver behavior*” or “*driving too fast*”. This finding is consistent with statewide and national survey results.

The County has developed a 2015 legislative proposal to enhance school zones through expansion and increased penalties. We have met with our legislative delegation on our proposal. The members were supportive of the concept and offered assistance. The County is in the process of securing support from other agencies and we are formally requesting the Authority support in this effort. The goal of the legislation, in combination with existing projects and program, is to assist in reversing the well-known low walk and bike rates to and from K-12 school. This may be another area

where the Authority could be responsive to the “more aspirational” findings in the surveys.

Major Projects & Emerging Planning Initiatives

A comprehensive response on project priorities can be seen in the attached list. This list includes the Board of Supervisors high priority projects including, but not limited to, TriLink (SR239), North Richmond Truck Route, I-680 HOV Gap Closure, Iron Horse/Lafayette-Moraga Trail Connector, Kirker Pass Road Truck Climbing Lane, Vasco Road Safety Improvements, and Northern Waterfront Goods Movement Infrastructure Projects.

In addition to these projects, the Board of Supervisors requests continued Authority advocacy and funding for activities supportive of economic development in areas of the County where such investment is needed and desired by local communities. For instance, this support could fund activities within Priority Development Area (PDAs) and as part of the Northern Waterfront Economic Development Initiative. We are supportive of CTP actions that include planning and implementation funding for transportation projects and programs, infrastructure improvements and other expenditures that facilitate needed economic development. Such investment will help balance jobs and housing and make more efficient use of our transportation infrastructure. The Board of Supervisors considers these efforts as integral to the continued growth of our region and economy.

CHAPTER COMMENTS

Executive Summary

Page ES-3

The telecommuting information is informative; the document would benefit from other relevant changes in commute patterns listed. Nationwide, bicycle commuting has doubled in a shorter time frame than telecommuting and the Authority has more direct responsibility to facilitate further growth in this area.

Page ES-13

Sustainable Communities Strategy

The Board of Supervisors thanks the Authority for their tireless engagement with the Metropolitan Transportation Commission and the Association of Bay Area Governments on the process to implement SB375. In particular, we encourage continued advocacy for additional resources and consideration for subareas that accommodate a substantial amount of planned growth. For the benefit of our constituents, MTC, and the State, it may be useful to point out in the CTP that our planned growth is, and has

been for some time, well-managed not through State or regional mandate but through a voter-approved Urban Limit Line and Growth Management Program. .

Pages ES-11-14The information on SB 375 (2008) in the document is useful given the land use and transportation emphasis in the legislation. However, we believe that additional focus on AB 32 (2006), in particular the Cap-and-Trade Program, should be included in the CTP. This information could better position the County to receive Program revenues. At a minimum, the relationship between the *“transformative”* transit investments contemplated in the CTP and the *“Affordable Housing and Sustainable Communities”* and *“Transit and Intercity Rail Capital”* Cap-and-Trade programs should be strengthened.

Prior to contemplating a new transportation sales tax, we believe all other funding opportunities should be examined and maximized to the extent possible in the CTP.

As indicated earlier in this letter and acknowledged later in the CTP, SB 743 (2013) is likely to substantially influence how agencies can 1) claim exemption from CEQA and 2) how we will analyze and mitigate the transportation impacts for development. While implementation policies are still being developed by the State; some mention of the issue in the Executive Summary is warranted considering the potential impact on member jurisdictions and the development community.

At this time, focus on SB 743 issues is being directed at the State. This is understandable given that implementation strategies are currently being developed. However, once the State’s work is finished, focus will shift to local jurisdictions who are ultimately responsible for analyzing and mitigating for VMT. As mentioned earlier in this letter, additional attention should be given to potential mitigation strategies. This would be valuable to both your member agencies and the development community.

The Board of Supervisors appreciates the Authority’s efforts to engage the State on this critical issue.

Page ES-20

Regarding the need to *“renew the sales tax measure”*, prior to establishing this need in policy we ask that the Authority conduct additional outreach to all member jurisdictions, including all members of the Board Supervisors. As you are aware, the Contra Costa County Board of Supervisors has diverse obligations which vary substantially throughout Supervisorial Districts. In considering whether to support such a measure the Board of Supervisors would consider factors such as possible

conflicts with other public finance priorities, and the need for additional transportation funding.

Introduction

Page I-15

This section discusses auto-ownership rates and age distribution in the context of demographics. Mention of the increase in the elderly segment of the population, and the impact on transportation needs, would serve to make the demographics discussion more useful in the context of the CTP.

Figure 3-1: Roadway Action Plan Projects and Programs

The park/open space data used to compile this figure (and other Figures with the same data) is outdated. It is important that the most current dataset is used so that the status of preserved lands relative to planned improvements is understood. This will help avoid conflicts between transportation planning and conservation efforts. Notably, conserved land data is missing from areas around Vasco Road, the Byron Airport, and along Kirker Pass Road south of the City of Pittsburg. A current dataset can be obtained from East Contra Costa County Habitat Conservancy.

As I am sure you are aware, many critical transportation projects have received streamlined permitting as a result of this program including Vasco Road Widening, SR-4/S-160 Connectors, Deer Valley Road safety shoulders, eBART, State Route 4 between Lone Tree and San Jose Avenue (including Sand Creek Interchange), and State Route 4 medians and shoulders from Discovery Bay to Byron Highway.

Vision, Goals and Strategy

Page I-28

The Board of Supervisors supports the approach described in the *"Finding the Right Balance"* section. The approach of *"Recognizing the differing needs and situations of Contra Costa's subareas..."* has worked well in this diverse County in the past. We expect it to continue to be successful well into the future.

Page I-29

Goal 1: Movement of people

With respect to the language in the first Goal, *"...all available travel modes..."*, the subsequently listed Strategies would be more representative of all modes, and more consistent with Goal 3, if non-motorized facilities were to be addressed in a manner similar to the road system.

For example, *“Define and close gaps in the Countywide and Regional Bikeway Network, including gaps in Class I and major off-street paths”*. In addition, this change would improve internal consistency, in the *“Pedestrian and Bicycle Facilities”* section the following action is highlighted, *“Close gaps in the regional trail system...”*.

Goal 1: Movement of Goods

Consistent with Authority support for, and assistance with the Northern Waterfront Economic Development Initiative, please include the following language, *“Identify new strategies to improve freight movement on freeways, waterways and rail lines to improve air quality and the safety and efficiency of goods movement”*.

Page I-32

The discussion regarding *“Maintaining the transportation system”* would be more informative and complete if new requirements, often required to be implemented concurrent with maintenance projects, were described in this section. Complete streets and water quality requirements can result in substantially increased maintenance costs.

Page I-36

“Our ability to expand the roadway system is extremely limited”: In addition to the barriers to roadway expansion listed in this section (limited right-of-way, noise, air pollution, etc.), please include *“expanding maintenance obligations”*.

Page I-41

Transit, Including Buses, Rail, Paratransit, and Ferries

As indicated in the Priorities section above, some mention of Authority leadership on the implementation of the MMP would be informative in this section.

Page I-51

Pedestrian and Bicycle Facilities

This section may benefit from a review by the Countywide Bicycle and Pedestrian Advisory Committee (CBPAC) who could assist in finding solutions to the numerous barriers to improving non-motorized transportation identified in the CTP.

The barriers to increased walking and cycling identified in the CTP are not unique to Contra Costa County. These barriers can be addressed through a methodical planning and investment response. The 2009 Update to MTC’s Regional Bicycle Plan for the San

Francisco Bay Area indicates that Contra Costa County is tied with Solano County for the lowest rate of bicycle commuters. A strategic approach to address identified barriers and improve that ranking may be another “aspirational program”. As indicated in the draft CTP, the County has numerous attributes that we could capitalize on; excellent climate, favorable topography, an excellent multi-use path network, and second only to Alameda County in terms of numbers of BART stations.

On a related note, the Authority may wish to consider combining the Safe Routes to School Master Plan Task Force with the CBPAC to form an “Active Transportation Working Group”. The subject matter addressed by the committees is similar and combining the committees may result in a critical mass of issues to address that would ideally lead to regular consultation and collaboration.

Page I-61

Facilities for Goods Movement

The Board of Supervisors appreciates the Authority’s assistance with the Northern Waterfront Economic Development Initiative. Considering the initiative addresses goods movement infrastructure including maritime, rail, and highway projects, some mention of the Northern Waterfront effort would strengthen this section.

Page I-65

The Board of Supervisors welcomes the description of the Comprehensive Transportation Project List (CTPL) as “evolving”. As subregional and local priorities change and we are required to respond to changing policies it is essential that we are afforded the flexibility of a “living document”.

Page 1-105

Implementation

The comments in this letter suggest possible changes to activities listed in the Implementation section including, but not limited to; 1) addition of State policy advocacy, and 2) updates to other Measure J implementation documents as suggested at the Technical Coordinating Committee (Technical Procedures Manual, Measure J Growth Management Implementation Guide, etc).


The Board of Supervisors appreciates the outreach of the Authority Board and its staff to obtain comments on the Draft CTP Update and we look forward to additional dialog and engagement on this effort.

Kevin Romick, Chair - CCTA

October 21, 2014

Page 9 of 9

Sincerely,

A handwritten signature in black ink that reads "Karen Mitchoff". The signature is written in a cursive, flowing style.

Karen Mitchoff, Chair

Contra Costa County Board of Supervisors

Supervisor, District IV

C:

Janet Abelson, Chair - WCCTAC

Candace Andersen, Chair – SWAT

Salvatore Evola, Chair, TRANSPLAN

Mark Ross, Chair – TRANSPAC

Attachments:

Comments on *Volume 3: Comprehensive Transportation Project List*

File: Transportation > Transportation > Committees > CCTA > CCTA Board of Directors

File: Transportation > Projects > CCTA > CTP 2014-15

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INITIAL DRAFT

**Transportation Sales Tax
Expenditure Plan (TEP)**

INITIAL DRAFT - For Discussion Purposes Only

Commented [MT1]: Version 1 - Posted with EPAC agenda on 2/22/2016

Version 1.1 (This Version) – was posted with EPAC agenda on 2/24/2016. Version 1.1 corrected the allocation assigned to the Community Development Investment Program (added \$50 million) and the Regional Choice Category (deducted \$50 million) and made other non-substantive changes.

TEP Outline

- Executive summary (**to be completed at a later date**)
- The Contra Costa Transportation Sales Tax Expenditure Plan
 - Table of Expenditure Plan Allocations
 - Summary of Projects and Programs (**to be completed at a later date**)
 - Detailed Descriptions of Funding Categories
 - Growth Management Program
 - Attachment A - Principles of Agreement for Establishing the Urban Limit Line
 - Complete Streets Program
 - Regional Advance Environmental Mitigation Program
 - Governing Structure
 - Implementing Guidelines

Commented [MT2]: A brief Executive Summary will be included in the final TEP document. This was a one page summary in the 2004 Measure J TEP document

TABLE OF EXPENDITURE PLAN ALLOCATIONS

Funding Category	\$ (millions)	%
Local Streets Maintenance and Improvements	540	23.1%
Major Streets and Complete Streets Project Grants	200	8.6%
BART Capacity, Access and Parking Improvements	300	12.8%
East Contra Costa Transit Extension	70	3.0%
Transit & Interchange Improvements along the I-80 Corridor in West County	110	4.7%
Improve traffic flow & implement high capacity transit in the I-680 corridor	140	6.0%
Improve traffic flow along the SR 242 and SR 4 Corridors in Central and Eastern County	70	3.0%
Interstate 680 and State Route 4 Interchange Improvements	60	2.6%
East County Corridor - provide a high	117	5.0%
Advance Mitigation Program	TBD	TBD
Non-Rail Transit Enhancements	200	8.6%
Transportation for Seniors and People with Disabilities	50	2.1%
Safe Transportation for Children	50	2.1%
Intercity Rail and Ferry Service	50	2.1%
Pedestrian, Bicycle and Trail Facilities	60	2.6%
Community Development Investment Grant Program	140	6.0%
Innovative Transportation Technology / Connected Communities Grant Program	65	2.8%
Transportation Planning, Facilities & Services	23	1.0%
Regional Choice	70	3.0%
Administration	23	1.0%
TOTAL	2338	100.0%

Original version 1 had \$90 million. Corrected to \$140 million in this version.

Original version 1 had \$120 million. Reduced to \$70 million in this version.

Notes

- Advance Mitigation Program - Projects that would be included in an Advance Mitigation Program will be called out/ identified
- Regional Choice – This category is a placeholder for funds intended to be assigned by the RTPCs either to 1) high priority local projects/ programs unique to that subregion or 2) to augment funding assigned to other categories in this draft TEP to better reflect local priorities and needs

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in that subregion. Projects / program descriptions will ultimately be blended in to the final draft TEP) [\(version 1.1 includes the reduction of \\$50m to this category, bringing total program to \\$70m\)](#)

- Commute Alternatives – This program is not proposed in TEP as a countywide funded category. Funds may be assigned from Regional Choice category for this type of program.
- TLC – This program not proposed in TEP. A new program (Community Development Investment Grant Program) is proposed to be included in TEP.
- CDI – Community Development Investment Program is a new category. It is intended to provide funding for housing incentives and job creation programs/ investments (see details on following pages) [\(version 1.1 includes the addition of \\$50m to this category, bringing total program to \\$140m\)](#).

Detailed Descriptions of Funding Categories

The Contra Costa Transportation Authority (CCTA) is responsible for maintaining and improving the county's transportation system by planning, funding, and delivering critical transportation infrastructure projects and programs. The funding categories detailed below will provide needed improvements to connect our communities, foster a strong economy, increase sustainability, and safely and efficiently get people where they need to go.

Funding Categories

- 1. Local Streets Maintenance & Improvements ----- 23.1% (\$540m)**

Funds from this category will fund maintenance and improvement projects on local streets and roads and may be used for any eligible transportation purposes as defined under the Act and to comply with the GMP requirements. The Authority will distribute 23.1 percent of the annual sales tax revenues to all local jurisdictions with a base allocation of \$100,000 for each jurisdiction, the balance will be distributed based 50 percent on relative population and 50 percent on road miles for each jurisdiction, subject to compliance with the Authority's reporting, audit and GMP requirements, consistent with the current Measure J program. Population figures used shall be the most current available from the State Department of Finance. Road mileage shall be from the most current State Controller's Annual Report of Financial Transactions for Streets and Roads.

Funds shall be used by each jurisdiction to maintain and enhance existing roadway and other transportation facilities. Jurisdictions shall comply with the Authority's Maintenance of Effort (MOE) policy as well as Implementation Guidelines of this TEP. Local agencies will report on the use of these funds, such as the amount spent on roadway maintenance, bicycle and pedestrian facilities, transit facilities, and other roadway improvements.

- 2. Major Streets/ Complete Streets/ Traffic Signal Synchronization Grant Program ----- \$200m**

Funds from this category shall be used to fund improvements to major thoroughfares throughout Contra Costa to improve the safe, efficient and reliable movement of buses, vehicles, bicyclists and pedestrians along said corridors (i.e. traffic smoothing). Eligible projects include but, are not limited to installation of bike and pedestrian facilities, synchronization of traffic signals and other technology solutions to manage traffic, traffic calming and pedestrian safety improvements, shoulders, sidewalks, curbs and gutters, streetscapes and bus transit facility enhancements such as bus turnouts and passenger amenities. As an element of this program, the CCTA will adopt a 'traffic signal synchronization' program and award grants for installation of 'state of the art' technology oriented at smoothing the flow of traffic along major arterial roadways throughout the county. Funding from this program will be prioritized to projects that improve access (all modes) to transit stations and transit

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oriented communities. Priority will be given to projects that can show a high percentage of 'other funding' allocated to the project (i.e. – leverage). All projects funded through this program must demonstrate compliance with CCTA's Complete Streets program and include complete street elements whenever possible.

3. **BART Capacity, Access and Parking Improvements ---- \$300m**
Funds from this category shall be used to construct improvements to the BART system such as: station access improvements; station related safety and operational improvements; additional on or off site parking; development and implementation of last mile connections (including shuttles, transit stops, and bicycle / pedestrian facilities – complete streets) oriented at providing BART users alternatives to driving alone / parking single occupant vehicles. Funds in this category may be used for the acquisition of new BART cars and/or advanced train control systems that can be shown to increase capacity on BART lines serving Contra Costa, provided that 1) BART agrees to fund CCTA identified improvements from other BART revenues and 2) a regional approach, that includes funding commitments from both Alameda and San Francisco Counties, must be developed and implemented prior to any funds from this measure being used to fund the acquisition of BART cars.

Commented [WRG3]: For discussion only – amount subject to change. \$300m is consistent with discussions w/ BART to date.

4. **East Contra Costa Transit Extension (BART or alternative) ----- \$70m**
Funding from this category shall be used to extend BART or other high capacity transit service easterly from the existing Hillcrest Station in Antioch through Oakley to a new station in Brentwood. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for this project. Funds from this category may be used to complete an interim transit station in Brentwood as well as to fund improvements to the Pittsburg and /or Antioch stations. Funds in this category may be used for the acquisition of new BART cars and/or advanced train control systems that can be shown to increase capacity on BART lines serving Contra Costa, provided that 1) BART agrees to fund CCTA identified improvements from other BART revenues and 2) a regional approach, that includes funding commitments from both Alameda and San Francisco Counties, must be developed and implemented prior to any funds from this measure being used to fund the acquisition of BART cars. RAMP eligible project.

5. **Transit and Interchange Improvements along the I-80 Corridor in West Contra Costa ----- \$110m**
Funding from this category shall be allocated by the Authority to projects/ programs (including state of the art technology) that improve traffic flow along the Interstate 80 corridor as well as nearby major streets and/or intersections and reduce congestion, increase mobility and provide alternatives for single occupant vehicle travel. Final determination on the scope of the improvements to be constructed will be based on the final recommendations in the West County High Capacity Transit Study. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for this project. RAMP eligible project.

Commented [MT4]: Eligibility for this project will include projects and programs that result from the West County High Capacity Transit Study (including transit operational costs).

6. Improve traffic flow and implement high capacity transit along the Interstate 680 corridor in Central and Southwest County ----- \$140m

Funding from this category shall be used to implement the I-680 corridor express lane and operational improvement project to facilitate car pools and/or increased transit use in the corridor and discourage single occupant driving; funding may also be used implement high capacity transit improvements in the corridor (including those identified in the I-680 transit options and other relevant studies); funding may also be used to complete improvements to the mainline freeway and/or local interchanges as may be required to implement express lane and/or transit projects as well as advanced traffic management programs and/or other projects or programs that encourage the use of connected vehicle and/or autonomous vehicles in the corridor provided that the project sponsor can show that they reduce congestion, increase mobility and provide alternatives to single occupant vehicle travel. Selection of final project to be based on a performance analysis of project alternatives consistent with CCTA requirements. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for this project. RAMP eligible project.

7. Improve traffic flow along the SR 242 and SR 4 Corridors in Central and Eastern Contra Costa County ----- \$70m

Funding from this category shall be used to improve traffic flow and reduce congestion between Concord and Brentwood along the State Route 242 and State Route 4 to reduce congestion, increase mobility and provide alternatives to single occupant vehicle travel. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for this project. Advanced traffic management programs and/or other projects or programs that encourage the use of connected vehicle and/or autonomous vehicles in the corridor are eligible for funding from this category provided that the project sponsor can demonstrate that they reduce congestion, increase mobility and provide alternatives to single occupant vehicle travel. Selection of final project to be based on a performance analysis of project alternatives consistent with CCTA requirements. RAMP eligible project.

8. Interstate 680 / State Route 4 Interchange ----- \$60m

Funding from this category shall be used to implement the Interstate 680/ State Route 4 interchange improvement project as necessary to improve traffic flow and enhance traffic safety along both the I-680 and SR 4 corridors. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for this project. CCTA shall prioritize local funding commitments to this project in such a way as to encourage carpools and vanpools, public transit usage and other alternatives to the single occupant vehicle. RAMP eligible project.

9. East County Corridor (Vasco Rd and/or Byron Highway Corridors) ----- \$117m

Funding from this category shall be used to complete capacity and/or safety improvements to the Vasco Road and/or the Byron Highway (Tri-Link) Corridors oriented at providing better connectivity between eastern Contra Costa and the Interstate 580 corridor in Alameda and San Joaquin counties. Funds from this category may be used to upgrade existing facilities and to complete a new connection

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between the two corridors provided such a connection can be demonstrated to improve traffic flow and/or safety along either or both of the corridors. Selection of final project to be based on a performance analysis of project alternatives consistent with CCTA requirements. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for this project. At its sole discretion, the Authority may allocate up to 5% of funding from this category to the study and implement high capacity transit along either or both of these corridors.

Prior to the use of any local sales tax funds to implement capacity improvements to either or both of these corridors, the Authority must find that the project includes measures to prevent growth outside of the Urban Limit Lines (ULL) in effect at the time of passage of this measure. Such measures might include, but not necessarily be limited to, limits on roadway access in areas outside the ULL, purchase of abutters' rights of access, preservation of critical habitat and/or the acquisition of open space. Any investments affecting facilities in Alameda or San Joaquin Counties will be done in partnership with those jurisdictions. RAMP eligible project.

10. Advance Mitigation Program ---- TBD

The Authority will develop a policy supporting the creation of an advance mitigation program to establish a program to provide for large-scale acquisition and management of critical habitat areas and to create a reliable approach for funding required mitigation for future transportation. This policy will identify projects that will benefit from the program and the financial contribution associated with those projects. This approach would be implemented by obtaining coverage for transportation projects through existing and proposed multiple species conservation plans, including the East Contra Costa Habitat Conservation Plan. The benefit of this policy will include an early comprehensive project delivery review, reduced costs attributed to mitigation, opportunity to significantly improve conservation benefits, and accelerated project delivery. If this approach cannot be fully implemented, then the identified funds shall be used for environmental mitigation purposes on a project by project basis.

11. Non-Rail Transit Enhancements ---- 8.6% (\$200m)

This category of funding is intended to provide funding to non-rail transit service alternatives that can be shown to reduce total vehicle miles traveled (VMT) and/or greenhouse gas (GHG) emissions. Funding will be provided to non-rail transit services/projects that can demonstrate innovative approaches to maximizing the movement of people within the existing transportation infrastructure. Funding can be used to deliver transit capital projects or implement service to transit stations, congested corridors, last mile service to transit hubs and established transit integrated communities. Funding will be allocated by the Authority to Contra Costa transit operators based on performance criteria established by the Authority in consultation with local and regional transit operators and key stakeholders. Funding allocations will be reviewed on a regular basis. Said performance criteria shall require a finding that any proposed new or enhanced services demonstrate the ability to improve regional and/or local mobility for Contra Costa residents. Funds may be used to

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deliver transit capital projects or operate service improvements identified in the adopted plans of an operator or of the Authority.

Guidelines will be established so that revenues will fund service enhancements in Contra Costa. The guidelines may require provisions such as; operational efficiencies including greater coordination; promoting and developing a seamless service; increasing service frequencies on appropriate routes; and specified performance criteria and reporting requirements. Services funded in this program will be reviewed every two years to ensure the goals of the program are being met.

Recipients of funding under this category are required to participate in the development of the Accessible Transportation Services Strategic Plan included in Category 12. Transportation for Seniors and People with Disabilities.

12. Transportation for Seniors & People With Disabilities ----- 2.1% (\$50m)

Transportation for Seniors & People With Disabilities or what is often referred to as “Paratransit” services or Accessible Transportation Services (ATS) can be broadly divided into two categories: (1) services required to be provided by transit operators under the Americans with Disabilities Act (ADA) to people functionally unable to ride fixed route service; and (2) services not required by law but necessary for frail seniors and people with disabilities whose needs are beyond the requirements of the ADA (for example, extra hours of service or greater geographic coverage or requirement for service beyond curb-to-curb), or for non-ADA eligible seniors.

Projections indicate that people that would be eligible for these services is the fastest growing segment of our population and will likely (blank) over the next (blank) years.

Funding in this category will be used to fund accessible transportation services. These services shall support both non-ADA and ADA services for eligible participants. To ensure services are delivered in a coordinated system that maximizes both service delivery and efficiency an Accessible Transportation Service (ATS) Strategic Plan will be developed and periodically updated during the term of the measure. No funding under this category will be allocated until the ATS Strategic Plan has been developed and adopted.

An overarching component in the development and delivery of the ATS Strategic Plan is using mobility management to ensure coordination and efficiencies in accessible service delivery. The plan will evaluate the appropriate model for our local structure including how accessible services are delivered by all agencies and where appropriate coordination can improve transportation services, eliminate gaps in service and find efficiencies in the service delivered. The ATS Strategic Plan would also determine the investments and oversight of the program funding and identify timing, projects, service delivery options, administrative structure, and fund leverage opportunities.

Commented [MT5]: Continuing to refine language for this item to better reflect consistency with the other sections of the TEP

13. Safe Transportation for Children ----- 2.1% (\$50m)

Programs and projects which promote safe transportation options for children to access schools or after school programs. Eligible projects include but are not limited to transit passes and transit incentive programs, school bus programs, and projects for pedestrian and bicycle safety that provide school-related access.

14. Intercity Rail/ Ferries ---- \$50m

Funds from this category shall be used to construct station and/or track improvements to the Capitol Corridor and/or the San Joaquin corridors as well as to implement new or improved ferry services (including both capital and operations) in Richmond, Hercules, Martinez and/or Antioch. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for this project. Any projects funded in this category will be evaluated by CCTA and demonstrate progress toward the Authority's goals of reducing VMT and green-house gas reductions. Selection of final project to be based on a performance analysis of project alternatives consistent with CCTA requirements. Sponsors of projects requesting funding from this category will be required to demonstrate to the Authority that sufficient funding is available to operate the proposed project and/or service over a long period of time.

15. Pedestrian, Bicycle and Trail Facilities ---- 2.6% (\$60m)

Two-thirds of the funds from this program will be used implement projects in the Countywide Bicycle and Pedestrian Plan, consistent with the current Measure J program. These funds will be allocated competitively to projects that improve safety for pedestrians and bicyclists, serve the greatest number of users and significant destinations, and remove missing segments and existing barriers to walking and bicycling. The review process shall also consider project feasibility and readiness and the differing needs of the sub-regions when identifying projects for funding. Funding available through this program shall be primarily used for the construction, maintenance, and safety or other improvements of bicycle, pedestrian and trail projects. No design, project approval, right-of-way purchase and environmental clearance may only shall be funded as part of a construction project. Planning to identify a preferred alignment for major new bicycle, pedestrian or trail connections may also be funded through this program.

One third of the funds are to be allocated to the East Bay Regional Park District (EBRPD) for the development and rehabilitation of paved regional trails. EBRPD is to spend its allocation proportionally in each sub-region, subject to the review and approval of the applicable sub-regional committee, prior to funding allocation by the Authority. The Authority in conjunction with EBRPD will develop a maintenance-of-effort requirement for funds under this category.

Consistent with the Countywide Bicycle and Pedestrian Plan and the complete streets policy established in this expenditure plan, project sponsors receiving funding through other funding categories in this Plan shall incorporate, whenever possible, pedestrian, bicycle, and trail facilities into their projects.

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16. **Community Development Incentive (CDI) Program**----- **3-86.0% (\$90m140m)**
Funds from this category will be used implement this new Community Development Incentive program, administered by the Authority's Regional Transportation Planning Committees (RTPC's). Funds will be allocated on a competitive basis to transportation projects or programs that promote economic development, job creation and/or housing within established (or planned) transit supportive community centers. Project sponsors must demonstrate that at least 20% of the project is funded from other than local transportation sales tax revenue and the Authority will prioritize funding to projects that demonstrate over 50% funding from other sources. Additional priority will be given to projects where the sponsor can demonstrate that the project supports and facilitates development of housing for all income levels. Working with the RTPCs, the Authority will prepare guidelines and establish overall criteria for the program.

Commented [WG6]: UNRESOLVED ISSUE
This is a proposed new grant program that was developed as an alternative to augmenting the existing Transportation for Livable Communities program.

This new program is intended to stimulate infill development and would complement another proposal to augment a jurisdiction's return to source funding in exchange for compliance with specified housing goals or other 'to be determined' actions intended to incentivize the development of housing.

Augmenting return to source for this purpose is an unresolved issue that is not included in this initial Draft TEP.

17. **Innovative Transportation Technology / Connected Communities Program** ----- **2.8% (\$65m)**
Funding from this category will be allocated for the planning and development of projects and programs that include innovative solutions intended to (a) develop and demonstrate transportation innovation through real-world applications, (b) reduce GHG emissions, and (c) implement connected transportation solutions and integrate this approach with other community services such as public safety, public services, water, communications and energy to promote economic development and jobs opportunities by increasing government efficiency and reducing consumption. Examples of eligible projects include but are not limited to expanding opportunities for electric vehicle charging; smart rideshare, carshare and bikeshare services; on-demand and personal transit services that compliment traditional fixed-route transit; smart and automated parking; intelligent, sensor-based infrastructure; smart payment systems; and data sharing to improve mobility choices for all users. Projects are intended to promote connectivity between all users of the transportation network (cars, pedestrians, bikes, buses, trucks, etc.) and automation technologies that collectively facilitate the transformation toward connected communities. Funding is intended to match State, federal, or regional grants and private-sector investment to achieve maximum benefits. By investing in these solutions Contra Costa County can become a national model in sustainable, technology-enabled transportation.

A minimum of twenty-five percent shall be allocated to each sub-program (a, b and c above) over the life of the measure. The Authority will prepare guidelines and establish overall criteria for the Innovative Transportation Technology / Connected Communities Program and provide technical resources to project sponsors. The RTPC's will submit programs/projects for the Authority to consider allocating funds to on a competitive basis for each of the sub-programs. Project sponsors must demonstrate that the programs provide highly efficient services that are cost effective, integrated and responsive to the needs of the community.

18. Transportation Planning, Facilities and Services ----- 1.0% (\$23m)

Implement the countywide GMP, prepare the countywide transportation plan; and support the programming and monitoring of federal and state funds, as well as the Authority's Congestion Management Agency functions.

19. Regional Choice ---- ~~\$120m~~70m

This category is a placeholder for funds intended to be assigned by the RTPCs either to 1) high priority local projects/ programs unique to that subregion or 2) to augment funding assigned to other categories in this draft TEP to better reflect local priorities and needs in that subregion. NOTE – these project/ program descriptions will ultimately be blended in to the final draft TEP

20. Administration ---- 1.0% (\$23m)

Funds administration of new measure.

The Growth Management Program

Goals and Objectives

The overall goal of the Growth Management Program is to preserve and enhance the quality of life and promote a healthy, strong economy to benefit the people and areas of Contra Costa through a cooperative, multi-jurisdictional process for managing growth, while maintaining local authority over land use decisions.¹

The objectives of the Growth Management Program are to:

- Assure that new residential, business and commercial growth pays for the facilities required to meet the demands resulting from that growth.
- Require cooperative transportation and land use planning among Contra Costa County, cities, towns, and transportation agencies.
- Support land use patterns within Contra Costa that make more efficient use of the transportation system, consistent with the General Plans of local jurisdictions.
- Support infill and redevelopment in existing urban and brownfield areas.

Components

To receive its share of Local Transportation Maintenance and Improvement funds and to be eligible for Contra Costa Transportation for Livable Communities funds, each jurisdiction must:

1. Adopt a Growth Management Element

Each jurisdiction must adopt, or maintain in place, a Growth Management Element as part of its General Plan that outlines the jurisdiction's goals and policies for managing growth and requirements for achieving those goals. The Growth Management Element must show how the jurisdiction will comply with sections 2–7 below. The Authority will refine its model Growth Management Element and administrative procedures in consultation with the Regional Transportation Planning Committees to reflect the revised Growth Management Program.

Each jurisdiction is encouraged to incorporate other standards and procedures into its Growth Management Element to support the objectives and required components of this Growth Management Program.

¹The Authority will, to the extent possible, attempt to harmonize the Growth Management and the State-mandated Congestion Management Programs. To the extent they conflict, Congestion Management Program Activities shall take precedence over Growth Management activities.

Commented [WRG7]: This language reflects the current CCTA Growth Management program as approved with Measures C and J and subsequently updated by the Authority.

CCTA staff will be suggesting updates to align this program with current practice.

Commented [WG8]: Some EPAC members have asked for clarification on schedule for periodic review/ update of GM elements (5yr, 10yr, ??).

2. Adopt a Growth Management Mitigation Program

Each jurisdiction must adopt, or maintain in place, a development mitigation program to ensure that new growth is paying its share of the costs associated with that growth. This program shall consist of both a local program to mitigate impacts on local streets and other facilities and a regional program to fund regional and subregional transportation projects, consistent with the Countywide Comprehensive Transportation Plan.

The jurisdiction's local development mitigation program shall ensure that revenue provided from this measure shall not be used to replace private developer funding that has or would have been committed to any project.

The regional development mitigation program shall establish fees, exactions, assessments or other mitigation measures to fund regional or subregional transportation improvements needed to mitigate the impacts of planned or forecast development. Regional mitigation programs may adjust such fees, exactions, assessments or other mitigation measures when developments are within walking distance of frequent transit service or are part of a mixed-use development of sufficient density and with necessary facilities to support greater levels of walking and bicycling. Each Regional Transportation Planning Committee shall develop the regional development mitigation program for its region, taking account of planned and forecast growth and the Multimodal Transportation Service Objectives and actions to achieve them established in the Action Plans for Routes of Regional Significance. Regional Transportation Planning Committees may use existing regional mitigation programs, if consistent with this section, to comply with the Growth Management Program.

3. Address Housing Options

Each jurisdiction shall demonstrate reasonable progress in providing housing opportunities for all income levels as part of a report on the implementation of the actions outlined in its adopted Housing Element. The report will demonstrate progress by:

- a. Comparing the number of housing units approved, constructed or occupied within the jurisdiction over the preceding five years with the number of units needed on average each year to meet the housing objectives established in the jurisdiction's Housing Element; or
- b. Illustrating how the jurisdiction has adequately planned to meet the existing and projected housing needs through the adoption of land use plans and regulatory systems which provide opportunities for, and do not unduly constrain, housing development; or
- c. Illustrating how a jurisdiction's General Plan and zoning regulations facilitate the improvement and development of sufficient housing to meet those objectives.

In addition, each jurisdiction shall consider the impacts that its land use and development policies have on the local, regional and countywide transportation system, including the

Commented [MT9]: Some EPAC members are recommending a review and enhancement of the reporting requirements, such as actual housing production compared against targets.

Commented [WG10]: EPAC has suggested a number of edits to align the Authority's requirements related to the provision of Affordable Housing with current statutory requirements.

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level of transportation capacity that can reasonably be provided, and shall incorporate policies and standards into its development approval process that support transit, bicycle and pedestrian access in new developments.

4. Participate in an Ongoing Cooperative, Multi-Jurisdictional Planning Process.

Each jurisdiction shall participate in an ongoing process with other jurisdictions and agencies, the Regional Transportation Planning Committees and the Authority to create a balanced, safe and efficient transportation system and to manage the impacts of growth. Jurisdictions shall work with the Regional Transportation Planning Committees to:

- a. Identify Routes of Regional Significance, and establish Multimodal Transportation Service Objectives for those routes and actions for achieving those objectives.
- b. Apply the Authority's travel demand model and technical procedures to the analysis of General Plan Amendments (GPAs) and developments exceeding specified thresholds for their effect on the regional transportation system, including on Action Plan objectives.
- c. Create the development mitigation programs outlined in section 2 above.
- d. Help develop other plans, programs and studies to address other transportation and growth management issues.

Commented [MT11]: Though not necessarily needed in the GMP document, propose that the Authority's travel demand model and technical procedures be amended/ updated to reflect current statutory requirements (VMT analysis vs LOS analysis) as well as industry 'best practices'. Explore with EPAC, CCTA staff and technical experts.

In consultation with the Regional Transportation Planning Committees, each jurisdiction will use the travel demand model to evaluate changes to local General Plans and the impacts of major development projects for their effects on the local and regional transportation system and the ability to achieve the Multimodal Transportation Service Objectives established in the Action Plans.

Jurisdictions shall also participate in the Authority's ongoing countywide comprehensive transportation planning process. As part of this process, the Authority shall support countywide and subregional planning efforts, including the Action Plans for Routes of Regional Significance, and shall maintain a travel demand model. Jurisdictions shall help maintain the Authority's travel demand modeling system by providing information on proposed improvements to the transportation system and planned and approved development within the jurisdiction.

5. Adopt an Urban Limit Line (ULL)

Beginning on April 1, 2009, each jurisdiction must continuously comply with an applicable, voter approved ULL ("applicable ULL") defined as one of the following:

- a. A new mutually-agreed upon countywide ULL (MAC-ULL) approved by the voters countywide; or
- b. A Contra Costa County, voter approved ULL ("County ULL") that has also

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been approved by a majority of the voters voting on the measure in the local jurisdiction seeking to rely upon the line as the growth boundary for local development, provided that the local jurisdiction's legislative body has adopted the County ULL before or after the election at which the "County ULL" was approved; or

- c. A measure placed on the ballot and approved by a majority of the voters within a local jurisdiction fixing a local voter approved ULL ("LV-ULL") or equivalent urban growth boundary for the jurisdiction. A jurisdiction may establish or revise its LV-ULL with local voter approval at any time prior to or during the term of Measure J. The LV-ULL will be used as of its effective date to meet the Measure J GMP ULL requirement.

Each of the above options is more fully defined in the Principles of Agreement, which are attached and incorporated by reference as Attachment "A".

Submittal of an annexation request by a local jurisdiction to LAFCO outside the applicable ULL will constitute non-compliance with the Measure J Growth Management Program.

6. Develop a Five-Year Capital Improvement Program

Each jurisdiction shall prepare and maintain a capital improvement program that outlines the capital projects needed to implement the goals and policies of the jurisdiction's General Plan for at least the following five-year period. The Capital Improvement Program shall include approved projects and an analysis of the costs of the proposed projects as well as a financial plan for providing the improvements. The jurisdiction shall forward the transportation component of its capital improvement program to the Authority for incorporation into the Authority's database of transportation projects.

7. Adopt a Transportation Systems Management (TSM) Ordinance or Resolution

To promote carpools, vanpools and park and ride lots, each jurisdiction shall adopt a local ordinance or resolution that conforms to the model Transportation Systems Management Ordinance that the Transportation Authority has drafted and adopted. Upon approval of the Authority, cities with a small employment base may adopt alternative mitigation measures in lieu of a TSM ordinance or resolution.

Allocation of Funds

Portions of the monies received from the retail transaction and use tax will be returned to the local jurisdictions (the cities and the county) for use on local, subregional and/or regional transportation improvements and maintenance projects. Receipt of all such funds requires compliance with the Growth Management Program described below. The funds are to be distributed on a formula based on population and road miles.

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Each jurisdiction shall demonstrate its compliance with all of the components of the Growth Management Program in a completed compliance checklist. The jurisdiction shall submit, and the Authority shall review and make findings regarding the jurisdiction's compliance with the requirements of the Growth Management Program, consistent with the Authority's adopted policies and procedures.

If the Authority determines that the jurisdiction complies with the requirements of the Growth Management Program, it shall allocate to the jurisdiction its share of local street maintenance and improvement funding. Jurisdictions may use funds allocated under this provision to comply with these administrative requirements.

If the Authority determines that the jurisdiction does not comply with the requirements of the Growth Management Program, the Authority shall withhold those funds and also make a finding that the jurisdiction shall not be eligible to receive Contra Costa Transportation for Livable Communities until the Authority determines the jurisdiction has achieved compliance. The Authority's findings of noncompliance may set deadlines and conditions for achieving compliance.

Withholding of funds, reinstatement of compliance, reallocation of funds and treatment of unallocated funds shall be as established in adopted Authority's policies and procedures.

Commented [MT12]: This portion of the Authority's Growth Management Program will need to be updated to reflect the projects/ programs defined this this TEP.

Attachment A

Principles of Agreement for Establishing the Urban Limit Line

Commented [WRG13]: This is a major discussion point – various options being considered. No changes to ULL principals are proposed for consideration at this point in time.

An applicable ULL shall be defined as an urban limit line, urban growth boundary, or other equivalent physical boundary judged by the Authority to clearly identify the physical limits of the local jurisdiction's area, including future urban development.

Initial Action

1. The Board of Supervisors shall have, with the concurrence of each affected city, adjusted the existing County ULL on or before September 30, 2004, or as expeditiously as possible given the requirements of CEQA, to make the existing County ULL coterminous with city boundaries where it previously intruded inside those incorporated boundaries.

Establishing a Mutually Agreed-Upon Countywide urban limit line (“MAC-ULL”)

2. The process to develop a MAC ULL shall have begun by July 1, 2004 with meetings in each sub region between one elected representative of each city and the county. The subregional meeting(s) will be followed by meetings between all of the cities and the county, each being represented by one elected representative. The discussion will include both the suggested ULL as well as criteria for establishing the line and future modifications to the ULL.
3. On or before December 31, 2004, the County and the cities will cooperate in the development of a new MAC-ULL and criteria for future modifications. To be considered a final proposal, the plan must be approved by 4 members of the Board of Supervisors and $\frac{3}{4}$ of the cities representing $\frac{3}{4}$ of the incorporated population.
4. The County will be the lead agency in connection with any required environmental review and clearance on the proposed MAC-ULL.
5. After completion of the environmental review process, the proposal shall be submitted to the voters for ratification by November 2006.
6. The MAC-ULL will include provisions for periodic review (5 years) as well as provisions for minor (less than 30 acres) nonconsecutive adjustments.
7. If there is a MAC-ULL, and a Town or City disagrees with that MAC-ULL, it may develop and submit a “LV- ULL” (see 8.b, below), or rely upon an existing voter approved ULL.

Commented [WG14]: Some on EPAC have suggested that the exemption for minor (less than 30 acres) adjustments be eliminated.

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Alternatives if there is no Voter Approved MAC-ULL or if a Local Jurisdiction chooses Not to Concur with a Voter-Approved MAC-ULL

8. If no MAC-ULL is established by March 31, 2009, only local jurisdictions with one of the following applicable voter approved ULLs will be eligible to receive the 18% return to source funds or the 5% TLC funds.
- a. County ULL. A ULL placed on the ballot by the Contra Costa County Board of Supervisors, adopted at a countywide election and in effect through the applicable GMP compliance period, as its boundaries apply to the local jurisdiction, if: :
 - i. That ULL was approved by a majority of the local jurisdiction’s voters, either through a separate ballot measure or as part of the countywide election at which the measure was approved;
 - ii. The legislative body of the City or Town has accepted and approved, for purposes of compliance with the Measure J GMP, the County ULL boundaries for urban development as its applicable, voter approved ULL.
 - iii. Revisions to a City or Town’s adopted County ULL boundary requires fulfillment of provisions (8.a.i) and (8.a.ii) above in their entirety; and
 - iv. A City of Town may adopt conditions for revising its adopted County ULL boundary by action of the City or Town’s legislative body, provided that the conditions limit the revisions of the physical boundary to adjustments of 30 or fewer acres, and/or to address issues of unconstitutional takings, or conformance to state and federal law. Such conditions may be adopted at the time of adoption of the County ULL, or subsequently through amendment to the City or Town’s Growth Management Element to its General Plan.
 - b. Local Voter ULL (LV-ULL). A local ULL or equivalent measure placed on the local jurisdiction ballot, approved by the jurisdiction’s voters, and recognized by action of the local jurisdiction’s legislative body as it’s applicable, voter approved ULL. A jurisdiction may revise or establish a new LV-ULL at any time using the procedure defined in this paragraph.
 - c. Adjustments of 30 Acres or Less. A local jurisdiction can undertake adjustments of 30 acres or less to its adopted ULL, consistent with these Principles, without voter approval. However, any adjustment greater than 30 acres requires voter approval and completion of the full County ULL or LV-ULL procedure as outlined above.

Commented [MT15]: This portion of the Authority’s Growth Management Program will need to be updated to reflect the projects/ programs defined this this TEP.

Commented [WG16]: See prior note, some on EPAC have suggested that the exemption for minor (less than 30 acres) adjustments be eliminated.

Commented [WG17]: See prior note

Conditions of Compliance

9. Submittal of an annexation request by a local jurisdiction to LAFCO outside of an applicable voter approved ULL will constitute non-compliance with the new Measure J Growth Management Plan.
10. For each jurisdiction, an applicable ULL shall be in place through each Measure J Growth Management Program compliance period in order for the local jurisdiction to be eligible to receive the 18% return to source and the TLC funds for that period.

Commented [MT18]: This portion of the Authority's Growth Management Program will need to be updated to reflect the projects/ programs defined this this TEP.

Complete Streets Policy

Vision

This Plan envisions a transportation system in which each component provides safe, comfortable and convenient access for every user allowed to use it. These users include pedestrians, bicyclists, transit riders, automobile drivers and their passengers, and truckers, and people of varying abilities, including children, seniors, people with disabilities and able-bodied adults. Every transportation project is an opportunity to create safer, more accessible streets for all users and shall be planned, designed, constructed and operated to take advantage of that opportunity.

Commented [WRG19]: This entire section is currently under review and will be updated

Policy

To achieve this vision, all recipients of funding through this Plan shall consider and accommodate, wherever feasible, the needs of all users in the planning, design, construction, reconstruction, rehabilitation, maintenance, and operation of the transportation system. The determination of feasibility shall be consistent with the exceptions listed below. Achieving this vision will require balancing the needs of different users, and may require reductions in capacity for automobiles.

The Authority shall revise its project development guidelines to require the consideration and accommodation of all users in the design, construction and operation of projects funded with Measure funds. The revised guidelines will allow flexibility in responding to the context of each project and the needs of users specific to the project's context.

To ensure that this policy is carried out, the Authority shall prepare a checklist that sponsors of projects using Measure funds must submit that documents how the needs of all users were considered and how they were accommodated in the design, construction and operation of the project. If the proposed project or program will not improve conditions for all users, the sponsor shall document the reasons why in the checklist, consistent with the following section on "exceptions" below. The completed checklist shall be made part of the approval of programming of funding for the project or funding allocation resolution for construction or operation.

Recipients of Local Street Maintenance and Improvement funds shall adopt procedures that ensure that all agency departments consider and accommodate the needs of all users when projects or programs affecting public rights of way for which the agency is responsible. These procedures shall be consistent with and be designed to implement each agency's general plan policies once that plan has been updated to comply with the Complete Streets Act of 2008. These procedures shall involve all agency departments whose projects will affect the public right of way and will incorporate opportunities for review by potential users of proposed projects. This review could be done through an advisory committee such as a Bicycle and Pedestrian Advisory Committee or as part of the review of the agency's capital improvement program.

As part of their biennial Growth Management Program checklist, agencies shall also list projects funded with Measure funds and detail how those projects accommodated all allowed users of the facilities.

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As part of the multi-jurisdictional planning required by the Growth Management Program, agencies shall work with the Authority and the Regional Transportation Planning Committees to harmonize the planning, design, construction and operation of streets within their jurisdiction with the plans of adjoining and connecting jurisdictions.

Exceptions

Sponsors may forgo complete street accommodations when the public works director or equivalent agency official finds that:

1. Pedestrians, bicyclists, or other users are prohibited by law from using the transportation facility
2. The cost of new accommodation would be excessively disproportionate to the need or probable use
3. The sponsor demonstrates that, based on factors including current and future land use, current and projected user volumes, population density, and collision data, such accommodation is not needed

Local complete streets procedures shall require that exceptions be made explicit as part of the approval of the project.

Regional Advance Mitigation Program

An estimated \$xx million will be used to fund habitat-related environmental mitigation activities required in the implementation of the major highway, transit and regional arterial and local street and road improvements identified in the Transportation Expenditure Plan. Of this total, an estimated \$xx million is related to mitigation requirements for local transportation projects and an estimated \$xx million is related to mitigation requirements for the major highway and transit projects identified in the Transportation Expenditure Plan. The intent is to establish a program to provide for large-scale acquisition and management of critical habitat areas and to create a reliable approach for funding required mitigation for future transportation improvements thereby reducing future costs and accelerating project delivery. This approach would be implemented by obtaining coverage for transportation projects through existing and proposed multiple species conservation plans, including the East Contra Costa Habitat Conservation Plan. If this approach cannot be fully implemented, then these funds shall be used for environmental mitigation purposes on a project by project basis.

Governing Structure

Governing Body and Administration

CCTA is governed by a Board composed of 11 members, all elected officials, with the following representation:

- Two members from the Central County Regional Transportation Planning Commission (RTPC) also referred to as TRANSPAC
- Two members from the East County RTPC, also referred to as TRANSPLAN
- Two members from the Southwest County RTPC, also referred to as SWAT
- Two members from the West County RTPC, also referred to as WCCTAC
- One member from the Conference of Mayors
- Two members from the Board of Supervisors

The CCTA Board also includes three (3) ex-officio, non-voting members, appointed by the MTC, BART and the Public Transit Operators in Contra Costa County.

Citizens Oversight Committee

The Citizens Oversight Committee (Committee) shall provide diligent, independent and public oversight of all expenditures of Measure funds by CCTA or recipient agencies (County, cities and towns, transit operators, etc). The Committee will report to the public and focus its oversight on the:

- Review of allocation and expenditure of Measure funds to ensure that all funds are used consistent with the Measure ballot measure.
- Review of fiscal audits of Measure expenditures.
- Review of performance audits of projects and programs relative to performance criteria established by the CCTA, and if performance of any project or program does not meet its established performance criteria, identify the reasons why and make recommendations for corrective actions that can be taken by the CCTA Board for changes to project or program guidelines.
- Review of the maintenance of effort compliance requirements of local jurisdictions for local streets, roads and bridges funding.
- Review of each jurisdiction's Growth Management Checklist and compliance with the Growth Management Plan policies.

The Committee shall prepare an annual report including an account of the Committee's activities during the previous year, its review and recommendations relative to fiscal or performance audits, and any recommendations made to the CCTA Board for implementing the expenditure plan. The report will be published in local newspapers and local media outlets throughout Contra Costa County, posted to the CCTA Website and continuously available for public inspection at CCTA offices. The report shall be composed of easy to understand language not in an overly technical format. The Committee shall make an annual presentation to the CCTA Board summarizing the annual report subsequent to its release.

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Committee members shall be selected to reflect community and business organizations and interests within the County. The CCTA Board will solicit statements of interest from the individuals representing the stakeholder groups listed below, and will appoint members to an initial Committee with the goal to provide a balance of viewpoints including but not limited to geography, age, gender, ethnicity and income status to represent the different perspectives of the residents of Contra Costa County. In establishing the initial Committee, the CCTA Board will solicit statements of interest from groups or individuals that represent professional expertise in civil or traffic engineering, accounting, municipal finance, and project management; and groups or individuals that represent taxpayer accountability, voter accountability, business development, labor, senior or paratransit services, non-motorized active transportation, transit advocacy and social justice. The Committee will include one member each appointed by the County Board of Supervisors and the councils of each of the incorporated cities and towns in Contra Costa County. Beginning two years after the appointment of the initial Committee and every two years thereafter, the CCTA Board will solicit statements of interest for new appointment or re-appointment of approximately one-third of the Committee membership and will appoint or re-appoint members in an attempt to maintain the diversity of the Committee. Any individual member can serve on the Committee for no more than 6 consecutive years.

Committee members will be private citizens who are not elected officials at any level of local government, nor public employees from agencies that either oversee or benefit from the proceeds of the Measure. Membership is limited to individuals who live in Contra Costa County. Membership is restricted to individuals with no economic interest in any of CCTA's projects or programs. If a member's status changes so that he/she no longer meet these requirements, or if a member resigns his/her position on the Committee, the CCTA Board will issue a new statement of interest from the same stakeholder category to fill the vacant position.

The Committee shall meet up to once a month to carry out its responsibility, and shall meet at least once every 3 months. Meetings shall be held at the same location as the CCTA Board meetings are usually held, shall be open to the public and must be held in compliance with California's open meeting law (Brown Act). Meetings shall be recorded and the recordings shall be posted for the public.

Members are expected to attend all meetings. If a member, without good reason acceptable to the Chair of the Committee, fails to attend either (a) two or more consecutive meetings or (b) more than 3 meetings a year, the CCTA Board will request a replacement from the stakeholder categories listed above.

CCTA commits to support the oversight process through cooperation with the Committee by providing access to project and program information, audits, and other information available to the CCTA, and with logistical support so that the Committee may effectively perform its oversight function. The Committee will have full access to CCTA's independent auditors, and may request CCTA staff briefings for any information that is relevant to the Measure. The Committee Chair shall inform the CCTA Board Chair and Executive Director of any concern regarding CCTA staff's commitment to open communication, the timely sharing of information, and teamwork.

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The Committee shall not have the authority to set policy or appropriate or withhold funds, nor shall it participate in or interfere with the selection process of any consultant or contractor hired to implement the expenditure plan.

The Committee shall not receive monetary compensation except for the reimbursement of travel or other incidental expenses, in a manner consistent with other CCTA advisory committees

In order to ensure that the oversight by the Committee continues to be as effective as possible, the efficacy of the Committee's Charter (ie this document) will be evaluated on a periodic basis and a formal review will be conducted by the CCTA Board, Executive Director and the Committee every five years to determine if any amendments to this Charter should be made. The formal review will include a benchmarking of the Committee's activities and charter with other best-in-class citizen oversight committees. Amendments to this Charter shall be proposed by the Committee and adopted or rejected by the CCTA Board.

The Committee replaces CCTA's existing Citizens Advisory Committee.

Advisory Committees

The Authority will continue the committees that were established as part of the Transportation Partnership Commission organization as well as other committees that have been utilized by the CCTA to advise and assist in policy development and implementation. The committees include:

- The Regional Planning Transportation Committees that were established to develop transportation plans on a geographic basis for sub-areas of the County, and
- The Technical Coordinating Committee that will serve as the Authority's technical advisory committee.
- The Paratransit Coordinating Council
- The Bicycle and Pedestrian Advisory Committee
- The Transit Committee

Implementing Guidelines

Duration of the Plan

25 years, April 1, 2017 to March 31, 2042

Administration of the Plan

1. **Funds only Projects and Programs in the Plan:** Funds are only for purposes identified in the expenditure plan.
2. **All Decisions Made in Public Process:** The Contra Costa Transportation Authority (CCTA) is given the fiduciary duty of administering the transportation sales tax proceeds in accordance with all applicable laws and with the Plan. Activities of the CCTA will be conducted in public according to state law, through publically noticed meetings. The annual budgets of CCTA, strategic plans and annual reports will all be prepared for public review. The interest of the public will be further protected by a Citizens Oversight Committee, described previously in the Plan.
3. **Salary and Administration Cost Caps:** Revenues may be expended by the Authority for salaries, wages, benefits, overhead and those services including contractual services necessary to administer the Measure; however, in no case shall the annual expenditures for the salaries and benefits of the staff necessary to perform administrative functions for the Authority exceed one percent (1%) of the annual revenues. The allocated costs of CCTA staff who directly implement specific projects or programs are not included in the administrative costs.
4. **Expenditure Plan Amendments Require Majority Support:** The Authority may review and propose amendments to the Expenditure Plan and the Growth Management Program to provide for the use of additional federal, state and local funds, to account for unexpected revenues, or to take into consideration unforeseen circumstances. Affected Regional Planning Transportation Committee(s) will participate in the development of the proposed amendment(s). All jurisdictions within the county will be given a 45 day period to comment on any proposed Expenditure Plan amendment.
5. **Augment Transportation Funds:** Funds generated pursuant to the Measure are to be used to supplement and not replace existing local revenues used for transportation purposes. Any funds already allocated, committed or otherwise included in the financial plan for any project on the Expenditure Plan shall be made available for project development and implementation as required in the project's financial and implementation program.

Taxpayer Safeguards, Audits and Accountability

6. **Citizens Oversight Committee:** The Citizens Oversight Committee will provide diligent, independent and public oversight of all expenditures of Measure funds by CCTA or recipient agencies (County, cities and towns, transit operators, etc). The Committee will report to the public and focus its oversight on annual audits, the review and allocation of Measure funds,

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the performance of projects and programs in the Plan, and compliance by local jurisdictions with the maintenance of effort and Growth Management Program described previously in the Plan

7. **Fiscal Audits:** All Funds expended by CCTA directly and all funds allocated by formula or discretionary grants to other entities are subject to fiscal audit. Recipients of Local Streets Maintenance & Improvements or transit (Non-Rail Transit Enhancements, Transportation for Seniors & People With Disabilities programs) funding (County, cities and towns and transit operators) will be audited at least once every five (5) years, conducted by an independent CPA. Any agency found to be in non-compliance shall have its formula sales tax funds withheld, until such time as the agency is found to be in compliance.
8. **Performance Audits:** Each year, the CCTA shall select and perform a focused performance audit on approximately one-fourth of the elements of the transportation expenditure plan. This process shall commence two years after passage of the new sales tax measure. The performance audits shall provide an accurate quantitative and qualitative evaluation of the programs or projects in question and specific recommendations for corrective action in the future.
9. **Maintenance of Effort (MOE):** The average of last three full fiscal years of expenditures of annual transportation funds on local streets, roads and bridges before the vote on new sales tax measure will be the basis of the MOE. The average dollar amount will then be increased once every three years by the construction cost index of that third year. Penalty for non-compliance of meeting the minimum MOE is immediate loss of all local formula money (Local Streets Maintenance and Improvement funds) until MOE compliance is achieved. The audit of the M.O.E. contribution shall be at least once every five years. Any agency found to be in non-compliance shall be subject to annual audit for three years after they come back into compliance.
10. **Requirements for Fund Recipients:** All recipients of funds allocated in this expenditure plan will be required to complete certain requirements including: reporting, implementing local hiring policy, tracking and reporting performance and accountability standards and requirements, and completing audits.
11. **Geographic Equity:** The proposed projects and programs to be funded through the expenditure plan constitute a “balanced” distribution of funding allocations to each subregion in Contra Costa County. However, through the course of the Measure, if any of the projects prove to be infeasible or cannot be implemented, the affected subregion may request that the Authority reassign funds to another project in the same subregion, as detailed in a CCTA Fund Allocations policy, and to maintain a “balanced” distribution of funding allocations to each subregion.

Restrictions On Funds

12. **No Expenditure Outside of Contra Costa County:** Under no circumstance may the proceeds of this transportation sales tax be applied for any purpose other than for transportation improvements benefitting Contra Costa County. Under no circumstance may

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these funds be appropriated by the State of California or any other local government agency, as defined in the implementing guidelines.

13. **Environmental Review:** All projects funded by sales tax proceeds are subject to laws and regulations of federal, state, and local government, including but not limited to the requirements of the California Environmental Quality Act (CEQA).
14. **Performance based review:** Before the allocation of any measure funds for the actual construction of capital projects with an estimated capital construction cost in excess of \$25 million, the Authority will conduct a performance based review of project alternatives.
15. **Complete Streets:** All plan investments will conform to Complete Streets requirements, so that there are appropriate investments that fit the function and context of facilities that will be constructed, as further detailed in the Part ___ of the Plan.
16. **Advance Mitigation Program:** CCTA will develop a policy supporting the creation of an advance mitigation program to establish a program to provide for large-scale acquisition and management of critical habitat areas and to create a reliable approach for funding required mitigation for future transportation. This policy will identify projects that will benefit from the program and the financial contribution associated with those projects. This approach would be implemented by obtaining coverage for transportation projects through existing and proposed multiple species conservation plans, including the East Contra Costa Habitat Conservation Plan. The benefit of this policy will include an early comprehensive project delivery review, reduced costs attributed to mitigation, opportunity to significantly improve conservation benefits, and accelerated project delivery. If this approach cannot be fully implemented, then the identified funds shall be used for environmental mitigation purposes on a project by project basis.
17. **Safe Transportation for Children:** CCTA will allocate funds and will establish guidelines (in cooperation with project sponsors) to define priorities and maximize effectiveness. The guidelines may require provisions such as parent contributions; operational efficiencies; specific performance criteria and reporting requirements.
18. **Compliance with the GMP/ULL Policy:** If the Authority determines that a jurisdiction does not comply with the requirements of the Growth Management Program, the Authority shall withhold funds and also make a finding that the jurisdiction shall not be eligible to receive Local Streets Maintenance & Improvements or Community Development Incentive (CDI) Program funding until the Authority determines the jurisdiction has achieved compliance, as detailed in the GMP/ULL section of the Plan.
19. **Local Contracting and Good Jobs:** CCTA will develop a policy supporting the hiring of local contractors and businesses, apprenticeship programs for Contra Costa residents, and good jobs.
20. **New Agencies:** New cities or new entities (such as new transit agencies) that come into existence in Contra Costa County during the life of the Plan may be considered as eligible recipients of funds through a Plan amendment.

Commented [WG20]: This provision is intended provide the residents of Contra Costa County with information as to how project alternatives rank with respect to GHG emissions, VMT and other factors (TBD). This requirement is intended as a disclosure process and not in any way to restrict the ability of the Authority to allocate measure funds to a project after completion of the required analysis.

Commented [MT21]: Discussing with representatives of the labor community how to address topics such as:

- oApprentice Program(s)
- oLocal Hiring goals
- oVeteran and DBE Hiring Goals

Project Financing Guidelines and Managing Revenue

- 21. Fiduciary Duty:** Funds may be accumulated for larger or longer term projects. Interest income generated will be used for the purposes outlined in the Plan and will be subject to audits.
- 22. Project and Program Financing:** The CCTA has the authority to bond for the purposes of expediting the delivery of transportation projects and programs. CCTA will develop a policy to identify financing procedures for the entire plan of projects and programs.
- 23. Programming of Higher than Expected Revenue:** Actual revenues may, at times be higher than expected in this Plan due to changes in receipts and additional funds may become available due to the increased opportunities for leveraging or project costs less than expected. Revenue may be lower than expected as the economy fluctuates. Determination of when the contingency funds become excess will be established by a policy defined by the CCTA. Funds considered excess will be prioritized first to expenditure plan projects and programs, and second to other projects of regional significance that are consistent with the expenditure plan. The new project or program will be required to be amended into the expenditure plan.
- 24. Fund Allocations:** Through the course of the Measure, if any of the projects do not require all funds programmed for that project or have excess funding, or should a planned project become undeliverable, infeasible or unfundable due to circumstances unforeseen at the time the expenditure plan was created, funding for that project will be reallocated to another project or program. The subregion where the project or program is located may request that the CCTA reassign funds to another project in the same subregion. In the allocation of the released funds, the CCTA will in priority order consider: 1) a project or program of the same travel mode (i.e. transit, bicycle/pedestrian, or road) in the same subregion, 2) a project or program for another modes of travel in the same subregion, 3) other expenditure plan projects, and 4) other projects or programs of regional significance. The new project or program or funding level may be required to be amended into the expenditure plan.
- 25. Leveraging Funds:** Leveraging or matching of outside funding sources is strongly encouraged. Any additional transportation sales tax revenues made available through their replacement by matching funds will be spent based on the principles outlined for fund allocations describe above.

PATH TO TEP RECOMMENDATION

	DEC 2015	JAN 2016	FEB 2016	MAR 2016	APR 2016	MAY 2016	JUN 2016	JULY 2016	AUG 2016
	DEVELOP DRAFT TEP			REVIEW DRAFT TEP		FINAL TEP			
CCTA BOARD MEETINGS/ SPECIAL MEETINGS		Discuss TEP issues	Discuss TEP issues	Review and release Draft TEP		Approve Final TEP for circulation to the Cities and Board of Supervisors		Approve Final TEP, Adopt Ordinance, Request BOS to place on ballot	
EPAC MEETINGS	EPAC Subgroup Meetings	EPAC develops TEP recommendation			Review and Comment on Draft TEP				
RTPCs MEETINGS	RTPCs Subgroup Meetings	RTPCs submit revised TEP recommendations if desired			Review and Comment on Draft TEP				
CITIES & COUNTY					Review and Comment on Draft TEP	Cities/BOS Approval of TEP		BOS Approves Measure for Placement on the Ballot	
PUBLIC OUTREACH				Polling			Polling		

A Community Vision for a New Transportation Sales Tax

Prepared by a growing coalition of environmental, labor, transportation, housing, social justice, faith, civic, and other public interest groups representing Contra Costa voters.

[January 6, 2016]

The Contra Costa Transportation Authority (CCTA) is expected to seek voter approval for a new ½ cent transportation sales tax in 2016. If approved, this measure could raise more than \$2 billion dollars over 30 years. Experience shows that a plan will only pass if it is developed with an extensive public process that draws the nearly full and unanimous support of the community.

A revised draft Countywide Transportation Plan and revised draft Environmental Impact Report have yet to be completed. Decision-makers, residents, and organizations need to see these documents to appropriately plan for future transportation investments. Without this planning, the process to achieve consensus on a variety of vision and policy goals will be considerably more difficult.

We see the following as the major planning issues facing Contra Costa County:

- Ever-increasing traffic, the direct result of land use decisions and induced demand.
- A pressing demand for new homes and jobs within our cities and towns where residents and employees of all incomes have access to safe and convenient transit, walking, and biking networks, reducing single-occupant driving and greenhouse gas emissions.
- The need to dramatically increase funding for transit and enhance the existing transit system for peak performance.
- Growing threats to our natural and agricultural lands, requiring stronger protections and investments.
- An economic imperative to create quality jobs closer to home.

Much has changed since Contra Costa County last passed a transportation measure. When past funding measures were approved in 1998 and 2004, Contra Costa County did not face state mandated reductions in greenhouse gas emissions from transportation. The intersection between land use, transportation, conservation, social equity, health, and economic prosperity was less well understood. Voters today expect more than business as usual or incremental change. Any funding measure must be transformational. We must prioritize plans and investments that change the current dynamic and stay accountable to the public.

To achieve a transformative plan, we share the following vision:

Vision for Contra Costa County:

Any new investments in Contra Costa County's transportation system should be transformational, advancing the County's ongoing transition to a place where all residents have a variety of transportation choices to meet their daily needs. New funds should provide an alternative to traffic congestion, protect the climate, and improve mobility by creating a more balanced, multimodal system that supports transit, walking, and biking as primary modes of transportation. These investments should promote equitable, sustainable development that is well served by transit, create quality local jobs, and protect the agricultural and natural lands that make our region so special.

Incentivizing Sustainable, Equitable Development: Contra Costa should incentivize infill development for people of all incomes near transit - with a priority for affordable housing - and protect existing residents from displacement. Affordable housing near transit is widely known as a highly effective climate protection strategy, promotes increased transit ridership and should be additionally incentivized in all communities. Sales tax revenue and related grant programs that provide funding for cities to build Transit Oriented Development (TOD) must be conditioned on a demonstrated track record of building affordable housing, having locally appropriate anti-displacement policies in place and planning for affordable housing within the specific TOD development. All transportation investments should be made based on strong performance standards to achieve livable, walkable, and affordable communities. These thriving communities will also attract quality jobs located closer to Contra Costa residents.

Local and Regional Transit: Contra Costa should connect people with a transit system that is well maintained, achieves 15-minute headway or better, closes gaps in bus service, manages mobility, and ensures affordable, accessible, and efficient service for all passengers. Investments should be made to increase public transit ridership and provide service at levels that working people and their families can rely upon for daily transportation needs.

Growth management: Contra Costa should lead the region with a bold growth management program that enhances our Urban Limit Lines and protects and invests in our natural and agricultural lands. Policies and programs, such as the Growth Management Program, must be treated as seriously as large infrastructure projects; in the long run they can meet our collective goals far more cheaply.

Global Warming Solutions: Contra Costa should take leadership to exceed the State of California's mandated reductions for vehicle miles traveled (VMT) and greenhouse gas emissions (GHGs). To do so, it should prioritize maintenance of the existing transportation system, including BART; create healthy, sustainable, walkable transit-oriented communities for all; and accelerate the transition to electric vehicles.

Good Local Jobs: The jobs that infrastructure projects and operations investments create should strengthen the local economy and improve the living standards for those who build, maintain and operate the system and provide opportunities for family-supporting jobs and career-enhancing skills for the working people and children of the entire county.

Complete Streets: Contra Costa's roads should provide choices for all people, ensuring that all communities have complete streets that reduce congestion by giving families and commuters safe and attractive options for all modes of transportation.

Regional Trail Network: Contra Costa should expand on its very popular walking and biking trails to create a fully connected, regional trail system that integrates transit centers and downtowns, neighborhoods, and the county's great open space network.

Accountability and Public Benefits: The projects funded by the revenues of this sales tax should be developed with the input of the communities the project is designed to serve, contain provisions for accountability and transparency to public institutions, including recapture provisions if public goals aren't being met, and ensure that any unexpected additional sales tax revenues will benefit the public through investment in voter-approved programs funded by this tax measure.

Endorsements List:

Seth Adams, Save Mount Diablo

Bob Allen, Urban Habitat

Rome Aloise, President of Teamsters Joint Council 7

John Arantes, Service Employees International Union, Local 1021

Judy Barrientos, President Amalgamated Transit Union 1605

Cheryl Brown, AFSCME Council 57

Gloria Bruce, East Bay Housing Organizations

Dave Campbell, Bike East Bay

Joel Devalcourt, Greenbelt Alliance

Sean Dougan, East Bay Regional Park District

Chris Finn, President Amalgamated Transit Union 1555

Peter Finn, Secretary-Treasurer of Teamsters 856

Amie Fishman, Non-Profit Housing Association of Northern California

Nati Flores, Monument Impact

Peter Lydon, TRANSDEF

Richard Marcantonio, Public Advocates

Steve Older, Area Director Machinists Union

Joël Ramos, TransForm

Kristin Tennesen, Bike Walnut Creek

Debbie Toth, Rehabilitation Services of Northern California

Robbie Ann White, President AFSCME 2700

Yvonne Williams, President Amalgamated Transit Union 192

Kenji Yamada, Bike Concord

Transformative Policies for a New Transportation Sales Tax

[January 6, 2016]

Incentivizing Sustainable and Equitable Development:

- 1. Establish a new competitive fund, similar to the OneBayArea Grant (OBAG) Program** to reward jurisdictions that have a strong track record of affordable housing development and have adopted policies that encourage sustainable, equitable development with safe and convenient walkable access to transit. Funding should be directed to locally-nominated Priority Development Areas and be dedicated to transportation projects that help catalyze sustainable, equitable development. Distribute funds from this program using a formula similar to the OBAG county funding distribution formula.
- 2. All jurisdictions must maintain a state-approved Housing Element**, file a Housing Element Annual Progress Report (APR) with the California Department of Housing and Community Development (HCD), and hold an annual public informational hearing at the time of filing to receive transportation funds.
- 3. New transit projects must demonstrate existing or planned transit-supportive housing densities** within a half-mile of station areas, consistent with MTC's Resolution 3434 of 2005.¹
- 4. Establish a program to address anti-displacement** that provides funding for protections of existing residents and new affordable housing near transit stations.
- 5. Allocate Return to Source funds to local jurisdictions using the same distribution formula that MTC uses to allocate OBAG funds to counties**—based on population, past housing production, and future housing needs (RHNA) with weighting for affordable housing. Give priority to jurisdictions with particularly strong track records of affordable housing production.

Local and Regional Transit:

- 1. Develop and fund a coordinated, countywide, accessible transportation and smart mobility management system to improve efficiency and options** for riders of all abilities with the goal of increasing access to jobs, medical care, services, and more. Automobiles and fixed route services have enjoyed substantial investment, attention, funding and development for decades, this effort would start to bring accessible services up to that standard.
- 2. Create affordable and accessible transit options**, such as extending West County's student bus pass program throughout Contra Costa County.
- 3. Invest in fix-it-first strategies and facilities** to ensure a well-maintained and fully operational regional transit system that expands on opportunities for high quality service and maintenance jobs.

¹ http://www.mtc.ca.gov/planning/rtep/pdf/April_Commission_3434.pdf#page=14

4. Ensure that Contra Costa closes gaps in bus service so that working people across the county can access jobs, housing, and services, such as extending bus service from West County to Martinez.

5. Provide funding to achieve 15-minute headway frequencies and adequate hours of operation on key routes and within PDAs.

6. Invest in walkable transit connections—sidewalks, paths, and other pedestrian facilities—to close gaps in the pedestrian infrastructure and make it easy and quick to access transit.

Growth Management:

1. Enhance our Urban Limit Lines (ULLs): To prevent sprawl development, we must eliminate the loophole in Contra Costa County’s Urban Limit Lines that allows 30-acre expansions without a public vote. And we must refine our existing ULL policies by defining key terms such as “urban” and “rural,” clarifying which services must comply with our urban limit lines (water, sewer, etc.), and preventing subdivisions outside the lines.

2. Prohibit sprawl-inducing projects: These include, among others, the James Donlon Extension, Camino Tassajara Expansion, and Highway 239 alignments. Projects that are listed as poor performers in MTC’s Regional Transportation Plan as well as those identified by CCTA’s forthcoming performance-based project assessment will not be eligible for sales tax revenue or bond funding.

3. Ensure agricultural protections: All jurisdictions with agricultural land within their planning area, including rangelands, must adopt an Agricultural Protection Ordinance, which mitigates for the conversion and cumulative impacts on those lands, to receive return to source funding.

- a) This mitigation can overlap with other mitigation such as endangered species mitigation but must be at least 1:1.
- b) Funds may be used for ongoing management of mitigation areas.

4. Establish new Growth Management Program standards: To reduce vehicle miles traveled (VMT), greenhouse gas emissions (GHG), and impacts on wildlife habitats and agricultural lands, while increasing carbon sequestration, all jurisdictions must have the following policies in place to receive return to source funding:

- a) Hillside development ordinance
- b) Ridgeline protection ordinance
- c) Open space system with major ridgelines defined
- d) Protection of wildlife corridors
- e) Plan to conserve buffers around open space and agriculture
- f) Prohibitions on culverting blue-line creeks for anything more than road crossings in the shortest length possible
- g) No development of major subdivisions, urban development, or urban services allowed in non-urban Priority Conservation Areas

Global Warming Solutions:

1. The TEP shall meet or exceed the following two greenhouse gas (GHG) emissions targets:

- a) By 2020, a reduction in GHG emissions per capita of 7%

- b) By 2035, a reduction in GHG emissions per capita of 15%.²

2. Reduce GHGs by supporting Priority Development Areas (PDAs) with enhanced transit:

Incentivize housing at all income levels within the PDAs and provide high levels of transit service to make sustainable transportation choices available for residents across the income spectrum.

Augment these investments by fostering the diffusion of electric, rather than fossil fuel, vehicles.

3. Mitigation of GHG pollution: The TEP will prioritize projects and programs that reduce VMT and GHGs. If transportation projects or programs increase greenhouse gas emissions, they must fully mitigate those emissions by protecting carbon-sequestering natural or agricultural lands. Mitigation strategies must also address localized air pollution impacts, particularly for low-income communities and other vulnerable populations, including children and seniors.

Environmental Mitigation:

1. The TEP shall dedicate a significant amount of funding to an Advanced Mitigation Program to enhance the effectiveness of transportation-related environmental mitigation activities. This program will bundle and strategically deploy mitigation funds to proactively conserve important natural and agricultural lands and leverage other conservation investments.

- a) Funds may be used for ongoing management of mitigation areas.
- b) Funding levels shall be based on the maximum number of qualifying TEP projects for environmental mitigation.

Good Local Jobs:

1. Projects and programs funded by the TEP must meet wage and benefit standards that ensure local family-supporting jobs. Major transportation projects must include Project Labor Agreements.

2. Create and monitor employment performance criteria, including the following:

- a) Local hire programs
- b) Apprenticeship programs approved by state
- c) Helmets to Hardhats Veteran hiring programs
- d) Annual monitoring:
 - i. Demographic information such as race and ethnicity, gender, age, disability status, income range, zip code or census tract, resident of an area of concentrated poverty, veteran status, criminal justice history
 - ii. Number of positions (direct, indirect)
 - iii. Job type (full-time, part-time, permanent, short-term, contract or civil service, newly created or continuation of existing jobs)
 - iv. Training opportunities and occupational ladder

Complete Streets:

1. Create a distinct Complete Streets Program category:

² http://www.arb.ca.gov/cc/sb375/final_targets.pdf; <http://www.arb.ca.gov/cc/sb375/sb375.htm>

The goal of this program is to make major streets efficient and safe for all anticipated users, and thereby maximize investments to move more people along currently congested streets and in the process give commuters more transportation choices.

- a) This program is separate from the trails category that functions to fill gaps in the bikeway network. It is also separate from other transit operations and local streets and roads repaving funding.
- b) The program will fund, among other things, projects to restripe roadways for all users and major repaving projects that create multi-modal transportation infrastructure.

2. Eligible Complete Streets Program projects include:

- a) Road diets for improved safety and increased access for all users
- b) New protected bikeways on major streets
- c) Pedestrian and children safety improvements
- d) Transit operation improvements and associated facility improvements
- e) Smart parking management
- f) ADA access and projects to relieve paratransit demands
- g) As part of the above, truck loading, signal upgrades and repaving
- h) Any other project designed to give commuters attractive options to leave their car at home and find a better way
- i) Ongoing maintenance of Complete Streets projects

Regional Trail Network:

1. Dedicate funding for the regional trail network, including paved trail gap closure projects, countywide crossing-safety improvements, grade-separated crossings, and maintenance funds for existing and future paved trail facilities.

2. The highest priority trails for funding are:

- a) San Francisco Bay Trail
- b) Iron Horse Trail
- c) Contra Costa Canal Trail
- d) Delta De Anza Trail
- e) Marsh Creek Trail, including the newly proposed section between Round Valley Regional Preserve and Clayton
- f) Great California Delta Trail
- g) Mokelumne Coast to Crest Trail
- h) Richmond Greenway

3. Conforming to current Measure J requirements, dedicate one-third of regional trail funding to the East Bay Regional Park District. Allocate the remaining two-thirds competitively among the four sub-regions.

Accountability and Public Benefits:

1. Ensure that all funds are delivered in a timely fashion as approved by voters to benefit Contra Costa County.

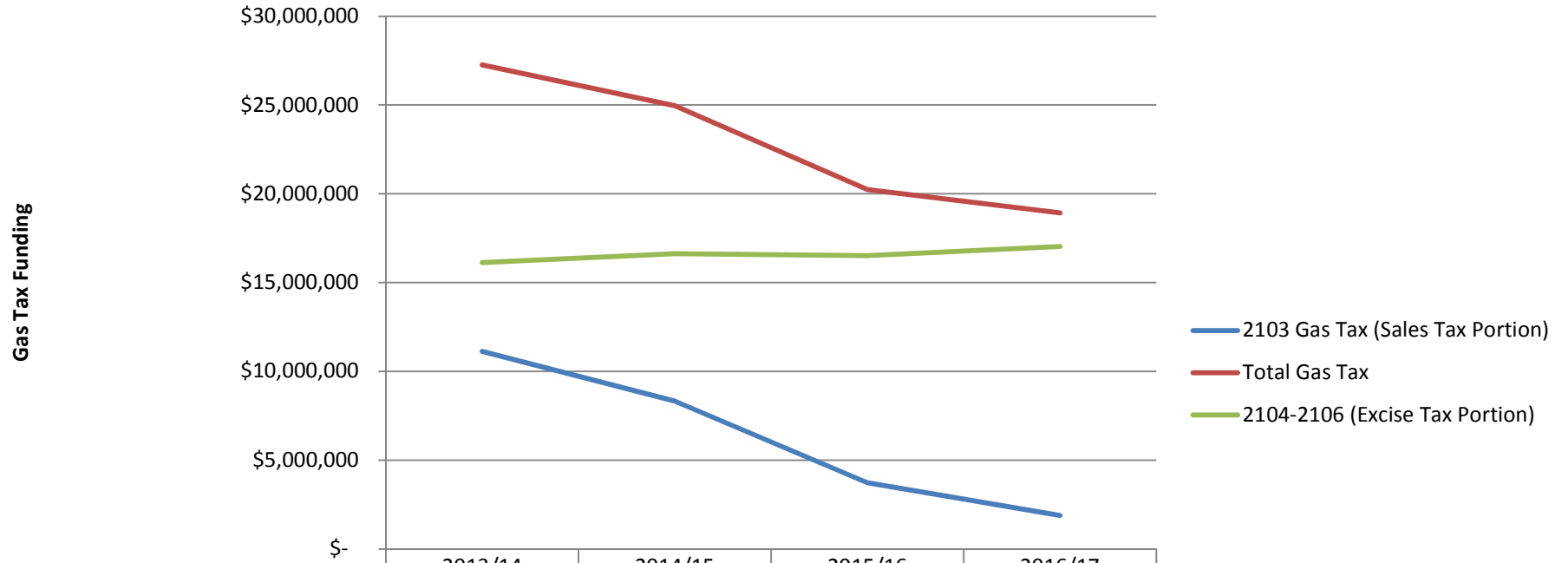
2. Provide annual reviews of all project and program performance to ensure that voters know how and where their tax dollars are being spent.

3. An Independent Advisory Committee should review all CCTA tax measures and provide periodic progress reports to the public. The advisory committee should include a range of non-profit organizations and other stakeholders.

4. Ensure contract accountability with the following:

- a) Increased citizen input in the subsidy award process
- b) Inclusion of job, environmental, and social equity standards
- c) Clawback or recapture provisions if commitments not met

Collapse of Contra Costa's Gas Tax 2013/14 - 2016/17



	2013/14	2014/15	2015/16	2016/17
2103 Gas Tax (Sales Tax Portion)	\$11,131,261	\$8,329,355	\$3,727,034	\$1,885,048
Total Gas Tax	\$27,262,483	\$24,961,630	\$20,238,896	\$18,926,888
2104-2106 (Excise Tax Portion)	\$16,131,222	\$16,632,275	\$16,511,862	\$17,041,840

Fiscal Year



Matching riders with providers

MOBILITY MATTERS

1035A Carol Lane
Lafayette, CA 94549

Contact: **Elaine Welch RN, MBA**
Chief Executive Officer
(925) 284-6699

elaine@mobilitymatterscc.com

February 17, 2016
Authority Special TEP
Meeting Handout provided
by presenter Elaine Welch
- Agenda Item 1.4

February 2016

Organizational Background

In January 2015, our organization, under contracts with MTC and CCCTA began implementing the Contra Costa County Mobility Management Plan designed by stakeholders and approved by the CCCTA Board in late 2013, by providing mobility management services throughout Contra Costa County.

This 501 (c)(3) organization (formerly known as Senior Helpline Services) changed its corporate name to Mobility Matters, effective October 2015, and modified its mission with a focus on mobility management. We continue to offer our Rides for Seniors Program and our Transportation Information & Referral (I&R) Helpline. The only difference in our I&R Helpline is that we are now responding to requests for transportation information and referrals from anyone, including adults with disabilities, in Contra Costa County, whereas before this service was focused only on seniors and those trying to help seniors with their mobility needs.

Our new mission statement is: Mobility Matters provides mobility management services in Contra Costa County facilitating collaboration and coordination between public and private transportation providers creating a network of integrated options that primarily address the mobility needs of seniors, individuals with disabilities, and low income individuals.

Recent Achievements/Accomplishments

In addition to operating the only free, one-on-one, escorted, door-through-door volunteer driver program (Rides for Seniors) that covers every community in Contra Costa County (for the past 10 years) and 7 cities in Alameda County (for 3 years), as well as a toll free Transportation I & R Helpline (for 3 years).....

Mobility Matters has:

- Coordinated and compiled grant applications for 5310 funds to support 6 Contra Costa nonprofit agencies providing transportation for seniors and people with disabilities. All grants applied for in this joint effort were approved in total.
- Completed an inventory of transportation providers/programs in Contra Costa County resulting in a complete, up-to-date list, including all travel services for seniors and people with disabilities.
- Updated and redesigned "Way to go Contra Costa!" This new transportation guide was published and distribution begun in February 2016. We are now having it translated in Spanish and Chinese. In addition, we are working on a user friendly countywide website based on the information in this guide with links to transportation providers and programs. Both the guide and the website are supported by our Transportation I&R Helpline.

- Begun working on a county wide approach to help fully implement Travel Training in Contra Costa County. We have identified all programs in Contra Costa County that provide any kind of travel training, convened them as a group committed to working together to identify best practices, gaps, and evaluate community needs, with the ultimate goal of designing curriculum that can be used by a divergent group of travel training programs.
- Brokered the distribution of 7 County Connection paratransit vans to central county non-profit agencies serving both people with disabilities and seniors.
- Completed a survey of Community Based Organizations (CBO) that use vans to transport their clients and their interest in working with Transit Providers for lower cost, high quality maintenance of those vans.

....and is:

- Continuing to lead the VITAL group. (Volunteers in Transportation Advocacy Link). We have formed a group of the 9 Bay Area volunteer driver program operators to share information and resources. The purpose of this group is to exchange information, address issues of mutual concern, define and share best practices, serve as mentors and supporters for each other, as well as those new to the field, and work together to provide for the transportation needs of the vulnerable populations we serve through mobility management.
- Providing consultation and training to Senior Villages on transportation issues, specifically their volunteer driver programs.
- Continuing to participate as members of the Senior Mobility Action Council (SMAC) addressing the mobility needs of our senior population. This group is the transportation workgroup of the Contra Costa County Advisory Council on Aging.
- Continuing to participate in the 9 county Bay Area Mobility Management group representing Contra Costa County.
- Participating in the newly formed West County mobility management group, working together to address the unique transportation issues in the urbanized West County area.
- Continuing to serve as faculty with the California Highway Patrol for their "Age Well/ Drive Smart" workshops for seniors addressing safe driving and other options when one no longer drives.
- Researching transportation issues/options for dialysis patients who require trips 3x week.
- Collecting information re the criteria and process used to evaluate applicants for ADA status. Ultimately, we hope to bring these agencies together to work on uniformity, commonality, timing and services for these individuals, including appropriate referrals when an individual's ADA status is denied.



SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT
 300 Lakeside Drive, P.O. Box 12688
 Oakland, CA 94604-2688
 (510) 464-6000

2015

February 16, 2016

Thomas M. Blalock, P.E.
 PRESIDENT

Tom Radulovich
 VICE PRESIDENT

Grace Crunican
 GENERAL MANAGER

Honorable Julie Pierce
 Chair
 Contra Costa Transportation Authority
 2999 Oak Road, Suite 100
 Walnut Creek, CA 94597

RE: Contra Costa Transportation Authority Potential Sales Tax Measure and
 Transportation Expenditure Plan

DIRECTORS

Gail Murray
 1ST DISTRICT

Joel Keller
 2ND DISTRICT

Rebecca Saltzman
 3RD DISTRICT

Robert Raburn, Ph.D.
 4TH DISTRICT

John McPartland
 5TH DISTRICT

Thomas M. Blalock, P.E.
 6TH DISTRICT

Zakary Mallett, MCP
 7TH DISTRICT

Nicholas Josefowitz
 8TH DISTRICT

Tom Radulovich
 9TH DISTRICT

Dear Chair Pierce:

As the Contra Costa Transportation Authority (CCTA) considers a potential half-cent sales tax for the November 2016 ballot, BART remains committed to working together to develop an expenditure plan that meets the needs of all Contra Costa residents. We recognize that it is critical for BART and CCTA, along with the many other Contra Costa stakeholders, to collaborate and compromise to bring forward a winning expenditure plan.

As you know, the BART board is considering placing a general obligation (GO) bond on the November 2016 ballot, the focus of which is *"fix-it-first"* – for passenger safety and system reliability. BART has always significantly self-funded its maintenance and rehabilitation program, but the replacement and upgrade needs of a 40+ year old system far exceed the funds BART has available.

Currently under development, BART's draft Transportation Expenditure Plan, a summary of which is attached, devotes over 90% of the proposed \$3.5 billion bond to replacing aging rail tracks, modernizing systems, improving security on trains, in stations and along trackway, and investing in efficient and strategic projects to provide more service to our customers. This large public investment will fund a modern new train control system and a new traction power (electrical) system, both of which are essential to serving BART's growing ridership. The remaining 10% of the bond would be dedicated to strategies to reduce overcrowding and for local station and access improvements in Contra Costa and the other BART counties.

New rail cars, however, cannot be funded with proceeds from the BART bond as the California State Constitution, Article XIII A, prohibits using GO revenues to acquire rolling stock (i.e., rail cars) or any other non-fixed asset. BART has determined it needs 306 rail cars, in addition to the fleet of 775 cars currently on order, to meet the projected ridership growth over the next 25 years and to maximize the public investment in new train control and other system improvements.

February 17, 2016
 Authority Special TEP Meeting
 Handout Agenda Item 1.1

As memorialized in the recently-adopted Resolution 5308 (attached), BART is requesting each of the three counties in the BART district – Alameda, Contra Costa and San Francisco – to contribute to funding the cost of 102 of the 306 new rail cars (or one-third of the total) by paying 75% of the cost of the 102 cars, which is equal to approximately \$343 million; BART and the region shall fund the remaining 25%. **As Contra Costa's share of new rail car funding, BART asks that CCTA include \$343 million in its 2016 TEP for new BART rail cars.**

BART believes the best way to get both the CCTA and the BART tax measures passed this November is for the two measures to work together to present a compelling picture of how they will reduce congestion on local roads and freeways, enhance the economic vitality of the county, provide integrated transit service to residents, and improve air quality in Contra Costa County. The following are points highlighting BART's contributions to Contra Costa, with more detail on the enclosed attachment.

More Seats, More Service for Contra Costa Residents: BART can increase system capacity by 30% by implementing critical replacement and renovation projects. Systemwide, these improvements could result in approximately 16,500 more seats in the fleet (an increase of approximately 50%), as many as 214,000 new weekday trips, and trains every 4-5 minutes during the peak commute hours on most lines. Specifically, Contra Costa residents could see significant service improvements on their BART line:

	Potential Capacity Increase	Peak Headway	Estimated Additional Riders per Hour, Peak Commute Direction	Peak Commute Train Length
Pittsburg/Bay Point	15%-20%	4-5 minutes	800-1000 riders	10 car trains
Richmond-SF	50%-80%	5 minutes	550-700 riders	10 car trains on most runs
Dublin/Pleasanton	50%-80%	4-5 minutes	700-900 riders	10 car trains

Making CCTA's TEP Investments Work: To realize the new transportation infrastructure investments proposed by the regional transportation planning committees (RTPCs) and being considered by CCTA, BART needs additional rail cars.

BART Relieves Traffic Congestion on Contra Costa Freeways: The projected new 214,000 trips, served by the new rail cars, could remove up to 79,000 cars per day from Contra Costa roads and freeways.

More BART Service Means Better Air Quality: BART significantly helps Contra Costa meet greenhouse gas (GHG) emissions reduction goals. The estimated 214,000 new BART trips per day could result in a net new weekday reduction in GHG emissions of 610,000 pounds of CO².

February 16, 2016

Page 3

Contra Costa's Investment in BART Cars Leverages over \$1 Billion in Other Local and Regional Funds: Contra Costa's investment will leverage similar investments from Alameda and San Francisco counties and the region.

Contra Costa Residents Support BART: In recent CCTA and BART polls, BART and its system needs continue to poll very highly in Contra Costa.

BART Boosts Contra Costa's Economy: Homes and businesses near BART stations generate both higher market values and significant local tax revenues for Contra Costa County.

For more than forty years, BART has efficiently, reliably and safely brought workers, families and friends to their destinations. As Contra Costa County's largest transit provider, BART plays a key role in connecting Contra Costa residents to jobs, airports, medical appointments, sporting events, recreational activities, shopping, entertainment, and cultural destinations, while reducing congestion on local roads and freeways. We now ask CCTA to help BART continue in the fine tradition of providing high quality transit service to the residents of Contra Costa and the San Francisco Bay Area.

Thank you for considering our request.

Sincerely,



Gail Murray
Vice President






Joel Keller
Director, District 2



Rebecca Saltzman
Director, District 3

Attachments

Summary of Investments

	\$ Millions	% of Total Bond	Benefits		
			 Safety	 Reliability	 Crowding + Traffic Relief
REPAIR AND REPLACE CRITICAL SAFETY INFRASTRUCTURE	\$3,165	90%	✓	✓	✓
Renew track	\$625	18%	✓	✓	
Renew power infrastructure	\$1,225	35%	✓	✓	
Repair tunnels and structures	\$570	16%	✓	✓	
Renew mechanical infrastructure	\$135	4%	✓	✓	
Renew stations	\$210	6%	✓	✓	✓
Upgrade train control and other major system infrastructure to increase peak period capacity	\$400	12%	✓	✓	✓
DESIGN FUTURE CROWDING RELIEF AND EXPAND OPPORTUNITIES TO SAFELY ACCESS STATIONS	\$335	10%	✓	✓	✓
Design and engineer future projects to relieve crowding, increase system redundancy, and reduce traffic congestion	\$200	6%		✓	✓
Expand opportunities to safely access stations	\$135	4%	✓	✓	✓
TOTAL	\$3,500	100%			

BART'S CONTRIBUTIONS TO CONTRA COSTA COUNTY

More Seats, More Service for Contra Costa Residents: BART can increase system capacity by 30% by implementing critical replacement and renovation projects: modern train control, additional maintenance facilities, upgraded electrical power and 306 more rail cars. Systemwide, these improvements could result in approximately 16,500 more seats in the fleet (an increase of approximately 50%), as many as 214,000 new weekday trips, and trains every 4-5 minutes during the peak commute hours on most lines. Contra Costa residents could see significant increases on their BART lines. Differences in projected service increases are due to current train set length, service demand and operational issues.

Making CCTA's TEP Investments Work: The current CCTA TEP request (August 2015), submitted by the regional transportation planning committees (RTPCs), includes over \$200 million for new transit connections and infrastructure in key freeway corridors – I-80, I-680 and Highway 4 – in addition to the over \$200 million earmarked for improved bus transit throughout the county. New technology solutions are also proposed to provide the critical “last mile” trip for commuters. All of these services and projects rely on connections to BART, and depend on BART's ability to serve tens of thousands of new riders. BART needs additional rail cars in order to make Contra Costa's new transit investments work.

BART Relieves Traffic Congestion on Contra Costa Freeways: BART's current daily ridership of 430,000 removes approximately 330,000 cars from local roads and freeways.¹ An additional 214,000 BART trips per day could take an additional 165,000 cars off of freeways and local roads. This could result in an additional 79,000 cars per day off of local Contra Costa freeways and roads.²

More BART Service Means Better Air Quality: Each day, BART riders save 280,000 gallons of gas and keep 5 million pounds of carbon emissions from entering the atmosphere. The estimated 214,000 added new trips per day would result in approximately 1.3 million fewer miles driven by cars with a net new reduction in greenhouse gas (GHG) emissions per weekday of 610,000 pounds of CO₂. Contra Costa needs BART to help meet GHG emissions reduction goals.

Contra Costa's Investment in BART Cars Leverages over \$1 Billion in Other Local and Regional Funds: BART is working with elected officials and transportation leaders at CCTA, in the other BART counties and at the regional level to secure a funding strategy for the additional 306 rail cars. Contra Costa's investment will leverage similar investments from Alameda and San Francisco counties and the region.

Contra Costa Residents Support BART: In a recent Contra Costa Transportation Authority (CCTA) countywide poll, “replacing BART's 40-year old rail cars” received a 77% approval rating (Feb 2015) and the BART “brand” has a 72% favorable rating. In addition, CCTA's

¹ Assuming 1.3 people per car on average

² Freeway miles in Contra Costa County represent 37% of total freeway miles in Alameda, Contra Costa and San Francisco counties.

online tool, (www.keepcontracostamoving.net) reported that as of November 2015, BART ranked as the highest priority of all categories presented. Four (4) out of fifteen (15) specific improvements were for BART-related projects – BART parking (#2), new BART cars (#4), updated BART train controls (#9), and more buses to BART (#15). BART projects and support are critical to a successful local sales tax measure in Contra Costa County.

BART Boosts Contra Costa's Economy: Recent studies have shown that homes and condominiums near BART have significantly higher market values (up to nearly 13% greater) than homes beyond five miles from a BART station. In addition, higher property values generated by homes and businesses within half a mile of a BART station contribute over \$750 million each year in general property tax revenues for local governments – money to put to work locally.

**BEFORE THE BOARD OF DIRECTORS OF THE SAN FRANCISCO
BAY AREA RAPID TRANSIT DISTRICT**

**In the Matter of Support for the Funding
Of Additional BART Rail Vehicles by the
County Congestion Management Agencies
in Alameda, Contra Costa and
San Francisco Counties /**

Resolution No. 5308

WHEREAS, BART ridership is near capacity and is expected to grow by nearly 50 percent (50%) over the next 25 years and capacity and system improvements will be needed to maintain quality and service standards for BART customers in light of that growth in demand; and

WHEREAS, in order to meet the growing demand for BART service, BART needs 306 additional rail vehicles beyond the current commitment of 775 vehicles; and

WHEREAS, BART is unable to fund the additional 306 needed rail vehicles with existing fund sources, and transit vehicles cannot be funded by a potential general obligation bond that BART is considering placing on the November 2016 ballot; and

WHEREAS, BART acknowledges that its unmet capital need, such as rail vehicles, is a regional issue requiring a partnership among local and regional agencies; and

WHEREAS, BART has initiated discussions with its regional funding partners to develop a collaborative funding solution; and

WHEREAS, BART has proposed that the congestion management agencies (CMAs) in the three BART counties- the Alameda County Transportation Commission (ACTC), the Contra Costa Transportation Authority (CCTA), and the San Francisco County Transportation Authority (SFCTA) - each provide funding, in an estimated amount of \$400 million, to provide approximately 75% of the cost of 102 vehicles; and

WHEREAS, BART acknowledges that, in November 2014, the voters of Alameda County allocated over \$800 million for BART projects and programs, including various rehabilitation needs, in revenues generated by a half-cent transportation sales tax measure, known as Measure BB; and

WHEREAS, the ACTC may have additional funding sources in the future that could be used for new additional rail vehicles;

WHEREAS, the CCTA is considering placing on the November 2016 ballot a new 25-year, ½-cent transportation sales tax; and

WHEREAS, the SFCTA is also considering future revenue-generating measures for transportation projects and programs; and

WHEREAS, BART will seek regional, state and federal funding sources for the remaining 25% funding needed to complete the purchase of these additional rail vehicles;

NOW THEREFORE BE IT RESOLVED, that BART requires committed funding through resolutions from the ACTC, CCTA, SFCTA, and other regional and local partners, to purchase additional rail vehicles so that BART may continue to provide high levels of service to the residents of the District; and,

BE IT FURTHER RESOLVED, that BART will request the ACTC, the CCTA, and the SFCTA to each fund 75% of the cost of 102 additional BART rail vehicles; and

BE IT FURTHER RESOLVED, that BART will seek other regional, state and federal fund sources to close the gap in funding for the additional 306 vehicles; and

BE IT FURTHER RESOLVED, that a copy of this Resolution shall be transmitted to the ACTC, the CCTA, and the SFCTA.

###

PMA ALTERNATIVE for SALES TAX MEASURE

2-11-16

- **23% for a Return-to-Source Component** with the same allocation formula and essentially the same checklist that applies to Measure J.

- **6% for a Transportation Incentives Component** that funds transportation projects and programs that encourage jobs, housing, and economic development. Participation by jurisdictions is elective and grant applications are competitively awarded at the subregional (RTPC) level. *PMA will participate in development of language and details regarding process and criteria for awarding funding.*

- **9% for a Major Streets Component** that pays for improvements on major roads, encourages complete streets programs, and funds other technologies and innovations that improve transportation on busy corridors. *PMA will participate in development of language and details regarding process and criteria for awarding funding.*

- No addition to the current Transportation for Livable Communities program.

- Eliminate the provisions that allow up to 30-acre adjustments to the ULL without a vote.

* * *

Under this plan, 38% of the funds will go back to the jurisdictions.

February 17, 2016
Authority Special TEP Meeting
Handout Agenda Item 1.2

NEW MEASURE TRANSPORTATION EXPENDITURE PLAN (DRAFT FOR DISCUSSION ONLY)

February 24, 2016

No.	Funding Category	\$ millions	%	Distribution of Funding By Subregion			
				Central (a)	Southwest (b)	West (c)	East (d)
1	Local Streets Maintenance and Improvements	540.0	23.1%	156	120	119	145
2	Major Streets and Complete Streets Project Grants	200.0	8.6%	108.3	29.3	19.4	42.9
3	BART Capacity, Access and Parking Improvements	300.0	12.8%	88.1	57.4	69.8	84.7
4	East Contra Costa Transit Extension	70.0	3.0%				70
5	Transit & Interchange Improvements along the I-80 Corridor in West County	110.0	4.7%			110	
6	Improve traffic flow & implement high capacity transit in the I-680 corridor & SR 24 ⁴	140.0	6.0%	40	100		
7	Improve traffic flow along the SR 242 & SR 4 Corridors in Central and Eastern County	70.0	3.0%	40			30
8	Interstate 680 and State Route 4 Interchange Improvements	60.0	2.6%	60			
9	East County Corridor	117.0	5.0%				117
10	Advance Mitigation Program ³	TBD	TBD				
11	Non-Rail Transit Enhancements	200.0	8.6%	50.0	50.0	50.0	50.0
12	Transportation for Seniors and People with Disabilities	50.0	2.1%	10.1	4.7	12.9	22.2
13	Safe Transportation for Children	50.0	2.1%	7.0	16.3	21.3	5.4
14	Intercity Rail and Ferry Service	50.0	2.1%	8		35	7
15	Pedestrian, Bicycle and Trail Facilities	60.0	2.6%	12.4	24.7	16.8	6.1
16	Community Development Investment Grant Program ¹	140.0	6.0%	41.1	26.8	32.6	39.5
17	Innovative Transportation Technology / Connected Communities Grant Program ²	65.0	2.8%	21.8	5.5	26.7	11.0
18	Transportation Planning, Facilities & Services	23.4	1.0%	6.9	4.5	5.4	6.6
19	Regional Choice	70.3	3.0%	30.2	3.7	19.7	16.7
20	Administration	23.4	1.0%	6.9	4.5	5.4	6.6
	Commuter Alternatives	0.0	0.0%				
	TOTAL	2339.1	68.4%	686.9	447.4	544.0	660.8

Requests Submitted by RTPCs in July/August 2015				
Central (a)	Southwest (b)	West (c)	East (d)	SUM
206.1	134 or 112	152.3	198.2	668.6 or 690.6
151.5	41	27.2	60	279.7
10	28 or 50	43.5	20	101.5 or 123.5
			80	80
		114.2		114.2
39	100			139
47.7			30	77.7
60				60
			120	120
				0
57.9	60	54.4	46.9	219.2
21.3	10	27.2	46.9	105.4
10.8	25.0	32.6	8.3	76.7
8		38.1	6.6	52.7
20	40	27.2	9.9	97.1
24.7			16.5	41.2
20	5	24.5	10.1	59.6
				0
				0
				0
10	5	2.8	6.6	24.4
687.0	448.0	544.0	660.0	2339

Population Based Share	2339.1	686.9	447.4	544.0	660.8
Population Share (2030 Estimate) of Total		29.37%	19.13%	23.26%	28.25%

Notes:

- RTPCs requests under TLC program are shown here
- RTPCs requests for clean transportation, technology upgrades, subregional needs and anti-displacement are shown here
- Projects that would be included in an Advance Mitigation Program will be identified/called-out
- SR 24 was left out of the description in the draft TEP issued on February 22, 2016.

Amounts shown are reflected in DRAFT TEP Version 1.1

- Preliminary Draft TEP Issued on February 22, 2016 showed \$90M in error. Proposed amount is \$140M as shown.
- Preliminary Draft TEP Issued on February 22, 2016 showed \$120.3M in error. Proposed amount is \$70.3M as shown.

Category No. 1 was distributed based on population and road miles formula
Categories 2, 12, 13, 15 & 17 split proportional to RTPCs requests
Categories 3, 16, 18 & 20 distributed based on population share
Category No. 11 split equally between subregions



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February 2, 2016

Ross Chittenden, Deputy Executive Director
Contra Costa Transportation Authority
2999 Oak Rd, Suite 100
Walnut Creek, CA 94597

Dear Mr. Chittenden:

RE: Request for Information on Growth Management Policy Recommendations

Greenbelt Alliance appreciates the opportunity to provide further information and rationale behind the growth management policy recommendations contained in the “Community Vision and Transformative Policies for a New Transportation Sales Tax.”

The level of receptivity from Contra Costa Transportation Authority (CCTA) commissioners, staff, and consultants is encouraging as we participate in the development of a new transportation sales tax measure. In addition to the following recommendations and maps, please review Greenbelt Alliance’s recent white paper, “Shaping our Growth: How Urban Growth Boundaries strengthen communities and protect greenbelts” (**Attachment A**). These documents demonstrate the critical importance of smart and managed growth at both the local and regional level to protect our environment, strengthen our economy, and advance social equity.

Greenbelt Alliance also reaffirms our recognition that CCTA is building on significant leadership managing growth and encouraging infill development over the last 30 years. Yet despite this important progress, significant problems exist in our current transportation and land use systems, and many of these problems will worsen if immediate remedies are not implemented. Greenbelt Alliance hopes that collectively we can harness our previous success to address the challenges of the next 30 years.

While this letter focuses on recommendations to enhance the Growth Management Program (GMP), Greenbelt Alliance looks forward to providing more information on how to incentivize infill development in the near future.

Background

Smart Growth, conservation, and transportation are inextricably linked in Contra Costa. With the passage of Measure C-1988, Contra Costa became the first county in the state to plan and invest in the transportation, land use, and growth management connection—now central to planning efforts at all levels of government in California. The success of the GMP was a key component to voter approval of the County Urban Limit Line (ULL) in 1990. With the success of Measure J in 2004, voters enhanced the ULL and created the Transportation for Livable Communities (TLC) program, which directed transportation investments to encourage development near transit and downtown centers. These and other measures have made achieving initial greenhouse gas reduction goals much easier for Contra Costa, as CCTA has acknowledged. It's an ongoing process however, and the reduction goals will continue to tighten. Our efforts must continue to evolve in order to continue making progress.

Both Measure C-1988 and Measure J-2004 were built with strong participation from a coalition of stakeholders to advance good public policy that voters continue to strongly favor. A new transportation sales tax would provide an opportunity to build upon our success to enhance these popular programs.

The following four policy recommendations will provide the growth management enhancements that voters demand and deserve:

Recommendation 1:

***Enhance our Urban Limit Lines (ULLs):** To prevent sprawl development, we must eliminate the loophole in Contra Costa County's Urban Limit Lines that allows 30-acre expansions without a public vote. And we must refine our existing ULL policies by defining key terms such as "urban" and "rural," in alignment with regional and state standards, clarifying which services must comply with our urban limit lines (water, sewer, etc.), and preventing major subdivisions outside the lines.*

Measure J-2004 made significant progress to reign in decades of poorly managed growth. All of Contra Costa's jurisdictions either adopted the County's ULL or their own voter-approved ULL (Pittsburg, Antioch, and San Ramon). Voters have defended the ULLs on each occasion that they have been challenged by expansion proposals (see **Appendix A**). While the voters have to-date been able to defend the ULLs, there is, however, a glaring and dangerous loophole to allow 30-acre expansions without a vote of the people. Contra Costa should immediately remove this loophole and ensure that any ULL adjustments are approved by a vote of the people—just like in Alameda County. The ULL is the central element of voter participation in growth management in Contra Costa County; we should be willing to trust the voters' judgment about future 30-acre adjustments.

This 30-acre loophole has to potential, once used, to pave the way for innumerable ULL expansions throughout Contra Costa County. As shown in **Appendix B**, 30-acre expansions could be applied broadly to the urban edge—chipping away at voter protections one proposal at a time. In total, more than **9,300 acres of land across Contra Costa County are at risk of development through 30-acre ULL expansions**. Each of these threats, even in isolation, encourages speculation of our natural and agricultural land—putting some of the best farmland out of production, driving up land costs, and destabilizing the agricultural heritage and economy of Contra Costa County. As a whole, this would be a disaster for our county and would jeopardize future efforts to manage growth.

Recent sprawl developments, particularly in the Tassajara Valley, have tested the ULL loopholes. The “New Farm” sprawl development project was able to advance because of the lack of clarity and definition of “urban” and “rural.” This allowed for an egregious proposal that would have undermined the ULL broadly. Fortunately the proposal was withdrawn in 2013, but the lack of clarity remains a pressing issue. The current proposal for the “Tassajara Parks” development would use the 30-acre loophole for the first time to facilitate residential development outside of the ULL. The potential for an avalanche of 30-acre expansions throughout Contra Costa County is looming.

In addition, we must prevent major subdivisions of land—the division of large parcels into five or more smaller parcels—outside the ULL. The purpose of such subdivisions is to facilitate urban development. This is inconsistent with the intent of the ULL and would foster land speculation and development pressure.

Voters in Contra Costa—who have repeatedly defeated challenges to the ULL—will want to know that promises to prevent sprawl are kept in any new transportation funding measure, and that loopholes will be closed before it is too late.

Recommendation 2:

Prohibit sprawl-inducing projects: *These include, among others, the James Donlon Extension, Camino Tassajara Expansion, and Highway 239 alignments. Projects that are listed as poor performers in MTC’s Regional Transportation Plan as well as those identified by CCTA’s forthcoming performance-based project assessment will not be eligible for sales tax revenue or bond funding.*

Contra Costa voters are fed up with congestion. And congestion is getting worse by the day as the economy improves. New transportation investments should not burden residents with additional congestion. Yet poorly planned transportation projects do just that, by encouraging new sprawl development that adds thousands of new drive-alone commuters onto our existing overcrowded streets, roads, and highways.

Unfortunately, the CCTA is currently contemplating funding some of the worst sprawl-inducing projects in the Bay Area, which could have substantial impacts on future congestion. Contra Costa deserves better investments that will reduce congestion, provide competitive opportunities to access transit, and protect our farms and natural lands from further sprawl.

The Community Vision recommends prohibiting all sprawl-inducing transportation projects, including the following three projects, all of which would have disastrous effects on Contra Costa's transportation system and quality of life:

- Widening Camino Tassajara outside of the ULL would significantly increase the pressure and capacity for new sprawl development, in the rural Tassajara Valley. Contra Costa County residents have repeatedly voted to protect this flashpoint area from sprawl development and their desire to see the area remain rural should be respected.
- The James Donlon Boulevard Extension's environmental consequences are so egregious that MTC's Regional Transportation Plan lists it as one of the worst-performing proposals in the entire Bay Area and denied State and Federal funding for the project.
- Finally, the proposal to create a new major highway expansion through East County, SR 239, could lead to significant and irreversible impacts on natural and agricultural lands. Funding SR 239 would also signal a major deviation from SB 375 and recent direction from CalTrans to discourage new major highway expansions. With many details of the project still undefined, the project can be assumed to induce sprawl in the Contra Costa Agricultural Core, significantly impact prime farmland and sensitive habitat, and increase congestion in the I-580 corridor, thereby creating regional commuter tensions between Contra Costa and Alameda counties. While we recognize the importance of goods movement and the need for economic development opportunities in East Contra Costa County—the environmental impacts from this project must be analyzed to allow voters to make informed decisions about the consequences of a major highway expansion.

Appendix C maps these three projects in relation to the ULL and current infill housing opportunity sites. As it clearly demonstrates, these particular projects threaten to undermine growth management protections and redirect transportation investments away from areas where infrastructure and infill housing opportunities already exist.

In addition to specific prohibition on these sprawl-inducing projects, Greenbelt Alliance also recommends that CCTA adopt a Countywide Transportation Plan (CTP) and accompanying environmental review documents before finalizing the Transportation Expenditure Plan (TEP). The CTP should include a **performance-based project assessment** to determine appropriate projects and prioritize investments that best meet the goals and vision of Contra Costa voters, as well as meet the requirements of

local, county, regional, and state policy. Using a performance-based model will help to identify and eliminate other sprawl-inducing road projects. Additionally, any proposals for new major highway expansion must include design parameters that eliminate the possibility of sprawl inducement and provide protections and mitigations for impacts on natural and agricultural lands.

Recommendation 3:

Ensure agricultural protections: *All jurisdictions with agricultural land within their planning area, including rangelands, must adopt an Agricultural Protection Ordinance, which mitigates for the conversion and cumulative impacts on those lands, to receive return to source funding.*

Contra Costa County's farms and ranches are some of the Bay Area and California's most fruitful, contributing \$225 million annually.¹ The county is rich with an abundance of Brentwood sweet corn, U-Pick cherries, and a diverse array of crops available locally and nationally.

Distressingly, Contra Costa County has lost almost 40% of its prime farmland to sprawl since 1990. As the Bay Area housing market soars, much of what remains is still threatened by development pressure—particularly within Special Planning Areas as identified in Brentwood's General Plan. In fact, Contra Costa County has the most open space land at risk of development in the entire region: over 18,000 acres or the equivalent of 18 Golden Gate Parks.

Despite the protection provided by voter-approved urban limit lines (ULLs) and the Ag Core, the county's agricultural and open space lands are at the frontline of development pressure. It is critical that Contra Costa step up agricultural protection and mitigation policies to ensure that we continue Contra Costa's strong agricultural heritage and prevent further loss of farms and ranches. The City of Brentwood is currently the only jurisdiction in Contra Costa County that has an agricultural mitigation policy, but this only applies within city limits. To ensure adequate mitigation throughout the county, all jurisdictions with agricultural lands (both crop and ranching lands), including the County, should be required to adopt mitigation policies to receive return to source funding.

Recommendation 4:

Establish new Growth Management Program standards: *To reduce vehicle miles traveled (VMT), greenhouse gas emissions (GHG), and impacts on wildlife habitats and agricultural lands, while increasing*

¹ <http://www.co.contra-costa.ca.us/DocumentCenter/View/39556>

carbon sequestration, all jurisdictions must have the following policies in place to receive return to source funding:

- *Hillside development ordinance*
- *Ridgeline protection ordinance*
- *Open space system with major ridgelines defined*
- *Protection of wildlife corridors*
- *Plan to conserve buffers around open space and agriculture*
- *Prohibitions on culverting blueline creeks for anything more than road crossings in the shortest length possible*
- *Prohibition of development of major subdivisions, urban development, or urban services allowed in non-urban Priority Conservation Areas*

Contra Costa is fortunate to have such majestic landscapes and diversity of natural resources. To ensure that those resources continue to serve future generations, there is a critical need to institute basic growth management policies across the county. This has the added benefit of leveling the playing field between jurisdictions and creating greater policy parity and uniformity to help resolve longstanding land use conflicts.

Appendix D shows where Planning Area and Sphere of Influence boundaries extend beyond the ULL, demonstrating intentions for future expansions, often in conflict with neighboring jurisdictions. These inter-jurisdictional conflicts extend throughout the county. Within the last few years, development proposals on the hills between Concord and Pittsburg escalated tensions around the future of urban development and the proposed Regional Park at the Concord Naval Weapons Station. In East County, Brentwood and Antioch have attempted to annex the same hillsides and open space in an apparent race for sprawl development outside of the ULL. These land use tensions would be eased, if not resolved, with clear and consistent policies adopted by the various jurisdictions. Preventing localized land use conflicts will also ensure greater consensus and targeting of limited transportation funds.

Ultimately, it is in each jurisdiction's interest to maintain natural amenities that increase economic prosperity and quality of life. The aforementioned growth management standards would provide the needed framework for smart planning uniformity throughout the county. Naturally, jurisdictions without these natural resources would not be required to adopt further requirements. Furthermore, jurisdictions that have already adopted such policies would not need to adopt further requirements.

Conclusion

Greenbelt Alliance strongly recommends enhancing the Growth Management Program and Urban Limit Line as central policies in a new transportation sales tax. In particular, Greenbelt Alliance recommends removing the 30-acre ULL expansion loophole, prohibiting sprawl-inducing projects, protecting agricultural lands, and establishing greater uniformity in smart land use planning practices. These enhancements will create better protections for the natural and agricultural lands that voters cherish, encourage the right kind of development in the right places, and prevent the worsening of congestion.

Greenbelt Alliance appreciates the opportunity to share our recommendations and rationale with the CCTA Commissioners and we are looking forward to presenting this information and answering further questions at the February 3, 2016 Transportation Expenditure Plan Special Session.

Sincerely,

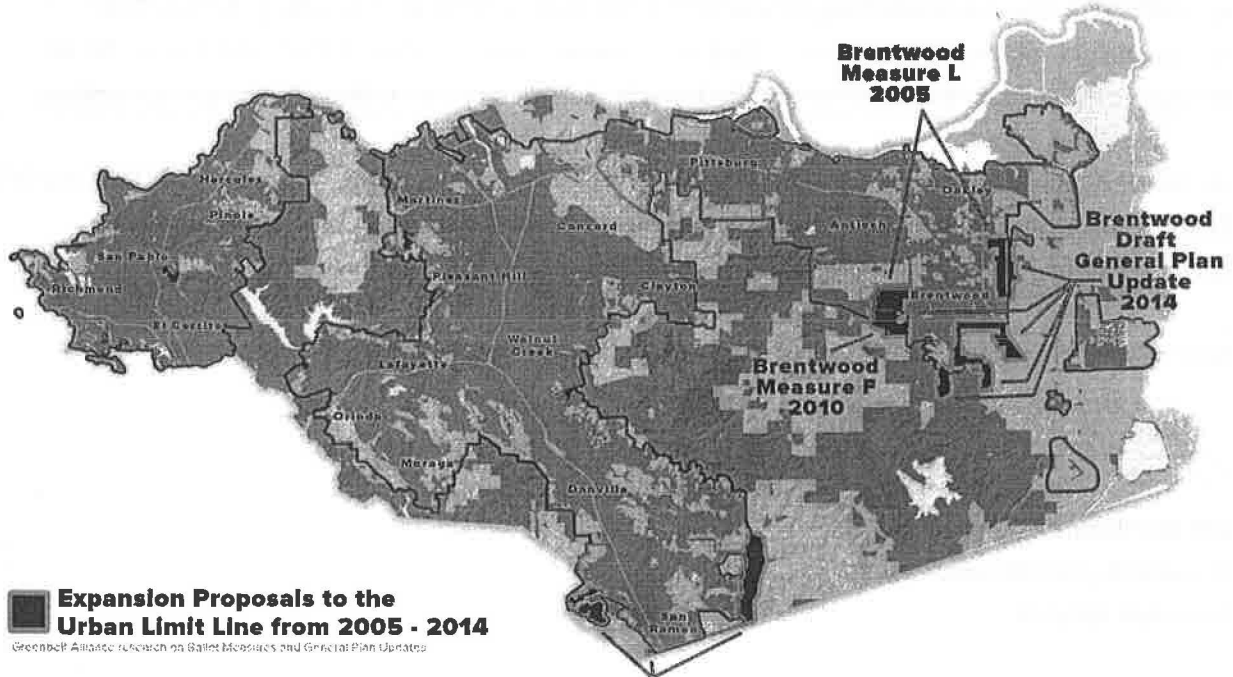


Joel Devalcourt
Regional Representative, East Bay
Greenbelt Alliance

Appendix A



Expansion Proposals to Contra Costa County's Urban Limit Line



Expansion Proposals to the Urban Limit Line from 2005 - 2014
 Greenbelt Alliance research on Ballot Measures and General Plan Updates

Planning Boundaries

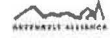
-  City Limits
Contra Costa County Mapping Information Center 2015
-  Contra Costa County Urban Limit Line
-  City-Adopted Urban Growth Boundary
Greenbelt Alliance research on City's General Plan and LAFCO Maps

San Ramon Measure W 2010

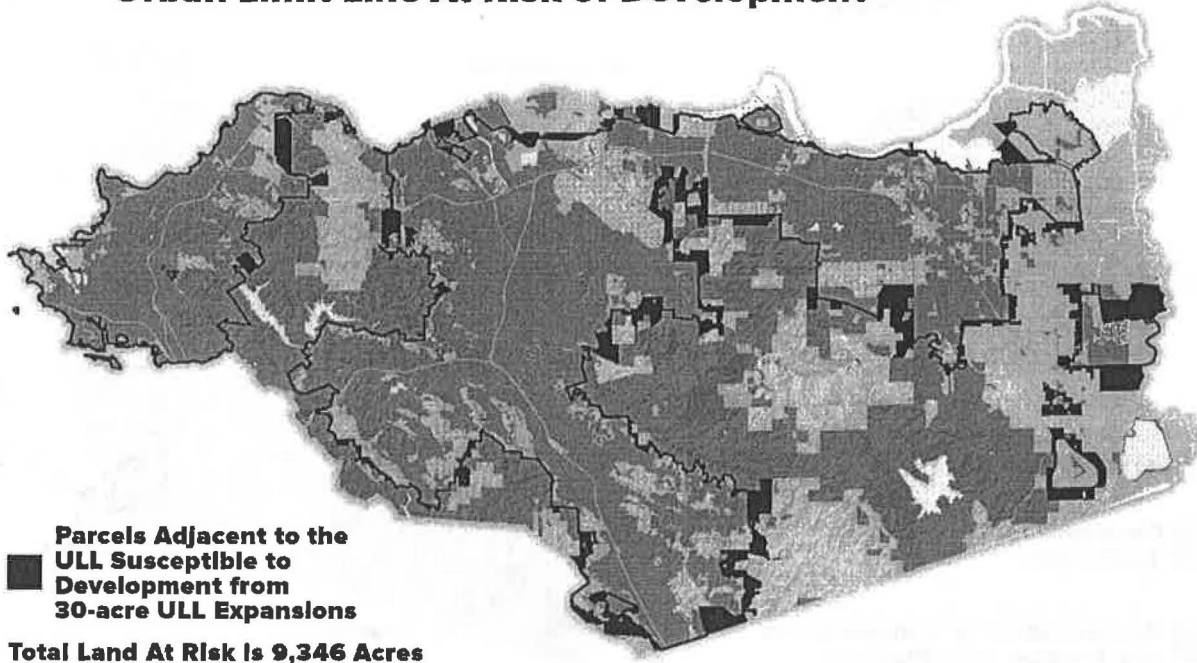
Other Lands

-  Developed Land
CA Farmland Mapping and Monitoring Program 2012
-  Protected Lands
CA Protected Areas and National Conservation Easment Database 2015

Appendix B



Parcels Outside of Contra Costa County's Urban Limit Line At Risk of Development



Parcels Adjacent to the ULL Susceptible to Development from 30-acre ULL Expansions

Total Land At Risk is 9,346 Acres

Planning Boundaries

-  City Limits
 -  Contra Costa County Urban Limit Line
- Contra Costa County Mapping Information Center 2015

Other Lands

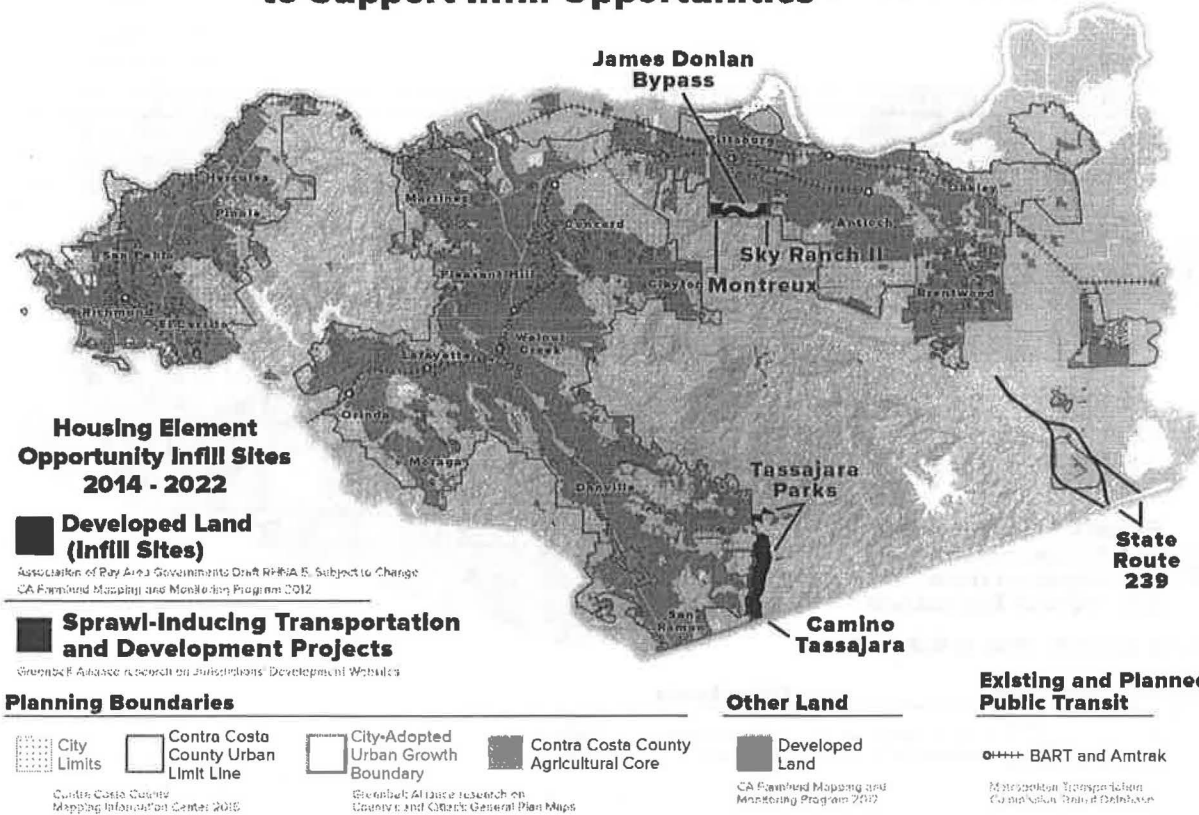
-  Developed Land
 -  Protected Lands
- CA Farmland Mapping and Monitoring Program 2012 CA Protected Areas and National Conservation Easement Database 2015

Note: A veto of the county is required to expand Contra Costa County's Urban Limit Line by more than 20 acres. Parcels shown in red are those lands adjacent to Contra Costa County's Urban Limit Line including unincorporated and retained subdivisions. Parcels smaller than 30 acres are included as they would otherwise, while parcels larger than 30 acres are required to only allow 20 acre development despite their larger size. If no further subdivisions of these parcels occur, this calculation shows the total acreage of parcels at risk of development from their adjacency to the Urban Limit Line is 9,346 acres.

Appendix C



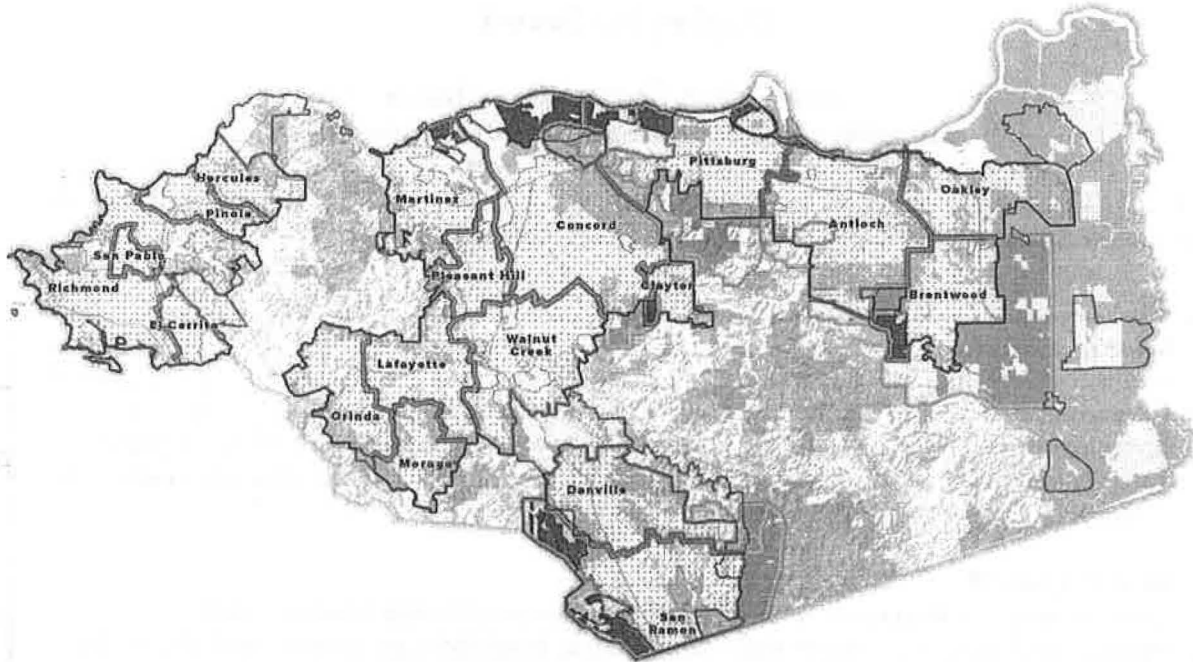
Prioritizing Transportation Investments to Support Infill Opportunities



Appendix D



Planning Boundaries in Contra Costa County

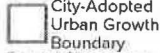


UnDeveloped and UnProtected Land within Planning Boundaries Extending Past the County's Urban Limit Line

Note: Developed/Urban land used from CA Farmland Mapping and Monitoring Program 2012. Protected land used from CA Protected Areas and National Conservation Easement Districts 2015.



City Limits
Contra Costa County Mapping Information Center 2015



City-Adopted Urban Growth Boundary
Greenbelt Alliance research on Cities' General Plans and Land Use Maps



Contra Costa County Urban Limit Line
Contra Costa County Mapping Information Center 2015



Sphere of Influence



Planning Area
Greenbelt Alliance research on Cities' General Plans



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Shaping our Growth: How Urban Growth Boundaries strengthen communities and protect greenbelts

By 2040, the Bay Area will grow from 7 million to 9.3 million people. We must decide how to best make room for everyone to live, work, and play in our cities, towns and neighborhoods.

What is a UGB?

An urban growth boundary (UGB) is a planning tool for cities and towns that identifies the extent of where we locate our homes, schools, and businesses. A UGB separates an urban area from its surrounding greenbelt of natural and agricultural lands, and helps encourage infill development, especially near transit. UGBs are set for significant periods of time—typically 20 years or more. In the Bay Area, it's a proven tool to prevent urban sprawl.

What is sprawl?

Sprawl is the spread of a city away from central urban areas and transit into low-density communities, largely consisting of single-family homes in subdivisions, auto-centered strip malls, and parking lots.

Sprawl is an expensive proposition

As housing prices escalate, some are quick to blame smart growth and UGBs, and say that expanding our cities into open space and agricultural lands will solve our affordable housing crisis. The evidence doesn't support this view; rather, *multiple studies show that sprawl is far more expensive than smart growth*. A 2015 study found that sprawl costs America over \$1 trillion, and can increase per-capita land consumption by up to 80% and car use by up to 60%.ⁱ

Providing water, sewer, roads, and other services to far-flung neighborhoods is very costly for local governments. Smart growth allows more affordable housing types at increased densities, reduces land requirements per household, has lower public service costs, and reduces transportation costs. The higher housing prices that urban residents may pay will be offset by lower transportation costs, energy costs, and better access to jobs, services, and amenities in more centralized locations.ⁱⁱ

Transportation costs rise as density decreases

Suburban residents are expected to drive three times as much as urban drivers, who rely more heavily on walking, biking, and public transit.ⁱⁱⁱ

A San Francisco State University study found a 10% increase in compact development and smart growth amenities resulted in a 20% decrease in vehicle miles traveled.^{iv} It also found that building compactly was more

successful in reducing vehicle miles traveled (VMT) than various taxing structures (such as a fuel charge). Furthermore, the estimated annual costs per household to provide roads in the most sprawled communities averaged \$804.74 in comparison to \$19.87 in the highest density communities.^v

Sprawl causes more traffic

Building or expanding roads to serve new or existing sprawl only increases congestion through “induced demand.”^{vi} Adding road capacity encourages people to take longer trips or more trips by car. A recent \$1 billion infrastructure investment to widen I-405 in Los Angeles resulted in commute times one minute *slower* than before the widening.^{vii} This in turn only lengthens driver’s commutes. Drivers with a 30-minute commute will spend on average 87 hours dealing with traffic delays over the course of one year.^{viii} That’s over 3½ days of sitting in congestion. Furthermore, the estimated annual costs per household to provide roads in the most sprawled communities averaged \$804.74 in comparison to \$19.87 in the highest density communities.^{ix}

Sprawl is harmful to our health

Numerous studies have shown how urban sprawl negatively affects our health.^x Cities built around automobile use provide fewer opportunities to exercise than walkable and bikable cities.^{xi} Vehicles release air pollutants, including ozone, carbon, and airborne particulates, that are harmful to both wildlife and humans. Air pollution is a known cause of some respiratory problems, such as asthma and lung cancer.^{xii}

Studies have linked increased VMT to rising obesity rates, diabetes potential, chronic illness effects, inactivity, and mental health impacts.^{xiii} People living in less walkable communities have a 50% higher rate of diabetes as compared to the most walkable communities.^{xiv} Thirty-five percent of people in walkable neighborhoods are overweight, compared with 60% in sprawl neighborhoods.^{xv}

Another study found there was a positive correlation between the degree of sprawl and the amount of traffic and pedestrian fatalities in the largest 101 U.S. metropolitan areas.^{xvi} For every 1% increase in the study’s density metric, the traffic fatality and pedestrian rates decreased by 1.49% and 1.47%, respectively.

Sprawl makes us unhappy

One study found that people who endure a more-than 45-minute commute are 40% more likely to divorce.^{xvii} People who live in car-dependent sprawl neighborhoods are much less trusting of other people than people who live in walkable, mixed-use, and transit-oriented neighborhoods.

Another study found that someone with a one-hour commute has to earn 40% more money to be as satisfied with life as someone who walks to the office.^{xviii} For a single person, exchanging a long commute for a short walk to work has the same effect on happiness as finding a new love.

Sprawl residents pay more for public services

Sprawl requires more expensive public services than smart growth. For example, a new development on the outskirts of a city requires police and fire services. Because this development is more distant, more officers may need to be working at a time to cover the additional area. The further a home is from a fire station, the higher its property insurance rates to address a low fire rating.^{xix}

One study found that a fire station in a low-density neighborhood serves one-quarter of households at four times the cost of an otherwise identical fire station in a more compact neighborhood.^{xx}

Similarly, the costs of municipal services also rise as sprawl increases. Denser communities pay less to provide infrastructure and services including water, roads, solid waste, libraries, parks and recreation, governance, and more.^{xxi} A city's annual average household cost for public services is \$1,416 in high-density areas, and up to a whopping \$3,462 in sprawling areas.

Sprawl uses more water

As lot sizes increase, water consumption increases largely due to the increased irrigation needs. In San Francisco, the average resident uses just 45.7 gallons of water per day, the lowest in all of California. Smart growth development tends to have less water-consuming landscaping. A 2015 report from Energy Innovation and Calthorpe Associates found annual per-capita water use almost doubled from 25,000 gallons in "urban" development to 44,000 gallons in "standard" development.^{xxii}

An analysis comparing current Bay Area development trends to a more smart growth scenario for future development found that the smart growth scenario would reduce water consumption by 9%.

Denser development also helps reduce water lost to leaky pipes. A 2014 report from the American Water Works Association found that California leaks about 228 billion gallons of water per year from municipal water infrastructure—the pipes that move water to where we live and work. This represents 25% of the total water in the system, which is about the annual water demand for the entire City of Los Angeles. Building within our existing UGBs instead of expanding into open spaces or agricultural lands creates less opportunities for leaks simply because fewer miles of pipes will be necessary to serve development.

UGBs promote economic prosperity

Compact and contiguous development increases the ease of access to local businesses. Smart growth can lead to increased productivity and business activity, where people live within walking distance of more businesses, parks, and services. By reducing transportation costs, residents are more likely to purchase locally produced goods, which increases regional employment and productivity.^{xxiii}

UGBs protect our natural values

The open space and agricultural lands next to our cities provide a vast range of ecosystem services. Water filtration, water storage and runoff, clean air, pollination, carbon capture, recreation, and natural beauty are just some of the services that our open space provides.

Without our natural and agricultural lands, we would have to cover the costs for providing these services. For example, if the City of New York did not protect its watershed and drinking water supplies, it would have to pay \$6 billion to \$10 billion in water filtration plant capital costs and more than \$300 million per year in operations.^{xxiv} There is also great economic value of open space and parks within cities. It is estimated that the parks within San Francisco alone provide \$959 million in value (direct use, health, property values, tourism, cleaning and storing water, etc.) per year.^{xxv}

Protecting our natural and agricultural lands from sprawl development also protects our water supply. In the Bay Area, about 30% of our water comes from local rivers, streams, and groundwater aquifers. More than a quarter of all the land in our region—1.2 million acres—serve as watersheds and groundwater infiltration zones that replenish these local water sources. Paving over critical water resource lands puts these local sources in jeopardy.

There's plenty of land available inside UGBs

Plan Bay Area, our regional blueprint for land-use and transportation planning, clearly shows we have enough space within our existing urban footprint to accommodate 100% of the region's future growth through 2040. This means **all** growth will be infill development or within established UGBs.

The methodology behind this analysis in Plan Bay Area was designed to meet the existing and projected housing needs of people at all income levels throughout the region. Our regional planning agencies, the Metropolitan Transportation Commission and the Association of Bay Area Governments, developed this methodology to achieve multiple goals, including increasing the supply, diversity, and affordability of housing; promoting infill development; promoting an improved intraregional relationship between jobs and housing; protecting environmental resources; and promoting socio-economic equity.

This analysis shows that there are many available opportunities for more housing within our existing urban footprint and inside our UGBs. We should focus efforts on building the region's next generation of new homes and new jobs within this footprint.

People want to live in multi-unit housing close to transit

Recent trends show people are increasingly attracted to living in dense urban areas, and urban populations are growing faster than suburban and rural areas. A recent analysis of U.S. census data shows that urban populations are growing faster than suburban or rural populations and employment centers in the country's major metropolitan areas have faster job growth.^{xxvi}

In particular, those aged 25-34 with a bachelor's degree or higher level of education are migrating to the large metropolitan areas, stimulating economic growth. "In 2000, young adults with a four-year degree were about 77 percent more likely to live in close in urban neighborhoods than other metro residents. Now, these well-educated young adults are about 126 percent more likely to live in these close-in urban neighborhoods."^{xxvii}

Younger adults prefer similar locations with urban amenities, and they prioritize short commutes. Currently, 34% of Millennials in the Bay Area live in apartments, compared to 21% of Gen Xers and 11% of Baby Boomers. The same number of millennials intends to remain in apartments in the future.^{xxviii}

The Urban Land Institute found that the construction of multi-family housing in urban locations in the Bay Area increased from 35% of total housing construction in the 1990s to nearly 50% in the 2000s; in 2010, it represented 65% of all housing construction. It projects that demand for multi-family housing will increase as seniors downsize and seek greater access to shops and services. Indeed, the current single-family housing stock provides a large supply relative to future demand, and an oversupply is projected by 2040.

Greenbelt Alliance's Grow Smart Bay Area report found that if the Bay Area redevelops opportunity sites with homes and businesses in ways that are consistent with community visions, and if city plans succeed, our cities and towns have plenty of room to accommodate all our new residents and workers.

Done right, infill development will improve the quality of life in our neighborhoods, with safer streets, more homes people can afford, and more services close by. Focusing growth within our existing cities and towns will also protect the iconic landscapes that provide us with local food, clean water, and places to enjoy the outdoors.

- ⁱ Victoria Transport Policy Institute and LSE Cities. *Analysis of Public Policies That Unintentionally Encourage and Subsidize Urban Sprawl*. March 2015.
- ⁱⁱ The Brookings Institute. *The Link Between Growth Management and Housing Affordability: The Academic Evidence*. 2012.
- ⁱⁱⁱ Sustainable Prosperity. *The Cost of Sprawl*. 2014
- ^{iv} Dr. Sudip Chattopadhyay. *Do Smart Growth Strategies Have a Role in Curbing Vehicle Miles Traveled in California? A Further Assessment Using Household Level Survey Data*. The B.E. Journal of Economic Analysis & Policy, 2012.
- ^v David Thompson. *Suburban Sprawl: Exposing Hidden Costs, Identifying Innovations*. University of Ottawa, 2013.
- ^{vi} Gilles Duranton and Matthew A. Turner. *The Fundamental Law of Road Congestion: Evidence from US Cities*. 2011.
- ^{vii} Data analysis conducted by INRIX, a traffic data analysis corporation.
- ^{viii} TomTom. *TomTom Traffic Index: Measuring Congestion Worldwide*.
- ^{ix} David Thompson. *Suburban Sprawl: Exposing Hidden Costs, Identifying Innovations*. University of Ottawa, 2013.
- ^x David B. Resnik. *Urban Sprawl, Smart Growth, and Deliberative Democracy*. American Journal of Public Health, Oct 2010.
- ^{xi} Howard Frumkin, Lawrence Frank, and Richard Jackson. *Urban Sprawl and Public Health*. 2004.
- ^{xii} David B. Resnik. *Urban Sprawl, Smart Growth, and Deliberative Democracy*. American Journal of Public Health, Oct 2010.
- ^{xiii} Sustainable Prosperity. *The Cost of Sprawl*. 2014.
- ^{xiv} A. Motluk. *Neighbourhood Health*. University of Toronto Magazine, Winter 2013. See also, for example, V. Russell-Evans. *Expanding cities and expanding waists: Urban sprawl and its impact on obesity, how the adoption of smart growth statutes can build healthier and more active communities*. 2009.
- ^{xv} Howard Frumkin, Lawrence Frank, and Richard Jackson. *Urban Sprawl and Public Health: Designing, Planning, and Building for Healthy Communities*. 2005.
- ^{xvi} R. Ewing, R. Schieber, and C. Zegeer. *Urban Sprawl as a Risk Factor in Motor Vehicle Occupant and Pedestrian Fatalities*. American Journal of Public Health, Sept 2003
- ^{xvii} Erica Sandow, Umea University. *On the road: Social aspects of commuting long distances to work*. 2011.
- ^{xviii} Alois Stutzer and Bruno Frey. *Stress that doesn't pay: the Commuting Paradox*. 2004.
- ^{xix} Steve Mouzon. *Costs of Sprawl- Part 1*. Original Green, Mar. 2011.
- ^{xx} Todd Litman. *Understanding Smart Growth Savings: Evaluating Economic Savings and Benefits of Compact Development, and How They Are Misrepresented By Critics*. Victoria Transport Policy Institute, 2015.
- ^{xxi} Sustainable Prosperity. *The Cost of Sprawl*. 2014.
- ^{xxii} Energy Innovation and Calthorpe Associates. *Moving California Forward – How Smart Growth can Help California Reach its 2030 Climate Target While Creating Economic and Environmental Co-Benefits*. 2015. “Urban” development is defined as moderate to high density urban centers, consisting largely of multifamily and attached single-family homes, with some smaller lot single-family homes. “Standard” development is defined in part as largely consisting of separate-use, auto-oriented development.
- ^{xxiii} Todd Litman. *Understanding Smart Growth Savings: Evaluating Economic Savings and Benefits of Compact Development, and How They Are Misrepresented By Critics*. Victoria Transport Policy Institute, 2015.
- ^{xxiv} See New York State Department of Environmental Conservation’s New York City Watershed Program
- ^{xxv} The Trust for Public Land. *The Economic Benefits of San Francisco’s Park and Recreation System*. 2014.
- ^{xxvi} Joe Cortright. *City Report: Surging City Center Job Growth*. 2015.
- ^{xxvii} Joe Cortright. *City Report: The Young and the Restless and the Nation’s Cities*. 2014.
- ^{xxviii} Urban Land Institute. *Bay Area in 2015*. 2015.

Attachment 12

Urban Limit Line (ULL) and the Potential 2016 CCTA Sales Tax Measure

Preliminary Alternatives

- I. Make no changes related to the ULL in the Transportation Expenditure Plan (TEP).
- II. Eliminate the 30-acre exception provision. Under such a scenario, cities/County would not be prevented from approving changes to their ULL at the Council/Board level (consistent with their ordinance code), but if they made such a change they would forego return to source funding from the 2016 tax measure unless the change was approved by the voters.
- III. Adjust one or more provisions in the 2016 TEP related to the allowable circumstances for Board/Council approval of changes to their ULL without foregoing return to source funding from the new measure and without putting the change before the voters. Below are some alternatives, grouped into categories based on the type of approach:

CONSISTENCY

- a) Ensure that the Authority clarifications apply to all jurisdictions for return to source purposes (see 2007 letter from Robert McCleary to Dennis Barry and Brentwood's and Oakley's inclusion of these provisions into their ULL resolutions).
- b) Ensure consistency among jurisdictions on the requirements for approving a minor ULL change and receiving return to source funding (e.g. require all jurisdictions to adopt one or more of seven findings included in Measure L and to approve such changes by a supermajority vote)

CLARIFICATION

- c) Clarify the intent of one or more of the findings and the Authority clarifications. For instance, the TEP could clarify the types of topographic features that could be the basis for making a finding on the basis of topography. Or the TEP could clarify that infill development opportunities are fully considered in a study concluding that a ULL change is needed to provide housing.

FREQUENCY AND MAGNITUDE

- d) Limit the number of modifications to the Urban Limit Line a Board/Council may approve every year or in a five-year period.
- e) Limit the cumulative acreage that a Board/Council may adjust their ULL without voter approval before the next modification is made.
- f) Reduce the size of the exemption from 30 acres down to some smaller number.

MITIGATION

- g) Set mitigation standards/requirements for any change (e.g., permanent protection of a substantial amount of land of the same type being affected to offset the amount added to the ULL)
- h) Add provisions that help ensure that minor changes facilitate establishment of a permanent edge of urban development

PHASE-IN ELIMINATION OF 30-ACRE EXEMPTION

- i) Phase in the elimination of the 30-acre exemption or other change. Measure L expires in 2026. Perhaps use that as the date.

LIMIT THE EXEMPTION TO CERTAIN LAND USES

- j) Limit the types of projects eligible for a 30-acre exception (e.g., allow for "clean-up" or other designated types of development but not for others).

Attachment 13, Comparison of Requirements for ULL Changes (less than 30-acre, without voter approval)

<i>Jurisdiction</i>	<i>Measure L Findings Required¹</i>	<i>Includes Authority Clarifications²</i>	<i>Supermajority Required</i>	<i>Notes</i>
County	✘	✘	✘	Staff acknowledged Authority clarifications but the Board of Supervisors may not have ratified them
Jurisdictions including all Measure L findings				
Lafayette	✘			Explicitly lists Measure L conditions for ULL changes
Jurisdictions with some Measure L findings and “Authority Clarifications” on “Non-Consecutive”				
Brentwood	Partial	✘ ³		Explicitly allows adjustments to reflect topography or legal boundaries, one of the Measure L conditions
Oakley	Partial	✘ ³		Explicitly allows adjustments to reflect topography or legal boundaries, one of the Measure L conditions
Jurisdictions incorporating most Measure L conditions for ULL adjustments				
Concord Orinda Richmond	Partial			Resolution identifies five conditions similar to those in Measure L under which the ULL could be modified
Jurisdictions allowing ULL adjustments only for takings or conformance with law				
Clayton Moraga Pinole San Pablo				Changes to ULL limited to address issues of unconstitutional takings, or to conform to state and federal law
Jurisdictions with no identified conditions or procedures for adjusting ULL				
Danville				It is unclear whether resolution allows ULL modifications; it identifies no conditions under which, or procedures through which, the ULL could be modified

¹ See Attachment 14 list of findings from county Measure L.

² See Attachment 16, including letter from Bob McCleary to Dennis Barry dated September 20, 2007.

³ See Attachment 17, Oakley ULL resolution, including Exhibit 1 stating their interpretation of Authority clarifications

<i>Jurisdiction</i>	<i>Measure L Findings Required¹</i>	<i>Includes Authority Clarifications²</i>	<i>Supermajority Required</i>	<i>Notes</i>
Jurisdictions that may adopt future conditions for allowing ULL adjustments				
El Cerrito Hercules Martinez Pleasant Hill Walnut Creek				Resolution identifies "other conditions...may be subsequently adopted" under which the ULL could be modified
Jurisdictions with Local, Voter-Approved ULL				
Antioch	n/a	n/a	n/a	No changes allowed through December 31, 2020 except with voter approval; after December 31, 2020, it "may be amended or repealed by any procedure authorized by state and local law."
Pittsburg	n/a	n/a	n/a	No changes allowed except with voter approval
San Ramon	Separate conditions		✘	Measure G (1999) allows up to 25 acre additions to the San Ramon UGB under specified conditions and with a supermajority vote of Council

Attachment 14--Excerpts from the County Code Related to the Urban Limit Line

82-1.006 - 65/35 land preservation standard.

Urban development in the county shall be limited to no more than thirty-five percent of the land in the county. At least sixty-five percent of all land in the county shall be preserved for agriculture, open space, wetlands, parks and other nonurban uses.

82-1.008 - Changes to the 65/35 land preservation plan.

No change shall be made in the new general plan after its adoption that would result in greater than thirty-five percent of the land in the county being permitted for urban development. This limitation shall not prevent any increase in agriculture, open space, parks, wetlands or other nonurban uses to greater than sixty-five percent of the land in the county.

82-1.010 - Urban limit line.

To ensure the enforcement of the 65/35 standard set forth in Section 82-1.006, an urban limit line shall be established, in approximately the location depicted on the "Contra Costa County Urban Limit Line Map" adopted by the voters on November 7, 2006. The urban limit line is incorporated into the county's open space conservation plan. The urban limit line limits potential urban development in the county to thirty-five percent of the land in the county and prohibits the county from designating any land located outside the urban limit line for an urban land use. The criteria and factors for determining whether land should be considered for location outside the urban limit line should include (a) land which qualifies for rating as Class I and Class II in the Soil Conservation Service Land Use Capability Classification, (b) open space, parks and other recreation areas, (c) lands with slopes in excess of twenty-six percent, (d) wetlands, and (e) other areas not appropriate for urban growth because of physical unsuitability for development, unstable geological conditions, inadequate water availability, the lack of appropriate infrastructure, distance from existing development, likelihood of substantial environmental damage or substantial injury to fish or wildlife or their habitat, and other similar factors.

82-1.018 - Changes to the urban limit line.

- (a) There shall be no change to the urban limit line that violates the 65/35 standard set forth in Section 82-1.006. Except as otherwise provided in this section, as long as there is no violation of the 65/35 standard, the urban limit line can be changed by a four-fifths vote of the board of supervisors after holding a public hearing and making one or more of the following findings based on substantial evidence in the record:
- (1) A natural or man-made disaster or public emergency has occurred which warrants the provision of housing and/or other community needs within land located outside the urban limit line;
 - (2) An objective study has determined that the urban limit line is preventing the county from providing its fair share of affordable housing, or regional housing, as required by state law, and the board of supervisors finds that a change to the urban limit line is necessary and the only feasible means to enable the county to meet these requirements of state law;
 - (3) A majority of the cities that are party to a preservation agreement and the county have approved a change to the urban limit line affecting all or any portion of the land covered by the preservation agreement;

- (4) A minor change to the urban limit line will more accurately reflect topographical characteristics or legal boundaries;
 - (5) A five-year cyclical review of the urban limit line has determined, based on the criteria and factors for establishing the urban limit line set forth in Section 82-1.010 above, that new information is available (from city or county growth management studies or otherwise) or circumstances have changed, warranting a change to the urban limit line;
 - (6) An objective study has determined that a change to the urban limit line is necessary or desirable to further the economic viability of the East Contra Costa County Airport, and either (i) mitigate adverse aviation-related environmental or community impacts attributable to Buchanan Field, or (ii) further the county's aviation related needs; or
 - (7) A change is required to conform to applicable California or federal law.
- (b) Except as otherwise provided in this subsection, any proposed general plan amendment that would expand the urban limit line by more than thirty acres will require voter approval of the proposed general plan amendment in addition to and following a four-fifths vote of the board of supervisors approving the general plan amendment and making one or more of the findings required by subsection (a) of this section. Notwithstanding the foregoing, a proposed general plan amendment to expand the urban limit line by more than thirty acres does not require voter approval if, after a public hearing, the board of supervisors by a four-fifths vote makes either of the following findings based on substantial evidence in the record: (i) the expansion of the urban limit line is necessary to avoid an unconstitutional taking of private property; or (ii) the expansion of the urban limit line is necessary to comply with state or federal law. Proposed expansions of thirty acres or less do not require voter approval.
 - (c) The board of supervisors may conduct a cyclical review of the urban limit line every five years.
 - (d) The board of supervisors will review the boundary of the urban limit line in the year 2016. The purpose of the year 2016 review is to determine whether a change to the boundary of the county's urban limit line map is warranted, based on facts and circumstances resulting from the county's participation with the cities in a comprehensive review of the availability of land in Contra Costa County sufficient to meet housing and job needs for twenty years. This review of the urban limit line is in addition to any other reviews of the urban limit line the board of supervisors may conduct.
 - (e) Any change to the urban limit line proposed as a result of any review authorized by this section will not be effective unless it is approved pursuant to the procedures set forth in this section.

ATTACHMENT A

PRINCIPLES OF AGREEMENT FOR ESTABLISHING THE URBAN LIMIT LINE

An applicable ULL shall be defined as an urban limit line, urban growth boundary, or other equivalent physical boundary judged by the Authority to clearly identify the physical limits of the local jurisdiction's area, including future urban development.

Initial Action

1. The Board of Supervisors shall have, with the concurrence of each affected city, adjusted the existing County ULL on or before September 30, 2004, or as expeditiously as possible given the requirements of CEQA, to make the existing County ULL coterminous with city boundaries where it previously intruded inside those incorporated boundaries.

Establishing a Mutually Agreed-Upon Countywide Urban Limit Line ("MAC-ULL")

2. The process to develop a MAC ULL shall have begun by July 1, 2004 with meetings in each sub region between one elected representative of each city and the county. The subregional meeting(s) will be followed by meetings between all of the cities and the county, each being represented by one elected representative. The discussion will include both the suggested ULL as well as criteria for establishing the line and future modifications to the ULL.
3. On or before December 31, 2004, the County and the cities will cooperate in the development of a new MAC-ULL and criteria for future modifications. To be considered a final proposal, the plan must be approved by 4 members of the Board of

Supervisors and $\frac{3}{4}$ of the cities representing $\frac{3}{4}$ of the incorporated population.

4. The County will be the lead agency in connection with any required environmental review and clearance on the proposed MAC-ULL.
5. After completion of the environmental review process, the proposal shall be submitted to the voters for ratification by November 2006.
6. The MAC-ULL will include provisions for periodic review (5 years) as well as provisions for minor (less than 30 acres) nonconsecutive adjustments.
7. If there is a MAC-ULL, and a Town or City disagrees with that MAC-ULL, it may develop and submit a "LV- ULL" (see 8.b, below), or rely upon an existing voter approved ULL.

Alternatives If There Is No Voter Approved MAC-ULL or If a Local Jurisdiction Chooses Not to Concur with a Voter-Approved MAC-ULL

8. If no MAC-ULL is established by March 31, 2009, only local jurisdictions with one of the following applicable voter approved ULLs will be eligible to receive the 18% return to source funds or the 5% TLC funds.
 - a. County ULL. A ULL placed on the ballot by the Contra Costa County Board of Supervisors, adopted at a countywide election and in effect through the applicable GMP compliance period, as its boundaries apply to the local jurisdiction, if: :

- (i) That ULL was approved by a majority of the local jurisdiction's voters, either through a separate ballot measure or as part of the countywide election at which the measure was approved;
 - (ii) The legislative body of the City or Town has accepted and approved, for purposes of compliance with the Measure J GMP, the County ULL boundaries for urban development as its applicable, voter approved ULL;
 - (iii) Revisions to a City or Town's adopted County ULL boundary requires fulfillment of provisions (8.a.i) and (8.a.ii) above in their entirety; and
 - (iv) A City or Town may adopt conditions for revising its adopted County ULL boundary by action of the City or Town's legislative body, provided that the conditions limit the revisions of the physical boundary to adjustments of 30 or fewer acres, and/or to address issues of un-constitutional takings, or conformance to state and federal law. Such conditions may be adopted at the time of adoption of the County ULL, or subsequently through amendment to the City or Town's Growth Management Element to its General Plan.
- b. *Local Voter ULL (LV-ULL)*. A local ULL or equivalent measure placed on the local jurisdiction ballot, approved by the jurisdiction's voters, and recognized by action of the local jurisdiction's legislative body as its applicable, voter approved ULL. A jurisdiction may revise or establish a new LV-ULL at any time using the procedure defined in this paragraph.
- c. *Adjustments of 30 Acres or Less*. A local jurisdiction can undertake adjustments of 30 acres or less to its adopted ULL, consistent with these Principles, without voter approval. However, any adjustment greater than 30 acres requires voter approval and completion of the full County ULL or LV-ULL procedure as outlined above.

Conditions of Compliance

9. Submittal of an annexation request by a local jurisdiction to LAFCO outside of an applicable voter approved ULL will constitute non-compliance with the new Measure J Growth Management Plan.
10. For each jurisdiction, an applicable ULL shall be in place through each Measure J Growth Management Program compliance period in order for the local jurisdiction to be eligible to receive the 18% return to source and the TLC funds for that period.

Community
Development
Department

Attachment 16

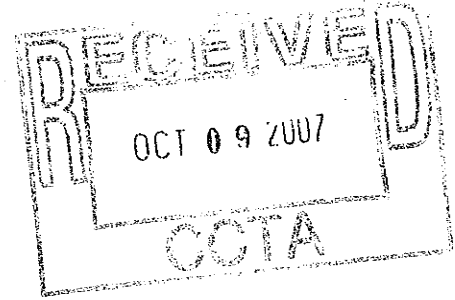
Contra
Costa
County



Oct. 17, 07 CCTA
Dennis M. Barry, AICP
Community Development Director

County Administration Building
651 Pine Street
Fourth Floor, North Wing
Martinez, California 94553-1229

Phone:



October 1, 2007

Mr. Robert McCleary
Executive Director
Contra Costa Transportation Authority
3478 Buskirk Avenue, Suite 100
Pleasant Hill, CA 94523

*Subject: September 20, 2007 letter regarding Interpretation of the ULL Principles
of Agreement for the Measure J GMP*

Bob
Dear Mr. McCleary:

Thank you for your assistance and prompt response to my recent inquiry that sought clarification as to the intent of the Measure J Growth Management Program with regard to the Local Voter Urban Limit Line (ULL) provisions under CCTA Ordinance 06-04.

Your September 20, 2007 letter provides the clarity needed to advise the Board of Supervisors of the Measure J GMP compliance implications when considering a future request for a General Plan Amendment study that would involve a shift of 30 acres or less of land area inside the County's voter-approved Urban Limit Line.

You also noted in your letter that the CCTA may consider future amendments to the Ordinance 06-04, so as to avoid confusion and clarify the intent and effect of the language under the original ULL Principles of Agreement for Measure J. We would, of course, gladly provide necessary assistance and support to the CCTA in reviewing these proposed amendments.

Sincerely,

Dennis M. Barry
Dennis M. Barry, AICP
Community Development Director

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CONTRA COSTA
TRANSPORTATION AUTHORITY

COPY

COMMISSIONERS:

Charlie Abrams,
Chair

Dave Hudson,
Vice Chair

Janet Abelson

Susan Bonilla

Donald P. Freitas

Federal Glover

Brad Nix

Julie Pierce

Karen Stepper

Don Tatzin

Maria Viramontes

September 20, 2007

Dennis Barry
Community Development Director
Contra Costa County
651 Pine Street
Fourth Floor, North Wing
Martinez, CA 94553-1229

RE: Your letter dated August 29, 2007, regarding Interpretation of the ULL "Principles of Agreement" for the Measure J GMP

Dennis
Dear Mr. Barry:

This letter is in response to your above-referenced letter regarding the Measure J ULL Principles. The Authority's Planning Committee discussed your letter on September 5, 2007, and the full Authority reviewed and approved this response on September 19, 2007. Your letter requested the Authority's assistance in clarifying the intent of the Measure J GMP with regard to the Local Voter (LV) ULL provisions found in Ordinance 06-04, which revised and clarified the GMP ULL requirements under Measure J.

Your first question on paragraph 8.c. of the ULL "Principles," asks:

1. May a local jurisdiction consider boundary adjustments of less than 30 acres to the LV-ULL without limitation? Or, was the phrase "minor (less than 30 acres) nonconsecutive adjustment" inadvertently omitted in the drafting of CCTA Ordinance 06-04?

To address the latter part first, the phrase "minor (less than 30 acres) nonconsecutive adjustments," which appears in Principle 6 under the MAC-ULL provisions was inadvertently omitted in paragraph 8.c. of Ordinance 06-04.

Turning to the first part of your question, we understand that the intent of the drafters with respect to Principles 6 and 8 was the same, that is to prevent the use of multiple boundary adjustments of 30 acres or less in order to avoid the more-than-30 acre limitation; however, as you point out, paragraph 8.c does not address whether a jurisdiction may consider boundary adjustments of 30 acres or less to the LV-ULL without limitation. Although the intent of the drafters was not stated expressly in Principle 8, we understand that, like Principle 6, the provision was intended to allow adjustments of 30 acres or less under prescribed conditions.

In your second question, you ask:

2. If the phrase "minor (less 30 acres) nonconsecutive adjustment" was inadvertently omitted under 8.c., are we correct in recalling that consecutive ULL boundary adjustments were meant to mean that such adjustments would have to be proximate to each other and exceed 30 acres in

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combination? A related question is whether a local jurisdiction may consider more than one boundary adjustment to the LV-ULL, each of less than 30 acres and not proximate to each other but in combination would exceed 30 acres?

The first part of the above question asks for the definition of "consecutive" ULL boundary adjustments. We agree that the term "nonconsecutive" is ambiguous. One could interpret "nonconsecutive" to mean that any jurisdiction making more than one adjustment to its voter-approved ULL is out of compliance with the GMP. The intent of the Measure was to allow adjustments of 30 acres or less within a limited set of conditions, provided those adjustments were non-contiguous (and not proximate to each other, as you suggest).

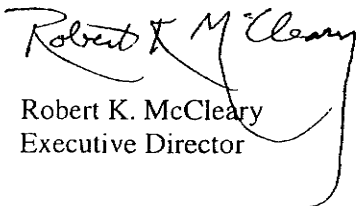
Our understanding of the use of the term "nonconsecutive" in the present instance was that it was intended to mean that adjustments should not be proximate to one another, and that in combination, these adjustments shall not result in amassing a contiguous parcel (or parcels) in excess of 30 acres. Furthermore, when considering these adjustments, the local jurisdiction should avoid the creation of pockets of land outside the ULL, specifically to avoid the possibility of wanting to fill in those pockets later on through separate adjustments.

To answer the second part of your question, we conclude that the intent of the drafters under Ordinance 06-04, was to allow consideration of more than one LV-ULL boundary adjustment, each of 30 acres or less, provided they are relatively isolated and well separated from each other. Again, the creation of pockets of land outside the ULL is to be avoided.

As noted above we believe that use of the term "nonconsecutive," coupled with its inadvertent omission from Principle 8 were not intended to change the effect of the language in the original Principles, that is, that contiguous annexations totaling more than 30 acres would require further voter approval. Because the 2006 revisions created some confusion regarding the intent of the changes, we are considering further amendments to clarify the intent and effect of the language, and we would welcome your participation in the review of any proposed amendments.

We hope that this letter adequately responds to your questions. Please feel free to contact me should you wish to discuss this matter further.

Sincerely,



Robert K. McCleary
Executive Director

cc: Supv. Susan Bonilla
Supv. John Gioia
Supv. Federal Glover
Supv. Mary Piepho
Supv. Gayle Uilkema
Authority Board

Community Development Department

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Phone:

Contra Costa County



Dennis M. Barry, AICP
Community Development Director

August 29, 2007

Mr. Robert McCleary, Executive Director
Contra Costa Transportation Authority
3478 Buskirk Avenue
Pleasant Hill, CA 94523

Subject: *Interpretation of Measure J, Growth Management Program, Attachment
"A", Principles of Agreement for Establishing the Urban Limit Line*

Bdb
Dear Mr. McCleary:

Since the passage of Measure J: Contra Costa's Transportation Sales Tax Expenditure Plan and Measure L: 2006 Voter-Approved Urban Limit Line, a question has arisen that relates to the interpretation of Attachment "A" to Measure J, the Principles of Agreement for Establishing the Urban Limit Line. At issue are questions relating to the Contra Costa Transportation Authority (CCTA) and voter intent in regard to minor (30 acres or less) nonconsecutive adjustments to the Urban Limit Line.

Specifically, as amended under Ordinance 06-04, 11/15/06, the Principles of Agreement at number 6 in reference to boundary adjustment to the Mutually Agreed Upon Countywide Urban Limit Line (MAC-ULL) in part reads "... will include provisions for periodic review (5 years) as well as provisions for minor (less than 30 acres) nonconsecutive adjustments". However, under the same amended Principles of Agreement in reference to boundary adjustments for the Local Voter Urban Limit Line (LV-ULL) under 8.c it states that "... a local jurisdiction can undertake adjustments of 30 acres or less to its adopted ULL, consistent with these Principles, without voter approval. However, any adjustment greater than 30 acres require voter approval and completion of the full County ULL or LV-ULL procedure as outlined above." A strict reading of 8.c. would mean that boundary adjustments of less than 30 acres may be considered by the local jurisdiction without limitation since the parallel language referring to "nonconsecutive" adjustments was apparently dropped under CCTA Ordinance 06-04. County staff's recollection is that when the Principles of Agreement were adopted by the CCTA for the Measure J ballot measure it was intended that a local jurisdiction could not consider ULL boundary adjustments that were proximate to each other and exceeded 30 acres in combination.

Recently, the Board of Supervisors considered a request from a landowner to authorize a General Plan Amendment study that included a proposal to shift 29.5 acres of land area inside the County's Urban Limit Line and to re-designate this land area from Agricultural Lands (AL), a non-urban use, to Single Family Residential-Low Density, an urban use. The Board ultimately declined to authorize the General Plan Amendment study. During the course of deliberation on this matter, the Board was advised by staff that there was a previous Board-authorized General Plan Amendment study for boundary adjustment to the County's Urban Limit Line occurring in another part of the County that involved a change of approximately 25 acres. This ongoing General Plan Amendment study includes a proposal for a simple ULL boundary adjustment involving an exchange between equally sized acreage inside and outside the ULL, and there would be no net increase of land area to be placed inside the ULL. When apprised of this ongoing General Plan Amendment study, several Board members were concerned that should another General Plan Amendment study be authorized for a boundary adjustment to place an additional 29.5 acres of land area inside the ULL (one not involving an exchange), this action could be found by CCTA to constitute grounds for a finding of non-compliance with the Measure J Growth Management Program.

Your assistance is requested in clarifying the intent of the Measure J Growth Management Program in reference to the LV-ULL under the Principles of Agreement. The following questions are specifically related to 8.c. under the Principles of Agreement, as amended under CCTA Ordinance 06-44:

1. May a local jurisdiction consider boundary adjustments of less than 30 acres to the LV-ULL without limitation? Or, was the phrase "minor (less than 30 acres) nonconsecutive adjustment" inadvertently omitted in the drafting of CCTA Ordinance 06-04?
2. If the phrase "minor (less than 30 acres) nonconsecutive adjustment" was inadvertently omitted under 8.c, are we correct in recalling that consecutive ULL boundary adjustments were meant to mean that such adjustments would have to be proximate to each other and exceed 30 acres in combination? A related question is whether a local jurisdiction may consider more than one boundary adjustment to the LV-ULL, each of less than 30 acres and not proximate to each other but in combination would exceed 30 acres?

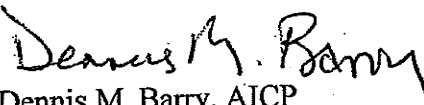
CCTA's interpretation or guidance on these questions would be helpful in advising the Board of Supervisors on Measure J implications should they want to consider requests in the future for General Plan Amendment studies that involve adjustments of less than 30 acres to the County's ULL.

Ltr. to Robert McCleary, CCTA
8/29/2007
Page Three

Thank you for your assistance in this matter. I look forward to CCTA's input on the interpretation of the Measure J Growth Management Program requirement related to the LV-ULL.

Should you or members of your staff have questions regarding this request, please feel free to contact me.

Sincerely yours,


Dennis M. Barry, AICP
Community Development Director

CC: chron file

ATTACHMENT 17

CITY OF OAKLEY CITY COUNCIL

RESOLUTION NO. 92-08

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF OAKLEY ADOPTING THE CONTRA COSTA COUNTY MEASURE L URBAN LIMIT LINE (ULL) AS THE CITY'S ADOPTED ULL, FOR THE PURPOSES OF COMPLIANCE WITH MEASURE J TO ESTABLISH A VOTER-APPROVED ULL

FINDINGS

WHEREAS, the Measure J (2004) Transportation Expenditure Plan includes a Growth Management Program (GMP) which contains an urban limit line component mandating that local jurisdictions must adopt and continuously comply with a voter approved urban limit line no later than April 1, 2009 in order to receive their shares of Measure J Local Street Maintenance and Improvement Funds and to be eligible to receive Measure J Transportation for Livable Community funds; and

WHEREAS, Measure J also includes Principles of Agreement for Establishing the Urban Limit Line (ULL Principles) as Attachment A to the GMP, incorporated therein by reference; and

WHEREAS, the ULL Principles, as amended by the Authority on November 15, 2006, state that a local jurisdiction may adopt a "County ULL," which is defined as the ULL adopted by the Contra Costa County Board of Supervisors and passed by the voters at a countywide election (after November, 2004); and

WHEREAS, Measure L (2006), the Contra Costa County Board of Supervisor ULL, was passed by a majority of voters in Contra Costa at the November 7, 2006 election; and

WHEREAS, the Measure L ULL was also approved by a majority of the voters in the City at the November 7, 2006 election, as certified by the County Clerk; and

WHEREAS, the City wishes to adopt the Measure L ULL (referred to hereinafter as the County ULL) as its ULL specifically as it applies to the City boundaries for the purpose of compliance with the Measure J GMP; and

WHEREAS, on July 25, 2006, the Contra Costa County Board of Supervisors, as the lead agency for the project under the California Environmental Quality Act ("CEQA"), adopted a Negative Declaration (State Clearinghouse No. 2006012134) on the "November 7, 2006 General Election, Urban Limit Line Ballot Measure Sponsored by Contra Costa County Board of Supervisors;" and

WHEREAS, the Negative Declaration determined that the adoption of the Measure L ULL would not have any significant impacts on the environment;

NOW THEREFORE, THE CITY COUNCIL OF THE CITY OF OAKLEY DOES RESOLVE AS FOLLOWS:

1. The City accepts, adopts, and approves, for the purposes of compliance with the Measure J GMP, the County ULL boundary for urban development as its applicable voter-approved ULL with regard to the boundaries of the City; and
2. Conditions for revising the physical boundary of the County ULL to allow the City to make adjustments of 30 or fewer acres, or to address issues of unconstitutional takings, or to conform to state and federal law, or other applicable regulations are set forth in Exhibit 1, which is attached hereto and made a part hereof; and
3. The City shall not make adjustments of greater than 30 acres to the physical boundary of the adopted County ULL unless those adjustments have been approved by the voters in accordance with the ULL Principles; and
4. The City has considered the environmental effects of the project as shown in the Negative Declaration prepared by the County and shall adopt a Notice of Determination in accordance with State CEQA Guidelines sections 15075 and 15096(i) within five working days after the approval of this resolution.

The foregoing resolution was introduced at a regular meeting of the Council of the City of Oakley held on the 9th day of September 2008, by Councilmember Romick, who moved its adoption, which motion being duly seconded by Councilmember Anderson, was upon voice vote carried and the resolution adopted by the following vote:

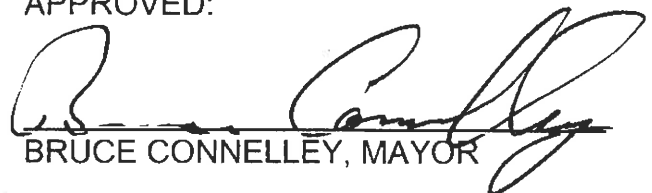
AYES: Anderson, Connelley, Nix, Rios, Romick

NOES: None

ABSTENTIONS: None

ABSENT: None

APPROVED:


BRUCE CONNELLEY, MAYOR

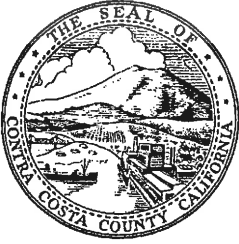
ATTEST:


NANCY ORTENBLAD, CITY CLERK

Exhibit 1
City Council Resolution No. 92-08

Conditions for revising the physical boundary of the urban limit line to allow adjustments of 30 or fewer acres, or to address issues of unconstitutional takings, or to conform to state and federal law:

1. To prevent the use of multiple boundary adjustments of 30 acres or less to avoid the more-than-30 acres limitation.
2. To allow adjustment of 30 acres or less within a limited set of conditions, provided those adjustments were non-contiguous (and not proximate to each other).
3. The term "nonconsecutive" is intended to mean that adjustments should not be proximate to each other, and that in combination, these adjustments shall not result in amassing a contiguous parcel (or parcels) in excess of 30 acres.
4. The local jurisdiction should avoid the creation of pockets of land outside the urban limit line, specifically to avoid the possibility of wanting to fill in those pockets later on through separate adjustments.
5. To allow consideration of more than one local voter approved urban limit line boundary adjustment, each of 30 acres or less, provided they are relatively isolated and well separated from each other.
6. Contiguous annexations totaling more than 30 acres would require further voter approval.
7. To allow a minor change in the urban limit line to accurately reflect topographic characteristics or legal boundaries (e.g. when a portion of a legal parcel is within the urban limit line).



**CONTRA COSTA COUNTY
COMMUNITY DEVELOPMENT DEPARTMENT
651 Pine Street, N. Wing - 4th Floor
Martinez, CA 94553
Telephone: 335-1276 Fax: 335-1299**

TO: Members, Board of Supervisors
FROM: *Dennis M. Barry*
Dennis M. Barry, AICP, Community Development Director
DATE: February 22, 2005
SUBJECT: **Information Requested Regarding the Development of the Urban Limit Line (ULL)**

At the Board of Supervisors (Board) meeting on February 15, 2005 regarding the Board's discussion of the development of a mutually agreeable urban limit line (ULL), the Board requested staff to provide them with a timeline depicting the development of the ULL by the County. The subject timeline is provided below.

It is of a necessity somewhat general, as staff did not have time to retrieve historical documents from storage, but we believe it accurately reflects the events surrounding the creation and modification of the ULL since 1985. In addition, the Board of Supervisors requested information regarding the acreages involved in the various adjustments to the ULL.

Information previously provided in memorandum form regarding the subject area is reproduced below. Staff also understood the Board to request a timeline moving backward in time from November 2006 indicating key milestones which must be met in order to place an ULL measure on the November 2006 ballot. That information is also provided below.

March 2005 – June 2005:

- Consideration by city councils and the Board of a mutually agreeable ULL for the purpose of defining a discreet, finite project description as required by CEQA and alternatives to be considered in an environmental analysis.

June 2005 to August 2005:

- Circulation of Notice of Preparation (NOP) of an environmental impact report (EIR), procurement of consulting contract with an EIR firm

- Procurement of funding from the Contra Costa Transportation Authority (Authority) for the engagement of the EIR consultant and staff costs for preparing the EIR.

November 8, 2005 to November 8, 2006:

- Draft EIR prepared
- Circulated for comment for 45 days (proposal request for extension of comment period --- 60 days maximum)
- Hearings before the Zoning Administrator on the adequacy of the Draft EIR
- Prepare Responses to Comments on the Draft EIR
- Publication of Final EIR and circulation to the Board of Supervisors for consideration prior to decision-making no later than mid-July 2005

August 2006 to November 2006:

- Measure approved by Board for placement on ballot
- Preparation of ballot for election

While there is some limited opportunity to accelerate certain tasks involved in the foregoing timeline, it should be noted that in order to proceed with the publication of an EIR, staff must have a project description upon which to base a NOP.

In the event that agreement is not reached by $\frac{3}{4}$ of the cities representing $\frac{3}{4}$ of the population and $\frac{4}{5}$ of the Board of Supervisors by early June 2005, it would be very difficult to complete the process required by August 2006 for the Board to consider placement of the item on the November ballot. For example, if the Authority promptly deposits funds to cover the estimated cost of the EIR and the consultant can be expeditiously arranged, the June to August timeline may be shortened somewhat.

Timeline of the Development of the Contra Costa County Urban Limit Line

1985

Board directs staff to prepare a new Draft General Plan for consideration, particularly including provisions for a Growth Management Program and an Urban Limit Line outside of which the County will not consider General Plan Amendments from open space and agricultural to urban designations in the Land Use Element.

The Board created a 67 member advisory body called the General Plan Congress to assist and advise staff in drafting the plan. A wide variety of interests were

represented in the Congress; each city, urban service agencies, environmental interests, realtors, landowners, developers, service groups and others were appointed. Three subcommittees were formed to study and bring forth to the larger group policy proposals for consideration. These included the Infrastructure, Agriculture and Open Space and Land Use Subcommittees.

1986-87

Staff initially prepared a 2,000 scale map (1 inch = 2,000 ft) indicating the current land use designations for all unincorporated areas based upon the 1963 land use map and all amendments and area general plans previously adopted by the Board. All city general plan land use maps were then examined and translated into a common set of designations and added to the map. (Many jurisdictions have different ranges of use types allowed in their plans. In order to conduct countywide travel forecasting, they needed to be expressed uniformly.) All cities were surveyed to determine if there were any errors or omissions, and information was gathered on approved and proposed projects within each jurisdiction.

With this information in hand, staff overlaid an acetate sheet upon which the initial draft of the ULL was drawn, closely following the urban land use designation and urban service provider's spheres of influence. In certain cases, the line also reflected topographic constraints and/or critical habitat for sensitive species. In general, the draft ULL was fairly restrictive, including most general open space designated land outside the line.

Copies of the draft map showing the ULL were distributed to the city staffs, requesting comment. Very few comments were made, and staff presented the draft map to the Land Use Subcommittee. The committee recommended that the Congress include the map in the draft plan, and the Congress initially did so, but reconsidered approximately a year later and decided to eliminate the ULL entirely from the draft.

1988-89

Due to substantial disagreements among various interests on the Congress, the group ultimately voted to pass the draft general plan on to the County Planning Commission without a recommendation.

Recognizing the conflict in the draft with the original direction of the Board, staff reported the action to the Board and sought direction on how to proceed in the

absence of a ULL in the draft. The Board referred the matter to the Internal Operations Committee (IOC) for recommendations.

Certain environmental organizations proceeded to circulate a petition for the 1990 ballot which contained provisions very different from the draft general plan under consideration, including freezing the land use designations in the unincorporated areas as of August 1987 and substantially increasing the minimum lots sizes in the Agricultural Lands designation.

Public meetings were held before the IOC to consider the ULL as drafted. Several changes were proposed by the IOC and a recommendation was forwarded to the full Board. The Board in public session considered the recommendations of the IOC and comments from other agencies and the public. Additional modifications were directed by the Board.

The IOC recommended and the Board concurred in the development of a competing measure to be placed on the ballot, reinstating the ULL in the draft plan and including a limitation that the County could take no action which would result in more than 35% of the land area of the county as defined from being designated for urban uses, and requiring that at least 65% of the area be designated for agricultural and other open space uses. Explicit provisions were included stipulating that land being located inside the ULL carried no implication that it would be considered for urban uses, in order to honor the 65/35 provisions of the plan and to avoid so unduly restricting land supply that it negatively affected land and ultimately, housing prices.

This became Measure C on the 1990 ballot (The Contra Costa County 65/35 Land Preservation Plan); the environmentalist circulated petition qualified and was also placed on the ballot as Measure F. Measure C contained provisions for the Board to consider changes to the ULL by a supermajority vote (4/5), based upon substantial evidence that certain findings could be made.

1990

Measure C was adopted by the voters countywide, while Measure F was not. As a result, the Board directed staff to retain additional consultant assistance and outside legal counsel and to incorporate the ULL and 65/35 provisions into the plan, to ensure it's internal consistency, and rework the existing draft EIR to address the draft plan as modified.

1991

The Board approved the recommendations of the County Planning Commission and adopted the General Plan. No litigation resulted from the adoption of the plan.

1993

Following adoption of the Plan, the county received approximately 57 requests to change the ULL, all of them to move the line outward. Of these, the Board ultimately approved two changes; one in the northeast quadrant of the Crow Canyon Road/Bollinger Canyon Road intersection and the other to include all of the Oakley Planning Area (then still unincorporated) inside the ULL. On some changes, the Board directed further study (including the Cowell Ranch proposal and the area surrounding the Byron Airport) and declined to authorize study on the balance of the requests)

1996

As a result of the settlement of the litigation of the Dougherty Valley General Plan Amendment and Specific Plan, the Board amended the ULL to place approximately 600 acres outside the ULL (Hidden Valley).

1999-2000

In response to growing concerns about traffic congestion, particularly in the southern and eastern areas of the county, the Board considered entering into Agricultural Preservation Agreements with certain cities. Recognizing that this means was insufficient to address what was in essence a countywide process, the Board directed a study of ULL modifications which would reduce the area inside the ULL. The Board directed staff to prepare a General Plan Amendment and associated EIR to consider moving approximately 15,000 acres outside the ULL. After considering the recommendations made in public hearings before the County Planning Commission, the Board approved the General Plan amendment pursuant to the provisions of Measure C-1990. In addition, during this period, LAFCO adopted its policy respecting the ULL.

2000-2002

Two cities and three private landowner interests brought actions in the Superior Court to invalidate the General Plan Amendment on the grounds that the Board failed to comply with CEQA, and did not comply with the requirements of State Planning Law in adopting the amendment (the cases were consolidated into one). The court found in favor of the Board of Supervisors. The private entities appealed

the case to the Appellate Court, which also found in favor of the Board in an unpublished opinion.

2003-2004

The Authority considers requesting the Board to place a measure on the ballot to extend the term of the ½ cent sales tax imposed by Measure C-1988. The review and proposals for the growth management component of the measure include a tie between the adoption by local jurisdictions of a ULL and the ability to garner a portion of the proceeds of the measure for local transportation purposes (Return to Source Funds). Two means of satisfying this requirement are included. Either a mutually agreed ULL can be placed before the voters with support of ¾ of the cities with ¾ of the city population, or a jurisdiction may place a measure before the voters to establish its own ULL. Measure J, as it was termed, garnered more than the required 2/3 vote for a special tax and was passed by the voters in the 2004 general election.

TABLE 1
Historic Land Area Inside/Outside ULL

	ACRES	% County	ACRES	% County	TOTAL
GIS Map Layer	INSIDE ULL	Land Area	OUTSIDE ULL	Land Area	ACRES
1991 ULL	216,544	45%	263,456	55%	480,000
2000 ULL	201,303	42%	278,697	58%	480,000
<i>acreage change</i>	<i>(15,241)</i>	<i>3%</i>			
2004 ULL	222,029	46%	259,386	54%	481,416
<i>acreage change</i>	<i>20,726</i>	<i>4%</i>			

If you have any questions regarding any of the material in this memorandum, please feel free to call me at (33)5-1276 or Patrick Roche at (33)5-1242.

DMB:gms
 ddocs\2 BOS – Dev of ULL

- c: County Administrator
- County Counsel
- Clerk of the Board
- Patrick Roche, CDD - Chief of Comprehensive Planning
- BGO File



To: Board of Supervisors
 From: William Walker, M.D., Health Services Director
 Date: March 8, 2016

Subject: Temporary Hire of County Retiree – Waiver of 180-day Sit-out Period

RECOMMENDATION(S):

1. CONSIDER waiving the 180-day “sit out period” for Dr. Domenic Cavallaro, Exempt Medical Staff Dentist in the Health Services Department;
2. FIND that the appointment of Dr. Cavallaro is necessary to fill a critically needed position;
3. APPROVE and AUTHORIZE the hiring of retiree Dr. Cavallaro as a temporary employee for the period April 1, 2016 to March 31, 2017, at a total of 960 hours as recommended by the Health Services Department Director.

FISCAL IMPACT:

Upon approval, this action has an annual cost of approximately \$75,827.14 and the cost will be a Federally Qualified Health Center (FQHC) revenue offset.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Arlene J. Lozada
(925)957-5269

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND:

Dr. Domenic Cavallaro was hired as an Exempt Medical Staff Dentist on October 10, 2003 and will retire on March 31, 2016. Over the years, Dr. Cavallaro provided his dental expertise to County patients. Hiring him as a temporary retiree is critical to patient care at our various Health Centers located in Martinez, Pittsburg, Bay Point, and West County. He will cover for those dentists who will be on leave and he will also provide training to our new dentists. His experience as a senior dentist is extremely valuable to our patient care services. The Department will recruit a full-time employee replacement and this vacancy will be filled when we find the most qualified candidate.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, there will be a shortage of dental staff needed to meet patient care services at the various health centers

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra
Costa
County

To: Board of Supervisors
From: Robert Campbell, Auditor-Controller
Date: March 8, 2016

Subject: Assistant Auditor Controller - Waiver of 180 day "Sit Out" Period

RECOMMENDATION(S):

1. CONSIDER waiving the 180 day "sit out" period for Bobby Romero, former Supervising Accountant in the Office of the Auditor-Controller's Property Tax division.
2. FIND that the appointment of Bobby Romero is necessary to fill a critically needed position; and
3. APPROVE AND AUTHORIZE the hiring of County retiree Bobby Romero as a temporary County employee effective March 14 through September 30, 2016.

FISCAL IMPACT:

Salary costs are included within the Department's operating budget. Total approximate cost for the requested period is \$15,000.

BACKGROUND:

Mr. Romero retired at the end of December as a Supervising Accountant assigned to the Property Tax division. This is a request for approval from the Board of Supervisors to consider waiving the 180 day "sit out" period so that we can hire Mr. Romero to work two (2) two days a week for approximately six (6) hours each day. Mr. Romero would be strictly assigned to provide training to the new professional staff and to oversee the development and update of all of the written procedures of the Division. It is imperative that all of the Property Tax functions are properly documented due to the complexity of the tax codes, laws, etc. Mr. Romero has the knowledge, experience, and necessary background to complete this critical task.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Elizabeth Verigin (925)
646-2185

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Lisa Lopez, Assistant Director of Human Resources

CONSEQUENCE OF NEGATIVE ACTION:

Failure to receive Board approval will result in significant delay in properly documenting complex property tax processes and procedures and providing quality training to the new professional accountant staff assigned to the Property Tax division.



Contra
Costa
County

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: Amendment No. 1 to the Joint Exercise of Powers Agreement/Contribution Agreement with East Contra Costa Regional Fee and Financing Authority

RECOMMENDATION(S):

APPROVE and AUTHORIZE the Public Works Director, or designee, to execute, on behalf of the County, Contract Amendment No. 1 to the Joint Exercise of Powers Agreement/Contribution Agreement between East Contra Costa Regional Fee and Financing Authority (ECCRFFA) and Contra Costa County for Phase 1 of the State Route 4 Bypass to increase the maximum reimbursement amount from \$3.0 million to \$3.35 million and extend the payment date from June 30, 2011 to June 30, 2020, East County area.

FISCAL IMPACT:

The Joint Exercise of Powers Agreement/Contribution Agreement involves disbursement of Proposition 1B funds for Phase 1 of the State Route 4 Bypass. Amendment No. 1 will increase the reimbursement to the County to account for interest.

BACKGROUND:

Proposition 1B was approved by voters at the November 7, 2006 general election. As part of the Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006, it authorized the issuance of \$19.9 billion

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Nancy Wein
925-313-2275

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

of general obligation bonds to fund a variety of transportation priorities. Of the \$19.9 billion, \$2 billion was designated for cities and counties to fund the maintenance and improvement of local transportation facilities. The County received a total of approximately \$24 million in Proposition 1B funds in four disbursements. The first disbursement was received in March 2008 in the amount of \$9.7 million. Cities and counties were given three fiscal years from the end of the fiscal year the funds were received to expend the Proposition 1B funds.

On March 11, 2008, the Board of Supervisors approved the Joint Exercise of Powers Agreement/Contribution Agreement (Agreement) with ECCRFFA for use of Proposition 1B funds for Phase 1 of the State Route 4 Bypass. At that time, revenues for the State Route 4 Bypass were expected to come in at lower than expected levels resulting in funding shortfalls. The Agreement allowed the County to contribute \$3 million of Proposition 1B funds to ECCRFFA to assist with funding shortfalls and assured that bond proceeds would be expended within the three-year timeline. In return, the County would receive \$3 million of Regional Transportation Development Impact Fees for the Vasco Road Safety Improvement Project.

The County has expended all allocations of Proposition 1B funds, including contribution of \$3 million to ECCRFFA for Phase 1 of the State Route 4 Bypass. The original Agreement intended to include interest with the reimbursement, however, the interest was not included, which was strictly an oversight at the time. Thus, Amendment No. 1 provides for up to \$350,000 in interest to be reimbursed to the County for a total not-to-exceed amount of \$3,350,000. Interest is to be calculated as if the funds had been invested in the County Pooled Investment Earnings Account. Payment of funds by ECCRFFA is to be made a priority and must be completed by June 30, 2020. ECCRFFA has already approved Amendment No. 1 at the Board of Directors Meeting held on January 14, 2016.

CONSEQUENCE OF NEGATIVE ACTION:

The County will not receive reimbursement from ECCRFFA for interest on Proposition 1B funds contributed to Phase 1 of the State Route 4 Bypass.

ATTACHMENTS

ECCRFFA signed Prop 1B Agreement
Amendment No. 1

JOINT EXERCISE OF POWERS AGREEMENT / CONTRIBUTION AGREEMENT

EAST CONTRA COSTA REGIONAL FEE AND FINANCING AUTHORITY
AND
CONTRA COSTA COUNTY

This AGREEMENT is entered into on this 13TH day of MARCH, 2008, between the East Contra Costa Regional Fee and Financing Authority, a joint exercise of powers agency (hereinafter referred to as the "AUTHORITY"), and Contra Costa County, a political subdivision of the State of California (hereinafter referred to as "COUNTY").

RECITALS:

- A. AUTHORITY and COUNTY contemplate construction of the State Route 4 Bypass – Phase 1 improvements, referred to herein as "PROJECT." State Route 4 Bypass – Phase 1 improvements include 1) 6-lane freeway from SR4 to Laurel Road; 2) 4-lane freeway from Laurel Road to Lone Tree Way; 3) 2-lane expressway from Lone Tree Way to Vasco Road; 4) upgraded 2-lane Marsh Creek Road (conventional highway) from the SR4 Bypass to Byron Highway (existing SR4); 5) Interchanges at Laurel Road and Lone Tree Way; and 6) the portion of John Muir Parkway from Foothill Blvd. to Briones Road.
- B. COUNTY desires to contribute \$3,000,000 in Proposition 1B Funds, referred to herein as "FUNDS", to be applied towards PROJECT construction costs. AUTHORITY desires to give COUNTY an equivalent amount of Regional Transportation Development Impact Mitigation (RTDIM) Fees for use on the Vasco Road Safety Improvement project as those fees are received and become available in the future. Parties recognize and acknowledge that the Vasco Road Safety Improvement project, to the extent that it is located within Contra Costa County, is one of the twenty-six road projects on the AUTHORITY's project list for which RTDIM fees are imposed.
- C. In accordance with Section 9 "Contributions and Advances" of the Joint Exercise of Powers Agreement dated 8/9/94, by and among the cities of Antioch, Brentwood, Pittsburg and Contra Costa County relating to the Authority, the parties intend to define herein the terms and conditions under which PROJECT is to be partially financed by this contribution of FUNDS from COUNTY and by which the COUNTY is to receive RTDIM Fees in the future for the Vasco Road project.

NOW, THEREFORE, pursuant to Government Code section 6500 and following, the parties mutually agree and promise as follows:

1. Responsibilities of COUNTY and AUTHORITY.

A. COUNTY shall be responsible for the following:

- (1) Submit application to State Department of Finance for receipt of Proposition 1B Funds to be used on PROJECT construction costs.
- (2) If PROJECT qualifies under Proposition 1B and COUNTY receives FUNDS, providing AUTHORITY the sum of \$3,000,000 within thirty days after receipt of such FUNDS.

B. AUTHORITY shall be responsible for the following:

- (1) Constructing PROJECT and paying for all costs associated with the design, acquisition of real property, utility relocations and construction for PROJECT.
- (2) Providing COUNTY a total of \$3,000,000 plus interest using future RTDIM Fees as those fees become available in lump sums of \$100,000 or greater. Interest will be calculated as though the Prop 1B funds had been invested in the County Pooled Investment Earnings Account. Such obligation will be contingent upon AUTHORITY's receipt of COUNTY's payment of \$3,000,000 in FUNDS. The payment to COUNTY will be the first priority for AUTHORITY's use of RTDIM Fees once PROJECT is completed and payment to the COUNTY will be made before RTDIM Fees are used for any other projects, with the exception of the following items: 1) AUTHORITY administration costs; 2) SR4 Bypass Authority administration and Transfer and Relinquishment costs; 3) environmental clearance activities for SR4 Bypass – Phase 2; and 4) outstanding allocations for the Buchanan Bypass project. Full payment to COUNTY must be completed no later than June 30, 2011.

2. Agreement Modification: This Agreement shall be subject to modification only by the written approval of the legislative bodies of both parties. Neither party shall unreasonably withhold its consent to modification for the implementation and accomplishment of the overall purpose for which this Agreement is made.

3. Accountability: As required by Government Code section 6505, both parties to this Agreement shall provide strict accountability of all funds received for PROJECT.

4. Agreement Termination: Unless terminated earlier, this Agreement shall terminate immediately after AUTHORITY provides COUNTY \$3, 000,000 in RTDIM Fees.

5. Entire Agreement: This Agreement contains the entire understanding of the parties relating to the subject of this Agreement. Any representation or promise of the parties relating to PROJECT shall not be enforceable unless it is contained in this Agreement or in a subsequent written modification of this Agreement executed by all the legislative bodies of both parties.

6. Notices: All notices (including requests, demands, approvals or other communications) under this Agreement shall be in writing.

A. Notices shall be sufficiently given for all purposes as follows:

- (1) When delivered by first class mail, postage prepaid, notice shall be deemed delivered three (3) business days after deposit in the United States Mail.
- (2) When mailed by certified mail with return receipt requested, notice is effective on receipt if delivery is confirmed by a return receipt.
- (3) When delivered by overnight delivery by a nationally recognized overnight courier, notice shall be deemed delivered one (1) business day after deposit with that courier.

- (4) When personally delivered to the recipient, notice shall be deemed delivered on the date personally delivered.

B. The place for delivery of all notices given under this Agreement shall be as follows:

East Contra Costa Regional Fee and Financing Authority
Attn: Program Manager
255 Glacier Drive
Martinez, CA 94553

Contra Costa County
Attn: Public Works Director
255 Glacier Drive
Martinez, CA 94553

Or to such other addresses as AUTHORITY and COUNTY may respectively designate by written notice to the others.

IN WITNESS WHEREOF, the parties hereto have set their hands and seals the day and year first above written.

EAST CONTRA COSTA REGIONAL FEE
AND FINANCING AUTHORITY

By: *Silvano B. Marchesi*
Secretary or Designee

CONTRA COSTA COUNTY

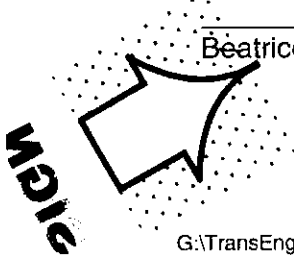
By: *Silvano B. Marchesi*
Public Works Director

Approved as to form:
Silvano B. Marchesi
County Counsel

Beatrice Liu
Beatrice Liu, Deputy County Counsel

Approved as to form:
Silvano B. Marchesi
County Counsel

Beatrice Liu
Beatrice Liu, Deputy County Counsel



AMENDMENT NO.1

**JOINT EXERCISE OF POWERS AGREEMENT/CONTRIBUTION AGREEMENT
BETWEEN
EAST CONTRA COSTA REGIONAL FEE AND FINANCING AUTHORITY
AND
CONTRA COSTA COUNTY**

Effective as of the _____ day of _____, 2016, the East Contra Costa Regional Fee and Financing Authority, a joint exercise of powers agency (“AUTHORITY”), and Contra Costa County, a political subdivision of the State of California, a member of the AUTHORITY and a party to the agreement that created the AUTHORITY (“COUNTY”), enter into this Amendment No. 1 to the “Joint Exercise of Powers Agreement/Contribution Agreement,” dated the 13th day of March, 2008, (the “Agreement”) by and between the AUTHORITY and COUNTY, to amend the Agreement as stated herein. The AUTHORITY and COUNTY are sometimes each referred to as a “Party” and together as the “Parties.”

RECITALS

- A. The Agreement provides for the COUNTY to contribute \$3,000,000 in Proposition 1B funds to the State Route 4 Bypass – Phase 1 improvements. The County has contributed those funds.
- B. The Agreement requires the AUTHORITY to give the COUNTY an equivalent amount of Regional Transportation Development Impact Mitigation (RTDIM) Fees for use on the Vasco Road Safety Improvement project. The Parties desire to extend the deadline and to re-establish priorities for ECCRFFA projects and timing for giving the RTDIM Fees to COUNTY.

NOW, THEREFORE, in consideration of these recitals and the mutual covenants contained herein, the Parties agree as follows:

- 1. Section 1.B.(2) in the Agreement is deleted and replaced with new Section 1.B.(2), to read:
 - (2) Providing COUNTY a total of \$3,000,000, plus up to \$350,000 in interest, for a total not-to-exceed amount of \$3,350,000, using future RTDIM Fees as those fees become available. Interest will be calculated as though the Prop 1B funds had been invested in the County Pooled Investment Earnings Account, beginning when COUNTY contributed the funds in accordance with Section 1.A.(2), and continuing until the funds are repaid as provided in this section. The payment to COUNTY will be the first priority for AUTHORITY’s use of RTDIM Fees once the following “First Priority Projects” have been completed. Notwithstanding the foregoing, full payment to COUNTY must be completed by June 30, 2020. The First Priority Projects are:
 - (a) SR4 East widening;
 - (b) eBART extension to Hillcrest Avenue;

- (c) SR4 Bypass projects, including the following:
 - a. SR4/SR160 Connector Ramps;
 - b. Sand Creek Road Interchange;
 - c. Balfour Road Interchange – Phase 1;
 - d. 4-Laning between Lone Tree Way and Balfour Road.

2. Except as specifically set forth in this Amendment No. 1, all other provisions of the Agreement shall remain unchanged and in full force and effect.

EAST CONTRA COSTA REGIONAL FEE
AND FINANCING AUTHORITY:

CONTRA COSTA COUNTY:

By: 
Secretary or Designee

By: _____
Public Works Director



Contra
Costa
County

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: Advertise the 2016 On-Call Sweeping Services Contract(s) for Various Road Maintenance Work

RECOMMENDATION(S):

AUTHORIZE the Public Works Director, or designee, to advertise for the 2016 On-Call Sweeping Services Contract(s) for Various Road Maintenance Work, for routine maintenance of existing road pavement, Countywide. (100% Local Road Funds)

FISCAL IMPACT:

100% Local Road Funds.

BACKGROUND:

The Public Works Department will use the 2016 On-Call Sweeping Services Contract(s) for Various Road Maintenance Work to provide supplemental sweeping services as needed to Public Works Maintenance crews for routine road maintenance repairs in various locations within the County. The Public Works Department intends to award at least one \$200,000 contract, but not more than four \$200,000 contracts, to the responsible bidder(s). Each contract will have a term of one year with the option of two one-year extensions, and will be used as needed with no minimum amount that has to be spent.

CONSEQUENCE OF NEGATIVE ACTION:

Where sweeping services are required, the Public Works Department may be unable to complete routine road maintenance work in a timely manner.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Kristen Hoy,
925-313-7006

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:



Contra
Costa
County

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: APPROVE and AUTHORIZE closing a portion of Parker Ave., for the Annual Little League Opening Day Parade, Rodeo area.

RECOMMENDATION(S):

ADOPT Resolution No. 2016/109 approving and authorizing the Public Works Director, or designee, to partially close a portion of Parker Avenue, eastbound lanes between San Pablo Avenue and 6th Street, on March 12, 2016 from 9:00 a.m. through 9:20 a.m., for the purpose of the Annual Little League Opening Day Parade, Rodeo area. (District V)

FISCAL IMPACT:

No fiscal impact.

BACKGROUND:

Applicant shall follow guidelines set forth by the Public Works Department.

CONSEQUENCE OF NEGATIVE ACTION:

Applicant will be unable to close the road for planned activities.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Bob Hendry,
925-674-7744

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: CHP, Sheriff - Patrol Div. Commander

ATTACHMENTS

Resolution No.

2016/109

THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA
and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 03/08/2016 by the following vote:

AYE:

NO:

ABSENT:

ABSTAIN:

RECUSE:



Resolution No. 2016/109

ADOPT Resolution No. 2016/109 approving and authorizing the Public Works Director, or designee, to partially close a portion of Parker Avenue, east bound lanes between San Pablo Avenue and 6th Street, on March 12, 2016 from 9:00 AM through 9:20 AM, for the purpose of Little League Opening Day Parade, Rodeo area. (District V)

RC16-2

IT IS BY THE BOARD RESOLVED that permission is granted to Rodeo Baseball to partially close Parker Avenue, east bound lanes between San Pablo Avenue and 6th Street, except for emergency traffic, on March 12, 2016 for the period of 9:00 AM through 9:20 AM, subject to the following conditions:

1. Traffic will be detoured via neighboring street per traffic control plan reviewed by Public Works.
2. All signing to be in accordance with the California Manual on Uniform Traffic Control Devices.
3. Rodeo Baseball shall comply with the requirements of the Ordinance Code of Contra Costa County.
4. Provide the County with a Certificate of Insurance in the amount of \$1,000,000.00 for Comprehensive General Public Liability which names the County as an additional insured prior to permit issuance.
5. Obtain approval for the closure from the Sheriff's Department, the California Highway Patrol and the Fire District.

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

Contact: Bob Hendry, 925-674-7744

ATTESTED: March 8, 2016

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: CHP, Sheriff - Patrol Div. Commander



Contra
Costa
County

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: Accepting completion of warranty period and release of cash deposit for Road Improvement RA11-01247, Danville area

RECOMMENDATION(S):

ADOPT Resolution No. 2016/107 accepting completion of warranty period for the Road Improvement Agreement and release of cash deposit for faithful performance for RA11-01247 (cross-reference SD05-09037), a project developed by Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, Danville area. (District III)

FISCAL IMPACT:

No fiscal impact to County funds, The funds to be released are developer fees that have been held on deposit.

BACKGROUND:

The public road improvements have met the guarantee performance standards for the warranty period following completion and acceptance of the improvements.

CONSEQUENCE OF NEGATIVE ACTION:

The developer will not receive a refund of the cash deposit, the Road Improvement Agreement and performance/maintenance surety bond will not be exonerated, and the billing account will not be liquidated and closed.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Jocelyn La Rocque,
925-313-2315

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

ATTACHMENTS

Resolution No.

2016/107

Recorded at the request of: Board of Supervisors

Return To: Public Works Engineering Services

THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA
and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 03/08/2016 by the following vote:

AYE:

NO:

ABSENT:

ABSTAIN:

RECUSE:

Resolution No. 2016/107

IN THE MATTER OF accepting completion of warranty period for the Road Improvement Agreement and release of cash deposit for faithful performance, for RA11-01247 (cross-reference SD05-09037), for a project developed by Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, Danville area (District III)

WHEREAS On December 4, 2012 this Board resolved that the improvements for RA11-01247 (cross-reference SD05-0937) were completed as provided in the Road Improvement Agreement with Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation and now on the recommendation of the Public Works Director;

The board hereby FINDS that the improvements have satisfactorily met the guaranteed performance standards for the period following completion and acceptance.

NOW, THEREFORE, BE IT RESOLVED that the Public Works Director is AUTHORIZED to REFUND the \$4,800.00 cash deposit (Auditor's Deposit Permit No. 590096, dated June 27, 2011) plus interest to Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation in accordance with Government Code Section 53079, if appropriate, Ordinance Code Section 94-4.406, and the Subdivision Agreement.

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa, County Administrator and Clerk of the Board of Supervisors

Contact: Jocelyn La Rocque, 925-313-2315

By: , Deputy

cc: Public Works - Finance, Public Works - Design/Construction, Public Works - Engineering Services, Current Planning, Communtiy Development, Shapell Homes, a Division of Shapell Industries, Inc.,c/o Toll Brothers Inc., 6800 Koll Center Parkway, Suite 320, Pleasanton, CA 94566 Attn:Lori Stritt, The continental Insurance Sompany, 4150 N. Drinkwater Boulevard, Suite 410, , Scottsdale, AZ 85251, Attn: Pamela L. Stocks



Contra
Costa
County

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: Accepting completion of warranty period and release of cash deposit for Subdivision SD06-09134, San Ramon (Dougherty Valley) area.

RECOMMENDATION(S):

ADOPT Resolution No. 2016/106 accepting completion of warranty period for the Subdivision Agreement and release of cash deposit for faithful performance, subdivision SD06-09134, for a project developed by Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area. (District II)

FISCAL IMPACT:

No fiscal impact to County funds. The funds to be released are developer fees that have been held on deposit.

BACKGROUND:

The public road improvements have met the guarantee performance standards for the warranty period following completion and acceptance of the improvements.

CONSEQUENCE OF NEGATIVE ACTION:

The developer will not receive a refund of the cash deposit, the Subdivision Agreement and performance/maintenance surety bond will not be exonerated, and the billing account will not be liquidated and closed.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Jocelyn LaRocque,
925-313-2315

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Public Works - Design/Construction, Public works - Engineering Services, Current Planning, Community Development, Shapell Homes, a Division of Shapell Industries, Inc., c/o toll Brothers Inc., 6800 Koll Center Parkway, Suite 320, Pleasanton, CA 94566, Attn: Lori Stritt, The Continental Insurance Company, 4150 N. Drinkwater Boulevard, Suite 410, Scottsdale, AZ 85251, Attn: Pamela L. Stocks, C. Low, City of San Ramon, 2222 Camino Ramon, San Ramon, CA 94583

ATTACHMENTS

Resolution No.

2016/106

Recorded at the request of: Board of Directors

Return To: Public Works Engineering Services

THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA
and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 03/08/2016 by the following vote:

AYE:

NO:

ABSENT:

ABSTAIN:

RECUSE:

Resolution No. 2016/106

IN THE MATER OF accepting completion of warranty period for the Subdivision Agreement and release of cash deposit for faithful performance, for Subdivision SD06-09134, for a project developed by Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area. (District II)

WHEREAS On October 28, 2014, this Board resolved that the improvements in subdivision SD06-09134 were completed as provided in the Subdivision Agreement with Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation and now on the recommendation of the Public Works Director;

The Board hereby FINDS that the improvements have satisfactorily met the guaranteed performance standards for the period following completion and acceptance.

NOW, THEREFORE, BE IT RESOLVED that the Public Works Director is AUTHORIZED to REFUND the \$19,000.00 cash deposit (Auditor's Deposit Permit No. 1312441, dated April 18, 2013) plus interest to Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation in accordance with Government Code Section 53079, if appropriate, Ordinance Code Section 94-4.406, and the subdivision agreement.

BE IT FURTHER RESOLVED that upon completion of the warranty and maintenance period, the San Ramon City Council shall accept the landscape improvements for maintenance and ownership in accordance with the Dougherty Valley Memorandum of Understanding.

BE IT FURTHER RESOLVED that the warranty period has been completed and the Subdivision Agreement and surety bond, Bond No. 929 596 042, dated March 15, 2013, issued by The Continental Insurance Company, are exonerated.

Contact: Jocelyn LaRocque, 925-313-2315

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Public Works - Design/Construction, Public works - Engineering Services, Current Planning, Community Development, Shapell Homes, a Division of Shapell Industries, Inc., c/o toll Brothers Inc., , 6800 Koll Center Parkway, Suite 320, Pleasanton, CA 94566, Attn: Lori Stritt, The Continental Insurance Company, 4150 N. Drinkwater Boulevard, Suite 410, , Scottsdale, AZ 85251, Attn: Pamela L. Stocks , C. Low, City of San Ramon, 2222 Camino Ramon, San Ramon, CA 94583



**Contra
Costa
County**

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: Approve an amended Contract with Larry Walker Associates for General Technical Support Services

RECOMMENDATION(S):

APPROVE and AUTHORIZE the Chief Engineer, Flood Control & Water Conservation District, or designee, to execute, on behalf of the Contra Costa Clean Water Program, a contract amendment with Larry Walker Associates, Inc., to increase the payment limit by \$62,843, to a new payment limit not to exceed \$202,843, for general technical support services necessary to comply with federal and state stormwater rules contained in National Pollutant Discharge Elimination System Permits issued by the San Francisco Bay and Central Valley Regional Water Quality Control Boards. Countywide. (100% Cities and County Stormwater Utility Fee Assessments) Project No. 7519-6x7616.

FISCAL IMPACT:

The cost is estimated to be \$62,843; and, shall be funded by stormwater utility fee assessments collected by the Cities/Towns and County, proportional to their respective populations.

BACKGROUND:

The Contra Costa Clean Water Program (the "CCCWP") consists of Contra Costa County, its nineteen (19) incorporated

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Deanna Constable
925-313-2194

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

cities/towns and the Contra Costa County Flood Control & Water Conservation District (hereinafter referred to collectively as "Permittees"). The CCCWP was established in 1991 through a Program Agreement in response to the 1987 amendments to the federal Clean Water Act (the "CWA"), which established a framework for regulating municipal stormwater discharges under the National Pollutant Discharge Elimination System ("NPDES") Permit Program. The United States Environmental Protection Agency (the "USEPA") published final rules implementing the 1987 CWA amendments in November 1990. The rules mandate that Permittees obtain and implement stormwater permits designed to reduce and eliminate the discharge of pollutants into and from Municipal Separate Storm Sewer Systems (the "MS4s") they own and operate. Through the CCCWP, Permittees conduct many of the mandated activities collectively (referred to as "Group Activities"), such as water quality monitoring, special studies, and public education. The roles and responsibilities of the CCCWP and Permittees are outlined in the Program Agreement, which was last updated and adopted by all Permittees in June 2010.

The CCCWP's stormwater monitoring programs are designed to identify and evaluate sources, pathways, loadings and impacts of pollutants, such as mercury and PCBs, that reach local creeks and streams, and eventually into the San Francisco Bay/Delta; and, to investigate the effectiveness of stormwater treatment control technologies. Technical support services provided by Larry Walker Associates, Inc. ("Larry Walker") are necessary to assist the CCCWP with compliance of these mandates.

In order to help continue to maintain permit compliance, CCCWP staff, on behalf of the Permittees, respectfully requests approval of this amendment to increase the payment limit for this contract with Larry Walker for general technical support services.

CONSEQUENCE OF NEGATIVE ACTION:

If the Contract with Larry Walker Associates is not approved, the CCCWP would not be able to fulfill the permit mandates, and municipalities could be found in non-compliance with the NPDES permits issued by the Water Boards. Fines totaling \$10,000 per day and \$10 per gallon of stormwater discharge could potentially be imposed.



Contra
Costa
County

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: Adopt Resolution requesting the Flood Control District Adopt Annual Parcel Assessments for the County's Watershed Program. Project #7517-6W7091

RECOMMENDATION(S):

ADOPT Resolution No. 2016/105 establishing a rate of \$30 per Equivalent Runoff Unit (ERU) for Stormwater Utility Area 17 (Unincorporated County) for Fiscal Year 2016/2017 and requesting that the Contra Costa County Flood Control & Water Conservation District (FC District) adopt annual parcel assessments for drainage maintenance and the National Pollutant Discharge Elimination System Program, Countywide.

FISCAL IMPACT:

The 2016-2017 rate per ERU is the same as was set for fiscal year 2015-2016. The unincorporated area of Contra Costa County will produce approximately \$2,700,000. All associated costs funded 100% by Stormwater Utility Area 17 Funds.

BACKGROUND:

The Clean Water Program consists of the County, Contra Costa cities, and the FC District working together to prevent, reduce, or eliminate the discharge of pollutants into the storm drain system, including creeks and other natural waterways. The Clean Water Program was established in response to changes in the Federal Clean Water Act. The Program known at the federal level as the National Pollution Discharge Elimination System (NPDES) Program for Municipal Stormwater

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Dan Jordan, (925) 313-2023

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Laura Strobel, County Administrator's Office, Bob Campbell, County Auditor–Controller, Letitia Watters, County Auditor–Controller's Office, Tim Jensen, Flood Control, Cece Sellgren, County Watershed Program, Dan Jordan, County Watershed Program, Catherine Windham, Flood Control

BACKGROUND: (CONT'D)

Owners is in its fifteenth year. In order to be in compliance with the current NPDES permit, Clean Water Program participants implement a Stormwater Management Plan stipulating a set of activities and a performance or service level. The Stormwater Management Plan is a major component of the Joint Municipal NPDES Stormwater Permit with the California Regional Water Quality Control Boards and is paid for with stormwater utility fee assessments. Adoption of the attached resolution will begin the annual process of assessment adoption.

The Board of Supervisors is being asked to set a rate of \$30 for one ERU in the Unincorporated County areas and to request that the FC District adopt the stormwater utility assessment. (The FC District is the only entity under state law with legal authority to assess this particular assessment.)

The Public Works Department coordinates the County Watershed Program for the County. Examples of how the assessment is being spent in the current year include:

1. General drainage maintenance to remove debris and sediment from County storm drain systems, flood control channels, and creeks.
2. Targeted street sweeping throughout the County.
3. Work with County Building Inspection and Public Works inspectors and construction companies/contractors to reduce construction contaminants, such as paint, cement, oil/fuels, and soil erosion from entering storm drains and creeks.
4. Encourage Planners and the development community to use new designs that will reduce contaminated stormwater runoff.
5. Educate the public on the benefits of reducing pesticides and other toxic household product use and their proper disposal.
6. Educate County Engineers and Maintenance staff on flood control design, construction, and maintenance practices that protect water quality and preserve natural watershed habitats.
7. Inspection of industrial and commercial businesses for evidence that spill prevention, equipment maintenance and cleaning, waste handling and disposal, and other business practices are done in a manner that minimizes stormwater contamination.
8. Educate marina operators and their marina users through a marina program.
9. Create an annual Watershed Calendar that is disseminated to all single-family households in the County to educate residents of pollution prevention measures that they can take to protect stormwater runoff and improve the water quality of our receiving waters.

CONSEQUENCE OF NEGATIVE ACTION:

If the rate per ERU is not set for the coming fiscal year, funds will not be available for the County's Watershed Program to comply with the Joint Municipal NPDES Stormwater Permit. The Regional Water Quality Control Boards have the authority to issue fines of up to \$10,000 per day against those municipalities that do not comply with the Permit and fail to implement their Stormwater Management Plans.

ATTACHMENTS

Resolution No. 2016/105

THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA
and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 03/08/2016 by the following vote:

AYE:
NO:
ABSENT:
ABSTAIN:
RECUSE:



Resolution No. 2016/105

In The Matter of: ESTABLISH the rate per equivalent runoff unit for Stormwater Utility Area 17 (Unincorporated County) for Fiscal Year 2016-2017 and request that the Contra Costa County Flood Control & Water Conservation District (FC District) ADOPT an annual parcel assessment for drainage maintenance and the National Pollutant Discharge Elimination System (NPDES) Program, Countywide. (100% Stormwater Utility Area 17 Funds)

The Board of Supervisors of Contra Costa County RESOLVES THAT;

WHEREAS, under the Federal Water Pollution Control Act, prescribed discharges of stormwater require a permit from the appropriate California regional water quality board under the NPDES Program; and

WHEREAS, the COUNTY of CONTRA COSTA (County) did apply for, and did receive, an NPDES permit, which requires the implementation of selected Best Management Practices (BMPs) to minimize or eliminate pollutants from entering stormwaters; and

WHEREAS, it is the intent of the County to utilize funds received from its Stormwater Utility Area (SUA) for implementation of the NPDES Program and drainage maintenance activities; and

WHEREAS, at the request of the County, the FC District has completed the process for formation of an SUA, including the adoption of the Stormwater Utility Assessment Drainage Ordinance NO. 93-47; and

WHEREAS, the SUA and Program Group Costs Payment agreement between the County and the FC District requires that the County determine the rate to be assessed to a single Equivalent Runoff Unit (ERU) for the forthcoming fiscal year in the Unincorporated County; and

NOW, THEREFORE BE IT RESOLVED, that the County Board of Supervisors of the COUNTY of CONTRA COSTA does determine that the rate to be assigned to a single ERU for Fiscal Year 2016-2017 shall be set at \$30.

BE IT FURTHER RESOLVED, that the County Board of Supervisors does hereby request the FC District to adopt SUA 17 levies based on said amount.

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa, County Administrator and Clerk of the Board of Supervisors

Contact: Dan Jordan, (925) 313-2023

By: , Deputy

cc: Laura Strobel, County Administrator's Office, Bob Campbell, County Auditor–Controller, Letitia Watters, County Auditor–Controller's Office, Tim Jensen, Flood Control, Cece Sellgren, County Watershed Program, Dan Jordan, County Watershed Program, Catherine Windham, Flood Control



**Contra
Costa
County**

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: APPROVE the conveyance of real property to the City of Pinole; ACCEPT Grant of Easement; APPROVE CEQA.

RECOMMENDATION(S):

APPROVE and AUTHORIZE the conveyance of Contra Costa County Flood Control and Water Conservation District (District) property, identified as parcel FCPID 5155, and an access easement identified as FCPID 5154, to the City of Pinole; and ACCEPT a Grant of Easement for ingress and egress purposes, identified as FCPID 5153, from the City of Pinole (City) to the District, in accordance with Section 31 of the Contra Costa County Flood Control and Water Conservation District Act. (CP#15-15)

DETERMINE that the conveyances are no longer required for District purposes and that their estimated values do not exceed \$25,000.

DETERMINE that the activity is not subject to the California Environmental Quality Act (CEQA), pursuant to Article 5, Section 15061(b)(3) of the CEQA Guidelines, and

DIRECT the Director of Conservation and Development to file a Notice of Exemption with the County Clerk, and

AUTHORIZE the Chief Engineer to arrange for payment of a \$25 fee to the Department of Conservation and Development for processing, and a \$50 fee to the County Clerk-Recorder for filing the Notice of Exemption. General Plan Conformance was obtained from the City of Pinole for this activity.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Angela Bell,
925-313-2337

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

RECOMMENDATION(S): (CONT'D)

AUTHORIZE the Chair, Board of Supervisors, to execute a Grant Deed and Quitclaim Deed on behalf of the District.

DIRECT the Real Estate Division of the Public Works Department to cause said Grant Deed and Quitclaim Deed to be delivered to the City for acceptance and recording.

APPROVE and ACCEPT the Grant of Easement from the City of Pinole for ingress and egress purposes over City's property.

DIRECT the Real Estate Division of the Public Works Department to have the Grant of Easement recorded in the office of the County Recorder.

FISCAL IMPACT:

100% Flood Control Permit Fees.

BACKGROUND:

The City plans to construct the Pinole-Hercules Wastewater Plant Upgrade Project (Project) in the Pinole area. The Project intends to upgrade its sewer plant facility located on the south side of the Pinole Creek Flood Control Channel and on the west side of Tennet Avenue. The cities of Pinole and Hercules have been working with the District to identify the real estate transactions needed for the Project.

In 1965, the District acquired property interests from the City for the purpose of widening Pinole Creek Channel. Those interests included an easement for ingress and egress purposes (easement). A large portion of the easement is needed for the Project in order to upgrade the wastewater plant. The District will grant a portion of the easement to the City and in exchange, the City will provide the District with a Grant of Easement for ingress and egress rights over their property.

In addition, during the design of the Project, the City found that the sewer plant has a fence encroaching into approximately 928 square feet of District owned property along the Pinole Creek. The District has determined that this area is no longer required for the District's purpose and plans to convey the area to the City by Grant Deed.

CONSEQUENCE OF NEGATIVE ACTION:

Without approval and acceptance from the Board of Supervisors, the cities of Pinole and Hercules will not be able to move forward with the Project, and the District will continue to be responsible 928 square feet of property they are not using.

ATTACHMENTS

Grant Deed

Quitclaim Deed

Grant of Easement

Recorded at the request of:
Contra Costa County Flood Control
& Water Conservation District

Return to:
City of Pinole
2131 Pear Street
Pinole, CA 94564
Attn: Patricia Athenour

EXEMPT FROM RECORDING FEES PURSUANT TO GOV'T. CODE SECTION 27383 AND DOCUMENTARY TRANSFER TAX PURSUANT TO REVENUE AND TAXATION CODE SECTION 11922.

Ptn. of Pinole Creek Flood Control Channel (Reach 1) FCPID 5155-
Adjacent to APN 401-010-010

GRANT DEED

CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT, a flood control district, organized under the laws of the State of California, does hereby

Grant to the CITY OF PINOLE, a general law city of the State of California, the following described real property in the City of Pinole, unincorporated area of the County of Contra Costa, State of California,

FOR DESCRIPTION AND PLAT MAP SEE EXHIBITS "A" and "B" ATTACHED HERETO AND MADE A PART HEREOF.

GRANTOR: CONTRA COSTA COUNTY FLOOD CONTROL
AND WATER CONSERVATION DISTRICT

Dated _____

By _____

Candace Andersen
Chair, Board of Supervisors

STATE OF CALIFORNIA)

COUNTY OF CONTRA COSTA)

A Notary Public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

On _____ before me, _____ Clerk of the Board of Supervisors, Contra Costa County, personally appeared _____, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature: _____
Deputy Clerk

AB:mc

G:\realprop\Board Orders\2016\03 - March\03-08-16\City of Pinole\DE.03 Grant Deed FCD -City of Pinole.doc

EXHIBIT A

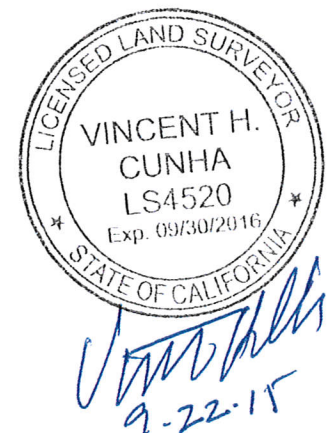
FCPID 5155

BEING A PORTION TIDELAND SURVEY NO. 15, CITY OF PINOLE, COUNTY OF CONTRA COSTA, STATE OF CALIFORNIA, ALSO BEING A PORTION OF PARCEL 1 OF THAT CERTAIN PARCEL OF LAND DEEDED TO CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT, IN BOOK 4958 AT PAGE 483, CONTRA COSTA COUNTY RECORDS, MORE PARTICULARLY DESCRIBED AS FOLLOWS:

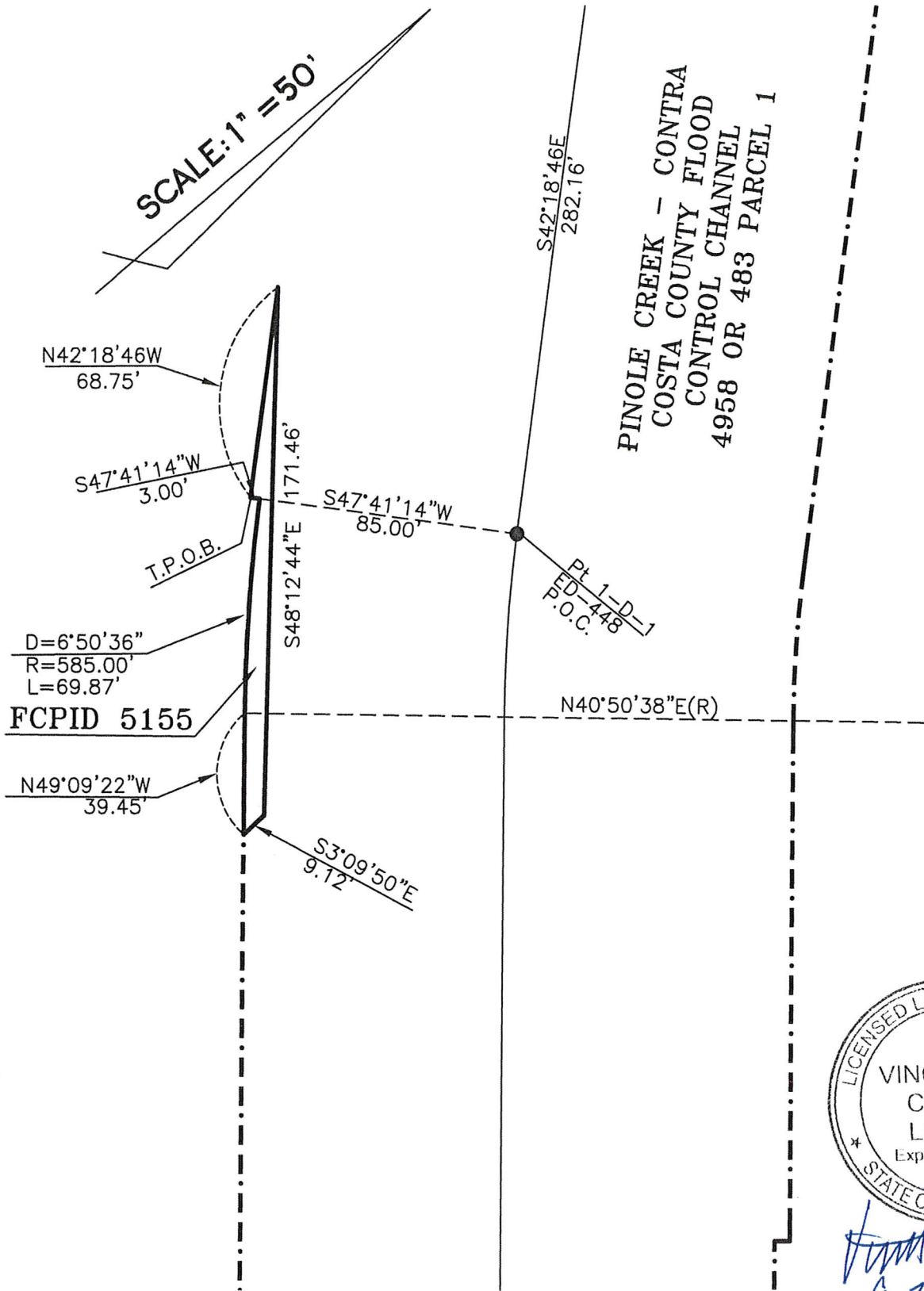
COMMENCING AT "PT-1-D-1" AS DESCRIBED IN SAID DEED (4958 OR 483) AND SHOWN ON "CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT" MAP "ED-448"; THENCE SOUTH 47°41'14" WEST 88.00 FEET TO THE WESTERLY LINE OF SAID PARCEL 1 AND THE TRUE POINT OF BEGINNING; THENCE NORTHWESTERLY ALONG SAID LINE NORTH 42°18'46" WEST 68.75 FEET; THENCE LEAVING SAID LINE SOUTH 48°12'44" EAST 171.46 FEET; THENCE SOUTH 3°09'50" EAST 9.12 FEET TO THE WESTERLY LINE OF SAID PARCEL 1; THENCE NORTHWESTERLY AND SOUTHWESTERLY ALONG SAID LINE FOLLOWING 3 COURSES, NORTH 49°09'22" WEST 39.45 FEET TO A TANGENT CURVE TO THE RIGHT HAVING A RADIUS OF 585.00 FEET; THENCE ALONG THE ARC OF SAID CURVE 69.87 FEET THROUGH A CENTRAL ANGLE OF 6°50'36", TO A NON-TANGENT LINE; THENCE SOUTH 47°41'14" WEST 3.00 FEET TO THE TRUE POINT OF BEGINNING.

CONTAINING 928 SQUARE FEET, MORE OR LESS.

EXHIBIT B, A PLAT IS ATTACHED HERETO AND MADE A PART HEREOF.



SCALE: 1" = 50'



PINOLE CREEK - CONTRA COSTA COUNTY FLOOD CONTROL CHANNEL
4958 OR 483 PARCEL 1

LICENSED LAND SURVEYOR
VINCENT H. CUNHA
LS4520
Exp. 09/30/2016
STATE OF CALIFORNIA
Vincent H. Cunha
9-22-11

CCCWD & WCD DRAWING No.FA-20072

<p>CUNHA ENGINEERING, INC. 701 BELMONT WAY, STE. A PINOLE, CALIFORNIA 94564 (510) 741-8290</p>	<p align="center">EXHIBIT B CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT TO CITY OF PINOLE PINOLE CALIFORNIA</p>	<p>SHEET <u>1</u> OF <u>1</u> JOB No. 208108</p>
---	---	--

Recorded at the request of:
Contra Costa County
Flood Control and Water
Conservation District

Return to:
City of Pinole
2131 Pear Street
Pinole, CA 94564
Attention: Patricia Athenour

EXEMPT FROM RECORDING FEES PURSUANT TO GOV'T. CODE SECTION 27383 AND DOCUMENTARY TRANSFER TAX PURSUANT TO
REVENUE AND TAXATION CODE SECTION 11922.

Portion of APN 401-010-007 (former FCD Access Easement)
FCPID 5154

QUITCLAIM DEED

CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT, a
flood control district, organized under the laws of the State of California

Does hereby remise, release and forever quitclaim to the CITY OF PINOLE, a general law
city of the State of California,

the following described real property in the City of Pinole, unincorporated area of the
County of Contra Costa, State of California,

**FOR DESCRIPTION AND PLAT MAP SEE EXHIBITS "A" AND "B" ATTACHED
HERETO AND MADE A PART HEREOF.**

GRANTOR:
CONTRA COSTA COUNTY FLOOD
CONTROL AND WATER CONSERVATION
DISTRICT

Date _____

Candace Andersen
Chair, Board of Supervisors

SEE ATTACHED ACKNOWLEDGEMENT

A Notary Public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

STATE OF CALIFORNIA
COUNTY OF CONTRA COSTA

On _____, before me, _____,
Deputy Clerk of the Board of Supervisors, Contra Costa County, personally appeared _____, who
proved to me on the basis of satisfactory evidence to be the person(s) whose name(s)
is/are subscribed to the within instrument and acknowledged to me that he/she/they
executed the same in his/her/their authorized capacity(ies), and that by his/her/their
signature(s) on the instrument the person(s), or the entity upon behalf of which the
person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the
foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature _____ (Seal)
Deputy Clerk

EXHIBIT A

FCPID 5154

BEING A PORTION OF TIDELAND SURVEY NO. 15, CITY OF PINOLE, COUNTY OF CONTRA COSTA, STATE OF CALIFORNIA, ALSO BEING A PORTION OF PARCEL 2, DESCRIBED IN THE FINAL ORDER IN CONDEMNATION RECORDED FEBRUARY 24, 1958 IN BOOK 2713 AT PAGE 504 OFFICIAL RECORDS OF CONTRA COSTA COUNTY, DESCRIBED AS FOLLOWS:

COMMENCING AT POINT 6651, AS SHOWN ON "CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT" MAP NO. ED-448, THENCE SOUTHEAST ALONG THE SOUTHWESTERLY LINE OF PARCEL "5b", AS SHOWN ON SAID MAP NO. ED-448 SOUTH 49°09'22" EAST 15.00 FEET, TO THE MOST SOUTHERLY CORNER OF PARCEL "5b-1" AS SHOWN ON "CONTRA COSTA COUNTY, PUBLIC WORKS DEPARTMENT "NO. EB-240"; THENCE NORTHEASTERLY ALONG SAID PARCEL "5b-1" NORTH 40°50'38" EAST 58.83 FEET, TO THE TRUE POINT OF BEGINNING; THENCE LEAVING SAID LINE NORTH 67°49'15" EAST 33.12 FEET; THENCE NORTH 40°02'05" EAST 150.92 FEET; THENCE NORTH 2°19'19" EAST 20.70 FEET; THENCE SOUTH 40°50'38" WEST 196.61 FEET, TO THE TRUE POINT OF BEGINNING.

CONTAINING 2,432 SQUARE FEET, MORE OR LESS.

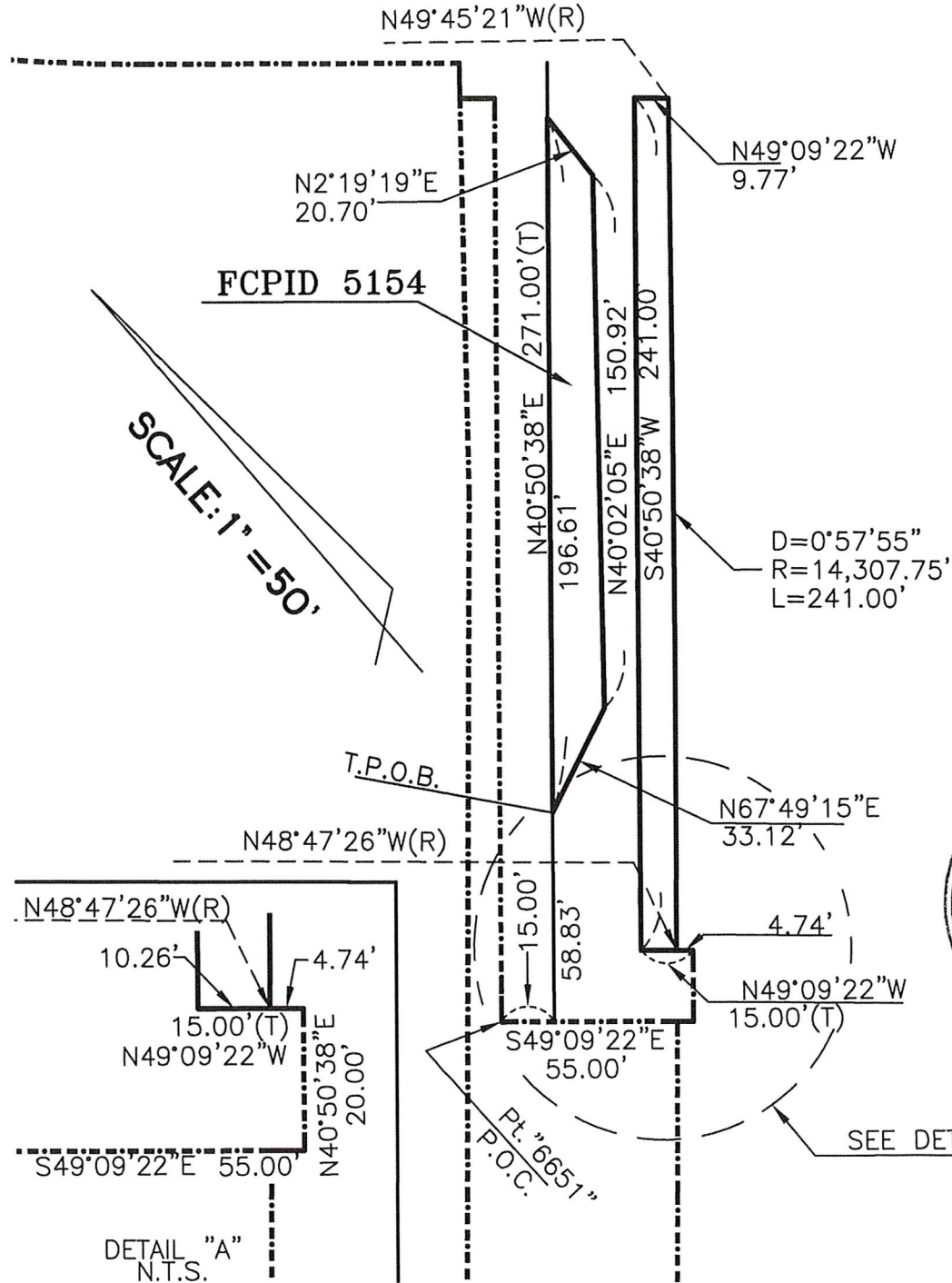
EXHIBIT B, A PLAT IS ATTACHED HERETO AND MADE A PART HEREOF.



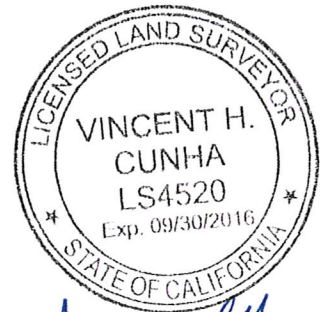
Vincent H. Cunha
9.22.15

PINOLE CREEK - CONTRA
COSTA COUNTY FLOOD
CONTROL CHANNEL

4958 OR 483



SOUTHERN PACIFIC RR



CCCWD & WCD DRAWING No. FA-20072

CUNHA ENGINEERING, INC.

701 BELMONT WAY, STE. A
PINOLE, CALIFORNIA 94564
(510) 741-8290

EXHIBIT B

CONTRA COSTA COUNTY FLOOD
CONTROL AND WATER CONSERVATION
DISTRICT TO CITY OF PINOLE

PINOLE

CALIFORNIA

SHEET

1 OF 1

JOB No.
208108

Recorded at the request of:
Contra Costa County
Flood Control and Water
Conservation District

Return to:
Contra Costa County
Public Works Department
Real Estate Division
255 Glacier Drive
Martinez, CA 94553
Attn: Angela Bell

Ptn of Assessor's Parcel No.: 401-010-010
FCPID 5153

GRANT OF EASEMENT

THIS INDENTURE, made by and between City of Pinole, a general law city of the State of California, hereinafter called the GRANTOR, and **CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT**, a flood control district, organized under the laws of the State of California, hereinafter called the GRANTEE,

WITNESSETH:

That the GRANTOR, for value received, hereby grants to the GRANTEE, and its successors and assigns, a perpetual easement and right of way for ingress and egress purposes (not to be exclusive) over and across that certain real property in the County of Contra Costa, State of California, described as follows:

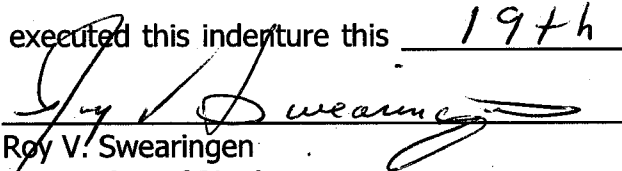
FOR DESCRIPTION AND PLAT MAP SEE EXHIBITS "A" AND "B" ATTACHED HERETO AND MADE A PART HEREOF.

The easement herein granted shall include the right by said GRANTEE, its officers, agents and employees, and by persons under contract with it and their employees whenever and wherever necessary for ingress and egress purposes, to enter upon said land with personnel, vehicles and equipment, to remove all trees, vegetation and structures thereon that interfere with the purpose for which the easement herein is granted.

It is understood that GRANTEE is not responsible for repairing or replacing any of GRANTOR's improvements within the area described in Exhibit "A" herein.

TO HAVE AND TO HOLD, all and singular, the rights above described unto the GRANTEE and the GRANTEE's successors and assigns forever.

IN WITNESS WHEREOF, the GRANTOR has executed this indenture this 19th day of February, 2016.


Roy V. Swearingen
Mayor, City of Pinole

ABOVE SIGNATURES MUST BE NOTARIZED

EXHIBIT A

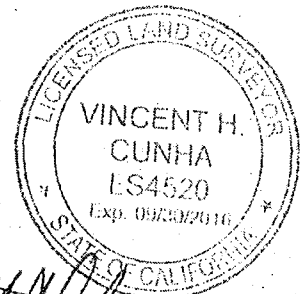
FCPID 5153

BEING A PORTION OF TIDELAND SURVEY NO. 15, CITY OF PINOLE, COUNTY OF CONTRA COSTA, STATE OF CALIFORNIA, ALSO BEING A PORTION OF PARCEL 2, DESCRIBED IN THE FINAL ORDER IN CONDEMNATION RECORDED FEBRUARY 24, 1958 IN BOOK 2713 AT PAGE 504 OFFICIAL RECORDS OF CONTRA COSTA COUNTY, DESCRIBED AS FOLLOWS:

COMMENCING AT POINT 6651, AS SHOWN ON "CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT" MAP NO. ED-448, THENCE SOUTHEAST ALONG THE SOUTHWESTERLY LINE OF PARCEL "5b", AS SHOWN ON SAID MAP NO. ED-448 SOUTH 49°09'22" EAST 55.00 FEET; THENCE CONTINUING ALONG THE SOUTHEASTERLY LINE OF SAID PARCEL "5b", THE FOLLOWING TWO COURSES, NORTH 40°50'38" EAST 20.00 FEET; THENCE NORTH 49°09'22" WEST, 4.74 FEET, TO THE EASTERLY LINE OF THE SOUTHERN PACIFIC RAILROAD RIGHT-OF-WAY, BEING A CURVE CONCAVE TO THE NORTHWEST FROM A RADIAL BEARS NORTH 48°47'26" WEST AND HAS A RADIUS OF 14,307.75 FEET SAID POINT BEING THE TRUE POINT OF BEGINNING; THENCE NORTHEASTERLY ALONG THE ARC OF SAID CURVE 241.00 FEET THROUGH A CENTRAL ANGLE OF 0°57'55" TO A POINT THAT INTERSECTS SAID PARCEL "5b"; THENCE ALONG SAID PARCEL "5b" THE FOLLOWING THREE COURSES, NORTH 49°09'22" WEST 9.77 FEET TO AN ANGLE POINT IN SAID PARCEL "5b"; THENCE SOUTH 40°50'38" WEST 241.00 FEET TO AN ANGLE POINT IN SAID PARCEL "5b"; THENCE SOUTH 49°09'22" EAST 10.26 FEET, TO THE TRUE POINT OF BEGINNING.

CONTAINING 2,495 SQUARE FEET, MORE OR LESS.

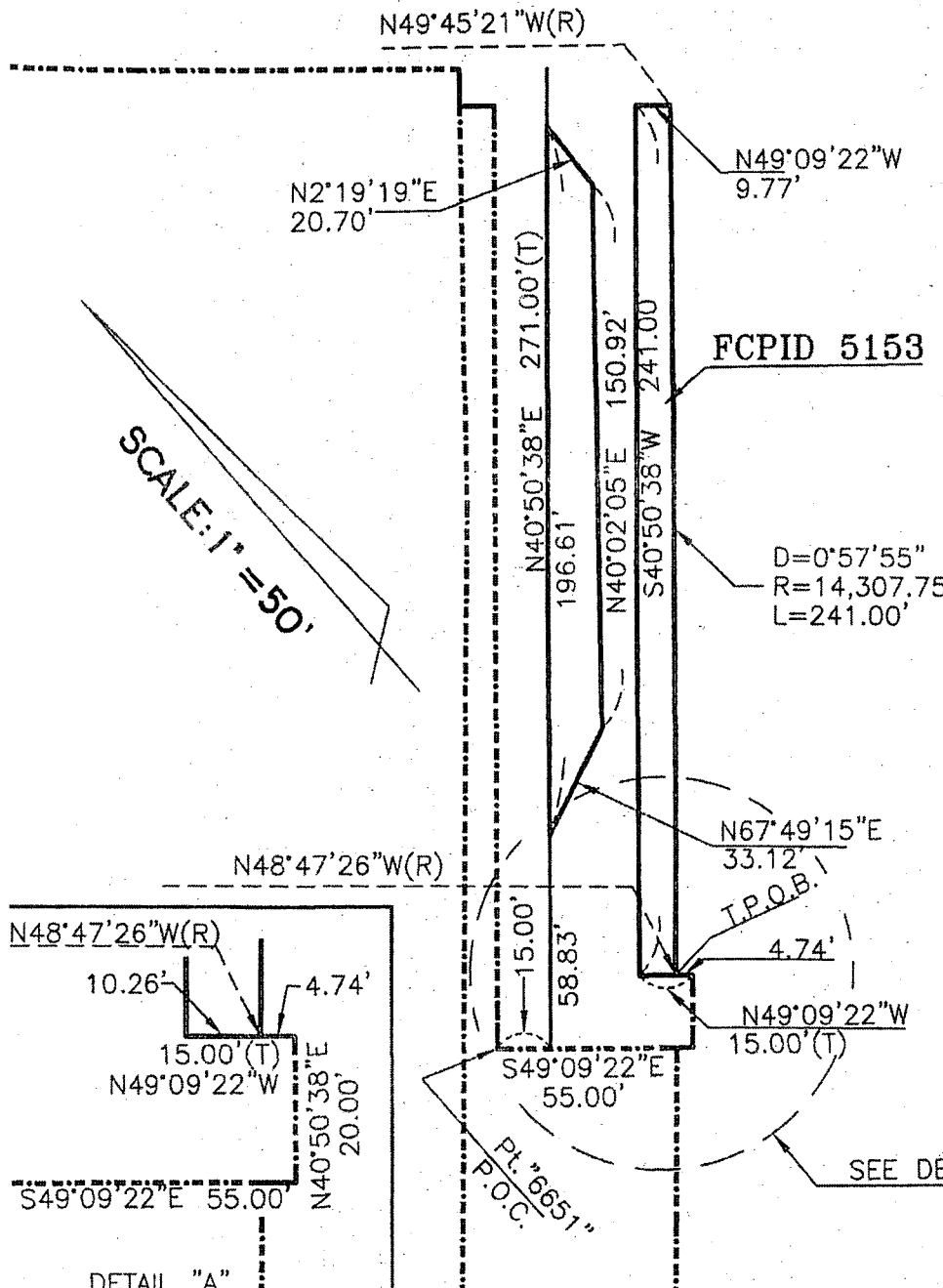
EXHIBIT B, A PLAT IS ATTACHED HERETO AND MADE A PART HEREOF.



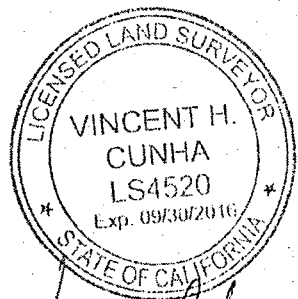
Vincent H. Cunha 9.22.15

PINOLE CREEK - CONTRA
COSTA COUNTY FLOOD
CONTROL CHANNEL

4958 OR 483



SOUTHERN PACIFIC RR



Vincent H. Cunha
SEE DETAIL "A" 9.22.15

CCCWD & WCD DRAWING No.FA-20071

<p>CUNHA ENGINEERING, INC. 701 BELMONT WAY, STE. A PINOLE, CALIFORNIA 94664 (510) 741-8290</p>	<p align="center">EXHIBIT B</p> <p align="center">CITY OF PINOLE TO CONTRA COSTA COUNTY FLOOD CONTROL AND WATER CONSERVATION DISTRICT</p> <p align="center">PINOLE CALIFORNIA</p>	<p align="center">SHEET 1 OF 1</p> <p align="center">JOB No. 208108</p>
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CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

CIVIL CODE § 1189

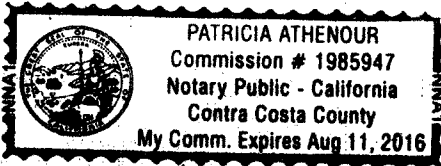
A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California)
County of Contra Costa)
On 2-16-2016 before me, Patricia Athenour Notary Public
Date Here Insert Name and Title of the Officer
personally appeared Roy V. Swearingen
Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.



Signature Patricia Athenour
Signature of Notary Public

Place Notary Seal Above

OPTIONAL

Though this section is optional, completing this information can deter alteration of the document or fraudulent reattachment of this form to an unintended document.

Description of Attached Document

Title or Type of Document: Grant of Easement Document Date: 2-16-2016
Number of Pages: 1 Signer(s) Other Than Named Above: None

Capacity(ies) Claimed by Signer(s)

Signer's Name: Roy V. Swearingen
 Corporate Officer — Title(s): Mayor
 Partner — Limited General
 Individual Attorney in Fact
 Trustee Guardian or Conservator
 Other: _____
Signer Is Representing: City of Perse

Signer's Name: _____
 Corporate Officer — Title(s): _____
 Partner — Limited General
 Individual Attorney in Fact
 Trustee Guardian or Conservator
 Other: _____
Signer Is Representing: _____

A Notary Public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

STATE OF CALIFORNIA
COUNTY OF CONTRA COSTA

On _____, before me, _____,

Deputy Clerk of the Board of Supervisors, Contra Costa County, personally appeared _____, who

proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature _____ (Seal)
Deputy Clerk



Contra
Costa
County

To: Board of Supervisors
From: David Twa, County Administrator
Date: March 8, 2016

Subject: claims

RECOMMENDATION(S):

DENY claims filed by Daniel Franklin, Karen McDuffie-Smith, Dennis Salopagio, and Darrell Sanders.

FISCAL IMPACT:

No Fiscal Impact.

BACKGROUND:

*

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Joellen Balbas
925-335-1906

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:



Contra
Costa
County

To: Board of Supervisors
From: Candace Andersen, District II Supervisor
Date: March 8, 2016

Subject: Resolution recognizing March 2016 as Grand Jury Month in Contra Costa County

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Lauri Byers (925)
957-8860

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

ATTACHMENTS

Resolution No.

2016/62

*The Board of Supervisors of
Contra Costa County, California*

In the matter of:

Resolution No. 2016/62

Recognizing March 2016 as Grand Jury Month in Contra Costa County

WHEREAS, the Grand Jury system originated in England in the 12th century, it immigrated to the colonies and later moved westward to California; and

WHEREAS, while the primary role of the inquest in early England was as a means of apprehending and punishing criminals, records from the Grand Inquest state, “The inquest was required to present those whose duty was to keep in repair bridges, causeways and highways, for neglect of duty, to inquire into defects of goals and the nature thereof, who ought to repair them and who was responsible for any escapes which had occurred...”; and

WHEREAS, starting with what is now its indictment function, the criminal grand jury as we know it today slowly took on its civil, or “watchdog” responsibilities; and

WHEREAS, 600 years later, grand juries are still investigating agencies responsible for infrastructure and inquiring into jails; and

WHEREAS, the codification of grand jury law in California came about 1872 with the adoption of the Penal Code, where most all grand jury law resides; and

WHEREAS, in 1880, the grand jury was “authorized to investigate county governments, required to be impaneled annually to function specifically as watchdogs over county governments”; and

WHEREAS, throughout the entire history of California as a state, grand juries have played an important role as the most independent of any body to provide unbiased review of local government operations, seeking more efficient and effective means of utilizing the taxpayer dollar.

NOW, THEREFORE, BE IT RESOLVED that the Board of Supervisors of Contra Costa County does hereby proclaim March 2016 as "Grand Jury Month" in Contra Costa County and recognize the Contra Costa County Grand Jury for the valuable role it serves in our democratic system of government.

CANDACE ANDERSEN

Chair,
District II Supervisor

JOHN GIOIA
District I Supervisor

MARY N. PIEPHO
District III Supervisor

KAREN MITCHOFF
District IV Supervisor

FEDERAL D. GLOVER
District V Supervisor

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa,

By: _____, Deputy

Contra
Costa
County



To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Recognizing Tracey Walker for Twenty-Five Years of Service

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Arlene J. Lozada
(925)957-5269

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

ATTACHMENTS

Resolution No.

2016/85

*The Board of Supervisors of
Contra Costa County, California*

In the matter of:

Resolution No. 2016/85

Recognizing Tracey Walker for her twenty-five years of dedicated service in Contra Costa County.

WHEREAS, Tracey Walker began her career with Contra Costa County as a Clerk-Experienced Level with the District Attorney's Family Support Programs on January 3, 1991.

WHEREAS, Tracey, was promoted to the Court Compliance Lead Specialist position on July 2, 2001 and she received another promotion as Collection Enforcement II position on March 18, 2002.

WHEREAS, Tracey was transferred to the Health Services Department on January 1, 2011 and began working in the Public Health Division.

WHEREAS, at the HIV/AIDS and STD Unit of the Public Health Division, Tracey was given the responsibilities of a Disease Intervention Technician.

WHEREAS, Tracey provides HIV and Hepatitis C testing and counseling services and takes pride in providing client-centered education and counseling services to assist high-risk individuals in reducing their risk for HIV, Hepatitis C, and other Sexually Transmitted Diseases (STD).

WHEREAS, Tracey uses her strong communication skills to provide key prevention and testing information to the residents of Contra Costa County.

WHEREAS, Tracey continues to strive reaching high-risk community members for testing and education services.

WHEREAS, Tracey is a professional and demonstrates grace and tact when communicating with clients and co-workers.

WHEREAS, Tracey takes pride in her work and continuous to expand her knowledge of HIV/AIDS and STDs in order to be more effective in her assigned duties and responsibilities.

WHEREAS, Tracey is an asset to the Education, Prevention and Testing Team and her professionalism serve her well.

NOW, THEREFORE, BE IT RESOLVED that the Board of Supervisors recognize Tracey Walker for the twenty-five years of dedicated service to Contra Costa County.

CANDACE ANDERSEN

Chair,
District II Supervisor

JOHN GIOIA
District I Supervisor

MARY N. PIEPHO
District III Supervisor

KAREN MITCHOFF
District IV Supervisor

FEDERAL D. GLOVER
District V Supervisor

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa,

By: _____, Deputy



Contra
Costa
County

To: Board of Supervisors
From: Julia R. Bueren, Public Works Director/Chief Engineer
Date: March 8, 2016

Subject: Recognizing Jann Edmunds on her 25 years of service to Contra Costa County

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Karen Laws
925-313-2228

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

ATTACHMENTS

Resolution No.

2016/86

*The Board of Supervisors of
Contra Costa County, California*

In the matter of:

Resolution No. 2016/86

RECOGNIZING the contributions of Jann Edmunds on her 25 years of service to Contra Costa County.

WHEREAS in April of 1990, Jann Edmunds started her career with the Public Works Department as a Clerk Typist-Intermediate Level at the MonTara Bay Community Center; and

WHEREAS in October of 1996 Jann was promoted to Clerk-Experienced Level with the Public Works Administrative Services Division; and

WHEREAS in July of 1998 she was promoted to Clerk-Senior Level with the Public Works Administrative Services Division; and

Whereas in April of 1999 Jann transferred to the Transportation Engineering Division and worked as a Clerk-Senior Level until she transferred to the Real Estate Division; and

WHEREAS in 2000 Jann received the Award of Excellence in connection with the Rollingwood Traffic Survey packages for going above and beyond the call of duty, striving for and maintaining the highest of standards, always going the extra mile and doing more than what is expected; and

WHEREAS again in 2005 she was given the Award of Excellence for her excellent job in completing the Desk Reference Manual on time and demonstrating "Quality Service" by supporting Public Works Staff over the years; and

WHEREAS in 2006 Jann was a recipient of the J. Michael Walford Team of The Year Award for her contribution in the proactive approach to communicating with the communities and developing an outreach program through a newsletter "The Community Informer Road and Transportation Edition" in the Transportation Engineering Division; and

WHEREAS in January of 2006, Jann became a Real Property Technical Assistant in the Real Estate Division; and

WHEREAS in February of 2008, she promoted to Senior Real Property Technical Assistant in the Real Estate Division; and

WHEREAS Jann, as part of the Real Estate team that worked on the four phases of the SR4 East - Somersville to SR160 Project, played an integral part in the success of the teams timely delivery of the parcels necessary for the project; and

WHEREAS in 2013 Jann studied for and received a commission as a Notary Public of the State of California to provide services to Contra Costa County and further her contribution to the Real Estate Division; and

WHEREAS in May 2014, Jann graduated from Diablo Valley College completing her Associate of Science Degree in Business-Real Estate as a personal accomplishment in order to qualify for advancement into the Real Property Agent Series in the Real Estate Division; and

WHEREAS in November of 2014, Jann was promoted to Assistant Real Property Agent in the Real Estate Division; and

WHEREAS as a member of the International Right of Way Association, Jann holds the position of membership chair and helps facilitate those of us in the office and externally to stay connected to this professional organization; and

WHEREAS throughout all of this time Jann raised four wonderful children and is blessed by two beautiful grandchildren; and

WHEREAS she continues to contribute her time, energy and caring spirit to her church and people in her extended family who benefit greatly through her efforts; and

WHEREAS Jann is a pleasure to work with and has a great work ethic, she is an all-around wonderful person that was born and raised in Contra Costa County and has made a difference in the Public Works Department by delivering top quality services in each division that she has worked in; and

NOW, THEREFORE BE IT RESOLVED that Jann Edmunds be recognized for her 25 year anniversary of dedicated service to Contra Costa County and for the high quality of work performed by her during her career.

CANDACE ANDERSEN

Chair,
District II Supervisor

JOHN GIOIA
District I Supervisor

MARY N. PIEPHO
District III Supervisor

KAREN MITCHOFF
District IV Supervisor

FEDERAL D. GLOVER
District V Supervisor

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa,

By: _____, Deputy



Contra
Costa
County

To: Board of Supervisors
From: Beth Ward, Animal Services Director
Date: March 8, 2016

Subject: ASD Service Award 30 yr Sgt Terry DeCosta

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Beth Ward
335-8372

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

ATTACHMENTS

Resolution No.

2016/93

*The Board of Supervisors of
Contra Costa County, California*

In the matter of:

Resolution No. 2016/93

Honoring Sergeant Terry DeCosta for her Thirty Years of Dedicated Service in the Contra Costa County Animal Services Department.

WHEREAS Terry DeCosta began her career with the Contra Costa County Animal Services Department as an Animal Services Officer on December 2, 1985; and WHEREAS, because of Terry's industrious nature and commitment, she was promoted to Animal Services Sergeant on January 11, 2001; and WHEREAS Terry has diligently performed her duties as an Animal Services Sergeant with devotion and compassion; and WHEREAS Terry has dedicated numerous hours to forming a County Livestock Emergency Evacuation Response Team; and WHEREAS Terry has received and continues to receive letters of appreciation from the general public based on her kindness in the performance of her duties; and WHEREAS Contra Costa County Animal Services recognizes Terry's dedication and loyalty to her position for the past thirty years;

NOW, THEREFORE, BE IT RESOLVED that the Board of Supervisors recognizes Sergeant Terry DeCosta for her thirty years of dedicated service to Contra Costa County and for the high quality of work she performed and continues to perform for the Animal Services Department.

CANDACE ANDERSEN

Chair,
District II Supervisor

JOHN GIOIA

District I Supervisor

MARY N. PIEPHO

District III Supervisor

KAREN MITCHOFF

District IV Supervisor

FEDERAL D. GLOVER

District V Supervisor

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa,

By: _____, Deputy



Contra
Costa
County

To: Board of Supervisors
From: Candace Andersen, District II Supervisor
Date: March 8, 2016

Subject: Resolution recognizing March 2016 as Prescription Drug Abuse Awareness Month

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Lauri Byers (925)
957-8860

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

ATTACHMENTS

Resolution No.

2016/97

*The Board of Supervisors of
Contra Costa County, California*

In the matter of:

Resolution No. 2016/97

Proclaiming March 2016 as Prescription Drug Abuse Awareness Month.

Whereas, in 2014, 47,055 drug overdose deaths occurred, more than during any previous year on record; and

Whereas, in 2014, opioids, including prescription painkillers and heroin, were involved in 28,647 deaths, or 61% of all drug overdose deaths; and

Whereas, nonmedical use of prescription painkillers cost health insurers up to \$72.5 billion annually in direct health-care cost; and

Whereas, a new California statute makes naloxone, a life saving overdose rescue medication, available from pharmacists without a prescription for community members to have on hand to emergently reverse opioid overdoses in people at risk, Medication Assisted Treatment (MAT) with buprenorphine, methadone and naltrexone is available to assist people in recovering from their opioid substance use disorder; and

Whereas, while health care systems and practitioners are adopting guidelines for more cautious prescribing and handling of prescription pain medication, more effort is yet needed to address the epidemic of opioid abuse, heroin addiction and drug overdose in our communities; and

Whereas, since September 2010, a total of 5,525,021 pounds of expired and unwanted medication has been removed from circulation and possible diversion by the Drug Enforcement Administration (DEA) during its National Prescription Drug Take Back Days in cooperation with its state, local, tribal law-enforcement and community partners. The Contra Costa County Board of Supervisors supports April 30, 2016 as the next "National Prescription Drug Take Back Day" as declared by the DEA and encourages residents to locate their local collection site and safely dispose of their unwanted, unused prescription drugs on that day; and

Whereas, multiple coalitions are working together throughout Contra Costa County to reduce prescription drug abuse and misuse. The Contra Costa MEDS (Medication Education and Disposal Safety) Coalition engages local citizens, law enforcement, education representatives, civic and county leaders, county agencies and community based organizations to raise awareness about potential prescription drug abuse/misuse dangers and to promote safe medication storage and disposal. The East Bay Opioid Safety Coalition focuses on safe prescribing by hospital EDs, urgent care facilities and county and private practice prescribers; and

Whereas, families, schools, businesses, faith-based communities, law enforcement, medical professionals, county and local civic leaders and governments, health care practitioners, pharmacists and the general public will demonstrate their commitment to the prevention of prescription drug abuse and misuse by participating in activities intended to highlight and support local prevention efforts during the month of March.

Now, Therefore, Be It Resolved that the Board of Supervisors of Contra Costa County does hereby recognize March, 2016 as **Prescription Drug Abuse Awareness Month** in Contra Costa County and that all community members are encouraged to pledge, "Spread the word...One Pill Can Kill".

CANDACE ANDERSEN

Chair,
District II Supervisor

JOHN GIOIA

District I Supervisor

MARY N. PIEPHO

District III Supervisor

KAREN MITCHOFF

FEDERAL D. GLOVER

District IV Supervisor

District V Supervisor

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa,

By: _____, Deputy



Contra
Costa
County

To: Board of Supervisors
From: Karen Mitchoff, District IV Supervisor
Date: March 8, 2016

Subject: Honoring Joseph L. Campbell for his 25 Years of Service on the Contra Costa Water District Board of Directors

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Lia Bristol, (925)
521-7100

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

ATTACHMENTS

Resolution No.

2016/112

*The Board of Supervisors of
Contra Costa County, California*

In the matter of:

Resolution No. 2016/112

In the Matter of Honoring Joseph L. Campbell for his 25 years of service on the Contra Costa Water District Board of Directors

Whereas, Mr. Campbell was first elected to the Contra Costa Water District's Board of Directors in 1991 and most recently served as Board President, a role he has held most of his years on the Board; and

Whereas, Mr. Campbell represents eastern Concord, Clayton and part of Walnut Creek and Pleasant Hill. Mr. Campbell's "passion" is heavy construction and engineering. After 23 years in the heavy construction industry, Mr. Campbell sold his firm (Joseph L. Campbell, Inc.) in 1989. He is currently an independent businessman; and

Whereas, in 1988, Mr. Campbell served as co-chairman and a key fundraiser for the successful campaign to approve bonds for the District's \$450 million Los Vaqueros Reservoir Project, and he belonged to the steering committee for the statewide campaign against the Peripheral Canal in 1982; and

Whereas, until his election to the water district governing board, Mr. Campbell served as chair of the Contra Costa County Airport Land Use Commission, which regulates development that could affect air traffic safety at the county airports in Concord and Byron. He is a commercial pilot, and holds a single and multi-engine license with an instrument rating; and

Whereas, Mr. Campbell is a former vice president of the Concord Chamber of Commerce, and served as a member of the Concord General Plan Committee and the Founder Advisory Board of Concord Commercial Bank; and

Whereas, Mr. Campbell is a member of the Board of Directors of the East Bay Leadership Council and a member of the Concord Rotary Club. He is an Honorary Board Member of the Concord Historical Society; and

Whereas, he is a former member of the Walnut Creek Child Care Task Force, former parade chairman for the Walnut Festival Association, former board member of the Northgate High School Sports Boosters, and a former board member for the American Red Cross; and

Whereas, Mr. Campbell is past president and a founder of the Concord Economic Development Corporation, a partnership of the Concord Chamber of Commerce and the City of Concord.

Now, Therefore, Be It Resolved that the Board of Supervisors does hereby honor Joseph L. Campbell for the years of dedication and service to Contra Costa County and for his exemplary leadership on water issues and commitment to improving the lives of Contra Costa residents.

CANDACE ANDERSEN

Chair,
District II Supervisor

JOHN GIOIA

District I Supervisor

MARY N. PIEPHO

District III Supervisor

KAREN MITCHOFF

District IV Supervisor

FEDERAL D. GLOVER

District V Supervisor

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa,

By: _____, Deputy



Contra
Costa
County

To: Board of Supervisors
From: David Twa, County Administrator
Date: March 8, 2016

Subject: Presentation honoring Chief Probation Officer Philip Kader on his Retirement

FISCAL
IMPACT:

None.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: L. DeLaney,
925-335-1097

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

ATTACHMENTS

Resolution No.

2016/113

*The Board of Supervisors of
Contra Costa County, California*

In the matter of:

Resolution No. 2016/113

HONORING PROBATION CHIEF PHILIP KADER UPON HIS RETIREMENT



FROM CONTRA COSTA COUNTY

WHEREAS, Philip Kader has served the residents of Contra Costa County extraordinarily well for nearly six years as the Chief Probation Officer for the County, serving with dedication and distinction, with these years of service marked by his engaging, inclusive, and energetic leadership and personality; and

WHEREAS, Chief Kader has had an exemplary career in the field of Probation, spanning 34 years, having started as a Group Counselor in the Fresno County Probation Department in 1981; and

WHEREAS, Chief Kader has been recognized with numerous awards and commendations over the years including “Probation Manager of the Year 2003” by the Chief Probation Officers of California (CPOC); and,

WHEREAS, Chief Kader has advanced the field of Probation with his authorship of a multitude of publications and his presentation at a variety of conferences on far-reaching subjects including Restorative Justice; and,

WHEREAS, in 2015, Chief Kader performed admirably as the Chair of the Legislative Committee for the CPOC, successfully advocating for AB 231 (Eggman) related to parole and placement at release; and,

WHEREAS, Chief Kader played a critical role as Contra Costa County’s first Chair of the Community Corrections Partnership, ushering in AB 109 Public Safety Realignment with a spirit of innovation and a foundation of sound justice principles; and,

WHEREAS, Chief Kader has earned the affection of a host of residents and co-workers who are proud and delighted to call him “friend,” and,

WHEREAS, the Contra Costa County Probation Office has been most fortunate to have had a person of his capabilities, talents and dedication;

NOW, THEREFORE, IT IS BY THE BOARD RESOLVED that Philip Kader be recognized for his many contributions to the Contra Costa County Probation Office and receive the Board's best wishes for his future endeavors in retirement.

CANDACE ANDERSEN

Chair,
District II Supervisor

JOHN GIOIA

District I Supervisor

MARY N. PIEPHO

District III Supervisor

KAREN MITCHOFF

District IV Supervisor

FEDERAL D. GLOVER

District V Supervisor

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

David J. Twa,

By: _____, Deputy



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Introduce ordinance establishing an environmental health color-coded placard program for food facilities

RECOMMENDATION(S):

INTRODUCE Ordinance No. 2016-08, establishing an environmental health color-coded placard program for food facilities, WAIVE reading, and FIX March 15, 2016 for adoption.

FISCAL IMPACT:

The costs to administer the food facility placard program will be covered by existing permit fees. There will be no impact to the county's general fund, as the Environmental Health Division is fully cost covered by fees.

BACKGROUND:

According to the Centers for Disease Control and Prevention (CDC), there are over 47 million food-borne illness outbreaks every year in the United States. And it is estimated that forty percent of the food-borne illness outbreaks are associated with retail food establishments.

Environmental Health is proposing amendments to the county code to implement the Green Yellow Red Food Placarding program. Placarding programs have been shown in other jurisdictions to reduce reportable food-borne illness. The placarding program is part of Environmental Health's goal to improve food handling practices

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Marilyn Underwood,
692-2521

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: T Scott, M Wilelm, Marilyn Underwood

BACKGROUND: (CONT'D)

and protect public safety in Contra Costa food establishments.

The public is very interested in easily accessible information, and this placard system will provide easy access about food safety for that food facility. Food facility operators also have an interest because evidence of safe food handling practices tends to increase customers' trust and thus is good for business. The proposed placard program will supplement the online and smartphone app posting of food facility inspection results with a posting of the facility's food safety rating at its entrance.

In developing the placard program, Environmental Health considered food rating models that have been implemented, and chose to be consistent with other Bay Area counties in choosing the Green Yellow Red placard system. Currently, Alameda, Santa Clara, San Mateo, Marin, and Sonoma are using the Green Yellow Red placarding system. Environmental Health discussed and received feedback about the program details with 25 food facility operators at two focus groups held in October 2015. Additionally, a letter was sent in early December to 8,000 postal addresses and 2,300 email addresses associated with the 4,000 food facilities in the county reminding them of the proposed plan, inviting them to five meetings held in December, and referring them to the website where a video and other materials describe the placarding program (cchealth.org/placard).

The Green Yellow Red Program would visually inform the public of the compliance record of food establishments with a colored placard posted near the entrance to the facility. The colors will mimic a traffic light with green for "go" or "pass"; yellow for "conditional pass"; or red for "stop" or "closed". The color code placard is intended to:

- be easy to understand;
- increase public awareness;
- lead to increased compliance and food safety; and
- reduce food-borne illness factors.

The provisions of the ordinance are explained in more detail below:

The proposed ordinance adds Article 413-3.18 to the County Ordinance Code to establish a program consisting of color-coded placards and official inspection reports.

A placard indicates that Environmental Health has inspected a food facility to determine whether the food facility is in compliance with all applicable federal, state, and local laws pertaining to the protection of public health. The placard color is based upon inspection results. Green is used to indicate that a food facility has passed an inspection. Yellow is used to indicate that a food facility has conditionally passed an inspection. A yellow placard signifies that two or more violations exist at a food facility, and that the food facility must meet certain conditions to receive a green placard. Red is used to indicate that a food facility has not passed an inspection, its environmental health permit is suspended, and it is closed.

When Environmental Health issues a placard, it will also issue an official inspection report. The report is a notice that documents whether the food facility complies with all applicable federal, state, and local laws pertaining to the protection of public health, and describes all actions necessary to correct all violations noted in the report. After a food facility is inspected and issued a placard, it is unlawful to operate a food facility unless the placard is posted so as to be clearly visible to the general public and to patrons entering the food facility. The ordinance makes it illegal to deface, mar, camouflage, hide, or remove a placard.

CONSEQUENCE OF NEGATIVE ACTION:

CHILDREN'S IMPACT STATEMENT:

ATTACHMENTS

Ordinance No. 2016-08

ORDINANCE NO. 2016-08

ENVIRONMENTAL HEALTH PLACARD PROGRAM

The Contra Costa County Board of Supervisors ordains as follows (omitting the parenthetical footnotes from the official text of the enacted or amended provisions of the County Ordinance Code):

SECTION I. SUMMARY. This ordinance adds Article 413-3.18 to the County Ordinance Code to establish a color-coded placard program for food facilities.

SECTION II. Article 413-3.18 is added to the County Ordinance Code, to read:

**Article 413-3.18
Placard Program**

413-3.1802 Placard Program Established. This article establishes a placard program for food facilities, as authorized by California Health and Safety Code section 113709. The program consists of color-coded placards issued by the health officer and official inspection reports issued by the health officer. (Ord. 2016-08 § 2.)

413-3.1804 Applicability.

- (a) The requirements of this article apply to all food facilities for which an environmental health permit is required under this chapter, unless a facility or operation is exempt under this section.
- (b) The following are exempt from the requirements of this article: temporary food facilities, certified farmers' markets, cottage food operations, mobile food facilities selling only whole uncut produce, mobile food facilities selling only prepackaged non-potentially hazardous foods, mobile food facilities selling only prepackaged ice cream, mobile support units, and vending machines. A facility or operation that is exempt from the placard requirements of this article must comply with all other applicable laws and permitting requirements, including but not limited to all applicable requirements of this chapter and the California Retail Food Code, Health and Safety Code section 113700 et seq. (Ord. 2016-08 § 2.)

413-3.1806 Issuance of Placards and Official Inspection Reports. A color-coded placard issued by the health officer indicates that a food facility has been inspected by the health officer to determine whether the food facility is in compliance with all applicable federal, state, and local laws pertaining to the protection of public health. After completing an inspection of a food facility, the health officer will issue the appropriate color-coded placard to the food facility. The appropriate color of the placard is determined by the health officer based upon inspection results.

- (a) The color green is the color used for a placard indicating that a food facility has passed an inspection. A food facility receives a green placard if no more than one violation is noted during an inspection.

- (b) The color yellow is the color used for a placard indicating that a food facility has conditionally passed an inspection. A food facility receives a yellow placard if two or more violations are noted during an inspection. A yellow placard signifies that conditions must be met for a food facility to receive a green placard. A yellow placard may be issued if a food facility does not meet one or more conditions imposed under a previous yellow placard, even if a green placard is subsequently issued.
- (c) The color red is the color used for a placard indicating that a food facility has not passed an inspection and its environmental health permit is suspended under section 413-3.1408. Upon the issuance of a red placard and the suspension of a permit under section 413-3.1408, the red placard shall be posted until the permit is reinstated. A red placard is a notice of closure of a food facility.
- (d) The color white is the color used for a placard indicating that the issuance of a green, yellow, or red placard is pending. A white placard may be issued after the initial opening of a new food facility, after a change in ownership of a food facility, or after the reinstatement of a suspended environmental health permit. (Ord. 2016-08 § 2.)

413-3.1808 Issuance of Official Inspection Reports. An official inspection report issued by the health officer is a written notice, prepared and issued after the health officer inspects a food facility, that documents whether the food facility complies with all applicable federal, state, and local laws pertaining to the protection of public health. An official inspection report describes all actions necessary to correct all violations noted in the report. (Ord. 2016-08 § 2.)

413-3.1810 Posting of Placards.

- (a) After a food facility is inspected and issued a placard, it is unlawful to operate a food facility unless the placard is posted in accordance with this section.
- (b) A placard shall be posted so as to be clearly visible to the general public and to patrons entering the food facility. “Clearly visible to the general public and to patrons” means:
 - (1) Posted in the front window of a fixed food facility within five feet of the front door; or
 - (2) Posted in a display case mounted on the outside front wall of a fixed food facility within five feet of the front door; or
 - (3) Posted in the service window of a mobile food facility; or
 - (4) Posted in a location approved by the health officer to ensure proper notice to the general public and to patrons of the food facility.
- (c) No more than one placard shall be posted. Only the most recently issued placard shall be posted.

- (d) If a placard is damaged or altered, the permittee shall immediately contact the health officer for a replacement.
- (e) A placard is valid from the time of issuance until a new inspection or a change in ownership.
- (f) In addition to the placard, a copy of the official inspection report shall be maintained at the food facility and shall be available to the public for review upon request. The official inspection report shall be kept at the food facility until the health officer issues a new placard and official inspection report. (Ord. 2016-08 § 2.)

413-3.1812 Placard Tampering, Removal, and Violations.

- (a) A placard shall not be defaced, marred, camouflaged, hidden, or removed.
- (b) Removal of a placard, including the removal and replacement of a placard with a document not issued by the health officer, is a violation of this chapter and is punishable as specified in this chapter. In addition, if a placard is removed from a food facility, the food facility is subject to one or more reinspections until the correct placard is properly displayed and all associated fees are paid. (Ord. 2016-08 § 2.)

SECTION III. EFFECTIVE DATE. This ordinance becomes effective 30 days after passage, and within 15 days after passage shall be published once with the names of supervisors voting for or against it in the Contra Costa Times, a newspaper published in this County.

PASSED on _____, by the following vote:

AYES:
 NOES:
 ABSENT:
 ABSTAIN:

ATTEST: DAVID J. TWA,
 Clerk of the Board of Supervisors
 and County Administrator

 Board Chair

By: _____
 Deputy

[SEAL]

TLG:

H:\2016\Environmental Health\placard ord - final.wpd



Contra
Costa
County

To: Board of Supervisors
From: Kathy Gallagher, Employment & Human Services Director
Date: March 8, 2016

Subject: Accept the Resignation of Barbara Ward from the In-Home Supportive Services Public Authority and DECLARE the Vacancy.

RECOMMENDATION(S):

ACCEPT the Resignation of Barbara Ward from the In-Home Supportive Services Public Authority Advisory Committee, Consumer of Any Age, Seat 4, and DIRECT the Clerk of the Board to post the vacancy as recommended by the Employment and Human Services Department Director.

FISCAL IMPACT:

None

BACKGROUND:

The Board of Supervisors established the In-Home Supportive Services (IHSS) Public Authority Advisory committee in March 1998. Its purpose is to serve in an advisory capacity to the Public Authority Governing Board, Contra Costa County Board of Supervisors, Public Authority staff and administrators of In-Home Supportive Services.

CONSEQUENCE OF NEGATIVE ACTION:

IHSS Public Authority Advisory Committee will be unable to fill Consumer Any Age, Seat 4.

CHILDREN'S IMPACT STATEMENT:

Not applicable.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD COMMITTEE

Action of Board On: 03/08/2016 APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Elaine Burres,
313-1717

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:



Contra
Costa
County

To: Board of Supervisors
From: John Gioia, District I Supervisor
Date: March 8, 2016

Subject: ACCEPT the resignation of Sharon Thygessen from the El Sobrante Municipal Advisory Council

RECOMMENDATION(S):

ACCEPT the resignation of Sharon Thygessen, DECLARE a vacancy in the Appointed Seat 2 on the El Sobrante Municipal Advisory Council, and DIRECT the Clerk of the Board to post the vacancy, as recommended by Supervisor Gioia.

FISCAL IMPACT:

None

BACKGROUND:

The El Sobrante Municipal Advisory Council advises the Board of Supervisors on: 1) Services which are or may be provided to unincorporated El Sobrante by the County or other local governmental agencies. Such services include, but are not limited to, public health, safety, welfare, public works, and planning, 2) the feasibility of organizing the existing special districts serving unincorporated El Sobrante in order to more efficiently provide public services such as, but not limited to, water, sewer, fire, and parks and recreation, 3) representing unincorporated El Sobrante before the Local Agency Formation Commission on proposed boundary changes affecting the community, 4) representing unincorporated El Sobrante before the County Planning Commission(s) and the Zoning Administrator on land use and other planning matters affecting the community. In this regard, the Council shall cooperate with any other planning advisory bodies in unincorporated El Sobrante in order to avoid duplication and delay in the planning process, 5) Provide input and reports to the Board of Supervisors, County staff, or any other County hearing body on issues of concern to unincorporated El Sobrante, and 6) representing unincorporated El Sobrante before other public entities and agencies. It is understood that the Board of Supervisors is the final decision making authority with

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: James Lyons,
510-231-8692

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

respect to issues concerning unincorporated El Sobrante.

Mrs. Thygessen has been serving the El Sobrante Municipal Advisory Council successfully for many years and is now resigning for personal reasons.



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Declare Emergency Medical Care Committee (EMCC) Vacant Seats

RECOMMENDATION(S):

ACCEPT resignation of Mike Smith, DECLARE vacant Seat B2 – American Heart Association, on the Emergency Medical Care Committee (EMCC) and DIRECT the Clerk of the Board to post the vacancy as recommended by the Health Services Director.

FISCAL IMPACT:

No General Fund impact.

BACKGROUND:

Resignation of Seat B2 appointee Mick Smith, submitted to the EMCC on February 23, 2016.

CONSEQUENCE OF NEGATIVE ACTION:

Failure to declare the vacancy will delay making a new appointment to the seat.

CHILDREN'S IMPACT STATEMENT:

Not applicable.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Patricia Frost,
646-4690

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Tasha Scott, M Wilhelm, Leticia Andreas



Contra
Costa
County

To: Board of Supervisors
From: INTERNAL OPERATIONS COMMITTEE
Date: March 8, 2016

Subject: RECOMMENDATIONS FOR APPOINTMENTS TO THE INTEGRATED PEST MANAGEMENT ADVISORY COMMITTEE

RECOMMENDATION(S):

Appoint the following individuals to the Integrated Pest Management Advisory Committee:

<u>Name</u>	<u>Seat</u>	<u>Term Expiration</u>
Susan Captain, Moraga	At Large #1	12/31/19
James Donnelly, Danville	At Large #3	12/31/18
Wayne Lanier, PhD, Walnut Creek	Public Member Alternate	12/31/18

BACKGROUND:

The Integrated Pest Management (IPM) Advisory Committee was established by the Board of Supervisors in November 2009 to advise the Board regarding the protection and enhancement of public health, County resources, and the environment related to pest control methods employed by County departments. The IPM Committee has eight voting members as follows: two ex-officio members (Health Services Department and County/Unincorporated County Storm Water Program) and six public members (one Public and Environmental Health Advisory Board representative, one County Fish and Wildlife Committee representative, one Environmental Organizations representative, and three At Large appointees); plus one Public Member Alternate seat. Terms of office for the At

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Julie DiMaggio Enea
(925) 335-1077

, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

>

Large and Alternate seats reviewed by the Internal Operations Committee have recently been extended from two to four years at the direction of the IOC.

On December 31, 2015, the terms of the At Large #1 and #3, and the Public Member Alternate seats expired. On February 29, the IOC conducted a group interview of seven candidates and is recommending appointment of three candidates. Attached is a summary of the IPM Roster effective 1/5/16 and the applications of all candidates who were considered by the IOC.

CONSEQUENCE OF NEGATIVE ACTION:

Should the Board elect not to approve the appointments, then the general public will not be adequately represented on the IPM Advisory Committee.

ATTACHMENTS

1/5/16 IPM Roster

Candidate Application_IPM_Larry Brunink

Candidate Application_IPM_Susan Captain

Candidate Application_IPM_Kelly Davidson

Candidate Application_IPM_James Donnelly

Candidate Application_IPM_Nati Flores

Candidate Application_IPM_Wayne Lanier

Candidate Application_IPM_Justin B. Sinclair

ATTACHMENT A

**INTEGRATED PEST MANAGEMENT
ADVISORY COMMITTEE
ROSTER
(As of January 5, 2016)**

Seat Title	Appointee Name	Work Address or Affiliation	BACKGROUND	Term Expiration	Voting?
Agriculture Commissioner	Chad Godoy	2366 Stanwell Circle, Concord, CA 94520	Agriculture, pesticide regulation, IPM	None	NO
General Services Deputy Director or Designee	Jerry Casey	2467 Waterbird Way Martinez, CA 94553	Facilities management	None	NO
Public Works Deputy Director or Designee	Allison Knapp	255 Glacier Dr., Martinez, CA 94553	Flood control engineer	None	NO
County Pest Management Contractor	Carlos Agurto	Pestec IPM Provider, 1804 Sanger Peak Ct., Antioch, CA 94531	Structural IPM, entomology, vertebrate pest management	December 31, 2017	NO
Health Services Department Representative	Michael Kent	597 Center, Ste 100, Martinez, CA 94553	Hazardous materials, IPM, etc.	None	YES
County/Unincorporated County Storm Water Program Representative	Cece Sellgren	255 Glacier Dr. Martinez, CA 94553	Storm Water management, clean water issues, grazing	None	YES
Public and Environmental Health Advisory Board Representative	Vacant (was Marj Leeds)				YES
Public Member – Fish and Wildlife Committee Representative	Susan Heckly	Fish and Wildlife Committee	Wildlife, IPM, worked in the Lindsay Wildlife Museum	December 31, 2019	YES
Public Member 1 – Type 2 At Large	Vacant			December 31, 2019	YES
Public Member 2 – Type 2 At Large	Andrew Sutherland	U.C. Cooperative Extension Urban IPM Advisor	UC Cooperative Extension Urban IPM specialist for the Bay Area, entomologist, experience in plant nurseries	December 31, 2019	YES
Public Member 3 – Type 2 At Large	Vacant			December 31, 2018	YES
Environmental Organization – Type 3 At Large Seat	Jim Cartan	Save Mt. Diablo, Conservation Assoc.	Invasive species management, invasive weed management, natural area stewardship, habitat restoration, worked for the National Park Service at the Golden Gate National Recreation Area	December 31, 2018	YES
Public Member Alternate	Vacant			December 31, 2018	Only if a public at-large member/PEH AB rep/F&W rep is absent



Contra
Costa
County

RECEIVED

FEB 16 2016

CLERK BOARD OF SUPERVISORS
CONTRA COSTA CO.

For Office Use Only

Date Received:

For Reviewers Use Only:

Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:

Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292

PLEASE TYPE OR PRINT IN INK

(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Integrated Pest Management Advisory Com.

Regular Public Seat

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. Name: Brunink Larry Allen
(Last Name) (First Name) (Middle Name)

2. Address: [Redacted] Concord, CA 94521
(No.) (Street) (Apt.) (City) (State) (Zip Code)

3. Phones: none [Redacted]
(Home No.) (Work No.) (Cell No.)

4. Email Address: [Redacted]

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved B.A.

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) Michigan State University, East Lansing, MI	Communication	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		180	B.A.	June, 1982
B)		Yes <input type="checkbox"/> No <input type="checkbox"/>				
C)		Yes <input type="checkbox"/> No <input type="checkbox"/>				
D) Other schools / training completed:	Course Studied	Hours Completed	Certificate Awarded: Yes <input type="checkbox"/> No <input type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> 10/2001 <input type="text"/> current Total: <u>Yrs.</u> <input type="text"/> <u>Mos.</u> <input type="text"/> <input type="text"/> 14 years <input type="text"/> 3 months Hrs. per week <input type="text"/> 40 . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Business Developer Employer's Name and Address <input type="text"/> Rubicon Enterprises Inc., dba Rubicon Landscape 1952 Wright Ave Richmond, CA 94804</p>	<p>Duties Performed <input type="text"/> Prospect and develop private and public sector business opportunities for a commercial landscape company, concentrating on development of landscape maintenance opportunities. <input type="text"/> Responsible for reviewing or determining a Scope of Work, developing price estimates and responding to formal RFP's.</p>
<p>B) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> July, 2003 <input type="text"/> June, 2001 Total: <u>Yrs.</u> <input type="text"/> <u>Mos.</u> <input type="text"/> <input type="text"/> 8 years <input type="text"/> Hrs. per week <input type="text"/> 40 . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Branch Manager Employer's Name and Address <input type="text"/> TruGreen Lawn Care 3950 Laura Alice Way Concord, CA 94521</p>	<p>Duties Performed <input type="text"/> Managed profit/loss objectives while also managing all sales, operations and administrative aspects of a corporate branch office. <input type="text"/> Supervised and provided pesticide safety training to route drivers who applied fertilizer, weed control, and insect control treatments to residential and commercial customer landscapes.</p>
<p>C) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> 09/1989 <input type="text"/> 06/1993 Total: <u>Yrs.</u> <input type="text"/> <u>Mos.</u> <input type="text"/> <input type="text"/> 3 years <input type="text"/> 9 months Hrs. per week <input type="text"/> 49 . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Branch Manager Employer's Name and Address <input type="text"/> Tru Green Lawn Care Walton Hills, Ohio</p>	<p>Duties Performed <input type="text"/> Same as above</p>
<p>D) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> 12/84 <input type="text"/> 08/1989 Total: <u>Yrs.</u> <input type="text"/> <u>Mos.</u> <input type="text"/> <input type="text"/> 4 years <input type="text"/> 8 monthsss Hrs. per week <input type="text"/> 40 . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Branch Manager Employer's Name and Address <input type="text"/> Tru Green Lawn Care Various East Coast Locations: Providence RI, Philadelphia, PA, and Boston, MA</p>	<p>Duties Performed <input type="text"/> Same as Above.</p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other Received Email

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

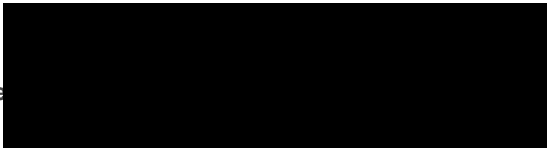
If Yes, please identify the nature of the relationship:

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

If Yes, please identify the nature of the relationship:

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name



Date: 2-15-2016

Important Information

1. This application is a public document and is subject to the California Public Records Act (CA Gov. Code §6250-6270).
2. Send the completed paper application to the Office of the Clerk of the Board at: **651 Pine Street, Room 106, Martinez, CA 94553.**
3. A résumé or other relevant information may be submitted with this application.
4. All members are required to take the following training: 1) The Brown Act, 2) The Better Government Ordinance, and 3) Ethics Training.
5. Members of boards, commissions, and committees may be required to: 1) file a Statement of Economic Interest Form also known as a Form 700, and 2) complete the State Ethics Training Course as required by AB 1234.
6. Advisory body meetings may be held in various locations and some locations may not be accessible by public transportation.
7. Meeting dates and times are subject to change and may occur up to two days per month.
8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.


Concord, CA 94521

February 12, 2016

Contra Costa County
Clerk of the Board
651 Pine St. Rm 106
Martinez, CA 93553-1292

To Whom It May Concern:

Subject: Application for Regular Seat on Contra Costa Integrated Pest Management Advisory Committee

My name is Larry A. Brunink and I have been a resident of Contra Costa County since July, 1993. I am writing this letter to expand upon my background in Integrated Pest Management and interest in applying for a regular member seat on the Contra Costa IPM Advisory Committee.

As you review my application, I would like you to consider the following:

1. I have over 30 years of professional experience in the landscape industry including over 14 years with Rubicon Landscape, my current employer. For my first eleven years I split my time between landscape construction estimating and business development. Since April, 2012, I have been dedicated fulltime to business development for our landscape maintenance division.
2. I have an excellent working knowledge of IPM and sustainable landscaping practices being initiated and/or required by other public agencies and municipalities in the Bay Area. As the Business Developer for Rubicon Landscape, My responsibilities include reviewing the scope of work associated with municipal landscape maintenance bids and RFP's and developing a SOW for private property owners.

Rubicon Landscape is currently under contract with several local public agencies and municipalities, including: City of El Cerrito, City of Hercules, Richmond Housing Authority, Port of Oakland, Alameda Power and Telecom, Tamalpais Community Services District (no pesticide program), City of Pleasanton and City and County of San Francisco.

Rubicon Landscape was initially founded over 30 years ago as an initiative of Rubicon Programs Inc., a Richmond based non-profit. Our revenues are transferred to Rubicon Programs, to help it develop its capacity to serve more East Bay Residents. As part of our social mission, we contract with the VA Medical System-Palo Alto, to maintain the VA Medical Campuses in Palo Alto, Menlo Park, and Livermore and Coast Guard Island, Alameda, through a federal program known as Ability One. This program allows federal agencies to contract directly with non-profit agencies that employ persons with disabilities to provide the contracted services.

At Coast Guard Island, we are currently implementing a new Scope of Work, based on the new *Guidelines on Sustainable Landscaping for Federal Agencies*.

Rubicon also contacts with the CA Department of Public Health to maintain their Richmond campus through a similar state-level program.

So my working knowledge of the IPM standards being implemented by other local governments as they put landscape work out to bid, is one asset I would bring to the committee.

3. I have a history of pesticide licensing having possessed a State of California Qualified Applicator's License (#105661), in categories B, Landscape Maintenance, and C, Right of Way Pest Control, since 1994. Prior to that time, I held similar applicator licenses in Ohio, Pennsylvania, Massachusetts, and Rhode Island, dating back to 1987.

4. In my previous capacity with TruGreen Lawn Care, as a Branch Manager, I possessed the applicators' license we used on our branch office registration. I actively trained and supervised up to 15 route drivers who might apply weed or insect control as they fertilized our residential customer's lawns. I was also responsible for filing Pesticide Usage Reports and maintaining training records.

5. I also have a background in vegetation control. In my employment with TruGreen, I have previously served as Project Manager for vegetation control projects for regional transit agencies, ranging from the South-East Pennsylvania Transit Authority (Philadelphia), PATransit, (Pittsburg), Regional Transit Authority (RTA-Cleveland) and SF BART.

In summary, I believe I am a qualified candidate if the committee sees benefit in adding landscape professional to the committee with an excellent background in IPM as it applies to lawns, landscapes and right-of-ways, with the added benefit of having a new member that is Bay-Friendly Qualified, and has a working knowledge of IPM practices used by several other public agencies.

Thank you for giving consideration to my application.

Sincerely,

A handwritten signature in black ink, appearing to read 'Larry A. Brunink', with a large, stylized flourish at the end.

Larry A. Brunink



Contra
Costa
County

RECEIVED
FEB 08 2016
CLERK BOARD OF SUPERVISORS
CONTRA COSTA COUNTY

For Office Use Only
Date Received:

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:
Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Contra Costa IPM Advisory Commitee
PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

regular seat 10R Act.
PRINT EXACT SEAT NAME (if applicable)

1. Name: Captain Susan Marie
(Last Name) (First Name) (Middle Name)

2. Address: [Redacted] Moraga CA 94556
(No.) (Street) (Apt.) (City) (State) (Zip Code)

3. Phones: [Redacted]
(Home No.) (Work No.) (Cell No.)

4. Email Address: [Redacted]

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved B.S.c statistics

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) Al-Mustansarya university - IRAQ	Statistics	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>	12		B.S.c	1981
B)		Yes No <input type="checkbox"/> <input type="checkbox"/>				
C)		Yes No <input type="checkbox"/> <input type="checkbox"/>				
D) Other schools / training completed: DVC	Course Studied Computer Tech Support	Hours Completed 37	Certificate Awarded: Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) From <u> </u> To <u> </u> <input type="text" value="3-3-2005"/> <input type="text" value="Present"/> Total: Yrs. <input type="text"/> Mos. <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text" value="President grower"/> Employer's Name and Address <input type="text" value="Captain Vineyards"/> <input type="text" value="1969 Joseph Dr."/> <input type="text" value="Moraga, CA 94556"/></p>	<p>Duties Performed <input type="text" value="Hands on vineyard management, pruning, thinning, spraying, netting harvesting & managing logistics."/></p>
<p>B) Dates (Month, Day, Year) From <u> </u> To <u> </u> <input type="text"/> <input type="text"/> Total: Yrs. <input type="text"/> Mos. <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Employer's Name and Address <input type="text"/></p>	<p>Duties Performed <input type="text"/></p>
<p>C) Dates (Month, Day, Year) From <u> </u> To <u> </u> <input type="text"/> <input type="text"/> Total: Yrs. <input type="text"/> Mos. <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Employer's Name and Address <input type="text"/></p>	<p>Duties Performed <input type="text"/></p>
<p>D) Dates (Month, Day, Year) From <u> </u> To <u> </u> <input type="text"/> <input type="text"/> Total: Yrs. <input type="text"/> Mos. <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Employer's Name and Address <input type="text"/></p>	<p>Duties Performed <input type="text"/></p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

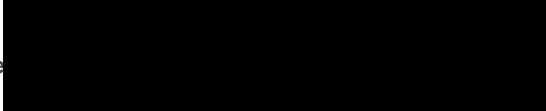
If Yes, please identify the nature of the relationship:

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

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I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name



Date:

2-5-2016

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5. Members of boards, commissions, and committees may be required to: 1) file a Statement of Economic Interest Form also known as a Form 700, and 2) complete the State Ethics Training Course as required by AB 1234.
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7. Meeting dates and times are subject to change and may occur up to two days per month.
8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.

Susan M. Captain

██████████ Moraga CA. 94556, ██████████

2005- current

President, Captain Vineyards, LLC. Boutique vineyard and winery in Moraga

- Attended extensive classes in small vineyard development and Management at **UC Davis extension**
- Holder of a **Private Applicator Permit** from the CCC Ag department for 10 years
- Produced high quality grape using best sustainable practices and capitalizing on **integrated pest management** techniques (IPM)
- A **founding member** of the Lamorinda wine growers Association (LWGA).
- **Leading voice in educating** members of LWGA in sustainable practices in vineyards and gardens
- The only **4-H viticulture project** leader in the area for teens.
- Part of the Miramonte High School **Wise project for seniors.**
- **Certified Bay Friendly Landscape professional**
- Served as a **President of Lamorinda wine growers association** for 2 years and currently on the board
- Captain Vineyards received Green, sustainable, watersmart, pollution prevention awards since 2010
- Member of the **California code of sustainable winegrowing** since 2008
- Captain Vineyards is a **Dry Farmed vineyard** since 2007.

- **NPDN Certified** since 2011-National Plant Diagnostic network-
- Fieldworker & pesticide Handler **instructor** training program since 2011
- **Lead Classes** in Viticulture and Enology through the local Park and Recreation for 9 years

1998-2007

Miramonte High School

Orinda, CA

National Speech and Debate Judge and assistant to the coach

- Volunteered for the Speech and Debate Program. Assisted in hosting, traveling, supporting the team in state and national competitions
- Chaperoned team to Oregon, Oklahoma, and North Carolina

Coach, Miramonte High School Academic Decathlon Team

- Coached the Team to win the county competition. Represented CCC at the state convention, Los Angeles 2005-2006.
- Coached the Team to win second in the County 2006-2007.

Education:

- Bachelor of Science, **B.Sc. Statistics**, Al-Mustansarya University, School of Business Administration and Computer Science, Baghdad, Iraq, 1981

Continuing Education:

- DVC, Saddle Back College, De Anza College,



Certificate of First Detector Training Completion

is hereby granted

Susan Captain

for completion of core "First Detector" training modules.

March 24, 2015

Yountville, California

This certificate has been approved by

Martin Draper, PhD, NPPDN Chair and

Rachel McCarthy MS., Chair of NPPDN Training and Education

Training Session Coordinator

Signature

*City of Napa • Napa County Stormwater Pollution Prevention Program
City of American Canyon • California Native Plant Society - Napa Valley Chapter
Napa County Resource Conservation District • Town of Yountville
City of St. Helena • City of Calistoga*

Susan Captain

has met the requirements to become a

**Qualified Bay-Friendly Landscape
Maintenance Professional**



Patrick Costello

Patrick Costello, City of Napa

Debi Tidd

Debi Tidd, Bay-Friendly Coalition

University of California
Agriculture and Natural Resources

Statewide IPM Program



TRAINER CERTIFICATION AWARDED TO

Susan Captain

UPON COMPLETION OF

WPS FIELDWORKER & PESTICIDE HANDLER INSTRUCTOR TRAINING PROGRAM

Sponsored by UC Statewide IPM Program

On the 2nd day of April, 2011

A handwritten signature in black ink, appearing to read 'Susan Captain'.

Guadalupe (Lupe) Sandoval,
Trainer: Sandoval Bilingual Safety Solutions

Napa County UCCE
Location



Contra Costa County

RECEIVED FEB 16 2016 BOARD OF SUPERVISORS CONTRA COSTA CO.

For Office Use Only Date Received:

For Reviewers Use Only: Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO: Contra Costa County CLERK OF THE BOARD 651 Pine Street, Rm. 106 Martinez, California 94553-1292 PLEASE TYPE OR PRINT IN INK (Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Contra Costa IPM Advisory Committee

Public

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. Name: Davidson Kelly (Last Name) (First Name) (Middle Name)

2. Address: Clayton CA 94517 (No.) (Street) (Apt.) (City) (State) (Zip Code)

3. Phones: None (Home No.) (Work No.) (Cell No.)

4. Email Address:

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma [x] G.E.D. Certificate [] California High School Proficiency Certificate []

Give Highest Grade or Educational Level Achieved Master of Science - Education

Table with 6 columns: Names of colleges / universities attended, Course of Study / Major, Degree Awarded, Units Completed, Degree Type, Date Degree Awarded. Rows include Oregon State University (MNR), Oregon State University (Wildlife Management), Cal State University (Education), and Other schools / training completed.

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) From <u>11/1/2010</u> To <u>Present</u> Total: <u>5</u> Yrs. <u>2</u> Mos. Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p>Title District Biologist Employer's Name and Address Mt. View Sanitary District PO Box 2757 Martinez, CA 94553</p>	<p>Duties Performed I manage 140 acres of wetlands, including McNabney Marsh and Moorhen Marsh. I administer the District's public education program including the Wetlands Field Trip program that emphasizes reducing water pollution. I manage the western pond turtle study and the annual nesting bird surveys in the District's wetlands.</p>
<p>B) Dates (Month, Day, Year) From <u>11/1/2003</u> To <u>10/31/2010</u> Total: <u>7</u> Yrs. <u>0</u> Mos. Hrs. per week <u>30</u> . Volunteer <input type="checkbox"/></p>	<p>Title Environmental Education Coordinator Employer's Name and Address Mt. View Sanitary District PO Box 2757 Martinez, CA 94553</p>	<p>Duties Performed As an independent contractor, I managed the District's pollution prevention, wetland conservation, and public education programs.</p>
<p>C) Dates (Month, Day, Year) From <u>8/1/2004</u> To <u>6/1/2005</u> Total: <u>0</u> Yrs. <u>10</u> Mos. Hrs. per week <u>15</u> . Volunteer <input type="checkbox"/></p>	<p>Title Teaching Consultant - Sewer Science Employer's Name and Address Central Contra Costa Sanitary District 5019 Imhoff Place Martinez, CA 94553</p>	<p>Duties Performed As an Independent contractor, I taught the 5-day in-class high school program called "Sewer Science" that taught the importance of protecting water quality for public health and environmental protection. The program discussed how human activities impact water quality and the ability of wastewater treatment plants to clean the water.</p>
<p>D) Dates (Month, Day, Year) From <u>1/2/2001</u> To <u>6/15/2002</u> Total: <u>1</u> Yrs. <u>6</u> Mos. Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p>Title Public Information Specialist Employer's Name and Address Contra Costa Water District 1331 Concord Avenue Concord, CA 94520</p>	<p>Duties Performed Interviewed, evaluated, and contracted with Environmental Education Instructors to lead a variety of school programs that serviced more than 30,000 students per year. Facilitated the interpretive exhibit design team for the Los Vaqueros Interpretive Center's public exhibits. Wrote water quality brochures and annual reports.</p>

WETLAND ECOLOGY | ENVIRONMENTAL EDUCATION | PROGRAM ADMINISTRATION

AREAS OF EXPERTISE

- *SF Bay Area Wetland Ecology*
- *Aquatic Bird ID and Natural History*
- *Western Pond Turtle Biology and Ecology*
- *Acute Toxicity Bioassay Testing Techniques*
- *RFP and Contract Administration*
- *Interpretive Exhibit Design*
- *Newsletter Design & Publication*
- *Curriculum Development*

EDUCATION & TRAINING

Oregon State University
Master of Natural Resources – anticipated completion, June 2017

Oregon State University
Wildlife Management, Graduate Certificate – September 2015

California State University, East Bay
Environmental Education, MS – June 2004

California State University, East Bay
Biological Anthropology, BA – June 1999 – Magna Cum Laude

Special Training

- Workshop on Western Pond Turtle biology, natural history, and species identification - 2015 and 2011
- Seminar in Water Quality Regulation and Permitting - 2013
- Seminar on “The Migratory Bird Treaty Act: Reshaping a Powerful Conservation Tool” - 2011
- Workshop on the biology and identification of special status pond species including: CA Red-legged Frog, CA Tiger Salamander, and Western Pond Turtle - 2010
- 4-day workshop on bat identification and survey techniques with Merlin Tuttle - 1994

CAREER ACCOMPLISHMENTS

WETLAND ECOLOGY & WILDLIFE BIOLOGY

- As District Biologist for Mt. View Sanitary District (MVSD) developed, recommended, and directed the implementation of various natural resource management programs including wildlife and vegetation management programs and habitat enhancement projects.
- Managed CA Clapper Rail and CA Black Rail Surveys and Management Plan for McNabney Marsh 2014-2015.
- Administered the creation of the Moorhen Marsh Management Plan 2012-2013.
- Managed the McNabney Marsh Cyanobacteria Study with the University of California at Santa Cruz - 2012
- Managed and conducted research on the Western Pond Turtle using UHF and VHF telemetry technology to establish habitat use and movement patterns in Moorhen Marsh 2012-2015.
- Managed the McNabney Marsh Nesting Bird Surveys since 2011.
- Served as Co-chair of the Peyton Slough Wetlands Advisory Committee.
- As an independent biologist, assisted with surveys of threatened and endangered species including: California Red-legged Frog and CA Tiger Salamander 1998-2004.

PROFESSIONAL PROFILE

Mt. View Sanitary District ***November 2010 - Present***
District Biologist

The Wildlife Project ***June 2000 - October 2010***
Associate Wildlife Biologist – Independent Contractor

Mt. View Sanitary District ***November 2003 - October 2010***
Environmental Education Coordinator – Independent Contractor

Alameda County Resource Conservation District ***May 2003 - December 2003***
Curriculum Consultant – Independent Contractor

Contra Costa Water District ***January 2001 - June 2002***
Public Information Specialist & Environmental Education Coordinator

Hayward Shoreline Interpretive Center ***August 1995 - December 2000***
Program Director

Hayward Shoreline Interpretive Center ***June 1990 - July 1995***
Wetlands Naturalist

VOLUNTEER PROFILE

The East Contra Costa County Habitat Conservancy ***March 2012 - Present***
Public Advisory Committee Member

The National Pony Society - United Kingdom ***March 2008 - July 2015***
Chairman of American Chapter - NPS America

The Dales Pony Society of America ***February 2006 - Present***
Registrar, Secretary, and Newsletter Editor

MEMBER ORGANIZATIONS

The Society for Conservation Biology ***2012 - Present***

The Wildlife Society ***2010 - Present***
National and Western Section

References available upon request

Print Form



Contra
Costa
County

RECEIVED
For Office Use Only
Date Received:
NOV 09 2015
CLERK BOARD OF SUPERVISORS
CONTRA COSTA CO.

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:
Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Integrated Pest Mgt Advisory Committee Public Member
PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION PRINT EXACT SEAT NAME (if applicable)

1. Name: DONNELLY JAMES ROBERT
(Last Name) (First Name) (Middle Name)

2. Address: [Redacted] DANVILLE, CA 94526
(No.) (Street) (Apt.) (City) (State) (Zip Code)

3. Phones: [Redacted]
(Home No.) (Work No.) (Cell No.)

4. Email Address: [Redacted]

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved MASTER OF ARTS

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) <u>LONG BEACH CITY COLLEGE</u>	<u>ENGINEERING</u>	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>	<u>90</u>		<u>AS</u>	<u>1967</u>
B) <u>CALIFORNIA STATE UNIVERSITY LONG BEACH</u>	<u>CHEMISTRY</u>	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>	<u>~60</u>		<u>BS</u>	<u>1971</u>
C) <u>ST. MARYS COLLEGE OF CALIFORNIA</u>	<u>LEADERSHIP</u>	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>	<u>30</u>		<u>MA</u>	<u>2006</u>
D) Other schools / training completed: <u>HAZWOPER & REFRESHERS</u>	Course Studied	Hours Completed			Certificate Awarded: Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>	
		<u>40 # 8 ANNUALLY</u>				

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

A) Dates (Month, Day, Year)	Title	Duties Performed
From: <u>Oct 2006</u> To: <u>Present</u> Total: Yrs. <u>9</u> Mos. <u>3</u> Hrs. per week <u>20</u> Volunteer <input type="checkbox"/>	Principal Employer's Name and Address J.R. Donnelly Consulting 373 Century Cir. Danville, CA 94524	<ul style="list-style-type: none"> • ENVIRONMENTAL HEALTH SAFETY & QUALITY CONSULTING FOR MINING/INDUSTRIAL PROJECTS • DEVELOP HSE PROGRAMS • CONDUCT AUDITS • ENVIRONMENTAL TRAINING • MSHA SURFACE MINER TRAINING • EXPERT WITNESS FOR DOJ
B) Dates (Month, Day, Year) From: <u>July 1989</u> To: <u>Oct 2006</u> Total: Yrs. <u>17</u> Mos. <u>3</u> Hrs. per week <u>40</u> Volunteer <input type="checkbox"/>	Title DIRECTOR HEALTH, SAFETY, ENVIRONMENTAL Employer's Name and Address AKER KVAERNER METALS 12,500 Alcosta Blvd, San Ramon, CA 94583	Duties Performed <ul style="list-style-type: none"> • OVERSAW HSE & Q ACTIVITIES FOR METALS PROJECTS WORLDWIDE • CONDUCTED HSE & Q AUDITS • MANAGED MULTIPLE SITE REMEDIATION PROJECTS
C) Dates (Month, Day, Year) From: <u>Oct 1985</u> To: <u>July 1989</u> Total: Yrs. <u>3</u> Mos. <u>10</u> Hrs. per week <u>40</u> Volunteer <input type="checkbox"/>	Title PRODUCT MANAGER Employer's Name and Address JOY ENVIRONMENTAL EQUIPMENT COMPANY Monrovia, CA	Duties Performed DEVELOPED AIR POLLUTION CONTROL SYSTEMS FOR BOILER and INCINERATION APPLICATIONS.
D) Dates (Month, Day, Year) From: <u>MAY 80</u> To: <u>OCT. 82</u> <u>JAN 84</u> To: <u>OCT. 85</u> Total: Yrs. <u>4</u> Mos. <u>3</u> Hrs. per week <u>40</u> Volunteer <input type="checkbox"/>	Title MANAGER RESEARCH & DEVELOPMENT Employer's Name and Address NIRO ATOMIZER (GLAD SAXEVE) 305 SOEBORD, DENMARK	Duties Performed <ul style="list-style-type: none"> • DEVELOPED AIR POLLUTION CONTROL SYSTEMS FOR POWER & INDUSTRIAL BOILERS and MUNICIPAL AND HAZARDOUS WASTE INCINERATORS • DEVELOPED USES FOR END PRODUCTS FROM AIR POLLUTION SYSTEMS

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other **COLLEAGUE**

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

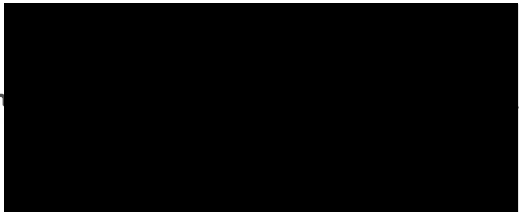
If Yes, please identify the nature of the relationship: _____

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

If Yes, please identify the nature of the relationship: _____

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name



Date

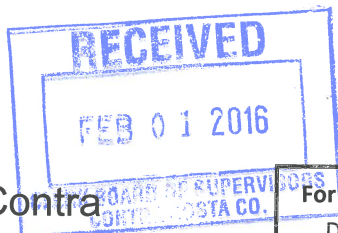
Nov. 9, 2015

Important Information

1. This application is a public document and is subject to the California Public Records Act (CA Gov. Code §6250-6270).
2. Send the completed paper application to the Office of the Clerk of the Board at: **651 Pine Street, Room 106, Martinez, CA 94553.**
3. A résumé or other relevant information may be submitted with this application.
4. All members are required to take the following training: 1) The Brown Act, 2) The Better Government Ordinance, and 3) Ethics Training.
5. Members of boards, commissions, and committees may be required to: 1) file a Statement of Economic Interest Form also known as a Form 700, and 2) complete the State Ethics Training Course as required by AB 1234.
6. Advisory body meetings may be held in various locations and some locations may not be accessible by public transportation.
7. Meeting dates and times are subject to change and may occur up to two days per month.
8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.



**Contra
Costa
County**



For Office Use Only

Date Received:

For Reviewers Use Only:

Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:

Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292

PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Contra Costa Integrated Pest Management Advis

Public Member Seat

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. Name: Flores (Last Name) Nati (First Name) V (Middle Name)

2. Address: (No.) (Street) (Apt.) Antioch (City) CA (State) 94531 (Zip Code)

3. Phones: (Home No.) (Work No.) (Cell No.)

4. Email Address:

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) Diablo Valley College	Business Management	Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>	3		Cert	NA
B)		Yes No <input type="checkbox"/> <input type="checkbox"/>				
C)		Yes No <input type="checkbox"/> <input type="checkbox"/>				
D) Other schools / training completed:	Course Studied	Hours Completed	Certificate Awarded: Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			
Pesticide Free Bed Bug Management		24				

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other Bed Bug Task Force

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

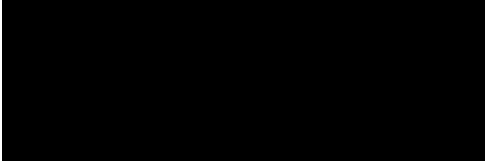
If Yes, please identify the nature of the relationship:

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

If Yes, please identify the nature of the relationship: employer: Tobacco Prevention & Workforce Develop

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name:



Date:

1/28/16

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7. Meeting dates and times are subject to change and may occur up to two days per month.
8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.

CERTIFICATE OF COMPLETION

LSA FAMILY HEALTH SERVICE, INC.'S
ENVIRONMENTAL HEALTH CONSULTATION PROGRAM

HEREBY CERTIFIES THAT

NATI V. FLORES

HAS SUCCESSFULLY COMPLETED
A 24-HOUR COURSE OF STUDY IN
INTEGRATED PEST MANAGEMENT FOR BED BUGS

MARCH 7 THROUGH MARCH 12, 2011
AT THE MICHAEL CHAVEZ CENTER
CONCORD, CALIFORNIA



Ray Lopez

Indoor Environmental Health Consultant

NATI V. FLORES

• Antioch, CA 94531

OBJECTIVE

I Live in Contra Costa, I have two young children and I believe the health of the residents and environment should be a priority when making decisions on pest management tactics, therefore I would like to contribute by applying for the public seat at the Contra Costa Integrated Pest Management Advisory Committee.

SUMMARY OF QUALIFICATIONS

- Responsible and reliable
- Excellent communications skills, written and oral
- Bilingual in Spanish
- Cultural competency with Latino Community
- First had experience in managing bed bugs without the use of pesticides
- Can work well with others

PROFESSIONAL HISTORY AND ACHIEVEMENT

2010- Present

Monument Impact, Concord Ca

Program Manager

- Served as Program Director to support ED on leave
- Manage Economic Development and Community Health projects: Volunteer Income Tax Assistance (VITA), Financial Education, Access to Health, Promotores, Worker program, Neighborhood action teams.
- Managed several collaborative projects with private and public organizations.
- Served in Fund Development Team, writing grant proposals, work plans, pilot projects, and reports
- Day Worker Program: secured and increased funding for five consecutive years. Improved communication barriers resulting in improved work ethic, team work and higher job placement numbers.
- Mentored and managed three micro businesses: keep all legal documents including financial records, tax, and insurance, bylaws and others for owners. Communicate with customers to ensure we offer high quality services.
- Provide bed bug cleaning services to over 100 families without the use of chemicals
- Assist clients to recover unpaid wages
- Implemented first health promoters program collaborating to organize the first annual Health Promoters conference in Contra Costa with an attendance of 169 community volunteers.
- Facilitate and lead meetings for staff, program members and residents: Create agendas, take minutes, evaluate results and create reports.
- Act as receptionist when needed: assist clients looking for services or resources, order supplies, ensure all equipment was working properly, answer phones, and make appointments, staff reception to cover absences.
- Met goals consistently in every program

2008 - 2010

Hospice Foundation of the East Bay, Pleasant Hill, CA

Assistant General Manager

- Train and develop employees; maintain and establish interpersonal relationships at all levels to ensure good employee morale. Coordinate and plan staffing; including absences, flexing and time off. Participate in several committees within the organization. Increased sales and donations in three locations within three months increasing revenue, increasing donations, and staff productivity to prevent closures
- Oversee activities directly related to providing services and products. Review financial statements, sales, and activity reports to measure productivity. Implement and establish departmental policies and procedures conferring with General Manager as necessary
- Coordinate and supervise Diablo Appraisal and Estate Sales: set up and organize product for sale, reconcile cash, process Credit Card payments and checks, schedule deliveries of purchases

2005-2008

Retail Support and Donation Supervisor

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FEB 16 2016
CLERK BOARD OF SUPERVISORS
CONTRA COSTA COUNTY



Contra
Costa
County

For Office Use Only
Date Received:

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

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Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

IPM Advisory Committee

Public At Large

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. Name: Lanier, PhD Wayne Banks
(Last Name) (First Name) (Middle Name)
2. Address: [Redacted] Walnut Creek CA 94595
(No.) (Street) (Apt.) (City) (State) (Zip Code)
3. Phones: [Redacted]
(Home No.) (Work No.) (Cell No.)
4. Email Address: [Redacted]

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved PhD (Doctor of Philosophy)

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) Oklahoma State University, Stillwater, Oklahoma +	Mathematics (Engineering minor) +	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>	8		BS	1962
B) University of Chicago, Chicago, Illinois +	Microbial Genetics, Botany Department +	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>		12	MS	1966
C) University of Chicago, Chicago, Illinois +	Microbial Genetics, Genetics Committee +	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>		4	PhD	1967
D) Other schools / training completed: Oak Ridge National Laboratory, Biology Division, +	Course Studied Post-Doctoral Research in Microbial +	Hours Completed 1-year	Certificate Awarded: Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) <u>From</u> <u>To</u> 1967 1973 Total: <u>Yrs.</u> <u>Mos.</u> 6 Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>Professor and Research Scientist</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>3-years at Biology Dept., New York University, NY. (1967-1970). then... 3-years at Biochemistry Dept., University of Texas Medical School, Dallas TX (1970-1973) +</p>	<p style="text-align: center;">Duties Performed</p> <p>Teaching Pre-Med Biochemistry and Cellular Physiology... NYU</p> <hr/> <p>Teching Medical School Biochemistry and Human Genetics... UTD</p> <hr/> <p>Carrying out Research in Microbial Genetics at both Institutions.</p>
<p>B) Dates (Month, Day, Year) <u>From</u> <u>To</u> Sept. 1973 Dec 1977 Total: <u>Yrs.</u> <u>Mos.</u> 4 3 Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>Professor of Genetics</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>The Polytechnic of the South Bank, London University, London, England.</p>	<p style="text-align: center;">Duties Performed</p> <p>Teaching a graduate program in Microbial Genetics to physicians and medical technicians.</p>
<p>C) Dates (Month, Day, Year) <u>From</u> <u>To</u> Jan 1978 Mar 2005 Total: <u>Yrs.</u> <u>Mos.</u> 27 3 Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>Consultant in Biotechnology</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>For most of these 27-years, as a Consultant I was self-employed. For 4-years during this period I was an employee, see below. These companies mostly in SF Bay Area.</p>	<p style="text-align: center;">Duties Performed</p> <p>Advising Biotechnology and Pharmaceutical Companies on research issues, developing research programs, developing medical instruments, advising on regulatory issues [mostly FDA, but some USDA], developing Clinical Studies programs; developing product field tests in AgBiotech.</p>
<p>D) Dates (Month, Day, Year) <u>From</u> <u>To</u> Jan 1974 Mar 1978 Total: <u>Yrs.</u> <u>Mos.</u> 4 3 Hrs. per week <u>60</u> . Volunteer <input type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>Director of Research</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>Biosis, Palo Alto, CA (Biosis, changed to Biosys) was later aquired by Archer, Daniels, Midland - ADM, moved to Maryland - and I left.</p>	<p style="text-align: center;">Duties Performed</p> <p>Managing a laboratory of 15-scientists and 1-technician during the development and testing of mass-produced microbial biopesticides [Biological Pest Control].</p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other word of mouth

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

If Yes, please identify the nature of the relationship: _____

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

If Yes, please identify the nature of the relationship: _____

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name



Date:

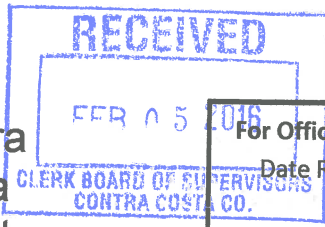
Feb. 16, 2016

Important Information

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2. Send the completed paper application to the Office of the Clerk of the Board at: 651 Pine Street, Room 106, Martinez, CA 94553.
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8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.



Contra
Costa
County



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Date Received:

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

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Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

C.C.C. IPM COMMITTEE
PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

C.C. INTEGRATED PEST MGMT ADVISORY
PRINT EXACT SEAT NAME (if applicable)

1. Name: SINCLAIRE (Last Name) JUSTIN (First Name) BYRON (Middle Name)

2. Address: [Redacted] (No.) [Redacted] (Street) [Redacted] (Apt.) CLAYTON, CA (City) (State) 94517 (Zip Code)

3. Phones: [Redacted] (Home No.) [Redacted] (Work No.) [Redacted] (Cell No.)

4. Email Address: [Redacted]

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved B.S. MARKETING

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) <u>DIABLO VALLEY COLLEGE</u>	<u>GENERAL ED</u>	Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>	<u>60</u>			
B) <u>UNIVERSITY OF MARY</u>	<u>BUSINESS MARKETING</u>	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>	<u>68</u>		<u>B.S.</u>	<u>6/2015</u>
C)		Yes No <input type="checkbox"/> <input type="checkbox"/>				
D) Other schools / training completed.	Course Studied	Hours Completed	Certificate Awarded Yes No <input type="checkbox"/> <input type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) <u>From</u> <u>To</u> 6/95 - 8/96</p> <p>Total: <u>Yrs.</u> <u>Mos.</u> 1 - 2</p> <p>Hrs. per week <u>50</u> . Volunteer <input type="checkbox"/></p>	<p>Title SERVICE TECHNICIAN</p> <hr/> <p>Employer's Name and Address DENEY PEST CONTROL ROSEVILLE, CA</p>	<p>Duties Performed PERFORMED PEST CONTROL SERVICES TO RESIDENTIAL & COMMERCIAL PROPERTIES</p>
<p>B) Dates (Month, Day, Year) <u>From</u> <u>To</u> 8/96 - PRESENT</p> <p>Total: <u>Yrs.</u> <u>Mos.</u> 19 - 6</p> <p>Hrs. per week <u>50-60</u> . Volunteer <input type="checkbox"/></p>	<p>Title DISTRICT MANAGER</p> <hr/> <p>Employer's Name and Address ECOLAB 400 PLAZA DR. STEIN FOUSOM, CA 95630</p>	<p>Duties Performed PERFORMED PEST CONTROL SERVICES TO COMMERCIAL CUSTOMERS FOR 8 YEARS - LAST 11 YEARS IN AN OPERATIONS MGMT ROLE. MENTOR, TRAINING, SALES, MGMT.</p>
<p>C) Dates (Month, Day, Year) <u>From</u> <u>To</u></p> <p>Total: <u>Yrs.</u> <u>Mos.</u></p> <p>Hrs. per week _____ . Volunteer <input type="checkbox"/></p>	<p>Title</p> <hr/> <p>Employer's Name and Address</p>	<p>Duties Performed</p>
<p>D) Dates (Month, Day, Year) <u>From</u> <u>To</u></p> <p>Total: <u>Yrs.</u> <u>Mos.</u></p> <p>Hrs. per week _____ . Volunteer <input type="checkbox"/></p>	<p>Title</p> <hr/> <p>Employer's Name and Address</p>	<p>Duties Performed</p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other FRIENDS OF SPOUSE

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes _____

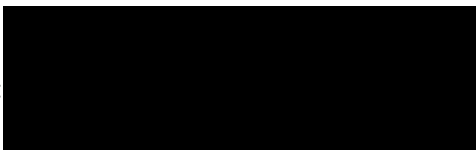
If Yes, please identify the nature of the relationship: _____

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes _____

If Yes, please identify the nature of the relationship: _____

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name:



Date: 1/28/2016

Important Information

1. This application is a public document and is subject to the California Public Records Act (CA Gov. Code §6250-6270).
2. Send the completed paper application to the Office of the Clerk of the Board at: **651 Pine Street, Room 106, Martinez, CA 94553.**
3. A résumé or other relevant information may be submitted with this application.
4. All members are required to take the following training: 1) The Brown Act, 2) The Better Government Ordinance, and 3) Ethics Training.
5. Members of boards, commissions, and committees may be required to: 1) file a Statement of Economic Interest Form also known as a Form 700, and 2) complete the State Ethics Training Course as required by AB 1234.
6. Advisory body meetings may be held in various locations and some locations may not be accessible by public transportation.
7. Meeting dates and times are subject to change and may occur up to two days per month.
8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.

JUSTIN B SINCLAIRE

• Clayton, CA 94517 •

High performing Operations Manager with a distinguished 20 year record in B2B sales and Operational Management experience.

QUALIFICATIONS

- Customer centric focused on cultivating relationships to better understand customer needs and expectations.
- Track record of building strong relationships at multiple levels. Demonstrated ability to work and support team environments. Agile value driven coach with a proven track record of success in building and leading high performing teams with a hands-on style of leadership. Promotes synergy, setting ambitious goals and working closely with employees to exceed business objectives.
- Ability to communicate and support company vision and mission. Strong communication skills both oral and written.
- Critical thinker and creative problem solver with an ability to think objectively and interpret meaningful themes from quantitative and qualitative data.
- Solid business acumen with ability to evaluate financial and business indicators. Excellent strategic planning ability to deliver short term results while maintaining long term strategy.
- Effective in a variety of presentation settings including one-on-one, small or large groups, as well as with peers and senior management.
- Solid track record of setting vision and aligning objectives with inspirational appeals and rational persuasion to motivate talent to excel beyond perceived capabilities.
- Demonstrated time management and organizational skills with the ability to manage details of multiple projects simultaneously.
- Adept at influential change management built upon open and honest communication.
- Strives to be the leader that others would want to follow.

EXPERIENCE

DISTRICT MANAGER ***Ecolab Inc. Pest Elimination Division***

May 2006 - Present
St. Paul, MN

- Responsible for managing over 1900 customer accounts exceeding \$4.8M in annual contract revenue with demonstrated ability to maximize growth objectives while minimizing business expenses. Consistently met and exceeded gross profit and operating income targets year over year.
- Attracted, developed, and led high performing teams of talent that execute pest elimination services in Hospitality, Healthcare, Restaurants and Food & Beverage facilities.
- Maintained a commitment to continuous development in market trends and fluctuations in food production standards to ensure compliance with regulatory agencies and third party auditors.
- Promoted an environment that fosters teamwork, camaraderie, and brotherhood focused on embracing the Ecolab culture through personal actions and behaviors.
- Executed strong leadership ability holding 22 direct reports accountable to high standards of excellence in customer service, route efficiency, business profitability, and solid execution of divisional protocols.
- Established solid working relationships in collaboration with sales and cross-divisional counterparts to maximize customer satisfaction and value delivery.
- Successfully developed and trained new employees to become efficient Service Specialist professionals, Associate District Managers, and Food & Beverage Specialists.
- Two year panel member on Ecolab's Field Advisory Board which provides strategic input that impacts field level execution on a national scale.
- Three time District of Excellence in Leadership award winner – 2008, 2011, & 2012.

EXPERIENCE

SERVICE SPECIALIST

Ecolab Inc. Pest Elimination Division

August 1996 – 2006

St. Paul, MN

- Delivered exceptional value and service delivery to customers in the greater San Francisco bay area market.
- Consistently grew route to exceed growth objectives nine out of ten years.
- Developed into Regional Termite Specialist performing termite inspections, sales, and treatments from 2003 to 2006.
- Three time Circle of Excellence award winner.
- Service Specialist of the Year Runner up 2005.
- Achieved Branch III State Certification.

SERVICE TECHNICIAN

Dewey Pest Control

June 1995 – August 1996

Roseville, CA

- Delivered pest control services to residential and commercial customers in the Northern Sacramento market.
- Consistently grew route sales month after month.
- Achieved Branch II State certification.

EDUCATION

UNIVERSITY of MARY

BS Marketing

January 2012 – 2015

Bismarck, ND

DIABLO VALLEY COLLEGE

General Education

August 2008 – December 2011

Pleasant Hill, CA

CERTIFICATIONS

CALIFORNIA PCO BRANCH 2 & 3 OPERATORS LICENSE #OPR 12142
DPR QAL CATEGORIES A&B

SKILLS

PROFICIENCY IN MICROSOFT OUTLOOK, WORD, EXCEL, PUBLISHER & POWER POINT

PROFICIENCY IN UNDERSTANDING OF THE GLOBAL FOOD SAFETY INITIATIVE (GFSI)
AND THIRD PARTY AUDITORS SUCH AS BRC, SQF, SILIKER, AND AIB

MEMBER ORGANIZATIONS

TOASTMASTERS INTERNATIONAL – WORD WEAVERS OF CONCORD, CA



Contra
Costa
County

To: Board of Supervisors
From: INTERNAL OPERATIONS COMMITTEE
Date: March 8, 2016

Subject: RECOMMENDATIONS FOR APPOINTMENTS TO THE HAZARDOUS MATERIALS COMMISSION

RECOMMENDATION(S):

1. APPROVE Hazardous Materials Commission nominations to appoint the following individuals to the Commission to terms ending on December 31, 2019:

<u>Action</u>	<u>Nominee</u>	<u>Seat</u>	<u>Nominated By</u>
Reappoint	Frank Gordon	General Public	Commission
Reappoint	Tim Bancroft	General Public Alternate	Commission
Reassign	Usha Vedagiri	Environmental Organizations #2	Commission
Reappoint	Jim Payne	Labor #2	Central Labor Council
Reappoint	Tracy Scott	Labor #2 Alternate	Central Labor Council

2. DECLARE vacant the Environmental Organizations #3 Alternate seat held by Usha Vedagiri due to her reassignment to a regular seat and DIRECT the Clerk of the Board to post the vacancy.

FISCAL IMPACT:

No fiscal impact.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

**VOTE OF
SUPERVISORS**

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

, County Administrator and Clerk of the Board of Supervisors

Contact:

By: , Deputy

cc:

BACKGROUND:

The Hazardous Materials Commission was established in 1986 to advise the Board, County Staff and the mayor's council members, and staffs of the cities within the County, on issues related to the development, approval and administration of the County Hazardous Waste Management Plan. Specifically, the Board charged the Commission with drafting a Hazardous Materials Storage and Transportation Plan and Ordinance, coordinating the implementation of the Hazardous Materials Release Response Plan and inventory program, and to analyze and develop recommendations regarding hazards materials issues with consideration to broad public input, and report back to the Board on Board referrals.

The term for numerous seats on the Hazardous Materials Commission expired on December 31, 2015, creating vacancies. The Commission recruited and interviewed candidates for the vacant seats and makes nominations to the IOC to fill the seats, as explained in the attached transmittal letter. Recruitment materials and candidate applications are attached for information.

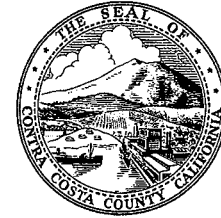
CONSEQUENCE OF NEGATIVE ACTION:

Should the Board elect not to approve the recommendations, then the seats will remain vacant and the public, environmental, and labor interested will be underrepresented on the Commission.

ATTACHMENTS

- Letter of Transmittal_HazMat Commission
- Candidate Application_HMC_Timothy Bancroft
- Candidate Application_HMC_Charles Davidson
- Candidate Application_HMC_Frank Gordon
- Candidate Application_HMC_James Payne
- Candidate Application_HMC_Tracy Scott
- Candidate Application_HMC_Usha Vedagiri
- USW Nomination Letter

CONTRA COSTA COUNTY HAZARDOUS MATERIALS COMMISSION



February 18, 2016

MEMO

To: Internal Operations Committee

From: Michael Kent, Executive Assistant to the Hazardous Materials Commission *MK*

Re: Appointment Recommendations to the Hazardous Materials Commission

The Hazardous Materials Commission was established in 1986 to advise the Board, County Staff and the mayor's council members, and staffs of the cities within the County, on issues related to the development, approval and administration of the County Hazardous Waste Management Plan. Specifically, the Board charged the Commission with drafting a Hazardous Materials Storage and Transportation Plan and Ordinance, coordinating the implementation of the Hazardous Materials Release Response Plan and inventory program, and to analyze and develop recommendations regarding hazardous materials issues with consideration to broad public input, and report back to the Board on Board referrals.

The bylaws of the Commission provide that Environmental Seat #2 be nominated by an environmental organization, but that no particular environmental organization will have an exclusive right to nominate an individual to this seat and therefore, which environmental organization is represented on the Hazardous Materials Commission rests with the Internal Operations Committee and ultimately the Board of Supervisors. This term for this seat expired on December 31, 2015. The Hazardous Materials Commission advertised for this open seat, interviewed two candidates, and on January 28, 2016 unanimously voted to recommend that Usha Vedagiri be re-assigned from her current position as the alternate for Environmental Seat # 3. The Commission is also recommending that her current seat be vacated and the vacancy be posted by the Clerk of the Board for 10 days. The outreach materials are attached. The term for this seat expires on December 31, 2019.

The bylaws of the Commission also provide that the General Public Seat and General Public Seat Alternate be appointed by the Board of Supervisors. The terms for these seats expired on December 31, 2015. The Hazardous Materials Commission advertised for these open seats and received two applicants and on January 28, 2016 unanimously voted to re-appoint Frank Gordon

Members: George Smith, Chair, Rick Alcaraz, Don Bristol, Matthew Buell, Lara DeLaney, Frank Gordon, Fred Glueck, Steven Linsley, Jim Payne, Ralph Sattler, Leslie Stewart,

597 Center Ave., Suite 200 Martinez, CA 94553 (925) 313-6712

and Tim Bancroft to these seats. Their applications and outreach materials are attached. The terms for these seats expire on December 31, 2019.

The bylaws of the Commission also provide that Labor Seat #2 and Labor Seat #2 Alternate be nominated by labor organizations, screened by the Internal Operations Committee and appointed by the Board of Supervisors. The Central Labor Council of Contra Costa County has nominated to re-appoint Jim Payne to Labor Seat #2 and Tracy Scott to Labor Seat # 2 Alternate. Their applications and letter of nomination are attached. The terms for these seats expires on December 31, 2019.

Members: George Smith, Chair, Rick Alcaraz, Don Bristol, Matthew Buell, Lara DeLaney, Frank Gordon, Fred Glueck, Steven Linsley, Jim Payne, Ralph Sattler, Leslie Stewart,

597 Center Ave., Suite 200 Martinez, CA 94553 (925) 313-6712



Contra
Costa
County

For Office Use Only
RECEIVED
Date Received:
OCT 19 2015
CLERK BOARD OF SUPERVISORS
CONTRA COSTA COUNTY

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:

Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292

PLEASE TYPE OR PRINT IN INK

(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Hazardous Materials Commission

Alternate to General Public Seat

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. Name: Bancroft Timothy Alan
(Last Name) (First Name) (Middle Name)

2. Address: [Redacted] Danville CA 94526
(No.) (Street) (Apt.) (City) (State) (Zip Code)

3. Phones: [Redacted]
(Home No.) (Work No.) (Cell No.)

4. Email Address: [Redacted]

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved Bachelor of Science

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) San Jose State University	Chemical Engineering	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			B.S.	May 2000
B) California State University Chico	Chemistry	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			B.S.	May 1996
C) Modesto Junior College	Physical Science	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			A.S.	May 1993
D) Other schools / training completed	Course Studied	Hours Completed	Certificate Awarded: Yes No <input type="checkbox"/> <input type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> 12/1997 <input type="text"/> Present Total: Yrs. <input type="text"/> Mos. <input type="text"/> <input type="text"/> 17 <input type="text"/> 10 Hrs. per week <input type="text"/> 40+ . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Principal Chemical Engineer Employer's Name and Address <input type="text"/> Integrated Engineering Services 70 Saratoga Ave Santa Clara, CA 95051</p>	<p>Duties Performed <input type="text"/> I have over ten years of Environmental, Hazardous Materials, and related Chemical Engineering experience including an extensive regulatory background focusing on hazardous materials handling, waste treatment, and code compliance in the Biopharmaceutical, Semiconductor and Renewal Energy industries.</p>
<p>B) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> 2/26/2008 <input type="text"/> Present Total: Yrs. <input type="text"/> Mos. <input type="text"/> <input type="text"/> 7 <input type="text"/> 8 Hrs. per week <input type="text"/> . Volunteer <input checked="" type="checkbox"/></p>	<p>Title <input type="text"/> Alternate to General Public Seat Employer's Name and Address <input type="text"/> Contra Costa County Hazardous Materials Commission, Alternate to the General Public Seat</p>	<p>Duties Performed <input type="text"/> I currently hold the position as the Alternate Member to the General Public Seat Member on the commission.</p>
<p>C) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> 10/2006 <input type="text"/> Present Total: Yrs. <input type="text"/> Mos. <input type="text"/> <input type="text"/> 9 <input type="text"/> 0 Hrs. per week <input type="text"/> . Volunteer <input checked="" type="checkbox"/></p>	<p>Title <input type="text"/> Home Owner Employer's Name and Address <input type="text"/> 1927 Saint Norbert Drive, Danville, CA</p>	<p>Duties Performed <input type="text"/> This is my personal residence, which is in Contra Costa County. This entry serves as my qualifications for the position to be a current resident of Contra Costa County.</p>
<p>D) Dates (Month, Day, Year) From <input type="text"/> To <input type="text"/> <input type="text"/> <input type="text"/> Total: Yrs. <input type="text"/> Mos. <input type="text"/> <input type="text"/> <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Employer's Name and Address <input type="text"/></p>	<p>Duties Performed <input type="text"/></p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

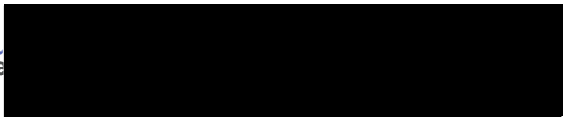
If Yes, please identify the nature of the relationship:

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

If Yes, please identify the nature of the relationship:

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name



Date:

10/14/2015

Important Information

1. This application is a public document and is subject to the California Public Records Act (CA Gov. Code §6250-6270).
2. Send the completed paper application to the Office of the Clerk of the Board at: **651 Pine Street, Room 106, Martinez, CA 94553.**
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8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.

Timothy A. Bancroft

[REDACTED]
Danville, CA 94526
[REDACTED]

Objective

I am seeking an opportunity to serve as a member on the Contra Costa County Hazardous Materials Commission, Alternate to the General Public Seat.

Education

San Jose State University, San Jose, CA
Bachelor of Science in Chemical Engineering, May 2000

California State University Chico, Chico, CA
Bachelor of Science in Chemistry, May 1996

Licenses

State of California Registered Professional Chemical Engineer, #CH6225, NCEES Record #46770

Computer Skills:

Windows XP, Word, Excel, PowerPoint, Outlook, Internet Explorer, AutoCAD 2013, File Maker Pro, Microsoft Server 2008, Microsoft Server 2012, Desktop Support, Corporate Email Controller SMTP/POP3, Network Protocols/IP addressing, Critical Data Backup, Archival and File Architecture setup on corporate servers, remote access, corporate smart phone integration and set up, specialty computer builds/super builds for graphics intensive applications as well as day to day desktops for company.

Experience

Dec. 1997-Present
Santa Clara, CA

Chemical & Engineering Consultation

Integrated Engineering Services

- Providing consulting expertise for the proper storage, handling and use of hazardous materials to private businesses and regulatory agencies.
- Permitting and regulatory requirements for SPCC plans, HMBPs, HMIS, RMPs, USTs, ASTs wastewater discharge permits, air quality permits, and the Toxic Gas Ordinance (TGO).
- I.B.C.O. certification and experience with the requirements of the Uniform Fire, Building, Mechanical, and Electrical codes.
- I.C.C. certification and knowledge with the requirements of the new 2013 California Codes.
- Experience with the implementation of numerous NFPA standards, BAAQMD, EPA, local bay area city regulatory codes, OSHA safe practice requirements, and cGMP standards.

Chemical & Engineering Design

- Design of hazardous production material handling systems such as chemical fume hoods, valve manifold boxes, gas cabinets, and Highly Toxic/Pyrophoric gas process piping for the Semiconductor, Biotech, Pharma, Food and Beverage, Automotive, Universities, Hospitals, and Renewable Energy industries.
- Design of hazardous waste process piping, collection, and aboveground storage tank systems for the Biopharmaceutical Research industries and Semiconductor Fabrication facilities.
- Design of Hazardous Occupancy areas including explosion control, ventilation and secondary containment.

Hazardous Materials and Waste Regulation

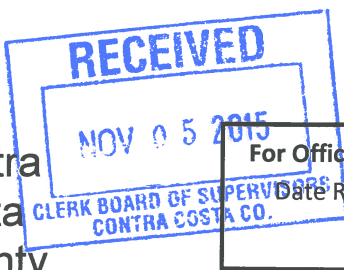
- Provided on site consulting and inspection services as interim manager of the Petroleum Underground Storage Tank Program for a local Bay Area Fire Department CUPA.
- Performed Fire Code and Life Safety Inspections of existing and new facilities which handled/stored Hazardous materials.
- Performed plan check services for new construction to ensure compliance with applicable state and local hazardous waste regulations including Hazwaste Tank Title 22 sec. 66265.192 certifications
- Oversaw the removal and remediation of leaking underground storage tank sites (LUSTs).
- Provided Code interpretation requests and reviewed alternate means and methods/practical difficulty construction requests from contactors and the general public.

Certifications & Affiliations

- 40-Hour Hazardous Waste Site Worker CFR Section 1910.120(e)(9), Management and Supervision of Hazardous Waste Operators per CFR 1910.120(e)(4), and as a Qualified Trainer per CFR 1910.120(e)(5).
- National Fire Protection Association (NFPA) member
- California State Fire Marshal's Fire Prevention 1A
- Contra Costa County Hazardous Materials Commission, (Public Seat, Alternate Commissioner)



Contra
Costa
County



For Office Use Only
Date Received:

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:

Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Hazardous Materials Commission

Environmental

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. **Name:** Davidson Charles Jay
 (Last Name) (First Name) (Middle Name)

2. **Address:** [Redacted] Hercules CA 94547
 (No.) (Street) (Apt.) (City) (State) (Zip Code)

3. **Phones:** [Redacted]
 (Home No.) (Work No.) (Cell No.)

4. **Email Address:** [Redacted]

5. **EDUCATION:** Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved 2-3 years graduate school plus a doctor of chiropractic degree

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) Life Chiropractic College - Hayward CA	Chiropractic - doctorate	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			Doctor	2009
B) Wayne State University - Detroit MI	graduate level radiation physics; cancer biology	Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>	12 - non-n			
C) University of Michigan	graduate level physics and an undergraduate degree	Yes No <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	8 - non-m		BGS	1984
D) Other schools / training completed: University of California - Berkeley	Course Studied grad. level Molecular Biology; Immunology	Hours Completed ~16 hours - non-metriculated graduate	Certificate Awarded: Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) <u>From</u> <u>To</u> Aug 2013 Current</p> <p>Total: <u>Yrs.</u> <u>Mos.</u></p> <p>Hrs. per week _____ . Volunteer <input checked="" type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>Volunteer - Technical Researcher</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>SunFlower Alliance sunflower-alliance.org (A,C-D)</p>	<p style="text-align: center;">Duties Performed</p> <p>Founding member of the SFA - a East Bay environmental justice organization that is allied with community-based environmental activist groups in multiple local pollution-impacted communities...</p> <p>The SFA advocates for a cleaner environment, for a just transition to a vastly expanded renewable... (cont. section C-D, below)</p>
<p>B) Dates (Month, Day, Year) <u>From</u> <u>To</u> 15 July 03 .</p> <p>Total: <u>Yrs.</u> <u>Mos.</u></p> <p>Hrs. per week _____ . Volunteer <input type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>US Patent Publication</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>West Contra Cost County Sierra Club</p>	<p style="text-align: center;">Duties Performed</p> <p>USPTO - US 6594335 - X-ray phase-contrast medical micro-imaging methods (2003)</p> <p>WCCSC - Energy Pollicy Liason (2014-5). Regularly inform SC Board regarding refineries, pollution, transportation and energy, at monthly board meetings or within the interim.</p>
<p>C) Dates (Month, Day, Year) <u>From</u> <u>To</u> Aug 2013</p> <p>Total: <u>Yrs.</u> <u>Mos.</u></p> <p>Hrs. per week _____ . Volunteer <input type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>SFA - Volunteer (A)</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>SunFlower Alliance sunflower-alliance.org (cont. from section A)</p>	<p style="text-align: center;">Duties Performed</p> <p>energy portfolio and generally, for social, environmental and economic justice. Coordinating activities with allied organizations and individuals throughout greater Contra Costa County from Pittsburg and Benecia to Oakland and lobbying pubic agencies (such as BAAQMD, the Board of Supervisors and Cities)..</p>
<p>D) Dates (Month, Day, Year) <u>From</u> <u>To</u> Aug 2013</p> <p>Total: <u>Yrs.</u> <u>Mos.</u></p> <p>Hrs. per week _____ . Volunteer <input type="checkbox"/></p>	<p style="text-align: center;">Title</p> <p>SFA - Volunteer (A)</p> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <p>SunFlower Alliance sunflower-alliance.org (cont. from section C)</p>	<p style="text-align: center;">Duties Performed</p> <p>My work with the SFA includes analyzing and commenting on the Environmental Impact Reports (EIRs) of Bay Area refineries, allied refinery infrastrurcture and the chemical constituents and processes involved in fossil fuel production.</p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other Dr. H. Clark / Maria Allegría

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

If Yes, please identify the nature of the relationship: _____

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

If Yes, please identify the nature of the relationship: _____

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name: _____

Date: _____

11-04-2015

Important Information

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Contra
Costa
County

For Office Use Only
Date Received:

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:
Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Hazardous Materials Commission

General Public Seat

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. **Name:** Gordon, Frank Dale
(Last Name) (First Name) (Middle Name)

2. **Address:** [Redacted] Pittsburg, CA 94565
(No.) (Street) (Apt.) (City) (State) (Zip Code)

3. **Phones:** [Redacted]
(Home No.) (Work No.) (Cell No.)

4. **Email Address:** [Redacted]

5. **EDUCATION:** Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) Vallejo Jr. College	Engineering	Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>	4			
B) Fullerton Jr. College	Business	Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>	2			
C) Los Medanos College	Computer Science	Yes No <input type="checkbox"/> <input checked="" type="checkbox"/>	2			
D) Other schools / training completed:	Course Studied	Hours Completed	Certificate Awarded: Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			
<input type="text" value="Life Underwriter Training Council"/>	Business Insurance	120				

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">2002</div> <div style="border: 1px solid black; padding: 2px;">Present</div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">10</div> <div style="border: 1px solid black; padding: 2px;"></div> </div> <p>Hrs. per week <input style="width: 40px;" type="text"/> . Volunteer <input checked="" type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; padding: 2px;">Member - General Public Seat</div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; padding: 2px;">Hazardous Materials Commission</div>	<p style="text-align: center;">Duties Performed</p> <p>Planning and Policy Committee. Advise on changes to the Industrial Safety Ordinance. Make policy recommendations to HazMat Commission. Advise Board of Supervisors on issues related to Hazardous Materials handling in Contra Costa County.</p>
<p>B) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">2000</div> <div style="border: 1px solid black; padding: 2px;">2010</div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">10</div> <div style="border: 1px solid black; padding: 2px;"></div> </div> <p>Hrs. per week <input style="width: 40px;" type="text"/> . Volunteer <input checked="" type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; padding: 2px;">Community Advisory Panel</div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; padding: 2px;">Dow Chemical Company Pittsburg, CA</div>	<p style="text-align: center;">Duties Performed</p> <p>Advise DOW of issues that the public may have about safe operation of their plant. Work with public on issues pertaining to DOW operation.</p>
<p>C) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">1988</div> <div style="border: 1px solid black; padding: 2px;">1996</div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">8</div> <div style="border: 1px solid black; padding: 2px;"></div> </div> <p>Hrs. per week <input style="width: 40px;" type="text"/> . Volunteer <input checked="" type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; padding: 2px;">Pittsburg Planning Commission</div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; padding: 2px;">City of Pittsburg</div>	<p style="text-align: center;">Duties Performed</p> <p>Made Decisions pertaining to Planning of Housing and Industrial properties in the City of Pittsburg. Worked with CEQUA and EIR issues. Attended League of California Cities Planning conferences. Commission Chair -2 years.</p>
<p>D) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">2004</div> <div style="border: 1px solid black; padding: 2px;">2006</div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">2</div> <div style="border: 1px solid black; padding: 2px;"></div> </div> <p>Hrs. per week <input style="width: 40px;" type="text"/> . Volunteer <input checked="" type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; padding: 2px;">Pittsburg Planning Commission</div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; padding: 2px;">City of Pittsburg</div>	<p style="text-align: center;">Duties Performed</p> <p>Made Decisions pertaining to Planning of Housing and Industrial properties in the City of Pittsburg. Attended League of California Cities Planning conferences. Commission Chair -1 years.</p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

If Yes, please identify the nature of the relationship:

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations? No Yes

If Yes, please identify the nature of the relationship:

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name Date: 10/20/2015

Important Information

1. This application is a public document and is subject to the California Public Records Act (CA Gov. Code §6250-6270).
2. Send the completed paper application to the Office of the Clerk of the Board at: **651 Pine Street, Room 106, Martinez, CA 94553.**
3. A résumé or other relevant information may be submitted with this application.
4. All members are required to take the following training: 1) The Brown Act, 2) The Better Government Ordinance, and 3) Ethics Training.
5. Members of boards, commissions, and committees may be required to: 1) file a Statement of Economic Interest Form also known as a Form 700, and 2) complete the State Ethics Training Course as required by AB 1234.
6. Advisory body meetings may be held in various locations and some locations may not be accessible by public transportation.
7. Meeting dates and times are subject to change and may occur up to two days per month.
8. Some boards, committees, or commissions may assign members to subcommittees or work groups which may require an additional commitment of time.



**Contra
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County**

For Office Use Only
Date Received:

For Reviewers Use Only:
Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:
Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Hazardous Materials Commission

Labor Seat 2 - USW Local 5

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. Name: Payne, James A
(Last Name) (First Name) (Middle Name)

2. Address: [Redacted] Martinez, CA 94553-0034
(No.) (Street) (Apt.) (City) (State) (Zip Code)

3. Phones: [Redacted]
(Home No.) (Work No.) (Cell No.)

4. Email Address: [Redacted]

5. EDUCATION: Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) <input type="text"/>	<input type="text"/>	Yes No <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
B) <input type="text"/>	<input type="text"/>	Yes No <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
C) <input type="text"/>	<input type="text"/>	Yes No <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
D) Other schools / training completed: <input type="text"/>	Course Studied <input type="text"/>	Hours Completed <input type="text"/>	Certificate Awarded: Yes No <input type="checkbox"/> <input type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">4/1/1977</div> <div style="border: 1px solid black; padding: 2px;">present</div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">38</div> <div style="border: 1px solid black; padding: 2px;">9</div> </div> <p>Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; padding: 2px;">Secretary-Treasurer</div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; padding: 2px;"> USW Local 5 1333 Pine Street, Suite A Martinez, CA 94553 </div>	<p style="text-align: center;">Duties Performed</p> <div style="border: 1px solid black; padding: 2px; height: 150px;"> Union Representative </div>
<p>B) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> </div> <p>Hrs. per week <u> </u> . Volunteer <input type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; height: 20px;"></div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; height: 100px;"></div>	<p style="text-align: center;">Duties Performed</p> <div style="border: 1px solid black; height: 150px;"></div>
<p>C) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> </div> <p>Hrs. per week <u> </u> . Volunteer <input type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; height: 20px;"></div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; height: 100px;"></div>	<p style="text-align: center;">Duties Performed</p> <div style="border: 1px solid black; height: 150px;"></div>
<p>D) Dates (Month, Day, Year) <u>From</u> <u>To</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> </div> <p>Total: <u>Yrs.</u> <u>Mos.</u> <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> <div style="border: 1px solid black; width: 40px; height: 20px;"></div> </div> <p>Hrs. per week <u> </u> . Volunteer <input type="checkbox"/></p> </p></p>	<p style="text-align: center;">Title</p> <div style="border: 1px solid black; height: 20px;"></div> <hr/> <p style="text-align: center;">Employer's Name and Address</p> <div style="border: 1px solid black; height: 100px;"></div>	<p style="text-align: center;">Duties Performed</p> <div style="border: 1px solid black; height: 150px;"></div>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

If Yes, please identify the nature of the relationship:

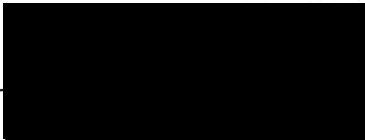
9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations?

No Yes

If Yes, please identify the nature of the relationship:

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name: _____



Date: _____

11/21/2016

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**Contra
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County**

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Accepted Rejected

BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

MAIL OR DELIVER TO:
Contra Costa County
CLERK OF THE BOARD
651 Pine Street, Rm. 106
Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Hazardous Materials Commission

Labor Seat 2 - USW Local 5 (Alternate)

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. **Name:** Scott, Tracy W
 (Last Name) (First Name) (Middle Name)

2. **Address:** [Redacted] Martinez, CA 94553-0034
 (No.) (Street) (Apt.) (City) (State) (Zip Code)

3. **Phones:** [Redacted]
 (Home No.) (Work No.) (Cell No.)

4. **Email Address:** [Redacted]

5. **EDUCATION:** Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) <input type="text"/>	<input type="text"/>	Yes No <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
B) <input type="text"/>	<input type="text"/>	Yes No <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
C) <input type="text"/>	<input type="text"/>	Yes No <input type="checkbox"/> <input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
D) Other schools / training completed: <input type="text"/>	Course Studied <input type="text"/>	Hours Completed <input type="text"/>	Certificate Awarded: Yes No <input type="checkbox"/> <input type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) <u>From</u> <u>To</u> <input type="text" value="10/17/2000"/> <input type="text" value="present"/> Total: <u>Yrs.</u> <u>Mos.</u> <input type="text" value="15"/> <input type="text" value="2"/> Hrs. per week <input type="text" value="40"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text" value="Staff Representative"/> Employer's Name and Address <input type="text" value="USW Local 5"/> <input type="text" value="1333 Pine Street, Suite A"/> <input type="text" value="Martinez, CA 94553"/></p>	<p>Duties Performed <input type="text" value="Union Representative"/></p>
<p>B) Dates (Month, Day, Year) <u>From</u> <u>To</u> <input type="text"/> <input type="text"/> Total: <u>Yrs.</u> <u>Mos.</u> <input type="text"/> <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Employer's Name and Address <input type="text"/></p>	<p>Duties Performed <input type="text"/></p>
<p>C) Dates (Month, Day, Year) <u>From</u> <u>To</u> <input type="text"/> <input type="text"/> Total: <u>Yrs.</u> <u>Mos.</u> <input type="text"/> <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Employer's Name and Address <input type="text"/></p>	<p>Duties Performed <input type="text"/></p>
<p>D) Dates (Month, Day, Year) <u>From</u> <u>To</u> <input type="text"/> <input type="text"/> Total: <u>Yrs.</u> <u>Mos.</u> <input type="text"/> <input type="text"/> Hrs. per week <input type="text"/> . Volunteer <input type="checkbox"/></p>	<p>Title <input type="text"/> Employer's Name and Address <input type="text"/></p>	<p>Duties Performed <input type="text"/></p>

7. How did you learn about this vacancy?

CCC Homepage Walk-In Newspaper Advertisement District Supervisor Other

8. Do you have a Familial or Financial Relationship with a member of the Board of Supervisors? (Please see Board Resolution no. 2011/55, attached): No Yes

If Yes, please identify the nature of the relationship:

9. Do you have any financial relationships with the County such as grants, contracts, or other economic relations?

No Yes

If Yes, please identify the nature of the relationship:

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith. I acknowledge and understand that all information in this application is publically accessible. I understand and agree that misstatements / omissions of material fact may cause forfeiture of my rights to serve on a Board, Committee, or Commission in Contra Costa County.

Sign Name



Date:

01.21.16

Important Information

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BOARDS, COMMITTEES, AND COMMISSIONS APPLICATION

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Contra Costa County
CLERK OF THE BOARD
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Martinez, California 94553-1292
PLEASE TYPE OR PRINT IN INK
(Each Position Requires a Separate Application)

BOARD, COMMITTEE OR COMMISSION NAME AND SEAT TITLE YOU ARE APPLYING FOR:

Hazardous Materials Commission

Environmental Seat

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. **Name:** Vedagiri Usha
(Last Name) (First Name) (Middle Name)

2. **Address:** [Redacted] Walnut Creek, CA 94598
(No.) (Street) (Apt.) (City) (State) (Zip Code)

3. **Phones:** [Redacted]
(Home No.) (Work No.) (Cell No.)

4. **Email Address:** [Redacted]

5. **EDUCATION:** Check appropriate box if you possess one of the following:

High School Diploma G.E.D. Certificate California High School Proficiency Certificate

Give Highest Grade or Educational Level Achieved Ph.D., Environmental Science

Names of colleges / universities attended	Course of Study / Major	Degree Awarded	Units Completed		Degree Type	Date Degree Awarded
			Semester	Quarter		
A) Rutgers University, New Brunswick, NJ	Environmental Science	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			Ph.D.	1989
B) University of Akron, Akron, OH	Urban Studies	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			M.A.	1980
C) Ethiraj College, Chennai, India	Botany, Zoology, Chemistry	Yes No <input checked="" type="checkbox"/> <input type="checkbox"/>			B.Sc.	1978
D) Other schools / training completed:	Course Studied	Hours Completed	Certificate Awarded: Yes No <input type="checkbox"/> <input type="checkbox"/>			

6. PLEASE FILL OUT THE FOLLOWING SECTION COMPLETELY. List experience that relates to the qualifications needed to serve on the local appointive body. Begin with your most recent experience. A resume or other supporting documentation may be attached but it may not be used as a substitute for completing this section.

<p>A) Dates (Month, Day, Year) <u>From</u> <u>To</u> 1998 Current Total: <u>Yrs.</u> <u>Mos.</u> 15 Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p>Title Principal Risk Assessor Employer's Name and Address AECOM, 1333, Broadway, Ste 800, Oakland, CA, 94612</p>	<p>Duties Performed Manage Northern California Risk Assessment group, lead and perform human health risk assessments (HHRAs), ecological risk assessments (ERAs) and community health impact assessments (HIAs)</p>
<p>B) Dates (Month, Day, Year) <u>From</u> <u>To</u> 2004 2006 Total: <u>Yrs.</u> <u>Mos.</u> 2 Hrs. per week <u>30</u> . Volunteer <input type="checkbox"/></p>	<p>Title Senior Technologist Employer's Name and Address CH2MHILL, Oakland, CA</p>	<p>Duties Performed Led and performed HHRAs and ERAs.</p>
<p>C) Dates (Month, Day, Year) <u>From</u> <u>To</u> 1994 1998 Total: <u>Yrs.</u> <u>Mos.</u> 5 Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p>Title Senior Scientist Employer's Name and Address EA Engineering, Lafayette, CA</p>	<p>Duties Performed Led and performed HHRAs and ERAs</p>
<p>D) Dates (Month, Day, Year) <u>From</u> <u>To</u> 1989 1994 Total: <u>Yrs.</u> <u>Mos.</u> 5 Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p>Title Senior Environmental Scientist Employer's Name and Address IT Corporation, Edison, NJ</p>	<p>Duties Performed Led and performed environmental impact assessments, wetland delineations, biological surveys, aquatic and terrestrial studies, risk assessments</p>



January 21, 2016

Michael Kent (Michael.Kent@hsd.cccounty.us)
Contra Costa Health Services
Hazardous Materials Ombudsman
597 Center Avenue, Suite 100
Martinez, CA 94553-4640

Dear Mr. Kent

The Contra Costa Central Labor Council nominates the following as our representatives on the Contra Costa County Hazardous Materials Commission:

Labor Seat #2 – USW Local 5 (Term: January 1, 2016 - December 31, 2019)

Jim Payne, Member

Tracy Scott, Alternate

Please let me know if you have any questions.

Sincerely,

Margaret Hanlon-Gradie
Executive Director
Contra Costa AFL-CIO Labor Council

Copy: Jim Payne (JPayne@usw5.org)
Tracy Scott (TScott@usw5.org)



Contra
Costa
County

To: Board of Supervisors
From: Kathy Gallagher, Employment & Human Services Director
Date: March 8, 2016

Subject: DECLARE Vacant Private/Non-Profit Sector Seat No. 5 on the Economic Opportunity Council

RECOMMENDATION(S):

ACCEPT resignation of Uche Uwahemu, DECLARE a vacancy in the Economic Opportunity Council Private/Non-Profit Sector Seat No.5, and DIRECT the Clerk of the Board to post the vacancy, as recommended by the Employment & Human Services Director.

FISCAL IMPACT:

None

BACKGROUND:

Mr. Uwahemu was appointed to Private/Non-profit Sector Seat No.5 on February 5, 2013 and re-appointed July 7, 2015 with a term end date of June 30, 2019. He submitted his resignation from this seat effective February 11, 2016.

CONSEQUENCE OF NEGATIVE ACTION:

If not approved, the Economic Opportunity will not be able to fill the vacancy.

CHILDREN'S IMPACT STATEMENT:

None

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: CSB (925)
681-6308

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Nancy Sparks, Christina Reich, Cassandra Youngblood



Contra
Costa
County

To: Board of Supervisors
From: TRANSPORTATION, WATER & INFRASTRUCTURE COMMITTEE
Date: March 8, 2016

Subject: Support Position on AB 1592 (Bonilla) Autonomous Vehicles: Pilot Project

RECOMMENDATION(S):

ADOPT a position of support on AB 1592 (Bonilla) *Autonomous Vehicles: Pilot Project*, a bill that authorizes the Contra Costa Transportation Authority to conduct a pilot project for the testing of autonomous vehicles not equipped with a steering wheel, brake pedal, accelerator, or an operator, if the testing is conducted only at specified locations and the vehicle operates at specified speeds.

AUTHORIZE the Chair of the Board of Supervisors to sign a letter communicating the Board's position, as recommended by the Transportation, Water, and Infrastructure Committee.

FISCAL IMPACT:

None.

BACKGROUND:

This measure would authorize the Contra Costa Transportation Authority (CCTA) to conduct a pilot project for the testing of autonomous vehicles if the testing is conducted only at (1) an unnamed business park designated by CCTA and, (2) at the "GoMentum Station" located at the Concord Naval Weapons Station (Project Fact Sheet attached). The bill further requires that the autonomous vehicle may only operate at speeds of less than 35 miles per hour.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: John Cunningham
(925)674-7833

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

>

Current law authorizes autonomous cars to operate on public roads for testing purposes, but under limiting conditions that include: (1) a driver is seated in the driver's seat and must be capable of taking control of the vehicle, (2) the vehicle must have a steering wheel, and (3) the vehicle has brake pedals and an accelerator that can be controlled by the vehicle operator. Because the vehicles that the Authority would like to test are not so equipped, this bill is necessary to permit operation on portions of public roads at the facilities enumerated in the bill.

A draft letter of support for the Chair's signature is attached to this report.

As of the submission of this report, the following organizations support/oppose the subject bill:

Support

Contra Costa Transportation Authority (Sponsor)

Allstate

Bay Area Council

City of San Ramon

City of Walnut Creek

EasyMile

Stantec

Sunset Development Company

Telegra, Inc.

Oppose

None

CONSEQUENCE OF NEGATIVE ACTION:

The Board of Supervisors would forgo an opportunity to support CCTA's legislative agenda.

ATTACHMENTS

GoMentum Station Fact Sheet

AB1592 Bonilla - Autonomous Vehicles

AB 1592 Fact Sheet

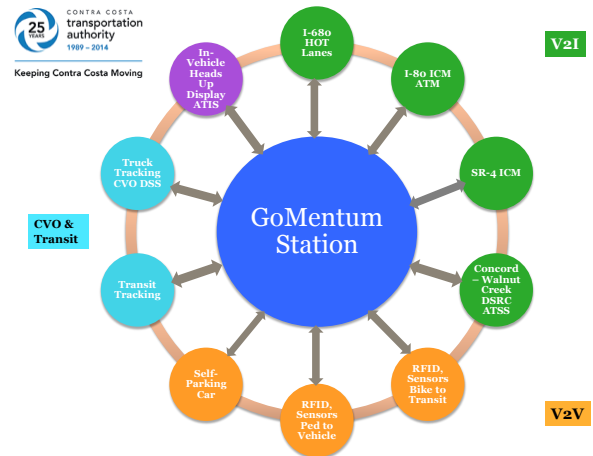
DRAFT BOS Support Letter to AM Bonilla for AB1592

CCTA Connected Vehicles (CV) Autonomous Vehicles (AV) Program – GoMentum Station

GoMentum Station in Concord, California is where CCTA leads and facilitates a collaborative partnership amongst multiple Automobile Manufacturers; OEMs and Tier-1 suppliers; communications companies; technology companies; researchers and academia; public agencies and other partners that converge in research, development, testing, validation and commercialization of Connected Vehicle (CV) applications and Autonomous Vehicles (AV) technologies to define the next generation of transportation network infrastructure. This 5000 –acre former Navy Weapons Station is one of the largest test facilities in the world and will be the center of CV/AV activities.

The CV Program is a major initiative of the United States Department of Transportation (USDOT). The USDOT CV program is comprised of Vehicles to Vehicles (V2V), Vehicles to Infrastructure (V2I) and Vehicles to Devices (V2D) elements, and is designed to improve safety, mobility, and reduce energy use and emissions through technological solutions. Through its early investments and partnerships, CCTA and its GoMentum Station are well-positioned for the expected USDOT funding opportunities in early 2015 and 2016.

Autonomous Vehicles (AV) sense their surroundings through radar, lidar (image sensing), global positioning system (GPS) and computer vision. Recently we have seen acceleration of AV technologies in unprecedented fashion by building working prototype of AV's. Companies such as Honda, Mercedes Benz, Bosch, Nissan, Toyota, Audi, Volvo, and Google are some of the trailblazers in the AV field. **Now in partnership with CCTA, several automobile manufacturers will test and validate their CV/AV technologies at the GoMentum Station Testbed in Contra Costa county to advance their research and accelerate commercialization.**



CCTA's CV/AV Program Vision

CCTA has consistently taken a leadership role in transportation and believes the future economic vitality of Contra Costa depends on the ability to provide safe, reliable, and efficient mobility through the transportation network. It is clear that in the 21st century we will not be able to build our way out of congestion. We must provide an efficient transportation system by utilizing emerging technologies such as CV/AV and leverage partnerships with the public and private sectors to advance these programs. CCTA's strategy is centered on:

1. Enhancing Contra Costa's regional economic competitiveness and job growth
2. Partnering with our communities to improve safety, mobility and the environment
3. Creating a world-class CV/AV Testbed with active industry and government participation

Critical to the success of such an ambitious program is an effective and innovative partnering strategy. This spans both public and private sector partners and must be developed in careful consideration of various interests and needs. CCTA is seizing on an historic opportunity to create a unique partnership model without precedence that is:

- Comprehensive and inclusive of all modes of surface transportation (**multi-modalism**).
- Inclusive of both private sector and public sector initiatives and investments to drive economic growth and innovation.
- Predicated on strategic partnerships with multiple automobile manufacturers and other top tier suppliers and organizations, with focus on innovation.
- Capitalizes on the Bay Area technology base and culture of creativity.

We are capturing a prominent spot in the CV/AV arena within the next 5-10 years by building America's largest and most comprehensive CV/AV Testbed in Contra Costa County (with affiliated multi-modal pilot projects), and will incubate the next generation of advanced transportation systems for decades to come.

For additional Information Contact:
 Jack Hall, PE
 ITS/CV Program Manager
 (925) 256.4700 jhall@ccta.net

ASSEMBLY BILL

No. 1592

Introduced by Assembly Member Bonilla

January 6, 2016

An act to add Section 38755 to the Vehicle Code, relating to autonomous vehicles.

LEGISLATIVE COUNSEL'S DIGEST

AB 1592, as introduced, Bonilla. Autonomous vehicles: pilot project.

Existing law permits the operation of an autonomous vehicle on public roads for testing purposes if, among other requirements, the driver is seated in the driver's seat and is capable of taking immediate manual control of the vehicle in the event of an autonomous technology failure or other emergency.

This bill would, notwithstanding the above provision, authorize the Contra Costa Transportation Authority to conduct a pilot project for the testing of autonomous vehicles that are not equipped with a steering wheel, a brake pedal, an accelerator, or an operator inside the vehicle, if the testing is conducted only at specified locations and the autonomous vehicle operates at speeds of less than 35 miles per hour.

This bill would make legislative findings and declarations as to the necessity of a special statute for the Contra Costa Transportation Authority.

Vote: majority. Appropriation: no. Fiscal committee: no.
State-mandated local program: no.

The people of the State of California do enact as follows:

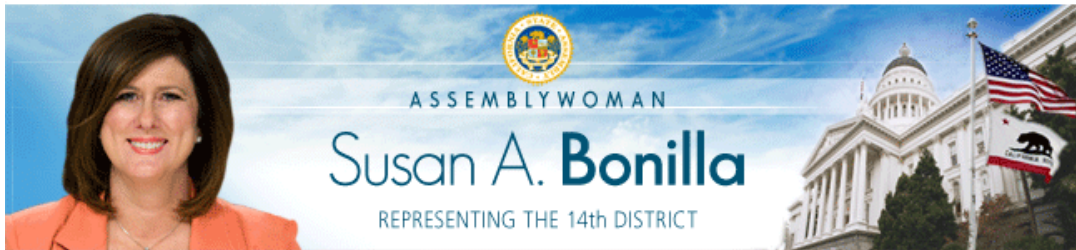
1 SECTION 1. Section 38755 is added to the Vehicle Code, to
2 read:

3 38755. Notwithstanding Section 38750, the Contra Costa
4 Transportation Authority is authorized to conduct a pilot project
5 for the testing of autonomous vehicles that are not equipped with
6 a steering wheel, a brake pedal, an accelerator, or an operator inside
7 the vehicle, provided the following requirements are met:

8 (a) The testing shall be conducted only at a privately owned
9 business office park designated by the authority, inclusive of public
10 roads within the designated office park, and at the GoMentum
11 Station at the Concord Naval Weapons Station.

12 (b) The autonomous vehicle shall operate at speeds of less than
13 35 miles per hour.

14 SEC. 2. The Legislature finds and declares that a special law
15 is necessary and that a general law cannot be made applicable
16 within the meaning of Section 16 of Article IV of the California
17 Constitution. Because of the need to limit the scope of testing of
18 new autonomous vehicle technology it is necessary to limit
19 authorization for the establishment of a pilot project to the Contra
20 Costa Transportation Authority.



AB 1592: Advancing the Testing of Autonomous Vehicles

Summary:

AB 1592 will authorize the Contra Costa Transportation Authority (CCTA) to conduct a pilot project for the testing of electric, low-speed, multi-passenger autonomous vehicles.

Background:

With the advent of autonomous vehicles and the rapid development of autonomous technologies and connected vehicle applications, California is on the cusp of transforming everyday transportation, increasing road safety and improving mobility.

The Contra Costa Transportation Authority (CCTA) is a public agency which is spearheading the testing and development of autonomous and connected vehicle technologies in Northern California.

As a regional leader in transportation, CCTA developed GoMentum Station at the 5,000 acre, former United States Navy weapons station in Concord, CA, where the convergence of automobile manufacturers, communications companies, technology companies, researchers and public agencies are testing next generation transportation technologies that will redefine mobility.

Need for legislation:

In 2012, Senate Bill 1298 was signed into law, authorizing the operation of autonomous vehicles on public roads for testing purposes. This bill required the California Department of Motor Vehicles (DMV) to adopt regulations for the operation of autonomous vehicles on public roads, including any testing, equipment, performance, and insurance standards no later than January 1, 2015.

In September 2014, DMV enacted regulations setting forth the requirements for testing autonomous vehicles, but they are still drafting the final set of regulations for the full deployment of autonomous vehicles for public operation.

CCTA currently hosts autonomous vehicle testing at GoMentum Station because it is a private, secure facility located within the Concord Naval Weapons Station. CCTA is planning to expand their testing program, but current law does not authorize the operation of autonomous vehicles without a steering wheel, brake pedal, accelerator, and operator on public roads, even if they intersect private property.

AB 1592 authorizes CCTA to continue to cultivate safe, convenient, innovative, complementary and alternative modes of transportation at GoMentum Station and a private business park within Contra Costa County, designated by CCTA.

For California to remain on the cutting edge of transportation technology and a potential hotbed for investment, development, and new jobs, it is imperative that the State continues to support the growth of testing programs that advance autonomous vehicle technology.

This bill:

Specifically, this bill:

- Authorizes CCTA to conduct a pilot project for the testing of autonomous vehicles not equipped with a steering wheel, brake pedal, accelerator or operator.
- The autonomous vehicle shall operate at speeds less than 35 miles per hour.
- Testing shall be conducted only at GoMentum Station at the former Concord Naval Weapons Station and a privately owned business park designated by CCTA, including any public roads intersecting the designated property.

Support:

- Contra Costa Transportation Authority (Sponsor)

Contact:

Ryan Morimune
Office of Assemblywoman Susan A. Bonilla
916-319-2014
ryan.morimune@asm.ca.gov

Luis Quinonez
Office of Assemblywoman Susan A. Bonilla
916-319-2014
luis.quinonez@asm.ca.gov

The Board of Supervisors

County Administration Building
651 Pine Street, Room 106
Martinez, California 94553-1293

John Gioia, 1st District
Candace Andersen, 2nd District
Mary N. Piepho, 3rd District
Karen Mitchoff, 4th District
Federal D. Glover, 5th District

Contra Costa County



David Twa
Clerk of the Board
and
County Administrator
(925) 335-1900

March 8, 2016

Honorable Susan A. Bonilla
California State Assembly, 14th District
State Capitol, Room 4140
Sacramento, CA 95814-4900

Re: AB 1592 (Bonilla) Autonomous Vehicle Pilot Project – SUPPORT

Dear Assemblywoman Bonilla:

On behalf of the Contra Costa County Board of Supervisors, I am writing to express our support for your bill AB 1592 which would authorize the Contra Costa Transportation Authority (CCTA) to conduct a pilot project for the testing of shared autonomous vehicles not equipped with a steering wheel, brake pedal, or operator.

California is on the cusp of transforming everyday transportation, increasing road safety, improving traffic congestion and reducing our greenhouse gas emissions. However, it is critical that the state is committed to supporting the growth of advanced technologies to ensure that California remains a global leader in innovation and becomes a potential hotbed for investment, development and job creation.

In 2012, Senate Bill 1298 was signed into law, authorizing the operation of autonomous vehicles on public roads for testing purposes and requiring the California Department of Motor Vehicles (DMV) to adopt regulations by January 2015. While DMV is still drafting the final regulations for the full deployment of autonomous vehicles on public roads, it is imperative that research, development and testing of such rapidly advancing technologies are not stalled.

AB 1592 supports safe testing of low-speed, multi-passenger, electric autonomous vehicles at GoMentum Station – the largest secure transportation technology proving grounds in the nation, and a private business park in Contra Costa County, to be designated by CCTA.

Contra Costa County is proud to support your bill which will help cultivate safe, innovative, convenient, and complementary modes of transportation in our community. I would like to thank you for your leadership on this important policy matter and if you have any questions, please contact John Kopchik, Director of Conservation and Development at 925-674-7819 or john.kopchik@dcd.cccounty.us.

Sincerely,

Candace Andersen, Chair
Contra Costa County Board of Supervisors

Copy
Dave Hudson, Chair – Contra Costa Transportation Authority



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services
Date: March 8, 2016

Subject: Increase the hours of five positions in the Health Services Department

RECOMMENDATION(S):

ADOPT Position Adjustment Resolution No. 21834 to increase the hours of Nutrition Assistant (1K7B) position #8802 from 12/40 to 24/40 at salary level QT5-1086 (\$3362 - \$3965); Therapist Aide (V5WA) position #9668 from 20/40 to 40/40 at salary level QB5-1179 (\$3262 - \$3965); two (2) Physical Therapist II (V5VF) position #8245 from 20/40 to 24/40, and position #8991 from 36/40 to 40/40 at salary level QT5-1746 (\$6,271 - \$7622); Senior Radiological Technician (V8VA) position #10040 from 20/40/ to 40/40 at salary level (\$6215 - \$7555) in the Health Services Department. (Represented)

FISCAL IMPACT:

Upon Approval, there is an annual cost of approximately \$532,708.79, which includes pension cost of \$112,788.28. The entire cost is offset from Enterprise Fund I revenue.

BACKGROUND:

The Health Services

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Jacqueline Kidd,
925-957-5240

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

Department is requesting to increase the hours of five (5) positions, as per the Memorandum of Understanding with the Public Employees Union, Local One. The positions are: Nutrition Assistant position #8802 from 12/40 to 24/40; Therapy Aide, position #9668 from 20/40 to 40/40; two Physical Therapist II, position #8245 from 20/40 to 40/40 and position #8991 from 36/40 to 40/40; and Senior Radiological Technician, position #10040 from 20/40 to 40/40 in the Health Services Department. The incumbents have been working the increased hours for the past six months and these additional hours are certified by their respective Department Manager's as being operationally necessary to continue the mandated functions of the department, to ensure patient care at Contra Costa Regional Medical Center and its Health Centers. There is an annual cost of \$532,708.79, which is offset from Hospital Enterprise Fund I revenue.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, these positions located in the Contra Costa Regional Medical Center will not have adequate staffing to fulfill the mandated functions of the department.

CHILDREN'S IMPACT STATEMENT:

N/A

ATTACHMENTS

P-300 #21834

POSITION ADJUSTMENT REQUEST

NO. 21834
DATE 2/23/2016

Department Health Services Department No./
Budget Unit No. 0540 Org No. Vary Agency No. A18
Action Requested: Increase hours for one Nutrition Assistant (1K7B) #8802 from 12/40 to 24/40; one Therapist Aide (V5WA) #9668 from 20/40 to 40/40; two (2) Physical Therapist II (V5VF); #8245 from 20/40 to 24/40 and #8991 from 36/40 to 40/40; and one Senior Radiological Technician (V8VA) #10040 from 24/40 to 40/40 in the Health Services Department.

Proposed Effective Date: 3/16/2016

Classification Questionnaire attached: Yes No / Cost is within Department's budget: Yes No

Total One-Time Costs (non-salary) associated with request: \$0.00

Estimated total cost adjustment (salary / benefits / one time):

Total annual cost \$532,708.79 Net County Cost \$0.00
Total this FY \$221,961.99 N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT Enterprise Fund I21834

Department must initiate necessary adjustment and submit to CAO.
Use additional sheet for further explanations or comments.

Jacqueline Kidd

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Dorothy Sansoe

2/29/2016

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE _____

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: Day following Board Action.
 3/16/2016(Date)

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE

2/29/2016

- Approve Recommendation of Director of Human Resources
- Disapprove Recommendation of Director of Human Resources
- Other: Approve as requested by Department

Dorothy Sansoe

(for) County Administrator

BOARD OF SUPERVISORS ACTION:

Adjustment is APPROVED DISAPPROVED

David J. Twa, Clerk of the Board of Supervisors
and County Administrator

DATE _____

BY _____

APPROVAL OF THIS ADJUSTMENT CONSTITUTES A PERSONNEL / SALARY RESOLUTION AMENDMENT

POSITION ADJUSTMENT ACTION TO BE COMPLETED BY HUMAN RESOURCES DEPARTMENT FOLLOWING BOARD ACTION

Adjust class(es) / position(s) as follows:



Contra
Costa
County

To: Board of Supervisors
From: Robert Campbell, Auditor-Controller
Date: March 8, 2016

Subject: Reclassify one Account Clerk Advanced Level position and its incumbent to Accounting Technician

RECOMMENDATION(S):

ADOPT Position Adjustment Resolution No. 21835 to reclassify one (1) Account Clerk Advanced Level (JD7D) (represented) position #166 at salary plan and grade 3RX 1133 (\$3,408-\$4,353) and its incumbent to Accounting Technician (JD7A) (represented) at salary plan and grade 3RX 1236 (\$3,774-\$4,820) in the Office of the Auditor-Controller.

FISCAL IMPACT:

This action will result in an annual cost of \$5,900 of which \$1,453 is due to pension costs.

BACKGROUND:

The incumbent is assigned to the General Accounting division of the Office of the Auditor-Controller and has been performing duties that are typically assigned to an Accounting Technician. The incumbent completed a Position Description Questionnaire (PDQ) that the Human Resources department reviewed and confirmed.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, the assigned duties will have to be reassigned alternate staff with full work-loads.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Elizabeth Verigin (925)
646-2185

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Tanya Williams, James Hicks, Elizabeth Verigin

ATTACHMENTS

AIR 24827 P300 21835

Reclassify

POSITION ADJUSTMENT REQUEST

NO. 21835
DATE 2/23/2016

Department Auditor-Controller

Department No./
Budget Unit No. 0010 Org No. 1019 Agency No. 10

Action Requested: Reclassify without Examination Pos. 166 and incumbent from Account Clerk Advance Level (JD7B) to Accounting Technician (JD7A).

Proposed Effective Date: 3/1/2016

Classification Questionnaire attached: Yes No / Cost is within Department's budget: Yes No

Total One-Time Costs (non-salary) associated with request: \$0.00

Estimated total cost adjustment (salary / benefits / one time):

Total annual cost	<u>(\$5,900.00)</u>	Net County Cost	<u>(\$5,900.00)</u>
Total this FY	<u>\$1,500.00</u>	N.C.C. this FY	<u>\$1,500.00</u>

SOURCE OF FUNDING TO OFFSET ADJUSTMENT Within allocated budget.

Department must initiate necessary adjustment and submit to CAO.
Use additional sheet for further explanations or comments.

Robert Campbell

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Lisa Driscoll

2/29/16

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE _____

Reclassify one (1) Account Clerk Advanced Level (JD7D) (represented) position #166 at salary plan and grade 3RX 1133 (\$3408-\$4353) and its incumbent to Accounting Technician (JD7A) (represented) at salary plan and grade 3RX 1236 (\$3774-\$4820) in the Office of the Auditor-Controller.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: Day following Board Action.

3/1/2016(Date)

Tanya Williams

2/29/2016

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE _____

- Approve Recommendation of Director of Human Resources
- Disapprove Recommendation of Director of Human Resources
- Other: _____

(for) County Administrator

BOARD OF SUPERVISORS ACTION:

Adjustment is APPROVED DISAPPROVED

David J. Twa, Clerk of the Board of Supervisors
and County Administrator

DATE _____

BY _____

APPROVAL OF THIS ADJUSTMENT CONSTITUTES A PERSONNEL / SALARY RESOLUTION AMENDMENT

POSITION ADJUSTMENT ACTION TO BE COMPLETED BY HUMAN RESOURCES DEPARTMENT FOLLOWING BOARD ACTION

Adjust class(es) / position(s) as follows:

REQUEST FOR PROJECT POSITIONS

Department _____

Date 3/2/2016

No. xxxxxx

1. Project Positions Requested:

2. Explain Specific Duties of Position(s)

3. Name / Purpose of Project and Funding Source (do not use acronyms i.e. SB40 Project or SDSS Funds)

4. Duration of the Project: Start Date _____ End Date _____
Is funding for a specified period of time (i.e. 2 years) or on a year-to-year basis? Please explain.

5. Project Annual Cost
 - a. Salary & Benefits Costs: _____
 - b. Support Costs: _____
(services, supplies, equipment, etc.)
 - c. Less revenue or expenditure: _____
 - d. Net cost to General or other fund: _____

6. Briefly explain the consequences of not filling the project position(s) in terms of:
 - a. potential future costs
 - b. legal implications
 - c. financial implications
 - d. political implications
 - e. organizational implications

7. Briefly describe the alternative approaches to delivering the services which you have considered. Indicate why these alternatives were not chosen.

8. Departments requesting new project positions must submit an updated cost benefit analysis of each project position at the halfway point of the project duration. This report is to be submitted to the Human Resources Department, which will forward the report to the Board of Supervisors. Indicate the date that your cost / benefit analysis will be submitted

9. How will the project position(s) be filled?
 - a. Competitive examination(s)
 - b. Existing employment list(s) Which one(s)? _____
 - c. Direct appointment of:
 1. Merit System employee who will be placed on leave from current job
 2. Non-County employee

Provide a justification if filling position(s) by C1 or C2

USE ADDITIONAL PAPER IF NECESSARY



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Award Amendment #29-393-25 with the California Department of Public Health, Tuberculosis Control Branch

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Grant Award Amendment #29-393-25, with the California Department of Public Health, Tuberculosis (TB) Control Branch, effective February 1, 2016, to amend Grant Award #29-393-24, to increase the amount payable to County by \$23,476 from \$291,142 to a new total of \$314,618, with no change in the original term of July 1, 2015 through June 30, 2016.

FISCAL IMPACT:

Approval of this amendment will result in an increase of \$23,476 for the base award, food, shelter, incentives, and enablers (FSIE), from the State of California, TB Control Branch for fiscal year 2015-2016. (No County match required) The FSIE allotment will be used to purchase the following gift cards:

- 200 SaveMart Gift Cards with a value of \$20/card for a total of \$4,000.
- 300 Target Gift Cards with a value of \$20/card for a total of \$6,000.
- 125 Safeway Gift Cards with a value of \$20/card for a total of \$2,500.
- 50 Walmart Gift Cards with a value

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Daniel Peddycord
313-6712

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: D Morgan, M Wilhelm

FISCAL IMPACT: (CONT'D)

of \$20/card for a total of \$1,000.

The remaining FSIE balance of \$3,099 will be used as needed including for taxi vouchers, bus passes and rent subsidies.

BACKGROUND:

The Contra Costa County, Public Health Department maintains a TB Control Program, which serves all reported TB patients and their contacts in Contra Costa County. Outreach services are provided to reach the “Hard-to Reach” people with TB and those at high risk. The TB control staff work within the Communicable Disease Section in collaboration with the HIV/AIDS Program, Substance Abuse Programs, Contra Costa Regional Medical Center and Health Centers, and providers throughout the County.

On August 18, 2015, the Board of Supervisors approved a Grant Award #29-393-24 with the California Department of Public Health, TB Control Branch, for the County’s FSIE TB Control Program, which included food, shelter, incentives and enablers, taxi voucher, bus passes and rent subsidies for the period from July 1, 2015 through June 30, 2016.

Approval of Grant Award Amendment #29-393-25 will allow the Department to receive additional funds for the Tuberculosis Control Program, through June 30, 2016.

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, the County will not be able to purchase the food, shelter, incentives and enablers gift cards for the TB patients.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Grant Agreement #28-873-1 with the California Endowment

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute on behalf of the County, Grant Agreement #28-873-1 (#20162203) with the California Endowment, to pay the County an amount not to exceed \$302,028, for the Richmond Public Health Solutions (RPHS) Project, for the period from February 1, 2016 through January 31, 2018.

FISCAL IMPACT:

This agreement will result in up to \$302,028 of funding from the California Endowment for the County's Richmond Public Health Solutions Project. No County match required.

BACKGROUND:

Health disparities are associated with poor education outcomes, and in Richmond, Latino and African American residents face disproportionate rates of preventable chronic illness such as heart disease, obesity, and cancer. Public Health agencies alone cannot reduce these disparities, but working collaboratively with other governmental agencies, educational institutions

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Dan Peddycord,
313-6712

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: D Morgan, M Wilhelm

BACKGROUND: (CONT'D)

and community-based organizations RPHS can provide Richmond youth the skills and experience they need to advance their education, learn community advocacy and become part of the public health workforces. The goal of the project is to expose approximately 120 high school juniors enrolled in De Anza's Health Academy, composed primarily of youth of color, to public health concepts, practices and careers, through January 31, 2018. This Agreement includes agreeing to indemnify and hold the grantor harmless for any claims arising out of County's performance of this agreement.

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, the County will not receive funds to support the Public Health Richmond Public Health Solutions (RPHS) Project participants.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Amendment Agreement #28-849-3 with the California Department of Public Health

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Amendment Agreement 28-849-3 (#13-20048-A03) with the California Department of Public Health, effective April 1, 2015, to make technical adjustments to the budget, to increase the amount payable to County by \$21,333 from \$1,330,064 to a new total payment limit of \$1,351,397, with no change in the original term from March 31, 2014 through March 31, 2016.

FISCAL IMPACT:

Approval of this Amendment will result in an increase in the amount of \$21,333 from the California Department of Public Health. No County funds are required.

BACKGROUND:

The goals of the California Department of Public Health, Office of AIDS are: 1) to minimize new HIV infections; and 2) to maximize the number of people with HIV infection who access appropriate care, treatment, support and prevention services. The services required by the HIV Prevention Program, scope of work, in this Agreement are consistent with, and are designed to

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Daniel Peddycord,
925-313-6712

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: J Pigg, M Wilhelm

BACKGROUND: (CONT'D)

support these goals. On September 10, 2013, the Board of Supervisors approved Standard Agreement #28-849 (as amended by Standard Agreement #28-849-2 and #28-849-3), for County to provide residents of Contra Costa County access to medical and support care services, including outreach and treatment under the HIV Care Program and Minority AIDS Initiative project, for the period from July 1, 2013 through March 31, 2016, which included agreeing to indemnify and hold the State harmless for claims arising out of the County's performance under the Agreement. Approval of Contract Amendment Agreement #28-849-3 will make technical adjustments to the budget, allowing the County to receive additional funds to continue providing medical and support care services through March 31, 2016.

CONSEQUENCE OF NEGATIVE ACTION:

If this amendment is not approved, County will not receive the necessary funding to support the reduction in transmission of HIV; to provide the prevention services that will reduce hospitalization; and to provide support to HIV positive individuals in their homes; or to support compliance with State and Federal requirements for reporting of communicable disease.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra
Costa
County

To: Board of Supervisors
From: Kathy Gallagher, Employment & Human Services Director
Date: March 8, 2016

Subject: 2015-16 Calif. Dept. of Educ. CalWORKS Stage 2 childcare revenue contract, Amend #1

RECOMMENDATION(S):

APPROVE and AUTHORIZE the Employment & Human Services Department Director, or designee, to execute a contract amendment with California Department of Education, effective February 1, 2016, to increase the payment limit by \$51,144 for a new total limit of \$4,105,899, to provide for childcare and development programs (CalWORKS Stage 2) with no change to term July 1, 2015 through June 30, 2016.

FISCAL IMPACT:

100% State funding
No County match
State: C2AP 5009 / Amend 1
County: 29-213-27

BACKGROUND:

The Department received notification on June 3, 2015 from California Department of Education for the 2015-16 funding allocation for alternative payment / CalWORKS Stage 2 childcare services. The Board approved receipt of funds on July 7, 2016 (C.79). This State program provides funding to reimburse a portion of the childcare

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: CSB (925)
681-6304

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Jagjit Bhambra, Haydee Ilan, Cassandra Youngblood

BACKGROUND: (CONT'D)

costs incurred by CalWORKS Stage 2 participants through their participation in the CalWORKS program. As the program year continues, the State routinely adds funding to the contract as more funds become available. This board order is to accept receipt of additional funding.

CONSEQUENCE OF NEGATIVE ACTION:

If not approved, County will not have funds to operate CalWORKS Stage 2 childcare program.

CHILDREN'S IMPACT STATEMENT:

The Employment & Human Services Department Community Services Bureau supports three of Contra Costa County's community outcomes - Outcome 1: "Children Ready for and Succeeding in School," Outcome 3: "Families that are Economically Self-sufficient," and, Outcome 4: "Families that are Safe, Stable, and Nurturing." These outcomes are achieved by offering comprehensive services, including high quality early childhood education, nutrition, and health services to low-income children throughout Contra Costa County.



Contra
Costa
County

To: Board of Supervisors
From: Kathy Gallagher, Employment & Human Services Director
Date: March 8, 2016

Subject: Contract amendment with Delta Personnel Services, Inc., dba Guardian Security Agency, Security Guard Services

RECOMMENDATION(S):

APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to execute a contract amendment with Delta Personnel Services, Inc., dba Guardian Security Agency, effective March 1, 2016, increasing the payment limit by \$20,000 to a new payment limit of \$357,110 to provide security services for the period July 1, 2015 through June 30, 2016. (2.4% County, 48.8% State, 48.8% Federal)

FISCAL IMPACT:

\$357,110; \$85,000 Employment and Human Services Department Administrative Overhead (10% County, 45% State, 45% Federal); \$272,110 Employment and Human Services, Community Services Bureau (50% State, 50% Federal).

BACKGROUND:

The Employment and Human Services Department (EHSD) maintains an agreement with the County Health Services Department to provide public security officers (PSOs) at several EHSD locations. EHSD, through a contract with Delta Personnel Services, Inc., dba Guardian Security Agency (Guardian), provides security personnel services at EHSD sites when the PSOs are unavailable due to vacation schedules, illness, on alternative work schedules, for night and weekend work, and

-
- APPROVE OTHER
 - RECOMMENDATION OF CNTY ADMINISTRATOR RECOMMENDATION OF BOARD COMMITTEE
-

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: V. Kaplan,
3-1514

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND: (CONT'D)

social occasions/events. Guardian provides contingency security services to EHSD locations.

Upon request from EHSD, Guardian will provide security personnel services to perform temporary and unanticipated security related services to safeguard equipment and property, prepare reports, conduct visual checks of area in and around EHSD suites, monitor and respond at the request of staff regarding unauthorized visitors to insure the safety of visitors and employees at EHSD locations.

CONSEQUENCE OF NEGATIVE ACTION:

County building sites, property, and staff would not have security and safety mechanisms in place.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Fire Funding for Emergency Medical Services (EMS) Enhancements from Measure H Funds

RECOMMENDATION(S):

Approve and authorize the Auditor-Controller, or designee, to pay the San Ramon Valley Fire Protection District \$33,000 for EMS Fire First Responder medical equipment, medical supplies and EMS training to the San Ramon Valley Fire Protection District, upon approval of EMS Director for FY 2015-16.

FISCAL IMPACT:

Funding for this expenditure has been budgeted under CSA EM-1, Zone A (Measure H). There is no General Fund impact.

BACKGROUND:

These funds are allocated to partially offset fire services' added costs for medical supplies, equipment, and training through participation in an enhanced Emergency Medical Services system established through CSA EM-1.

CONSEQUENCE OF NEGATIVE ACTION:

Fire services would need to fund medical supplies, equipment and training out of their existing funds.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Pat Frost,
646-4690

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: T Scott, M Wilhelm, Leticia Andreas



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Agreement #23-590 with Heat Software USA, Inc.

RECOMMENDATION(S):

APPROVE and AUTHORIZE the Health Services Director or his designee, to execute on behalf of the County, Agreement #23-590 with Heat Software USA, Inc., a corporation, in an amount not to exceed \$494,643, to provide software and services for Health Services Information Technology service requests and incident management administration, for the period March 30, 2016 through March 29, 2019.

FISCAL IMPACT:

The Agreement is funded 100% by Hospital Enterprise Fund I.

BACKGROUND:

The Health Services Department's Information Technology Unit is currently using outdated technology which lacks basic functionality. The Contractor's Heat Software will allow the Department more easy use of incident management, license management, quick access to data, scheduling and running reports along with ease of administration and support.

Under Agreement #23-590, the Contractor will provide software services, including implementation services, software licensing, hosting, and support, to the Information Technology

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: David Runt,
313-6228

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: T Scott, M Wilhelm, Brian Schroeder

BACKGROUND: (CONT'D)

Unit, during the period from March 30, 2016, through March 29, 2019. The Agreement requires the parties to execute an End User License Agreement, in the form attached to the Agreement, which will license the software to the County.

Under the Agreement, the Contractor's liability to the County, for indemnity or otherwise, is limited to the amounts paid by the County under the Agreement. The standard insurance requirements also have been modified to eliminate the requirement that the County and its officers and employees be named as additional insureds under the Contractor's commercial general liability insurance policy.

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, County will not be able to receive software services to adequately monitor service requests and incidents submitted to the Information Technology Unit for trouble shooting and the software version will no longer be supported by the current Vendor (end of life).

CHILDREN'S IMPACT STATEMENT:

Not Applicable.



**Contra
Costa
County**

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Contract #26-410 with La Clinica de La Raza, Inc.

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Contract #26-410 with La Clinica de La Raza, Inc., a non-profit corporation, to provide transfer and coordination of care for patients requiring emergency medical care at Contra Costa Regional Medical Center, for the period from March 1, 2016 through February 28, 2018.

FISCAL IMPACT:

This is a non-financial agreement.

BACKGROUND:

The goal of this Care Transition Agreement is provide continuity of care for La Clinica de La Raza, Inc. patients who are treated at Contra Costa Regional Medical Center and ensure that these patients are connected with their primary medical home after the hospital visit.

Approval of Contract #26-410 will articulate the roles of the parties with regard to transfer and coordination of patients who have been hospitalized at Contra Costa Regional Medical Center, through February 28, 2018. This agreement includes mutual indemnification to hold harmless both parties for any claims arising out of the performance of this Agreement.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Samir Shah, M.D.,
370-5475

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: T Scott, M Wilhelm

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, the transfer and coordination of care for these patients may not be in compliance with all applicable Federal and State statutes and regulations, including the Emergency Medical Treatment and Labor Act (EMTALA).

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra
Costa
County

To: Board of Supervisors
From: Russell Watts, Treasurer-Tax Collector
Date: March 8, 2016

Subject: Contract Amendment Agreement - Steckbauer Weinhart, LLP

RECOMMENDATION(S):

APPROVE and AUTHORIZE the County Administrator, or designee to execute a contract amendment agreement between the County and Steckbauer Weinhart, LLP, effective November 1, 2015 to increase the payment limit by \$25,000 to a new payment limit of \$125,000 for continued legal services on behalf of the County on a case-by-case basis in the area of tax related bankruptcy matters, as requested by the County Counsel and the Treasurer-Tax Collector.

FISCAL IMPACT:

Funding for legal services is included in the FY 2015-16 budget. (100% General Fund)

BACKGROUND:

Contract #49076-00 with Steckbauer Weinhart, LLP was executed in April 2013 and the Treasurer-Tax Collector's office respectfully requests an increase of \$25,000 for Contract #49076-00 from November 1, 2015 through the end of the of contract term, April 30, 2016. The increase amount of the contract will ensure that sufficient resources are available to pay outstanding invoices and for County Counsel and the Treasurer-Tax Collector to refer additional bankruptcy cases to Steckbauer Weinhart, LLP as needed during the remainder of the contract.

The need for the legal services on bankruptcy cases is instrumental in collecting outstanding debt by claimants owing taxes and if a claim is not filed when the County is notified, the County has no recourse to collect the taxes associated with the claim. Although County Counsel has significantly helped on many of the bankruptcy cases, the need for additional attorney services has been necessary at times due to the complexity of certain cases.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Brice Bins, (925)
957-2848

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Robert Campbell, County Auditor-Controller

ATTACHMENTS

Steckbauer Weinhart, LLP
Contract

CONTRACT AMENDMENT AGREEMENT
(Purchase of Services – Long Form)

Number: 49076-00
Fund/Org: 0015
Account:
Other:

1. **Identification of Contract to be Amended.**

Number: 49076-00
Effective Date: 05/01/2013
Department: Treasurer – Tax Collector
Subject: Legal Services

2. **Parties.** The County of Contra Costa, California (County), for its Department named above, and the following named Contractor mutually agree and promise as follows:

Contractor: Steckbauer Weinhart, LLP
Capacity: Limited Liability Partnership
Address: 333 South Hope Street, 36th Floor, Los Angeles, CA 90071

3. **Amendment Date.** The effective date of this Contract Amendment Agreement is November 1, 2015.

4. **Amendment Specifications.** The Contract identified above is hereby amended as set forth in the “Amendment Specifications” attached hereto which are incorporated herein by reference.

5. **Signatures.** These signatures attest the parties’ agreement hereto:

COUNTY OF CONTRA COSTA, CALIFORNIA

BOARD OF SUPERVISORS By: _____ Chair/Designee	ATTEST: Clerk of the Board of Supervisors By: _____ Deputy
---	--

CONTRACTOR

Signature A Name of business entity: By: _____ (Signature of individual or officer) _____ (Print name and title A, if applicable)	Signature B Name of business entity: By: _____ (Signature of individual or officer) _____ (Print name and title B, if applicable)
--	--

Note to Contractor: For corporations (profit or nonprofit) and limited liability companies, the contract must be signed by two officers. Signature A must be that of the chairman of the board, president, or vice-president; and Signature B must be that of the secretary, any assistant secretary, chief financial officer or any assistant treasurer (Civil Code Section 1190 and Corporations Code Section 313). All signatures must be acknowledged as set forth on Form L-2.

AMENDMENT SPECIFICATIONS
CONTRACT NO. 49076-00
Steckbauer Weinhart, LLP

Payment Limit. Paragraph 4 of Form L-1 is hereby deleted in its entirety and replaced with the following paragraph:

4. Payment Limit. County's total payments to Contractor under this Contract shall not exceed \$125,000.

Initials: _____
Contractor County



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Contract Amendment Agreement #27-799-5 with Health Management Systems, Inc.

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Contract Amendment Agreement #27-799-5 with Health Management Systems, Inc., a corporation, effective February 1, 2016, to amend Contract #27-799-4, to increase the payment limit by \$200,000, from \$650,000 to a new payment limit of \$850,000, with no change in the original term of February 1, 2015 through January 31, 2017.

FISCAL IMPACT:

This amendment is funded 100% by Contra Costa Health Plan Enterprise Fund II. (No rate increase)

BACKGROUND:

Contra Costa Health Plan is mandated by State and Federal law to have a comprehensive fraud, waste, and abuse prevention and detection program which must include measures that prevent, detect, and correct noncompliance with the Centers for Medicare and Medicaid Services (CMS) program requirements. On April 21, 2015, the Board of Supervisors approved Contract #27-799-4 with Health Management Systems, Inc. for the provision of auditing services, for the period from February 1, 2015 through January 31, 2017. At the time of negotiations, the payment limit was based on target levels of utilization. However, based on revised projections, actual usage will exceed the target levels by the end of the Contract term. Approval of Contract Amendment Agreement #27-799-5 will allow the Contractor to continue providing services through January 31, 2017.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Patricia Tanquary,
313-6004

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: A Floyd, M Wilhelm

CONSEQUENCE OF NEGATIVE ACTION:

If this amendment is not approved, the Health Plan will be out of compliance with CMS services program requirements.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Contract #72-082 with Children's Hospital & Research Center at Oakland (dba UCSF Benioff Children's Hospital Oakland)

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Contract #72-082 with Children's Hospital & Research Center at Oakland (dba UCSF Benioff Children's Hospital Oakland), a non-profit corporation, in an amount not to exceed \$20,360, to provide specialized training and case conference group sessions to County's Family Maternal & Child Health, Home Visiting Programs, for the period from July 1, 2015 through June 30, 2016.

FISCAL IMPACT:

This Contract is funded 100% California Department of Public Health.

BACKGROUND:

Under Contract #72-082, the Contractor will provide two one-day trainings on reflective supervision for the Family, Maternal & Child Health Home Visiting Programs and partners in Public Health and conduct 24/4 hour sessions of reflective case conference group sessions for the FMCH Nurse-Family Partnership Program staff, through June 30, 2016, including exploring clinical issues, discussing theoretical and practical issues and strategies for use in cases. This Contract includes mutual indemnification.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Dan Peddycord,
925-313-6712

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: J Pigg, M Wilhelm

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, County will not receive specialized training from this Contractor.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Contract #26-792-3 with Edward Y Tang, M.D., Inc.

RECOMMENDATION(S):

Approve and authorize the Health Services Director or his designee, to execute, on behalf of the County, Contract #26-792-3 with Edward Y. Tang, M.D. Inc. a professional corporation, in an amount not to exceed \$400,000, to provide orthopedic services at Contra Costa Regional Medical Center and Contra Costa Health Centers (CCRMC), for the period from March 1, 2016 through February 28, 2017.

FISCAL IMPACT:

This Contract is funded 100% by Hospital Enterprise Fund I. (Rate increase)

BACKGROUND:

On March 10, 2015, the Board of Supervisors approved Contract #26-792 (as amended by Amendment Agreements #26-792-1 and #26-792-2) with Edward Tang, M.D. to provide orthopedic services at CCRMC including but not limited to consultation, training, on-call coverage and medical/surgical procedures, through February 29, 2016.

Approval of Contract #26-792-3 will allow the Contractor to continue to provide services, through February 28, 2017.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Samir Shah, MD,
370-5475

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Tasha Scott, M Wilhelm

CONSEQUENCE OF NEGATIVE ACTION:

If this Contract is not approved, patients requiring orthopedic services at CCRMC will not have access to Contractor's services.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Acknowledge Termination of Contract #27-627-4 with William C. Lyon, M.D., APC

RECOMMENDATION(S):

Acknowledge receipt of notice from William C. Lyon, M.D., APC, a corporation, requesting termination of Contract #27-627-4, for the provision of orthopedic surgery services for Contra Costa Health Plan members, effective at close of business on December 1, 2015.

FISCAL IMPACT:

This Contract was funded 100% Contra Costa Health Plan Enterprise Fund II.

BACKGROUND:

On October 7, 2014, the Board of Supervisors approved Contract #27-627-4 with William C. Lyon, M.D., APC, a corporation, for the provision of orthopedic surgery services, for the period from September 1, 2014 through August 31, 2016. The purpose of this Board Order is to advise the Board of Supervisors that the Contractor closed his medical practice on December 1, 2015.

CONSEQUENCE OF NEGATIVE ACTION:

Not applicable

CHILDREN'S IMPACT STATEMENT:

Not applicable.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Patricia Tanquary
313 -6004

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: A Floyd, M Wilhelm



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Amendment Agreement #26-347-26 with Cross Country Staffing, Inc. (dba Medical Staffing Network)

RECOMMENDATION(S):

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Contract Amendment Agreement #26-347-26 with Cross Country Staffing, Inc. (dba Medical Staffing Network), a corporation, effective November 1, 2015, to amend Contract #26-347-25, to add additional hourly rates for two classifications to the rate sheet, with no change in the original payment limit of \$8,000,000, and no change in the original term July 1, 2015 through June 30, 2016.

FISCAL IMPACT:

This amendment reflects a change to the rate sheet to include local hourly rates for X-Ray technicians and Registered Nurse Specialty in addition to travel rates and is funded 100% Hospital Enterprise I Fund. (Rate increase)

BACKGROUND:

On June 16, 2015, the Board of Supervisors approved Contract #26-347-25 with Cross Country Staffing, Inc., (dba Medical Staffing Network) for the period from July 1, 2015 through June 30, 2016, for the provision of temporary medical services including nursing, therapy, radiology and pharmacy services for Contra Costa Regional Medical and Contra Costa Health Centers (CCRMC). The Division is experiencing staffing shortages in Registered Nurse and X-Ray Technician specialties at CCRMC. Approval of Contract Amendment Agreement #26-347-26 will allow Contractor to provide an additional level of temporary help services through June 30, 2016.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Anna Roth,
925-370-5101

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

CONSEQUENCE OF NEGATIVE ACTION:

If this amendment is not approved, patients requiring specialty services at CCRMC will not have access to Contractor's services.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra
Costa
County

To: Board of Supervisors
From: Ed Woo, Chief Information Officer
Date: March 8, 2016

Subject: Amendment to Infosec Professionals, LLC Services Contract for Informaion Security Support

RECOMMENDATION(S):

APPROVE and AUTHORIZE the Chief Information Officer, or designee, to execute a contract amendment with Infosec Professionals, LLC, to decrease the payment limit from \$120,000 to a new payment limit of \$62,000 with no change in the term of July 1, 2015 through June 30, 2016, for continuing information security services

FISCAL IMPACT:

The cost of \$62,000 is budgeted under Org# 1055, FY2015/16 and recovered through Security Rates charged to all County departments (based on staff count) via DoIT's billing process.

BACKGROUND:

On June 9, 2015, the Board of Supervisors approved a contract with Infosec Professionals, LLC, to provide information security services. The sole employee of Infosec Professionals, LLC, is Tim Carlisle, a County retiree who previously worked in the Department of Information Technology. The original contract does not place a limit on the number of hours Mr. Carlisle can perform services for the County. In order to avoid jeopardizing Mr. Carlisle's post-employment benefits under the Public Employees' Pension Reform Act of 2013, he cannot perform more than 960 hours of services in any fiscal year. The contract is being amended to limit the number of hours of services to 960 and to decrease the contract payment limit correspondingly.

In accordance with Administrative Bulletin No 611.0, County Departments are required to obtain Board approval for single item purchases over \$100,000. The County Administrator's Office has reviewed this request and recommends approval.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Ed Woo (925)
383-2688

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:



Contra
Costa
County

To: Board of Supervisors
From: Kathy Gallagher, Employment & Human Services Director
Date: March 8, 2016

Subject: Advisory Council on Aging Bylaws Revision(s)

RECOMMENDATION(S):

APPROVE revised Bylaws of the Advisory Council on Aging as recommended by the Employment and Human Services Department Director.

FISCAL IMPACT:

Not applicable.

BACKGROUND:

The Advisory Council on Aging (ACOA) is an advisory body to the Contra Costa County Board of Supervisors. In review of the ACOA Bylaws, revisions were made to provide greater overall clarity. No substantive changes have been made to the Bylaws. ACOA Bylaws revisions are minor changes and reflect technical clean-up.

CONSEQUENCE OF NEGATIVE ACTION:

If not approved, the Advisory Council on Aging Bylaws will contain minor inconsistencies.

CHILDREN'S IMPACT STATEMENT:

Not applicable.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Elaine Burres,
313-1717

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

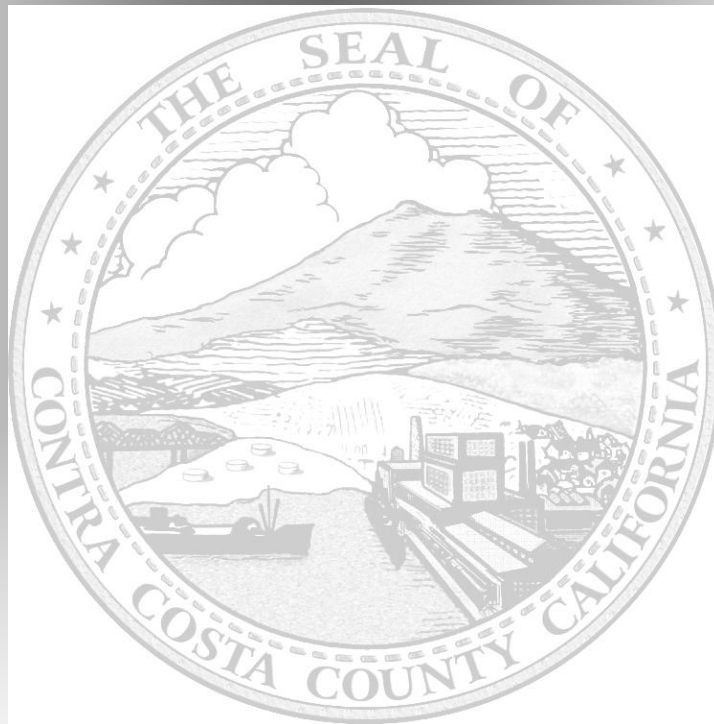
cc:

ATTACHMENTS

ACOA Revised
Bylaws

CONTRA COSTA COUNTY ADVISORY COUNCIL ON AGING

BYLAWS



ADVISORY COUNCIL ON AGING BYLAWS INDEX

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CONTRA COSTA COUNTY ADVISORY COUNCIL ON AGING

BYLAWS

As of December 1, 2015

PREAMBLE

In recognition of the problems of the older people of Contra Costa County and the need for concerted community action to help resolve these problems, this non-sectarian, non-partisan organization was formed in 1962.

ARTICLE I - NAME

- 1.1 The name of this organization shall be "CONTRA COSTA COUNTY ADVISORY COUNCIL ON AGING", which shall hereinafter be referred to as "The Council". *

**The Board of Supervisors sanctioned the Council as the County-wide Coordinating Committee in 1969. Under the Older Americans Act (Title III of the Older Americans Comprehensive Services Amendment of 1973), the Contra Costa Area Agency on Aging was established October 1, 1975, with the Advisory Council on Aging as the representative group which advises the Board of Supervisors on the Contra Costa Area Plan and its implementation.*

ARTICLE II - PURPOSE

- 2.1 Planning for Older Residents
The Council shall provide a means for county-wide planning, cooperation and coordination for individuals and groups interested in improving and developing services and opportunities for the older residents of this County.
- 2.2 Leadership and Advocacy
The Council shall provide leadership and advocacy on behalf of older persons and serve as a channel of communication and information on aging.
- 2.3 Advise on Area Plan
The Council shall advise the Area Agency on Aging, the Aging and Adult Services Bureau of the Contra Costa County Employment and Human Services Department (hereinafter referred to as "Aging and Adult Services") and the Board of Supervisors on an Area Plan based on the unmet needs and priorities of older persons as determined by

surveys of local committees (commissions) and coalitions on aging, and results of public hearings held in conjunction with Aging and Adult Services.

ARTICLE III - MEMBERSHIP

3.1 Composition of Council

Including the officers, the Council shall have not more than 40 members. These members shall consist of the designated representatives of the local municipalities [nineteen (19)], and one (1) Senior Nutrition Program Council representative. The remainder will be Members-at-Large (20.) The Council will strive to achieve membership that reflects the ethnic, economic and geographic balance of the senior population of the County. The Council will make every effort to achieve a membership where one-fourth of the Council is made up of actual consumers of services under the Area Plan, and at least one member will represent the interests of people with disabilities.

3.2 Membership Status

Members-at-large are appointed by the County Board of Supervisors, following their standard policies and procedures for such appointments. Local municipalities and the Senior Nutrition Program Council select a representative as their designated liaison to the Council.

3.3 Members' Terms of Office

The County Board of Supervisors shall approve members for an approximate two (2) year term. All terms expire on September 30th. Accordingly, an appointment made on a date other than October 1 will have a term adjusted to expire on the September 30 prior to the two-year anniversary date. When applicable, any vacant seat shall be filled for the unexpired term remaining for that seat.

3.4 Residency and Age Requirement

All members shall reside in Contra Costa County. Change of residence to outside of Contra Costa County will automatically terminate membership on the Council. All members shall be at least eighteen (18) years of age.

3.5 Ex-Officio Members

Contra Costa County members of the California Commission on Aging, the California Senior Legislature and representatives of other groups from Contra Costa County concerned with aging may be invited by the Council to join it as ex-officio, non-voting members. Such

ex-officio memberships shall be outside of, and in addition to the number of regular memberships established by Section 3.1 of these bylaws.

3.6 Past Council Presidents

All past presidents who are no longer members of the Advisory Council on Aging shall be considered members ex-officio after their terms of office have been completed. Such memberships shall be non-voting.

3.7 Emeritus Members

To honor past exemplary service to the Council, any member of the Council may nominate and a majority of the members may vote to appoint an Emeritus Member. Such appointment is an honorary lifetime title. Emeritus members may not vote, nor does their membership factor into the quorum determination.

3.8 Appointments of Members

When a vacancy occurs, the Membership Committee shall recommend a replacement for approval by the Council and possible appointment by the Board of Supervisors

3.9 Attendance

For the purposes of attendance, a membership year is January through December. Due to the inability of the Council to carry out its business when a quorum is not met, attendance at all required meetings is of the utmost importance.

All members are required to attend meetings on a regular basis.

A member who is absent from four (4) regularly scheduled meetings in a membership year shall be deemed to have voluntarily resigned from the Council. If that occurs, the former Council member's status will be noted at the next scheduled Council meeting and shall be recorded in the Council's minutes. The President shall, without further direction from the Commission, inform the Board of Supervisors of the member's resignation and request the appointment of a replacement.

3.10 Leaves of Absence

A member may request a Leave of Absence. Requests for a Leave of Absence must be in writing and: (1) include the beginning date; (2) the anticipated ending date; and (3) the reason for the leave request. Examples of acceptable reasons for leaves include: bereavement, family and medical leaves, jury and witness duty, or a personal leave for ano-

ther reason. The Executive Committee will determine if the leave is granted or denied and the President will notify the member. If approved, the member's attendance will not be tallied during the leave period and their seat will not be declared vacant.

3.11 Resignation

All members must submit a written resignation when vacating membership. The President shall then submit the resignation to the Board of Supervisors.

3.12 Removal of Members

After three meetings following appointment to the Council, each member shall be subject to removal for cause by motion of any member and passing vote by a majority of the Council. In the case of municipal appointments, a recommended removal may also occur at any time the municipality withdraws their approval or sponsorship. As the Contra Costa County Board of Supervisors is the appointing authority for the Advisory Council on Aging, recommended removals are subject to the ratification of the Board of Supervisors.

ARTICLE IV - MEMBERSHIP MANDATES

4.1 Commitment

Incoming members are to be active, contributing members as evidenced by, but not limited to, attendance at the regular monthly Council meetings and each member is required to participate in the activities of at least one of the Council's committees or designated work groups. A member must satisfy the attendance requirements of any organization which they have been assigned to represent the Council.

4.2 Ethics Training

All members of the Advisory Council on Aging are required to take formal ethics training (AB1234) every two (2) years. New members have up to one (1) year to fulfill their obligation for the first training.

4.3 Disclosure of Financial Interests

All Advisory Council members must annually complete and file California Form 700 - Statement of Economic Interests. The members are only required to disclose those financial interests that are set forth in the Employment and Human Services Department Conflict of Interest Code.

4.4 Perception of Conflict

The Advisory Council has developed its own document addressing the perception of conflict. Its purpose is to strongly encourage all members to recuse themselves from any discussion or vote which could be interpreted as constituting a conflict of interest, be construed as a clash of loyalties or be perceived as self-serving in any way.

ARTICLE V - OFFICERS

5.1 Council Officers

Officers of the Advisory Council on Aging shall be as follows: President, First Vice-President, Second Vice-President, Secretary and Treasurer.

5.2 Officers' Terms of Office

The above-named officers shall hold office for one (1) year or until their successors are elected or appointed. The aforementioned officers (5.1) may serve no more than two (2) consecutive terms of one year each in the same position.

5.3 Officers' Duties

The duties of the respective officers shall be those regularly associated with such titles except that the President may assign special duties to a specific officer at any time.

5.4 Representation on TACC

The President of the Contra Costa County Advisory Council on Aging, as chair of the Advisory Council, shall be the Council's representative to the Triple A Council of California (TACC.) The 1st Vice President serves as a TACC alternate director (member.)

5.5 Succession Protocol - President

In the event that the President does not complete his/her term, the first Vice-President shall move into the presidency and serve out the unexpired term. The second Vice-President shall then become the first Vice-President. The newly appointed President, with the assistance of the Nominating Committee (or Membership Committee as applicable), shall select a member of the Council to serve the unexpired term of the second Vice-President. The Advisory Council shall approve or disapprove the selection for second Vice-President.

5.6 Succession Protocol - All Other Officers

Vacancy in mid-term of the 1st Vice President will be filled by the 2nd

Vice President with the balance of succession as noted in 5.5 above. Vacancy mid-term of the 2nd Vice President, Secretary or Treasurer shall be filled by the Nominating Committee (or Membership Committee if Nominating is not then in session) recommending to the Council the name of a Council Member. If, however, the vacated officer's position has less than three (3) months duration remaining, the President shall appoint a member of the current Council to serve the unexpired balance of the term. In either case, the Council shall approve or disapprove the appointments.

5.7 Termination of Officers

Officers may be removed for just cause by a majority vote of the full Advisory Council on Aging when 90% of all appointed members are present, or at a special meeting convened for that purpose at which a quorum is present. Any officer removed ceases to hold the office once the vote has been tallied and announced. Succession shall be as outlined in Sections 5.5 and 5.6.

5.8 Director of Aging & Adult Services

The Director of Aging and Adult Services shall serve as a consultant to the Council. The Director shall submit a monthly report to the Council at the regular meetings. Special reports may be given at the December annual meeting.

ARTICLE VI - MEETINGS, COMMITTEES, WORK GROUPS

6.1 Regular Meetings

There shall be at least eight (8) meetings a year, at such time and place as agreed upon.

6.2 Special Meetings

The President shall call a special meeting of the Council at any time upon the written request of at least five (5) members of the Council. Also, the President may call a special meeting of the Council at any time an emergency meeting is felt to be imperative.

6.3 Executive Committee

There shall be an Executive Committee of the Council composed of the elected officers, the immediate past president, chair of standing committees and chairs of designated county-wide work groups (designated by the Council), if they are also members of the Advisory Council. Only members of the Executive Committee shall have voting rights at Executive Committee. Other members of the Advisory Council may be

invited to give reports or recommendations at the Executive Committee meetings.

6.4 Annual Meeting

At the December meeting, the council will render to the public a report of the Council's activities and accomplishments of the past year and shall install new officers for the coming year.

6.5 Committee and Work Group Structure

The President of the Council, upon taking office, shall appoint the Chairs of each Committee and Work Group. Work Group Chairs or one of the two Co-Chairs, shall be members of the Council. Chairs of Work Groups who are also Council members are also voting members of the Executive Committee.

Committees may take action consistent with the Advisory Council on Aging's policies and procedures. Work Groups must bring action items to the Executive Council for determination if the item will move forward for final action of the Council in full.

6.6 Committee Quorums

A majority of a committee shall constitute a quorum. The act of a majority of the members present at a meeting at which a quorum is present shall be the act of the committee. Unless otherwise provided in the resolution of the Advisory Council on Aging, work groups and ad hoc committees shall act under the direction of their respective Chairs without any requirement for a quorum.

6.7 Committees and Work Groups

Each committee or work group shall have a chairperson. The President of the Advisory Council shall be an ex-officio member of all committees of the Advisory Council and shall be notified of all meetings. A list of Council members on each committee and work group shall be kept, in addition to attendance of Advisory Council members maintained for each meeting and copies given to the Advisory Council staff person. Committee and work group meeting notices shall be mailed, e-mailed, telephoned, and/or personally given, approximately one work week in advance of the meeting date to all members of the committee.

6.8 Task Force or Ad Hoc Committees

In the implementation of the Area Plan, the Council shall develop task forces or ad hoc committees, where needed, in the accomplishment of specific objectives. The Chair of the Advisory Council may designate or

solicit participation for ad hoc committees. Ad hoc committees are not subject to the Brown Act, but are subject to the County's Better Government Ordinance (C.C.C. Ord. Code, § 25-2.)

6.9 Standing Committees and Work Groups

The following shall be the Standing Committees and Work Groups of the Council: Executive Committee, Planning Committee, Membership Committee, Health Work Group, Housing Work Group, Legislative Work Group, Marketing Work Group and Transportation Work Group.

ARTICLE VII - CONDUCT OF MEETINGS

7.1 Order of Business

The President or a majority vote of the Council may change the order of business as may be required.

7.2 Council Quorum

A quorum for the transaction of business by the Council shall consist of a majority (one more than half) of the total number of seats of the Council. Membership of the Council shall be evidenced by the list of authorized seats approved by the Board of Supervisors at the time of roll call. Ex-officio or emeritus members of the Council under sections 3.5, 3.6 and 3.7 shall not be counted when establishing a quorum under this section.

7.3 Quorum Declaration

After a quorum is declared to exist, all transactions of business can proceed, regardless whether enough attendees leave to decrease the members present below the quorum requirement. In such an event, any motions for action will be determined by a majority vote of the members then present.

7.4 Meetings in the Absence of a Quorum

A quorum is not required in order to conduct a meeting, with the exception that no motions may be introduced or voted upon. Discussion can take place, with the item carried forward to the next meeting. All other non-action items of business of the Council may proceed without a quorum present. If sufficient members arrive after roll call to make up a quorum, the meeting may proceed without restrictions.

ARTICLE VIII - NOMINATING COMMITTEE

8.1 The nominating committee shall normally be chosen after installation of

new officers but no later than August of each year. The Nominating Committee is a Sub-Committee of the Membership Committee.

- 8.2 The nominating committee shall be chosen annually for the purpose of presenting an annual slate of officers for election or filling vacant officer positions that occur while the Nominating Committee is in session.
- 8.3 The nominating committee shall have five members elected by caucus of advisory council members from each of the five supervisorial districts.
- 8.4 The nominating committee shall present a slate of officers at a council meeting prior to the Annual Meeting in December and will also request additional nominations from the floor. Election of new officers shall take place at the annual meeting in December.
- 8.5 The nominating committee members may serve two (2) consecutive terms of one (1) calendar year for the applicable months the committee is in session. The nominating committee at its first meeting following election of its members shall choose one of its members as chair.

ARTICLE IX- AMENDMENTS

- 9.1 The Bylaws may be amended by a majority vote of the total membership of the Council present at any regular meeting or special meeting called for that purpose, provided that each member of the Council has been notified, in writing of the wording of the proposed amendment(s) at least ten (10) days in advance of the meeting.
- 9.2 These Bylaws must not conflict with the Board of Supervisors' Ordinances regarding Advisory Councils. The Council may adopt such Bylaws as shall seem appropriate and necessary for the functioning of the Council.

Approved and adopted by the Contra Costa County Board of Supervisors as evidenced by passage of Board Order:

Board Agenda Item Number _____ On _____, 2015



Contra
Costa
County

To: Board of Supervisors
From: Robert Campbell, Auditor-Controller
Date: March 8, 2016

Subject: County of Contra Costa Community Facilities District No. 2001-1 (Norris Canyon)

RECOMMENDATION(S):

ACCEPT the Fiscal Year 2015/16 Community Facilities District Administration Report on County of Contra Costa Community Facilities District No. 2001-1 (Norris Canyon) as required by Sections 50075.3 and 53411 of the California Government Code.

FISCAL IMPACT:

None. The report relates to Special Taxes approved by voters and bonds issued and secured by said Special Taxes.

BACKGROUND:

On June 5, 2001 the Contra Costa County Board of Supervisors (Board) authorized the establishment of Community Facilities District No. 2001-1 (Norris Canyon). The creation of the Community Facilities District (CFD) authorized the levy of a Mello-Roos Special Tax on the Norris Canyon Estates subdivision in the San Ramon area. The action of the Board also authorized the issuance of bonded indebtedness secured by the approved Special Tax in the amount of \$7,220,000. The (CFD) bonds were issued on June 14, 2001.

On December 11, 2012, the Board authorized the refinancing of the 2001 Special Tax Bonds in order to lower the annual debt service on the bonds. The 2013 Special Tax Refunding Bonds were issued on January 24, 2013.

The California Government Code Sections 50075.3 and 53411 require that specified information be provided to the Board of Supervisors on an annual basis. The report requirements include information on Mello-Roos CFD Special

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Kristen Lackey (925)
674-7888

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

Taxes collected and CFD Bond issued. The attached CFD Administration Report fulfills the requirement of the Government Code. The reporting requirements are summarized below:

BACKGROUND: (CONT'D)

Section 50075.3

Item (a): Identify amount of special taxes that have been collected and expended.

Response to Item (a): The fiscal year 2014-15 special tax levy was \$423,176. Since the CFD is on the County Teeter Plan, the full amount of the tax levy was remitted to the CFD. The total levy was used to pay debt services in March and September 2015 on the CFD bonds as well as administrative costs for the CFD.

Item (b): Identify the status of any project required or authorized to be funded by the special taxes.

Response to Item (b): All CFD No. 2001-1 improvements have been completed and accepted by the Public Works Department of the County.

Section 53411

Item (a): Identify the amount of bonds that have been collected and expended.

Response to Item (a): A total of \$7,220,000 in special tax bonds was issued by the County on June 14, 2001. Upon issuance of the bonds, \$6,000,000 from bond proceeds was deposited into the Improvement Fund and has been used to acquire the CFD No. 2001-1 improvements from the developer. An additional \$170,000 was used to pay the costs of issuing the bonds. Approximately \$417,000 was deposited in the Reserve Fund, and the remaining \$487,000 was deposited in the Bond Fund to be used for capitalized interest.

The Series 2001 Bonds were refunded and defeased on January 24, 2013 by the issuance of \$5,605,000 in special tax refunding bonds. An Original Issue Premium of \$20,460, together with available moneys from the Series 2001 Bonds in the amount of \$767,049, left a total of \$6,392,508 in bond proceeds to be expended. Upon issuance of the bonds, \$5,947,529 from bond proceeds was deposited into the Refunding Fund, to be used to redeem all of the outstanding Series 2001 Bonds. An additional \$207,063 was deposited into the Reserve Fund. The remaining \$237,917 was used to pay the costs of issuing the Series 2013 Special Tax Refunding Bonds.

Item (b): Identify the status of any project required or authorized to be funded from bond proceeds:

Response to Item (b): All CFD No. 2001-1 improvements have been completed and accepted by the Public Works Department of the County.

Not part of the Government Code required report, but provided as a matter of information is the following information on the incidence of delinquencies within the District. The total amount collected by the County for the fiscal year 2014-15 CFD special tax levy was \$420,564 pursuant to the Teeter Plan. The property owner of two parcels was delinquent a total of \$2,612 in payments of the fiscal year 2014-15 CFD special tax levy. The delinquency percentage in the District is 0.62%, which is below the threshold for which the County is obligated to take affirmative action to remedy.

ATTACHMENTS

Admin Report 2015



GOODWIN CONSULTING GROUP

**COUNTY OF CONTRA COSTA
COMMUNITY FACILITIES DISTRICT NO. 2001-1
(NORRIS CANYON)**

**CFD TAX ADMINISTRATION REPORT
FISCAL YEAR 2015-16**

December 31, 2015

Community Facilities District No. 2001-1
CFD Tax Administration Report

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EXECUTIVE SUMMARY

The following summary provides a brief overview of the main points from this report regarding the County of Contra Costa Community Facilities District No. 2001-1 (Norris Canyon) (“CFD No. 2001-1” or the “CFD”):

Fiscal Year 2015-16 Special Tax Levy

Number of Taxed Parcels	Total Special Tax Levy
341	\$423,174

For further detail regarding the special tax levy, or special tax rates, please refer to Section IV of this report.

Development Status for Fiscal Year 2015-16

Land Use Category	Parcels or Acres
Residential Property	341 parcels *
Other Property	0 parcels
Undeveloped Property	4.9 acres

** Does not include 11 parcels that have prepaid their special tax obligation.*

For more information regarding the status of development in CFD No. 2001-1, please see Section V of this report.

Delinquency Summary

Delinquent Amount for FY 2014-15 (as of October 15, 2015)	Total Levy for FY 2014-15	Delinquency Rate
\$2,612	\$423,176	0.62%

For additional delinquency information, including historical delinquency rates, please see Section IX of this report.

Outstanding Bonds Summary

2013 Special Tax Refunding Bonds

Issuance Date	Original Principal	Amount Retired	Current Amount Outstanding
January 2013	\$5,605,000	\$690,000*	\$4,915,000*

* As of the date of this report.

I. INTRODUCTION

Community Facilities District No. 2001-1

On June 5, 2001, the County of Contra Costa (the “County”) Board of Supervisors established CFD No. 2001-1. In a landowner election held on the same day, the sole owner of property within the CFD voted to authorize the levy of a Mello-Roos special tax on property within CFD No. 2001-1. The landowner also voted to incur bonded indebtedness, secured by special taxes levied on property within the CFD, in an amount not to exceed \$7,220,000. On June 14, 2001, special tax bonds (the “Series 2001 Bonds”) in the principal amount of \$7,220,000 were issued on behalf of CFD No. 2001-1. In January 2013, the outstanding Series 2001 Bonds were refunded and defeased with the issuance of \$5,605,000 in bonds (the “Series 2013 Special Tax Refunding Bonds” or the “Bonds”). A special tax will be levied on property within the CFD in fiscal year 2015-16 in order to pay debt service obligations in calendar year 2016.

The CFD boundary encompasses a 389-acre site that is proposed for the Norris Canyon Estates residential community. The CFD is located in an unincorporated area of the County just west of the City of San Ramon. At build out, the project was originally expected to include 361 single family detached homes. As of June 1, 2015, 352 building permits have been issued, 20 of which were issued during the past fiscal year for new residential home construction.

The Mello-Roos Community Facilities Act of 1982

The reduction in property tax revenues that resulted from the passage of Proposition 13 in 1978 required public agencies and real estate developers to look for other means to generate funding for public infrastructure. The funding available from traditional assessment districts was limited by certain requirements of the assessment acts, and it became clear that a more flexible funding tool was needed. In response, the California State Legislature (the “Legislature”) approved the Mello-Roos Community Facilities Act of 1982 (the “Act”) which provides for the levy of a special tax within a defined geographic area (i.e., a community facilities district) if such levy is approved by two-thirds of the qualified electors in the area. The Act can generate funding for a broad range of facilities and special taxes can be allocated to property in any reasonable manner other than on an ad valorem basis.

A community facilities district is authorized to issue tax-exempt bonds that are secured by land within the district. If a parcel does not pay the special tax levied on it, a public agency can foreclose on the parcel and use the proceeds of the foreclosure to ensure that bondholders receive interest and principal payments on the bonds. Because bonds issued by a community facilities district are land-secured, there is no risk to a public agency’s general fund or taxing capacity. In addition, because the bonds are tax-exempt, they typically carry an interest rate that is lower than conventional construction financing.

II. PURPOSE OF REPORT

This CFD Tax Administration Report (the “Report”) presents findings from research and financial analysis performed by Goodwin Consulting Group, Inc. to determine the fiscal year 2015-16 special tax levy for CFD No. 2001-1. The Report is intended to provide information to interested parties regarding the current financial obligations of the CFD, special taxes levied in fiscal year 2015-16, and information on the public facilities authorized to be funded by the CFD. The Report also summarizes development activity as well as other pertinent information (e.g., prepayments, delinquencies, and foreclosures) on property within the CFD. In addition, the Report provides all of the information that must be filed with the County Board of Supervisors pursuant to the requirements of Senate Bill 165.

The remainder of the Report is organized as follows:

- **Section III** identifies the financial obligations of CFD No. 2001-1 for fiscal year 2015-16.
- **Section IV** provides a summary of the special tax categories and the methodology that is used to apportion the special tax among parcels in the CFD. The maximum special tax rates for fiscal year 2015-16 are also identified in this section.
- **Section V** provides an update of the development activity occurring within CFD No. 2001-1, including new building permit activity.
- **Section VI** provides information on the public improvements authorized to be funded by CFD No. 2001-1.
- **Section VII** provides information regarding funds established for the Bonds, including current balances in such funds.
- **Section VIII** identifies parcels, if any, that have prepaid their special tax obligation.
- **Section IX** provides information regarding special tax delinquencies in CFD No. 2001-1.
- **Section X** provides information on covenants regarding foreclosure on delinquent parcels.
- **Section XI** provides a summary of the reporting requirements set forth in Senate Bill 165, the Local Agency Special Tax and Bond Accountability Act, and the information needed for the County to respond to these requirements.

III. SPECIAL TAX REQUIREMENT

Pursuant to the Rate and Method of Apportionment of Special Tax (the “RMA”) for CFD No. 2001-1, which was adopted as an exhibit to the Resolution of Formation of CFD No. 2001-1, the Special Tax Requirement means the total amount needed each fiscal year to (i) pay principal and interest on bonds, (ii) create or replenish reserve funds, (iii) cure any delinquencies in the payment of principal or interest on indebtedness of CFD No. 2001-1 which have occurred in the prior fiscal year or (based on delinquencies in the payment of special taxes which have already taken place) are expected to occur in the fiscal year in which the tax will be collected, and (iv) pay administrative expenses. For fiscal year 2015-16, the Special Tax Requirement is \$423,171 and is calculated as follows:

**Community Facilities District No. 2001-1
Special Tax Requirement for Fiscal Year 2015-16***

Debt Service		\$407,725
Interest Payment on Bonds Due March 1, 2016	\$78,863	
Interest Payment on Bonds Due Sept. 1, 2016	\$78,863	
Principal Payment on Bonds Due Sept. 1, 2016	\$250,000	
Administrative Expenses		\$15,446
Surplus Funds to Reduce Special Tax Requirement		\$0
Fiscal Year 2015-16 Special Tax Requirement		\$423,171

*Total may not sum due to rounding.

IV. SPECIAL TAX LEVY

Special Tax Categories

Special taxes within CFD No. 2001-1 are levied pursuant to the methodology set forth in the RMA. The RMA establishes various special tax categories against which the special tax can be levied each fiscal year, including Residential Property, Other Property, and Undeveloped Property. (*Capitalized terms are defined in the RMA in Appendix C of this Report.*)

Residential Property is defined as any parcel within the CFD for which a building permit for construction of a residential structure was issued prior to June 1 of the preceding fiscal year. Other Property means all taxable parcels in the CFD for which a building permit was issued prior to June 1 of the preceding fiscal year for a structure that is not used for residential purposes and is not owned by a homeowners' association or public agency. Undeveloped Property is defined as all taxable parcels in the CFD for which a building permit has not been issued prior to June 1 of the preceding fiscal year.

Maximum Special Tax Rates

The maximum special tax rates applicable to each category of property in CFD No. 2001-1 are set forth in Section C of the RMA. The actual amount of the maximum special tax which will be levied on each land use category in fiscal year 2015-16, is determined by the method of apportionment included in Section E of the RMA. The following table identifies the maximum special taxes that can be levied on property in CFD No. 2001-1.

**Community Facilities District No. 2001-1
Maximum Special Tax Rates**

Tax Category	Description	Maximum Special Tax
1	Residential Property	\$2,100 per parcel
2	Other Property	\$2,100 per residential unit planned on the parcel before it became Other Property
3	Undeveloped Property	\$3,360 per acre

Changes to Norris Canyon Tentative Map

The maximum special tax rates shown above assume that a particular number of residential units will be developed within Norris Canyon consistent with the tentative map approved by the County Board of Supervisors in August 1997. To the extent changes are proposed to the tentative map in future years that would reduce the number of residential units within the project, the County must either deny the revision to the tentative map or require a prepayment of special taxes by the developer proposing the tentative map change. Such prepayment would be in an amount sufficient to retire a portion of the bonds and maintain 110% debt service coverage with the reduced special tax revenues that will result after the tentative map revision. To date, development in Norris Canyon has been consistent with the approved tentative map.

Apportionment of Special Taxes

The amount of special tax levied on each parcel in the CFD each fiscal year will be determined by application of Section E of the RMA. Pursuant to this section, the Special Tax Requirement will be allocated as follows:

The first step requires special taxes to be levied on each parcel of Residential Property and Other Property up to 100% of the applicable maximum special tax rate. If additional revenue is needed after the first step is completed, and after applying capitalized interest to the Special Tax Requirement, then a special tax will be levied on each parcel of Undeveloped Property up to 100% of the applicable maximum special tax. If additional revenues are still needed to pay annual obligations of the CFD after the maximum special tax is levied on Residential Property, Other Property, and Undeveloped Property, a special tax will be levied on Homeowners' Association Property and parcels of Public Property that originally had planned units, as defined in the RMA.

Application of the maximum special tax rate to the 341 Residential Property parcels for fiscal year 2015-16 will generate special tax revenue of \$716,100. Since the Special Tax Requirement for fiscal year 2015-16 is only \$423,171, Residential Property will be taxed at approximately 59.1% of the maximum, or \$1,241 per parcel. The resulting special tax on Residential Property will fully fund the Special Tax Requirement for fiscal year 2015-16, assuming no delinquencies. No special tax will be levied on Undeveloped Property in fiscal year 2015-16.

The actual special tax rates and the number of units and/or acres of taxable property on which those rates are levied for fiscal year 2015-16 are shown in the table on the following page.

**Community Facilities District No. 2001-1
Fiscal Year 2015-16 Special Tax Levy**

Land Use Category	Maximum Special Tax Rates	Fiscal Year 2015-16 Actual Special Tax Rates	Parcels/Acres Taxed	Total Special Tax Levy
Residential Property	\$2,100 per parcel	\$1,241 per parcel	341 parcels *	\$423,174
Undeveloped Property	\$3,360 per acre	\$0 per acre	0 acres	\$0
Total Special Tax Levy for Fiscal Year 2015-16				\$423,174

** Total does not include 11 parcels that have had their special tax obligation prepaid and therefore are no longer subject to the annual tax.*

V. DEVELOPMENT UPDATE

From June 1, 2014, to May 31, 2015, 20 building permits have been issued to construct single family homes within CFD No. 2001-1. In total, 352 building permits have been issued and no Other Property currently exists within CFD No. 2001-1.

Based on the current status of development in CFD No. 2001-1, the following table summarizes the allocation of parcels to the special tax categories defined in the RMA:

**Community Facilities District No. 2001-1
Allocation to Special Tax Categories
Fiscal Year 2015-16**

Tax Category	Description	Number of Parcels
1	Residential Property	341*
2	Other Property	0
3	Undeveloped Property	9

** Total does not include 11 parcels that have had their special tax obligation prepaid and therefore are no longer subject to the annual tax.*

VI. STATUS OF PUBLIC IMPROVEMENTS

CFD No. 2001-1 was formed to finance the widening of Norris Canyon Road, starting at the intersection of Bollinger Canyon Road and continuing a distance of 7,700 feet. Improvements to Norris Canyon Road include: (1) grading, pavement, curbs and gutters, rock shoulder, traffic signing and striping, and street lights; (2) construction of sanitary sewer mains, structures, fittings, and appurtenances; (3) construction of water distribution facilities and appurtenances; (4) construction of joint utility distribution facilities for electrical, telephone, gas, cable and television, including trenching, conduit and cable installation, pull and splice boxes, fittings and appurtenances, and relocation of overhead facilities; (5) construction of landscaping and irrigation facilities, including soil preparation, landscape materials, irrigation pipes, fittings, and appurtenances; (6) required attendant public fees and design and construction engineering fees; and (7) acquisition of all necessary interests in real property.

The developer entered into an Acquisition Agreement with the County that contains provisions that set forth the process by which completed improvements will be acquired with bond proceeds that are on deposit in the Improvement Fund for the CFD. The Acquisition Agreement obligates the developer to pay any costs of the improvements that are not covered by funds available in the Improvement Fund.

All Norris Canyon Road improvements have been completed and accepted by the Public Works division of the County. Per the Acquisition Agreement with the County, the balance in the CFD Improvement Fund was used to acquire the completed improvements from the developer.

VII. CFD FUNDS

Six funds were established pursuant to the Fiscal Agent Agreement between the County and the Bank of New York Mellon Trust Company (the “Fiscal Agent”). Following is a brief description of the purpose of each fund.

The **Improvement Fund** was created exclusively to pay the cost of improvements until all authorized facilities have been paid. The Improvement Fund, due to completion of all improvements, has been closed.

The **Reserve Fund** was established as a reserve for the payment of principal and interest on the bonds in the event the balance in the Special Tax Fund is insufficient to make debt service payments. The Fiscal Agent will maintain the Reserve Fund. The Reserve Requirement is \$206,513 as of June 30, 2015.

The **Bond Fund** was created exclusively to pay principal and interest on CFD indebtedness. The Bond Fund will be held by the Fiscal Agent; twice each year, the fiscal agent will use proceeds in this account to pay interest and/or principal on the bonds. If, on any interest payment date, amounts in the Bond Fund are insufficient to pay debt service that is due on such date, the Fiscal Agent must withdraw from the Reserve Fund to cover the shortfall.

The **Special Tax Fund** was established as a fund to be held by the County Auditor-Controller (the “Auditor”) into which special tax revenues collected by the County will be deposited. Not later than three business days prior to each interest payment date on the bonds, the Auditor will transfer money from the Special Tax Fund to the Fiscal Agent to pay interest and principal due on the bonds, as well as any amount needed to bring the Reserve Fund up to the required reserve amount. Any remaining balance in the Special Tax Fund will be transferred to the Administrative Expense Fund.

The **Administrative Expense Fund** will be held by the Auditor and used to pay CFD administrative expenses. Each year, the Auditor will transfer any excess amount in the Administrative Expense Fund to the Special Tax Fund.

The **Costs of Issuance Fund** will be held by the Fiscal Agent and will be disbursed to pay costs associated with formation of CFD No. 2001-1 and issuance of the Bonds. This fund has been closed.

Money held in any of the aforementioned funds can be invested by the Fiscal Agent at the direction of the County and in conformance with limitations set forth in the Fiscal Agent Agreement. Investment interest earnings, if any, will generally be applied to the fund for which the investment is made.

Fund Balances

As of June 30, 2015, the various funds had the following balances:

Community Facilities District No. 2001-1 Fund Balances as of June 30, 2015

Reserve Fund	\$207,467
Bond Fund	\$2
Special Tax Fund*	\$345,948
Administrative Expense Fund*	\$12,919

** Fund balances shown for these accounts are as of July 20, 2015.*

VIII. PREPAYMENTS

The special tax lien for 11 properties in CFD No. 2001-1 have been fully prepaid and are no longer subject to the annual special tax levy. The 11 parcels that have fully prepaid their special tax obligation are as follows:

211-240-011-0
211-260-011-5
211-310-009-9
211-320-001-4
211-370-025-2
211-370-026-0
211-370-033-6
211-370-037-7
211-370-038-5
211-370-055-9
211-380-037-5

IX. DELINQUENCIES

As of October 15, 2015, the Contra Costa County Auditor's Office reports the following delinquency amounts for CFD No. 2001-1:

**Community Facilities District No. 2001-1
Delinquencies as of October 15, 2015**

Fiscal Year	Parcels Delinquent	Delinquent Amount	CFD Tax Levied	Percent Delinquent
2014-15	2	\$2,612	\$423,176	0.62%

X. FORECLOSURE COVENANT

Covenants of the County

The County may order the institution of a court action to foreclose the lien on a parcel within specified time limits if any payment of the special tax is delinquent. In such an action, the real property subject to the unpaid amount may be sold at a judicial foreclosure sale. Pursuant to the Bonds' covenants, the County shall review its records in connection with the collection of the special tax on or about March 30 and June 30 of each year to compare the amount of special tax levied in the CFD to the amount of special tax collected, and proceed as follows:

Individual Delinquencies. If the Auditor determines that any single parcel subject to the special tax in the CFD is delinquent in the payment of special taxes in the aggregate amount of (i) \$7,500 or more if all the property within the CFD is on the Teeter Plan, or (ii) \$3,000 or more if any of the property in the CFD is not on the Teeter Plan, then the Auditor shall send or cause to be sent a notice of delinquency (and a demand for immediate payment thereof) to the property owner within 60 days of such determination, and (if the delinquency remains uncured) foreclosure proceedings shall be commenced by the County within 120 days of such determination.

Aggregate Delinquencies. If the Auditor determines that the total amount of delinquent special tax for the prior fiscal year for the entire CFD, (including the total of delinquencies under the preceding paragraph), exceeds 5% of the total special tax due and payable for the prior fiscal year, the County shall notify or cause to be notified property owners who are then delinquent in the payment of special taxes (and demand immediate payment of the delinquency) within 60 days of such determination, and shall commence foreclosure proceedings within 120 days of such determination against each parcel of land in the CFD with a special tax delinquency.

Since the CFD's special tax delinquency rate for fiscal year 2014-15 is below 5%, the County has not been required to initiate foreclosure proceedings on property in CFD No. 2001-1.

XI. SENATE BILL 165 REPORTING REQUIREMENTS

On September 18, 2000, former Governor Gray Davis approved Senate Bill 165 which enacted the Local Agency Special Tax and Bond Accountability Act. In approving the bill, the Legislature pointed out that local agencies need to demonstrate to the voters that special taxes and bond proceeds are being spent on the facilities and services for which they were intended. To further this objective, the Legislature added Sections 50075.3 and 53411 to the California Government Code setting forth annual reporting requirements relative to special taxes collected and bonds issued by a local public agency. A response to each of the reporting requirements in SB 165 is provided below. Pursuant to Sections 50075.3 and 53411, the chief fiscal officer of the County will, by January 1, 2002, and at least once a year thereafter, file a report with the Board of Supervisors (which may be this CFD Tax Administration Report) setting forth the following information.

Section 50075.3

Item (a): Identify amount of special taxes that have been collected and expended.

The fiscal year 2014-15 special tax levy was \$423,176. Since the CFD is on the County Teeter Plan, the full amount of the tax levy was remitted to the CFD. The total levy was used to pay debt service in March and September 2015 on the CFD bonds as well as administrative costs for the CFD.

Item (b): Identify the status of any project required or authorized to be funded by the special taxes.

All CFD No. 2001-1 improvements have been completed and accepted by the Public Works division of the County.

Section 53411

Item (a): Identify the amount of bonds that have been collected and expended.

A total of \$7,220,000 in special tax bonds was issued by the County on June 14, 2001. Upon issuance of the bonds, \$6,000,000 from bond proceeds was deposited into the Improvement Fund and has been used to acquire the CFD No. 2001-1 improvements from the developer. An additional \$170,000 was used to pay the costs of issuing the bonds. Approximately \$417,000 was deposited in the Reserve Fund, and the remaining \$487,000 was deposited in the Bond Fund to be used for capitalized interest.

The Series 2001 Bonds were refunded and defeased on January 24, 2013 by the issuance of \$5,605,000 in special tax refunding bonds. An Original Issue Premium of \$20,460, together with available moneys from the Series 2001 Bonds in the amount of \$767,049, left a total of \$6,392,508 in bond proceeds to be expended. Upon issuance of the bonds, \$5,947,529 from bond proceeds was deposited into the Refunding Fund, to be used to redeem all of the outstanding Series 2001 Bonds. An additional \$207,063 was deposited into the Reserve Fund. The remaining \$237,917 was used to pay the costs of issuing the Series 2013 Special Tax Refunding Bonds.

Item (b): Identify the status of any project required or authorized to be funded from bond proceeds.

All CFD No. 2001-1 improvements have been completed and accepted by the Public Works division of the County.

APPENDIX A

Summary of Fiscal Year 2015-16 Special Tax Levy

**County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy Summary for Fiscal Year 2015-16**

Land Use Category	Fiscal Year 2015-16 Maximum Special Tax Rates	Fiscal Year 2015-16 Actual Special Tax Rates	Parcels/Acres Taxed	Total Special Tax Levy
Residential Property	\$2,100.00 per parcel	\$1,240.98 per parcel	341 parcels	\$423,174.18
Undeveloped Property	\$3,360.00 per acre	\$0.00 per acre	4.9 acres	\$0.00
Total Fiscal Year 2015-16 Special Tax Levy				\$423,174.18

Goodwin Consulting Group, Inc.

APPENDIX B

*Fiscal Year 2015-16 Special Tax Levy
for Individual Assessor's Parcels*

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-210-045-4	HOA	HOA		\$0.00
211-210-063-7	HOA	HOA		\$0.00
211-210-074-4	HOA	HOA		\$0.00
211-210-081-9	HOA	HOA		\$0.00
211-210-082-7	HOA	HOA		\$0.00
211-210-083-5	HOA	HOA		\$0.00
211-210-084-0	HOA	HOA		\$0.00
211-240-001-1	Residential	Developed		\$1,240.98
211-240-003-7	Residential	Developed		\$1,240.98
211-240-004-5	Residential	Developed		\$1,240.98
211-240-005-2	Residential	Developed		\$1,240.98
211-240-006-0	Residential	Developed		\$1,240.98
211-240-007-8	Residential	Developed		\$1,240.98
211-240-008-6	Residential	Developed		\$1,240.98
211-240-009-4	Undeveloped	Undeveloped		\$0.00
211-240-010-2	Undeveloped	Undeveloped		\$0.00
211-240-011-0	Prepaid	Prepaid		\$0.00 /1
211-240-012-8	Residential	Developed		\$1,240.98
211-240-013-6	Residential	Developed		\$1,240.98
211-240-014-4	Residential	Developed		\$1,240.98
211-240-015-1	Residential	Developed		\$1,240.98
211-240-016-9	Residential	Developed		\$1,240.98
211-240-017-7	HOA	HOA		\$0.00
211-240-019-3	HOA	HOA		\$0.00
211-250-001-8	Residential	Developed		\$1,240.98
211-250-002-6	Undeveloped	Undeveloped		\$0.00
211-250-003-4	Residential	Developed		\$1,240.98
211-250-004-2	Residential	Developed		\$1,240.98
211-250-005-9	Residential	Developed		\$1,240.98
211-250-006-7	Residential	Developed		\$1,240.98
211-250-007-5	Residential	Developed		\$1,240.98
211-250-008-3	Residential	Developed		\$1,240.98
211-250-009-1	Residential	Developed		\$1,240.98
211-250-010-9	Residential	Developed		\$1,240.98
211-250-011-7	Residential	Developed		\$1,240.98
211-250-012-5	Residential	Developed		\$1,240.98
211-250-013-3	Residential	Developed		\$1,240.98
211-250-014-1	Residential	Developed		\$1,240.98
211-250-015-8	Residential	Developed		\$1,240.98
211-250-016-6	Residential	Developed		\$1,240.98
211-250-017-4	Residential	Developed		\$1,240.98
211-250-018-2	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-250-019-0	Residential	Developed		\$1,240.98
211-250-020-8	HOA	HOA		\$0.00
211-250-021-6	HOA	HOA		\$0.00
211-250-023-2	HOA	HOA		\$0.00
211-260-001-6	Residential	Developed		\$1,240.98
211-260-002-4	Residential	Developed		\$1,240.98
211-260-003-2	Residential	Developed		\$1,240.98
211-260-004-0	Residential	Developed		\$1,240.98
211-260-005-7	Residential	Developed		\$1,240.98
211-260-006-5	Residential	Developed		\$1,240.98
211-260-007-3	Residential	Developed		\$1,240.98
211-260-008-1	Residential	Developed		\$1,240.98
211-260-009-9	Residential	Developed		\$1,240.98
211-260-010-7	Residential	Developed		\$1,240.98
211-260-011-5	Prepaid	Prepaid		\$0.00 /1
211-260-012-3	Residential	Developed		\$1,240.98
211-260-013-1	Residential	Developed		\$1,240.98
211-260-014-9	Residential	Developed		\$1,240.98
211-260-015-6	Residential	Developed		\$1,240.98
211-260-016-4	Residential	Developed		\$1,240.98
211-260-017-2	Residential	Developed		\$1,240.98
211-260-018-0	Residential	Developed		\$1,240.98
211-260-025-5	HOA	HOA		\$0.00
211-270-001-4	Residential	Developed		\$1,240.98
211-270-002-2	Residential	Developed		\$1,240.98
211-270-003-0	Residential	Developed		\$1,240.98
211-270-004-8	Residential	Developed		\$1,240.98
211-270-005-5	Residential	Developed		\$1,240.98
211-270-006-3	Residential	Developed		\$1,240.98
211-270-007-1	Residential	Developed		\$1,240.98
211-270-008-9	Residential	Developed		\$1,240.98
211-270-009-7	Residential	Developed		\$1,240.98
211-270-010-5	Residential	Developed		\$1,240.98
211-270-011-3	Residential	Developed		\$1,240.98
211-270-012-1	HOA	HOA		\$0.00
211-280-001-2	Residential	Developed		\$1,240.98
211-280-002-0	Residential	Developed		\$1,240.98
211-280-003-8	Residential	Developed		\$1,240.98
211-280-004-6	Residential	Developed		\$1,240.98
211-280-005-3	Residential	Developed		\$1,240.98
211-280-006-1	Residential	Developed		\$1,240.98
211-280-007-9	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-280-008-7	Residential	Developed		\$1,240.98
211-280-009-5	Residential	Developed		\$1,240.98
211-280-010-3	Residential	Developed		\$1,240.98
211-280-011-1	Residential	Developed		\$1,240.98
211-280-012-9	Residential	Developed		\$1,240.98
211-280-013-7	Residential	Developed		\$1,240.98
211-280-014-5	Residential	Developed		\$1,240.98
211-280-015-2	Residential	Developed		\$1,240.98
211-280-016-0	Residential	Developed		\$1,240.98
211-280-017-8	Residential	Developed		\$1,240.98
211-280-018-6	Residential	Developed		\$1,240.98
211-280-019-4	Residential	Developed		\$1,240.98
211-280-020-2	Residential	Developed		\$1,240.98
211-280-021-0	Residential	Developed		\$1,240.98
211-280-022-8	Residential	Developed		\$1,240.98
211-280-023-6	Residential	Developed		\$1,240.98
211-280-024-4	Residential	Developed		\$1,240.98
211-280-025-1	Residential	Developed		\$1,240.98
211-280-026-9	Residential	Developed		\$1,240.98
211-280-027-7	Residential	Developed		\$1,240.98
211-280-028-5	Residential	Developed		\$1,240.98
211-280-029-3	Residential	Developed		\$1,240.98
211-280-030-1	Residential	Developed		\$1,240.98
211-280-031-9	Residential	Developed		\$1,240.98
211-280-032-7	Residential	Developed		\$1,240.98
211-280-033-5	Residential	Developed		\$1,240.98
211-280-034-3	Residential	Developed		\$1,240.98
211-280-035-0	Residential	Developed		\$1,240.98
211-280-036-8	Residential	Developed		\$1,240.98
211-280-037-6	Residential	Developed		\$1,240.98
211-280-038-4	Residential	Developed		\$1,240.98
211-280-039-2	Residential	Developed		\$1,240.98
211-290-001-0	Residential	Developed		\$1,240.98
211-290-002-8	Residential	Developed		\$1,240.98
211-290-003-6	Residential	Developed		\$1,240.98
211-290-004-4	Residential	Developed		\$1,240.98
211-290-005-1	Residential	Developed		\$1,240.98
211-290-006-9	Residential	Developed		\$1,240.98
211-290-007-7	Residential	Developed		\$1,240.98
211-290-008-5	Residential	Developed		\$1,240.98
211-290-009-3	Residential	Developed		\$1,240.98
211-290-010-1	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-290-011-9	Residential	Developed		\$1,240.98
211-290-012-7	Residential	Developed		\$1,240.98
211-290-013-5	Residential	Developed		\$1,240.98
211-290-014-3	Residential	Developed		\$1,240.98
211-290-015-0	Residential	Developed		\$1,240.98
211-290-016-8	Residential	Developed		\$1,240.98
211-290-017-6	Residential	Developed		\$1,240.98
211-290-018-4	Residential	Developed		\$1,240.98
211-290-019-2	Residential	Developed		\$1,240.98
211-290-020-0	Residential	Developed		\$1,240.98
211-300-001-8	Residential	Developed		\$1,240.98
211-300-002-6	Residential	Developed		\$1,240.98
211-300-003-4	Residential	Developed		\$1,240.98
211-300-004-2	Residential	Developed		\$1,240.98
211-300-005-9	Residential	Developed		\$1,240.98
211-300-006-7	Residential	Developed		\$1,240.98
211-300-007-5	Residential	Developed		\$1,240.98
211-300-008-3	Residential	Developed		\$1,240.98
211-300-009-1	Residential	Developed		\$1,240.98
211-300-010-9	Residential	Developed		\$1,240.98
211-300-011-7	Residential	Developed		\$1,240.98
211-300-012-5	Residential	Developed		\$1,240.98
211-300-013-3	Residential	Developed		\$1,240.98
211-300-014-1	Residential	Developed		\$1,240.98
211-300-015-8	Residential	Developed		\$1,240.98
211-300-016-6	Residential	Developed		\$1,240.98
211-300-017-4	Residential	Developed		\$1,240.98
211-300-018-2	Residential	Developed		\$1,240.98
211-300-019-0	Residential	Developed		\$1,240.98
211-300-020-8	Residential	Developed		\$1,240.98
211-300-021-6	Residential	Developed		\$1,240.98
211-300-022-4	Residential	Developed		\$1,240.98
211-300-023-2	Residential	Developed		\$1,240.98
211-300-024-0	Residential	Developed		\$1,240.98
211-300-025-7	Residential	Developed		\$1,240.98
211-300-026-5	Residential	Developed		\$1,240.98
211-300-027-3	Residential	Developed		\$1,240.98
211-310-001-6	Residential	Developed		\$1,240.98
211-310-002-4	Residential	Developed		\$1,240.98
211-310-003-2	Residential	Developed		\$1,240.98
211-310-004-0	Residential	Developed		\$1,240.98
211-310-005-7	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-310-006-5	Residential	Developed		\$1,240.98
211-310-007-3	Residential	Developed		\$1,240.98
211-310-008-1	Residential	Developed		\$1,240.98
211-310-009-9	Prepaid	Prepaid		\$0.00 /1
211-310-010-7	Residential	Developed		\$1,240.98
211-310-011-5	Residential	Developed		\$1,240.98
211-310-012-3	Residential	Developed		\$1,240.98
211-310-013-1	Residential	Developed		\$1,240.98
211-310-014-9	Residential	Developed		\$1,240.98
211-310-015-6	Residential	Developed		\$1,240.98
211-310-016-4	Residential	Developed		\$1,240.98
211-310-017-2	Residential	Developed		\$1,240.98
211-310-018-0	Residential	Developed		\$1,240.98
211-310-019-8	Residential	Developed		\$1,240.98
211-310-020-6	Residential	Developed		\$1,240.98
211-310-021-4	Residential	Developed		\$1,240.98
211-310-024-8	HOA	HOA		\$0.00
211-320-001-4	Prepaid	Prepaid		\$0.00 /1
211-320-002-2	Residential	Developed		\$1,240.98
211-320-003-0	Residential	Developed		\$1,240.98
211-320-004-8	Residential	Developed		\$1,240.98
211-320-005-5	Residential	Developed		\$1,240.98
211-320-006-3	Residential	Developed		\$1,240.98
211-320-007-1	Residential	Developed		\$1,240.98
211-320-008-9	Residential	Developed		\$1,240.98
211-320-009-7	Residential	Developed		\$1,240.98
211-320-010-5	Residential	Developed		\$1,240.98
211-320-011-3	Residential	Developed		\$1,240.98
211-320-012-1	Residential	Developed		\$1,240.98
211-320-013-9	Residential	Developed		\$1,240.98
211-320-014-7	Residential	Developed		\$1,240.98
211-320-015-4	Residential	Developed		\$1,240.98
211-320-016-2	Residential	Developed		\$1,240.98
211-320-017-0	Residential	Developed		\$1,240.98
211-320-018-8	Residential	Developed		\$1,240.98
211-320-019-6	HOA	HOA		\$0.00
211-330-001-2	Residential	Developed		\$1,240.98
211-330-002-0	Residential	Developed		\$1,240.98
211-330-003-8	Residential	Developed		\$1,240.98
211-330-004-6	Residential	Developed		\$1,240.98
211-330-005-3	Residential	Developed		\$1,240.98
211-330-006-1	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-330-007-9	Residential	Developed		\$1,240.98
211-330-008-7	Residential	Developed		\$1,240.98
211-330-009-5	Residential	Developed		\$1,240.98
211-330-012-9	HOA	HOA		\$0.00
211-340-001-0	Residential	Developed		\$1,240.98
211-340-002-8	Residential	Developed		\$1,240.98
211-340-003-6	Residential	Developed		\$1,240.98
211-340-004-4	Residential	Developed		\$1,240.98
211-340-005-1	Residential	Developed		\$1,240.98
211-340-006-9	Residential	Developed		\$1,240.98
211-340-007-7	Residential	Developed		\$1,240.98
211-340-011-9	Undeveloped	Public		\$0.00
211-340-012-7	Undeveloped	Public		\$0.00
211-350-001-7	Undeveloped	Undeveloped		\$0.00
211-350-002-5	Undeveloped	Undeveloped		\$0.00
211-350-003-3	Undeveloped	Undeveloped		\$0.00
211-350-004-1	Residential	Developed		\$1,240.98
211-350-005-8	Residential	Developed		\$1,240.98
211-350-006-6	Residential	Developed		\$1,240.98
211-350-007-4	Undeveloped	Undeveloped		\$0.00
211-350-008-2	Residential	Developed		\$1,240.98
211-350-009-0	Residential	Developed		\$1,240.98
211-350-010-8	Residential	Developed		\$1,240.98
211-350-011-6	Residential	Developed		\$1,240.98
211-350-012-4	Residential	Developed		\$1,240.98
211-350-013-2	Residential	Developed		\$1,240.98
211-350-014-0	Undeveloped	Undeveloped		\$0.00
211-350-015-7	Undeveloped	Undeveloped		\$0.00
211-350-016-5	Residential	Developed		\$1,240.98
211-350-017-3	Residential	Developed		\$1,240.98
211-360-001-5	Residential	Developed		\$1,240.98
211-360-002-3	Residential	Developed		\$1,240.98
211-360-003-1	Residential	Developed		\$1,240.98
211-360-004-9	Residential	Developed		\$1,240.98
211-360-005-6	Residential	Developed		\$1,240.98
211-360-006-4	Residential	Developed		\$1,240.98
211-360-007-2	Residential	Developed		\$1,240.98
211-360-008-0	Residential	Developed		\$1,240.98
211-360-009-8	Residential	Developed		\$1,240.98
211-360-010-6	Residential	Developed		\$1,240.98
211-360-011-4	Residential	Developed		\$1,240.98
211-360-012-2	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-360-013-0	Residential	Developed		\$1,240.98
211-360-014-8	Residential	Developed		\$1,240.98
211-360-015-5	Residential	Developed		\$1,240.98
211-360-016-3	Residential	Developed		\$1,240.98
211-360-017-1	Residential	Developed		\$1,240.98
211-360-018-9	Residential	Developed		\$1,240.98
211-360-019-7	Residential	Developed		\$1,240.98
211-360-020-5	Residential	Developed		\$1,240.98
211-360-021-3	Residential	Developed		\$1,240.98
211-360-022-1	Residential	Developed		\$1,240.98
211-360-023-9	Residential	Developed		\$1,240.98
211-360-024-7	Residential	Developed		\$1,240.98
211-360-025-4	Residential	Developed		\$1,240.98
211-360-026-2	Residential	Developed		\$1,240.98
211-360-027-0	Residential	Developed		\$1,240.98
211-360-028-8	Residential	Developed		\$1,240.98
211-360-029-6	Residential	Developed		\$1,240.98
211-360-030-4	Residential	Developed		\$1,240.98
211-360-031-2	Residential	Developed		\$1,240.98
211-360-032-0	Residential	Developed		\$1,240.98
211-360-033-8	Residential	Developed		\$1,240.98
211-360-034-6	Residential	Developed		\$1,240.98
211-360-035-3	Residential	Developed		\$1,240.98
211-360-036-1	Residential	Developed		\$1,240.98
211-360-037-9	Residential	Developed		\$1,240.98
211-360-038-7	Residential	Developed		\$1,240.98
211-360-039-5	Residential	Developed		\$1,240.98
211-360-040-3	Residential	Developed		\$1,240.98
211-360-041-1	Residential	Developed		\$1,240.98
211-360-042-9	Residential	Developed		\$1,240.98
211-360-043-7	Residential	Developed		\$1,240.98
211-360-051-0	HOA	HOA		\$0.00
211-360-052-8	HOA	HOA		\$0.00
211-370-001-3	Residential	Developed		\$1,240.98
211-370-002-1	Residential	Developed		\$1,240.98
211-370-003-9	Residential	Developed		\$1,240.98
211-370-004-7	Residential	Developed		\$1,240.98
211-370-005-4	Residential	Developed		\$1,240.98
211-370-006-2	Residential	Developed		\$1,240.98
211-370-007-0	Residential	Developed		\$1,240.98
211-370-008-8	Residential	Developed		\$1,240.98
211-370-009-6	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-370-010-4	Residential	Developed		\$1,240.98
211-370-011-2	Residential	Developed		\$1,240.98
211-370-012-0	Residential	Developed		\$1,240.98
211-370-013-8	Residential	Developed		\$1,240.98
211-370-014-6	Residential	Developed		\$1,240.98
211-370-015-3	Residential	Developed		\$1,240.98
211-370-016-1	Residential	Developed		\$1,240.98
211-370-017-9	Residential	Developed		\$1,240.98
211-370-018-7	Residential	Developed		\$1,240.98
211-370-019-5	Residential	Developed		\$1,240.98
211-370-020-3	Residential	Developed		\$1,240.98
211-370-021-1	Residential	Developed		\$1,240.98
211-370-022-9	Residential	Developed		\$1,240.98
211-370-023-7	Residential	Developed		\$1,240.98
211-370-024-5	Residential	Developed		\$1,240.98
211-370-025-2	Prepaid	Prepaid		\$0.00 /1
211-370-026-0	Prepaid	Prepaid		\$0.00 /1
211-370-027-8	Residential	Developed		\$1,240.98
211-370-028-6	Residential	Developed		\$1,240.98
211-370-029-4	Residential	Developed		\$1,240.98
211-370-030-2	Residential	Developed		\$1,240.98
211-370-031-0	Residential	Developed		\$1,240.98
211-370-032-8	Residential	Developed		\$1,240.98
211-370-033-6	Prepaid	Prepaid		\$0.00 /1
211-370-034-4	Residential	Developed		\$1,240.98
211-370-035-1	Residential	Developed		\$1,240.98
211-370-036-9	Residential	Developed		\$1,240.98
211-370-037-7	Prepaid	Prepaid		\$0.00 /1
211-370-038-5	Prepaid	Prepaid		\$0.00 /1
211-370-039-3	Residential	Developed		\$1,240.98
211-370-040-1	Residential	Developed		\$1,240.98
211-370-041-9	Residential	Developed		\$1,240.98
211-370-042-7	Residential	Developed		\$1,240.98
211-370-043-5	Residential	Developed		\$1,240.98
211-370-044-3	Residential	Developed		\$1,240.98
211-370-045-0	Residential	Developed		\$1,240.98
211-370-046-8	Residential	Developed		\$1,240.98
211-370-047-6	Residential	Developed		\$1,240.98
211-370-048-4	Residential	Developed		\$1,240.98
211-370-049-2	Residential	Developed		\$1,240.98
211-370-050-0	Residential	Developed		\$1,240.98
211-370-051-8	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-370-052-6	Residential	Developed		\$1,240.98
211-370-053-4	Residential	Developed		\$1,240.98
211-370-054-2	Residential	Developed		\$1,240.98
211-370-055-9	Prepaid	Prepaid		\$0.00 /1
211-370-056-7	Residential	Developed		\$1,240.98
211-370-057-5	Residential	Developed		\$1,240.98
211-370-058-3	Residential	Developed		\$1,240.98
211-370-062-5	HOA	HOA		\$0.00
211-370-063-3	HOA	HOA		\$0.00
211-370-069-0	HOA	HOA		\$0.00
211-380-001-1	Residential	Developed		\$1,240.98
211-380-002-9	Residential	Developed		\$1,240.98
211-380-003-7	Residential	Developed		\$1,240.98
211-380-004-5	Residential	Developed		\$1,240.98
211-380-005-2	Residential	Developed		\$1,240.98
211-380-006-0	Residential	Developed		\$1,240.98
211-380-007-8	Residential	Developed		\$1,240.98
211-380-008-6	Residential	Developed		\$1,240.98
211-380-009-4	Residential	Developed		\$1,240.98
211-380-010-2	Residential	Developed		\$1,240.98
211-380-011-0	Residential	Developed		\$1,240.98
211-380-012-8	Residential	Developed		\$1,240.98
211-380-013-6	Residential	Developed		\$1,240.98
211-380-014-4	Residential	Developed		\$1,240.98
211-380-015-1	Residential	Developed		\$1,240.98
211-380-016-9	Residential	Developed		\$1,240.98
211-380-017-7	Residential	Developed		\$1,240.98
211-380-018-5	Residential	Developed		\$1,240.98
211-380-019-3	Residential	Developed		\$1,240.98
211-380-020-1	Residential	Developed		\$1,240.98
211-380-021-9	Residential	Developed		\$1,240.98
211-380-022-7	Residential	Developed		\$1,240.98
211-380-023-5	Residential	Developed		\$1,240.98
211-380-024-3	Residential	Developed		\$1,240.98
211-380-025-0	Residential	Developed		\$1,240.98
211-380-026-8	Residential	Developed		\$1,240.98
211-380-027-6	Residential	Developed		\$1,240.98
211-380-028-4	Residential	Developed		\$1,240.98
211-380-029-2	Residential	Developed		\$1,240.98
211-380-030-0	Residential	Developed		\$1,240.98
211-380-031-8	Residential	Developed		\$1,240.98
211-380-032-6	Residential	Developed		\$1,240.98

County of Contra Costa
Community Facilities District No. 2001-1
(Norris Canyon)
Special Tax Levy for Fiscal Year 2015-16

Assessor's Parcel Number	Type of Property	Status of Development	Taxable Acres	Special Tax
211-380-033-4	Residential	Developed		\$1,240.98
211-380-034-2	Residential	Developed		\$1,240.98
211-380-035-9	Residential	Developed		\$1,240.98
211-380-036-7	Residential	Developed		\$1,240.98
211-380-037-5	Prepaid	Prepaid		\$0.00 /1
211-380-038-3	Residential	Developed		\$1,240.98
211-380-039-1	Residential	Developed		\$1,240.98
211-380-049-0	Undeveloped	Public		\$0.00
211-410-001-5	HOA	HOA		\$0.00
Total Special Tax Levy				\$423,174.18

/1 This parcel has prepaid its special tax obligation and is no longer subject to the special tax.

Goodwin Consulting Group, Inc.

APPENDIX C

Rate and Method of Apportionment of Special Tax

**COUNTY OF CONTRA COSTA
COMMUNITY FACILITIES DISTRICT NO. 2001-1
(NORRIS CANYON)**

RATE AND METHOD OF APPORTIONMENT OF SPECIAL TAX

A Special Tax applicable to each Assessor's Parcel in Community Facilities District No. 2001-1 (herein "CFD No. 2001-1") shall be levied and collected according to the tax liability determined by the Board of Supervisors of the County of Contra Costa or its designee, as described below. All of the property in CFD No. 2001-1, unless exempted by law or by the provisions of Section G below, shall be taxed for the purposes, to the extent, and in the manner herein provided.

A. DEFINITIONS

The terms hereinafter set forth have the following meanings:

"Acre or Acreage" means the land area of an Assessor's Parcel as shown on an Assessor's Parcel Map, or if the land area is not shown on an Assessor's Parcel Map, the land area shown on the applicable final map, parcel map, or other recorded County parcel map.

"Act" means the Mello-Roos Community Facilities Act of 1982, as amended, being Chapter 2.5, (commencing with Section 53311), Division 2 of Title 5 of the Government Code of the State of California.

"Administrative Expenses" means any or all of the following: the fees and expenses of any fiscal agent or trustee (including any fees and expenses of its counsel) employed in connection with any Bonds; any costs associated with the marketing or remarketing of the Bonds; the expenses of the Administrator and the County in carrying out their respective duties under any fiscal agent agreement, indenture or resolution with respect to the Bonds or CFD No. 2001-1, including, but not limited to, the levy and collection of the Special Tax, the fees and expenses of legal counsel, charges levied by the County or any division or office thereof in connection with the levy and collection of Special Taxes, audits, continuing disclosure or other amounts needed to pay arbitrage rebate to the federal government with respect to Bonds; costs associated with complying with continuing disclosure requirements; costs associated with responding to public inquiries regarding Special Tax levies and appeals; attorneys' fees and other costs associated with commencement or pursuit of foreclosure for delinquent Special Taxes; costs associated with overhead expense allocations to CFD No. 2001-1; and all other costs and expenses of the County, the Administrator, and any fiscal agent, escrow agent or trustee related to the administration of CFD No. 2001-1.

"Administrator" shall mean the person or firm designated by the Board to administer the Special Tax according to this Rate and Method of Apportionment of Special Tax.

“Annual Interest Component” means the total amount of interest on Bonds in the calendar year commencing in such Fiscal Year.

“Assessor's Parcel” or **“Parcel”** means a lot or parcel shown in an Assessor's Parcel Map with an assigned Assessor's Parcel number.

“Assessor's Parcel Map” means an official map of the County Assessor of the County of Contra Costa designating parcels by Assessor's Parcel Number.

“Bonds” means any bonds or other debt (as defined in Section 53317(d) of the Act), whether in one or more series, issued by CFD No. 2001-1 under the Act.

“Board” means the Board of Supervisors of the County of Contra Costa.

“Capitalized Interest” means funds in any capitalized interest account available to pay debt service on Bonds issued by CFD No. 2001-1.

“Capitalized Interest Requirement” means the least of: i) the Annual Interest Component, ii) the difference between the Special Tax Requirement and the amount determined pursuant to Step 1 of Section E hereof, or iii) the amount of Capitalized Interest available.

“County” means the County of Contra Costa.

“Developed Property” means Taxable Property for which a building permit for construction was issued prior to June 1 of the preceding Fiscal Year.

“Fiscal Year” means the period starting July 1 and ending on the following June 30.

“Homeowners' Association Property” means any property within the boundaries of CFD No. 2001-1 which is owned by a homeowners' or property owners' association.

“Land Use Class” means one of the defined land use categories for which a specific Maximum Special Tax is identified in Table 1 in Section C below.

“Maximum Special Tax” means the maximum amount of Special Tax, determined in accordance with Section C below, that can be levied in any Fiscal Year.

“Other Property” means Developed Property which is not Residential Property, Public Property, or Homeowners' Association Property.

“Planned Units” means the number of individual residential units that were expected to be constructed on property within CFD No. 2001-1 as shown in Attachment 1.

“Proportionately” means, for Residential Property and Other Property, that the ratio of the actual Special Tax levied in any Fiscal Year to the Maximum Special Tax authorized to be levied in that

Fiscal Year is equal for all Assessor's Parcels of Residential Property and Other Property. For Undeveloped Property, "Proportionately" means that the ratio of the actual Special Tax to the Maximum Special Tax is equal for all Assessor's Parcels of Undeveloped Property. For Homeowners' Association Property and nonexempt Public Property, "Proportionately" means that the ratio of the actual Special Tax to the Maximum Special Tax is equal for all Assessor's Parcels of Homeowners' Association Property and Public Property.

"Public Property" means any property within the boundaries of CFD No. 2001-1 that is owned by or irrevocably offered for dedication to the federal government, State of California or other local governments or public agencies.

"Residential Property" means, in any Fiscal Year, any Parcel of Developed Property for the construction of a residential structure which is not Homeowners' Association Property or Public Property.

"Special Tax" means a special tax levied in any Fiscal Year that will be used to pay the Special Tax Requirement, as defined below.

"Special Tax Requirement" means the total amount needed each Fiscal Year to (i) pay principal and interest on Bonds in the calendar year commencing in such Fiscal Year, (ii) create or replenish reserve funds, (iii) cure any delinquencies in the payment of principal or interest on indebtedness of CFD No. 2001-1 which have occurred in the prior Fiscal Year or (based on delinquencies in the payment of Special Taxes which have already taken place) are expected to occur in the Fiscal Year in which the tax will be collected, (iv) pay Administrative Expenses.

"Taxable Property" means all of the Assessor's Parcels within the boundary of CFD No. 2001-1 which are not exempt from the Special Tax pursuant to law or Section G below.

"Tentative Map" means the tentative map for Norris Canyon Estates approved by the Board in August 1997.

"Undeveloped Property" means any Parcel of Taxable Property within CFD No. 2001-1 for which a building permit has not been issued prior to June 1 of the preceding Fiscal Year.

B. ASSIGNMENT TO LAND USE CLASS

Each Fiscal Year, the Administrator shall categorize each parcel of property in CFD No. 2001-1 as Developed Property or Undeveloped Property, and Parcels of Developed Property shall be further identified as either Residential Property, Other Property, Homeowners' Association Property or Public Property. For each Parcel of Other Property within the CFD, the Administrator shall determine how many Planned Units had been expected on the Parcel in order to assign the Maximum Special Tax pursuant to Section C below.

C. MAXIMUM SPECIAL TAX

Pursuant to Section 53321 (d) of the Act, a Maximum Special Tax must be established as a specific dollar amount before a Parcel is first subject to the tax when in private residential use. The following maximum rates shall apply to all Parcels of Taxable Property within CFD No. 2001-1 for each Fiscal Year in which the Special Tax is collected:

TABLE 1 MAXIMUM SPECIAL TAX (Fiscal Year 2001-02)		
Land Use Class	Description	Maximum Special Tax (Fiscal Year 2001-02)
1	Residential Property	\$2,100 per Parcel
2	Other Property	\$2,100 per Planned Unit of the Parcel before it became Other Property
3	Undeveloped Property	\$3,360 per Acre

Pursuant to Section 53321 (d) of the Act, the Special Tax levied against a Parcel used for private residential purposes shall under no circumstances increase more than ten percent (10%) as a consequence of delinquency or default by the owner of any other Parcel or Parcels and shall, in no event, exceed the Maximum Special Tax in effect for the Fiscal Year in which the Special Tax is being levied.

D. MANDATORY PREPAYMENT OF SPECIAL TAX RESULTING FROM TENTATIVE MAP REVISIONS

It is possible that a revision in the Tentative Map could result in less Special Tax revenue being available from the CFD. To preclude this result, after CFD No. 2001-1 has been formed, the County shall apply the following steps for every proposed Tentative Map revision:

- Step 1:** The County or its designee shall calculate the Maximum Special Tax revenues that could be collected from the property affected by the proposed Tentative Map revision (the "Affected Property") prior to the revision being approved;

- Step 2:** The County or its designee shall calculate the Maximum Special Tax revenues that could be collected from the Affected Property if the Tentative Map revision is approved;
- Step 3:** If the amount determined in Step 2 is higher than that calculated in Step 1, the Tentative Map revision may be approved without prepayment of the Special Tax. If the revenues calculated in Step 2 are less than those calculated in Step 1, the County may not approve the Tentative Map revision unless the landowner requesting the Tentative Map revision prepays a portion of the Special Tax obligation that would have applied to the Affected Property prior to approval of the revision in an amount sufficient to retire a portion of the Bonds and maintain 110% coverage on the Bonds' debt service with the reduced Maximum Special Tax revenues that will result after the Tentative Map revision is approved. The required prepayment shall be calculated using the formula set forth in Section H below. Property owners wishing to prepay the Special Tax as a result of a Tentative Map revision cannot be delinquent on past Special Taxes on the Affected Property.

E. METHOD OF LEVY AND COLLECTION OF THE SPECIAL TAX

Commencing with Fiscal Year 2001-02 and for each following Fiscal Year, the Administrator shall determine the Special Tax Requirement for that Fiscal Year. The Special Tax shall then be levied as follows:

- Step 1:** The Special Tax shall be levied Proportionately on each Parcel of Residential Property and Other Property up to 100% of the Maximum Special Tax up to the Special Tax Requirement for each Land Use Class for such Fiscal Year as determined pursuant to Section C. The Maximum Special Tax for a Parcel of Other Property shall be the total Maximum Special Taxes for the Planned Units that the Other Property replaced, as determined by the Administrator;
- Step 2:** Determine the Capitalized Interest Requirement, if any, and add it to the amount levied under Step 1;
- Step 3:** If the total of the Capitalized Interest Requirement and the amount levied under Step 1 is less than the Special Tax Requirement, the Special Tax shall be levied Proportionately on each Assessor's Parcel of Undeveloped Property within the CFD, up to 100% of the Maximum Special Tax for Undeveloped Property for such Fiscal Year determined pursuant to Section C;
- Step 4:** If additional monies are needed after applying the first three steps, the Special Tax shall be levied Proportionately on each Parcel of Homeowners' Association Property and Public Property which originally had Planned Units, up to 100% of the Maximum Special Tax for Undeveloped Property for such Fiscal Year determined pursuant to Section C.

F. MANNER OF COLLECTION

The Special Taxes for CFD No. 2001-1 shall be collected in the same manner and at the same time as ordinary ad valorem property taxes, provided, however, that prepayments are permitted as set forth in Section H below (and may be required in the case of Tentative Map revisions) and provided further that the County may directly bill the Special Tax, may collect Special Taxes at a different time or in a different manner, and may collect delinquent Special Taxes through foreclosure or other available methods.

The Special Tax shall be levied and collected until principal and interest on Bonds have been repaid and authorized facilities to be constructed directly from Special Taxes proceeds have been completed. However, in no event shall a Special Taxes be levied after Fiscal Year 2039-2040.

G. EXEMPTIONS

Notwithstanding any other provision of this Rate and Method of Apportionment of Special Tax, no Special Taxes shall be levied on Public Property, except as otherwise provided in Sections 53317.3 and 53317.5 of the Act.

H. PREPAYMENT OF SPECIAL TAX

The following definitions apply to this Section H:

"Future Facilities Costs" means the Public Facilities Requirements (as defined below) minus public facility costs funded by Previously Issued Bonds, interest earnings on the construction fund actually earned prior to the date of prepayment, Special Taxes, developer equity, and/or any other source of funding.

"Outstanding Bonds" means all Previously Issued Bonds which remain outstanding, with the following exception: if a Special Tax has been levied against, or already paid by, an Assessor's Parcel making a prepayment, and a portion of the Special Tax will be used to pay a portion of the next principal payment on the Bonds that remain outstanding (as determined by the Administrator), that next principal payment shall be subtracted from the total Bond principal that remains outstanding, and the difference shall be used as the amount of **"Outstanding Bonds"** for purposes of this prepayment formula.

"Previously Issued Bonds" means all Bonds that have been issued by CFD No. 2001-1 prior to the date of prepayment.

"Public Facilities Requirements" means either \$5,900,000 in 2001 dollars, which shall increase by three percent (3%) on January 1, 2002, and on each January 1 thereafter, or such lower number as shall be determined by the County as sufficient to fund public facilities to be provided by CFD No. 2001-1 under the authorized bonding program for CFD No. 2001-1.

The Special Tax obligation applicable to an Assessor's Parcel in CFD No. 2001-1 may be prepaid and the obligation of the Assessor's Parcel to pay the Special Tax permanently satisfied as described herein, provided that a prepayment may be made only if there are no delinquent Special Taxes with respect to such Assessor's Parcel at the time of prepayment. An owner of an Assessor's Parcel intending to prepay the Special Tax obligation shall provide the County with written notice of intent to prepay. Within 30 days of receipt of such written notice, the County shall notify such owner of the prepayment amount of such Assessor's Parcel. Prepayment must be made not less than 75 days prior to any interest payment date for Bonds to be redeemed with the proceeds of such prepaid Special Taxes.

The Prepayment Amount shall be calculated as follows (capitalized terms as defined below):

	Bond Redemption Amount
plus	Future Facilities Amount
plus	Redemption Premium
plus	Defeasance
plus	Administrative Fees and Expenses
less	<u>Reserve Fund Credit</u>
equals	Prepayment Amount

As of the proposed date of prepayment, the Prepayment Amount shall be determined by application of the following steps:

- Step 1:** Compute the total Maximum Special Tax that could be collected from the Assessor's Parcel prepaying the Special Tax in the Fiscal Year in which prepayment would be received by the County.
- Step 2:** Divide the Maximum Special Tax computed pursuant to Step 1 for such Assessor's Parcel by the lesser of (i) the Maximum Special Tax revenues that could be collected in that Fiscal Year from property in the entire CFD, or (ii) the Maximum Special Tax revenues that could be generated at buildout of property in the CFD based on anticipated land uses at the time the prepayment is calculated.
- Step 3:** Multiply the quotient computed pursuant to Step 2 by the Outstanding Bonds to compute the amount of Outstanding Bonds to be retired and prepaid. (*the "Bond Redemption Amount"*).
- Step 4:** Compute the current Future Facilities Costs.
- Step 5:** Multiply the quotient computed pursuant to Step 2 by the amount determined pursuant to Step 4 to compute the amount of Future Facilities Costs to be prepaid (*the "Future Facilities Amount"*).

- Step 6:** Multiply the Bond Redemption Amount computed pursuant to Step 3 by the applicable redemption premium, if any, on the Outstanding Bonds to be redeemed (*the "Redemption Premium"*).
- Step 7:** Compute the amount needed to pay interest on the Bond Redemption Amount starting with the first Bond interest payment date after which the prepayment has been received until the earliest redemption date for the Outstanding Bonds. However, if Bonds are callable at the first interest payment date after the prepayment has been received, Steps 7, 8 and 9 of this prepayment formula will not apply.
- Step 8:** Compute the amount of interest the County reasonably expects to derive from reinvestment of the Bond Redemption Amount plus the Redemption Premium from the first Bond interest payment date after which the prepayment has been received until the redemption date for the Outstanding Bonds.
- Step 9:** Take the amount computed pursuant to Step 7 and subtract the amount computed pursuant to Step 8 (*the "Defeasance"*).
- Step 10:** The administrative fees and expenses of CFD No. 2001-1 are as calculated by the County and include the costs of computation of the prepayment, the costs of redeeming Bonds, and the costs of recording any notices to evidence the prepayment and the redemption (*the "Administrative Fees and Expenses"*).
- Step 11:** A reserve fund credit shall be calculated as the reduction, if any, in the applicable reserve fund for the Outstanding Bonds to be redeemed pursuant to the prepayment (*the "Reserve Fund Credit"*).
- Step 12:** The Special Tax prepayment is equal to the sum of the amounts computed pursuant to Steps 3, 5, 6, 9, and 10, less the amount computed pursuant to Step 11 (*the "Prepayment Amount"*).

Attachment 1

Tentative Map for Norris Canyon Estates

APPENDIX D

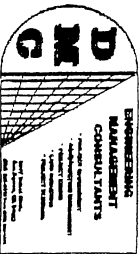
*Boundary Map of
Community Facilities District No. 2001-1*

EXHIBIT "A"
PROPOSED BOUNDARIES OF COUNTY OF CONTRA COSTA
COMMUNITY FACILITIES DISTRICT NO. 2001-1
 CONTRA COSTA COUNTY, CALIFORNIA
 APRIL, 2001
 SCALE 1" = 500'

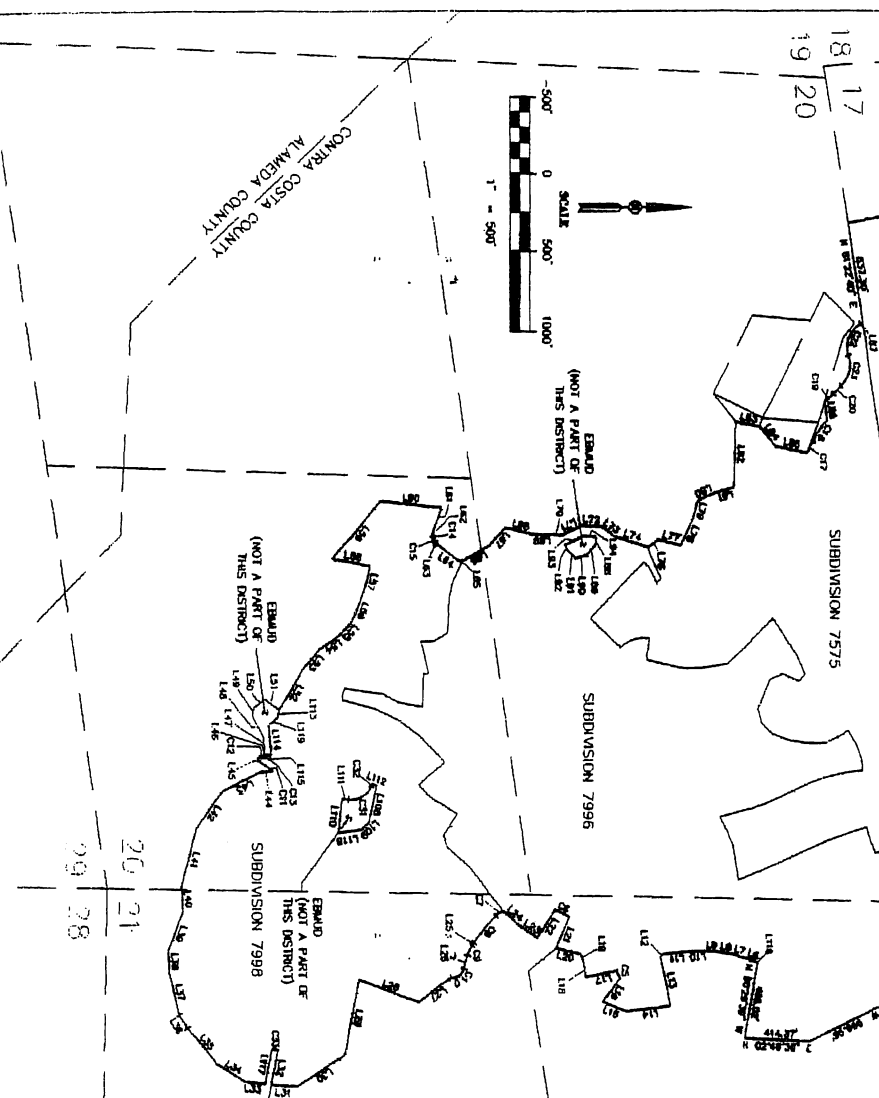
1. I, _____, CLERK OF THE BOARD OF SUPERVISORS THIS _____ DAY OF _____, 2001.

2. I HEREBY CERTIFY THAT THE WITHIN AND SHOWING PROPOSED BOUNDARIES OF COUNTY OF CONTRA COSTA COMMUNITY FACILITIES DISTRICT NO. 2001-1 (HEREIN THE BOARD OF SUPERVISORS OF THE COUNTY OF CONTRA COSTA, AT A LEGAL MEETING HELD ON THE _____ DAY OF _____, 2001, BY ITS RESOLUTION NO. _____)

3. I HEREBY CERTIFY THAT I AM AN ELECTION OFFICER OF THE COUNTY OF CONTRA COSTA, CALIFORNIA.



CLERK OF THE BOARD OF SUPERVISORS
 CLERK OF THE BOARD OF SUPERVISORS
 DEPUTY COUNTY RECORDER
 COUNTY RECORDER



CLERK TABLE

LINE	DATE	AMOUNT	DESCRIPTION
C1	2/22/95	867.00	6/10/95
C2	10/26/95	338.00	11/24/95
C3	10/26/95	452.00	12/24/95
C4	3/16/96	275.00	5/24/96
C5	6/23/96	425.00	8/24/96
C6	8/23/96	725.00	10/24/96
C7	11/23/96	1025.00	1/24/97
C8	1/23/97	1325.00	3/24/97
C9	3/23/97	1625.00	5/24/97
C10	5/23/97	1925.00	7/24/97
C11	7/23/97	2225.00	9/24/97
C12	9/23/97	2525.00	11/24/97
C13	11/23/97	2825.00	1/24/98
C14	1/23/98	3125.00	3/24/98
C15	3/23/98	3425.00	5/24/98
C16	5/23/98	3725.00	7/24/98
C17	7/23/98	4025.00	9/24/98
C18	9/23/98	4325.00	11/24/98
C19	11/23/98	4625.00	1/24/99
C20	1/23/99	4925.00	3/24/99
C21	3/23/99	5225.00	5/24/99
C22	5/23/99	5525.00	7/24/99
C23	7/23/99	5825.00	9/24/99
C24	9/23/99	6125.00	11/24/99
C25	11/23/99	6425.00	1/24/00
C26	1/23/00	6725.00	3/24/00
C27	3/23/00	7025.00	5/24/00
C28	5/23/00	7325.00	7/24/00
C29	7/23/00	7625.00	9/24/00
C30	9/23/00	7925.00	11/24/00
C31	11/23/00	8225.00	1/24/01
C32	1/23/01	8525.00	3/24/01
C33	3/23/01	8825.00	5/24/01

LINE	REMARKS	LINE	REMARKS
L1	17.24	L96	231.50
L2	18.15	L97	240.20
L3	18.35	L98	248.90
L4	19.20	L99	257.60
L5	19.70	L100	266.30
L6	20.25	L101	275.00
L7	20.75	L102	283.70
L8	21.20	L103	292.40
L9	21.75	L104	301.10
L10	22.20	L105	309.80
L11	22.75	L106	318.50
L12	23.25	L107	327.20
L13	23.75	L108	335.90
L14	24.25	L109	344.60
L15	24.75	L110	353.30
L16	25.25	L111	362.00
L17	25.75	L112	370.70
L18	26.25	L113	379.40
L19	26.75	L114	388.10
L20	27.25	L115	396.80
L21	27.75	L116	405.50
L22	28.25	L117	414.20
L23	28.75	L118	422.90
L24	29.25	L119	431.60
L25	29.75	L120	440.30

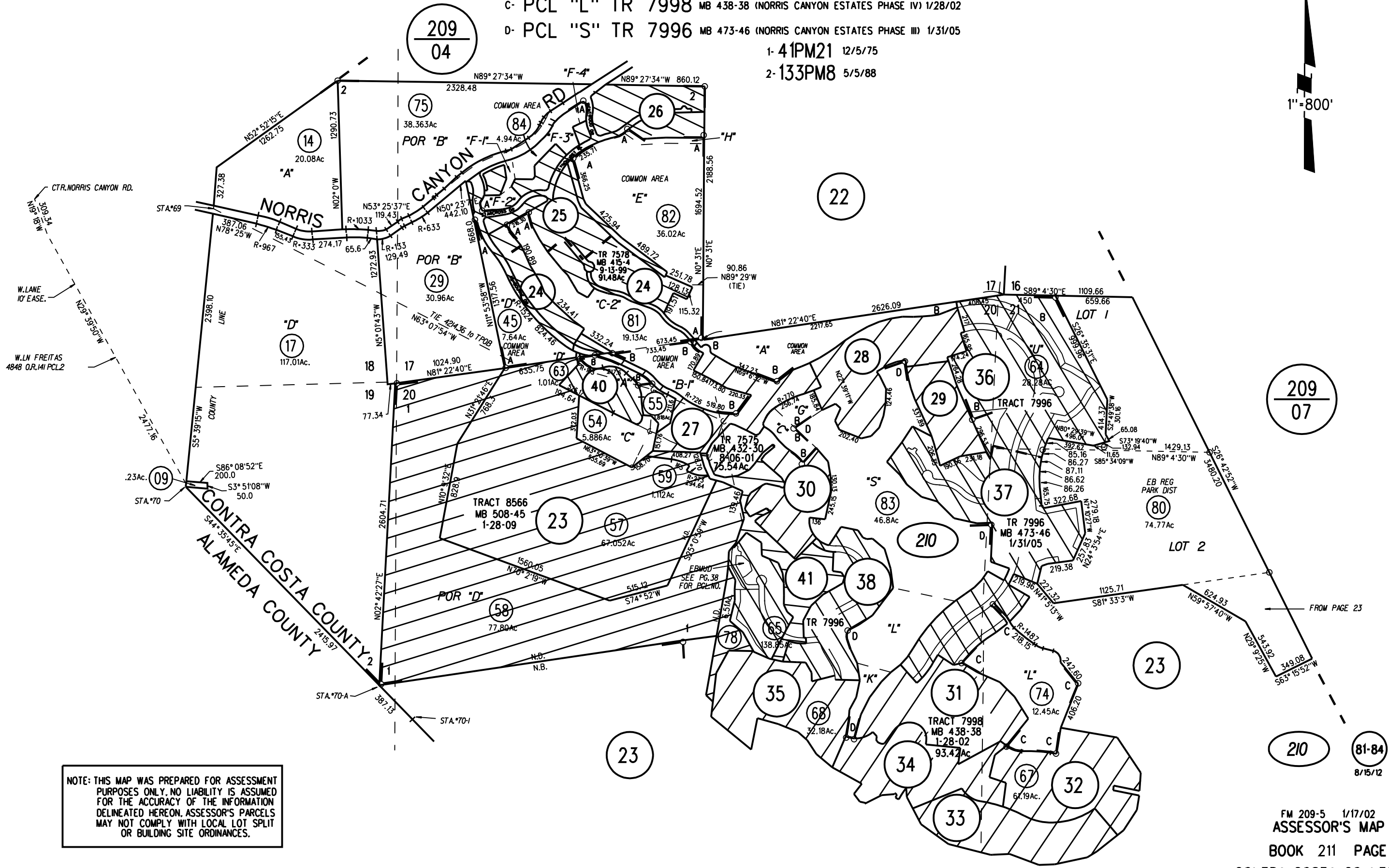
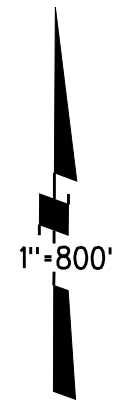
APPENDIX E

*Assessor's Parcel Maps for
Fiscal Year 2015-16*

POR SEC 17,18,19,20&21 T2S R1W MDBM

- A- POR TRACT 7578 MB 415-4 (NORRIS CANYON ESTATES) 9/13/99
- B- POR TRACT 7575 MB 432-30 (NORRIS CANYON ESTATES) 8/6/01
- C- PCL "L" TR 7998 MB 438-38 (NORRIS CANYON ESTATES PHASE IV) 1/28/02
- D- PCL "S" TR 7996 MB 473-46 (NORRIS CANYON ESTATES PHASE III) 1/31/05

1- 41PM21 12/5/75
 2- 133PM8 5/5/88

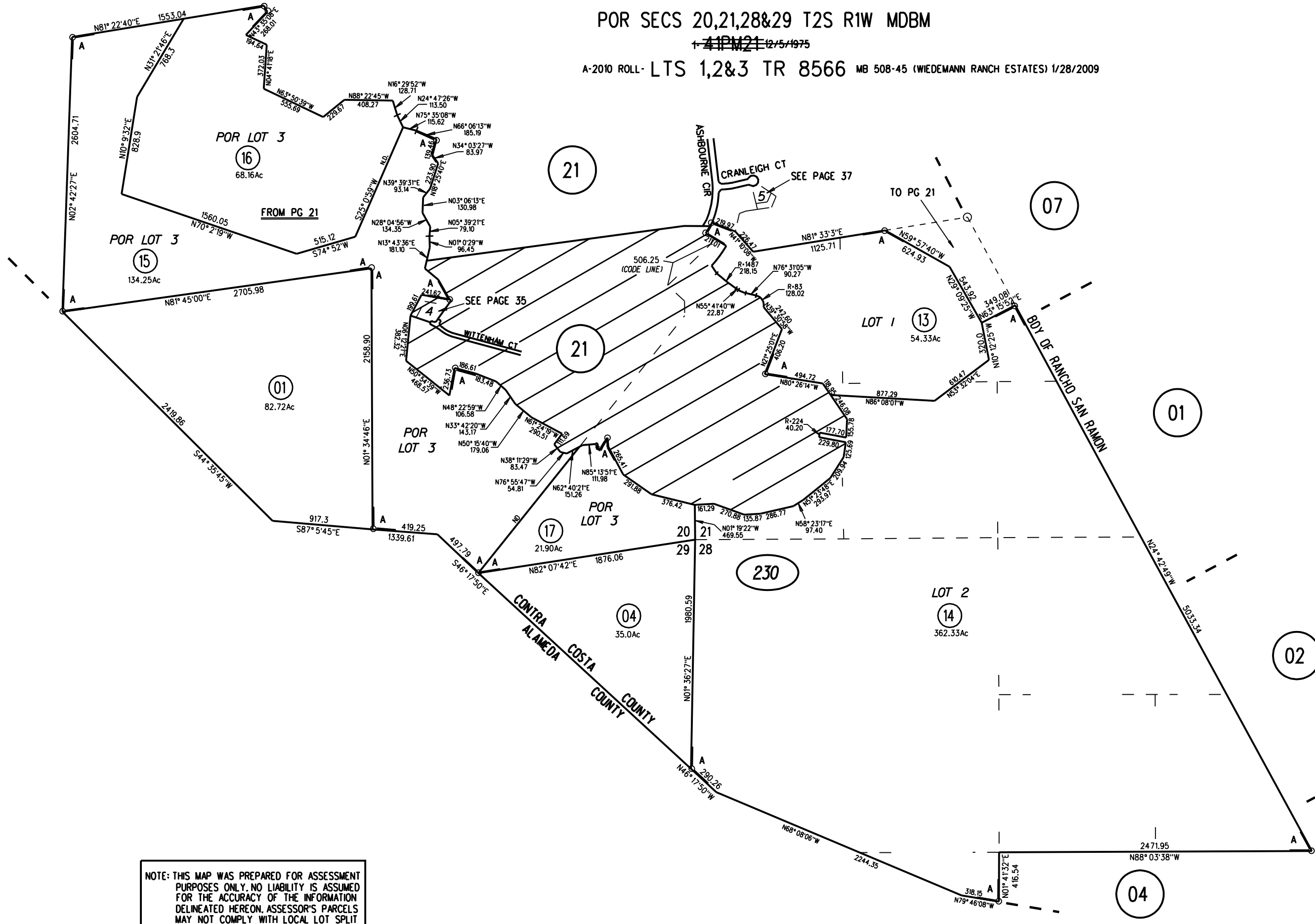
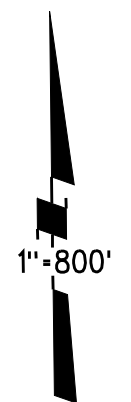


NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.

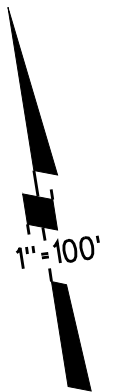
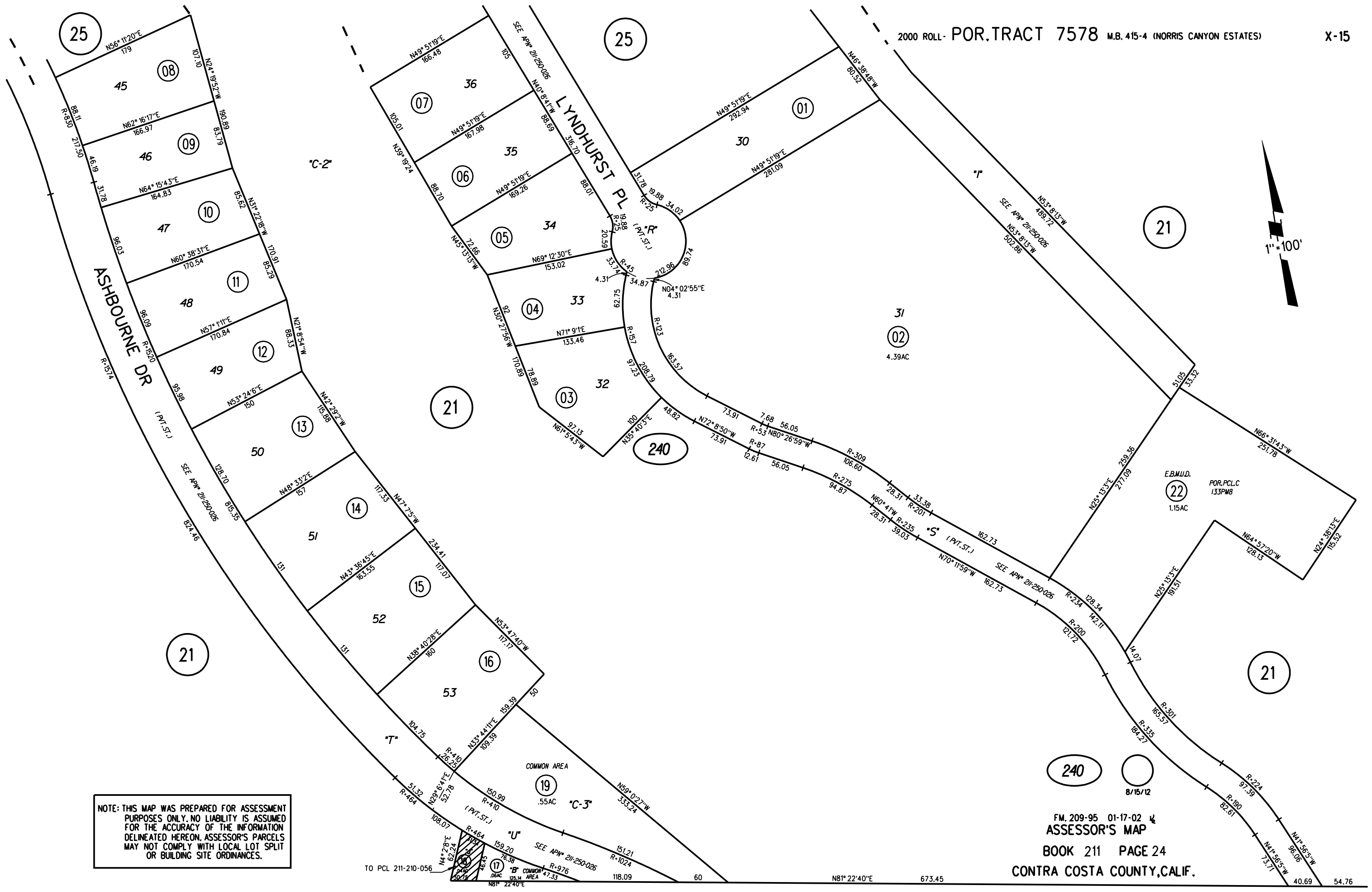
POR SECS 20,21,28&29 T2S R1W MDBM

41PM21 12/15/1975

A-2010 ROLL - LTS 1,2&3 TR 8566 MB 508-45 (WIEDEMANN RANCH ESTATES) 1/28/2009



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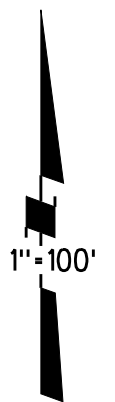
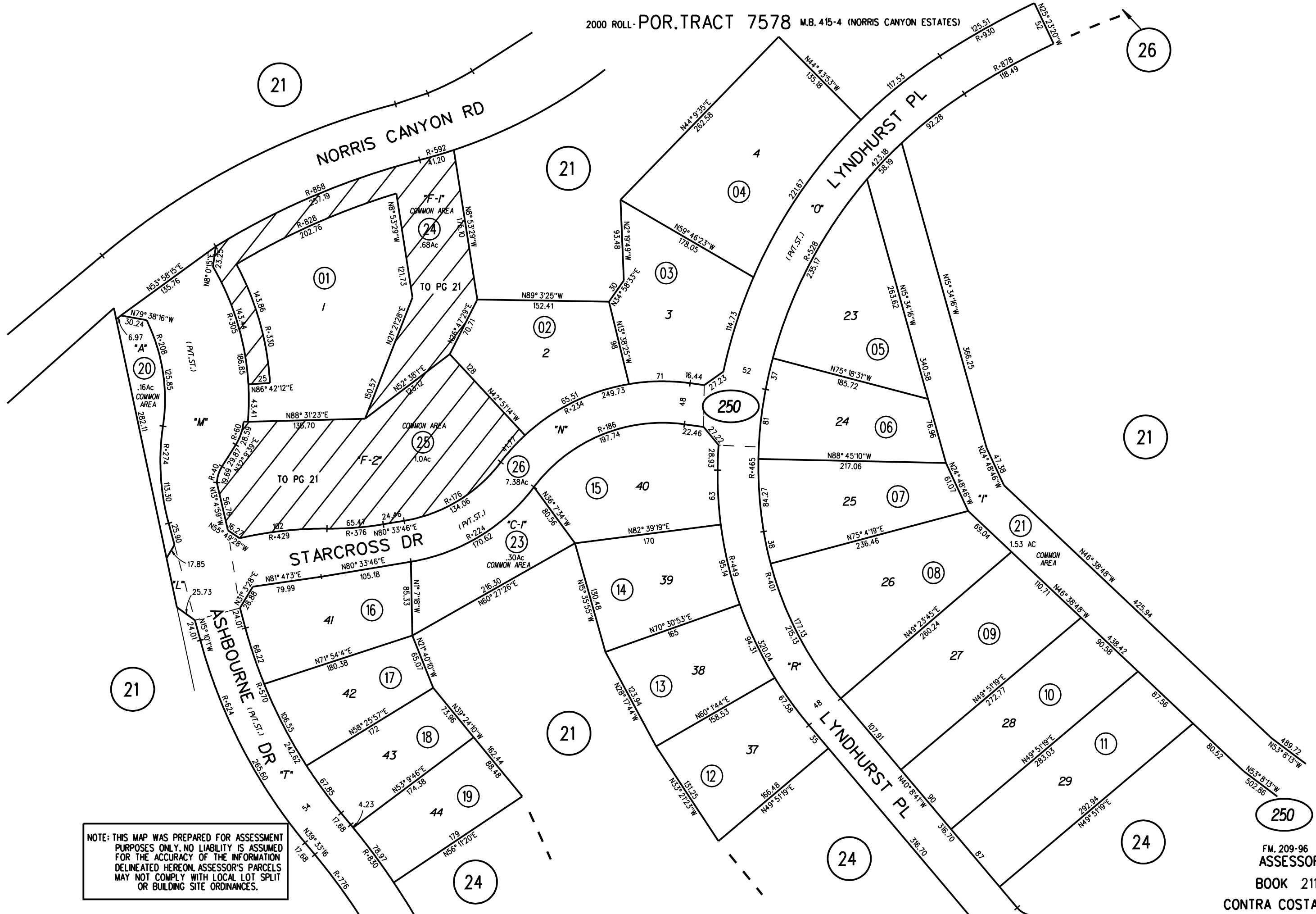
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 ASSESSOR'S MAP
 BOOK 211 PAGE 24
 CONTRA COSTA COUNTY, CALIF.

TO PCL 211-210-056

SEE APN# 211-250-026

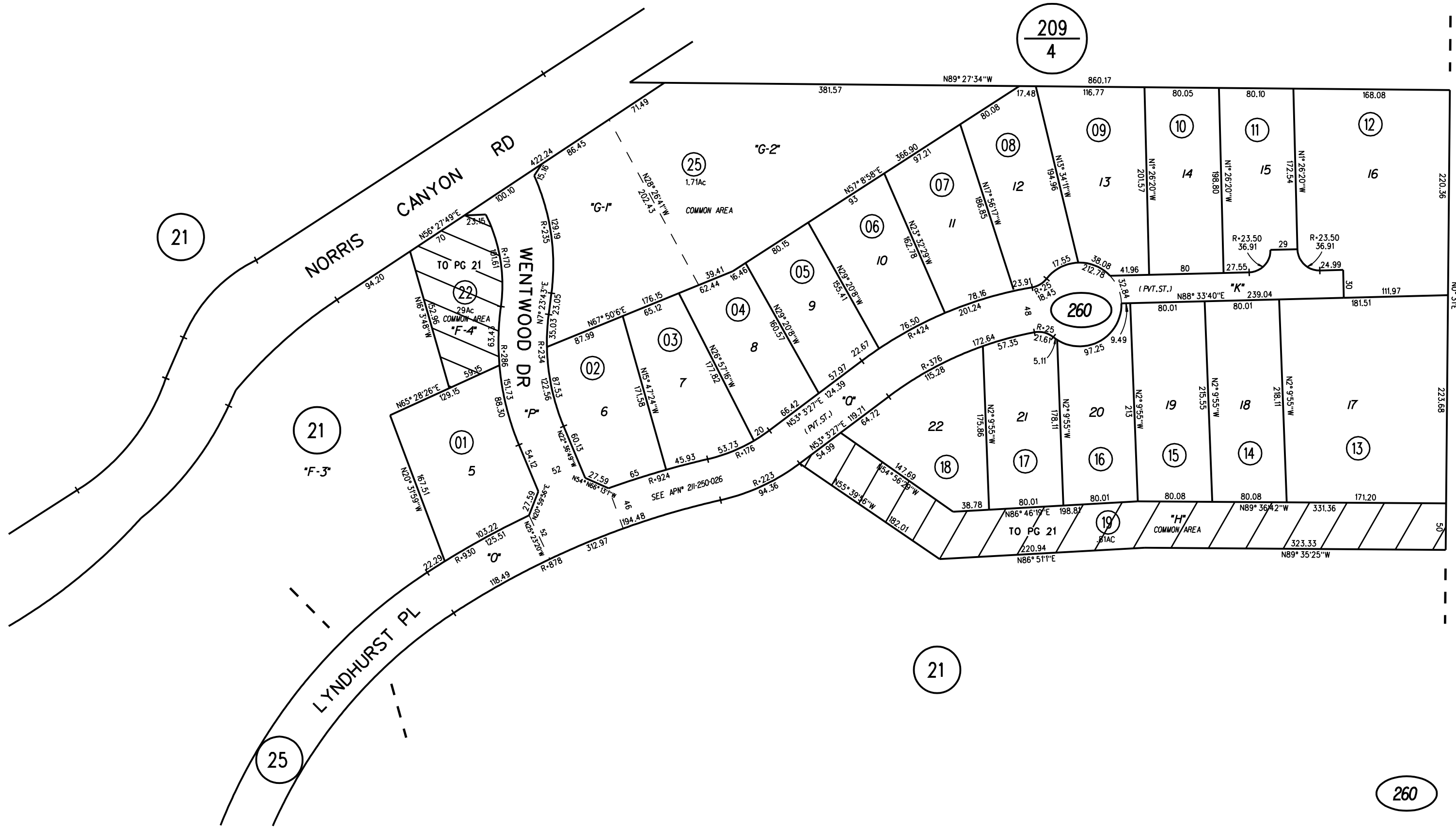
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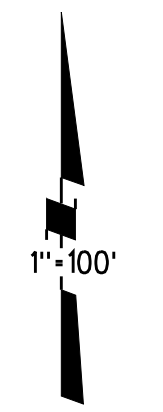


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ASSESSOR'S MAP
BOOK 211 PAGE 25
CONTRA COSTA COUNTY, CALIF.



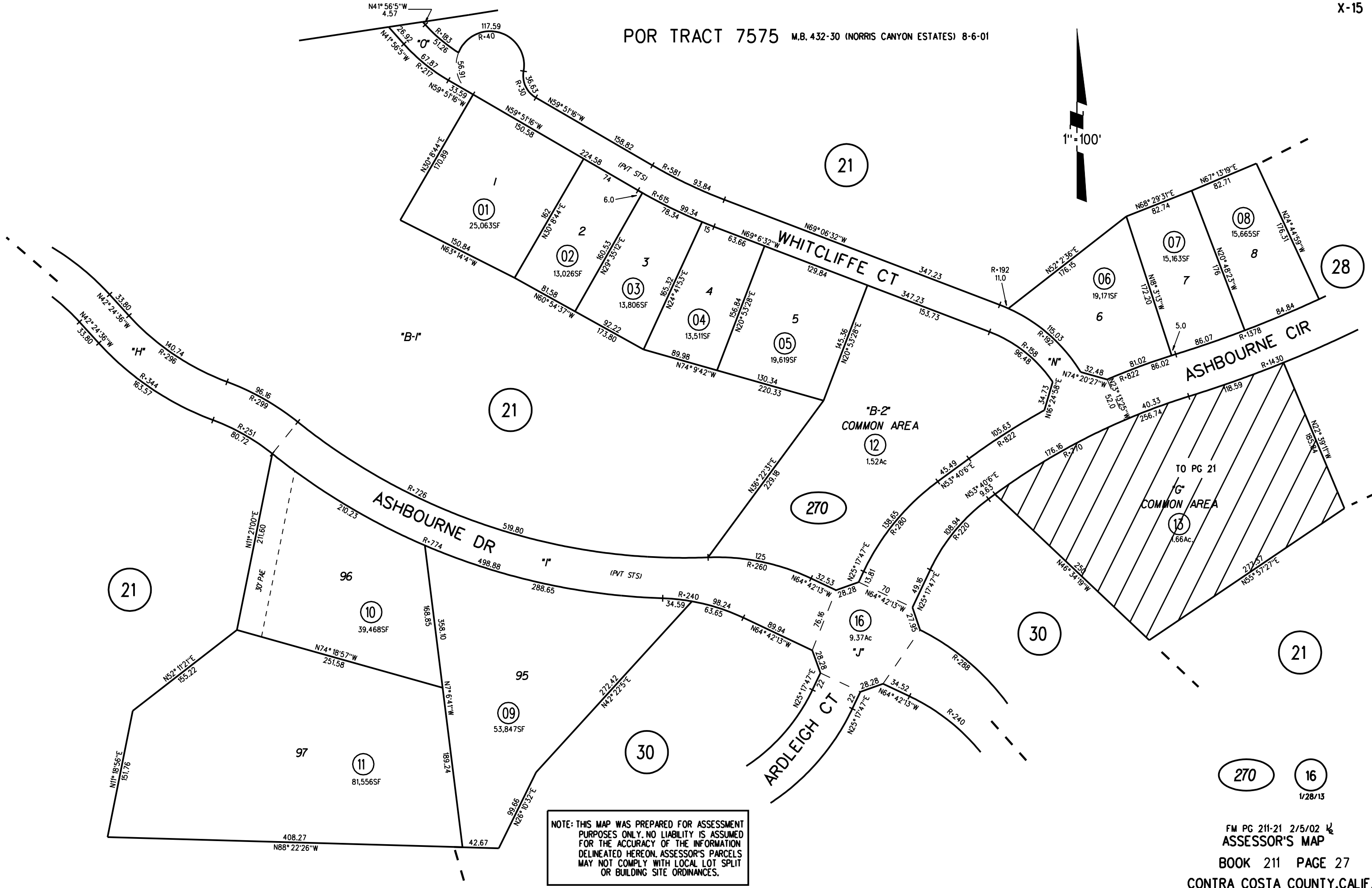
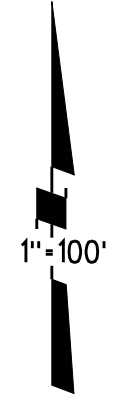
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NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.

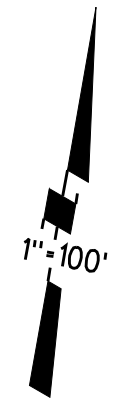
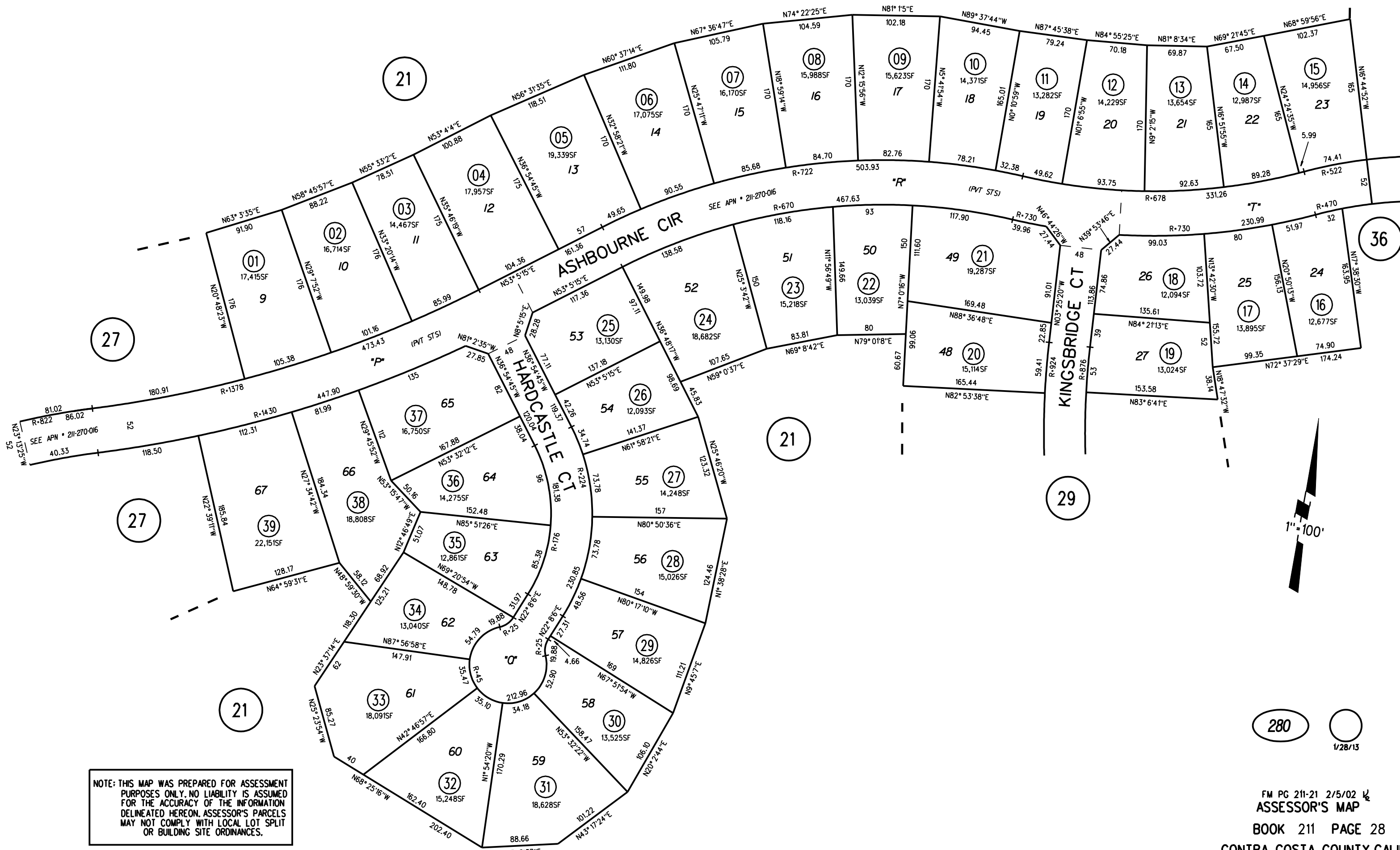
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POR TRACT 7575 M.B. 432-30 (NORRIS CANYON ESTATES) 8-6-01



NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.

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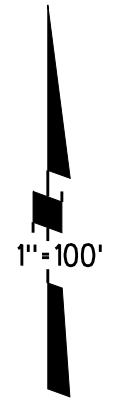
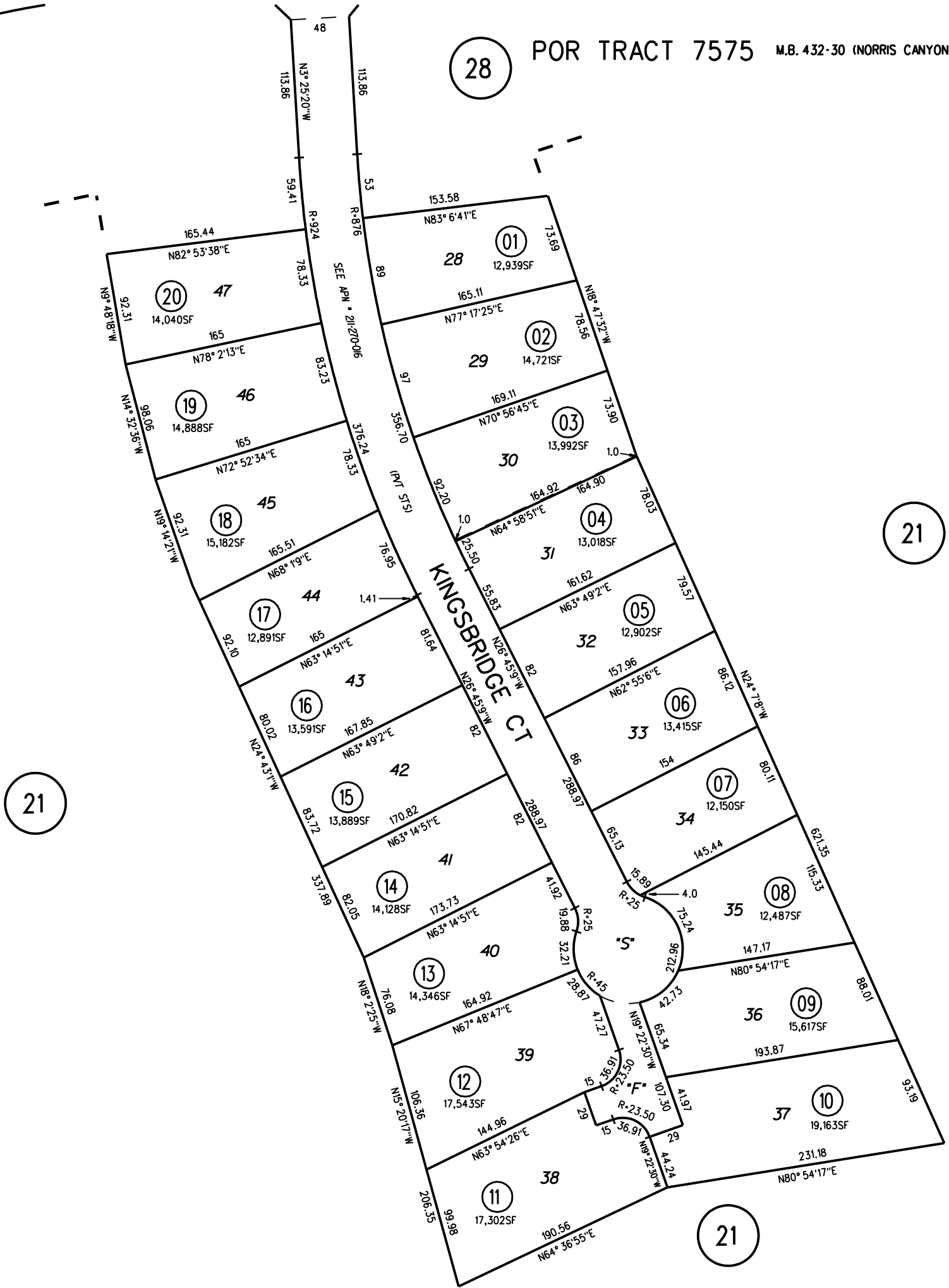
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ASHBOURNE CIR

28 POR TRACT 7575 M.B. 432-30 (NORRIS CANYON ESTATES) 8-6-01

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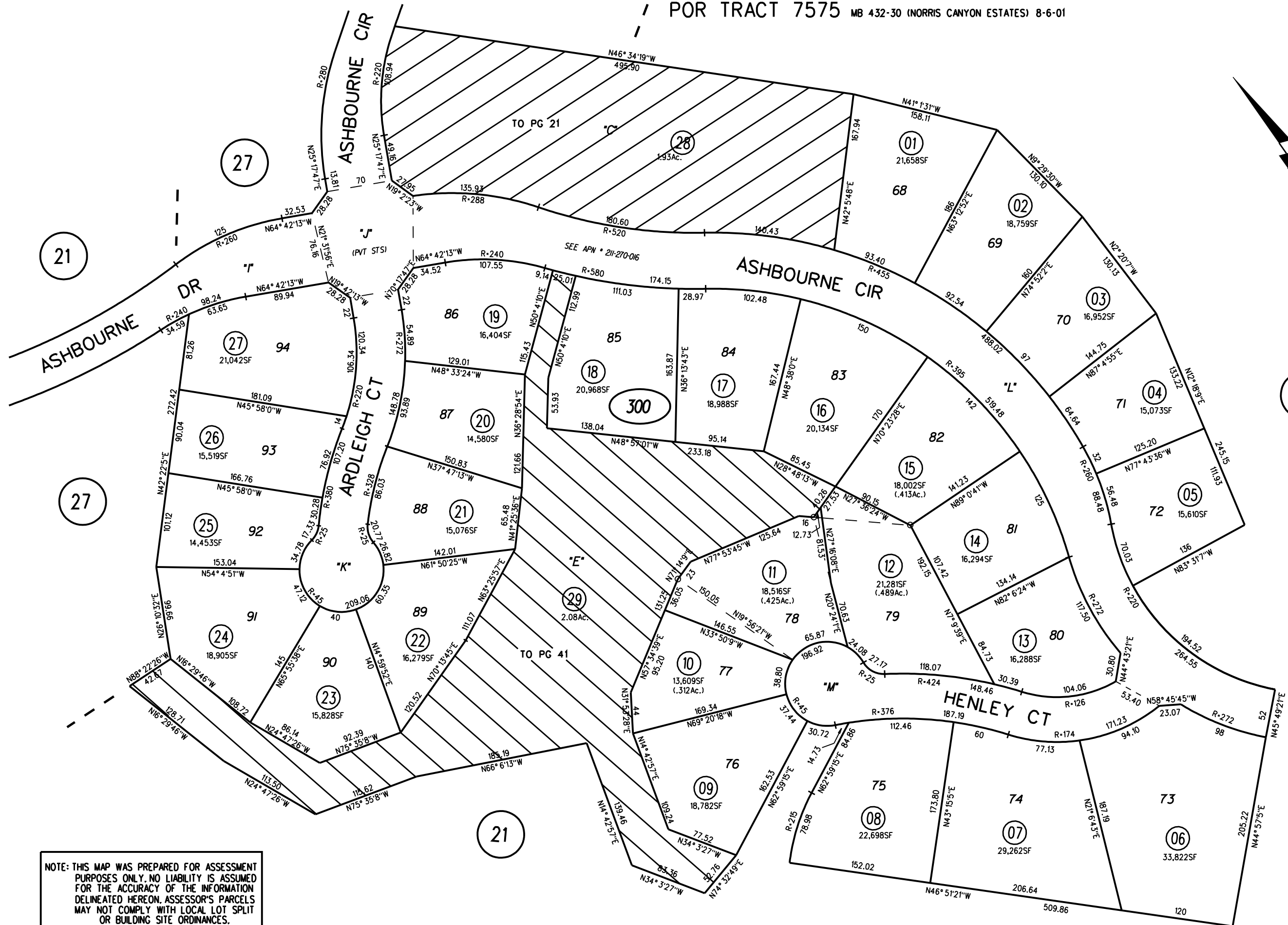
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 ASSESSOR'S MAP
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 CONTRA COSTA COUNTY, CALIF.

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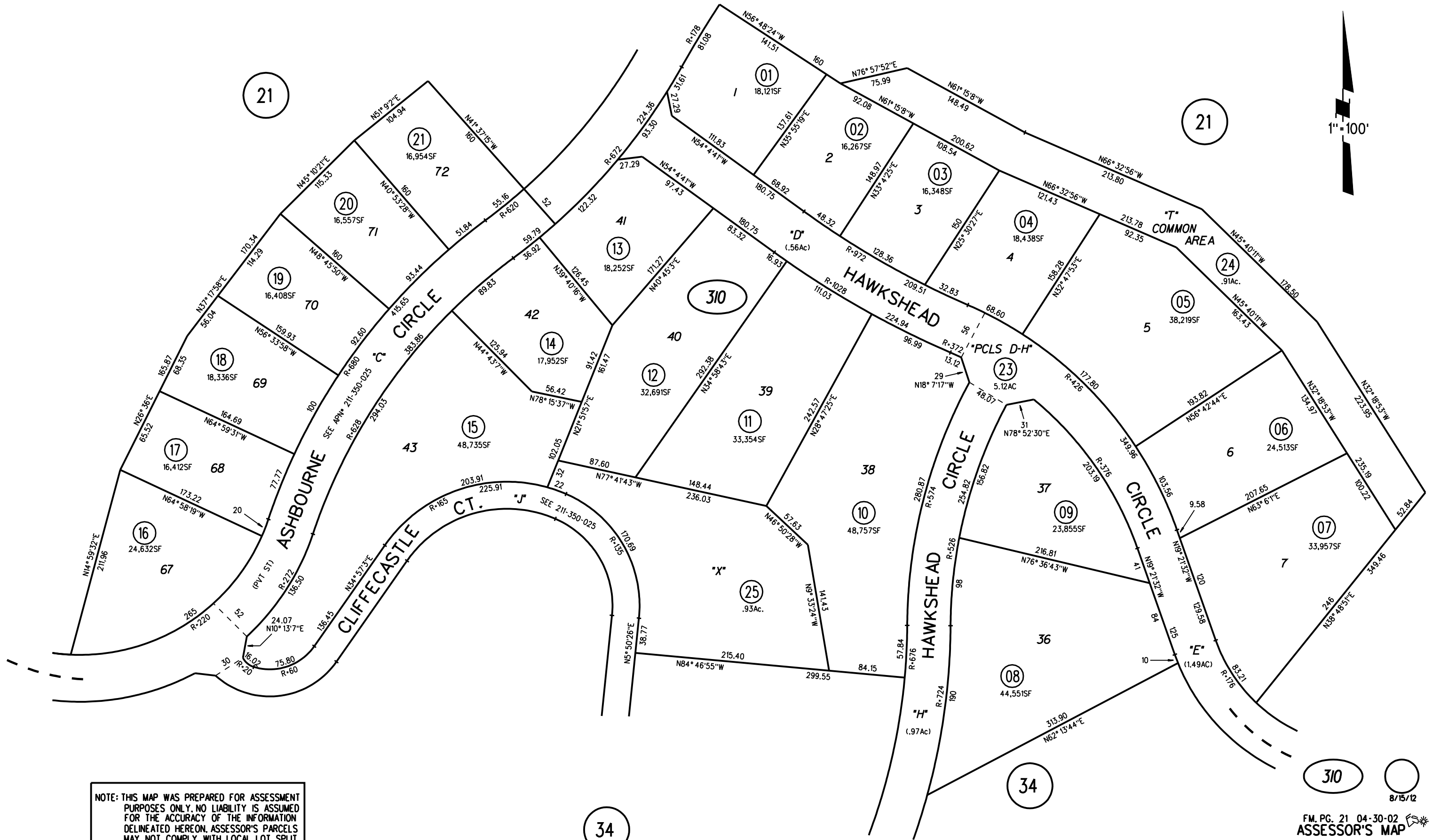
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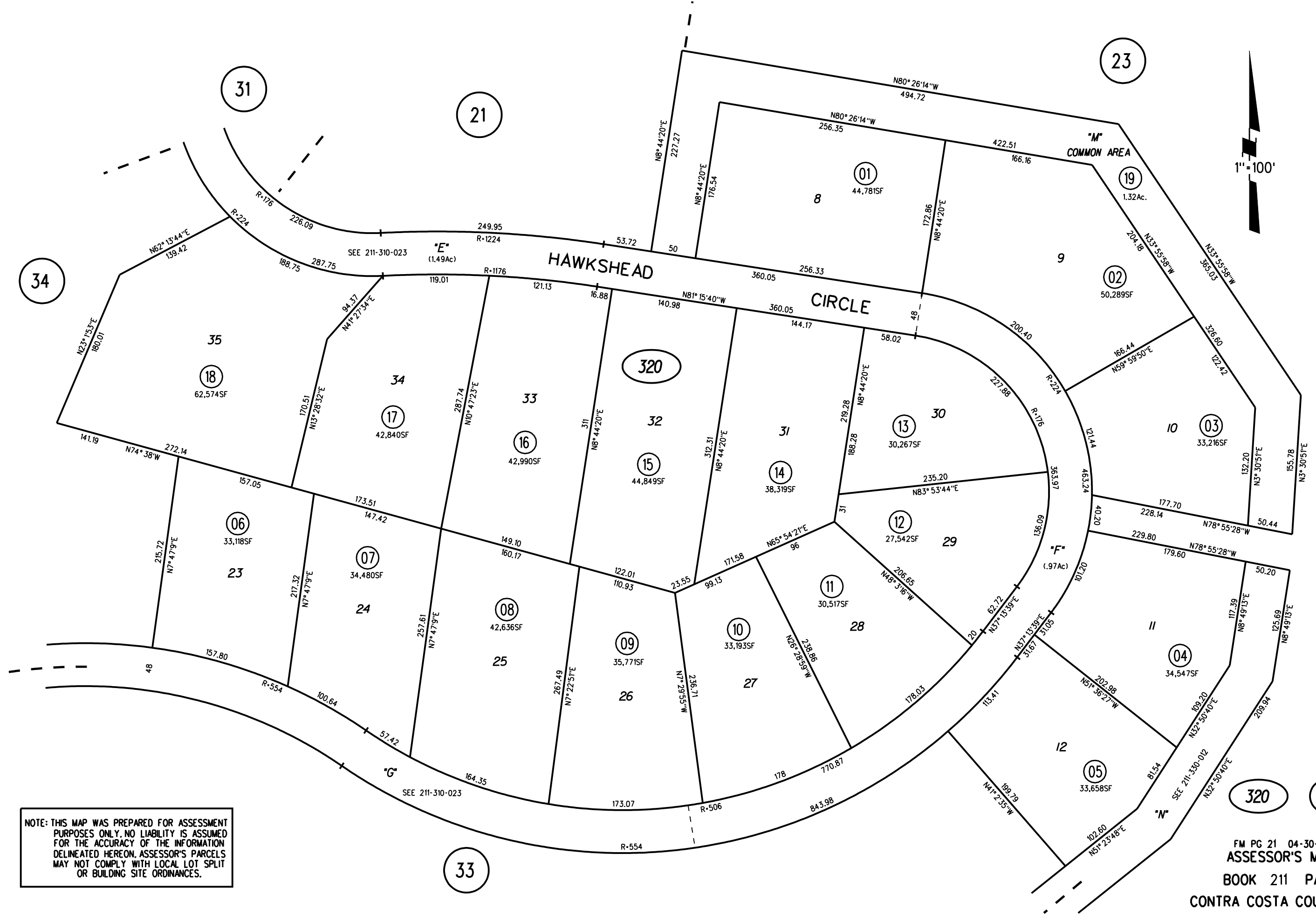
NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.

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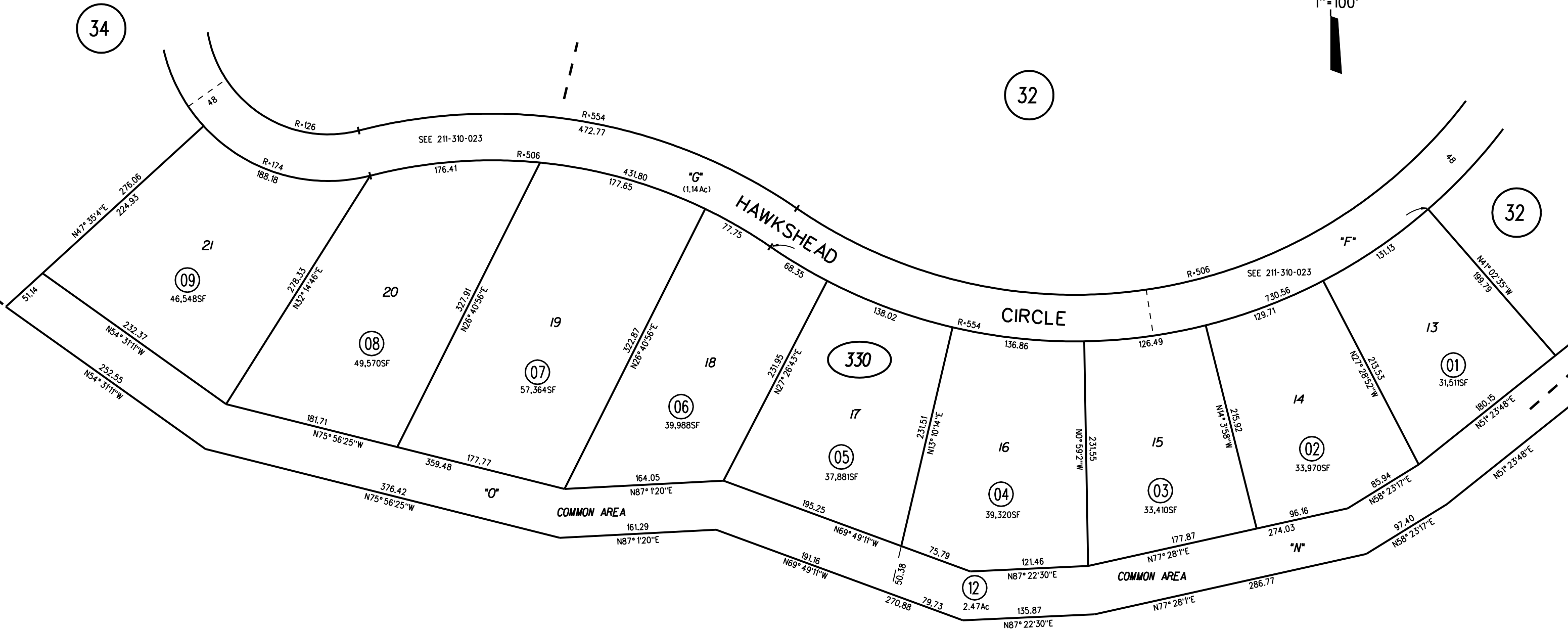
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ASSESSOR'S MAP
 BOOK 211 PAGE 30
 CONTRA COSTA COUNTY, CALIF.



NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.



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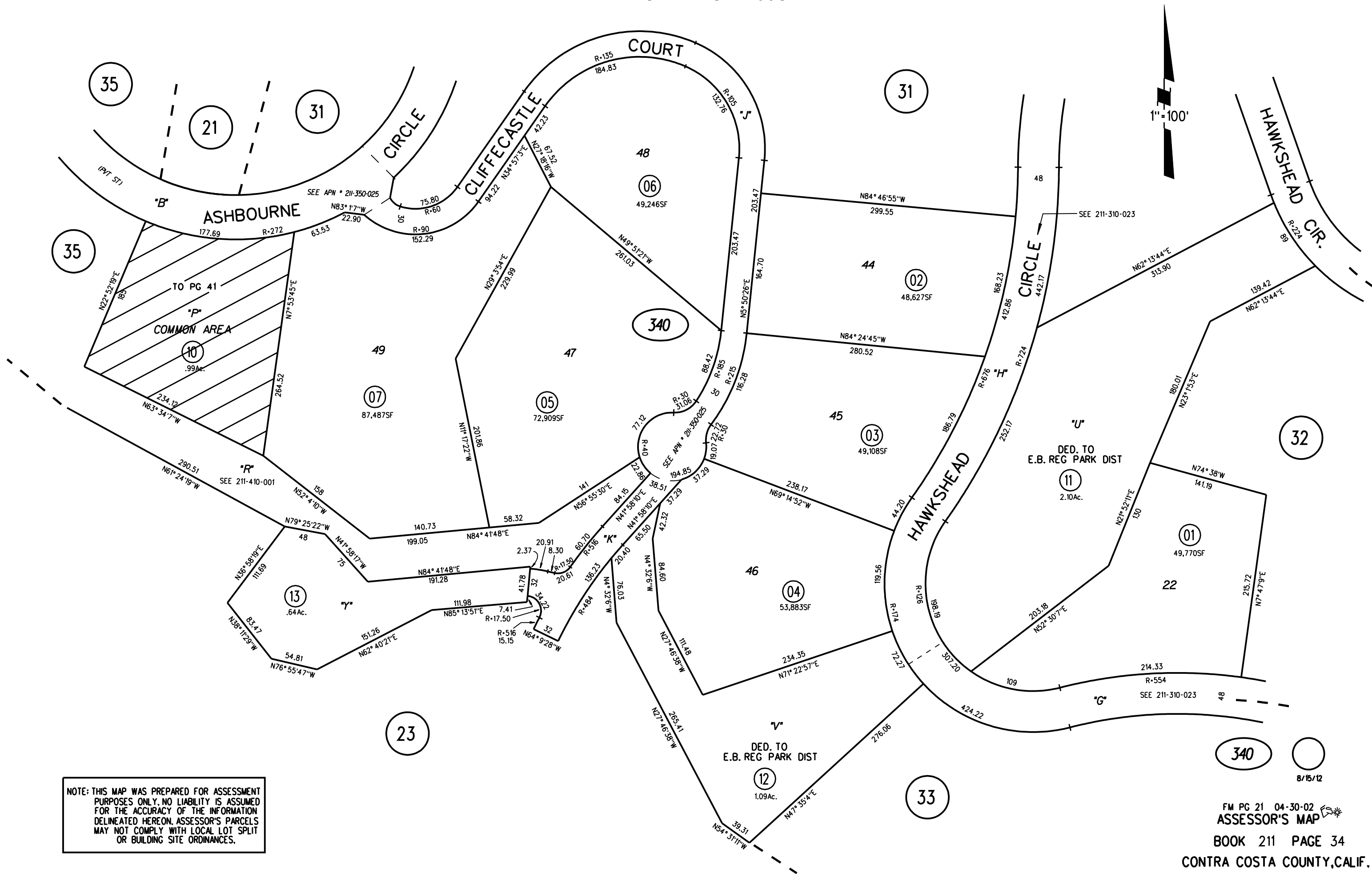
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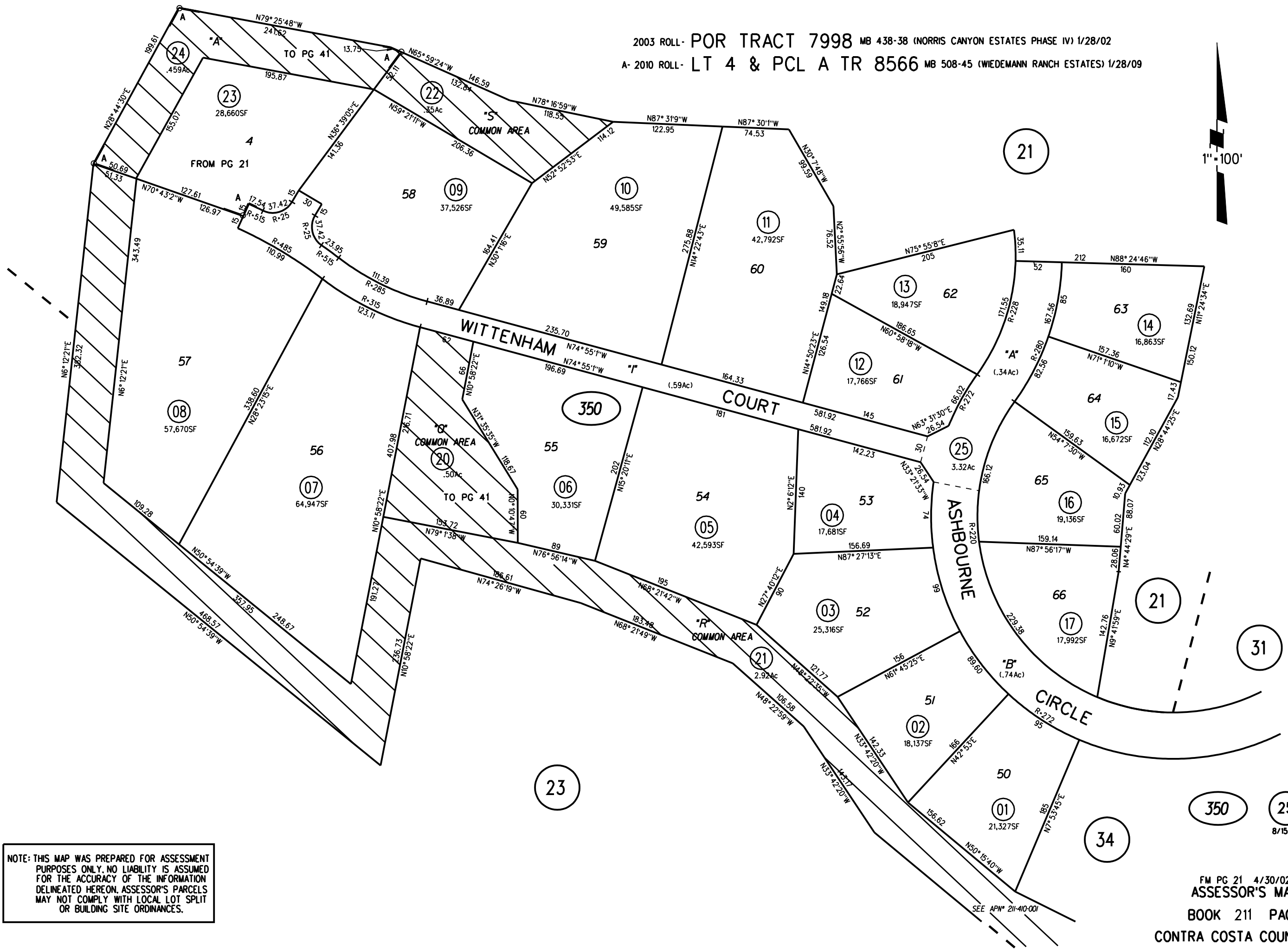
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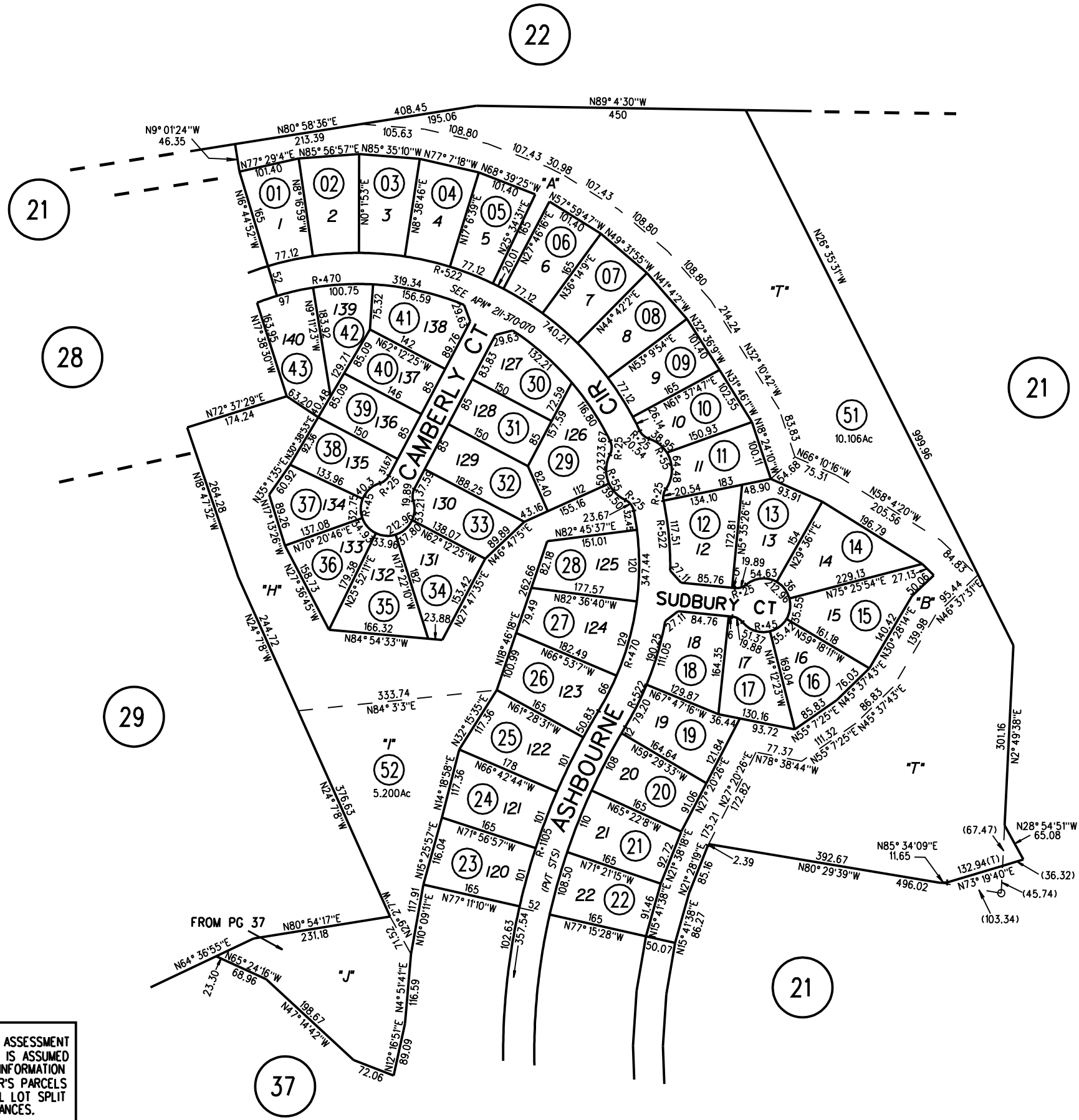
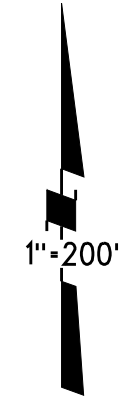


NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.

2003 ROLL - POR TRACT 7998 MB 438-38 (NORRIS CANYON ESTATES PHASE IV) 1/28/02
A - 2010 ROLL - LT 4 & PCL A TR 8566 MB 508-45 (WIEDEMANN RANCH ESTATES) 1/28/09

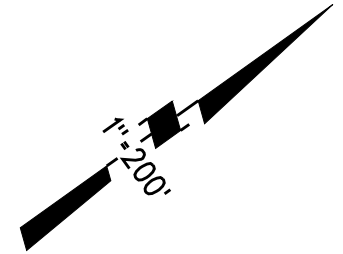
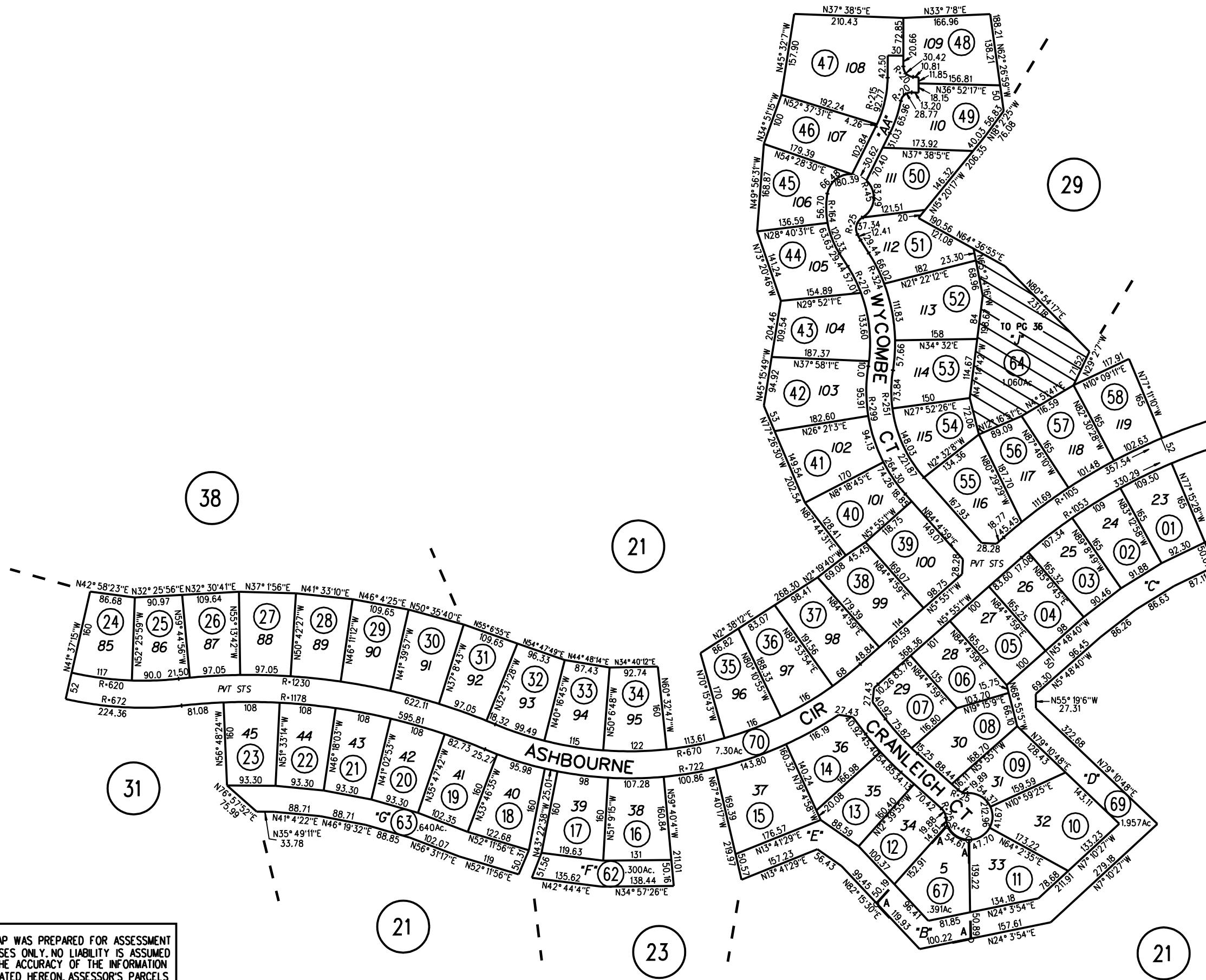


NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.

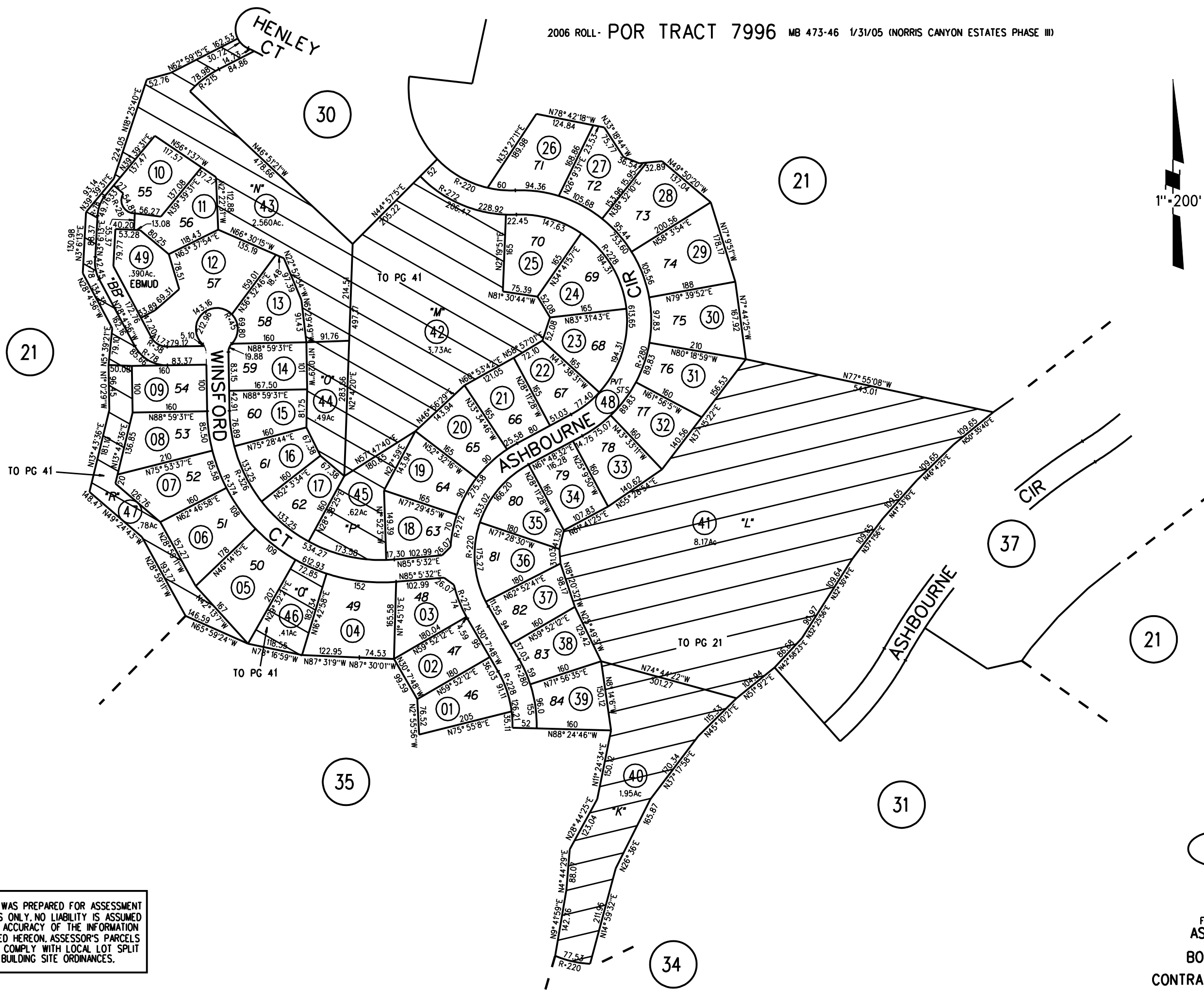
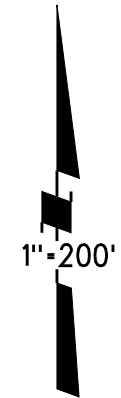


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8/15/12



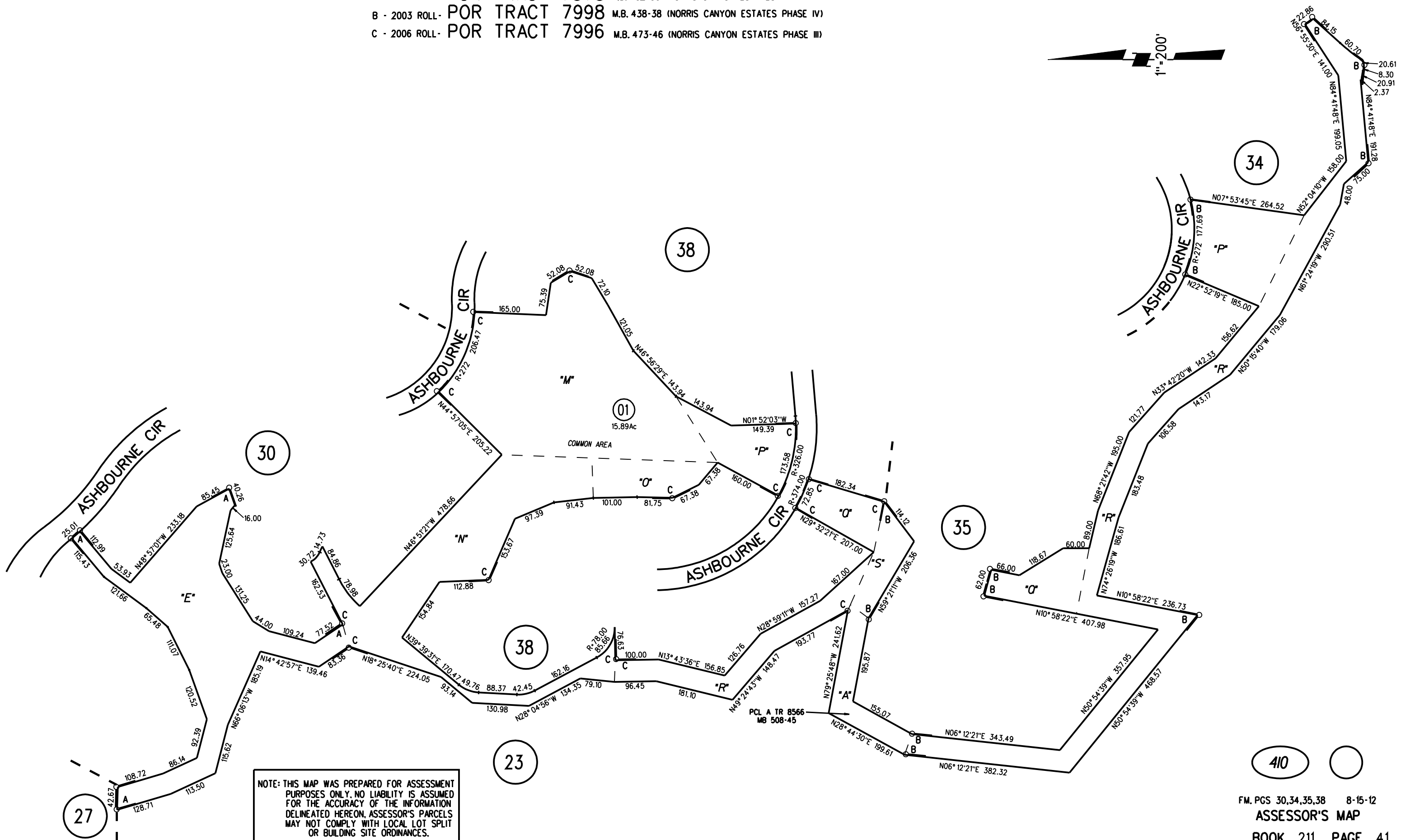
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380
8/15/12

A - 2002 ROLL - POR TRACT 7575 M.B. 432-30 (NORRIS CANYON ESTATES)
 B - 2003 ROLL - POR TRACT 7998 M.B. 438-38 (NORRIS CANYON ESTATES PHASE IV)
 C - 2006 ROLL - POR TRACT 7996 M.B. 473-46 (NORRIS CANYON ESTATES PHASE III)



NOTE: THIS MAP WAS PREPARED FOR ASSESSMENT PURPOSES ONLY. NO LIABILITY IS ASSUMED FOR THE ACCURACY OF THE INFORMATION DELINEATED HEREON. ASSESSOR'S PARCELS MAY NOT COMPLY WITH LOCAL LOT SPLIT OR BUILDING SITE ORDINANCES.



Contra
Costa
County

To: Board of Supervisors
From: Russell Watts, Treasurer-Tax Collector
Date: March 8, 2016

Subject: Treasurer's Quarterly Investment Report as of December 31, 2015

RECOMMENDATION(S):

ACCEPT the Treasurer's Quarterly Investment Report (the "Report") as of December 31, 2015, as recommended by the County Treasurer-Tax Collector.

FISCAL IMPACT:

None

BACKGROUND:

Government Code Section 53646 requires the County Treasurer to prepare quarterly reports to the Board of Supervisors describing County investments including type, par value, cost, and market value. Attached please find the report covering the period October 1, 2015 through December 31, 2015.

As of December 31, 2015, the par value, cost, and market value of Contra Costa County Investment Pool were \$3,223,855,273.60, \$3,224,114,720.65, and \$3,222,613,057.91, respectively. The weighted yield to maturity was 0.64% and the weighted average days to maturity were 228 days.

As of December 31, 2015, The Treasurer's investment portfolio was in compliance with Government Code 53600 et. seq. and with the Treasurer's current investment policy. Historical activities combined with future cash flow projections indicate that the County has sufficient liquidity to meet its obligations for the next six months.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Brice Bins, (925)
957-2848

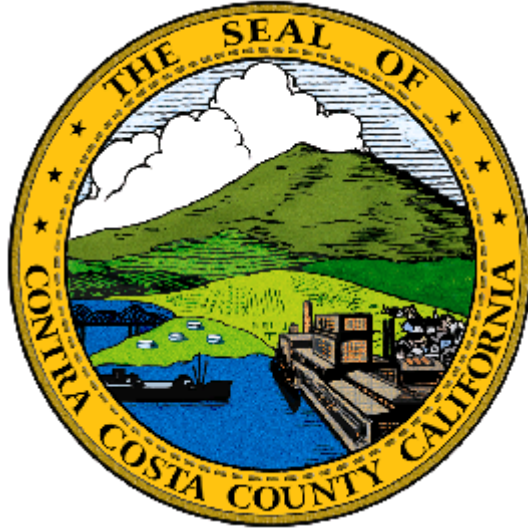
David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: County Administration

ATTACHMENTS

Quarterly Report 12/31/15



CONTRA COSTA COUNTY
TREASURER'S QUARTERLY INVESTMENT REPORT
AS OF DECEMBER 31, 2015

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EXECUTIVE SUMMARY

- The Treasurer's investment portfolio is in compliance with Government Code 53600 et. seq..
- The Treasurer's investment portfolio is in compliance with the Treasurer's current investment policy.
- The Treasurer's investment portfolio has no securities lending, reverse repurchase agreements or derivatives.
- As of 12/31/15, the fair value of the Treasurer's investment portfolio was 99.95% of the cost. More than 80 percent of the portfolio or over \$2.59 billion will mature in less than a year. Historical activities combined with future cash flow projections indicate that the County is able to meet its cash flow needs for the next six months.
- Treasurer's Investment Portfolio Characteristics

Par	\$3,223,855,273.60
Cost	\$3,224,114,720.65
Market Value	\$3,222,613,057.91
Weighted Yield to Maturity	0.64%
Weighted Average Days to Maturity	228 days
Weighted Duration	0.62 year

CONTRA COSTA COUNTY INVESTMENT POOL
As of December 31, 2015

<u>TYPE</u>	<u>PAR VALUE</u>	<u>COST</u>	<u>FAIR VALUE</u>	<u>PERCENT OF TOTAL COST</u>
A. Investments Managed by Treasurer's Office				
1. U.S. Treasuries (STRIPS, Bills, Notes)	\$37,620,000.00	\$37,709,584.04	\$37,498,251.55	1.17%
2. U.S. Agencies				
Federal Home Loan Banks	235,002,000.00	235,686,775.32	234,766,456.59	7.31%
Federal National Mortgage Association	92,526,000.00	93,165,884.29	92,780,150.98	2.89%
Federal Farm Credit Banks	174,036,000.00	173,967,580.30	173,686,024.99	5.40%
Federal Home Loan Mortgage Corporation	116,709,000.00	116,860,276.40	116,442,826.83	3.62%
Municipal Bonds	5,555,000.00	5,784,587.02 ¹	5,784,587.02 ¹	0.18%
Subtotal	623,828,000.00	625,465,103.33	623,460,046.41	19.40%
3. Money Market Instruments				
Commercial Paper	955,477,000.00	953,197,334.12	953,986,318.53	29.56%
Negotiable Certificates of Deposit	794,998,000.00	794,994,780.00	795,613,065.63	24.66%
Medium Term Certificates of Deposit	4,200,000.00	4,200,000.00	4,189,290.00	0.13%
Money Market Accounts	565,318.32	565,318.32	565,318.32	0.02%
Time Deposit	3,335.77	3,335.77	3,335.77	0.00%
Subtotal	1,755,243,654.09	1,752,960,768.21	1,754,357,328.25	54.37%
4. Asset Backed Securities/Mortgage Backed Securities	4,562,799.15	4,571,755.84	4,571,755.84	0.14%
5. Corporate Notes	149,457,000.00	150,021,616.02	149,626,439.26	4.65%
TOTAL (Section A.)	2,570,711,453.24	2,570,728,827.44	2,569,513,821.31	79.73%
B. Investments Managed by Outside Contractors				
1. Local Agency Investment Fund	209,721,646.14	209,721,646.14	209,551,134.68 ²	6.50%
2. Other				
a. EBRCS Bond	2,232,756.90	2,232,756.90	2,232,756.90	0.07%
b. Wells Capital Management	44,255,885.01	44,497,957.86	44,381,812.71 ³	1.38%
c. CalTRUST (Short-Term Fund)	148,462,420.81	148,462,420.81	148,462,420.81	4.60%
Subtotal	194,951,062.72	195,193,135.57	195,076,990.42	6.05%
TOTAL (Section B.)	404,672,708.86	404,914,781.71	404,628,125.10	12.56%
C. Cash	248,471,111.50	248,471,111.50	248,471,111.50	7.71%
⁴GRAND TOTAL (FOR A , B , & C)	\$3,223,855,273.60	\$3,224,114,720.65	\$3,222,613,057.91	100.00%

Notes:

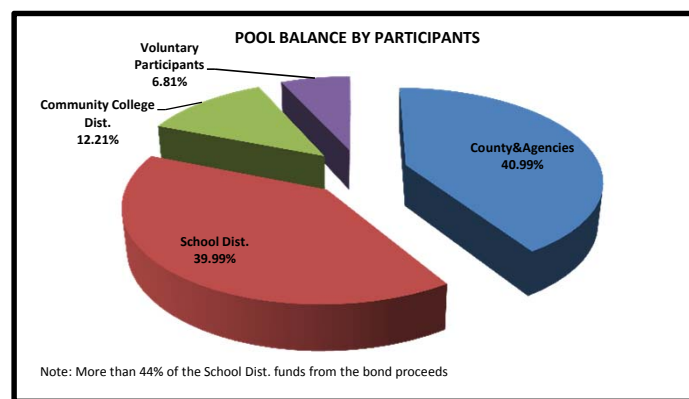
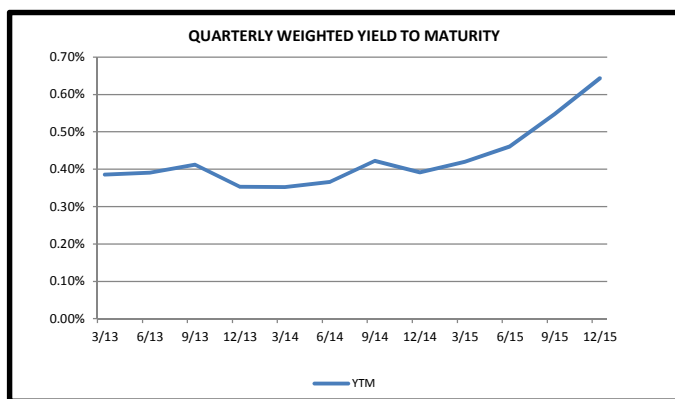
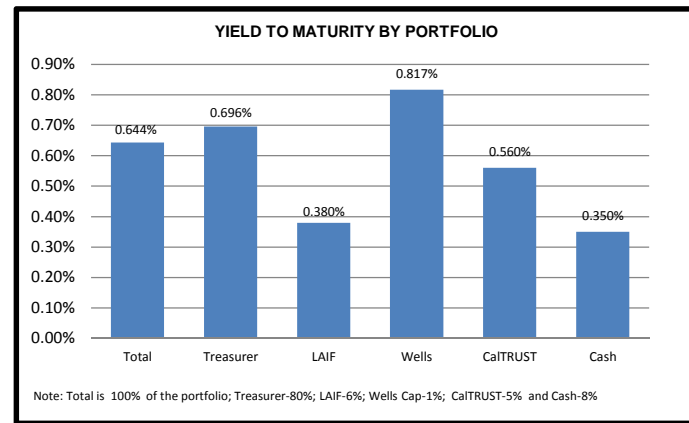
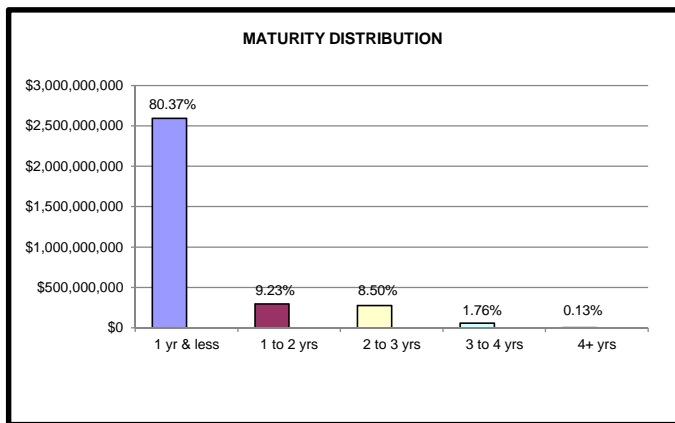
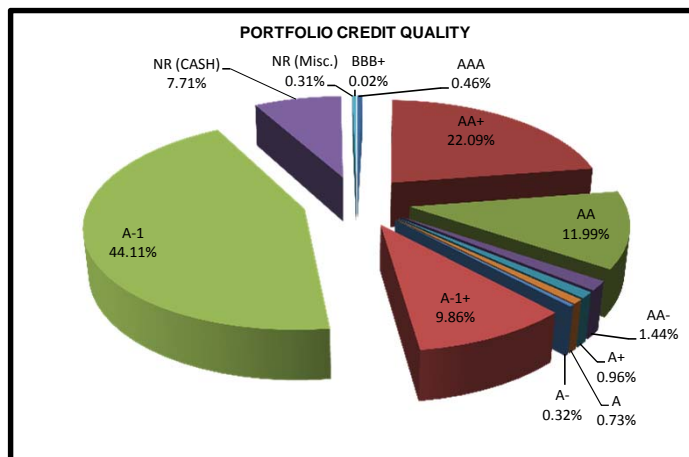
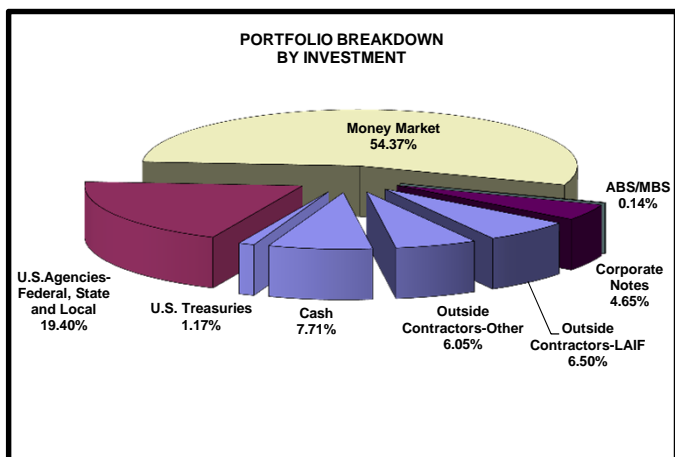
1. Fair Value equals Cost less Purchase Interest

2. Estimated Fair Value

3. Base Market Value plus Accrued Interest

4. Does not include the Futuris Public Entity Trust of the Contra Costa Community College District Retirement Board of Authority

**CONTRA COSTA COUNTY
INVESTMENT POOL
AT A GLANCE
AS OF DECEMBER 31, 2015**

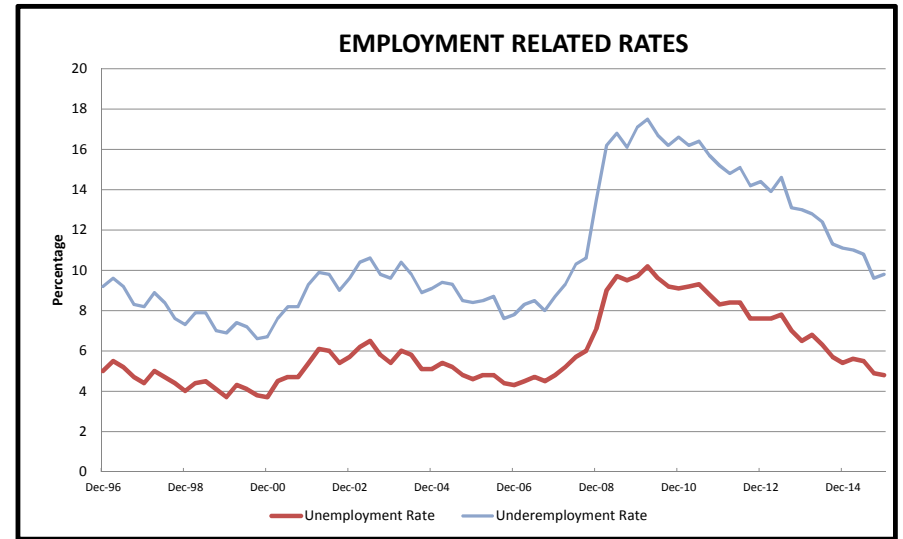
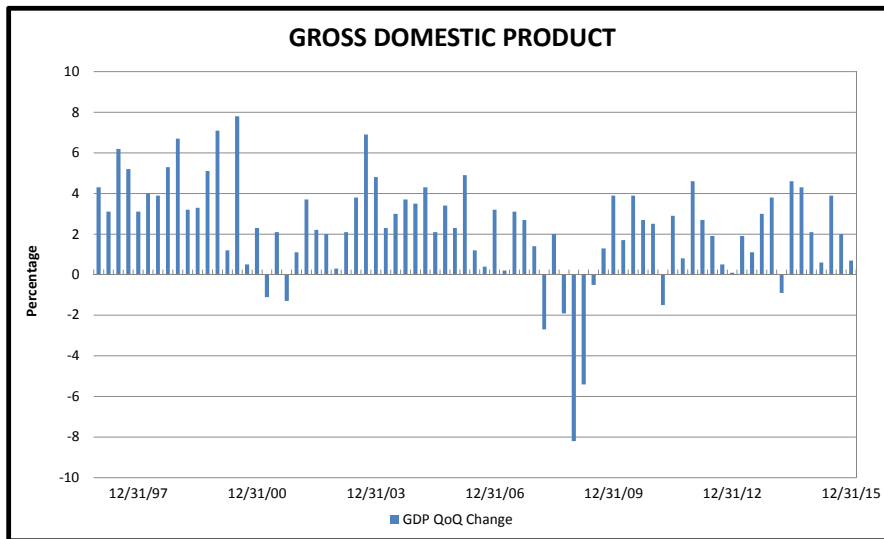
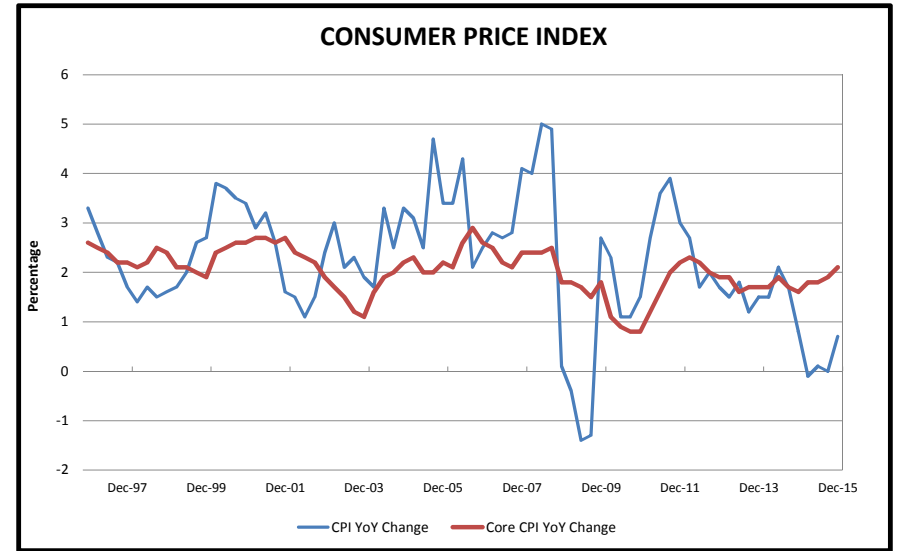
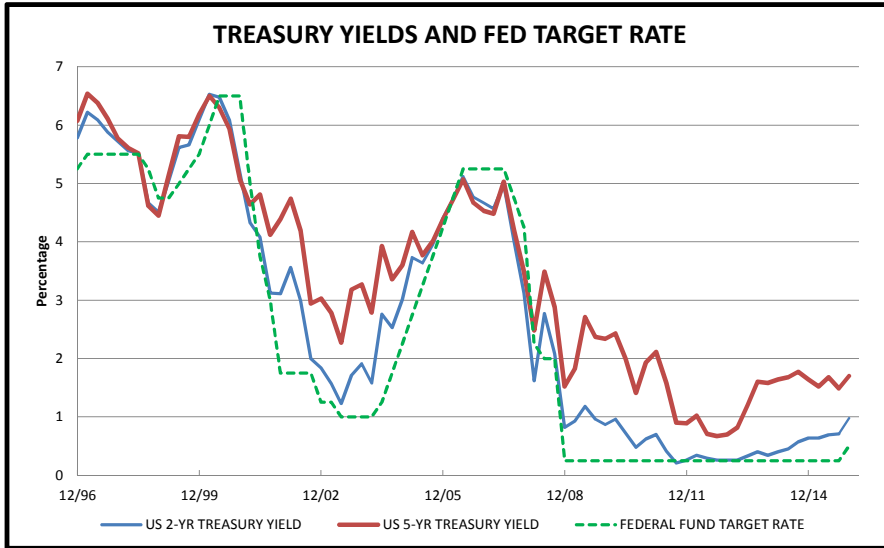


NOTES TO INVESTMENT PORTFOLIO SUMMARY AND AT A GLANCE AS OF DECEMBER 31, 2015

- All report information is unaudited but due diligence was utilized in its preparation.
- There may be slight differences between the portfolio summary page and the attached exhibits and statements for investments managed by outside contractors or trustees. The variance is due to the timing difference in recording transactions associated with outside contracted parties during interim periods and later transmitted to the appropriate county agency and/or the Treasurer's Office. In general, the Treasurer's records reflect booked costs at the beginning of a period.
- All securities and amounts included in the portfolio are denominated in United States Dollars.
- The Contra Costa County investment portfolio maintains Standard & Poor's highest credit quality rating of AAAf and lowest volatility of S1+. The portfolio consists of a large portion of short-term investments with credit rating of A-1/P-1 or better. The majority of the long-term investments in the portfolio are rated AA or better.
- In accordance with Contra Costa County's Investment Policy, the Treasurer's Office has constructed a portfolio that safeguards the principal, meets the liquidity needs and achieves a return. As a result, more than 80% of the portfolio will mature in less than a year with a weighted average maturity of 228 days.

MAJOR MARKET AND ECONOMIC DATA

AS OF DECEMBER 31, 2015



Note:
All data provided by Bloomberg

SECTION III

APPENDIX

A. INVESTMENT PORTFOLIO DETAIL - MANAGED BY TREASURER'S OFFICE



Inventory by Market Value

As Of Date: 12/31/2015

Date Basis: Settlement

Run: 01/11/2016 10:00:56 AM

Reporting Currency: Local

Contra Costa County

Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
<u>Inv Type: 12 TREASURY NOTES</u>								
	Subtotal			1.075011	37,620,000.00	37,498,251.55	91,938.20	5,223.23
				1.014707	37,709,584.04	99.676373		-197,133.94
<u>Inv Type: 22 FEDERAL HOME LOAN BANKS</u>								
	Subtotal			1.027898	234,005,000.00	233,769,618.60	366,300.75	75,160.82
				.893674	234,692,698.75	99.899412		-990,046.52
<u>Inv Type: 23 FEDERAL NATIONAL MORTGAGE ASSO</u>								
	Subtotal			1.178540	92,231,000.00	92,486,233.63	245,992.38	126,531.29
				.952126	92,871,995.46	100.276733		-512,199.79
<u>Inv Type: 26 AGENCY ABS FXD-M 30/360</u>								
	Subtotal			1.616771	1,005,000.00	1,015,046.90	1,354.06	0.00
				1.184831	1,015,046.90	100.999692		0.00
<u>Inv Type: 27 FEDERAL FARM CREDIT BANKS</u>								
	Subtotal			.972891	172,566,000.00	172,222,715.73	288,870.27	27,639.50
				.993017	172,504,526.55	99.801071		-301,405.67
<u>Inv Type: 28 FHLMC DISCOUNT NOTES</u>								
	Subtotal			.240000	249,000.00	248,811.18	441.56	0.00
				.240573	248,407.38	99.924169		-37.76
<u>Inv Type: 29 FHLMC NOTES</u>								
	Subtotal			.986787	116,460,000.00	116,194,015.65	252,110.81	55,445.92
				.919834	116,611,869.02	99.771609		-464,402.23



Inventory by Market Value

As Of Date: 12/31/2015

Date Basis: Settlement

Run: 01/11/2016 10:00:56 AM

Reporting Currency: Local

Contra Costa County

Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
----------	-------------	-------	-------------------	---------------	---------------------------------	---------------------------	----------------------------	---------------------------------

Inv Type: 31 MUNICIPAL BONDS

Subtotal	2.493165	5,555,000.00	5,784,587.02	48,809.80	0.00
	1.286599	5,784,587.02	104.132980		0.00

Inv Type: 41 FNMA DISCOUNT NOTES

Subtotal	.400000	295,000.00	293,917.35	367.11	0.00
	.401514	293,888.83	99.633000		-338.59

Inv Type: 42 FARM CREDIT DISCOUNT NOTES

Subtotal	.472739	1,470,000.00	1,463,309.26	1,754.70	0.00
	.475034	1,463,053.75	99.544848		-1,499.19

Inv Type: 43 FHLB DISCOUNT NOTES

Subtotal	.290000	997,000.00	996,837.99	2,610.21	151.21
	.290853	994,076.57	99.983750		0.00

Inv Type: 50 AUTO ABS FXD-M 30/360

Subtotal	1.066860	2,957,799.15	2,957,529.25	1,354.33	0.00
	1.071196	2,957,529.25	99.990875		0.00

Inv Type: 53 CREDIT ABS FXD-SA 30/360

Subtotal	1.020000	600,000.00	599,179.69	2,193.00	0.00
	1.083588	599,179.69	99.863282		0.00

Inv Type: 71 COMMERCIAL PAPER DISCOUNT

Subtotal	.531248	955,477,000.00	953,986,318.53	498,278.19	320,684.00
	.532704	953,197,334.12	99.843986		-29,977.78



Inventory by Market Value

As Of Date: 12/31/2015

Date Basis: Settlement

Run: 01/11/2016 10:00:56 AM

Reporting Currency: Local

Contra Costa County

Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
<u>Inv Type: 72 NEGOTIABLE CERT OF DEPOSIT</u>								
	Subtotal			.551735	782,883,000.00	783,501,285.63	472,624.34	618,285.63
				.551735	782,883,000.00	100.078975		0.00
<u>Inv Type: 73 CORP NOTE FLTG RT ACT- 360</u>								
	Subtotal			.515733	10,500,000.00	10,499,780.00	12,753.67	47,550.00
				2.298200	10,452,450.00	99.997905		-220.00
<u>Inv Type: 74 CERT OF DEPOSIT MEDIUM TERM</u>								
	Subtotal			.951786	4,200,000.00	4,189,290.00	8,987.92	0.00
				.951786	4,200,000.00	99.745000		-10,710.00
<u>Inv Type: 75 CORPORATE NOTES</u>								
	Subtotal			1.519862	138,957,000.00	139,126,659.26	602,098.88	193,048.14
				1.271249	139,569,166.02	100.122095		-591,373.48
<u>Inv Type: 79 YCD/NCD 30/360</u>								
	Subtotal			1.265482	8,600,000.00	8,596,780.00	23,211.69	0.00
				1.278261	8,596,780.00	99.962558		0.00
<u>Inv Type: 80 YCD / NCD QTR FLTR</u>								
	Subtotal			.906028	3,515,000.00	3,515,000.00	3,707.48	0.00
				.906028	3,515,000.00	100.000000		0.00
<u>Inv Type: 99 MONEY MARKET ACCOUNTS</u>								
	Subtotal			.000000	565,318.32	565,318.32	0.00	0.00
				.000000	565,318.32	100.000000		0.00



Inventory by Market Value

As Of Date: 12/31/2015

Date Basis: Settlement

Run: 01/11/2016 10:00:56 AM

Reporting Currency: Local

Contra Costa County

Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
Inv Type: 1000 TD WITH CALC CODE OF CSC-00								
Subtotal				.600000	3,335.77	3,335.77	32.63	0.00
				.600000	3,335.77	100.000000		0.00
Grand Total	Count 393			.727041	2,570,711,453.24	2,569,513,821.31	2,925,791.98	1,469,719.74
				.695505	2,570,728,827.44	99.953412		-3,099,344.95



Inventory by Market Value

As Of Date: 12/31/2015

Date Basis: Settlement

Run: 01/11/2016 10:00:56 AM

Reporting Currency: Local

Contra Costa County

Assets (000's)	Current Par	Current Book	Market	MKT/Book	Un Gain/Loss	Yield
U.S. TREASURIES	37,620.00	37,709.58	37,498.25	99.44 %	-191.91	1.01 %
U.S. AGENCIES	618,273.00	619,680.52	617,675.46	99.68 %	-1,985.00	0.93 %
MUNICIPALS	5,555.00	5,784.59	5,784.59	100.00 %	0.00	1.29 %
COMMERCIAL PAPER	955,477.00	953,197.33	953,986.32	100.08 %	290.71	0.53 %
NCD/YCD	799,198.00	799,194.78	799,802.36	100.08 %	607.58	0.56 %
CORPORATE NOTES	149,457.00	150,021.62	149,626.44	99.74 %	-351.00	1.34 %
MBS/ABS	4,562.80	4,571.76	4,571.76	100.00 %	0.00	1.10 %
TIME DEPOSIT	3.34	3.34	3.34	100.00 %	0.00	0.60 %
Money Market Accounts	565.32	565.32	565.32	100.00 %	0.00	0.00 %
Totals(000's)	2,570,711.45	2,570,728.83	2,569,513.82	99.95 %	-1,629.63	0.70 %

Asset Allocation



Inventory by Market Value

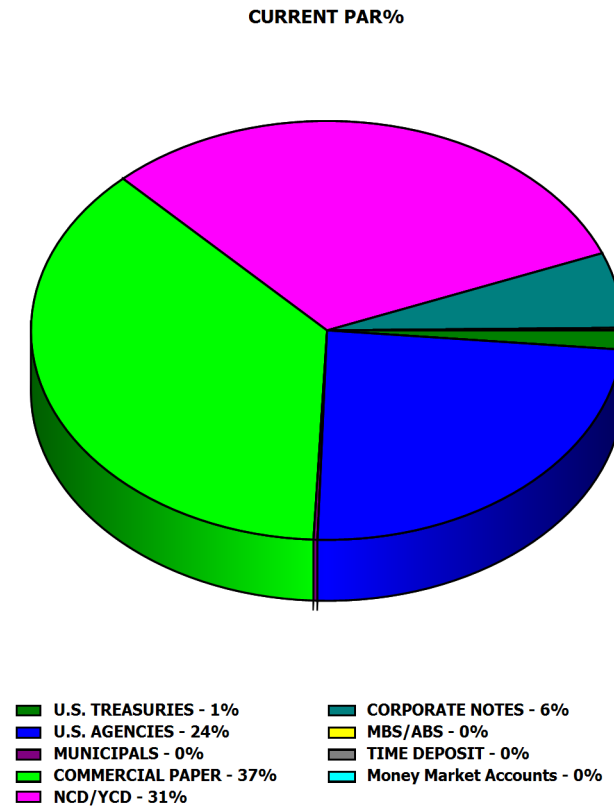
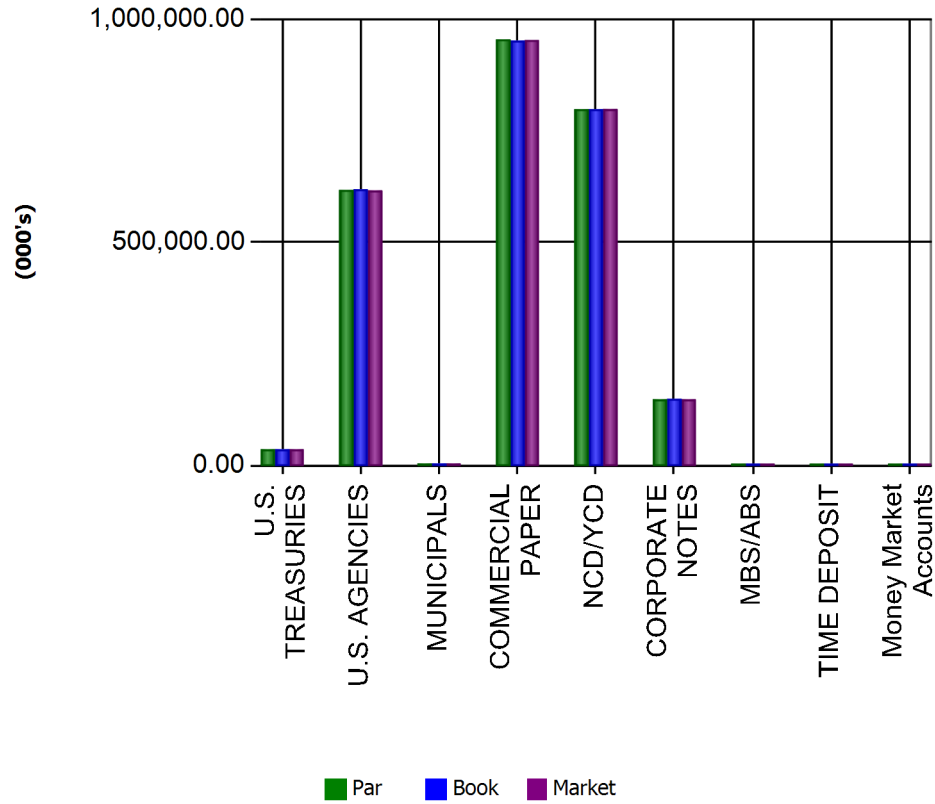
As Of Date: 12/31/2015

Date Basis: Settlement

Run: 01/11/2016 10:00:56 AM

Reporting Currency: Local

Contra Costa County





Inventory by Market Value

As Of Date: 12/31/2015

Date Basis: Settlement

Run: 01/11/2016 09:57:34 AM

Reporting Currency: Local

Contra Costa County

Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
81994	CCCCD GOV US TREASU	912828PK0	05/09/2014	2.250000	140,000.00	143,095.40	275.41	57.17
			11/30/2017	1.165963	143,038.23	102.211000	SUNGARD	0.00
82003	CCCSIG GOV US TREAS	912828SY7	06/05/2014	.625000	365,000.00	363,390.35	199.45	0.00
			05/31/2017	.818703	363,574.72	99.559000	SUNGARD	-184.37
82056	CCCCD GOV US TREAS	912828VQ0	07/31/2014	1.375000	270,000.00	271,034.10	1,553.61	1,557.92
			07/31/2018	1.446611	269,476.18	100.383000	SUNGARD	0.00
82136	CCCCD GOV US TREAS	912828C65	10/06/2014	1.625000	70,000.00	70,437.50	289.03	343.30
			03/31/2019	1.589638	70,094.20	100.625000	SUNGARD	0.00
82181	CCCCD GOV US TREASU	912828KQ2	11/03/2014	3.125000	95,000.00	100,221.20	383.33	0.00
			05/15/2019	1.503637	101,724.22	105.496000	SUNGARD	-1,503.02
82182	CCCSIG GOV US TREAS	912828TB6	11/03/2014	.750000	2,860,000.00	2,851,076.80	58.93	0.00
			06/30/2017	.788660	2,857,580.43	99.688000	SUNGARD	-6,503.63
82377	CCCCD GOV US TREASU	912828VQ0	02/04/2015	1.375000	85,000.00	85,325.55	489.09	0.00
			07/31/2018	.916641	86,195.31	100.383000	SUNGARD	-869.76
82402	CCCCD GOV US TREASU	912828SH4	02/27/2015	1.375000	125,000.00	124,917.50	580.79	0.00
			02/28/2019	1.336788	125,185.55	99.934000	SUNGARD	-268.05
82403	CCCSIG GOV US TREAS	912828UU2	02/27/2015	.750000	3,500,000.00	3,468,675.00	6,670.08	3,264.84
			03/31/2018	1.076208	3,465,410.16	99.105000	SUNGARD	0.00
82460	CCCSIG GOV US TREAS	912828F39	03/27/2015	1.750000	360,000.00	362,433.60	1,600.82	0.00
			09/30/2019	1.403864	365,428.13	100.676000	SUNGARD	-2,994.53
82461	CCCSIG GOV US TREAS	912828SM3	03/27/2015	1.000000	1,430,000.00	1,432,230.80	3,633.61	0.00
			03/31/2017	.622165	1,437,700.61	100.156000	SUNGARD	-5,469.81
82512	RM GOV US TREASURY	912828ST8	04/15/2015	1.250000	5,000,000.00	4,968,150.00	10,645.60	0.00
			04/30/2019	1.138894	5,021,875.00	99.363000	SUNGARD	-53,725.00
82544	CCCSIG GOV US TREAS	912828UU2	04/30/2015	.750000	515,000.00	510,390.75	981.46	0.00
			03/31/2018	.874966	513,232.55	99.105000	SUNGARD	-2,841.80
82577	CCCCD GOV US TREAS	912828ND8	05/29/2015	3.500000	240,000.00	258,019.20	1,084.62	0.00
			05/15/2020	1.503393	262,828.13	107.508000	SUNGARD	-4,808.93
82597	CCCSIG GOV US TREAS	912828QY9	07/06/2015	2.250000	945,000.00	969,655.05	8,897.89	0.00
			07/31/2018	1.111402	976,449.50	102.609000	SUNGARD	-6,794.45
82670	CCCSIG GOV US TREAS	912828K25	08/21/2015	.750000	4,000,000.00	3,961,240.00	6,393.44	0.00
			04/15/2018	.921899	3,982,031.25	99.031000	SUNGARD	-20,791.25
82679	CCCCD GOV US TREASU	912828VJ6	09/03/2015	1.875000	195,000.00	196,363.05	10.04	0.00
			06/30/2020	1.499897	198,389.65	100.699000	SUNGARD	-2,026.60
82710	CCCCD GOV US TREASU	912828UU2	09/29/2015	.750000	1,700,000.00	1,684,785.00	3,239.74	0.00



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			03/31/2018	.860670	1,695,351.56	99.105000	SUNGARD	-10,566.56
82711	CCCCD GOV US TREASU	912828SM3	09/29/2015	1.000000	1,680,000.00	1,682,620.80	4,268.85	0.00
			03/31/2017	.545225	1,691,418.75	100.156000	SUNGARD	-8,797.95
82754	CCCSIG GOV US TREAS	912828RH5	10/14/2015	1.375000	3,920,000.00	3,932,269.60	13,695.90	0.00
			09/30/2018	.940653	3,971,674.25	100.313000	SUNGARD	-37,342.90
82755	CCCCD GOV US TREASU	912828F39	10/14/2015	1.750000	185,000.00	186,250.60	822.64	0.00
			09/30/2019	1.230157	188,831.07	100.676000	SUNGARD	-2,456.63
82786	CCCCD GOV US TREAS	912828UQ1	11/09/2015	1.250000	120,000.00	118,035.60	506.87	0.00
			02/29/2020	1.550966	118,788.46	98.363000	SUNGARD	-464.40
82789	CCCSIG GOV US TREAS	912828WD8	11/09/2015	1.250000	2,000,000.00	1,997,180.00	4,258.24	0.00
			10/31/2018	1.148190	2,006,555.63	99.859000	SUNGARD	-8,757.50
82819	CCCSIG GOV US TREAS	912828L40	12/04/2015	1.000000	6,250,000.00	6,205,562.50	18,543.95	0.00
			09/15/2018	1.151627	6,237,857.35	99.289000	SUNGARD	-18,558.59
82820	CCCCD GOV US TREASU	912828VF4	12/04/2015	1.375000	195,000.00	192,197.85	234.42	0.00
			05/31/2020	1.560386	193,467.78	98.563000	SUNGARD	-1,240.63
82877	CCCSIG GOV US TREAS	912828UU2	12/30/2015	.750000	1,375,000.00	1,362,693.75	2,620.39	0.00
			03/31/2018	1.148216	1,365,425.37	99.105000	SUNGARD	-167.58
		Subtotal		1.075011	37,620,000.00	37,498,251.55	91,938.20	5,223.23
				1.014707	37,709,584.04	99.676373		-197,133.94

Inv Type: 22 FEDERAL HOME LOAN BANKS

80648	RM GOV FHLB NOTES	313373SZ6	06/11/2012	2.125000	1,895,000.00	1,907,222.75	2,349.01	0.00
			06/10/2016	.760030	1,996,647.80	100.645000	SUNGARD	-89,425.05
80662	RM GOV FHLB NOTES	313373SZ6	06/20/2012	2.125000	2,840,000.00	2,858,318.00	3,520.42	0.00
			06/10/2016	.745089	2,993,104.40	100.645000	SUNGARD	-134,786.40
80907	WT GOV FHLB NOTES	313380EC7	10/10/2012	.750000	170,000.00	168,915.40	400.22	0.00
			09/08/2017	.790076	169,671.90	99.362000	SUNGARD	-756.50
82000	RM GOV FHLB NOTES	313379VE6	06/02/2014	1.010000	2,875,000.00	2,876,638.75	967.92	0.00
			06/19/2017	.850065	2,888,800.00	100.057000	SUNGARD	-12,161.25
82012	RM GOV FEDERAL HOME	3130A2C61	06/13/2014	.375000	2,500,000.00	2,498,475.00	546.87	3,425.17
			06/10/2016	.475000	2,495,049.83	99.939000	SUNGARD	0.00
82038	RM GOV FHLB NOTES	313379DT3	07/15/2014	1.250000	6,205,000.00	6,200,098.05	4,955.38	27,984.55
			06/08/2018	1.390090	6,172,113.50	99.921000	SUNGARD	0.00
82053	RM GOV FHLB NOTES	313379DT3	07/28/2014	1.250000	3,000,000.00	2,997,630.00	2,395.83	15,630.00
			06/08/2018	1.410094	2,982,000.00	99.921000	SUNGARD	0.00
82122	GOV FHLB NOTES	3130A33J1	09/19/2014	1.200000	5,000,000.00	5,013,150.00	17,000.00	13,150.00



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					Current Book				Unrealized Loss	
			09/19/2017	1.200000		5,000,000.00	100.263000	SUNGARD		0.00
82187	GOV FHLB NOTES	3130A3CE2	11/05/2014	.625000		10,000,000.00	9,995,300.00	13,368.06		0.00
			10/14/2016	.572077		10,010,200.00	99.953000	SUNGARD		-14,900.00
82189	RM GOV FHLB NOTES	3130A3EW0	11/07/2014	.500000		2,500,000.00	2,494,275.00	520.82		550.00
			12/16/2016	.620043		2,493,725.00	99.771000	SUNGARD		0.00
82255	GOV FHLB NOTES	3130A3PC2	12/12/2014	.650000		5,000,000.00	4,989,750.00	1,715.28		0.00
			12/12/2016	.720127		4,993,050.00	99.795000	SUNGARD		-3,300.00
82256	RM GOV FHLB NOTES	3130A3Q64	12/12/2014	.700000		3,500,000.00	3,496,815.00	1,293.06		0.00
			12/12/2016	.670252		3,502,065.00	99.909000	SUNGARD		-5,250.00
82271	GOV FHLB NOTES	3130A3Q64	12/23/2014	.700000		5,000,000.00	4,995,450.00	1,847.22		2,300.00
			12/12/2016	.770206		4,993,150.00	99.909000	SUNGARD		0.00
82275	GOV FHLB NOTES	3130A3TA2	12/30/2014	1.000000		10,000,000.00	9,998,700.00	37,777.78		0.00
			08/15/2017	1.000000		10,000,000.00	99.987000	SUNGARD		-1,300.00
82280	RM GOV FHLB NOTES	3130A3HF4	12/29/2014	1.125000		4,500,000.00	4,497,705.00	3,234.39		4,905.00
			12/08/2017	1.180284		4,492,800.00	99.949000	SUNGARD		0.00
82281	GOV FHLB NOTES	3130A3UR3	01/06/2015	.750000		10,000,000.00	10,005,200.00	36,458.33		5,200.00
			01/06/2017	.750000		10,000,000.00	100.052000	SUNGARD		0.00
82315	CCCCD GOV FHLB NOTE	313371PV2	01/21/2015	1.625000		6,165,000.00	6,210,621.00	6,122.18		0.00
			12/09/2016	.571735		6,286,450.50	100.740000	SUNGARD		-75,829.50
82316	CCCCD GOV FHLB NOTE	3130A2T97	01/21/2015	.500000		765,000.00	763,653.60	988.13		0.00
			09/28/2016	.470201		765,382.50	99.824000	SUNGARD		-1,728.90
82321	CCCCD GOV FHLB NOTE	3130A2T97	01/21/2015	.500000		11,470,000.00	11,449,812.80	14,815.42		0.00
			09/28/2016	.470153		11,475,735.00	99.824000	SUNGARD		-25,922.20
82322	CCCCD GOV FHLB NOTE	313371PV2	01/21/2015	1.625000		19,275,000.00	19,417,635.00	19,141.17		0.00
			12/09/2016	.571735		19,654,717.50	100.740000	SUNGARD		-237,082.50
82400	RM GOV FHLB NOTES	3133782M2	02/25/2015	1.500000		5,000,000.00	4,996,750.00	23,541.67		0.00
			03/08/2019	1.415035		5,016,600.00	99.935000	SUNGARD		-19,850.00
82408	GOV FHLB NOTES	3130A4GJ5	03/04/2015	1.125000		10,000,000.00	9,973,900.00	20,625.00		0.00
			04/25/2018	1.155323		9,990,700.00	99.739000	SUNGARD		-16,800.00
82419	GOV FHLB NOTES	3130A4K27	03/09/2015	.720000		10,000,000.00	9,978,300.00	23,000.00		0.00
			03/06/2017	.802655		9,983,700.00	99.783000	SUNGARD		-5,400.00
82437	RM GOV FHLB NOTES	3133782N0	03/16/2015	.875000		3,000,000.00	2,997,870.00	8,093.75		0.00
			03/10/2017	.739127		3,008,010.00	99.929000	SUNGARD		-10,140.00
82438	RM GOV FHLB NOTES	313382K85	03/16/2015	.450000		1,995,000.00	1,995,179.55	2,568.57		0.00
			03/18/2016	.330364		1,997,394.00	100.009000	SUNGARD		-2,214.45
82450	CCCSIG GOV FHLB	3130A4QV7	03/24/2015	.840000		1,600,000.00	1,597,648.00	3,621.33		0.00
			03/24/2017	.840000		1,600,000.00	99.853000	SUNGARD		-2,352.00



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82451	CCCCD GOV FHLB	3130A4QV7	03/24/2015	.840000	165,000.00	164,757.45	373.45	0.00
			03/24/2017	.840000	165,000.00	99.853000	SUNGARD	-242.55
82503	PW GOV FHLB NOTES	3130A4ZY1	04/21/2015	.250000	1,610,000.00	1,609,211.10	793.82	16.10
			04/20/2016	.300251	1,609,195.00	99.951000	SUNGARD	0.00
82550	GOV FHLB NOTES	3130A57K9	05/04/2015	1.000000	10,000,000.00	9,915,700.00	15,833.33	0.00
			05/04/2018	1.050244	9,985,200.00	99.157000	SUNGARD	-69,500.00
82552	GOV FHLB NOTES	3130A5DD8	05/07/2015	.720000	10,000,000.00	9,978,600.00	7,000.00	0.00
			05/26/2017	.720000	10,000,000.00	99.786000	SUNGARD	-21,400.00
82561	CCCSIG GOV FHLB	3130A5EP0	05/15/2015	.625000	1,430,000.00	1,423,307.60	769.62	0.00
			05/30/2017	.666017	1,428,813.10	99.532000	SUNGARD	-5,505.50
82579	GOV FHLB NOTES	3130A5HF9	06/01/2015	.730000	10,000,000.00	9,966,400.00	202.74	0.00
			06/30/2017	.730000	10,000,000.00	99.664000	SUNGARD	-33,600.00
82582	RM GOV FHLB NOTES	313379EE5	06/08/2015	1.625000	2,500,000.00	2,508,000.00	1,918.40	2,000.00
			06/14/2019	1.563094	2,506,000.00	100.320000	SUNGARD	0.00
82583	GOV FHLB NOTES	3130A5NC9	06/11/2015	1.300000	5,000,000.00	4,968,350.00	11,013.91	0.00
			10/30/2018	1.300000	5,000,000.00	99.367000	SUNGARD	-31,650.00
82590	GOV FHLB NOTES	3130A5JD2	06/29/2015	1.100000	10,000,000.00	9,948,800.00	611.11	0.00
			06/29/2018	1.100000	10,000,000.00	99.488000	SUNGARD	-51,200.00
82619	CLT GOV FHLB NOTES	3133834R9	07/10/2015	.375000	250,000.00	249,687.50	18.23	0.00
			06/24/2016	.330927	250,105.00	99.875000	SUNGARD	-417.50
82637	CCCSIG GOV FHLB	3130A62S5	07/24/2015	.750000	295,000.00	293,522.05	755.96	0.00
			08/28/2017	.858202	294,439.27	99.499000	SUNGARD	-917.22
82664	GOV FHLB NOTES	3130A6B63	08/14/2015	1.200000	10,000,000.00	9,964,400.00	45,666.67	0.00
			08/14/2018	1.200000	10,000,000.00	99.644000	SUNGARD	-35,600.00
82669	CCCSIG GOV FHLB	3130A5EP0	08/21/2015	.625000	1,000,000.00	995,320.00	538.19	0.00
			05/30/2017	.692495	998,810.00	99.532000	SUNGARD	-3,490.00
82694	RM GOV FHLB NOTES	313380FB8	09/21/2015	1.375000	2,500,000.00	2,470,400.00	10,312.50	0.00
			09/13/2019	1.400130	2,498,338.89	98.816000	SUNGARD	-27,175.00
82781	GOV FHLB NOTES	3130A6RC3	11/04/2015	1.150000	5,000,000.00	4,968,150.00	9,104.17	0.00
			11/02/2018	1.150000	5,000,000.00	99.363000	SUNGARD	-31,850.00
82848	GOV FHLB NOTES	3130A6SW8	12/21/2015	1.000000	10,000,000.00	9,975,100.00	3,333.34	0.00
			12/19/2017	1.035037	9,993,655.56	99.751000	SUNGARD	-18,000.00
82875	GOV FHLB NOTES	3130A3HF4	12/30/2015	1.125000	10,000,000.00	9,994,900.00	7,187.50	0.00
			12/08/2017	1.150014	10,002,075.00	99.949000	SUNGARD	-300.00
			Subtotal	1.027898	234,005,000.00	233,769,618.60	366,300.75	75,160.82
				.893674	234,692,698.75	99.899412		-990,046.52



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Inv Type: 23 FEDERAL NATIONAL MORTGAGE ASSO								
80020	WT GOV FNMA NOTES	3135G0CM3	11/09/2011	1.250000	173,000.00	173,626.26	558.65	0.00
			09/28/2016	1.160000	173,736.98	100.362000	SUNGARD	-110.72
80281	RM GOV FNMA NOTES	3135G0AL7	01/23/2012	2.250000	4,035,000.00	4,049,404.95	26,731.88	0.00
			03/15/2016	1.000170	4,239,211.35	100.357000	SUNGARD	-189,806.40
80833	RM GOV FNMA NOTES	3135G0CM3	09/14/2012	1.250000	4,703,000.00	4,720,024.86	15,186.77	0.00
			09/28/2016	.615791	4,821,797.78	100.362000	SUNGARD	-101,772.92
81230	WT GOV FNMA NOTES	3135G0TG8	02/21/2013	.875000	165,000.00	163,917.60	573.49	0.00
			02/08/2018	.970000	164,242.02	99.344000	SUNGARD	-324.42
81361	RM GOV FEDERAL NATL	3135G0JA2	04/15/2013	1.125000	3,900,000.00	3,906,435.00	7,800.01	0.00
			04/27/2017	.600233	3,981,432.00	100.165000	SUNGARD	-74,997.00
81449	GOV FNMA CALLABLE M	3136G1M63	05/22/2013	.750000	10,000,000.00	10,001,300.00	8,125.00	1,300.00
			05/22/2018	.750000	10,000,000.00	100.013000	SUNGARD	0.00
81478	AUHS D GOV FNMA NOTE	3135G0WJ8	06/07/2013	.875000	200,000.00	198,126.00	194.44	1,150.00
			05/21/2018	1.190082	196,976.00	99.063000	SUNGARD	0.00
81484	GOV FNMA CALLABLE M	3136G1MU0	06/12/2013	1.000000	5,000,000.00	5,005,050.00	2,638.89	7,100.00
			06/12/2018	1.013910	4,997,950.00	100.101000	SUNGARD	0.00
81538	WT GOV FNMA NOTES	3135G0WJ8	07/17/2013	.875000	164,000.00	162,463.32	159.44	2,933.96
			05/21/2018	1.459815	159,529.36	99.063000	SUNGARD	0.00
81889	AUHS D GOV FNMA NOTE	3135G0ZA4	04/01/2014	1.875000	377,000.00	382,059.34	2,591.88	3,660.67
			02/19/2019	1.795148	378,398.67	101.342000	SUNGARD	0.00
81890	AUHS D GOV FNMA NOTE	3135G0ZA4	04/01/2014	1.875000	6,959,000.00	7,052,389.78	47,843.15	67,571.89
			02/19/2019	1.795148	6,984,817.89	101.342000	SUNGARD	0.00
81941	GOV FNMA NOTE	3135G0MZ3	04/17/2014	.875000	10,000,000.00	9,965,900.00	29,895.83	25,100.00
			08/28/2017	1.054521	9,940,800.00	99.659000	SUNGARD	0.00
81999	MDUSD GOV FNMA NOTE	3135G0ZB2	05/21/2014	.750000	49,000.00	48,860.84	72.48	0.00
			04/20/2017	.740235	49,013.72	99.716000	SUNGARD	-152.88
82005	CCCCD GOV FNMA	3135G0YT4	06/05/2014	1.625000	115,000.00	115,837.20	176.49	164.45
			11/27/2018	1.489435	115,672.75	100.728000	SUNGARD	0.00
82087	CCCCD GOV FNMA NOTE	3135G0ZL0	08/25/2014	1.000000	130,000.00	129,707.50	339.44	171.60
			09/27/2017	1.117972	129,535.90	99.775000	SUNGARD	0.00
82114	CCCSIG GOV FNMA NOT	3135G0JA2	09/08/2014	1.125000	555,000.00	555,915.75	1,109.99	0.00
			04/27/2017	.895628	558,307.80	100.165000	SUNGARD	-2,392.05
82119	WT GOV FNMA NOTES	3135G0ZG1	09/12/2014	1.750000	166,000.00	166,876.48	879.57	1,978.72
			09/12/2019	1.889799	164,897.76	100.528000	SUNGARD	0.00
82156	CCCCD GOV FNMA	3135G0YT4	10/23/2014	1.625000	125,000.00	125,910.00	191.85	0.00



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82236	CCCCD GOV FNMA BENC	3135G0ZY2	11/27/2018	1.385424	126,187.50	100.728000	SUNGARD	-277.50
			12/03/2014	1.750000	100,000.00	100,513.00	170.14	0.00
			11/26/2019	1.612998	100,653.00	100.513000	SUNGARD	-140.00
82257	RM GOV FNMA NOTES	3135G0YT4	12/12/2014	1.625000	6,010,000.00	6,053,752.80	9,223.69	0.00
			11/27/2018	1.380107	6,066,494.00	100.728000	SUNGARD	-12,741.20
82314	CCCCD GOV FNMA	3135G0XP3	01/21/2015	.375000	5,635,000.00	5,628,181.65	10,330.83	0.00
			07/05/2016	.397750	5,633,140.45	99.879000	SUNGARD	-4,958.80
82320	CCCCD GOV FNMA	3135G0XP3	01/21/2015	.375000	12,440,000.00	12,424,947.60	22,806.67	0.00
			07/05/2016	.397750	12,435,894.80	99.879000	SUNGARD	-10,947.20
82381	RM GOV FNMA NOTES	3136FTS67	02/09/2015	1.700000	6,000,000.00	6,026,820.00	35,133.33	0.00
			02/27/2019	1.329281	6,087,180.00	100.447000	SUNGARD	-60,360.00
82436	WT GOV FNMA NOTES	3135G0A78	03/16/2015	1.625000	170,000.00	169,359.10	1,227.78	0.00
			01/21/2020	1.627650	169,977.90	99.623000	SUNGARD	-618.80
82570	GOV FNMA NOTES CALL	3136G2K71	05/27/2015	1.250000	10,000,000.00	10,015,400.00	12,499.96	15,400.00
			05/25/2018	1.250000	10,000,000.00	100.154000	SUNGARD	0.00
82678	CCCCD GOV FNMA BENC	3135G0E58	09/01/2015	1.125000	130,000.00	129,170.60	292.50	0.00
			10/19/2018	1.177919	129,789.40	99.362000	SUNGARD	-618.80
82707	CCCCD GOV FNMA	3135G0RT2	09/29/2015	.875000	1,700,000.00	1,691,840.00	454.52	0.00
			12/20/2017	.793128	1,703,060.00	99.520000	SUNGARD	-11,220.00
82708	CCCCD GOV FNMA	3135G0ZL0	09/29/2015	1.000000	1,680,000.00	1,676,220.00	4,386.66	0.00
			09/27/2017	.723255	1,689,282.93	99.775000	SUNGARD	-12,969.60
82709	CCCCD GOV FNMA	31398ADM1	09/29/2015	5.375000	1,550,000.00	1,646,224.00	4,397.05	0.00
			06/12/2017	.642309	1,674,015.50	106.208000	SUNGARD	-27,791.50
			Subtotal	1.178540	92,231,000.00	92,486,233.63	245,992.38	126,531.29
				.952126	92,871,995.46	100.276733		-512,199.79

Inv Type: 26 AGENCY ABS FXD-M 30/360

82344	CCCSIG GOV FNMA ACE	3136AMKW8	01/30/2015	1.626000	440,000.00	444,396.70	596.20	0.00
			02/25/2018	1.293773	444,396.70	100.999250	BOOK	0.00
82545	CCCSIG GOV FNMA-ACE	3136ANJY4	04/30/2015	1.550000	385,000.00	388,848.61	497.30	0.00
			04/01/2018	1.201381	388,848.61	100.999639	BOOK	0.00
82778	CCCCD ABS FNMA SRS	3136AQDQ0	10/30/2015	1.646000	115,000.00	116,151.60	157.74	0.00
			09/25/2019	1.382287	116,151.60	101.001391	BOOK	0.00
82814	CCCCD GOV FNMA SRS	3136AQSW1	11/30/2015	1.898080	65,000.00	65,649.99	102.82	0.00
			01/25/2019	1.572772	65,649.99	100.999985	BOOK	0.00
			Subtotal	1.616771	1,005,000.00	1,015,046.90	1,354.06	0.00



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				1.184831	1,015,046.90	100.999692		0.00

Inv Type: 27 FEDERAL FARM CREDIT BANKS

80522	RM GOV FFCB NOTES	3133EAUJ3	04/13/2012	1.050000	4,040,000.00	4,046,181.20	10,958.50	0.00
			03/28/2016	.810254	4,077,652.80	100.153000	SUNGARD	-31,471.60
80543	RM GOV FFCB NOTES	3133EAUJ3	04/20/2012	1.050000	3,957,000.00	3,963,054.21	10,733.37	0.00
			03/28/2016	.790000	3,996,818.30	100.153000	SUNGARD	-33,764.09
80718	RM GOV FFCB NOTES	3133EAXG8	07/23/2012	.650000	2,494,000.00	2,495,321.82	7,610.16	0.00
			07/12/2016	.600206	2,498,863.30	100.053000	SUNGARD	-3,541.48
81479	AUHSD GOV FFCB NOTE	3133ECPT5	06/07/2013	.650000	200,000.00	198,944.00	158.89	30.00
			05/17/2017	.790074	198,914.00	99.472000	SUNGARD	0.00
81579	RM GOV FFCB NOTES	3133ECWV2	08/20/2013	.875000	2,505,000.00	2,507,304.60	1,461.24	10,170.30
			12/07/2016	.972048	2,497,134.30	100.092000	SUNGARD	0.00
81958	GOV FEDERAL FARM CR	3133EDKJ0	05/01/2014	.700000	5,000,000.00	4,990,100.00	5,833.33	0.00
			11/01/2016	.700000	5,000,000.00	99.802000	SUNGARD	-9,900.00
82137	GOV FFCB NOTES	3133EDXA5	10/10/2014	1.150000	10,000,000.00	10,006,100.00	25,875.00	8,100.00
			10/10/2017	1.156802	9,998,000.00	100.061000	SUNGARD	0.00
82185	RM GOV FFCB NOTES	3133EDYB2	11/04/2014	1.500000	2,000,000.00	1,990,920.00	13,750.00	620.00
			01/16/2019	1.620035	1,990,300.00	99.546000	SUNGARD	0.00
82195	GOV FFCB NOTES	3133EEBU3	11/18/2014	.600000	10,000,000.00	9,975,600.00	7,833.33	0.00
			11/14/2016	.600000	10,000,000.00	99.756000	SUNGARD	-24,400.00
82218	GOV FFCB NOTES	3133EEDQ0	12/01/2014	.580000	5,000,000.00	4,996,600.00	2,416.67	0.00
			12/01/2016	.590074	4,999,000.00	99.932000	SUNGARD	-2,400.00
82259	GOV FFCB NOTES	3133EEFA3	12/15/2014	.720000	10,000,000.00	9,989,200.00	3,200.00	0.00
			12/15/2016	.720000	10,000,000.00	99.892000	SUNGARD	-10,800.00
82318	CCCCD GOV FFCB AGEN	3133EEKM1	01/21/2015	.300000	3,040,000.00	3,041,094.40	2,533.33	1,386.24
			03/21/2016	.308272	3,039,708.16	100.036000	SUNGARD	0.00
82323	CCCCD GOV FFCB AGEN	3133EEKM1	01/21/2015	.300000	10,160,000.00	10,163,657.60	8,466.67	4,632.96
			03/21/2016	.308272	10,159,024.64	100.036000	SUNGARD	0.00
82380	GOV FFCB NOTES	3133EEKB5	02/09/2015	1.000000	10,000,000.00	9,974,600.00	44,166.67	2,700.00
			01/22/2018	1.096935	9,971,900.00	99.746000	SUNGARD	0.00
82382	RM GOV FFCB NOTES	3133EELZ1	02/09/2015	1.000000	5,000,000.00	4,973,950.00	12,777.76	0.00
			03/29/2018	1.130145	4,980,000.00	99.479000	SUNGARD	-6,050.00
82472	GOV FFCB NOTES	3133EEWH9	04/02/2015	1.000000	10,000,000.00	9,973,400.00	24,722.22	0.00
			04/02/2018	1.000000	10,000,000.00	99.734000	SUNGARD	-26,600.00
82671	RM GOV FFCB NOTES	3133EE5S5	08/25/2015	1.500000	1,000,000.00	991,420.00	6,083.33	0.00



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			08/05/2019	1.350014	1,006,573.33	99.142000	SUNGARD	-14,320.00
82672	RM GOV FFCB NOTES	3133EE5S5	08/25/2015	1.500000	3,000,000.00	2,974,260.00	18,250.00	0.00
			08/05/2019	1.350014	3,019,720.00	99.142000	SUNGARD	-42,960.00
82683	WT GOV FFCB NOTES	3133EE5Z9	09/11/2015	1.750000	170,000.00	168,957.90	1,214.79	0.00
			08/04/2020	1.730194	170,462.16	99.387000	SUNGARD	-1,198.50
82691	GOV FFCB NOTES	3133EFCY1	09/14/2015	.780000	5,000,000.00	4,980,050.00	11,591.67	0.00
			09/14/2017	.810304	4,997,000.00	99.601000	SUNGARD	-16,950.00
82692	GOV FFCB NOTES	3133EFCY1	09/16/2015	.780000	5,000,000.00	4,980,050.00	11,591.67	0.00
			09/14/2017	.860067	4,992,316.67	99.601000	SUNGARD	-12,050.00
82785	GOV FFCB NOTES	3133EFNF0	11/06/2015	1.080000	5,000,000.00	4,996,450.00	8,250.00	0.00
			11/06/2018	1.104126	4,996,450.00	99.929000	BOOK	0.00
82796	GOV FFCB NOTES	3133EFPH4	11/17/2015	.930000	10,000,000.00	9,963,500.00	11,366.67	0.00
			11/17/2017	.930000	10,000,000.00	99.635000	SUNGARD	-36,500.00
82817	GOV FFCB NOTES	3133EFRQ2	12/03/2015	1.300000	10,000,000.00	10,000,000.00	10,111.11	0.00
			12/03/2018	1.300000	10,000,000.00	100.000000	BOOK	0.00
82818	GOV FFCB NOTES	3133EFRQ2	12/03/2015	1.300000	10,000,000.00	9,998,500.00	10,111.11	0.00
			12/03/2018	1.305115	9,998,500.00	99.985000	BOOK	0.00
82846	GOV FFCB NOTES	3133EFSJ7	12/18/2015	1.300000	20,000,000.00	19,926,600.00	12,277.78	0.00
			12/14/2018	1.415191	19,935,688.89	99.633000	SUNGARD	-6,200.00
82847	GOV FFCB NOTES	3133EFSH1	12/18/2015	1.170000	10,000,000.00	9,956,900.00	5,525.00	0.00
			06/14/2018	1.255129	9,980,500.00	99.569000	SUNGARD	-22,300.00
			Subtotal	.972891	172,566,000.00	172,222,715.73	288,870.27	27,639.50
				.993017	172,504,526.55	99.801071		-301,405.67

Inv Type: 28 FHLMC DISCOUNT NOTES

82483	RM GOV FHLMC DISC N	313396VA8	04/10/2015	.240000	249,000.00	248,811.18	441.56	0.00
			04/01/2016	.240573	248,407.38	99.924167	SUNGARD	-37.76
			Subtotal	.240000	249,000.00	248,811.18	441.56	0.00
				.240573	248,407.38	99.924169		-37.76

Inv Type: 29 FHLMC NOTES

79343	WT GOV FHLMC NOTES	3134A4ZT4	02/25/2011	4.750000	155,000.00	155,289.85	3,313.13	0.00
			01/19/2016	2.330564	172,267.00	100.187000	SUNGARD	-16,977.15
80411	WT GOV FHLMC NOT	3137EADC0	03/12/2012	1.000000	170,000.00	170,141.10	533.61	1,128.80
			03/08/2017	1.120062	169,012.30	100.083000	SUNGARD	0.00



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					Current Book	Market Price		Unrealized Loss	
80900	CCCCD GOV FHLMC	3137EADL0	10/05/2012	1.000000	45,000.00	44,876.25	115.00		0.00
			09/29/2017	.764157	45,263.53	99.725000	SUNGARD		-387.28
81847	RM GOV FHLMC NOTE3S	3137EADC0	02/25/2014	1.000000	3,870,000.00	3,873,212.10	12,147.50		0.00
			03/08/2017	.780254	3,895,464.60	100.083000	SUNGARD		-22,252.50
81869	RM GOV FEDERAL HOME	3137EADP1	03/14/2014	.875000	7,061,000.00	7,011,431.78	19,564.87		52,957.50
			03/07/2018	1.250049	6,958,474.28	99.298000	SUNGARD		0.00
81870	WT GOV FEDERAL HOME	3137EADP1	03/12/2014	.875000	157,000.00	155,897.86	435.02		1,359.62
			03/07/2018	1.279731	154,538.24	99.298000	SUNGARD		0.00
82009	RM GOV FHLMC	3137EADH9	06/13/2014	1.000000	2,484,000.00	2,483,751.60	138.00		0.00
			06/29/2017	.945000	2,488,088.17	99.990000	SUNGARD		-4,336.57
82026	GOV FHLMC NOTES	3137EADL0	07/03/2014	1.000000	10,000,000.00	9,972,500.00	25,555.56		0.00
			09/29/2017	1.070130	9,977,700.00	99.725000	SUNGARD		-5,200.00
82076	CCCCD GOV FHLMC	3137EADJ5	08/14/2014	1.000000	75,000.00	74,875.50	318.75		0.00
			07/28/2017	1.001893	74,995.80	99.834000	SUNGARD		-120.30
82077	CCCCD GOV FHLMC	3137EADJ5	08/14/2014	1.000000	40,000.00	39,933.60	170.00		0.00
			07/28/2017	1.002272	39,997.77	99.834000	SUNGARD		-64.17
82078	GOV FHLMC NOTES	3137EADL0	08/11/2014	1.000000	5,000,000.00	4,986,250.00	12,777.78		0.00
			09/29/2017	1.033085	4,994,900.00	99.725000	SUNGARD		-8,650.00
82080	CCCSIG GOV FHLMC	3137EADJ5	08/14/2014	1.000000	810,000.00	808,655.40	3,442.50		0.00
			07/28/2017	1.001893	809,954.64	99.834000	SUNGARD		-1,299.24
82081	CCCSIG GOV FHLMC	3137EADJ5	08/14/2014	1.000000	465,000.00	464,228.10	1,976.25		0.00
			07/28/2017	1.002272	464,974.04	99.834000	SUNGARD		-745.94
82312	AUHSD GOV FHLMC NOT	3134G3ZW3	01/21/2015	1.200000	2,486,000.00	2,470,586.80	11,849.93		0.00
			08/08/2018	1.200000	2,486,000.00	99.380000	SUNGARD		-15,413.20
82313	AUHSD GOV FHLMC NOT	3134G3ZW3	01/21/2015	1.200000	110,000.00	109,318.00	524.33		0.00
			08/08/2018	1.200000	110,000.00	99.380000	SUNGARD		-682.00
82317	CCCCD GOV FREDDIE M	3137EADC0	01/21/2015	1.000000	19,555,000.00	19,571,230.65	61,380.97		0.00
			03/08/2017	.643501	19,702,249.15	100.083000	SUNGARD		-131,018.50
82319	CCCCD GOV FHLMC	3137EADC0	01/21/2015	1.000000	9,485,000.00	9,492,872.55	29,772.36		0.00
			03/08/2017	.643501	9,556,422.05	100.083000	SUNGARD		-63,549.50
82343	CCCSIG GOV FHLMC	3137EADC0	01/29/2015	1.000000	985,000.00	985,817.55	3,091.81		0.00
			03/08/2017	.672177	991,747.25	100.083000	SUNGARD		-5,929.70
82446	CCCCD GOV FHLMC	3137EADJ5	03/20/2015	1.000000	95,000.00	94,842.30	403.75		0.00
			07/28/2017	.853802	95,323.00	99.834000	SUNGARD		-480.70
82447	CCCSIG GOV FHLMC	3137EADJ5	03/20/2015	1.000000	4,305,000.00	4,297,853.70	18,296.25		0.00
			07/28/2017	.853802	4,319,637.00	99.834000	SUNGARD		-21,783.30
82549	GOV FHLMC NOTES	3134G6YC1	05/01/2015	.670000	10,000,000.00	9,955,700.00	5,769.40		0.00



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			05/30/2017	.710296	9,991,700.00	99.557000	SUNGARD	-36,000.00
82571	RM GOV FHLMC NOTES	3137EADG1	05/27/2015	1.750000	3,000,000.00	3,022,500.00	4,520.83	0.00
			05/30/2019	1.379985	3,043,140.00	100.750000	SUNGARD	-20,640.00
82635	CCCCD GOV FHLMC NOT	3137EADG1	07/22/2015	1.750000	100,000.00	100,750.00	150.69	0.00
			05/30/2019	1.480153	101,007.00	100.750000	SUNGARD	-257.00
82762	RM GOV FHLMC NOTES	3137EADM8	10/26/2015	1.250000	6,000,000.00	5,918,220.00	18,541.67	0.00
			10/02/2019	1.310124	5,991,200.00	98.637000	SUNGARD	-67,980.00
82807	GOV FHLMC NOTES	3134G3S50	11/23/2015	.625000	5,000,000.00	4,993,300.00	5,208.33	0.00
			11/01/2016	.625000	5,001,909.72	99.866000	SUNGARD	-6,700.00
82837	GOV FHLMC NOTES	3137EADX4	12/11/2015	1.000000	10,000,000.00	9,973,300.00	5,555.56	0.00
			12/15/2017	1.057021	9,988,680.00	99.733000	SUNGARD	-15,380.00
82838	GOV FHLMC NOTES	3137EADX4	12/15/2015	1.000000	10,000,000.00	9,973,300.00	5,555.55	0.00
			12/15/2017	1.060007	9,989,261.11	99.733000	SUNGARD	-14,850.00
82876	GOV FHLMC NOTES	3134G64W0	12/30/2015	.900000	5,007,000.00	4,993,380.96	1,001.41	0.00
			06/23/2017	1.035077	4,997,962.37	99.728000	SUNGARD	-3,705.18
			Subtotal	.986787	116,460,000.00	116,194,015.65	252,110.81	55,445.92
				.919834	116,611,869.02	99.771609		-464,402.23

Inv Type: 31 MUNICIPAL BONDS

80198	AUHSD MUNI COMPTON	204712FD0	01/03/2012	.000000	10,000.00	7,453.00	0.00	0.00
			08/01/2016	6.525847	7,453.00	74.530000	BOOK	0.00
80760	CCCCD MUNI PALO ALT	697379UA1	08/14/2012	1.402000	440,000.00	440,000.00	2,570.33	0.00
			08/01/2017	1.402000	440,000.00	100.000000	BOOK	0.00
81277	CCCSIG MUNI UNIV OF	91412GPX7	03/14/2013	.659000	1,240,000.00	1,240,000.00	1,044.15	0.00
			05/15/2016	.659000	1,240,000.00	100.000000	BOOK	0.00
81278	CCCCD MUNI UNIV OF	91412GPY5	03/14/2013	.966000	175,000.00	175,000.00	216.01	0.00
			05/15/2017	.966000	175,000.00	100.000000	BOOK	0.00
81508	AUHSD MUNI CHICAGO	167486JB6	06/27/2013	5.000000	170,000.00	189,542.34	4,250.00	0.00
			01/01/2017	1.618751	189,542.34	111.495494	BOOK	0.00
81509	AUHSD MUNI CHICAGO	167486JC4	06/27/2013	5.000000	390,000.00	421,318.77	9,750.00	0.00
			01/01/2017	2.592295	421,318.77	108.030454	BOOK	0.00
81510	AUHSD MUNI WASHINGT	93974B3K6	06/27/2013	5.000000	600,000.00	696,925.06	15,000.00	0.00
			01/01/2018	1.301222	696,925.06	116.154177	BOOK	0.00
81512	AUHSD MUNI SOUTH BE	836496NW5	06/27/2013	5.000000	505,000.00	547,506.38	11,643.06	0.00
			01/15/2016	1.616968	547,506.38	108.417105	BOOK	0.00
81514	AUHSD MUNI WICOMICO	967545R89	06/27/2013	3.500000	390,000.00	427,550.12	1,137.50	0.00



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Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
			12/01/2018	1.638640	427,550.12	109.628236	BOOK	0.00
81632	CCCSIG MUNI UNIV OF	91412GSX4	10/02/2013	.907000	415,000.00	415,000.00	480.96	0.00
			05/15/2016	.907000	415,000.00	100.000000	BOOK	0.00
81633	CCCCD MUNI UNIV OF	91412GSZ9	10/02/2013	2.054000	195,000.00	195,000.00	511.79	0.00
			05/15/2018	2.054000	195,000.00	100.000000	BOOK	0.00
81693	CCCCD MUNI CA ST TA	13063CFD7	11/05/2013	1.250000	125,000.00	125,586.25	260.42	0.00
			11/01/2016	1.090101	125,586.25	100.469000	BOOK	0.00
81694	CCCSIG MUNI CA ST T	13063CFD7	11/05/2013	1.250000	790,000.00	793,705.10	1,645.83	0.00
			11/01/2016	1.090101	793,705.10	100.469000	BOOK	0.00
82387	CCCSIG MUNI MS ST T	605581FX0	02/18/2015	1.090000	110,000.00	110,000.00	299.75	0.00
			10/01/2017	1.090000	110,000.00	100.000000	BOOK	0.00
			Subtotal	2.493165	5,555,000.00	5,784,587.02	48,809.80	0.00
				1.286599	5,784,587.02	104.132980		0.00

Inv Type: 41 FNMA DISCOUNT NOTES

82684	RM GOV FNMA DISC	313588C29	09/11/2015	.400000	295,000.00	293,917.35	367.11	0.00
			08/15/2016	.401514	293,888.83	99.633000	SUNGARD	-338.59
			Subtotal	.400000	295,000.00	293,917.35	367.11	0.00
				.401514	293,888.83	99.633000		-338.59

Inv Type: 42 FARM CREDIT DISCOUNT NOTES

82680	DCD GOV FFCB DISCOU	313312E30	09/04/2015	.430000	1,100,000.00	1,095,377.56	1,563.53	0.00
			09/01/2016	.431873	1,095,230.58	99.579778	SUNGARD	-1,416.55
82813	RM GOV FFCB DISC	313312P95	12/01/2015	.600000	370,000.00	367,931.70	191.17	0.00
			11/18/2016	.603550	367,823.17	99.441000	SUNGARD	-82.64
			Subtotal	.472739	1,470,000.00	1,463,309.26	1,754.70	0.00
				.475034	1,463,053.75	99.544848		-1,499.19

Inv Type: 43 FHLB DISCOUNT NOTES

82383	RM GOV FHLB DISCOUN	313384SW0	02/10/2015	.290000	997,000.00	996,837.99	2,610.21	151.21
			02/09/2016	.290853	994,076.57	99.983750	SUNGARD	0.00
			Subtotal	.290000	997,000.00	996,837.99	2,610.21	151.21
				.290853	994,076.57	99.983750		0.00



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Inv Type: 50 AUTO ABS FXD-M 30/360								
82341	CCCSIG CORP HONDA A	43814KAB7	01/28/2015	.700000	317,150.92	317,134.37	98.67	0.00
			06/15/2017	.704310	317,134.37	99.994782	BOOK	0.00
82409	CCCSIG AB TOYOTA AU	89236WAB4	03/04/2015	.710000	520,648.23	520,643.29	164.30	0.00
			07/17/2017	.710792	520,643.29	99.999051	BOOK	0.00
82502	CCCSIG ABS NAROT 20	65477UAC4	04/14/2015	1.050000	845,000.00	844,822.38	394.33	0.00
			10/15/2019	1.059409	844,822.38	99.978980	BOOK	0.00
82636	CCCSIG ABS NISSAN A	65475WAD0	07/22/2015	1.340000	820,000.00	819,934.81	488.36	0.00
			03/16/2020	1.343408	819,934.81	99.992050	BOOK	0.00
82665	CCCSIG ABS HONDA 20	43814MAC1	08/19/2015	1.270000	455,000.00	454,994.40	208.67	0.00
			04/18/2019	1.270662	454,994.40	99.998769	BOOK	0.00
			Subtotal	1.066860	2,957,799.15	2,957,529.25	1,354.33	0.00
				1.071196	2,957,529.25	99.990875		0.00

Inv Type: 53 CREDIT ABS FXD-SA 30/360

82448	CCCSIG AB CITIBANK	17305EFN0	03/20/2015	1.020000	600,000.00	599,179.69	2,193.00	0.00
			02/22/2019	1.083588	599,179.69	99.863282	BOOK	0.00
			Subtotal	1.020000	600,000.00	599,179.69	2,193.00	0.00
				1.083588	599,179.69	99.863282		0.00

Inv Type: 71 COMMERCIAL PAPER DISCOUNT

82557	PW CP TOYOTA MOTOR	89233GB54	05/12/2015	.360000	500,000.00	499,815.28	1,170.00	0.00
			02/05/2016	.360971	498,655.00	99.963056	SUNGARD	-9.72
82657	CP UBS FINANCIAL SE	90262CAU1	08/06/2015	.470000	25,000,000.00	24,992,875.00	48,305.56	1,687.50
			01/28/2016	.471076	24,942,881.94	99.971500	SUNGARD	0.00
82666	CCCSIG CP JPM SECUR	46640PEG4	08/21/2015	.680000	2,000,000.00	1,996,146.67	5,024.44	1,284.45
			05/16/2016	.683473	1,989,837.78	99.807333	SUNGARD	0.00
82667	PW CP UBS FINANCE D	90262CBH9	08/24/2015	.540000	500,000.00	499,751.94	975.00	104.44
			02/17/2016	.541438	498,672.50	99.950389	SUNGARD	0.00
82668	CP UBS FINANCE DE	90262CBH9	08/24/2015	.540000	500,000.00	499,751.94	975.00	104.44
			02/17/2016	.541438	498,672.50	99.950389	SUNGARD	0.00
82677	PW CP UBS FINANCE D	90262CC13	09/01/2015	.550000	1,750,000.00	1,748,775.00	3,261.80	379.17
			03/01/2016	.551533	1,745,134.03	99.930000	SUNGARD	0.00
82695	CCCCD CP JPMSCC	46640PFH1	09/22/2015	.650000	3,950,000.00	3,940,599.00	7,203.26	2,580.65



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			06/17/2016	.653172	3,930,815.09	99.762000	SUNGARD	0.00
82696	CCCCD CP BK OF TOKY	06538BCM3	09/22/2015	.510000	3,950,000.00	3,946,313.33	5,651.79	790.00
			03/21/2016	.511311	3,939,871.54	99.906667	SUNGARD	0.00
82698	CCCCD CP JPMSCC	46640PFH1	09/22/2015	.650000	1,995,000.00	1,990,251.90	3,638.10	1,303.40
			06/17/2016	.653172	1,985,310.40	99.762000	SUNGARD	0.00
82699	CCCCD CP BK OF TOKY	06538BCM3	09/22/2015	.510000	1,995,000.00	1,993,138.00	2,854.51	399.00
			03/21/2016	.511311	1,989,884.49	99.906667	SUNGARD	0.00
82704	CP SOCIETE GENERALE	83369BA48	09/29/2015	.275000	30,000,000.00	29,999,050.00	21,541.67	0.00
			01/04/2016	.275204	29,977,770.83	99.996833	SUNGARD	-262.50
82735	CP ABBEY NATIONAL	00280NBA7	10/07/2015	.340000	25,000,000.00	24,989,444.44	20,305.56	0.00
			02/10/2016	.340405	24,970,250.00	99.957778	SUNGARD	-1,111.12
82758	CP SOCIETE GENERALE	83369BBR6	10/20/2015	.315000	25,000,000.00	24,985,486.11	15,968.75	0.00
			02/25/2016	.315353	24,972,000.00	99.941944	SUNGARD	-2,482.64
82761	CP NORDEA BANK	65558FB12	10/26/2015	.210000	30,000,000.00	29,990,183.33	11,725.00	0.00
			02/01/2016	.210120	29,982,850.00	99.967278	SUNGARD	-4,391.67
82763	CP TOYOTA MOTOR CRE	89233GC95	10/29/2015	.310000	25,000,000.00	24,980,166.67	13,777.78	0.00
			03/09/2016	.310353	24,971,583.33	99.920667	SUNGARD	-5,194.44
82764	CP BNP PARIBAS	09659BCR9	10/29/2015	.400000	25,000,000.00	24,975,500.00	17,777.78	0.00
			03/25/2016	.400659	24,958,888.89	99.902000	SUNGARD	-1,166.67
82765	CP TOYOTA MOTOR CRE	89233GCB0	10/28/2015	.320000	20,000,000.00	19,983,666.67	11,555.56	0.00
			03/11/2016	.320384	19,976,000.00	99.918333	SUNGARD	-3,888.89
82766	CP BNP PARIBAS	09659BCV0	10/30/2015	.400000	30,000,000.00	29,969,200.00	21,000.00	0.00
			03/29/2016	.400672	29,949,666.67	99.897333	SUNGARD	-1,466.67
82767	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	498,160.00	551.25	0.00
			07/26/2016	.632991	497,637.50	99.632000	SUNGARD	-28.75
82768	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	6,600,000.00	6,575,712.00	7,276.50	0.00
			07/26/2016	.632991	6,568,815.00	99.632000	SUNGARD	-379.50
82769	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	498,160.00	551.25	0.00
			07/26/2016	.632991	497,637.50	99.632000	SUNGARD	-28.75
82770	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	498,160.00	551.25	0.00
			07/26/2016	.632991	497,637.50	99.632000	SUNGARD	-28.75
82771	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,080.00	275.63	0.00
			07/26/2016	.632991	248,818.75	99.632000	SUNGARD	-14.38
82772	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	498,160.00	551.25	0.00
			07/26/2016	.632991	497,637.50	99.632000	SUNGARD	-28.75
82773	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,080.00	275.63	0.00
			07/26/2016	.632991	248,818.75	99.632000	SUNGARD	-14.38



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					Current Book	Market Price			Unrealized Gain	Unrealized Loss
82774	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	150,000.00	149,448.00		165.38		0.00
			07/26/2016	.632991	149,291.25	99.632000		SUNGARD		-8.63
82775	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,080.00		275.63		0.00
			07/26/2016	.632991	248,818.75	99.632000		SUNGARD		-14.38
82776	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,080.00		275.63		0.00
			07/26/2016	.632991	248,818.75	99.632000		SUNGARD		-14.38
82777	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,080.00		275.63		0.00
			07/26/2016	.632991	248,818.75	99.632000		SUNGARD		-14.38
82780	CP UBS FINANCE DE	90262CCU9	11/03/2015	.390000	25,000,000.00	24,974,625.00		15,979.17		0.00
			03/28/2016	.390618	24,960,458.33	99.898500		SUNGARD		-1,812.50
82790	PW CP TOYOTA MOTOR	89233GE93	11/10/2015	.520000	1,625,000.00	1,622,030.31		1,220.55		58.23
			05/09/2016	.521363	1,620,751.53	99.817250		SUNGARD		0.00
82791	CP UBS FINANCE DE	90262CCX3	11/10/2015	.420000	25,000,000.00	24,971,875.00		15,166.67		0.00
			03/31/2016	.420697	24,958,583.33	99.887500		SUNGARD		-1,875.00
82794	CP ABBEY NATIONAL T	00280NDB3	11/13/2015	.500000	20,000,000.00	19,974,750.00		13,611.11		2,805.56
			04/11/2016	.501044	19,958,333.33	99.873750		SUNGARD		0.00
82795	CP SOCIETE GENERALE	83369BDF0	11/16/2015	.390000	25,000,000.00	24,967,187.50		12,458.33		0.00
			04/15/2016	.390639	24,959,104.17	99.868750		SUNGARD		-4,375.00
82797	CP STANDARD CHARTER	85324TDF0	11/17/2015	.480000	25,000,000.00	24,967,187.50		15,000.00		2,187.50
			04/15/2016	.480962	24,950,000.00	99.868750		SUNGARD		0.00
82799	CP STANDARD CHARTER	85324TDF0	11/18/2015	.530000	25,000,000.00	24,967,187.50		16,194.44		5,833.31
			04/15/2016	.531165	24,945,159.75	99.868750		SUNGARD		0.00
82809	CP STANDARD CHARTER	85324TDU7	11/30/2015	.590000	30,000,000.00	29,955,750.00		15,733.33		13,766.67
			04/28/2016	.591454	29,926,250.00	99.852500		SUNGARD		0.00
82810	CP CREDIT AGRICOLE	22533TDR4	11/25/2015	.490000	25,000,000.00	24,964,062.50		12,590.28		3,194.44
			04/25/2016	.491016	24,948,277.78	99.856250		SUNGARD		0.00
82811	CP ABBEY NATIONAL	00280NDF4	11/25/2015	.460000	25,000,000.00	24,967,187.50		11,819.44		729.17
			04/15/2016	.460836	24,954,638.89	99.868750		SUNGARD		0.00
82815	CP ABBEY NATIONAL	00280NDE7	12/02/2015	.460000	25,000,000.00	24,967,500.00		9,583.33		722.23
			04/14/2016	.460789	24,957,194.44	99.870000		SUNGARD		0.00
82816	CP CREDIT SUISSE NY	2254EADF7	12/02/2015	.500000	25,000,000.00	24,967,187.50		10,416.67		3,645.83
			04/15/2016	.500939	24,953,125.00	99.868750		SUNGARD		0.00
82823	CP CREDIT AGRICOLE	22533TDT0	12/07/2015	.520000	25,000,000.00	24,963,437.50		9,027.78		5,687.50
			04/27/2016	.521069	24,948,722.22	99.853750		SUNGARD		0.00
82824	CP STANDARD CHARTER	85324TEB8	12/07/2015	.640000	20,000,000.00	19,962,883.33		8,888.89		9,461.11
			05/11/2016	.641780	19,944,533.33	99.814417		SUNGARD		0.00
82825	CP CREDIT SUISSE NY	2254EAEA7	12/07/2015	.580000	25,000,000.00	24,953,958.33		10,069.45		6,319.44



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					Current Book	Market Price			Unrealized Gain	Unrealized Loss
			05/10/2016	.581452		24,937,569.44	99.815833	SUNGARD		0.00
82826	CP NORDEA BANK AB	65558FED3	12/08/2015	.590000		30,000,000.00	29,943,475.00	11,800.00		8,866.67
			05/13/2016	.591522		29,922,808.33	99.811583	SUNGARD		0.00
82831	CP CREDIT AGRICOLE	22533TEG7	12/09/2015	.650000		25,000,000.00	24,951,833.33	10,381.94		13,222.22
			05/16/2016	.651871		24,928,229.17	99.807333	SUNGARD		0.00
82832	CP TOYOTA MOTOR CRE	89233GER3	12/10/2015	.670000		25,000,000.00	24,948,645.83	10,236.11		16,111.11
			05/25/2016	.672089		24,922,298.61	99.794583	SUNGARD		0.00
82834	CP BK OF NOVA SCOTI	06417JET5	12/10/2015	.690000		30,000,000.00	29,937,525.00	12,650.00		22,050.00
			05/27/2016	.692242		29,902,825.00	99.791750	SUNGARD		0.00
82835	CP BNP PARIBAS	09659BEX4	12/11/2015	.710000		30,000,000.00	29,935,825.00	12,425.00		25,166.67
			05/31/2016	.712417		29,898,233.33	99.786083	SUNGARD		0.00
82836	CP BANK OF NOVA SCO	06417JEX6	12/11/2015	.660000		30,000,000.00	29,935,825.00	11,550.00		18,875.00
			05/31/2016	.662088		29,905,400.00	99.786083	SUNGARD		0.00
82839	CP BNP PARIBAS	09659BFQ8	12/16/2015	.790000		25,000,000.00	24,938,020.83	8,777.78		34,027.77
			06/24/2016	.793325		24,895,215.28	99.752083	SUNGARD		0.00
82840	CP BNP PARIBAS	09659BFD7	12/16/2015	.790000		20,000,000.00	19,953,533.33	7,022.22		25,511.11
			06/13/2016	.793133		19,921,000.00	99.767667	SUNGARD		0.00
82844	CP TOYOTA MOTOR CRE	89233GFP6	12/17/2015	.790000		10,000,000.00	9,975,350.00	3,291.67		13,533.33
			06/23/2016	.793290		9,958,525.00	99.753500	SUNGARD		0.00
82849	CCCCD CP BNP PARIBA	09659BFM7	12/21/2015	.820000		3,950,000.00	3,940,375.17	989.69		5,850.40
			06/21/2016	.823433		3,933,535.08	99.756333	SUNGARD		0.00
82850	CCCCD CP BNP PARIBA	09659BFM7	12/21/2015	.820000		1,995,000.00	1,990,138.85	499.86		2,954.81
			06/21/2016	.823432		1,986,684.18	99.756333	SUNGARD		0.00
82851	CCCSD CP ABBEY NATI	00280NGN4	12/21/2015	.740000		4,000,000.00	3,985,564.44	904.44		2,255.56
			07/22/2016	.743270		3,982,404.44	99.639111	SUNGARD		0.00
82853	CCCSD CP TOYOTA MOT	89233GGN0	12/21/2015	.840000		5,000,000.00	4,981,955.56	1,283.33		5,638.90
			07/22/2016	.844216		4,975,033.33	99.639111	SUNGARD		0.00
82861	SO CP MUFG UNION BA	62478XAR1	12/24/2015	.280000		2,200,000.00	2,199,442.67	136.89		0.00
			01/25/2016	.280072		2,199,452.44	99.974667	SUNGARD		-146.66
82862	SO CP MUFG UNION BA	62478XAR1	12/24/2015	.280000		1,200,000.00	1,199,696.00	74.67		0.00
			01/25/2016	.280073		1,199,701.33	99.974667	SUNGARD		-80.00
82863	SO CP MUFG UNION BA	62478XAR1	12/24/2015	.280000		1,200,000.00	1,199,696.00	74.67		0.00
			01/25/2016	.280073		1,199,701.33	99.974667	SUNGARD		-80.00
82864	SO CP MUFG UNION BA	62478XAR1	12/24/2015	.280000		4,300,000.00	4,298,910.67	267.56		0.00
			01/25/2016	.280069		4,298,929.78	99.974667	SUNGARD		-286.67
82865	SO CP MUFG UNION BA	62478XAR1	12/24/2015	.280000		7,300,000.00	7,298,150.67	454.22		0.00
			01/25/2016	.280068		7,298,183.12	99.974667	SUNGARD		-486.67



Inventory by Market Value

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Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
82866	SO CP MUFG UNION BA	62478XAR1	12/24/2015	.280000	3,900,000.00	3,899,012.00	242.67	0.00
			01/25/2016	.280071	3,899,029.33	99.974667	SUNGARD	-260.00
82870	PW CP BNP PARIBAS	09659BAV2	12/31/2015	.360000	767,000.00	766,773.31	7.67	0.00
			01/29/2016	.360104	766,777.57	99.970444	SUNGARD	-11.93
82871	PW CP BNP PARIBAS	09659BAV2	12/31/2015	.360000	900,000.00	899,734.00	9.00	0.00
			01/29/2016	.360104	899,739.00	99.970444	SUNGARD	-14.00
82872	CP SOCIETE GENERALE	83369BGN0	12/30/2015	.770000	25,000,000.00	24,909,777.78	1,069.44	18,326.40
			07/22/2016	.773391	24,890,381.94	99.639111	SUNGARD	0.00
82873	CP RABOBANK NEDERLA	21687AFW8	12/30/2015	.810000	30,000,000.00	29,903,466.67	1,350.00	25,641.67
			06/30/2016	.813349	29,876,475.00	99.678222	SUNGARD	0.00
82874	CP NORDEA BANK AB	65558FFW0	12/30/2015	.770000	30,000,000.00	29,903,466.67	1,283.33	19,608.34
			06/30/2016	.773026	29,882,575.00	99.678222	SUNGARD	0.00
			Subtotal	.531248	955,477,000.00	953,986,318.53	498,278.19	320,684.00
				.532704	953,197,334.12	99.843986		-29,977.78

Inv Type: 72 NEGOTIABLE CERT OF DEPOSIT

82328	PW NCD UNION BANK O	62478TEC9	02/02/2015	.400000	500,000.00	500,100.51	1,850.00	100.51
			02/02/2016	.400000	500,000.00	100.020102	SUNGARD	0.00
82562	PW YCD BNP PARIBAS	05572NYH3	05/20/2015	.730000	2,000,000.00	2,003,038.80	9,165.56	3,038.80
			05/20/2016	.730000	2,000,000.00	100.151940	SUNGARD	0.00
82563	RM YCD BNP PARIBAS	05572NYL4	05/26/2015	.730000	1,007,000.00	1,008,595.22	4,492.34	1,595.22
			05/26/2016	.730000	1,007,000.00	100.158414	SUNGARD	0.00
82576	CCCSIG YCD NORDEA B	65558LFA5	05/29/2015	1.150000	1,950,000.00	1,950,000.00	2,180.21	0.00
			05/26/2017	1.150000	1,950,000.00	100.000000	BOOK	0.00
82614	PW NCD UNION BANK O	62478THN2	07/09/2015	.390000	4,300,000.00	4,300,150.25	8,198.67	150.25
			01/06/2016	.390000	4,300,000.00	100.003494	SUNGARD	0.00
82615	PW NCD UNION BANK O	62478THN2	07/09/2015	.390000	1,100,000.00	1,100,038.44	2,097.33	38.44
			01/06/2016	.390000	1,100,000.00	100.003494	SUNGARD	0.00
82616	PW NCD UNION BANK O	62478THN2	07/09/2015	.390000	2,000,000.00	2,000,069.88	3,813.33	69.88
			01/06/2016	.390000	2,000,000.00	100.003494	SUNGARD	0.00
82655	YCD ABBEY NATIONAL	00279H6T8	08/05/2015	.450000	25,000,000.00	25,001,498.09	46,562.50	1,498.09
			01/08/2016	.450000	25,000,000.00	100.005992	SUNGARD	0.00
82656	YCD CREDIT AGRICOLE	22533MX97	08/05/2015	.390000	25,000,000.00	25,003,640.37	40,354.17	3,640.37
			01/25/2016	.390000	25,000,000.00	100.014561	SUNGARD	0.00
82701	YCD NORDEA BANK FIN	65558LHY1	09/25/2015	.250000	25,000,000.00	25,000,388.20	17,013.89	388.20
			01/08/2016	.250000	25,000,000.00	100.001553	SUNGARD	0.00



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Contra Costa County

Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share		Curr Accr Int Price Source	Unrealized Gain	
					Current Book	Market Price		Unrealized Loss	
82702	YCD BNP PARIBAS	05572NC79	09/25/2015	.320000	25,000,000.00	25,001,456.61	21,777.78	1,456.61	
			01/15/2016	.320000	25,000,000.00	100.005826	SUNGARD	0.00	
82703	YCD CREDIT AGRICOLE	22533M4R9	09/28/2015	.320000	30,000,000.00	30,000,466.16	25,333.33	466.16	
			01/04/2016	.320000	30,000,000.00	100.001554	SUNGARD	0.00	
82705	YCD STANDARD CHARTE	85325TDV4	09/30/2015	.400000	30,000,000.00	30,010,438.29	31,000.00	10,438.29	
			02/26/2016	.400000	30,000,000.00	100.034794	SUNGARD	0.00	
82706	YCD CREDIT AGRICOLE	22533M4V0	09/30/2015	.300000	30,000,000.00	30,002,696.53	23,250.00	2,696.53	
			01/27/2016	.300000	30,000,000.00	100.008988	SUNGARD	0.00	
82720	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	5,190,000.00	5,190,063.36	3,637.33	63.36	
			01/04/2016	.290000	5,190,000.00	100.001221	SUNGARD	0.00	
82721	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	1,090,000.00	1,090,013.31	763.91	13.31	
			01/04/2016	.290000	1,090,000.00	100.001221	SUNGARD	0.00	
82722	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	2,100,000.00	2,100,025.64	1,471.75	25.64	
			01/04/2016	.290000	2,100,000.00	100.001221	SUNGARD	0.00	
82723	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	3,000,000.00	3,000,036.62	2,102.50	36.62	
			01/04/2016	.290000	3,000,000.00	100.001221	SUNGARD	0.00	
82724	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	3,100,000.00	3,100,037.85	2,172.58	37.85	
			01/04/2016	.290000	3,100,000.00	100.001221	SUNGARD	0.00	
82725	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	4,000,000.00	4,000,048.83	2,803.33	48.83	
			01/04/2016	.290000	4,000,000.00	100.001221	SUNGARD	0.00	
82726	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	875,000.00	875,010.68	613.23	10.68	
			01/04/2016	.290000	875,000.00	100.001221	SUNGARD	0.00	
82727	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	21,500,000.00	21,500,262.47	15,067.92	262.47	
			01/04/2016	.290000	21,500,000.00	100.001221	SUNGARD	0.00	
82728	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	5,600,000.00	5,600,068.37	3,924.67	68.37	
			01/04/2016	.290000	5,600,000.00	100.001221	SUNGARD	0.00	
82729	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	450,000.00	450,005.49	315.38	5.49	
			01/04/2016	.290000	450,000.00	100.001221	SUNGARD	0.00	
82730	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	1,750,000.00	1,750,021.36	1,226.46	21.36	
			01/04/2016	.290000	1,750,000.00	100.001221	SUNGARD	0.00	
82731	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	550,000.00	550,006.71	385.46	6.71	
			01/04/2016	.290000	550,000.00	100.001221	SUNGARD	0.00	
82732	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	3,500,000.00	3,500,042.73	2,452.92	42.73	
			01/04/2016	.290000	3,500,000.00	100.001221	SUNGARD	0.00	
82733	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	5,700,000.00	5,700,069.59	3,994.75	69.59	
			01/04/2016	.290000	5,700,000.00	100.001221	SUNGARD	0.00	
82734	PW YCD ABBEY NATION	00279JAK8	10/06/2015	.290000	4,500,000.00	4,500,054.94	3,153.75	54.94	



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						Current Book				Unrealized Loss
			01/04/2016	.290000		4,500,000.00	100.001221	SUNGARD		0.00
82744	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		1,000,000.00	1,000,055.85	800.00		55.85
			04/11/2016	.360000		1,000,000.00	100.005585	SUNGARD		0.00
82745	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		5,100,000.00	5,100,284.84	4,080.00		284.84
			04/11/2016	.360000		5,100,000.00	100.005585	SUNGARD		0.00
82746	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		400,000.00	400,022.34	320.00		22.34
			04/11/2016	.360000		400,000.00	100.005585	SUNGARD		0.00
82747	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		100,000.00	100,005.59	80.00		5.59
			04/11/2016	.360000		100,000.00	100.005585	SUNGARD		0.00
82748	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		1,000,000.00	1,000,055.85	800.00		55.85
			04/11/2016	.360000		1,000,000.00	100.005585	SUNGARD		0.00
82749	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		1,000,000.00	1,000,055.85	800.00		55.85
			04/11/2016	.360000		1,000,000.00	100.005585	SUNGARD		0.00
82750	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		500,000.00	500,027.93	400.00		27.93
			04/11/2016	.360000		500,000.00	100.005585	SUNGARD		0.00
82751	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		3,000,000.00	3,000,167.56	2,400.00		167.56
			04/11/2016	.360000		3,000,000.00	100.005585	SUNGARD		0.00
82752	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		500,000.00	500,027.93	400.00		27.93
			04/11/2016	.360000		500,000.00	100.005585	SUNGARD		0.00
82753	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000		400,000.00	400,022.34	320.00		22.34
			04/11/2016	.360000		400,000.00	100.005585	SUNGARD		0.00
82756	NCD UNION BANK OF C	62478TKT5	10/20/2015	.260000		20,000,000.00	20,001,864.09	10,544.44		1,864.09
			02/11/2016	.260000		20,000,000.00	100.009320	SUNGARD		0.00
82757	YCD SOCIETE GENERAL	83369TH26	10/20/2015	.340000		25,000,000.00	25,006,104.76	17,236.11		6,104.76
			02/24/2016	.340000		25,000,000.00	100.024419	SUNGARD		0.00
82759	NCD UNION BANK OF C	62478TKW8	10/21/2015	.250000		30,000,000.00	30,001,864.00	15,000.00		1,864.00
			02/01/2016	.250000		30,000,000.00	100.006213	SUNGARD		0.00
82798	CCCSIG YCD SKANDINA	83050FBG5	11/17/2015	1.480000		2,175,000.00	2,175,000.00	4,023.75		0.00
			11/16/2017	1.480000		2,175,000.00	100.000000	BOOK		0.00
82812	NCD BANK OF AMERICA	06052TRA0	11/25/2015	.390000		25,000,000.00	25,003,667.12	10,020.83		3,667.12
			04/15/2016	.390000		25,000,000.00	100.014668	SUNGARD		0.00
82821	YCD BNP PARIBAS	05572NG34	12/04/2015	.550000		30,000,000.00	30,018,344.54	12,833.33		18,344.54
			04/14/2016	.550000		30,000,000.00	100.061148	SUNGARD		0.00
82822	YCD NORDEA BANK FIN	65558LLN0	12/04/2015	.510000		25,000,000.00	25,012,374.08	9,916.67		12,374.08
			04/14/2016	.510000		25,000,000.00	100.049496	SUNGARD		0.00
82827	NCD WELLS FARGO BAN	94988EMK1	12/08/2015	.700000		25,000,000.00	25,039,673.63	11,666.67		39,673.63
			06/07/2016	.700000		25,000,000.00	100.158695	SUNGARD		0.00



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Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share		Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain	
					Current Book	Market Price			Unrealized Loss	Unrealized Gain
82830	YCD CREDIT SUISSE	22549VLL5	12/09/2015	.700000	25,000,000.00	25,034,191.92	11,180.56	SUNGARD	34,191.92	0.00
			05/16/2016	.700000	25,000,000.00	100.136768				
82833	YCD ROYAL BANK OF C	78009NXU5	12/10/2015	.680000	25,000,000.00	25,034,646.46	10,388.89	SUNGARD	34,646.46	0.00
			05/26/2016	.680000	25,000,000.00	100.138586				
82841	YCD BNP PARIBAS	05572NG67	12/17/2015	.830000	30,000,000.00	30,073,358.83	10,375.00	SUNGARD	73,358.83	0.00
			06/28/2016	.830000	30,000,000.00	100.244529				
82842	YCD ROYAL BANK OF C	78009NYK6	12/17/2015	.805000	25,000,000.00	25,056,404.26	8,385.42	SUNGARD	56,404.26	0.00
			06/23/2016	.805000	25,000,000.00	100.225617				
82843	YCD CREDIT AGRICOLE	22534HBK6	12/17/2015	.790000	25,000,000.00	25,055,830.13	8,229.17	SUNGARD	55,830.13	0.00
			06/27/2016	.790000	25,000,000.00	100.223321				
82845	YCD STANDARD CHARTE	85325TEV3	12/18/2015	.820000	30,000,000.00	30,036,267.61	9,566.67	SUNGARD	36,267.61	0.00
			06/30/2016	.820000	30,000,000.00	100.120892				
82852	CCCSN NCD MUG UNIO	62478TMC0	12/21/2015	.640000	5,000,000.00	5,001,691.52	977.78	SUNGARD	1,691.52	0.00
			07/22/2016	.640000	5,000,000.00	100.033830				
82854	PW NCD UNION BANK O	62478TMF3	12/22/2015	.820000	500,000.00	500,590.19	113.89	SUNGARD	590.19	0.00
			12/22/2016	.820000	500,000.00	100.118038				
82855	YCD STANDARD CHARTE	85325TEY7	12/23/2015	.870000	25,000,000.00	25,040,932.91	5,437.50	SUNGARD	40,932.91	0.00
			07/22/2016	.870000	25,000,000.00	100.163732				
82856	YCD NORDEA BANK FIN	65558LMA7	12/23/2015	.840000	25,000,000.00	25,036,697.38	5,250.00	SUNGARD	36,697.38	0.00
			07/22/2016	.840000	25,000,000.00	100.146790				
82857	YCD SOCIETE GENERAL	83369TR66	12/23/2015	.850000	25,000,000.00	25,035,501.87	5,312.50	SUNGARD	35,501.87	0.00
			07/08/2016	.850000	25,000,000.00	100.142007				
82858	YCD RABOBANK NEDERL	21685VKX6	12/23/2015	.830000	25,000,000.00	25,035,285.54	5,187.50	SUNGARD	35,285.54	0.00
			07/22/2016	.830000	25,000,000.00	100.141142				
82859	YCD ABBEY NATL TREA	00279JBF8	12/23/2015	.800000	20,000,000.00	20,023,504.75	4,000.00	SUNGARD	23,504.75	0.00
			07/11/2016	.800000	20,000,000.00	100.117524				
82860	YCD NORDEA BANK FIN	65558LMA7	12/23/2015	.840000	25,000,000.00	25,036,697.38	5,250.00	SUNGARD	36,697.38	0.00
			07/22/2016	.840000	25,000,000.00	100.146790				
82867	HR YCD BNP PARIBAS	05572NH33	12/31/2015	.480000	3,001,000.00	3,002,500.05	40.01	SUNGARD	1,500.05	0.00
			02/29/2016	.480000	3,001,000.00	100.049985				
82868	HR YCD BNP PARIBAS	05572NH33	12/31/2015	.480000	2,644,000.00	2,645,321.60	35.25	SUNGARD	1,321.60	0.00
			02/29/2016	.480000	2,644,000.00	100.049985				
82869	HR YCD BNP PARIBAS	05572NH33	12/31/2015	.480000	5,801,000.00	5,803,899.63	77.35	SUNGARD	2,899.63	0.00
			02/29/2016	.480000	5,801,000.00	100.049985				
			Subtotal		.551735	782,883,000.00	783,501,285.63	472,624.34	618,285.63	0.00
					.551735	782,883,000.00	100.078975			



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Inv. No.	Description	CUSIP	Purchase Maturity	Coupon YTM TR	Current Par /Share Current Book	Market Value Market Price	Curr Accr Int Price Source	Unrealized Gain Unrealized Loss
Inv Type: 73 CORP NOTE FLTG RT ACT- 360								
81269	CORP GENERAL ELEC C	36962GU51	03/08/2013	.518000	10,000,000.00	10,000,000.00	12,230.78	47,550.00
			01/08/2016	2.390017	9,952,450.00	100.000000	SUNGARD	0.00
81794	CCCSIG CORP BERKSHI	084664CA7	01/10/2014	.470600	500,000.00	499,780.00	522.89	0.00
			01/10/2017	.470600	500,000.00	99.956000	SUNGARD	-220.00
			Subtotal	.515733	10,500,000.00	10,499,780.00	12,753.67	47,550.00
				2.298200	10,452,450.00	99.997905		-220.00

Inv Type: 74 CERT OF DEPOSIT MEDIUM TERM

82130	CCCSIG YCD TORONTO	89112UXV8	09/29/2014	.900000	2,025,000.00	2,014,290.00	4,758.75	0.00
			09/29/2016	.900000	2,025,000.00	99.471111	SUNGARD	-10,710.00
82760	CCCSIG MTN BMO HARR	05574BFW5	10/23/2015	1.000000	2,175,000.00	2,175,000.00	4,229.17	0.00
			04/24/2017	1.000000	2,175,000.00	100.000000	BOOK	0.00
			Subtotal	.951786	4,200,000.00	4,189,290.00	8,987.92	0.00
				.951786	4,200,000.00	99.745000		-10,710.00

Inv Type: 75 CORPORATE NOTES

80653	CCCCD CORP WALT DIS	25468PCS3	06/14/2012	1.125000	135,000.00	135,145.80	573.75	396.90
			02/15/2017	1.165961	134,748.90	100.108000	SUNGARD	0.00
80654	CCCCD CORP WALT DIS	25468PCS3	06/14/2012	1.125000	240,000.00	240,259.20	1,020.00	1,118.40
			02/15/2017	1.203989	239,140.80	100.108000	SUNGARD	0.00
81054	CCCCD CORP CHEVRON	166764AA8	12/05/2012	1.104000	105,000.00	104,277.60	83.72	0.00
			12/05/2017	1.104000	105,000.00	99.312000	SUNGARD	-722.40
81198	CORP GENERAL ELECTR	36962G6R0	02/04/2013	1.000000	5,000,000.00	5,000,050.00	24,027.78	50.00
			01/08/2016	1.000000	5,000,000.00	100.001000	SUNGARD	0.00
81217	CCCCD CORP BERKSHIR	084670BH0	02/11/2013	1.550000	245,000.00	245,399.35	1,497.90	739.90
			02/09/2018	1.579059	244,659.45	100.163000	SUNGARD	0.00
81413	CCCCD CORP APPLE IN	037833AJ9	05/03/2013	1.000000	175,000.00	173,579.00	281.94	0.00
			05/03/2018	1.076001	174,354.25	99.188000	SUNGARD	-775.25
81501	CORP GENERAL ELECTR	36962G6R0	06/18/2013	1.000000	5,000,000.00	5,000,050.00	24,027.78	3,700.00
			01/08/2016	1.028965	4,996,350.00	100.001000	SUNGARD	0.00
81703	CORP TOYOTA MTR CRD	89233P6S0	11/15/2013	1.250000	5,000,000.00	4,985,300.00	14,930.56	40,800.00
			10/05/2017	1.545080	4,944,500.00	99.706000	SUNGARD	0.00
81789	CORP MICROSOFT CORP	594918AV6	01/10/2014	1.625000	6,406,000.00	6,446,870.28	7,228.99	78,409.44



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			12/06/2018	1.750063	6,368,460.84	100.638000	SUNGARD	0.00
81813	CORP INTEL STRUCTUR	458140AL4	01/27/2014	1.350000	5,211,000.00	5,217,930.63	3,126.61	38,300.85
			12/15/2017	1.510075	5,179,629.78	100.133000	SUNGARD	0.00
81899	CORP WELLS FARGO &	94974BFG0	04/07/2014	1.500000	5,000,000.00	4,978,700.00	34,375.00	18,800.00
			01/16/2018	1.720116	4,959,900.00	99.574000	SUNGARD	0.00
81948	CCCSIG CORP WAL-MAR	931142DN0	04/22/2014	1.000000	370,000.00	370,270.10	719.44	325.60
			04/21/2017	1.005095	369,944.50	100.073000	SUNGARD	0.00
81956	CCCSIG CORP TOYOTA	89233P6D3	04/28/2014	1.750000	975,000.00	981,279.00	1,848.44	0.00
			05/22/2017	1.200940	991,068.00	100.644000	SUNGARD	-9,789.00
81991	CCCSIG CORP APPLE I	037833AM2	05/06/2014	1.050000	1,500,000.00	1,500,885.00	2,406.25	1,680.00
			05/05/2017	1.067075	1,499,205.00	100.059000	SUNGARD	0.00
82116	CCCSIG CORP WELLS F	94974BGB0	09/09/2014	1.400000	810,000.00	809,076.60	3,559.50	0.00
			09/08/2017	1.433868	809,198.10	99.886000	SUNGARD	-121.50
82197	CCCSIG CORP CHEVRON	166764AL4	11/18/2014	1.345000	350,000.00	348,897.50	601.51	0.00
			11/15/2017	1.345000	350,000.00	99.685000	SUNGARD	-1,102.50
82203	CCCSIG CORP JOHNSON	478160BL7	11/21/2014	1.125000	1,130,000.00	1,129,740.10	1,412.50	632.80
			11/21/2017	1.151867	1,129,107.30	99.977000	SUNGARD	0.00
82258	CORP CHEVRON CORP	166764AA8	12/15/2014	1.104000	10,000,000.00	9,931,200.00	7,973.33	0.00
			12/05/2017	1.250044	9,957,510.00	99.312000	SUNGARD	-26,310.00
82290	CCCSIG CORP TOYOTA	89236TCA1	01/12/2015	1.450000	220,000.00	219,582.00	1,497.53	0.00
			01/12/2018	1.496870	219,698.60	99.810000	SUNGARD	-116.60
82346	CCCCD CORP MERCK &	58933YAD7	01/23/2015	.700000	1,590,000.00	1,590,159.00	1,329.42	0.00
			05/18/2016	.435141	1,595,533.20	100.010000	SUNGARD	-5,374.20
82347	CCCCD CORP GECC	36962G6R0	01/23/2015	1.000000	1,590,000.00	1,590,015.90	7,640.83	0.00
			01/08/2016	.475357	1,597,965.90	100.001000	SUNGARD	-7,950.00
82348	CCCCD CORP JOHN DEE	24422ERF8	01/23/2015	1.850000	1,560,000.00	1,568,673.60	8,497.67	0.00
			09/15/2016	.616979	1,591,418.40	100.556000	SUNGARD	-22,744.80
82349	CCCCD CORP IBM CORP	459200GX3	01/23/2015	1.950000	1,565,000.00	1,574,358.70	13,478.56	0.00
			07/22/2016	.490189	1,599,038.75	100.598000	SUNGARD	-24,680.05
82350	CCCCD CORP EI DU PO	263534CD9	01/23/2015	1.950000	1,580,000.00	1,580,489.80	14,206.83	0.00
			01/15/2016	.489343	1,602,483.40	100.031000	SUNGARD	-21,993.60
82351	CCCCD CORP AMERICAN	0258M0DC0	01/23/2015	2.800000	1,525,000.00	1,544,428.50	12,098.33	0.00
			09/19/2016	.840060	1,574,028.75	101.274000	SUNGARD	-29,600.25
82352	CCCCD CORP WELLS FA	94974BFL9	01/23/2015	1.250000	1,590,000.00	1,592,512.20	8,888.55	0.00
			07/20/2016	.787164	1,600,891.50	100.158000	SUNGARD	-8,379.30
82353	CCCCD CORP US BANK	90331HMC4	01/23/2015	1.100000	1,585,000.00	1,582,717.60	7,313.01	0.00
			01/30/2017	.828281	1,593,606.55	99.856000	SUNGARD	-10,888.95



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					Current Book				Unrealized Loss	
82364	CCCCD CORP GE CAPIT	36962G6R0	01/23/2015	1.000000	1,990,000.00		1,990,019.90	9,563.06		0.00
			01/08/2016	.475357	1,999,969.90		100.001000	SUNGARD		-9,950.00
82365	CCCCD CORP EI DU PO	263534CD9	01/23/2015	1.950000	1,975,000.00		1,975,612.25	17,758.54		0.00
			01/15/2016	.489343	2,003,104.25		100.031000	SUNGARD		-27,492.00
82366	CCCCD CORP WELLS FA	94974BFL9	01/23/2015	1.250000	1,985,000.00		1,988,136.30	11,096.70		0.00
			07/20/2016	.787164	1,998,597.25		100.158000	SUNGARD		-10,460.95
82367	CCCCD CORP IBM CORP	459200GX3	01/23/2015	1.950000	1,960,000.00		1,971,720.80	16,880.50		0.00
			07/22/2016	.490189	2,002,630.00		100.598000	SUNGARD		-30,909.20
82368	CCCCD CORP JOHN DEE	24422ERF8	01/23/2015	1.850000	1,950,000.00		1,960,842.00	10,622.08		0.00
			09/15/2016	.616979	1,989,273.00		100.556000	SUNGARD		-28,431.00
82369	CCCCD CORP MERCK &	58933YAD7	01/23/2015	.700000	1,990,000.00		1,990,199.00	1,663.86		0.00
			05/18/2016	.435141	1,996,925.20		100.010000	SUNGARD		-6,726.20
82370	CCCCD CORP AMERICAN	0258M0DC0	01/23/2015	2.800000	1,905,000.00		1,929,269.70	15,112.99		0.00
			09/19/2016	.840060	1,966,245.75		101.274000	SUNGARD		-36,976.05
82371	CCCCD CORP US BANK	90331HMC4	01/23/2015	1.100000	1,980,000.00		1,977,148.80	9,135.50		0.00
			01/30/2017	.828281	1,990,751.40		99.856000	SUNGARD		-13,602.60
82375	CCCSIG CORP IBM COR	459200HZ7	02/06/2015	1.125000	1,880,000.00		1,867,404.00	8,518.75		0.00
			02/06/2018	1.228864	1,874,266.00		99.330000	SUNGARD		-6,862.00
82376	CCCCD CORP IBM CORP	459200HZ7	02/06/2015	1.125000	160,000.00		158,928.00	725.00		0.00
			02/06/2018	1.228864	159,512.00		99.330000	SUNGARD		-584.00
82386	CORP IBM CORP	459200HZ7	02/11/2015	1.125000	5,000,000.00		4,966,500.00	22,656.25		0.00
			02/06/2018	1.274939	4,978,100.00		99.330000	SUNGARD		-11,600.00
82404	CCCSIG CORP CHEVRON	166764AV2	03/03/2015	1.365000	1,065,000.00		1,056,480.00	4,805.37		0.00
			03/02/2018	1.365000	1,065,000.00		99.200000	SUNGARD		-8,520.00
82416	CCCSIG CORP EXXON M	30231GAL6	03/06/2015	1.305000	1,565,000.00		1,562,511.65	6,524.10		0.00
			03/06/2018	1.305000	1,565,000.00		99.841000	SUNGARD		-2,488.35
82417	CCCCD CORP EXXON MO	30231GAL6	03/06/2015	1.305000	125,000.00		124,801.25	521.09		0.00
			03/06/2018	1.305000	125,000.00		99.841000	SUNGARD		-198.75
82418	CORP CHEVRON CORP	166764AV2	03/09/2015	1.365000	5,000,000.00		4,960,000.00	22,560.42		0.00
			03/02/2018	1.372881	4,999,089.53		99.200000	SUNGARD		-39,089.53
82420	CCCCD CORP AMERICAN	02665WAT8	03/13/2015	1.500000	130,000.00		129,047.10	585.00		0.00
			03/13/2018	1.545883	129,825.80		99.267000	SUNGARD		-778.70
82513	CCCCD CORP GENERAL	36962G4D3	04/15/2015	6.000000	100,000.00		113,284.00	2,400.00		0.00
			08/07/2019	1.743001	117,603.00		113.284000	SUNGARD		-4,319.00
82554	CORP APPLE INC	037833AJ9	05/12/2015	1.000000	10,000,000.00		9,918,800.00	16,111.11		0.00
			05/03/2018	1.257267	9,925,100.00		99.188000	SUNGARD		-6,300.00
82560	CCCSIG CORP APPLE I	037833BB5	05/13/2015	.900000	565,000.00		563,254.15	678.00		0.00



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					Current Book	Market Price			Unrealized Loss	Unrealized Gain
			05/12/2017	.934955	564,610.15		99.691000	SUNGARD		-1,356.00
82574	CCCSIG CORP BK OF N	06406HDB2	05/29/2015	1.600000	1,600,000.00		1,594,016.00	2,773.33		0.00
			05/22/2018	1.603145	1,599,856.00		99.626000	SUNGARD		-5,840.00
82575	CCCCD CORP BK OF NE	06406HDB2	05/29/2015	1.600000	125,000.00		124,532.50	216.67		0.00
			05/22/2018	1.603145	124,988.75		99.626000	SUNGARD		-456.25
82581	CORP JP MORGAN CHAS	46625HJL5	06/02/2015	1.625000	5,000,000.00		4,962,900.00	10,381.94		0.00
			05/15/2018	1.658000	4,995,250.00		99.258000	SUNGARD		-32,350.00
82586	CCCSIG CORP CISCO S	17275RAU6	06/17/2015	1.650000	1,725,000.00		1,732,210.50	1,265.00		7,503.75
			06/15/2018	1.655855	1,724,706.75		100.418000	SUNGARD		0.00
82587	CCCCD CORP CISCO SY	17275RAU6	06/17/2015	1.650000	130,000.00		130,543.40	95.33		565.50
			06/15/2018	1.655855	129,977.90		100.418000	SUNGARD		0.00
82598	CCCSIG CORP WELLS F	94974BGB0	07/07/2015	1.400000	1,100,000.00		1,098,746.00	4,833.89		0.00
			09/08/2017	1.252137	1,103,465.00		99.886000	SUNGARD		-4,719.00
82620	CCCSIG CORP TOYOTA	89236TCP8	07/13/2015	1.550000	410,000.00		409,032.40	2,965.67		0.00
			07/13/2018	1.579121	409,651.50		99.764000	SUNGARD		-619.10
82621	CORP TOYOTA MOTOR C	89236TCP8	07/16/2015	1.550000	5,000,000.00		4,988,200.00	36,166.66		0.00
			07/13/2018	1.567156	4,998,145.83		99.764000	SUNGARD		-9,300.00
82634	CCCCD CORP PEPSICO	713448CW6	07/17/2015	1.125000	100,000.00		99,993.00	512.50		25.00
			07/17/2017	1.139621	99,968.00		99.993000	SUNGARD		0.00
82658	CCCSIG CORP 3M COMP	88579YAP6	08/07/2015	1.375000	1,340,000.00		1,337,186.00	7,370.00		0.00
			08/07/2018	1.435833	1,337,614.80		99.790000	SUNGARD		-428.80
82693	CORP JP MORGAN CHAS	46623EKD0	09/15/2015	1.700000	5,000,000.00		4,975,750.00	28,333.34		0.00
			03/01/2018	1.769114	4,995,005.56		99.515000	SUNGARD		-15,950.00
82712	CCCCD CORP PFIZER I	717081DD2	09/29/2015	.900000	1,550,000.00		1,546,962.00	6,432.50		0.00
			01/15/2017	.739645	1,556,060.50		99.804000	SUNGARD		-6,231.00
82713	CCCCD CORP PFIZER I	717081DL4	09/29/2015	2.100000	1,960,000.00		1,977,404.80	5,259.33		0.00
			05/15/2019	1.748923	1,984,068.80		100.888000	SUNGARD		-6,664.00
82714	CCCCD CORP GOLDMAN	38147MAA3	09/29/2015	2.900000	1,510,000.00		1,539,520.50	19,705.50		0.00
			07/19/2018	1.927831	1,558,393.82		101.955000	SUNGARD		-10,358.60
82715	CCCCD CORP GOLDMAN	38147MAA3	09/29/2015	2.900000	1,930,000.00		1,967,731.50	25,186.50		0.00
			07/19/2018	1.927831	1,991,854.36		101.955000	SUNGARD		-13,239.80
82716	CCCCD CORP MICROSOFT	594918AC8	09/29/2015	4.200000	1,400,000.00		1,514,142.00	4,900.00		0.00
			06/01/2019	1.599996	1,529,290.00		108.153000	SUNGARD		-15,148.00
82717	CCCCD CORP US BANCO	91159HHH6	09/29/2015	2.200000	1,950,000.00		1,964,293.50	7,865.00		0.00
			04/25/2019	1.710407	1,982,935.50		100.733000	SUNGARD		-18,642.00
82718	CCCCD CORP CISCO SY	17275RAE2	09/29/2015	4.950000	1,795,000.00		1,961,576.00	33,566.50		0.00
			02/15/2019	1.739996	1,994,047.55		109.280000	SUNGARD		-21,611.80



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82719	CCCCD CORP BB&T CAL	05531FAQ6	09/29/2015	2.250000	1,960,000.00	1,967,702.80	18,375.00	0.00
			02/01/2019	1.927457	1,987,430.20	100.393000	SUNGARD	-12,622.40
82779	CCCSIG CORP MICROSO	594918BF0	11/03/2015	1.300000	1,590,000.00	1,588,410.00	3,330.17	0.00
			11/03/2018	1.334116	1,588,410.00	99.900000	BOOK	0.00
			Subtotal	1.519862	138,957,000.00	139,126,659.26	602,098.88	193,048.14
				1.271249	139,569,166.02	100.122095		-591,373.48

Inv Type: 79 YCD/NCD 30/360

82118	CCCSIG NCD US BANK	90333VPF1	09/11/2014	1.375000	2,000,000.00	1,996,780.00	8,402.78	0.00
			09/11/2017	1.430018	1,996,780.00	99.839000	BOOK	0.00
82487	CCCSIG YCD CANADIAN	13606JYY9	04/10/2015	1.010000	2,150,000.00	2,150,000.00	5,127.14	0.00
			04/06/2017	1.010000	2,150,000.00	100.000000	BOOK	0.00
82526	CCCSIG YCD RABOBANK	21684BXH2	04/27/2015	1.070000	2,000,000.00	2,000,000.00	4,161.10	0.00
			04/21/2017	1.070000	2,000,000.00	100.000000	BOOK	0.00
82788	CCCSIG YCD BK NOVA	06417GAS7	11/09/2015	1.560000	2,450,000.00	2,450,000.00	5,520.67	0.00
			11/06/2017	1.560000	2,450,000.00	100.000000	BOOK	0.00
			Subtotal	1.265482	8,600,000.00	8,596,780.00	23,211.69	0.00
				1.278261	8,596,780.00	99.962558		0.00

Inv Type: 80 YCD / NCD QTR FLTR

82800	CCCSIG CD HSBC BK U	40428AR41	11/18/2015	.954100	2,175,000.00	2,175,000.00	2,536.32	0.00
			11/17/2017	.954100	2,175,000.00	100.000000	BOOK	0.00
82808	CCCSIG CD SVENSKA H	86958DH54	11/24/2015	.828000	1,340,000.00	1,340,000.00	1,171.16	0.00
			08/24/2017	.828000	1,340,000.00	100.000000	BOOK	0.00
			Subtotal	.906028	3,515,000.00	3,515,000.00	3,707.48	0.00
				.906028	3,515,000.00	100.000000		0.00

Inv Type: 99 MONEY MARKET ACCOUNTS

81524	AUHSD MM DREYFUS TA	26202K205	06/27/2013	.000000	537,226.12	537,226.12	0.00	0.00
			01/01/2016	.000000	537,226.12	100.000000	BOOK	0.00
81525	AUHSD MM DREYFUS TA	26202K205	06/27/2013	.000000	28,092.20	28,092.20	0.00	0.00
			01/01/2016	.000000	28,092.20	100.000000	BOOK	0.00
			Subtotal	.000000	565,318.32	565,318.32	0.00	0.00
				.000000	565,318.32	100.000000		0.00



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Inv Type: 1000 TD WITH CALC CODE OF CSC-00								
82001	CD CCCCD BERTA KAMM	121101042	05/24/2014	.600000	3,335.77	3,335.77	32.63	0.00
			05/24/2017	.600000	3,335.77	100.000000	BOOK	0.00
			Subtotal	.600000	3,335.77	3,335.77	32.63	0.00
				.600000	3,335.77	100.000000		0.00
Grand Total			Count 393	.727041	2,570,711,453.24	2,569,513,821.31	2,925,791.98	1,469,719.74
				.695505	2,570,728,827.44	99.953412		-3,099,344.95

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January 20, 2016

Ms Belinda Zhu
Assistant County Treasurer
Contra Costa County
625 Court Street, Room 100
Martinez, CA 94533

Via email

Dear Ms. Zhu:

Per your request, I am confirming for you the source of the SunGard market pricing data for the year of 2015.

Monthly you receive three (3) pricing files from us, **RAPID**, **PRICES** and **MARKET**. The data within these three files is obtained from Interactive Data Corporation. The content of the **PRICES** file consists of prices for overnight repos, TDs, CDs, CPs, B/As and government discount issues other than Treasury Bills. The content of the **RAPID** file consists of prices for U.S. government issues (such as FCCBs and GNMA's) and Treasuries. The **MARKET** file consists of Corporate Bonds, Notes and Equity prices.

If you need further information, please do not hesitate to contact me at 818-936-2638.

Sincerely,

SunGard FIS Avantgard



Eric J. Graves
Senior Product Consultant

SECTION III

APPENDIX

B. INVESTMENT PORTFOLIO DETAIL – MANAGED BY OUTSIDE CONTRACTED PARTIES

B.1. STATE OF CALIFORNIA LOCAL AGENCY INVESTMENT FUND (LAIF)

**CONTRA COSTA COUNTY
AS OF DECEMBER 31, 2015**

CALIFORNIA STATE LOCAL AGENCY INVESTMENT ACCOUNTS	STATE CONTROLLER ACCOUNT NUMBER	ACCOUNT BALANCE	ESTIMATED FAIR VALUE
ACALANES UNION HIGH SCHOOL	75-07-010	948,370.41	947,599.35
ANTIOCH UNIFIED SCHOOL DISTRICT	75-07-005	825,980.42	825,308.87
BRENTWOOD UNION SCHOOL DISTRICT	75-07-013	8,136,121.89	8,129,506.92
BYRON UNION SCHOOL DISTRICT	75-07-017	165,471.40	165,336.87
CANYON ELEMENTARY SCHOOL DISTRICT	75-07-018	192,374.05	192,217.64
CENTRAL CONTRA COSTA SANITARY DISTRICT	70-07-001	50,000,000.00	49,959,348.15
CONTRA COSTA COMMUNITY COLLEGE	75-07-001	615,575.23	615,074.74
CONTRA COSTA COUNTY	99-07-000	50,000,000.00	49,959,348.15
CONTRA COSTA COUNTY OFFICE OF EDUCATION	75-07-007	1,281,647.96	1,280,605.93
CONTRA COSTA COUNTY SCHOOL INSURANCE GROUP	35-07-001	2,231,151.44	2,229,337.43
CROCKETT COMMUNITY SERVICES DISTRICT	16-07-004	2,881,500.66	2,879,157.89
DELTA DIABLO SANITATION DISTRICT	70-07-003	72,570.12	72,511.12
EAST CONTRA COSTA REG FEE & FINANCING AUTH	40-07-006	1,009,046.88	1,008,226.49
JOHN SWETT UNIFIED SCHOOL DISTRICT	75-07-020	2,395.37	2,393.42
KENSINGTON FIRE PROTECTION DISTRICT	17-07-011	3,003,920.70	3,001,478.40
KENSINGTON POLICE PROTECTION & COMMUNITY SERVICES DISTRICT	16-07-003	145,491.91	145,373.62
LAFAYETTE SCHOOL DISTRICT	75-07-012	5,283,825.43	5,279,529.48
MARTINEZ UNIFIED SCHOOL DISTRICT	75-07-011	3,819,575.40	3,816,469.94
MORAGA ORINDA FIRE DISTRICT	17-07-003	15,061.82	15,049.57
MT DIABLO UNIFIED SCHOOL DISTRICT	75-07-008	14,636,510.59	14,624,610.57
MT VIEW SANITARY DISTRICT	70-07-008	7,194,141.81	7,188,292.71
OAKLEY UNION SCHOOL DISTRICT	75-07-009	247,152.48	246,951.54
ORINDA UNION SCHOOL DISTRICT	75-07-015	7,405,146.62	7,399,125.96
PITTSBURG UNIFIED SCHOOL DISTRICT	75-07-002	33,856,582.96	33,829,056.31
RECLAMATION DISTRICT 800	60-07-003	5,407,998.94	5,403,602.04
REDEVELOPMENT AGENCY	65-07-015	6,982.65	6,976.97
RODEO -HERCULES FIRE PROTECTION DISTRICT	17-07-001	105,813.05	105,727.02
SAN RAMON VALLEY UNIFIED SCHOOL DISTRICT	75-07-004	239,479.92	239,285.21
WALNUT CREEK SCHOOL DISTRICT	75-07-003	0.00	0.00
WEST CONTRA COSTA UNIFIED SCHOOL DISTRICT	75-07-014	9,991,756.03	9,983,632.36
	TOTAL	<u>209,721,646.14</u>	<u>209,551,134.68</u>

SECTION III

APPENDIX

B. INVESTMENT PORTFOLIO DETAIL – MANAGED BY OUTSIDE CONTRACTED PARTIES

B.2. ASSET MANAGEMENT FUNDS

- a. WELLS CAPITAL MANAGEMENT**
- b. CalTRUST**



Wells Capital Management GAAP

WC-Contra Costa County (19529)

Quarter End (Q4 Y2015)

10/01/2015 - 12/31/2015

Dated: 01/11/2016

Locked Down

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Dated: 01/11/2016

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Risk Summary

10/01/2015 - 12/31/2015

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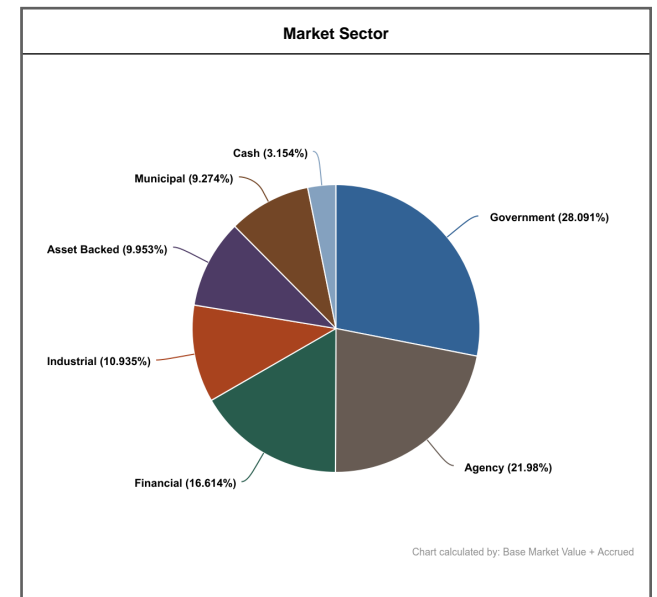
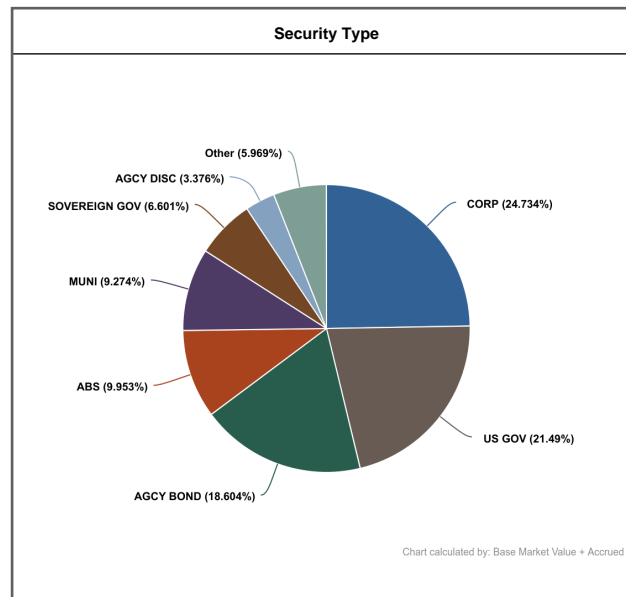
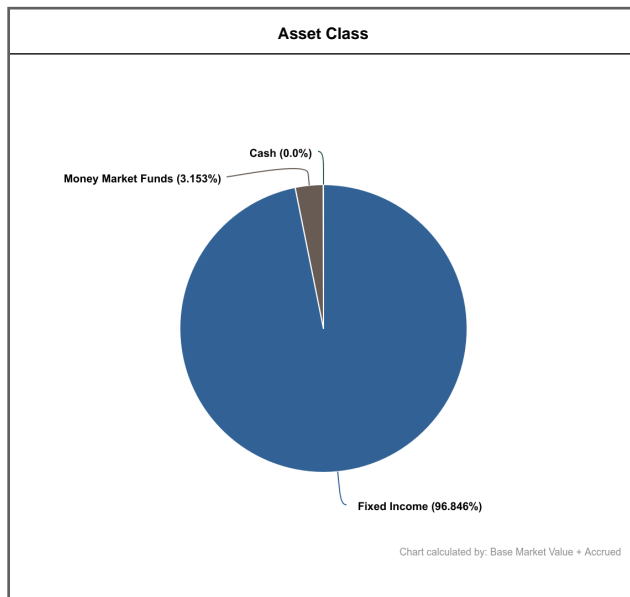
WC-Contra Costa County (19529)

Dated: 01/11/2016

Balance Sheet	
Book Value + Accrued	44,434,187.37
Net Unrealized Gain/Loss	-52,374.67
Market Value + Accrued	44,381,812.71

Cash and Fixed Income Summary	
<i>Risk Metric</i>	<i>Value</i>
Cash	215.73
MMFund	1,399,428.32
Fixed Income	42,982,168.66
Duration	0.423
Convexity	0.00
WAL	0.594
Years to Final Maturity	0.759
Years to Effective Maturity	0.594
Yield	0.817
Book Yield	0.575
Avg Credit Rating	AA+/Aa1/AA+

Issuer Concentration	
<i>Issuer Concentration</i>	<i>% of Base Market Value + Accrued</i>
Wells Fargo Funds Trust	3.153%
Orange, County of	1.785%
International Bank for Reconstruction & Development	6.601%
Government of the United States	21.49%
Federal National Mortgage Association	2.275%
Federal Home Loan Banks Office of Finance	14.658%
Federal Farm Credit Banks Funding Corporation	4.51%
Other	45.529%
---	100.00%



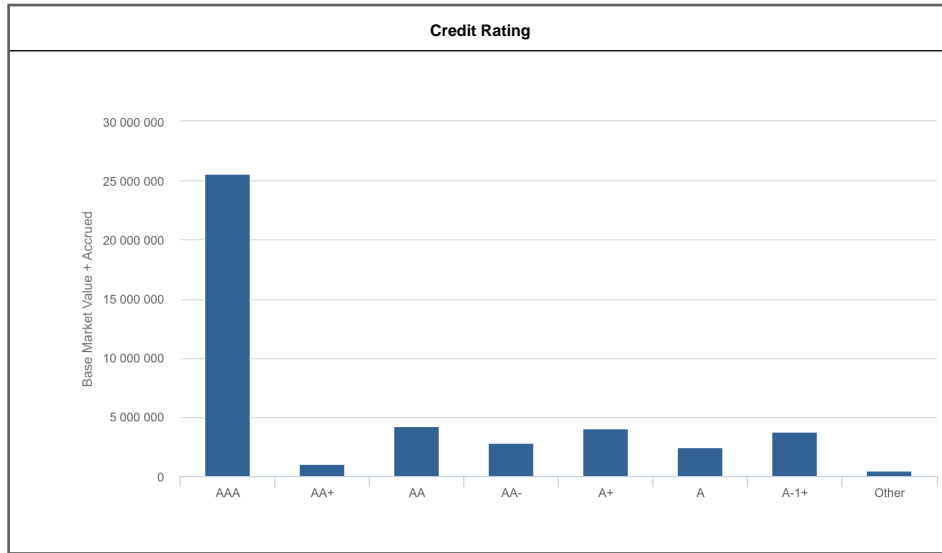
Risk Summary

10/01/2015 - 12/31/2015

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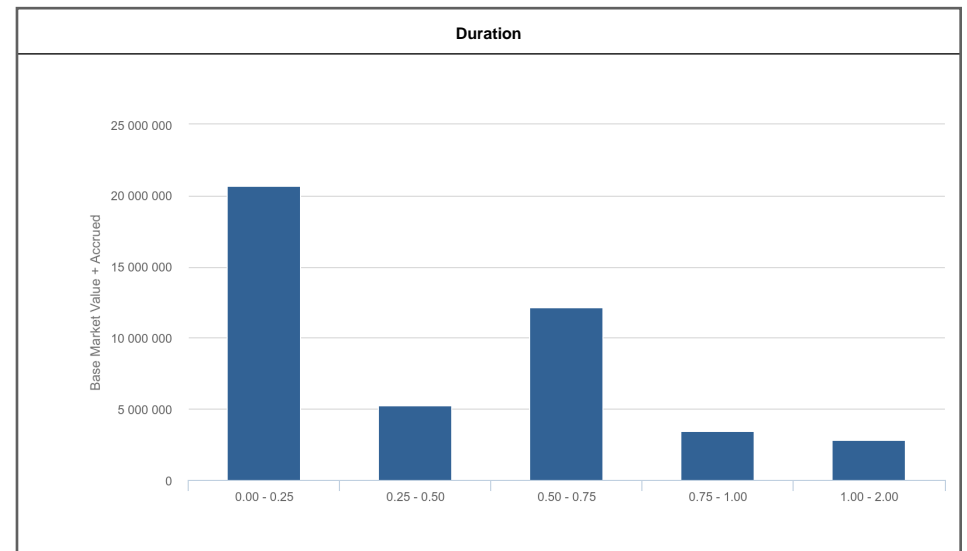
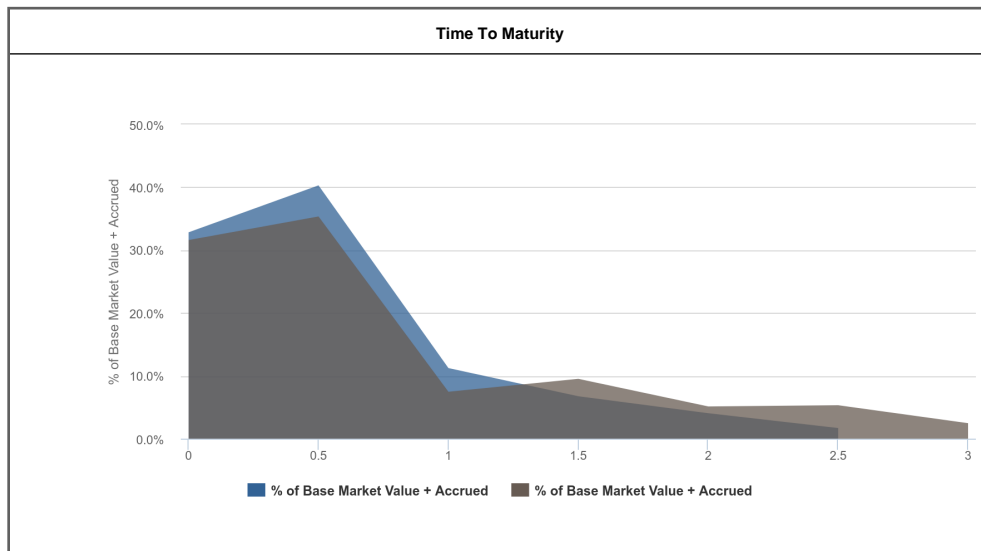
WC-Contra Costa County (19529)

Dated: 01/11/2016



Credit Duration Heat Map

Rating	0 - 1	1 - 2	2 - 3	3 - 4	4 - 5	5 - 7	7 - 10	10 - 15	15 - 30
AAA	60.883%	5.109%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
AA	17.126%	1.24%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A	15.642%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
BBB	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
BB	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
B	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CCC	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CC	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
C	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
NA	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%



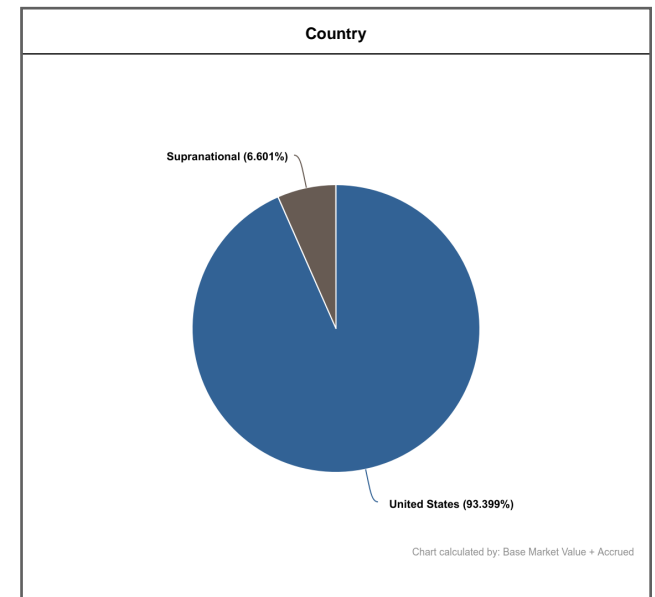
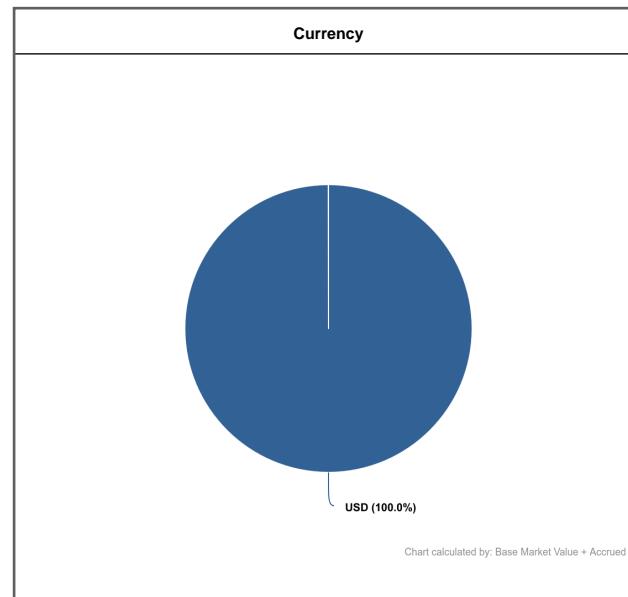
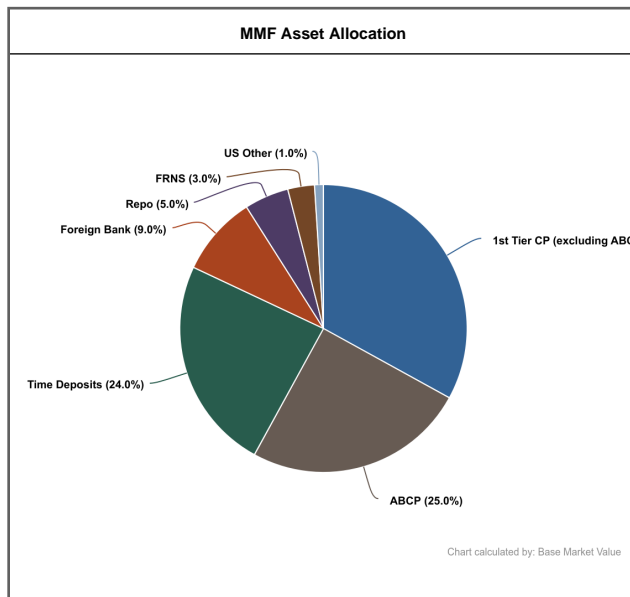
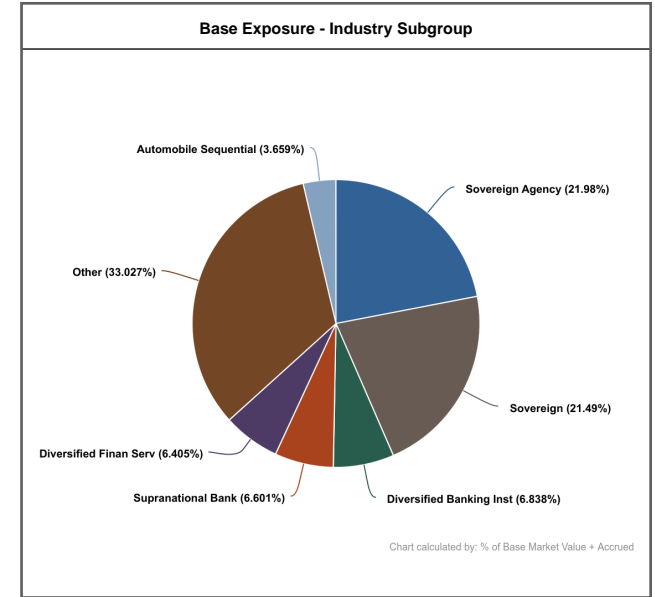
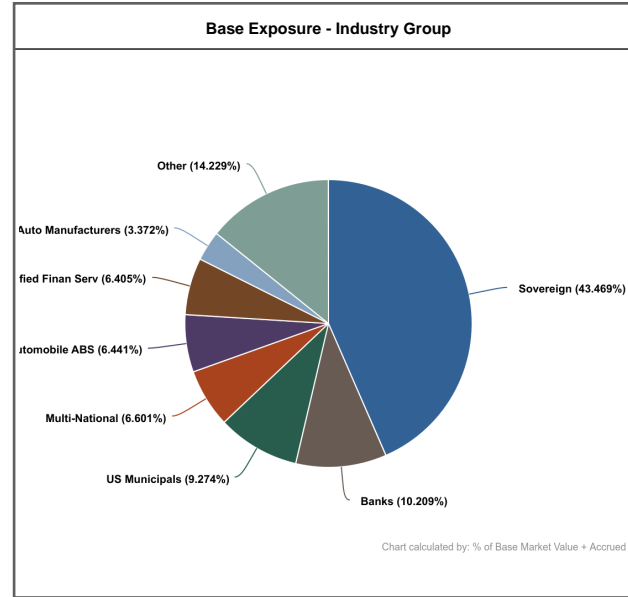
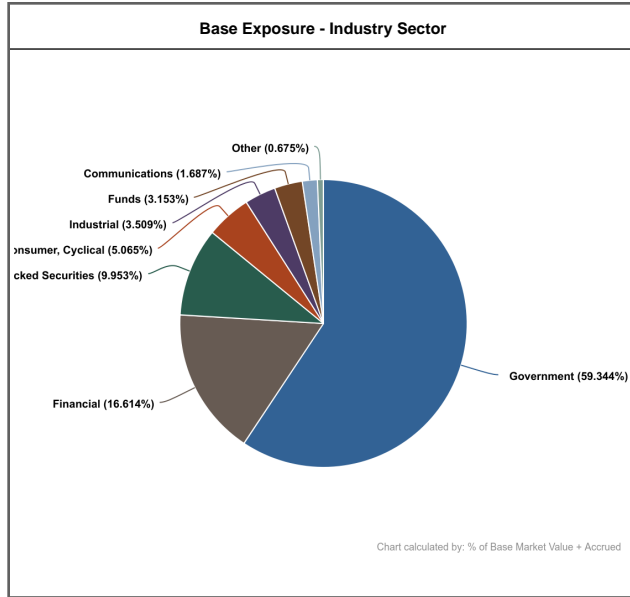
Risk Summary

10/01/2015 - 12/31/2015

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WC-Contra Costa County (19529)

Dated: 01/11/2016



Performance Summary Gross of Fees

WC-Contra Costa County (19529)

Base Currency: USD As of 12/31/2015

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Dated: 01/11/2016

Performance Summary



Period	Period Begin	Period End	Total Return	Index Total Return	Excess Total Return
Month to Date	12/01/2015	12/31/2015	-0.007%	0.043%	-0.049%
Quarter to Date	10/01/2015	12/31/2015	0.021%	0.003%	0.018%
Year to Date	01/01/2015	12/31/2015	0.427%	0.221%	0.206%
Prior Month	11/01/2015	11/30/2015	-0.005%	-0.006%	0.001%
Prior Quarter	07/01/2015	09/30/2015	0.108%	0.106%	0.001%
Prior Year	01/01/2014	12/31/2014	0.319%	0.12%	0.199%
Trailing Month	12/01/2015	12/31/2015	-0.007%	0.043%	-0.049%
Trailing Quarter	10/01/2015	12/31/2015	0.021%	0.003%	0.018%
Trailing Year	01/01/2015	12/31/2015	0.427%	0.221%	0.206%

Account	Index	Index Start Date	Index End Date
WC-Contra Costa County	ML 6 Month T-Bill	01/31/1980	11/30/2004
WC-Contra Costa County	BofA Merrill Lynch 6 Month Treasury Bill Index (G002)	12/01/2004	---

Gross of Fees (includes trading).

Returns are actual and have not been annualized.

No Tax Adjustment.

Note that data will not exist prior to the performance inception date of: 04/01/2001.

Historical data exists for the options shown below:

Performance Summary Gross of Fees

WC-Contra Costa County (19529)

Base Currency: USD As of 12/31/2015

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Dated: 01/11/2016

<i>Begin Date</i>	<i>End Date</i>	<i>Return Type</i>	<i>Fee Options</i>	<i>Tax Options</i>
04/01/2001	01/31/2011	Total Return	Net of Fees, Gross of Fees	Gross Down Method, No Tax Adjustment, Gross Up Method
04/01/2001	01/31/2011	Income Return	Gross of Fees	No Tax Adjustment
04/01/2001	01/31/2011	Price Return	Gross of Fees	No Tax Adjustment
04/01/2001	01/31/2011	Book Return	Net of Fees, Gross of Fees	Gross Down Method, No Tax Adjustment, Gross Up Method

Reported Index Return is always Total Return.

Performance Summary Net of Fees

WC-Contra Costa County (19529)

Base Currency: USD As of 12/31/2015

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Dated: 01/11/2016

Performance Summary



Period	Period Begin	Period End	Total Return	Index Total Return	Excess Total Return
Month to Date	12/01/2015	12/31/2015	-0.016%	0.043%	-0.059%
Quarter to Date	10/01/2015	12/31/2015	-0.007%	0.003%	-0.01%
Year to Date	01/01/2015	12/31/2015	0.313%	0.221%	0.092%
Prior Month	11/01/2015	11/30/2015	-0.014%	-0.006%	-0.008%
Prior Quarter	07/01/2015	09/30/2015	0.094%	0.106%	-0.013%
Prior Year	01/01/2014	12/31/2014	0.203%	0.12%	0.083%
Trailing Month	12/01/2015	12/31/2015	-0.016%	0.043%	-0.059%
Trailing Quarter	10/01/2015	12/31/2015	-0.007%	0.003%	-0.01%
Trailing Year	01/01/2015	12/31/2015	0.313%	0.221%	0.092%

Account	Index	Index Start Date	Index End Date
WC-Contra Costa County	ML 6 Month T-Bill	01/31/1980	11/30/2004
WC-Contra Costa County	BofA Merrill Lynch 6 Month Treasury Bill Index (G002)	12/01/2004	---

Net of Fees (includes management and trading).

Returns are actual and have not been annualized.

No Tax Adjustment.

Note that data will not exist prior to the performance inception date of: 04/01/2001.

Historical data exists for the options shown below:

Performance Summary Net of Fees

WC-Contra Costa County (19529)

Base Currency: USD As of 12/31/2015

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Dated: 01/11/2016

<i>Begin Date</i>	<i>End Date</i>	<i>Return Type</i>	<i>Fee Options</i>	<i>Tax Options</i>
04/01/2001	01/31/2011	Total Return	Net of Fees, Gross of Fees	Gross Down Method, No Tax Adjustment, Gross Up Method
04/01/2001	01/31/2011	Income Return	Gross of Fees	No Tax Adjustment
04/01/2001	01/31/2011	Price Return	Gross of Fees	No Tax Adjustment
04/01/2001	01/31/2011	Book Return	Net of Fees, Gross of Fees	Gross Down Method, No Tax Adjustment, Gross Up Method

Reported Index Return is always Total Return.

GAAP Financials

10/01/2015 - 12/31/2015

WC-Contra Costa County (19529)

Dated: 01/11/2016

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Balance Sheet		
<i>WC-Contra Costa County</i>		
As of:	<i>09/30/2015</i>	<i>12/31/2015</i>
Book Value	44,295,291.27	44,321,585.83
Accrued Balance	91,003.06	112,601.55
Book Value + Accrued	44,386,294.32	44,434,187.37
Net Unrealized Gain/Loss	-1,361.39	-52,374.67
Market Value + Accrued	44,384,932.93	44,381,812.71

Income Statement		
<i>WC-Contra Costa County</i>		
	<i>Begin Date</i>	<i>10/01/2015</i>
	<i>End Date</i>	<i>12/31/2015</i>
Net Amortization/Accretion Income		-43,826.70
Interest Income	103,721.99	
Dividend Income	0.00	
Misc Income	0.00	
Income Subtotal		103,721.99
Net Realized Gain/Loss	486.48	
Impairment Loss	0.00	
Net Gain/Loss		486.48
Expense	-12,488.72	
Net Income		47,893.05
Transfers In/Out		0.00
Change in Unrealized Gain/Loss		-51,013.28

Statement of Cash Flows		
<i>WC-Contra Costa County</i>		
	<i>Begin Date</i>	<i>10/01/2015</i>
	<i>End Date</i>	<i>12/31/2015</i>
Net Income		47,893.05
Amortization/Accretion on MS	43,972.92	
Change in Accrued on MS	-15,648.96	
Net Gain/Loss on MS	-486.48	
Change in Unrealized G/L on CE	-75.29	
Subtotal		27,762.19
Purchases of MS	-7,926,702.19	
Purchased Accrued of MS	-6,404.53	
Sales of MS	3,012,312.98	
Sold Accrued of MS	455.00	
Maturities of MS	4,255,000.00	
Net Purchases/Sales		-665,338.74
Transfers of Cash & CE		0.00
Total Change in Cash & CE		-589,683.49
Beginning Cash & CE		1,989,327.55
Ending Cash & CE		1,399,644.05

Income Detail

WC-Contra Costa County (19529)

Base Currency: USD 10/01/2015 - 12/31/2015

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Dated: 01/11/2016

Identifier	Base Current Units	Description	Coupon	Final Maturity	Effective Maturity	Transfers In/Out	Net Realized Gain/Loss	Net Amortization/ Accretion Income	Interest/Dividend Income	Base Expense	Base Net Income	Settle Date
02665WAY7	500,000.00	AMERICAN HONDA FINANCE CORP	1.02	09/20/2017	09/20/2017	0.00	0.00	0.00	1,043.48	0.00	1,043.48	09/24/2015
03255LGX1	750,000.00	ANAHEIM CALIF PUB FING AUTH LEASE REV	1.00	05/01/2016	05/01/2016	0.00	0.00	0.00	1,875.00	0.00	1,875.00	11/14/2014
06050TLU4	500,000.00	BANK OF AMERICA NA	0.832	02/14/2017	02/14/2017	0.00	0.00	0.00	1,029.19	0.00	1,029.19	02/14/2014
06050TMB5	250,000.00	BANK OF AMERICA NA	0.902	06/05/2017	06/05/2017	0.00	0.00	0.00	520.44	0.00	520.44	06/05/2015
06406HBX6	750,000.00	BANK OF NEW YORK MELLON CORP	2.30	07/28/2016	07/28/2016	0.00	0.00	-3,113.72	4,312.50	0.00	1,198.78	01/21/2015
05531FAG8	750,000.00	BB&T CORP	3.20	03/15/2016	02/15/2016	0.00	0.00	-4,751.39	6,000.00	0.00	1,248.61	04/06/2015
084664CD1	750,000.00	BERKSHIRE HATHAWAY FINANCE CORP	0.621	01/12/2018	01/12/2018	0.00	0.00	0.00	1,180.84	0.00	1,180.84	01/15/2015
097023BC8	0.00	BOEING CO	3.75	11/20/2016	11/20/2016	0.00	0.00	-3,005.85	3,906.25	0.00	900.40	01/26/2015
097023BC8	750,000.00	BOEING CO	3.75	11/20/2016	11/20/2016	0.00	0.00	-2,416.47	3,125.00	0.00	708.53	01/26/2015
CCYUSD	-9.65	Cash	0.00	12/31/2015	12/31/2015	0.00	0.00	0.00	0.00	-12,488.72	-12,488.72	---
14912L4X6	775,000.00	CATERPILLAR FINANCIAL SERVICES CORP	2.05	08/01/2016	08/01/2016	0.00	0.00	-2,727.56	3,971.88	0.00	1,244.31	11/04/2014
161571GJ7	775,000.00	CHAIT 2014-A1 A1	1.15	01/15/2019	01/14/2017	0.00	0.00	-252.14	2,228.13	0.00	1,975.99	08/07/2015
17275RAY8	750,000.00	CISCO SYSTEMS INC	0.822	06/15/2018	06/15/2018	0.00	0.00	0.00	1,320.36	0.00	1,320.36	06/17/2015
191216BR0	300,000.00	COCA-COLA CO	0.875	10/27/2017	10/27/2017	0.00	0.00	11.92	466.67	0.00	478.58	10/27/2015
3133EDGC0	0.00	FEDERAL FARM CREDIT BANK	0.25	11/04/2015	11/04/2015	0.00	0.00	122.17	229.17	0.00	351.34	03/24/2014
3133EDXG2	0.00	FEDERAL FARM CREDIT BANK	0.67	10/14/2016	10/14/2016	0.00	0.00	-36.62	241.94	0.00	205.32	10/24/2014
3133EFBT3	1,000,000.00	FEDERAL FARM CREDIT BANKS FUNDING CORP	0.42	09/01/2016	09/01/2016	0.00	0.00	50.27	1,050.00	0.00	1,100.27	09/01/2015
3133EDQW5	1,000,000.00	FEDERAL FARM CREDIT BANKS FUNDING CORP	0.29	01/21/2016	01/21/2016	0.00	0.00	225.72	725.00	0.00	950.72	08/01/2014
3130A4KE1	500,000.00	FEDERAL HOME LOAN BANKS	0.33	04/01/2016	04/01/2016	0.00	0.00	19.31	412.50	0.00	431.80	04/01/2015
3130A3J70	1,000,000.00	FEDERAL HOME LOAN BANKS	0.625	11/23/2016	11/23/2016	0.00	0.00	-145.84	642.36	0.00	496.52	05/18/2015
3130A3J70	0.00	FEDERAL HOME LOAN BANKS	0.625	11/23/2016	11/23/2016	0.00	0.00	-207.24	920.14	0.00	712.90	05/18/2015
3130A2T97	1,000,000.00	FEDERAL HOME LOAN BANKS	0.50	09/28/2016	09/28/2016	0.00	0.00	-241.38	1,055.56	0.00	814.18	10/15/2015
3130A2T97	500,000.00	FEDERAL HOME LOAN BANKS	0.50	09/28/2016	09/28/2016	0.00	0.00	-104.89	625.00	0.00	520.11	09/30/2015
313384SS9	1,000,000.00	FEDERAL HOME LOAN BANKS	0.00	02/05/2016	02/05/2016	0.00	0.00	638.89	0.00	0.00	638.89	02/06/2015
313384ZK8	500,000.00	FEDERAL HOME LOAN BANKS	0.00	07/15/2016	07/15/2016	0.00	0.00	76.25	0.00	0.00	76.25	12/23/2015
3130A3XU3	1,000,000.00	FEDERAL HOME LOAN BANKS	0.25	01/22/2016	01/22/2016	0.00	0.00	33.22	625.00	0.00	658.22	01/27/2015
313373SZ6	1,000,000.00	FEDERAL HOME LOAN BANKS	2.125	06/10/2016	06/10/2016	0.00	0.00	-4,062.30	5,312.50	0.00	1,250.20	07/16/2014
3136FPET0	1,000,000.00	FEDERAL NATIONAL MORTGAGE ASSOCIATION	2.00	03/10/2016	03/10/2016	0.00	0.00	-4,195.20	5,000.00	0.00	804.80	03/26/2015
3133EDGM8	0.00	FFCB 0.350 03/10/16 CALd	0.35	03/10/2016	03/10/2016	0.00	354.06	44.57	175.00	0.00	573.62	03/14/2014
3133EDGM8	0.00	FFCB 0.350 03/10/16 CALd	0.35	03/10/2016	03/10/2016	0.00	132.43	16.67	35.00	0.00	184.10	03/24/2014
3137EACW7	235,000.00	FREDDIE MAC	2.00	08/25/2016	08/25/2016	0.00	0.00	-127.40	208.89	0.00	81.49	12/15/2015
31679KAB6	86,721.92	FTAT-142-A2A	0.45	04/17/2017	01/29/2016	0.00	0.00	5.16	178.90	0.00	184.06	06/11/2014
31680GAB2	500,000.00	FTAT-151-A2A	1.02	05/15/2018	10/10/2016	0.00	0.00	1.47	793.34	0.00	794.81	11/05/2015
36164EAB1	0.00	GEETT-151-A2	0.89	11/24/2017	06/06/2016	0.00	0.00	29.25	800.32	0.00	829.57	03/04/2015
36962G6Q2	750,000.00	GENERAL ELECTRIC CAPITAL CORP	0.918	01/08/2016	01/08/2016	0.00	0.00	-422.08	1,754.58	0.00	1,332.50	09/23/2013
41284AAB4	65,802.65	HARLY-141-A2A	0.49	04/15/2018	03/13/2016	0.00	-0.01	1.39	104.40	0.00	105.78	04/16/2014
41284BAB2	319,404.33	HARLY-151-A2A	0.80	01/15/2019	07/22/2016	0.00	0.00	0.66	714.21	0.00	714.88	01/28/2015
4197915E4	750,000.00	HAWAII ST	0.731	08/01/2016	08/01/2016	0.00	0.00	0.00	1,370.63	0.00	1,370.63	11/25/2014
437076BJ0	750,000.00	HOME DEPOT INC	0.882	09/15/2017	09/15/2017	0.00	0.00	0.00	1,417.37	0.00	1,417.37	09/15/2015
43814GAB6	0.00	HONDO-142-A2	0.39	09/19/2016	12/18/2015	0.00	0.00	0.48	21.11	0.00	21.59	05/21/2014
43814KAB7	252,965.61	HONDO-151-A2	0.70	06/15/2017	04/22/2016	0.00	-0.01	4.96	520.87	0.00	525.83	01/28/2015
459058DM2	1,000,000.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.50	05/16/2016	05/16/2016	0.00	0.00	5.27	388.89	0.00	394.16	12/03/2015
459056HY6	771,000.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	02/15/2016	0.00	0.00	867.76	0.00	0.00	867.76	04/30/2015
459056HY6	163,000.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	02/15/2016	0.00	0.00	206.96	0.00	0.00	206.96	05/20/2015

Income Detail

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Identifier	Base Current Units	Description	Coupon	Final Maturity	Effective Maturity	Transfers In/Out	Net Realized Gain/Loss	Net Amortization/Accretion Income	Interest/Dividend Income	Base Expense	Base Net Income	Settle Date
45905U7F5	1,000,000.00	INTERNATIONAL BK FOR RECON & DEV MEDIUM TERM BK N	0.45	07/19/2016	07/19/2016	0.00	0.00	0.00	1,125.00	0.00	1,125.00	06/26/2015
47787VAB7	0.00	JDOT-14-A2	0.45	09/15/2016	12/15/2015	0.00	-0.00	0.40	57.10	0.00	57.50	04/09/2014
47787VAB7	0.00	JDOT-14-A2	0.45	09/15/2016	12/15/2015	0.00	-0.00	0.00	0.00	0.00	-0.00	04/09/2014
47787WAB5	400,000.00	JDOT-15B-A2	0.98	06/15/2018	11/12/2016	0.00	0.00	2.14	980.01	0.00	982.14	09/09/2015
46625HHW3	750,000.00	JPMORGAN CHASE & CO	2.60	01/15/2016	01/15/2016	0.00	0.00	-3,267.41	4,875.00	0.00	1,607.59	01/21/2015
544587B72	490,000.00	LOS ANGELES CALIF MUN IMPT CORP LEASE REV	1.26	11/01/2016	11/01/2016	0.00	0.00	0.00	720.30	0.00	720.30	11/19/2015
5446462Q4	400,000.00	LOS ANGELES CALIF UNI SCH DIST	0.486	01/01/2016	01/01/2016	0.00	0.00	0.00	486.00	0.00	486.00	08/19/2014
58768EAC3	0.00	MBALT 2014-A A2A	0.48	06/15/2016	10/15/2015	0.00	-0.00	0.01	2.92	0.00	2.92	04/09/2014
58772PAB4	650,000.00	MBART-151-A2A	0.82	06/15/2018	09/11/2016	0.00	0.00	41.87	340.53	0.00	382.39	12/08/2015
605581FW2	0.00	MISSISSIPPI ST	0.64	10/01/2016	10/01/2016	0.00	0.00	0.00	5.33	0.00	5.33	02/18/2015
605581FW2	300,000.00	MISSISSIPPI ST	0.64	10/01/2016	10/01/2016	0.00	0.00	0.00	474.67	0.00	474.67	02/18/2015
65477WAB2	396,490.98	NART-14B-A2	0.60	06/15/2017	03/23/2016	0.00	0.01	7.94	742.06	0.00	750.00	12/10/2014
677520FR4	0.00	OH ST-TXB-DEV ASST-A	5.39	10/01/2015	10/01/2015	0.00	0.00	0.00	0.00	0.00	0.00	07/11/2014
68428LDH4	300,000.00	ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	02/01/2016	0.00	0.00	0.00	510.00	0.00	510.00	02/27/2015
68428LDH4	490,000.00	ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	02/01/2016	0.00	0.00	0.00	833.00	0.00	833.00	01/13/2015
69371RK96	0.00	PACCAR FINANCIAL CORP	0.70	11/16/2015	11/16/2015	0.00	0.00	-62.39	179.38	0.00	116.99	12/23/2014
69371RK96	0.00	PACCAR FINANCIAL CORP	0.70	11/16/2015	11/16/2015	0.00	0.00	-183.60	437.50	0.00	253.90	04/02/2015
70659PAE1	0.00	PENAR 2013-1A A1	0.589	11/18/2017	11/18/2015	0.00	0.00	0.00	592.77	0.00	592.77	11/21/2013
69349LAH1	750,000.00	PNC BANK,NA	0.80	01/28/2016	01/28/2016	0.00	0.00	-649.09	1,500.00	0.00	850.91	04/30/2015
74256LAC3	0.00	PRINCIPAL LIFE GLOBAL FUNDING II	1.00	12/11/2015	12/11/2015	0.00	0.00	-273.80	486.11	0.00	212.31	06/30/2014
CCYUSD	225.38	Receivable	0.00	12/31/2015	12/31/2015	0.00	0.00	0.00	0.00	0.00	0.00	---
762494QV7	250,000.00	RIALTO CALIF UNI SCH DIST	1.258	02/01/2017	02/01/2017	0.00	0.00	0.00	786.25	0.00	786.25	03/26/2015
76912TJC8	125,000.00	RIVERSIDE CNTY CALIF PUB FING AUTH TAX ALLOC REV	1.00	09/01/2016	09/01/2016	0.00	0.00	93.10	312.50	0.00	405.60	03/26/2015
857477AH6	285,000.00	STATE STREET CORP	2.875	03/07/2016	03/07/2016	0.00	0.00	-1,614.40	2,048.44	0.00	434.03	03/23/2015
857477AH6	300,000.00	STATE STREET CORP	2.875	03/07/2016	03/07/2016	0.00	0.00	-1,755.21	2,156.25	0.00	401.04	03/03/2015
89236WAB4	495,855.46	TART-15A-A2	0.71	07/17/2017	04/29/2016	0.00	-0.00	1.41	1,003.52	0.00	1,004.93	03/04/2015
89116EC19	750,000.00	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	03/01/2016	03/01/2016	0.00	0.00	245.42	0.00	0.00	245.42	12/01/2015
89116FYH7	0.00	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	11/17/2015	11/17/2015	0.00	0.00	146.22	0.00	0.00	146.22	08/28/2015
89116FYH7	0.00	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	11/17/2015	11/17/2015	0.00	0.00	137.08	0.00	0.00	137.08	04/14/2015
89233AHP7	500,000.00	Toyota Motor Credit Corporation	0.592	02/19/2016	02/19/2016	0.00	0.00	0.00	485.23	0.00	485.23	08/28/2015
912828B82	1,000,000.00	UNITED STATES TREASURY	0.25	02/29/2016	02/29/2016	0.00	0.00	475.12	631.87	0.00	1,106.99	03/20/2014
912828QX1	1,000,000.00	UNITED STATES TREASURY	1.50	07/31/2016	07/31/2016	0.00	0.00	-2,674.02	3,750.00	0.00	1,075.98	11/06/2014
912828SY7	500,000.00	UNITED STATES TREASURY	0.625	05/31/2017	05/31/2017	0.00	0.00	81.60	486.68	0.00	568.29	11/05/2015
912828VL1	1,000,000.00	UNITED STATES TREASURY	0.625	07/15/2016	07/15/2016	0.00	0.00	-674.92	1,562.50	0.00	887.58	06/01/2015
912828RF9	1,000,000.00	UNITED STATES TREASURY	1.00	08/31/2016	08/31/2016	0.00	0.00	-1,421.41	2,527.47	0.00	1,106.06	10/31/2014
912828RF9	1,000,000.00	UNITED STATES TREASURY	1.00	08/31/2016	08/31/2016	0.00	0.00	-423.27	1,016.48	0.00	593.21	11/25/2015
912828WQ9	1,000,000.00	UNITED STATES TREASURY	0.50	06/30/2016	06/30/2016	0.00	0.00	-103.38	1,250.15	0.00	1,146.77	07/01/2014
912828TS9	1,000,000.00	UNITED STATES TREASURY	0.625	09/30/2017	09/30/2017	0.00	0.00	11.14	1,144.12	0.00	1,155.26	10/26/2015
912828PS3	1,000,000.00	UNITED STATES TREASURY	2.00	01/31/2016	01/31/2016	0.00	0.00	-4,222.16	5,000.00	0.00	777.84	07/31/2014
912828PS3	1,000,000.00	UNITED STATES TREASURY	2.00	01/31/2016	01/31/2016	0.00	0.00	-4,183.63	5,000.00	0.00	816.37	12/31/2014
91412GUT0	250,000.00	UNIVERSITY CALIF REVS	0.634	05/15/2016	05/15/2016	0.00	0.00	0.00	396.25	0.00	396.25	04/10/2014
90331HMR1	450,000.00	US BANK NA	0.62	01/26/2018	01/26/2018	0.00	0.00	-115.70	697.70	0.00	582.00	05/12/2015
90331HMR1	300,000.00	US BANK NA	0.62	01/26/2018	01/26/2018	0.00	0.00	0.00	465.13	0.00	465.13	01/27/2015
90290XAB3	480,000.00	USAOT-151-A2	0.82	03/15/2018	08/13/2016	0.00	0.00	1.97	984.00	0.00	985.97	07/29/2015
928668AD4	500,000.00	VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	0.598	05/23/2016	05/23/2016	0.00	0.00	0.00	728.90	0.00	728.90	05/23/2014
949917397	1,399,428.32	Wells Fargo:Htge MM;l	0.25	12/31/2015	12/31/2015	0.00	0.00	0.00	638.50	0.00	638.50	---
---	44,255,885.01	---	---	10/03/2016	08/04/2016	0.00	486.48	-43,826.70	103,721.99	-12,488.72	47,893.06	---

Income Detail

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* Weighted By: Ending Base Market Value + Accrued. * Holdings Displayed By: Lot.

Balance Sheet Classification

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CE

Identifier	Description	Base Current Units	Market Sector	Rating	Coupon	Final Maturity, Effective Maturity	Book Yield, Yield	Base Original Cost, Base Book Value	Base Net Total Unrealized Gain/ Loss	Market Price	Base Accrued Balance	Base Market Value	Base Market Value + Accrued
949917397	WellsFargo:Htge MM;I	1,399,428.32	Cash	AAA	0.25	12/31/2015 12/31/2015	0.00 0.00	1,399,428.32 1,399,428.32	0.00	1.00	0.00	1,399,428.32	1,399,428.32
CCYUSD	Receivable	225.38	Cash	AAA	0.00	12/31/2015 12/31/2015	0.00 0.00	225.38 225.38	0.00	1.00	0.00	225.38	225.38
CCYUSD	Cash	-9.65	Cash	AAA	0.00	12/31/2015 12/31/2015	0.00 0.00	-9.65 -9.65	0.00	1.00	0.00	-9.65	-9.65
---	---	1,399,644.05	Cash	AAA	---	12/31/2015 12/31/2015	0.00 0.00	1,399,644.05 1,399,644.05	0.00	1.00	0.00	1,399,644.05	1,399,644.05

ST

Identifier	Description	Base Current Units	Market Sector	Rating	Coupon	Final Maturity, Effective Maturity	Book Yield, Yield	Base Original Cost, Base Book Value	Base Net Total Unrealized Gain/ Loss	Market Price	Base Accrued Balance	Base Market Value	Base Market Value + Accrued
912828B82	UNITED STATES TREASURY	1,000,000.00	Government	AAA	0.25	02/29/2016 02/29/2016	0.44 0.25	996,328.13 999,695.30	226.70	99.992	844.78	999,922.00	1,000,766.78
459058DM2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	1,000,000.00	Government	AAA	0.50	05/16/2016 05/16/2016	0.507 0.428	999,970.00 999,975.27	201.73	100.018	625.00	1,000,177.00	1,000,802.00
3130A4KE1	FEDERAL HOME LOAN BANKS	500,000.00	Agency	AAA	0.33	04/01/2016 04/01/2016	0.345 0.466	499,923.19 499,980.90	-178.90	99.96	412.50	499,802.00	500,214.50
3136FPET0	FEDERAL NATIONAL MORTGAGE ASSOCIATION	1,000,000.00	Agency	AAA	2.00	03/10/2016 03/10/2016	0.326 0.226	1,015,960.00 1,003,146.40	168.60	100.332	6,166.67	1,003,315.00	1,009,481.67
313384SS9	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	A-1+	0.00	02/05/2016 02/05/2016	0.254 0.243	997,472.22 999,756.94	21.06	99.978	0.00	999,778.00	999,778.00
36962G6Q2	GENERAL ELECTRIC CAPITAL CORP	750,000.00	Financial	AA+	0.918	01/08/2016 01/08/2016	0.712 0.948	753,840.00 750,032.11	-20.11	100.001	1,625.63	750,012.00	751,637.63
459056HY6	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	163,000.00	Government	AAA	0.00	02/15/2016 02/15/2016	0.51 0.158	162,390.38 162,898.77	73.19	99.982	0.00	162,971.96	162,971.96
459056HY6	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	771,000.00	Government	AAA	0.00	02/15/2016 02/15/2016	0.451 0.158	768,255.24 770,575.55	291.84	99.982	0.00	770,867.39	770,867.39
605581FW2	MISSISSIPPI ST	300,000.00	Municipal	AA+	0.64	10/01/2016 10/01/2016	0.64 0.767	300,000.00 300,000.00	-219.00	99.927	480.00	299,781.00	300,261.00
45905U7F5	INTERNATIONAL BK FOR RECON & DEV MEDIUM TERM BK N	1,000,000.00	Government	AAA	0.45	07/19/2016 07/19/2016	0.45 1.783	1,000,000.00 1,000,000.00	-7,300.00	99.27	2,312.50	992,700.00	995,012.50
3133EDQW5	FEDERAL FARM CREDIT BANKS FUNDING CORP	1,000,000.00	Agency	AAA	0.29	01/21/2016 01/21/2016	0.38 0.278	998,680.00 999,950.93	60.07	100.001	1,288.89	1,000,011.00	1,001,299.89
69349LAH1	PNC BANK,NA	750,000.00	Financial	A+	0.80	01/28/2016 01/28/2016	0.439 0.826	751,785.00 750,000.00	-12.75	99.998	2,550.00	749,987.25	752,537.25
857477AH6	STATE STREET CORP	285,000.00	Financial	AA-	2.875	03/07/2016 03/07/2016	0.61 0.945	291,141.75 286,158.16	-154.10	100.352	2,594.69	286,004.05	288,598.74
857477AH6	STATE STREET CORP	300,000.00	Financial	AA-	2.875	03/07/2016 03/07/2016	0.538 0.945	307,059.00 301,259.17	-202.27	100.352	2,731.25	301,056.90	303,788.15
05531FAG8	BB&T CORP	750,000.00	Financial	A+	3.20	03/15/2016 02/15/2016	0.662 0.973	766,320.00 752,375.70	-324.45	100.273	7,066.67	752,051.25	759,117.92
06406HBX6	BANK OF NEW YORK MELLON CORP	750,000.00	Financial	AA-	2.30	07/28/2016 07/28/2016	0.644 0.831	768,750.00 757,073.55	-724.06	100.846	7,331.25	756,349.50	763,680.75
313384ZK8	FEDERAL HOME LOAN BANKS	500,000.00	Agency	A-1+	0.00	07/15/2016 07/15/2016	0.622 0.588	498,263.19 498,339.44	106.06	99.689	0.00	498,445.50	498,445.50
3130A3XU3	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	A-1+	0.25	01/22/2016 01/22/2016	0.263 0.144	999,870.00 999,992.42	65.58	100.005	1,097.22	1,000,058.00	1,001,155.22
3133EFBT3	FEDERAL FARM CREDIT BANKS FUNDING CORP	1,000,000.00	Agency	AAA	0.42	09/01/2016 09/01/2016	0.44 0.572	999,800.00 999,866.67	-932.67	99.893	1,400.00	998,934.00	1,000,334.00
68428LDH4	ORANGE CNTY CALIF PENSION OBLIG	300,000.00	Municipal	AA	0.68	02/01/2016 02/01/2016	0.68 0.488	300,000.00 300,000.00	45.00	100.015	838.67	300,045.00	300,883.67

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Identifier	Description	Base Current Units	Market Sector	Rating	Coupon	Final Maturity, Effective Maturity	Book Yield, Yield	Base Original Cost, Base Book Value	Base Net Total Unrealized Gain/Loss	Market Price	Base Accrued Balance	Base Market Value	Base Market Value + Accrued
68428LDH4	ORANGE CNTY CALIF PENSION OBLIG	490,000.00	Municipal	AA	0.68	02/01/2016 02/01/2016	0.68 0.488	490,000.00 490,000.00	73.50	100.015	1,369.82	490,073.50	491,443.32
03255LGX1	ANAHEIM CALIF PUB FING AUTH LEASE REV	750,000.00	Municipal	AA-	1.00	05/01/2016 05/01/2016	1.00 0.943	750,000.00 750,000.00	210.00	100.028	1,250.00	750,210.00	751,460.00
912828QX1	UNITED STATES TREASURY	1,000,000.00	Government	AAA	1.50	07/31/2016 07/31/2016	0.434 0.618	1,018,398.44 1,006,161.88	-1,122.88	100.504	6,277.17	1,005,039.00	1,011,316.17
4197915E4	HAWAII ST	750,000.00	Municipal	AA	0.731	08/01/2016 08/01/2016	0.731 0.68	750,000.00 750,000.00	345.00	100.046	2,284.38	750,345.00	752,629.38
5446462Q4	LOS ANGELES CALIF UNI SCH DIST	400,000.00	Municipal	AA	0.486	01/01/2016 01/01/2016	0.486 0.306	400,000.00 400,000.00	0.00	100.00	972.00	400,000.00	400,972.00
313373SZ6	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	AAA	2.125	06/10/2016 06/10/2016	0.50 0.647	1,030,688.00 1,007,109.02	-657.02	100.645	1,239.58	1,006,452.00	1,007,691.58
89233AHP7	Toyota Motor Credit Corporation	500,000.00	Industrial	A-1+	0.592	02/19/2016 02/19/2016	0.592 0.704	500,000.00 500,000.00	-81.50	99.983	30.24	499,918.50	499,948.74
3130A3J70	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	AAA	0.625	11/23/2016 11/23/2016	0.484 0.822	1,002,130.00 1,001,254.97	-3,213.97	99.804	659.72	998,041.00	998,700.72
91412GUT0	UNIVERSITY CALIF REVS	250,000.00	Municipal	AA	0.634	05/15/2016 05/15/2016	0.634 0.562	250,000.00 250,000.00	92.50	100.037	202.53	250,092.50	250,295.03
097023BC8	BOEING CO	750,000.00	Industrial	A	3.75	11/20/2016 11/20/2016	0.849 1.008	789,135.00 769,095.99	-1,388.49	102.361	3,203.13	767,707.50	770,910.63
89116EC19	Toronto Dominion Holdings (U.S.A.), Inc.	750,000.00	Financial	A-1+	0.00	03/01/2016 03/01/2016	0.381 0.455	749,279.58 749,525.00	-89.25	99.925	0.00	749,435.75	749,435.75
928668AD4	VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	500,000.00	Industrial	A-	0.598	05/23/2016 05/23/2016	0.602 2.706	500,000.00 500,000.00	-3,543.50	99.291	323.70	496,456.50	496,780.20
912828VL1	UNITED STATES TREASURY	1,000,000.00	Government	AAA	0.625	07/15/2016 07/15/2016	0.356 0.589	1,003,007.81 1,001,437.88	-1,359.88	100.008	2,887.23	1,000,078.00	1,002,965.23
3137EACW7	FREDDIE MAC	235,000.00	Agency	AAA	2.00	08/25/2016 08/25/2016	0.827 0.706	236,903.50 236,776.10	115.18	100.805	1,645.00	236,891.28	238,536.28
3130A2T97	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	AAA	0.50	09/28/2016 09/28/2016	0.386 0.727	1,001,080.00 1,000,838.62	-2,593.62	99.825	1,291.67	998,245.00	999,536.67
3130A2T97	FEDERAL HOME LOAN BANKS	500,000.00	Agency	AAA	0.50	09/28/2016 09/28/2016	0.416 0.727	500,415.00 500,308.97	-1,186.47	99.825	645.83	499,122.50	499,768.33
912828PS3	UNITED STATES TREASURY	1,000,000.00	Government	AAA	2.00	01/31/2016 01/31/2016	0.315 0.468	1,025,195.31 1,001,376.79	-156.79	100.122	8,369.57	1,001,220.00	1,009,589.57
912828PS3	UNITED STATES TREASURY	1,000,000.00	Government	AAA	2.00	01/31/2016 01/31/2016	0.335 0.468	1,018,007.81 1,001,364.23	-144.23	100.122	8,369.57	1,001,220.00	1,009,589.57
14912L4X6	CATERPILLAR FINANCIAL SERVICES CORP	775,000.00	Industrial	A	2.05	08/01/2016 08/01/2016	0.643 1.005	793,855.75 781,314.90	-1,569.57	100.612	6,619.79	779,745.32	786,365.12
76912TJC8	RIVERSIDE CNTY CALIF PUB FING AUTH TAX ALLOC REV	125,000.00	Municipal	A	1.00	09/01/2016 09/01/2016	1.301 1.139	124,468.75 124,753.10	155.65	99.927	416.67	124,908.75	125,325.42
544587B72	LOS ANGELES CALIF MUN IMPT CORP LEASE REV	490,000.00	Municipal	A+	1.26	11/01/2016 11/01/2016	1.26 1.082	490,000.00 490,000.00	837.90	100.171	720.30	490,837.90	491,558.20
912828RF9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	1.00	08/31/2016 08/31/2016	0.579 0.677	1,003,203.13 1,002,779.86	-748.86	100.203	3,379.12	1,002,031.00	1,005,410.12
912828RF9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	1.00	08/31/2016 08/31/2016	0.432 0.677	1,010,351.56 1,003,754.37	-1,723.37	100.203	3,379.12	1,002,031.00	1,005,410.12
912828WQ9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	0.50	06/30/2016 06/30/2016	0.459 0.516	1,000,820.31 1,000,203.39	-437.39	99.977	13.74	999,766.00	999,779.74
46625HHW3	JPMORGAN CHASE & CO	750,000.00	Financial	A+	2.60	01/15/2016 01/15/2016	0.86 1.473	762,750.00 750,497.21	-183.71	100.041	8,991.67	750,313.50	759,305.17
---	---	32,134,000.00	---	AA+	---	05/19/2016 05/18/2016	0.519 0.686	32,375,498.05 32,199,629.58	-27,179.27	---	103,907.24	32,172,450.31	32,276,357.55

Balance Sheet Classification

WC-Contra Costa County (19529)

Base Currency: USD As of 12/31/2015

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Dated: 01/11/2016

Identifier	Description	Base Current Units	Market Sector	Rating	Coupon	Final Maturity, Effective Maturity	Book Yield, Yield	Base Original Cost, Base Book Value	Base Net Total Unrealized Gain/ Loss	Market Price	Base Accrued Balance	Base Market Value	Base Market Value + Accrued
58772PAB4	MBART-151-A2A	650,000.00	Asset Backed	AAA	0.82	06/15/2018 09/11/2016	1.007 1.161	649,085.94 649,127.81	-619.17	99.771	236.89	648,508.64	648,745.53
90331HMR1	US BANK NA	450,000.00	Financial	AA	0.62	01/26/2018 01/26/2018	0.527 1.716	451,206.00 450,911.73	-3,106.38	99.512	519.17	447,805.35	448,324.52
90331HMR1	US BANK NA	300,000.00	Financial	AA	0.62	01/26/2018 01/26/2018	0.629 1.716	300,000.00 300,000.00	-1,463.10	99.512	346.11	298,536.90	298,883.01
89236WAB4	TART-15A-A2	495,855.46	Asset Backed	AAA	0.71	07/17/2017 04/29/2016	0.711 0.971	495,850.75 495,853.44	-415.84	99.916	156.47	495,437.60	495,594.07
17275RAY8	CISCO SYSTEMS INC	750,000.00	Industrial	AA-	0.822	06/15/2018 06/15/2018	0.834 1.662	750,000.00 750,000.00	-1,574.25	99.79	291.13	748,425.75	748,716.88
06050TLU4	BANK OF AMERICA NA	500,000.00	Financial	A+	0.832	02/14/2017 02/14/2017	0.846 1.724	500,000.00 500,000.00	-799.50	99.84	531.30	499,200.50	499,731.80
084664CD1	BERKSHIRE HATHAWAY FINANCE CORP	750,000.00	Financial	AA	0.621	01/12/2018 01/12/2018	0.63 1.588	750,000.00 750,000.00	-1,712.25	99.771	1,034.33	748,287.75	749,322.08
43814KAB7	HONDO-151-A2	252,965.61	Asset Backed	AAA	0.70	06/15/2017 04/22/2016	0.706 1.015	252,952.41 252,960.31	-241.23	99.903	78.70	252,719.07	252,797.77
762494QV7	RIALTO CALIF UNI SCH DIST	250,000.00	Municipal	AA	1.258	02/01/2017 02/01/2017	1.258 1.412	250,000.00 250,000.00	-335.00	99.866	1,310.42	249,665.00	250,975.42
41284BAB2	HARLY-151-A2A	319,404.33	Asset Backed	AAA	0.80	01/15/2019 07/22/2016	0.80 1.103	319,401.74 319,402.91	-526.65	99.835	113.57	318,876.26	318,989.82
161571GJ7	CHAIT 2014-A1 A1	775,000.00	Asset Backed	AAA	1.15	01/15/2019 01/14/2017	1.022 1.236	776,453.13 776,049.33	-1,648.56	99.923	396.11	774,400.77	774,796.88
912828TS9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	0.625	09/30/2017 09/30/2017	0.631 1.047	999,882.81 999,893.95	-6,807.95	99.308	1,588.11	993,086.00	994,674.11
31679KAB6	FTAT-142-A2A	86,721.92	Asset Backed	AAA	0.45	04/17/2017 01/29/2016	0.456 1.00	86,712.39 86,721.21	-37.83	99.956	17.34	86,683.38	86,700.73
06050TMB5	BANK OF AMERICA NA	250,000.00	Financial	A+	0.902	06/05/2017 06/05/2017	0.916 1.852	250,000.00 250,000.00	-835.50	99.666	156.60	249,164.50	249,321.10
912828SY7	UNITED STATES TREASURY	500,000.00	Government	AAA	0.625	05/31/2017 05/31/2017	0.73 0.959	499,179.69 499,261.29	-1,468.29	99.558	273.22	497,793.00	498,066.22
31680GAB2	FTAT-151-A2A	500,000.00	Asset Backed	AAA	1.02	05/15/2018 10/10/2016	1.024 1.344	499,986.35 499,987.82	-1,190.17	99.76	226.67	498,797.65	499,024.32
47787WAB5	JDOT-15B-A2	400,000.00	Asset Backed	AAA	0.98	06/15/2018 11/12/2016	0.983 1.258	399,986.52 399,989.14	-910.78	99.77	174.22	399,078.36	399,252.58
90290XAB3	USAOT-151-A2	480,000.00	Asset Backed	AAA	0.82	03/15/2018 08/13/2016	0.825 1.08	479,982.14 479,987.66	-727.15	99.846	174.93	479,260.51	479,435.45
02665WAY7	AMERICAN HONDA FINANCE CORP	500,000.00	Industrial	A+	1.02	09/20/2017 09/20/2017	1.036 1.676	500,000.00 500,000.00	-558.00	99.888	169.92	499,442.00	499,611.92
41284AAB4	HARLY-141-A2A	65,802.65	Asset Backed	AAA	0.49	04/15/2018 03/13/2016	0.494 0.941	65,798.20 65,801.86	-59.12	99.909	14.33	65,742.73	65,757.06
191216BR0	COCA-COLA CO	300,000.00	Industrial	AA	0.875	10/27/2017 10/27/2017	0.897 1.089	299,868.00 299,879.92	-997.72	99.627	466.67	298,882.20	299,348.87
65477WAB2	NART-14B-A2	396,490.98	Asset Backed	AAA	0.60	06/15/2017 03/23/2016	0.606 0.901	396,469.69 396,483.83	-265.71	99.931	105.73	396,218.12	396,323.85
437076BJ0	HOME DEPOT INC	750,000.00	Industrial	A	0.882	09/15/2017 09/15/2017	0.896 1.439	750,000.00 750,000.00	1,104.75	100.147	312.38	751,104.75	751,417.13
---	---	10,722,240.96	---	AA+	---	12/29/2017 04/24/2017	0.82 1.322	10,722,815.76 10,722,312.19	-25,195.40	---	8,694.31	10,697,116.80	10,705,811.11

Summary

Identifier	Description	Base Current Units	Market Sector	Rating	Coupon	Final Maturity, Effective Maturity	Book Yield, Yield	Base Original Cost, Base Book Value	Base Net Total Unrealized Gain/ Loss	Market Price	Base Accrued Balance	Base Market Value	Base Market Value + Accrued
---	---	44,255,885.01	---	AA+	---	10/03/2016 08/04/2016	0.575 0.817	44,497,957.86 44,321,585.83	-52,374.67	---	112,601.55	44,269,211.16	44,381,812.71

Balance Sheet Classification

Base Currency: USD As of 12/31/2015

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WC-Contra Costa County (19529)

Dated: 01/11/2016

* Grouped By: BS Class 2. * Groups Sorted By: BS Class 2. * Weighted By: Base Market Value + Accrued.

Trading Activity

WC-Contra Costa County (19529)

Base Currency: USD 10/01/2015 - 12/31/2015

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Dated: 01/11/2016

* Does not Lock Down.

Buy

Trade Date, Settle Date	Transaction Type	Identifier, Description	Coupon Rate	Final Maturity	Broker/Dealer	Base Original Units, Base Current Units	Price	Purchased Cost, Base Principal	Base Accrued Interest	Base Net Total Realized Gain	Base Commission	Base Amount
10/22/2015 10/27/2015	Buy	191216BR0 COCA-COLA CO	0.875	10/27/2017	Citigroup Global Markets (AU)	300,000.00 300,000.00	99.956	0.00 299,868.00	0.00	0.00	0.00	-299,868.00
10/14/2015 10/15/2015	Buy	3130A2T97 FEDERAL HOME LOAN BANK	0.50	09/28/2016	APX Asset	1,000,000.00 1,000,000.00	100.108	0.00 1,001,080.00	236.11	0.00	0.00	-1,001,316.11
12/22/2015 12/23/2015	Buy	313384ZK8 FEDERAL HOME LOAN BANKS	0.00	07/15/2016	CastleOak Securities LP	500,000.00 500,000.00	99.653	0.00 498,263.19	0.00	0.00	0.00	-498,263.19
12/14/2015 12/15/2015	Buy	3137EACW7 FREDDIE MAC	2.00	08/25/2016	CastleOak Securities LP	235,000.00 235,000.00	100.81	0.00 236,903.50	1,436.11	0.00	0.00	-238,339.61
10/28/2015 11/05/2015	Buy	31680GAB2 FTAT-151-A2A	1.02	05/15/2018	CS First Boston (BR)	500,000.00 500,000.00	99.997	0.00 499,986.35	0.00	0.00	0.00	-499,986.35
11/30/2015 12/03/2015	Buy	459058DM2 INTL BK RECON & DEVELOP	0.50	05/16/2016	CastleOak Securities LP	1,000,000.00 1,000,000.00	99.997	0.00 999,970.00	236.11	0.00	0.00	-1,000,206.11
11/04/2015 11/19/2015	Buy	544587B72 LOS ANGELES CALIF MUN IMPT CORP LEASE REV	1.26	11/01/2016	Merrill Lynch & Co. (AE)	490,000.00 490,000.00	100.00	0.00 490,000.00	0.00	0.00	0.00	-490,000.00
12/03/2015 12/08/2015	Buy	58772PAB4 MBART-151-A2A	0.82	06/15/2018	Deutsche Bank	650,000.00 650,000.00	99.859	0.00 649,085.94	340.53	0.00	0.00	-649,426.47
12/01/2015 12/01/2015	Buy	89116EC19 Toronto Dominion Holdings (U.S.A.), Inc.	0.00	03/01/2016	TORONTO DOMINION BK	750,000.00 750,000.00	99.904	0.00 749,279.58	0.00	0.00	0.00	-749,279.58
11/25/2015 11/25/2015	Buy	912828RF9 US TREASURY N/B	1.00	08/31/2016	Goldman Sachs & Co. (AU)	1,000,000.00 1,000,000.00	100.32	0.00 1,003,203.13	2,362.64	0.00	0.00	-1,005,565.77
11/04/2015 11/05/2015	Buy	912828SY7 US TREASURY N/B	0.625	05/31/2017	BARCLAYS CAPITAL INC.	500,000.00 500,000.00	99.836	0.00 499,179.69	1,349.04	0.00	0.00	-500,528.73
10/23/2015 10/26/2015	Buy	912828TS9 US TREASURY N/B	0.625	09/30/2017	Bank of Montreal, Primary Broker	1,000,000.00 1,000,000.00	99.988	0.00 999,882.81	443.99	0.00	0.00	-1,000,326.80
10/01/2015 10/01/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	772,204.47 772,204.47	1.00	772,204.47 772,204.47	0.00	0.00	0.00	-772,204.47
10/08/2015 10/08/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	1,694.81 1,694.81	1.00	1,694.81 1,694.81	0.00	0.00	0.00	-1,694.81
10/12/2015 10/15/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	1,003,350.00 1,003,350.00	1.00	1,003,350.00 1,003,350.00	0.00	0.00	0.00	-1,003,350.00
10/16/2015 10/16/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	17,661.08 17,661.08	1.00	17,661.08 17,661.08	0.00	0.00	0.00	-17,661.08
10/16/2015 10/16/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	16,205.74 16,205.74	1.00	16,205.74 16,205.74	0.00	0.00	0.00	-16,205.74
10/15/2015 10/15/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	54,268.52 54,268.52	1.00	54,268.52 54,268.52	0.00	0.00	0.00	-54,268.52
10/15/2015 10/15/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	115,937.81 115,937.81	1.00	115,937.81 115,937.81	0.00	0.00	0.00	-115,937.81
10/13/2015 10/13/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	1,123.17 1,123.17	1.00	1,123.17 1,123.17	0.00	0.00	0.00	-1,123.17
10/19/2015 10/19/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	1,200,000.00 1,200,000.00	1.00	1,200,000.00 1,200,000.00	0.00	0.00	0.00	-1,200,000.00
10/19/2015 10/19/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	18,231.60 18,231.60	1.00	18,231.60 18,231.60	0.00	0.00	0.00	-18,231.60
10/23/2015 10/23/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	296.67 296.67	1.00	296.67 296.67	0.00	0.00	0.00	-296.67
10/28/2015 10/28/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	151.79 151.79	1.00	151.79 151.79	0.00	0.00	0.00	-151.79
10/26/2015 10/26/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	1,128.21 1,128.21	1.00	1,128.21 1,128.21	0.00	0.00	0.00	-1,128.21
11/04/2015 11/04/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	1,001,250.00 1,001,250.00	1.00	1,001,250.00 1,001,250.00	0.00	0.00	0.00	-1,001,250.00
11/02/2015 11/02/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	3,938.67 3,938.67	1.00	3,938.67 3,938.67	0.00	0.00	0.00	-3,938.67

Trading Activity

WC-Contra Costa County (19529)

Base Currency: USD 10/01/2015 - 12/31/2015

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Dated: 01/11/2016

Trade Date, Settle Date	Transaction Type	Identifier, Description	Coupon Rate	Final Maturity	Broker/Dealer	Base Original Units, Base Current Units	Price	Purchased Cost, Base Principal	Base Accrued Interest	Base Net Total Realized Gain	Base Commission	Base Amount
11/13/2015 11/13/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	51,102.67 51,102.67	1.00	51,102.67 51,102.67	0.00	0.00	0.00	-51,102.67
11/17/2015 11/17/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	775,976.46 775,976.46	1.00	775,976.46 775,976.46	0.00	0.00	0.00	-775,976.46
11/16/2015 11/16/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	759,073.60 759,073.60	1.00	759,073.60 759,073.60	0.00	0.00	0.00	-759,073.60
11/16/2015 11/16/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	71,553.47 71,553.47	1.00	71,553.47 71,553.47	0.00	0.00	0.00	-71,553.47
11/16/2015 11/16/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	126,735.24 126,735.24	1.00	126,735.24 126,735.24	0.00	0.00	0.00	-126,735.24
11/20/2015 11/20/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	9,913.58 9,913.58	1.00	9,913.58 9,913.58	0.00	0.00	0.00	-9,913.58
11/19/2015 11/19/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	260,693.39 260,693.39	1.00	260,693.39 260,693.39	0.00	0.00	0.00	-260,693.39
11/18/2015 11/18/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	17,151.96 17,151.96	1.00	17,151.96 17,151.96	0.00	0.00	0.00	-17,151.96
11/24/2015 11/24/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	14,560.36 14,560.36	1.00	14,560.36 14,560.36	0.00	0.00	0.00	-14,560.36
11/23/2015 11/23/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	3,125.00 3,125.00	1.00	3,125.00 3,125.00	0.00	0.00	0.00	-3,125.00
11/23/2015 11/23/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	695.00 695.00	1.00	695.00 695.00	0.00	0.00	0.00	-695.00
12/02/2015 12/02/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	166.63 166.63	1.00	166.63 166.63	0.00	0.00	0.00	-166.63
12/01/2015 12/01/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	225.31 225.31	1.00	225.31 225.31	0.00	0.00	0.00	-225.31
11/30/2015 11/30/2015	Buy	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	1,562.50 1,562.50	1.00	1,562.50 1,562.50	0.00	0.00	0.00	-1,562.50
12/07/2015 12/07/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	488.75 488.75	1.00	488.75 488.75	0.00	0.00	0.00	-488.75
12/11/2015 12/11/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	251,250.00 251,250.00	1.00	251,250.00 251,250.00	0.00	0.00	0.00	-251,250.00
12/10/2015 12/10/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	10,625.00 10,625.00	1.00	10,625.00 10,625.00	0.00	0.00	0.00	-10,625.00
12/15/2015 12/15/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	159.11 159.11	1.00	159.11 159.11	0.00	0.00	0.00	-159.11
12/15/2015 12/15/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	2.89 2.89	1.00	2.89 2.89	0.00	0.00	0.00	-2.89
12/15/2015 12/15/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	425.00 425.00	1.00	425.00 425.00	0.00	0.00	0.00	-425.00
12/18/2015 12/18/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	11,005.69 11,005.69	1.00	11,005.69 11,005.69	0.00	0.00	0.00	-11,005.69
12/18/2015 12/18/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	3.58 3.58	1.00	3.58 3.58	0.00	0.00	0.00	-3.58
12/17/2015 12/17/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	14.73 14.73	1.00	14.73 14.73	0.00	0.00	0.00	-14.73
12/16/2015 12/16/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	7,710.68 7,710.68	1.00	7,710.68 7,710.68	0.00	0.00	0.00	-7,710.68
12/16/2015 12/16/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	326.67 326.67	1.00	326.67 326.67	0.00	0.00	0.00	-326.67
12/21/2015 12/21/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	949.06 949.06	1.00	949.06 949.06	0.00	0.00	0.00	-949.06
12/31/2015 12/31/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	2,500.00 2,500.00	1.00	2,500.00 2,500.00	0.00	0.00	0.00	-2,500.00
12/29/2015 12/29/2015	Buy	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	162.22 162.22	1.00	162.22 162.22	0.00	0.00	0.00	-162.22
---	Buy	---	---	---	---	14,510,601.09 14,510,601.09	---	6,585,601.09 14,512,303.28	6,404.53	0.00	0.00	-14,518,707.81

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Call Redemption

Trade Date, Settle Date	Transaction Type	Identifier, Description	Coupon Rate	Final Maturity	Broker/Dealer	Base Original Units, Base Current Units	Price	Purchased Cost, Base Principal	Base Accrued Interest	Base Net Total Realized Gain	Base Commission	Base Amount
10/19/2015 10/19/2015	Call Redemption	3133EDGM8 FEDERAL FARM CREDIT BANK	0.35	03/10/2016	Redemption	-1,000,000.00 -1,000,000.00	100.00	0.00 -1,000,000.00	-379.17	415.68	0.00	1,000,379.17
10/19/2015 10/19/2015	Call Redemption	3133EDGM8 FEDERAL FARM CREDIT BANK	0.35	03/10/2016	Redemption	-200,000.00 -200,000.00	100.00	0.00 -200,000.00	-75.83	70.81	0.00	200,075.83
10/01/2015 10/01/2015	Call Redemption	677520FR4 OH ST-TXB-DEV ASST-A	5.39	10/01/2015	Redemption	-750,000.00 -750,000.00	100.00	0.00 -750,000.00	0.00	0.00	0.00	750,000.00
---	Call Redemption	---	---	---	Redemption	-1,950,000.00 -1,950,000.00	100.00	0.00 -1,950,000.00	-455.00	486.49	0.00	1,950,455.00

Maturity

Trade Date, Settle Date	Transaction Type	Identifier, Description	Coupon Rate	Final Maturity	Broker/Dealer	Base Original Units, Base Current Units	Price	Purchased Cost, Base Principal	Base Accrued Interest	Base Net Total Realized Gain	Base Commission	Base Amount
11/04/2015 11/04/2015	Maturity	3133EDGC0 FEDERAL FARM CREDIT BANK	0.25	11/04/2015	Maturity	-1,000,000.00 -1,000,000.00	100.00	0.00 -1,000,000.00	0.00	0.00	0.00	1,000,000.00
11/16/2015 11/16/2015	Maturity	69371RK96 PACCAR FINANCIAL CORP	0.70	11/16/2015	Maturity	-205,000.00 -205,000.00	100.00	0.00 -205,000.00	0.00	0.00	0.00	205,000.00
11/16/2015 11/16/2015	Maturity	69371RK96 PACCAR FINANCIAL CORP	0.70	11/16/2015	Maturity	-500,000.00 -500,000.00	100.00	0.00 -500,000.00	0.00	0.00	0.00	500,000.00
12/11/2015 12/11/2015	Maturity	74256LAC3 PRINCIPAL LIFE GLOBAL FUNDING II	1.00	12/11/2015	Maturity	-250,000.00 -250,000.00	100.00	0.00 -250,000.00	0.00	0.00	0.00	250,000.00
11/17/2015 11/17/2015	Maturity	89116FYH7 Toronto Dominion Holdings (U.S.A.), Inc.	0.00	11/17/2015	Maturity	-350,000.00 -350,000.00	100.00	0.00 -350,000.00	0.00	0.00	0.00	350,000.00
11/17/2015 11/17/2015	Maturity	89116FYH7 Toronto Dominion Holdings (U.S.A.), Inc.	0.00	11/17/2015	Maturity	-350,000.00 -350,000.00	100.00	0.00 -350,000.00	0.00	0.00	0.00	350,000.00
---	Maturity	---	---	---	Maturity	-2,655,000.00 -2,655,000.00	100.00	0.00 -2,655,000.00	0.00	0.00	0.00	2,655,000.00

Principal Paydown

Trade Date, Settle Date	Transaction Type	Identifier, Description	Coupon Rate	Final Maturity	Broker/Dealer	Base Original Units, Base Current Units	Price	Purchased Cost, Base Principal	Base Accrued Interest	Base Net Total Realized Gain	Base Commission	Base Amount
12/15/2015 12/15/2015	Principal Paydown	31679KAB6 FITAT-142-A2A	0.45	04/17/2017	Direct	0.00 -46,747.54	---	0.00 -46,747.54	0.00	0.00	0.00	46,747.54
11/15/2015 11/15/2015	Principal Paydown	31679KAB6 FITAT 2014-2 A2A	0.45	04/17/2017	Direct	0.00 -52,040.59	---	0.00 -52,040.60	0.00	0.01	0.00	52,040.60
10/15/2015 10/15/2015	Principal Paydown	31679KAB6 FITAT 2014-2 A2A	0.45	04/17/2017	Direct	0.00 -54,128.63	---	0.00 -54,128.63	0.00	-0.00	0.00	54,128.63
11/23/2015 11/23/2015	Principal Paydown	36164EAB1 GEET 2015-1 A2	0.89	11/24/2017	Direct	0.00 -14,263.69	---	0.00 -14,263.69	0.00	-0.00	0.00	14,263.69
12/23/2015 12/23/2015	Principal Paydown	36164EAB1 GEETT-151-A2	0.89	11/24/2017	Direct	0.00 -385,736.31	---	0.00 -385,736.31	0.00	0.00	0.00	385,736.31
10/15/2015 10/15/2015	Principal Paydown	41284AAB4 HDMOT 2014-1 A2A	0.49	04/15/2018	Direct	0.00 -15,769.59	---	0.00 -15,769.59	0.00	-0.00	0.00	15,769.59
12/15/2015 12/15/2015	Principal Paydown	41284AAB4 HARLY-141-A2A	0.49	04/15/2018	Direct	0.00 -12,011.13	---	0.00 -12,011.12	0.00	-0.01	0.00	12,011.12
11/15/2015 11/15/2015	Principal Paydown	41284AAB4 HDMOT 2014-1 A2A	0.49	04/15/2018	Direct	0.00 -14,514.84	---	0.00 -14,514.84	0.00	0.00	0.00	14,514.84
12/15/2015 12/15/2015	Principal Paydown	41284BAB2 HARLY-151-A2A	0.80	01/15/2019	Direct	0.00 -23,880.19	---	0.00 -23,880.19	0.00	0.00	0.00	23,880.19
11/15/2015 11/15/2015	Principal Paydown	41284BAB2 HDMOT 2015-1 A2A	0.80	01/15/2019	Direct	0.00 -27,845.66	---	0.00 -27,845.66	0.00	0.00	0.00	27,845.66
10/15/2015 10/15/2015	Principal Paydown	41284BAB2 HDMOT 2015-1 A2A	0.80	01/15/2019	Direct	0.00 -28,616.89	---	0.00 -28,616.89	0.00	0.00	0.00	28,616.89

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12/18/2015 12/18/2015	Principal Paydown	43814GAB6 HONDO-142-A2	0.39	09/19/2016	Direct	0.00 -11,005.70	---	0.00 -11,005.69	0.00	-0.01	0.00	11,005.69
11/18/2015 11/18/2015	Principal Paydown	43814GAB6 HAROT 2014-2 A2	0.39	09/19/2016	Direct	0.00 -17,142.80	---	0.00 -17,142.81	0.00	0.01	0.00	17,142.81
10/18/2015 10/18/2015	Principal Paydown	43814GAB6 HAROT 2014-2 A2	0.39	09/19/2016	Direct	0.00 -17,372.50	---	0.00 -17,372.50	0.00	0.00	0.00	17,372.50
12/15/2015 12/15/2015	Principal Paydown	43814KAB7 HONDO-151-A2	0.70	06/15/2017	Direct	0.00 -31,369.24	---	0.00 -31,369.24	0.00	-0.00	0.00	31,369.24
11/15/2015 11/15/2015	Principal Paydown	43814KAB7 HAROT 2015-1 A2	0.70	06/15/2017	Direct	0.00 -33,004.06	---	0.00 -33,004.06	0.00	-0.00	0.00	33,004.06
10/15/2015 10/15/2015	Principal Paydown	43814KAB7 HAROT 2015-1 A2	0.70	06/15/2017	Direct	0.00 -17,661.08	---	0.00 -17,661.08	0.00	0.00	0.00	17,661.08
10/15/2015 10/15/2015	Principal Paydown	47787VAB7 JDOT 2014-A A2	0.45	09/15/2016	Direct	0.00 -51,102.67	---	0.00 -51,102.67	0.00	-0.00	0.00	51,102.67
11/15/2015 11/15/2015	Principal Paydown	47787VAB7 JDOT 2014-A A2	0.45	09/15/2016	Direct	0.00 -74,594.22	---	0.00 -74,594.21	0.00	-0.01	0.00	74,594.21
12/15/2015 12/15/2015	Principal Paydown	47787VAB7 JDOT-14-A2	0.45	09/15/2016	Direct	0.00 -7,710.69	---	0.00 -7,710.69	0.00	0.00	0.00	7,710.69
10/15/2015 10/15/2015	Principal Paydown	58768EAC3 MBALT 2014-A A2A	0.48	06/15/2016	Direct	0.00 -15,632.82	---	0.00 -15,632.82	0.00	-0.00	0.00	15,632.82
12/15/2015 12/15/2015	Principal Paydown	65477WAB2 NART-14B-A2	0.60	06/15/2017	Direct	0.00 -63,615.73	---	0.00 -63,615.73	0.00	0.00	0.00	63,615.73
10/15/2015 10/15/2015	Principal Paydown	65477WAB2 NAROT 2014-B A2	0.60	06/15/2017	Direct	0.00 -71,114.11	---	0.00 -71,114.11	0.00	-0.00	0.00	71,114.11
11/15/2015 11/15/2015	Principal Paydown	65477WAB2 NAROT 2014-B A2	0.60	06/15/2017	Direct	0.00 -71,287.77	---	0.00 -71,287.77	0.00	0.00	0.00	71,287.77
11/18/2015 11/18/2015	Principal Paydown	70659PAE1 PENAR 2013-1A A1	0.589	11/18/2017	Direct	0.00 -750,000.00	---	0.00 -750,000.00	0.00	0.00	0.00	750,000.00
12/15/2015 12/15/2015	Principal Paydown	89236WAB4 TART-15A-A2	0.71	07/17/2017	Direct	0.00 -55,774.07	---	0.00 -55,774.07	0.00	-0.00	0.00	55,774.07
11/15/2015 11/15/2015	Principal Paydown	89236WAB4 TAOT 2015-A A2	0.71	07/17/2017	Direct	0.00 -48,370.47	---	0.00 -48,370.47	0.00	0.00	0.00	48,370.47
---	Principal Paydown	---	---	---	Direct	0.00 -2,012,312.98	---	0.00 -2,012,312.98	0.00	-0.00	0.00	2,012,312.98

Sell

Trade Date, Settle Date	Transaction Type	Identifier, Description	Coupon Rate	Final Maturity	Broker/Dealer	Base Original Units, Base Current Units	Price	Purchased Cost, Base Principal	Base Accrued Interest	Base Net Total Realized Gain	Base Commission	Base Amount
10/14/2015 10/14/2015	Sell	3133EDXG2 FEDERAL FARM CREDIT BANK	0.67	10/14/2016	Not Provided	-1,000,000.00 -1,000,000.00	100.00	0.00 -1,000,000.00	0.00	0.00	0.00	1,000,000.00
10/15/2015 10/15/2015	Sell	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	-999,694.98 -999,694.98	1.00	-999,694.98 -999,694.98	0.00	0.00	0.00	999,694.98
10/20/2015 10/20/2015	Sell	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	-4,250.38 -4,250.38	1.00	-4,250.38 -4,250.38	0.00	0.00	0.00	4,250.38
10/27/2015 10/27/2015	Sell	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	-299,868.00 -299,868.00	1.00	-299,868.00 -299,868.00	0.00	0.00	0.00	299,868.00
10/26/2015 10/26/2015	Sell	949917397 WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	Direct	-1,000,326.80 -1,000,326.80	1.00	-1,000,326.80 -1,000,326.80	0.00	0.00	0.00	1,000,326.80
11/05/2015 11/05/2015	Sell	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	-1,000,515.08 -1,000,515.08	1.00	-1,000,515.08 -1,000,515.08	0.00	0.00	0.00	1,000,515.08
11/25/2015 11/25/2015	Sell	949917397 WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	Direct	-1,005,565.77 -1,005,565.77	1.00	-1,005,565.77 -1,005,565.77	0.00	0.00	0.00	1,005,565.77
12/03/2015 12/03/2015	Sell	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	-1,000,206.11 -1,000,206.11	1.00	-1,000,206.11 -1,000,206.11	0.00	0.00	0.00	1,000,206.11
12/01/2015 12/01/2015	Sell	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	-749,279.58 -749,279.58	1.00	-749,279.58 -749,279.58	0.00	0.00	0.00	749,279.58
12/08/2015 12/08/2015	Sell	949917397 WellsFargo:Htge MM;I	0.25	12/31/2015	Direct	-649,426.47 -649,426.47	1.00	-649,426.47 -649,426.47	0.00	0.00	0.00	649,426.47

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12/23/2015 12/23/2015	Sell	949917397 WellsFargo:Htge MM;l	0.25	12/31/2015	Direct	-112,240.79 -112,240.79	1.00	-112,240.79 -112,240.79	0.00	0.00	0.00	112,240.79
12/21/2015 12/21/2015	Sell	949917397 WellsFargo:Htge MM;l	0.25	12/31/2015	Direct	-4,089.42 -4,089.42	1.00	-4,089.42 -4,089.42	0.00	0.00	0.00	4,089.42
---	Sell	---	---	---	---	-7,825,463.38	---	-6,825,463.38	0.00	0.00	0.00	7,825,463.38
---		---				-7,825,463.38		-7,825,463.38				

Summary

Trade Date, Settle Date	Transaction Type	Identifier, Description	Coupon Rate	Final Maturity	Broker/Dealer	Base Original Units, Base Current Units	Price	Purchased Cost, Base Principal	Base Accrued Interest	Base Net Total Realized Gain	Base Commission	Base Amount
---	---	---	---	---	---	2,080,137.71	---	-239,862.29	5,949.53	486.48	0.00	-75,476.45
---		---				67,824.73		69,526.92				

* Grouped By: Transaction Type. * Groups Sorted By: Transaction Type. * Showing transactions with Trade Date within selected date range. * MMF transactions are expanded.

* The Transaction Detail/Trading Activity reports provide our most up-to-date transactional details. As such, these reports are subject to change even after the other reports on the website have been locked down. While these reports can be useful tools in understanding recent activity, due to their dynamic nature we do not recommend using them for booking journal entries or reconciliation.

Transaction Detail

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* Does not Lock Down.

Receivable

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
12/31/2015	12/31/2015	Money Market Funds	0.00	949917397	WellsFargo:Htge MM;I	0.25	12/31/2015	---	225.38
12/31/2015	12/31/2015	Money Market Funds	0.00	949917397	WellsFargo:Htge MM;I	0.25	12/31/2015	---	225.38

Settled

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
12/20/2015	12/20/2015	Coupon	0.00	02665WAY7	AMERICAN HONDA FINANCE CORP	1.02	09/20/2017	---	949.06
11/01/2015	11/01/2015	Coupon	0.00	03255LGX1	ANAHEIM FING AUTH-B	1.00	05/01/2016	---	3,750.00
11/16/2015	11/16/2015	Coupon	0.00	06050TLU4	BANK OF AMERICA NA	0.832	02/14/2017	---	1,017.42
12/07/2015	12/07/2015	Coupon	0.00	06050TMB5	BANK OF AMERICA NA	0.902	06/05/2017	---	488.75
10/13/2015	10/13/2015	Coupon	0.00	084664CD1	BERKSHIRE HATHAWAY FIN	0.621	01/12/2018	---	1,123.17
11/20/2015	11/20/2015	Coupon	0.00	097023BC8	BOEING CO	3.75	11/20/2016	---	14,062.50
12/15/2015	12/15/2015	Coupon	0.00	161571GJ7	CHAIT 2014-A1 A1	1.15	01/15/2019	---	742.71
10/15/2015	10/15/2015	Coupon	0.00	161571GJ7	CHAIT 2014-A1 A1	1.15	01/15/2019	---	742.71
11/15/2015	11/15/2015	Coupon	0.00	161571GJ7	CHAIT 2014-A1 A1	1.15	01/15/2019	---	742.71
12/15/2015	12/15/2015	Coupon	0.00	17275RAY8	CISCO SYSTEMS INC	0.822	06/15/2018	---	1,226.98
10/22/2015	10/27/2015	Buy	300,000.00	191216BR0	COCA-COLA CO	0.875	10/27/2017	99.956	-299,868.00
10/14/2015	10/15/2015	Buy	1,000,000.00	3130A2T97	FEDERAL HOME LOAN BANK	0.50	09/28/2016	100.108	-1,001,316.11
11/23/2015	11/23/2015	Coupon	0.00	3130A3J70	FEDERAL HOME LOAN BANK	0.625	11/23/2016	---	3,125.00
10/01/2015	10/01/2015	Coupon	0.00	3130A4KE1	FEDERAL HOME LOAN BANK	0.33	04/01/2016	---	925.83
12/10/2015	12/10/2015	Coupon	0.00	313373SZ6	FEDERAL HOME LOAN BANKS	2.125	06/10/2016	---	10,625.00
12/22/2015	12/23/2015	Buy	500,000.00	313384ZK8	FEDERAL HOME LOAN BANKS	0.00	07/15/2016	99.653	-498,263.19
11/04/2015	11/04/2015	Coupon	0.00	3133EDGC0	FEDERAL FARM CREDIT BANK	0.25	11/04/2015	---	1,250.00
11/04/2015	11/04/2015	Maturity	-1,000,000.00	3133EDGC0	FEDERAL FARM CREDIT BANK	0.25	11/04/2015	100.00	1,000,000.00
10/19/2015	10/19/2015	Call Redemption	-1,000,000.00	3133EDGM8	FEDERAL FARM CREDIT BANK	0.35	03/10/2016	100.00	1,000,379.17
10/19/2015	10/19/2015	Call Redemption	-200,000.00	3133EDGM8	FEDERAL FARM CREDIT BANK	0.35	03/10/2016	100.00	200,075.83
10/14/2015	10/14/2015	Sell	-1,000,000.00	3133EDXG2	FEDERAL FARM CREDIT BANK	0.67	10/14/2016	100.00	1,000,000.00
10/14/2015	10/14/2015	Coupon	0.00	3133EDXG2	FEDERAL FARM CREDIT BANK	0.67	10/14/2016	---	3,350.00
12/14/2015	12/15/2015	Buy	235,000.00	3137EACW7	FREDDIE MAC	2.00	08/25/2016	100.81	-238,339.61
12/15/2015	12/15/2015	Coupon	0.00	31679KAB6	FTAT-142-A2A	0.45	04/17/2017	---	50.05
12/15/2015	12/15/2015	Principal Paydown	-46,747.54	31679KAB6	FTAT-142-A2A	0.45	04/17/2017	---	46,747.54
11/15/2015	11/15/2015	Coupon	0.00	31679KAB6	FITAT 2014-2 A2A	0.45	04/17/2017	---	69.57
11/15/2015	11/15/2015	Principal Paydown	-52,040.59	31679KAB6	FITAT 2014-2 A2A	0.45	04/17/2017	---	52,040.60
10/15/2015	10/15/2015	Coupon	0.00	31679KAB6	FITAT 2014-2 A2A	0.45	04/17/2017	---	89.86
10/15/2015	10/15/2015	Principal Paydown	-54,128.63	31679KAB6	FITAT 2014-2 A2A	0.45	04/17/2017	---	54,128.63
11/15/2015	11/15/2015	Coupon	0.00	31680GAB2	FTAT-151-A2A	1.02	05/15/2018	---	141.67
12/15/2015	12/15/2015	Coupon	0.00	31680GAB2	FTAT-151-A2A	1.02	05/15/2018	---	425.00
10/28/2015	11/05/2015	Buy	500,000.00	31680GAB2	FTAT-151-A2A	1.02	05/15/2018	99.997	-499,986.35
11/23/2015	11/23/2015	Coupon	0.00	36164EAB1	GEET 2014-1 A2	0.89	11/24/2017	---	296.67
11/23/2015	11/23/2015	Principal Paydown	-14,263.69	36164EAB1	GEET 2014-1 A2	0.89	11/24/2017	---	14,263.69
10/23/2015	10/23/2015	Coupon	0.00	36164EAB1	GEET 2015-1 A2	0.89	11/24/2017	---	296.67
12/23/2015	12/23/2015	Principal Paydown	-385,736.31	36164EAB1	GEETT-151-A2	0.89	11/24/2017	---	385,736.31
12/23/2015	12/23/2015	Coupon	0.00	36164EAB1	GEETT-151-A2	0.89	11/24/2017	---	286.09
10/08/2015	10/08/2015	Coupon	0.00	36962G6Q2	GENERAL ELEC CAP CORP	0.918	01/08/2016	---	1,694.81
10/15/2015	10/15/2015	Coupon	0.00	41284AAB4	HDMOT 2014-1 A2A	0.49	04/15/2018	---	44.14
10/15/2015	10/15/2015	Principal Paydown	-15,769.59	41284AAB4	HDMOT 2014-1 A2A	0.49	04/15/2018	---	15,769.59

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12/15/2015	12/15/2015	Coupon	0.00	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	31.77
12/15/2015	12/15/2015	Principal Paydown	-12,011.13	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	12,011.12
11/15/2015	11/15/2015	Coupon	0.00	41284AAB4	HDMOT 2014-1 A2A	0.49	04/15/2018	---	37.70
11/15/2015	11/15/2015	Principal Paydown	-14,514.84	41284AAB4	HDMOT 2014-1 A2A	0.49	04/15/2018	---	14,514.84
12/15/2015	12/15/2015	Coupon	0.00	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	228.86
12/15/2015	12/15/2015	Principal Paydown	-23,880.19	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	23,880.19
11/15/2015	11/15/2015	Coupon	0.00	41284BAB2	HDMOT 2015-1 A2A	0.80	01/15/2019	---	247.42
11/15/2015	11/15/2015	Principal Paydown	-27,845.66	41284BAB2	HDMOT 2015-1 A2A	0.80	01/15/2019	---	27,845.66
10/15/2015	10/15/2015	Coupon	0.00	41284BAB2	HDMOT 2015-1 A2A	0.80	01/15/2019	---	266.50
10/15/2015	10/15/2015	Principal Paydown	-28,616.89	41284BAB2	HDMOT 2015-1 A2A	0.80	01/15/2019	---	28,616.89
12/15/2015	12/15/2015	Coupon	0.00	437076BJ0	HOME DEPOT INC	0.882	09/15/2017	---	1,340.73
12/18/2015	12/18/2015	Principal Paydown	-11,005.70	43814GAB6	HONDO-142-A2	0.39	09/19/2016	---	11,005.69
12/18/2015	12/18/2015	Coupon	0.00	43814GAB6	HONDO-142-A2	0.39	09/19/2016	---	3.58
11/18/2015	11/18/2015	Principal Paydown	-17,142.80	43814GAB6	HAROT 2014-2 A2	0.39	09/19/2016	---	17,142.81
11/18/2015	11/18/2015	Coupon	0.00	43814GAB6	HAROT 2014-2 A2	0.39	09/19/2016	---	9.15
10/18/2015	10/18/2015	Coupon	0.00	43814GAB6	HAROT 2014-2 A2	0.39	09/19/2016	---	14.79
10/18/2015	10/18/2015	Principal Paydown	-17,372.50	43814GAB6	HAROT 2014-2 A2	0.39	09/19/2016	---	17,372.50
12/15/2015	12/15/2015	Coupon	0.00	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	165.86
12/15/2015	12/15/2015	Principal Paydown	-31,369.24	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	31,369.24
11/15/2015	11/15/2015	Coupon	0.00	43814KAB7	HAROT 2015-1 A2	0.70	06/15/2017	---	185.11
11/15/2015	11/15/2015	Principal Paydown	-33,004.06	43814KAB7	HAROT 2015-1 A2	0.70	06/15/2017	---	33,004.06
10/15/2015	10/15/2015	Principal Paydown	-17,661.08	43814KAB7	HAROT 2015-1 A2	0.70	06/15/2017	---	17,661.08
10/15/2015	10/15/2015	Coupon	0.00	43814KAB7	HAROT 2015-1 A2	0.70	06/15/2017	---	195.42
11/30/2015	12/03/2015	Buy	1,000,000.00	459058DM2	INTL BK RECON & DEVELOP	0.50	05/16/2016	99.997	-1,000,206.11
10/15/2015	10/15/2015	Coupon	0.00	47787VAB7	JDOT 2014-A A2	0.45	09/15/2016	---	50.03
10/15/2015	10/15/2015	Principal Paydown	-51,102.67	47787VAB7	JDOT 2014-A A2	0.45	09/15/2016	---	51,102.67
11/15/2015	11/15/2015	Principal Paydown	-74,594.22	47787VAB7	JDOT 2014-A A2	0.45	09/15/2016	---	74,594.21
11/15/2015	11/15/2015	Coupon	0.00	47787VAB7	JDOT 2014-A A2	0.45	09/15/2016	---	30.86
12/15/2015	12/15/2015	Coupon	0.00	47787VAB7	JDOT-14-A2	0.45	09/15/2016	---	2.89
12/15/2015	12/15/2015	Principal Paydown	-7,710.69	47787VAB7	JDOT-14-A2	0.45	09/15/2016	---	7,710.69
12/15/2015	12/15/2015	Coupon	0.00	47787WAB5	JDOT-15B-A2	0.98	06/15/2018	---	326.67
10/15/2015	10/15/2015	Coupon	0.00	47787WAB5	JDOT 2015-B A2	0.98	06/15/2018	---	392.00
11/15/2015	11/15/2015	Coupon	0.00	47787WAB5	JDOT 2015-B A2	0.98	06/15/2018	---	326.67
11/04/2015	11/19/2015	Buy	490,000.00	544587B72	LOS ANGELES CALIF MUN IMPT CORP LEASE REV	1.26	11/01/2016	100.00	-490,000.00
10/15/2015	10/15/2015	Coupon	0.00	58768EAC3	MBALT 2014-A A2A	0.48	06/15/2016	---	6.25
10/15/2015	10/15/2015	Principal Paydown	-15,632.82	58768EAC3	MBALT 2014-A A2A	0.48	06/15/2016	---	15,632.82
12/03/2015	12/08/2015	Buy	650,000.00	58772PAB4	MBART-151-A2A	0.82	06/15/2018	99.859	-649,426.47
12/15/2015	12/15/2015	Coupon	0.00	58772PAB4	MBART-151-A2A	0.82	06/15/2018	---	444.17
10/01/2015	10/01/2015	Coupon	0.00	605581FW2	MISSISSIPPI ST-B-TXBL	0.64	10/01/2016	---	960.00
12/15/2015	12/15/2015	Coupon	0.00	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	230.05
12/15/2015	12/15/2015	Principal Paydown	-63,615.73	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	63,615.73
10/15/2015	10/15/2015	Principal Paydown	-71,114.11	65477WAB2	NAROT 2014-B A2	0.60	06/15/2017	---	71,114.11
10/15/2015	10/15/2015	Coupon	0.00	65477WAB2	NAROT 2014-B A2	0.60	06/15/2017	---	301.25
11/15/2015	11/15/2015	Coupon	0.00	65477WAB2	NAROT 2014-B A2	0.60	06/15/2017	---	265.70
11/15/2015	11/15/2015	Principal Paydown	-71,287.77	65477WAB2	NAROT 2014-B A2	0.60	06/15/2017	---	71,287.77
10/01/2015	10/01/2015	Coupon	0.00	677520FR4	OH ST-TXB-DEV ASST-A	5.39	10/01/2015	---	20,212.50
10/01/2015	10/01/2015	Call Redemption	-750,000.00	677520FR4	OH ST-TXB-DEV ASST-A	5.39	10/01/2015	100.00	750,000.00
11/16/2015	11/16/2015	Coupon	0.00	69371RK96	PACCAR FINANCIAL CORP	0.70	11/16/2015	---	2,467.50
11/16/2015	11/16/2015	Maturity	-205,000.00	69371RK96	PACCAR FINANCIAL CORP	0.70	11/16/2015	100.00	205,000.00

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11/16/2015	11/16/2015	Maturity	-500,000.00	69371RK96	PACCAR FINANCIAL CORP	0.70	11/16/2015	100.00	500,000.00
11/18/2015	11/18/2015	Coupon	0.00	70659PAE1	PENAR 2013-1A A1	0.589	11/18/2017	---	366.72
11/18/2015	11/18/2015	Principal Paydown	-750,000.00	70659PAE1	PENAR 2013-1A A1	0.589	11/18/2017	---	750,000.00
10/19/2015	10/19/2015	Coupon	0.00	70659PAE1	PENAR 2013-1A A1	0.587	11/18/2017	---	389.31
12/11/2015	12/11/2015	Coupon	0.00	74256LAC3	PRINCIPAL LIFE GLOBAL FUNDING II	1.00	12/11/2015	---	1,250.00
12/11/2015	12/11/2015	Maturity	-250,000.00	74256LAC3	PRINCIPAL LIFE GLOBAL FUNDING II	1.00	12/11/2015	100.00	250,000.00
12/01/2015	12/01/2015	Buy	750,000.00	89116EC19	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	03/01/2016	99.904	-749,279.58
11/17/2015	11/17/2015	Maturity	-350,000.00	89116FYH7	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	11/17/2015	100.00	350,000.00
11/17/2015	11/17/2015	Maturity	-350,000.00	89116FYH7	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	11/17/2015	100.00	350,000.00
11/28/2015	11/28/2015	Coupon	0.00	89233AHP7	Toyota Motor Credit Corporation	0.364	02/19/2016	---	166.63
10/28/2015	10/28/2015	Coupon	0.00	89233AHP7	Toyota Motor Credit Corporation	0.364	02/19/2016	---	152.00
12/28/2015	12/28/2015	Coupon	0.00	89233AHP7	Toyota Motor Credit Corporation	0.403	02/19/2016	---	162.22
10/15/2015	10/15/2015	Coupon	0.00	89236WAB4	TAOT 2015-A A2	0.71	07/17/2017	---	355.00
12/15/2015	12/15/2015	Principal Paydown	-55,774.07	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	55,774.07
12/15/2015	12/15/2015	Coupon	0.00	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	326.38
11/15/2015	11/15/2015	Coupon	0.00	89236WAB4	TAOT 2015-A A2	0.71	07/17/2017	---	355.00
11/15/2015	11/15/2015	Principal Paydown	-48,370.47	89236WAB4	TAOT 2015-A A2	0.71	07/17/2017	---	48,370.47
11/15/2015	11/15/2015	Coupon	0.00	90290XAB3	USAOT 2015-1 A2	0.82	03/15/2018	---	328.00
10/15/2015	10/15/2015	Coupon	0.00	90290XAB3	USAOT 2015-1 A2	0.82	03/15/2018	---	328.00
12/15/2015	12/15/2015	Coupon	0.00	90290XAB3	USAOT-151-A2	0.82	03/15/2018	---	328.00
10/26/2015	10/26/2015	Coupon	0.00	90331HMR1	US BANK NA CINCINNATI	0.62	01/26/2018	---	1,128.21
11/25/2015	11/25/2015	Buy	1,000,000.00	912828RF9	US TREASURY N/B	1.00	08/31/2016	100.32	-1,005,565.77
11/30/2015	11/30/2015	Coupon	0.00	912828SY7	US TREASURY N/B	0.625	05/31/2017	---	1,562.50
11/04/2015	11/05/2015	Buy	500,000.00	912828SY7	US TREASURY N/B	0.625	05/31/2017	99.836	-500,528.73
10/23/2015	10/26/2015	Buy	1,000,000.00	912828TS9	US TREASURY N/B	0.625	09/30/2017	99.988	-1,000,326.80
12/31/2015	12/31/2015	Coupon	0.00	912828WQ9	UNITED STATES TREASURY	0.50	06/30/2016	---	2,500.00
11/15/2015	11/15/2015	Coupon	0.00	91412GUT0	UNIV OF CALIFORNIA-AN	0.634	05/15/2016	---	792.50
11/23/2015	11/23/2015	Coupon	0.00	928668AD4	VOLKSWAGEN GROUP AMERICA	0.598	05/23/2016	---	695.00
10/01/2015	10/01/2015	Buy	772,204.47	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-772,204.47
10/08/2015	10/08/2015	Buy	1,694.81	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-1,694.81
10/12/2015	10/15/2015	Buy	1,003,350.00	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-1,003,350.00
10/16/2015	10/16/2015	Buy	16,205.74	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-16,205.74
10/16/2015	10/16/2015	Buy	17,661.08	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-17,661.08
10/15/2015	10/15/2015	Sell	-999,694.98	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	999,694.98
10/15/2015	10/15/2015	Buy	115,937.81	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-115,937.81
10/15/2015	10/15/2015	Buy	54,268.52	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-54,268.52
10/13/2015	10/13/2015	Buy	1,123.17	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-1,123.17
10/20/2015	10/20/2015	Sell	-4,250.38	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	4,250.38
10/19/2015	10/19/2015	Buy	1,200,000.00	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-1,200,000.00
10/19/2015	10/19/2015	Buy	18,231.60	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-18,231.60
10/23/2015	10/23/2015	Buy	296.67	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-296.67
10/28/2015	10/28/2015	Buy	151.79	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-151.79
10/27/2015	10/27/2015	Sell	-299,868.00	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	299,868.00
10/26/2015	10/26/2015	Buy	1,128.21	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	-1,128.21
10/26/2015	10/26/2015	Sell	-1,000,326.80	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	1.00	1,000,326.80
10/31/2015	10/31/2015	Money Market Funds	0.00	949917397	WFA HERITAGE MONEY MARK-I	0.06	12/31/2015	---	188.67
11/05/2015	11/05/2015	Sell	-1,000,515.08	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	1,000,515.08
11/04/2015	11/04/2015	Buy	1,001,250.00	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-1,001,250.00
11/02/2015	11/02/2015	Buy	3,938.67	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-3,938.67
11/13/2015	11/13/2015	Buy	51,102.67	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-51,102.67

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11/17/2015	11/17/2015	Buy	775,976.46	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-775,976.46
11/16/2015	11/16/2015	Buy	71,553.47	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-71,553.47
11/16/2015	11/16/2015	Buy	759,073.60	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-759,073.60
11/16/2015	11/16/2015	Buy	126,735.24	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-126,735.24
11/20/2015	11/20/2015	Buy	9,913.58	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-9,913.58
11/19/2015	11/19/2015	Buy	260,693.39	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-260,693.39
11/18/2015	11/18/2015	Buy	17,151.96	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-17,151.96
11/25/2015	11/25/2015	Sell	-1,005,565.77	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	1,005,565.77
11/24/2015	11/24/2015	Buy	14,560.36	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-14,560.36
11/23/2015	11/23/2015	Buy	695.00	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-695.00
11/23/2015	11/23/2015	Buy	3,125.00	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-3,125.00
12/03/2015	12/03/2015	Sell	-1,000,206.11	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	1,000,206.11
12/02/2015	12/02/2015	Buy	166.63	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-166.63
12/01/2015	12/01/2015	Buy	225.31	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-225.31
12/01/2015	12/01/2015	Sell	-749,279.58	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	749,279.58
11/30/2015	11/30/2015	Money Market Funds	0.00	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	---	225.31
11/30/2015	11/30/2015	Buy	1,562.50	949917397	WFA HERITAGE MONEY MARK-I	0.08	12/31/2015	1.00	-1,562.50
12/07/2015	12/07/2015	Buy	488.75	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-488.75
12/11/2015	12/11/2015	Buy	251,250.00	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-251,250.00
12/10/2015	12/10/2015	Buy	10,625.00	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-10,625.00
12/08/2015	12/08/2015	Sell	-649,426.47	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	649,426.47
12/15/2015	12/15/2015	Buy	2.89	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-2.89
12/15/2015	12/15/2015	Buy	159.11	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-159.11
12/15/2015	12/15/2015	Buy	425.00	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-425.00
12/18/2015	12/18/2015	Buy	3.58	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-3.58
12/18/2015	12/18/2015	Buy	11,005.69	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-11,005.69
12/17/2015	12/17/2015	Buy	14.73	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-14.73
12/16/2015	12/16/2015	Buy	326.67	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-326.67
12/16/2015	12/16/2015	Buy	7,710.68	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-7,710.68
12/23/2015	12/23/2015	Sell	-112,240.79	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	112,240.79
12/21/2015	12/21/2015	Buy	949.06	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-949.06
12/21/2015	12/21/2015	Sell	-4,089.42	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	4,089.42
12/31/2015	12/31/2015	Buy	2,500.00	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-2,500.00
12/29/2015	12/29/2015	Buy	162.22	949917397	WellsFargo:Htge MM;l	0.25	12/31/2015	1.00	-162.22
10/20/2015	10/20/2015	Management Fee	0.00	CCYUSD	US Dollar	0.00	12/31/2015	---	-4,250.38
11/20/2015	11/20/2015	Management Fee	0.00	CCYUSD	US Dollar	0.00	12/31/2015	---	-4,148.92
12/21/2015	12/21/2015	Management Fee	0.00	CCYUSD	US Dollar	0.00	12/31/2015	---	-4,089.42
---	---	---	67,824.73	---	---	---	---	---	-105.92

Summary

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
---	---	---	67,824.73	---	---	---	---	---	119.46

* Grouped By: Status. * Groups Sorted By: Status. * Showing transactions with Entry Date within selected date range. * MMF transactions are expanded.

* The Transaction Detail/Trading Activity reports provide our most up-to-date transactional details. As such, these reports are subject to change even after the other reports on the website have been locked down. While these reports can be useful tools in understanding recent activity, due to their dynamic nature we do not recommend using them for booking journal entries or reconciliation.

MMF Transaction Detail

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* Does not Lock Down.

Receivable

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
12/31/2015	12/31/2015	Money Market Funds	0.00	949917397	SHIXX	WellsFargo:Htge MM;I	225.38
12/31/2015	12/31/2015	Money Market Funds	0.00	949917397	SHIXX	WellsFargo:Htge MM;I	225.38

Settled

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
10/01/2015	10/01/2015	Buy	772,204.47	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-772,204.47
10/08/2015	10/08/2015	Buy	1,694.81	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-1,694.81
10/12/2015	10/15/2015	Buy	1,003,350.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-1,003,350.00
10/16/2015	10/16/2015	Buy	16,205.74	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-16,205.74
10/16/2015	10/16/2015	Buy	17,661.08	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-17,661.08
10/15/2015	10/15/2015	Sell	-999,694.98	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	999,694.98
10/15/2015	10/15/2015	Buy	115,937.81	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-115,937.81
10/15/2015	10/15/2015	Buy	54,268.52	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-54,268.52
10/13/2015	10/13/2015	Buy	1,123.17	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-1,123.17
10/20/2015	10/20/2015	Sell	-4,250.38	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	4,250.38
10/19/2015	10/19/2015	Buy	1,200,000.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-1,200,000.00
10/19/2015	10/19/2015	Buy	18,231.60	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-18,231.60
10/23/2015	10/23/2015	Buy	296.67	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-296.67
10/28/2015	10/28/2015	Buy	151.79	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-151.79
10/27/2015	10/27/2015	Sell	-299,868.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	299,868.00
10/26/2015	10/26/2015	Buy	1,128.21	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-1,128.21
10/26/2015	10/26/2015	Sell	-1,000,326.80	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	1,000,326.80
10/31/2015	10/31/2015	Money Market Funds	0.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	188.67
11/05/2015	11/05/2015	Sell	-1,000,515.08	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	1,000,515.08
11/04/2015	11/04/2015	Buy	1,001,250.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-1,001,250.00
11/02/2015	11/02/2015	Buy	3,938.67	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-3,938.67
11/13/2015	11/13/2015	Buy	51,102.67	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-51,102.67
11/17/2015	11/17/2015	Buy	775,976.46	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-775,976.46
11/16/2015	11/16/2015	Buy	71,553.47	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-71,553.47
11/16/2015	11/16/2015	Buy	759,073.60	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-759,073.60
11/16/2015	11/16/2015	Buy	126,735.24	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-126,735.24
11/20/2015	11/20/2015	Buy	9,913.58	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-9,913.58
11/19/2015	11/19/2015	Buy	260,693.39	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-260,693.39
11/18/2015	11/18/2015	Buy	17,151.96	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-17,151.96
11/25/2015	11/25/2015	Sell	-1,005,565.77	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	1,005,565.77
11/24/2015	11/24/2015	Buy	14,560.36	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-14,560.36
11/23/2015	11/23/2015	Buy	695.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-695.00
11/23/2015	11/23/2015	Buy	3,125.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-3,125.00
12/03/2015	12/03/2015	Sell	-1,000,206.11	949917397	SHIXX	WellsFargo:Htge MM;I	1,000,206.11
12/02/2015	12/02/2015	Buy	166.63	949917397	SHIXX	WellsFargo:Htge MM;I	-166.63
12/01/2015	12/01/2015	Buy	225.31	949917397	SHIXX	WellsFargo:Htge MM;I	-225.31
12/01/2015	12/01/2015	Sell	-749,279.58	949917397	SHIXX	WellsFargo:Htge MM;I	749,279.58
11/30/2015	11/30/2015	Money Market Funds	0.00	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	225.31
11/30/2015	11/30/2015	Buy	1,562.50	949917397	SHIXX	WFA HERITAGE MONEY MARK-I	-1,562.50
12/07/2015	12/07/2015	Buy	488.75	949917397	SHIXX	WellsFargo:Htge MM;I	-488.75
12/11/2015	12/11/2015	Buy	251,250.00	949917397	SHIXX	WellsFargo:Htge MM;I	-251,250.00
12/10/2015	12/10/2015	Buy	10,625.00	949917397	SHIXX	WellsFargo:Htge MM;I	-10,625.00

MMF Transaction Detail

WC-Contra Costa County (19529)

Base Currency: USD 10/01/2015 - 12/31/2015

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Dated: 01/11/2016

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
12/08/2015	12/08/2015	Sell	-649,426.47	949917397	SHIXX	WellsFargo:Htge MM;l	649,426.47
12/15/2015	12/15/2015	Buy	2.89	949917397	SHIXX	WellsFargo:Htge MM;l	-2.89
12/15/2015	12/15/2015	Buy	159.11	949917397	SHIXX	WellsFargo:Htge MM;l	-159.11
12/15/2015	12/15/2015	Buy	425.00	949917397	SHIXX	WellsFargo:Htge MM;l	-425.00
12/18/2015	12/18/2015	Buy	3.58	949917397	SHIXX	WellsFargo:Htge MM;l	-3.58
12/18/2015	12/18/2015	Buy	11,005.69	949917397	SHIXX	WellsFargo:Htge MM;l	-11,005.69
12/17/2015	12/17/2015	Buy	14.73	949917397	SHIXX	WellsFargo:Htge MM;l	-14.73
12/16/2015	12/16/2015	Buy	326.67	949917397	SHIXX	WellsFargo:Htge MM;l	-326.67
12/16/2015	12/16/2015	Buy	7,710.68	949917397	SHIXX	WellsFargo:Htge MM;l	-7,710.68
12/23/2015	12/23/2015	Sell	-112,240.79	949917397	SHIXX	WellsFargo:Htge MM;l	112,240.79
12/21/2015	12/21/2015	Buy	949.06	949917397	SHIXX	WellsFargo:Htge MM;l	-949.06
12/21/2015	12/21/2015	Sell	-4,089.42	949917397	SHIXX	WellsFargo:Htge MM;l	4,089.42
12/31/2015	12/31/2015	Buy	2,500.00	949917397	SHIXX	WellsFargo:Htge MM;l	-2,500.00
12/29/2015	12/29/2015	Buy	162.22	949917397	SHIXX	WellsFargo:Htge MM;l	-162.22
---	---	---	-239,862.29	949917397	SHIXX	---	240,276.27

Summary

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
---	---	---	-239,862.29	949917397	SHIXX	---	240,501.65

* Grouped By: Status. * Groups Sorted By: Status. * Filtered By: Security Type = "MMFUND". * Showing transactions with Entry Date within selected date range. * MMF transactions are expanded.

* The Transaction Detail/Trading Activity reports provide our most up-to-date transactional details. As such, these reports are subject to change even after the other reports on the website have been locked down. While these reports can be useful tools in understanding recent activity, due to their dynamic nature we do not recommend using them for booking journal entries or reconciliation.

Roll Forward

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Identifier, Description	Beginning Market Value + Accrued, Base Purchases	Base Sales, Base Maturities and Redemptions	Base Paydowns	Base Net Transferred Value	Base Amortization/ Accretion	Change In Accrued Balance	Net Realized Gain/Loss	Base Change In Net Unrealized Gain/Loss	Base Change In Cash, Payables/Receivables	Ending Market Value + Accrued
41284AAB4 HARLY-141-A2A	108,053.54 0.00	0.00 0.00	-42,295.55	0.00	1.39	-9.21	-0.01	6.90	0.00	65,757.06
43814KAB7 HONDO-151-A2	335,064.36 0.00	0.00 0.00	-82,034.38	0.00	4.96	-25.52	-0.01	-211.64	0.00	252,797.77
58768EAC3 MBALT 2014-A A2A	15,634.06 0.00	0.00 0.00	-15,632.82	0.00	0.01	-3.33	-0.00	2.08	0.00	0.00
47787VAB7 JDOT-14-A2	133,404.37 0.00	0.00 0.00	-133,407.57	0.00	0.40	-26.68	-0.00	29.48	0.00	0.00
89236WAB4 TART-15A-A2	600,201.33 0.00	0.00 0.00	-104,144.54	0.00	1.41	-32.86	-0.00	-431.27	0.00	495,594.07
949917397 WellsFargo:Htge MM;l	1,639,290.61 6,585,601.09	-6,825,463.38 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1,399,428.32
912828B82 UNITED STATES TREASURY	1,000,681.91 0.00	0.00 0.00	0.00	0.00	475.12	631.87	0.00	-1,022.12	0.00	1,000,766.78
459058DM2 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00 999,970.00	0.00 0.00	0.00	0.00	5.27	625.00	0.00	201.73	0.00	1,000,802.00
3130A4KE1 FEDERAL HOME LOAN BANKS	501,090.33 0.00	0.00 0.00	0.00	0.00	19.31	-513.33	0.00	-381.81	0.00	500,214.50
36962G6Q2 GENERAL ELECTRIC CAPITAL CORP	752,339.11 0.00	0.00 0.00	0.00	0.00	-422.08	59.77	0.00	-339.17	0.00	751,637.63
74256LAC3 PRINCIPAL LIFE GLOBAL FUNDING II	250,951.89 0.00	0.00 -250,000.00	0.00	0.00	-273.80	-763.89	0.00	85.80	0.00	0.00
605581FW2 MISSISSIPPI ST	301,497.00 0.00	0.00 0.00	0.00	0.00	0.00	-480.00	0.00	-756.00	0.00	300,261.00
677520FR4 OH ST-TXB-DEV ASST-A	770,212.50 0.00	0.00 -750,000.00	0.00	0.00	0.00	-20,212.50	0.00	0.00	0.00	0.00
90331HMR1 US BANK NA	450,683.80 0.00	0.00 0.00	0.00	0.00	-115.70	20.77	0.00	-2,264.35	0.00	448,324.52
90331HMR1 US BANK NA	300,455.86 0.00	0.00 0.00	0.00	0.00	0.00	13.85	0.00	-1,586.70	0.00	298,883.01
857477AH6 STATE STREET CORP	288,328.42 0.00	0.00 0.00	0.00	0.00	-1,614.40	2,048.44	0.00	-163.71	0.00	288,598.74
857477AH6 STATE STREET CORP	303,503.60 0.00	0.00 0.00	0.00	0.00	-1,755.21	2,156.25	0.00	-116.49	0.00	303,788.15
06050TLU4 BANK OF AMERICA NA	499,529.53 0.00	0.00 0.00	0.00	0.00	0.00	11.77	0.00	190.50	0.00	499,731.80
3133EDGC0 FEDERAL FARM CREDIT BANK	1,001,166.83 0.00	0.00 -1,000,000.00	0.00	0.00	122.17	-1,020.83	0.00	-268.17	0.00	0.00
084664CD1 BERKSHIRE HATHAWAY FINANCE CORP	747,927.92 0.00	0.00 0.00	0.00	0.00	0.00	57.67	0.00	1,336.50	0.00	749,322.08
05531FAG8 BB&T CORP	757,584.92 0.00	0.00 0.00	0.00	0.00	-4,751.39	6,000.00	0.00	284.39	0.00	759,117.92
3133EFBT3 FEDERAL FARM CREDIT BANKS FUNDING CORP	1,000,597.00 0.00	0.00 0.00	0.00	0.00	50.27	1,050.00	0.00	-1,363.27	0.00	1,000,334.00
70659PAE1 PENAR 2013-1A A1	750,064.26 0.00	0.00 0.00	-750,000.00	0.00	0.00	-163.26	0.00	99.00	0.00	0.00
161571GJ7 CHAIT 2014-A1 A1	777,719.56 0.00	0.00 0.00	0.00	0.00	-252.14	0.00	0.00	-2,670.54	0.00	774,796.88
03255LGX1 ANAHEIM CALIF PUB FING AUTH LEASE REV	754,017.50 0.00	0.00 0.00	0.00	0.00	0.00	-1,875.00	0.00	-682.50	0.00	751,460.00
912828QX1 UNITED STATES TREASURY	1,012,058.17 0.00	0.00 0.00	0.00	0.00	-2,674.02	3,750.00	0.00	-1,817.98	0.00	1,011,316.17
4197915E4 HAWAII ST	752,196.25 0.00	0.00 0.00	0.00	0.00	0.00	1,370.63	0.00	-937.50	0.00	752,629.38
912828SY7 UNITED STATES TREASURY	0.00 499,179.69	0.00 0.00	0.00	0.00	81.60	273.22	0.00	-1,468.29	0.00	498,066.22

Roll Forward

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Identifier, Description	Beginning Market Value + Accrued, Base Purchases	Base Sales, Base Maturities and Redemptions	Base Paydowns	Base Net Transferred Value	Base Amortization/ Accretion	Change In Accrued Balance	Net Realized Gain/Loss	Base Change In Net Unrealized Gain/Loss	Base Change In Cash, Payables/Receivables	Ending Market Value + Accrued
89233AHP7 Toyota Motor Credit Corporation	499,980.13 0.00	0.00 0.00	0.00	0.00	0.00	15.12	0.00	-46.50	0.00	499,948.74
3130A3J70 FEDERAL HOME LOAN BANKS	1,003,698.22 0.00	0.00 0.00	0.00	0.00	-353.08	-1,562.50	0.00	-3,081.92	0.00	998,700.72
097023BC8 BOEING CO	785,805.63 0.00	0.00 0.00	0.00	0.00	-5,422.32	-7,031.25	0.00	-2,441.43	0.00	770,910.63
90290XAB3 USAOT-151-A2	481,151.25 0.00	0.00 0.00	0.00	0.00	1.97	0.00	0.00	-1,717.78	0.00	479,435.45
89116EC19 Toronto Dominion Holdings (U.S.A.), Inc.	0.00 749,279.58	0.00 0.00	0.00	0.00	245.42	0.00	0.00	-89.25	0.00	749,435.75
928668AD4 VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	492,603.80 0.00	0.00 0.00	0.00	0.00	0.00	33.90	0.00	4,142.50	0.00	496,780.20
912828VL1 UNITED STATES TREASURY	1,003,694.73 0.00	0.00 0.00	0.00	0.00	-674.92	1,562.50	0.00	-1,617.08	0.00	1,002,965.23
89116FYH7 Toronto Dominion Holdings (U.S.A.), Inc.	349,929.07 0.00	0.00 -350,000.00	0.00	0.00	146.22	0.00	0.00	-75.29	0.00	0.00
89116FYH7 Toronto Dominion Holdings (U.S.A.), Inc.	349,929.07 0.00	0.00 -350,000.00	0.00	0.00	137.08	0.00	0.00	-66.15	0.00	0.00
3137EACW7 FREDDIE MAC	0.00 236,903.50	0.00 0.00	0.00	0.00	-127.40	1,645.00	0.00	115.18	0.00	238,536.28
CCYUSD Receivable	107.00 0.00	0.00 0.00	0.00	0.00	0.00	0.00	0.00	0.00	118.38	225.38
CCYUSD Cash	0.87 0.00	0.00 0.00	0.00	0.00	0.00	0.00	0.00	0.00	-10.52	-9.65
CCYUSD Payable	0.00 0.00	0.00 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
3130A2T97 FEDERAL HOME LOAN BANKS	0.00 1,001,080.00	0.00 0.00	0.00	0.00	-241.38	1,291.67	0.00	-2,593.62	0.00	999,536.67
3130A2T97 FEDERAL HOME LOAN BANKS	500,401.83 0.00	0.00 0.00	0.00	0.00	-104.89	625.00	0.00	-1,153.61	0.00	499,768.33
76912TJC8 RIVERSIDE CNTY CALIF PUB FING AUTH TAX ALLOC REV	125,112.92 0.00	0.00 0.00	0.00	0.00	93.10	312.50	0.00	-193.10	0.00	125,325.42
36164EAB1 GEETT-151-A2	400,489.91 0.00	0.00 0.00	-400,000.00	0.00	29.25	-79.11	0.00	-440.05	0.00	0.00
912828RF9 UNITED STATES TREASURY	1,006,437.65 0.00	0.00 0.00	0.00	0.00	-1,421.41	2,527.47	0.00	-2,133.59	0.00	1,005,410.12
912828RF9 UNITED STATES TREASURY	0.00 1,003,203.13	0.00 0.00	0.00	0.00	-423.27	3,379.12	0.00	-748.86	0.00	1,005,410.12
912828WQ9 UNITED STATES TREASURY	1,002,982.59 0.00	0.00 0.00	0.00	0.00	-103.38	-1,249.85	0.00	-1,849.62	0.00	999,779.74
46625HHW3 JPMORGAN CHASE & CO	758,135.92 0.00	0.00 0.00	0.00	0.00	-3,267.41	4,875.00	0.00	-438.34	0.00	759,305.17
58772PAB4 MBART-151-A2A	0.00 649,085.94	0.00 0.00	0.00	0.00	41.87	236.89	0.00	-619.17	0.00	648,745.53
69371RK96 PACCAR FINANCIAL CORP	205,543.86 0.00	0.00 -205,000.00	0.00	0.00	-62.39	-538.13	0.00	56.65	0.00	0.00
69371RK96 PACCAR FINANCIAL CORP	501,326.50 0.00	0.00 -500,000.00	0.00	0.00	-183.60	-1,312.50	0.00	169.60	0.00	0.00
3136FPET0 FEDERAL NATIONAL MORTGAGE ASSOCIATION	1,008,728.67 0.00	0.00 0.00	0.00	0.00	-4,195.20	5,000.00	0.00	-51.80	0.00	1,009,481.67
313384SS9 FEDERAL HOME LOAN BANKS	999,397.00 0.00	0.00 0.00	0.00	0.00	638.89	0.00	0.00	-257.89	0.00	999,778.00
459056HY6 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	770,331.54 0.00	0.00 0.00	0.00	0.00	867.76	0.00	0.00	-331.91	0.00	770,867.39

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Identifier, Description	Beginning Market Value + Accrued, Base Purchases	Base Sales, Base Maturities and Redemptions	Base Paydowns	Base Net Transferred Value	Base Amortization/ Accretion	Change In Accrued Balance	Net Realized Gain/Loss	Base Change In Net Unrealized Gain/Loss	Base Change In Cash, Payables/Receivables	Ending Market Value + Accrued
459056HY6 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	162,858.68 0.00	0.00 0.00	0.00	0.00	206.96	0.00	0.00	-93.67	0.00	162,971.96
45905U7F5 INTERNATIONAL BK FOR RECON & DEV MEDIUM TERM BK N	998,187.50 0.00	0.00 0.00	0.00	0.00	0.00	1,125.00	0.00	-4,300.00	0.00	995,012.50
3133EDQW5 FEDERAL FARM CREDIT BANKS FUNDING CORP	1,001,016.89 0.00	0.00 0.00	0.00	0.00	225.72	725.00	0.00	-667.72	0.00	1,001,299.89
69349LAH1 PNC BANK,NA	751,559.25 0.00	0.00 0.00	0.00	0.00	-649.09	1,500.00	0.00	127.09	0.00	752,537.25
3133EDXG2 FEDERAL FARM CREDIT BANK	1,003,280.06 0.00	-1,000,000.00 0.00	0.00	0.00	-36.62	-3,108.06	0.00	-135.38	0.00	0.00
17275RAY8 CISCO SYSTEMS INC	746,934.50 0.00	0.00 0.00	0.00	0.00	0.00	93.38	0.00	1,689.00	0.00	748,716.88
06406HBX6 BANK OF NEW YORK MELLON CORP	762,629.25 0.00	0.00 0.00	0.00	0.00	-3,113.72	4,312.50	0.00	-147.28	0.00	763,680.75
313384ZK8 FEDERAL HOME LOAN BANKS	0.00 498,263.19	0.00 0.00	0.00	0.00	76.25	0.00	0.00	106.06	0.00	498,445.50
3130A3XU3 FEDERAL HOME LOAN BANKS	1,000,547.22 0.00	0.00 0.00	0.00	0.00	33.22	625.00	0.00	-50.22	0.00	1,001,155.22
762494QV7 RIALTO CALIF UNI SCH DIST	250,929.17 0.00	0.00 0.00	0.00	0.00	0.00	786.25	0.00	-740.00	0.00	250,975.42
68428LDH4 ORANGE CNTY CALIF PENSION OBLIG	300,820.67 0.00	0.00 0.00	0.00	0.00	0.00	510.00	0.00	-447.00	0.00	300,883.67
68428LDH4 ORANGE CNTY CALIF PENSION OBLIG	491,340.42 0.00	0.00 0.00	0.00	0.00	0.00	833.00	0.00	-730.10	0.00	491,443.32
912828TS9 UNITED STATES TREASURY	0.00 999,882.81	0.00 0.00	0.00	0.00	11.14	1,588.11	0.00	-6,807.95	0.00	994,674.11
06050TMB5 BANK OF AMERICA NA	249,486.65 0.00	0.00 0.00	0.00	0.00	0.00	31.69	0.00	-197.25	0.00	249,321.10
5446462Q4 LOS ANGELES CALIF UNI SCH DIST	400,738.00 0.00	0.00 0.00	0.00	0.00	0.00	486.00	0.00	-252.00	0.00	400,972.00
313373SZ6 FEDERAL HOME LOAN BANKS	1,018,359.08 0.00	0.00 0.00	0.00	0.00	-4,062.30	-5,312.50	0.00	-1,292.70	0.00	1,007,691.58
31680GAB2 FTAT-151-A2A	0.00 499,986.35	0.00 0.00	0.00	0.00	1.47	226.67	0.00	-1,190.17	0.00	499,024.32
43814GAB6 HONDO-142-A2	45,509.70 0.00	0.00 0.00	-45,521.00	0.00	0.48	-6.41	0.00	17.23	0.00	0.00
91412GUT0 UNIVERSITY CALIF REVS	250,941.28 0.00	0.00 0.00	0.00	0.00	0.00	-396.25	0.00	-250.00	0.00	250,295.03
47787WAB5 JDOT-15B-A2	400,375.96 0.00	0.00 0.00	0.00	0.00	2.14	-65.33	0.00	-1,060.18	0.00	399,252.58
02665WAY7 AMERICAN HONDA FINANCE CORP	500,080.99 0.00	0.00 0.00	0.00	0.00	0.00	94.42	0.00	-563.50	0.00	499,611.92
191216BR0 COCA-COLA CO	0.00 299,868.00	0.00 0.00	0.00	0.00	11.92	466.67	0.00	-997.72	0.00	299,348.87
437076BJ0 HOME DEPOT INC	751,401.98 0.00	0.00 0.00	0.00	0.00	0.00	76.64	0.00	-61.50	0.00	751,417.13
912828PS3 UNITED STATES TREASURY	1,009,697.57 0.00	0.00 0.00	0.00	0.00	-4,222.16	5,000.00	0.00	-885.84	0.00	1,009,589.57
912828PS3 UNITED STATES TREASURY	1,009,697.57 0.00	0.00 0.00	0.00	0.00	-4,183.63	5,000.00	0.00	-924.37	0.00	1,009,589.57
14912L4X6 CATERPILLAR FINANCIAL SERVICES CORP	786,489.12 0.00	0.00 0.00	0.00	0.00	-2,727.56	3,971.88	0.00	-1,368.31	0.00	786,365.12
544587B72 LOS ANGELES CALIF MUN IMPT CORP LEASE REV	0.00 490,000.00	0.00 0.00	0.00	0.00	0.00	720.30	0.00	837.90	0.00	491,558.20

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41284BAB2 HARLY-151-A2A	399,834.83 0.00	0.00 0.00	-80,342.74	0.00	0.66	-28.57	0.00	-474.36	0.00	318,989.82
31679KAB6 FTAT-142-A2A	239,601.30 0.00	0.00 0.00	-152,916.77	0.00	5.16	-30.58	0.00	41.61	0.00	86,700.73
65477WAB2 NART-14B-A2	602,298.71 0.00	0.00 0.00	-206,017.61	0.00	7.94	-54.94	0.01	89.74	0.00	396,323.85
3133EDGM8 FFCB 0.350 03/10/16 CALd	200,045.63 0.00	0.00 -200,000.00	0.00	0.00	16.67	-40.83	132.43	-153.90	0.00	0.00
3133EDGM8 FFCB 0.350 03/10/16 CALd	1,000,228.17 0.00	0.00 -1,000,000.00	0.00	0.00	44.57	-204.17	354.06	-422.62	0.00	0.00
---	44,384,932.93	-7,825,463.38	-2,012,312.98	0.00	-43,826.70	21,598.49	486.48	-51,013.28	107.86	44,381,812.71
---	14,512,303.28	-4,605,000.00								

* Weighted By: Ending Base Market Value + Accrued.

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Identifier	Description	Security Type	Base Market Value	Book Yield	Yield	Duration	-200 Basis Point Shock	-100 Basis Point Shock	-50 Basis Point Shock	50 Basis Point Shock	100 Basis Point Shock	200 Basis Point Shock
02665WAY7	AMERICAN HONDA FINANCE CORP	CORP	499,442.00	1.036	1.676	0.214	501,233.39	500,510.83	499,976.41	498,907.60	498,373.21	497,304.49
03255LGX1	ANAHEIM CALIF PUB FING AUTH LEASE REV	MUNI	750,210.00	1.00	0.943	0.34	752,615.42	752,615.42	751,485.39	748,934.67	747,659.40	745,109.02
05531FAG8	BB&T CORP	CORP	752,051.25	0.662	0.973	0.168	753,269.80	753,269.80	752,680.12	751,416.68	750,776.41	749,478.78
06050TLU4	BANK OF AMERICA NA	CORP	499,200.50	0.846	1.724	0.117	500,207.50	499,784.59	499,492.54	498,908.47	498,616.46	498,032.47
06050TMB5	BANK OF AMERICA NA	CORP	249,164.50	0.916	1.852	0.173	249,962.86	249,595.57	249,380.03	248,948.98	248,733.46	248,302.44
06406HBX6	BANK OF NEW YORK MELLON CORP	CORP	756,349.50	0.644	0.831	0.57	759,932.26	759,932.26	758,505.15	754,193.96	752,038.53	747,728.02
084664CD1	BERKSHIRE HATHAWAY FINANCE CORP	CORP	748,287.75	0.63	1.588	0.025	748,584.82	748,474.82	748,381.29	748,194.21	748,100.67	747,913.61
097023BC8	BOEING CO	CORP	767,707.50	0.849	1.008	0.875	774,479.15	774,425.40	771,066.34	764,348.89	760,990.52	754,274.46
14912L4X6	CATERPILLAR FINANCIAL SERVICES CORP	CORP	779,745.32	0.643	1.005	0.578	784,275.02	784,252.49	781,998.85	777,491.92	775,238.63	770,732.40
161571GJ7	CHAIT 2014-A1 A1	ABS	774,400.77	1.022	1.236	1.029	784,250.89	782,369.97	778,385.21	770,416.63	766,432.81	758,466.08
17275RAY8	CISCO SYSTEMS INC	CORP	748,425.75	0.834	1.662	0.199	750,901.18	749,915.15	749,170.44	747,681.08	746,936.42	745,447.17
191216BR0	COCA-COLA CO	CORP	298,882.20	0.897	1.089	1.802	304,748.14	304,268.68	301,575.29	296,189.43	293,496.97	288,113.00
3130A2T97	FEDERAL HOME LOAN BANKS	AGCY BOND	1,497,367.50	0.396	0.727	0.74	1,505,423.39	1,505,423.39	1,502,907.93	1,491,827.41	1,486,287.65	1,475,209.16
3130A3J70	FEDERAL HOME LOAN BANKS	AGCY BOND	998,041.00	0.484	0.822	0.892	1,005,359.28	1,005,359.28	1,002,492.41	993,589.89	989,139.07	980,238.34
3130A3XU3	FEDERAL HOME LOAN BANKS	AGCY BOND	1,000,058.00	0.263	0.144	0.064	1,000,150.17	1,000,150.17	1,000,150.17	999,737.98	999,417.96	998,777.93
3130A4KE1	FEDERAL HOME LOAN BANKS	AGCY BOND	499,802.00	0.345	0.466	0.252	500,388.94	500,388.94	500,388.94	499,172.26	498,542.55	497,283.20
313373SZ6	FEDERAL HOME LOAN BANKS	AGCY BOND	1,006,452.00	0.50	0.647	0.443	1,009,336.79	1,009,336.79	1,008,681.34	1,004,222.76	1,001,993.61	997,535.64
313384SS9	FEDERAL HOME LOAN BANKS	AGCY DISC	999,778.00	0.254	0.243	0.097	1,000,013.66	1,000,013.66	1,000,013.66	999,293.12	998,808.27	997,838.63
313384ZK8	FEDERAL HOME LOAN BANKS	AGCY DISC	498,445.50	0.622	0.588	0.54	500,028.22	500,028.22	499,791.34	497,099.73	494,754.04	493,062.89
3133EDQW5	FEDERAL FARM CREDIT BANKS FUNDING CORP	AGCY BOND	1,000,011.00	0.38	0.278	0.058	1,000,172.24	1,000,172.24	1,000,172.24	999,721.00	999,430.99	998,850.99
3133EFBT3	FEDERAL FARM CREDIT BANKS FUNDING CORP	AGCY BOND	998,934.00	0.44	0.572	0.666	1,002,739.59	1,002,739.59	1,002,260.55	995,607.65	992,281.49	985,629.80
3136FPET0	FEDERAL NATIONAL MORTGAGE ASSOCIATION	AGCY BOND	1,003,315.00	0.326	0.226	0.194	1,003,754.90	1,003,754.90	1,003,754.90	1,002,341.80	1,001,368.61	999,422.34
3137EACW7	FREDDIE MAC	AGCY BOND	236,891.28	0.827	0.706	0.646	237,971.73	237,971.73	237,656.46	236,126.14	235,361.05	233,830.98
31679KAB6	FTAT-142-A2A	ABS	86,683.38	0.456	1.00	0.079	86,751.87	86,751.87	86,717.62	86,649.14	86,614.91	86,546.44
31680GAB2	FTAT-151-A2A	ABS	498,797.65	1.024	1.344	0.767	503,939.95	502,623.68	500,710.60	496,884.82	494,972.12	491,147.09
36962G6Q2	GENERAL ELECTRIC CAPITAL CORP	CORP	750,012.00	0.712	0.948	0.022	750,168.42	750,168.42	750,094.50	749,929.50	749,847.00	749,681.99
41284AAB4	HARLY-141-A2A	ABS	65,742.73	0.494	0.941	0.202	65,867.70	65,867.70	65,809.13	65,676.33	65,609.94	65,477.16
41284BAB2	HARLY-151-A2A	ABS	318,876.26	0.80	1.103	0.559	320,842.51	320,658.89	319,767.55	317,985.03	317,093.85	315,311.67
4197915E4	HAWAII ST	MUNI	750,345.00	0.731	0.68	0.588	753,345.28	753,345.28	752,551.07	748,139.04	745,933.20	741,521.84
437076BJ0	HOME DEPOT INC	CORP	751,104.75	0.896	1.439	0.203	753,298.93	752,629.53	751,867.13	750,342.39	749,580.04	748,055.42
43814KAB7	HONDO-151-A2	ABS	252,719.07	0.706	1.015	0.311	253,516.86	253,505.07	253,112.06	252,326.11	251,933.16	251,147.31
459056HY6	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	SOVEREIGN GOV	933,839.35	0.462	0.158	0.125	934,023.79	934,023.79	934,023.79	933,255.71	932,672.10	931,504.94
459058DM2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	SOVEREIGN GOV	1,000,177.00	0.507	0.428	0.377	1,001,790.87	1,001,790.87	1,001,790.87	998,291.70	996,406.48	992,636.27
45905U7F5	INTERNATIONAL BK FOR RECON & DEV MEDIUM TERM BK N	SOVEREIGN GOV	992,700.00	0.45	1.783	0.547	1,002,382.76	998,130.37	995,415.11	989,985.04	987,270.23	981,841.05
46625HHW3	JPMORGAN CHASE & CO	CORP	750,313.50	0.86	1.473	0.041	750,766.64	750,621.13	750,467.31	750,159.69	750,005.87	749,698.24
47787WAB5	JDOT-15B-A2	ABS	399,078.36	0.983	1.258	0.857	403,381.23	402,498.70	400,788.47	397,368.37	395,658.50	392,239.11
544587B72	LOS ANGELES CALIF MUN IMPT CORP LEASE REV	MUNI	490,837.90	1.26	1.082	0.838	495,288.72	494,951.39	492,894.58	488,781.36	486,724.95	482,612.54
5446462Q4	LOS ANGELES CALIF UNI SCH DIST	MUNI	400,000.00	0.486	0.306	0.008	400,009.79	400,009.79	400,009.79	399,984.00	399,968.00	399,936.00
58772PAB4	MBART-151-A2A	ABS	648,508.64	1.007	1.161	0.689	653,696.64	652,977.16	650,742.83	646,274.60	644,040.71	639,573.36
605581FW2	MISSISSIPPI ST	MUNI	299,781.00	0.64	0.767	0.754	301,514.77	301,514.77	300,911.21	298,650.86	297,520.79	295,260.84
65477WAB2	NART-14B-A2	ABS	396,218.12	0.606	0.901	0.229	397,035.66	396,671.80	395,764.46	395,310.82	394,403.60	
68428LDH4	ORANGE CNTY CALIF PENSION OBLIG	MUNI	790,118.50	0.68	0.488	0.093	790,477.10	790,477.10	790,477.10	789,751.10	789,383.73	788,649.04
69349LAH1	PNC BANK,NA	CORP	749,987.25	0.439	0.826	0.08	750,482.87	750,482.87	750,287.25	749,687.26	749,387.30	748,787.42

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762494QV7	RIALTO CALIF UNI SCH DIST	MUNI	249,665.00	1.258	1.412	1.078	253,465.66	252,356.60	251,010.75	248,319.36	246,973.82	244,283.07
76912TJC8	RIVERSIDE CNTY CALIF PUB FING AUTH TAX ALLOC REV	MUNI	124,908.75	1.301	1.139	0.67	125,862.03	125,745.69	125,327.21	124,490.32	124,071.91	123,235.17
857477AH6	STATE STREET CORP	CORP	587,060.95	0.573	0.945	0.185	588,087.31	588,087.31	587,603.99	586,517.93	585,974.92	584,888.95
89116EC19	Toronto Dominion Holdings (U.S.A.), Inc.	CP	749,435.75	0.381	0.455	0.169	750,012.04	750,012.04	750,012.04	748,802.49	748,169.24	746,902.81
89233AHP7	Toyota Motor Credit Corporation	CD	499,918.50	0.592	0.704	0.101	500,273.97	500,273.97	500,170.97	499,666.05	499,413.61	498,908.76
89236WAB4	TART-15A-A2	ABS	495,437.60	0.711	0.971	0.326	497,005.96	497,005.96	496,245.18	494,630.06	493,822.55	492,207.64
90290XAB3	USAOT-151-A2	ABS	479,260.51	0.825	1.08	0.612	482,428.43	482,193.75	480,727.09	477,794.02	476,327.61	473,395.03
90331HMR1	US BANK NA	CORP	746,342.25	0.568	1.716	0.06	747,110.68	746,790.06	746,566.15	746,118.35	745,894.44	745,446.64
912828B82	UNITED STATES TREASURY	US GOV	999,922.00	0.44	0.25	0.169	1,000,344.47	1,000,344.47	1,000,344.47	999,077.08	998,232.18	996,542.46
912828PS3	UNITED STATES TREASURY	US GOV	2,002,440.00	0.325	0.468	0.086	2,003,245.96	2,003,245.96	2,003,245.96	2,001,578.98	2,000,718.00	1,998,996.20
912828QX1	UNITED STATES TREASURY	US GOV	1,005,039.00	0.434	0.618	0.581	1,008,647.79	1,008,647.79	1,007,958.71	1,002,119.44	999,200.03	993,361.65
912828RF9	UNITED STATES TREASURY	US GOV	2,004,062.00	0.505	0.677	0.665	2,013,084.75	2,013,084.75	2,010,725.71	1,997,398.69	1,990,735.79	1,977,411.18
912828SY7	UNITED STATES TREASURY	US GOV	497,793.00	0.73	0.959	1.408	504,515.18	504,515.18	501,297.63	494,288.71	490,784.75	483,777.84
912828TS9	UNITED STATES TREASURY	US GOV	993,086.00	0.631	1.047	1.734	1,011,117.58	1,010,308.05	1,001,696.54	984,476.43	975,867.83	958,653.52
912828VL1	UNITED STATES TREASURY	US GOV	1,000,078.00	0.356	0.589	0.539	1,003,253.06	1,003,253.06	1,002,773.29	997,382.86	994,687.88	989,298.36
912828WQ9	UNITED STATES TREASURY	US GOV	999,766.00	0.459	0.516	0.50	1,002,345.46	1,002,345.46	1,002,265.48	997,266.65	994,767.42	989,769.34
91412GUT0	UNIVERSITY CALIF REVS	MUNI	250,092.50	0.634	0.562	0.377	250,622.39	250,622.39	250,563.93	249,621.08	249,149.69	248,206.95
928668AD4	VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	CORP	496,456.50	0.602	2.706	0.147	497,916.18	497,186.32	496,821.40	496,091.61	495,726.73	494,997.02
949917397	WellsFargo:Htge MM;I	MMFUND	1,399,428.32	0.00	0.00	0.00	1,399,428.32	1,399,428.32	1,399,428.32	1,399,428.32	1,399,428.32	1,399,428.32
CCYUSD	Receivable	CASH	225.38	0.00	0.00	0.00	225.38	225.38	225.38	225.38	225.38	225.38
CCYUSD	Cash	CASH	-9.65	0.00	0.00	0.00	-9.65	-9.65	-9.65	-9.65	-9.65	-9.65
---	---	---	44,269,211.16	0.575	0.817	0.423	44,437,364.65	44,420,480.78	44,360,477.31	44,175,542.92	44,081,874.96	43,894,539.82

* Weighted By: Base Market Value + Accrued.

*The shock analysis includes a yield floor of 0.

Disclaimer

As of 12/31/2015

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Dated: 01/11/2016

The information contained in this report represents estimated trade date investment calculations provided via Clearwater Analytics for Wells Capital Management clients. Certain calculations may not be available for all time periods. Please refer to your custody statement for official portfolio holdings and transactions. Note that certain accounting methods may cause differences between this investment report and your custody statement.



**CONTRA COSTA COUNTY
STATEMENT FOR PERIOD
December 01, 2015 - December 31, 2015**

CalTrust Short Term Fund

201-000004-10

Date	Transaction	Shares	Price Per Share	Amount	Average Cost NAV	Average Cost Amount	Realized Gain/Loss*
11/30/2015	BALANCE FORWARD	14,831,410.670	10.02	148,610,734.91	10.02430832	148,674,633.43	
12/31/2015	UNREALIZED GAIN (LOSS)			0.000			0.00
12/31/2015	ENDING BALANCE	<u>14,831,410.670</u>	10.01	<u>148,462,420.81</u>		<u>148,674,633.43</u>	
	INCOME DISTRIBUTION PAID - NOVEMBER			57,839.82			
	INCOME ACCRUAL - DECEMBER			69,464.48			
	CUMULATIVE UNREALIZED GAIN (LOSS)			-212,212.62			

* Please note that this information should not be construed as tax advice and it is recommended that you consult with a tax professional regarding your account.

For Inquiries About Your Account, Contact:

Nottingham Investment Administration
116 South Franklin Street
Rocky Mount, NC 27804
Attention: CalTRUST Shareholder Services
Phone: 800.773.3863
Fax: 252-972-1908
Email: caltrustsupport@ncfunds.com

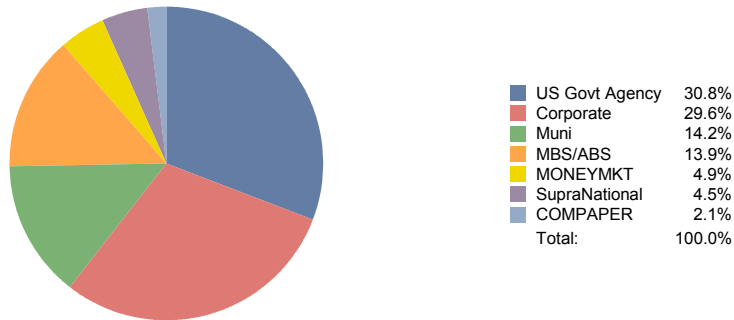
CONTRA COSTA COUNTY
CONTRA COSTA COUNTY
ATTN: BELINDA ZHU
625 COURT STREET
ROOM 102
MARTINEZ CA 94553-1281



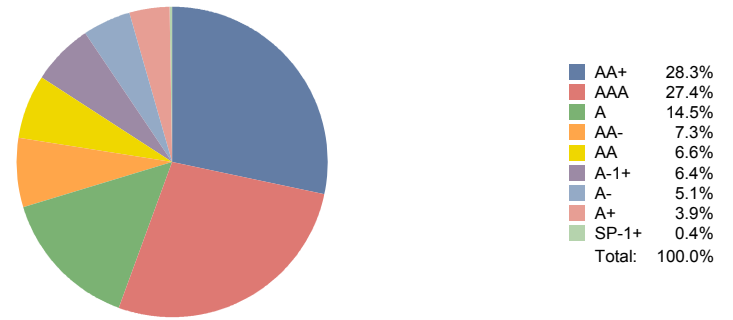
	CalTrust Short Term	LAIF		CalTrust Short Term Total Return	CalTrust Short Term Yield Return	LAIF Yield Return
Market Value	\$1,018,427,217.39	N/A	One Month	-0.03%	0.05%	0.03%
NAV per Share	\$10.01	N/A	Three Month	-0.01%	0.13%	0.09%
Yield	0.56%	0.41%	Six Month	0.12%	0.26%	0.18%
Period Total Return	-0.03%	N/A	One Year*	0.39%	0.49%	0.32%
Period Yield Return	0.05%	0.03%	Two Year*	0.34%	0.44%	0.28%
Effective Duration	0.48 yrs.	N/A	Three Year*	0.36%	0.41%	0.28%
Average Maturity	0.96 yrs.	0.49 yrs.	Five Year*	0.41%	0.44%	0.32%
			Ten Year*	1.71%	1.69%	1.64%
			Since Inception*	1.84%	1.82%	1.76%

*Annualized

Portfolio Sector Breakdown



Portfolio Quality Breakdown



Disclosure to Performance Information

- This performance information is based on an inception date of February 13, 2005, when the CalTrust Short-Term portfolio commenced investment operations according to its investment objective, and does not include any investment returns from temporary investments held before the commencement of those operations.
- First-month index returns, February 13-28, 2005, are intra-period and were calculated by calculating the average daily return during the month and multiplying the average daily return by number of days in the shortened period.
- Performance was calculated net of investment advisory and program administration fees.
- The Local Agency Investment Fund (LAIF) is a diversified portfolio managed by the State of California for local governments and special districts.
- Performance for the CalTRUST Short Term Account is on a trade date basis. LAIF's monthly performance was calculated by taking the average monthly effective yield and dividing it by 365 then multiplying the result by the number of days in the month.
- Yield represents the 7-day net distribution on investments for the period.
- Rating source - Standard & Poor's.
- Past performance is no guarantee of future results.



<<Back	CalTrust Short Term Fund	View	Export	Print	Home
Search	Complete Listing	Additional Ratings	Effective Date: 12/31/2015	Go	

Ticker	CUSIP	Description	S&P Rating 12/31/2015	Mat. Date	Years	Shares	Price	Value
AX072916	0258M0DG1	AMERICAN EXPRESS CRE DIT 7/29/2016 1.3%	A-	7/29/2016	0.6	959,000.00	100.1827	\$960,752.09
AH100716	02665WAB7	AMERICAN HONDA FIN 1.125% 10/07/16	A+	10/7/2016	0.8	4,000,000.00	100.0801	\$4,003,204.00
AH121117	02665WAR2	AMERICAN HONDA FINAN CE 12/11/2017 0.545	A+	12/11/2017	2.0	8,000,000.00	99.4166	\$7,953,328.00
HN092017	02665WAY7	AMERICAN HONDA FINAN CE 9/20/2017 0.7626	A+	9/20/2017	1.8	2,000,000.00	99.8884	\$1,997,768.00
AN050216	03255LGX1	ANAHEIM FINING AUTH-B 5/1/2016 1%	AA-	5/1/2016	0.4	2,850,000.00	100.0280	\$2,850,798.00
BA021417	06050TLU4	BANK OF AMERICA NA 2/14/2017 0.7061%	A	2/14/2017	1.2	500,000.00	99.8401	\$499,200.50
BA060517	06050TMB5	BANK OF AMERICA NA 06/05/2017	A	6/5/2017	1.5	2,250,000.00	99.6658	\$2,242,480.50
BA111416	06050TMS9	BANK OF AMERICA NA 11/14/2016 0.7089%	A	11/14/2016	0.9	2,200,000.00	99.9437	\$2,198,761.40
BN021417	06050TLT7	BANK OF AMERICA NA 2/14/2017 1.25%	A	2/14/2017	1.2	5,000,000.00	99.9064	\$4,995,320.00
BO111416	06050TLR1	BANK OF AMERICA NA 11/14/2016 1.125%	A	11/14/2016	0.9	4,000,000.00	99.8084	\$3,992,336.00
BN011516	06406HBS7	BANK OF NEW YORK MELLON 2.5% 1/15/16	A	1/15/2016	0.1	2,000,000.00	100.0516	\$2,001,032.00
BN072816	06406HBX6	BANK OF NEW YORK MELLON 2.3% 7/28/16	A	7/28/2016	0.6	3,947,000.00	100.8466	\$3,980,415.30
BK011717	06406HCA5	BANK OF NEW YORK MEL LON CORPORA 01/17/17	A	1/17/2017	1.1	2,000,000.00	100.9443	\$2,018,886.00
BA052218	06406HDC0	BANK OF NY MELLON 5/22/18 VARIABLE	A	5/22/2018	2.4	5,000,000.00	99.8315	\$4,991,575.00
BB031516	05531FAG8	BB&T CORPORATION 3/15/2016 3.2%	A-	3/15/2016	0.2	2,350,000.00	100.2735	\$2,356,427.25
BR011218	084664CD1	BERKSHIRE HATHAWAY F IN 1/12/2018 0.5533	AA	1/12/2018	2.1	2,750,000.00	99.7717	\$2,743,721.75
BR081516	084664BX8	BERKSHIRE HATHAWAY F IN 8/15/2016 0.95%	AA	8/15/2016	0.7	1,105,000.00	100.0560	\$1,105,618.80
Au042517	09658UAB5	BMWOT 2014-A A2 4/25/2017 0.53%	AAA	4/25/2017	1.3	2,860,842.33	99.9226	\$2,858,628.03
BA112016	097023BC8	BOEING CO 11/20/2016 3.75%	A	11/20/2016	0.9	2,750,000.00	102.3610	\$2,814,927.50
BB091316	10513KAB0	BRANCH BANKING & TRU ST 9/13/2016 0.5899	A-	9/13/2016	0.8	2,000,000.00	99.7799	\$1,995,598.00
BB120116	07330NAF2	BRANCH BANKING & TRU ST 12/1/2016 0.6743	A	12/1/2016	1.0	3,000,000.00	99.9560	\$2,998,680.00
BT120116	07330NAG0	BRANCH BANKING & TRU ST 12/1/2016 1.05%	A	12/1/2016	1.0	8,325,000.00	99.9349	\$8,319,580.43
UN070141	91412GFA8	CA UNI-FLTG-TXB-Y-2 7/1/2041 0.656%	AA	7/1/2017	1.6	4,250,000.00	99.9700	\$4,248,725.00
CA120116	13066KW21	CALIFORNIA ST DEPT .991% 12/1/16	AAA	12/1/2016	1.0	1,250,000.00	100.0580	\$1,250,725.00
CA040116	14912L4S7	CATERPILLAR FINANCI A SE 4/1/2016 2.65%	A	4/1/2016	0.3	1,550,000.00	100.4690	\$1,557,269.50
CA090616	14912LS56	CATERPILLAR FINANCI A SE 9/6/2016 1.35%	A	9/6/2016	0.8	3,000,000.00	100.3278	\$3,009,834.00
CR090718	17305EFE0	CCCIT 2013-A6 A6 9/7/2018 1.32%	AAA	9/7/2018	2.8	4,250,000.00	100.1950	\$4,258,287.50
CH041618	161571BC7	CHAIT 2006-A2 A2 4/16/2018 5.16%	AAA	4/16/2018	2.3	2,426,000.00	100.4948	\$2,438,003.85
Cr011519	161571GJ7	CHAIT 2014-A1 A1 1/15/2019 1.15%	AAA	1/15/2019	3.1	13,000,000.00	99.9227	\$12,989,951.00
CC030218	166764AW0	CHEVRON CORP 3/2/2018 0.432967%	AA	3/2/2018	2.2	4,000,000.00	99.2848	\$3,971,392.00
CI061518	17275RAY8	CISCO SYSTEMS INC 06/15/2018	AA-	6/15/2018	2.5	5,500,000.00	99.7901	\$5,488,455.50
C0310117	172967HL8	CITIGROUP INC 3/10/2017 0.7744%	A	3/10/2017	1.2	1,000,000.00	99.7589	\$997,589.00
C0401116	172967GP0	CITIGROUP INC 4/1/2016 1.3%	A	4/1/2016	0.3	1,000,000.00	100.1410	\$1,000,141.00
C0427118	172967JQ5	CITIGROUP INC 4/27/2018 0.967%	A	4/27/2018	2.3	5,000,000.00	99.5955	\$4,979,775.00
C1207118	172967KF7	CITIGROUP INC. 12/07/18	A	12/7/2018	3.0	3,000,000.00	99.6853	\$2,990,559.00
CM061516	20030NAG6	COMCAST CORP 6/15/2016 4.95%	A-	6/15/2016	0.5	1,402,000.00	101.8033	\$1,427,282.27
CR042718	22546QAW7	CREDIT SUISSE NEW YO RK 4/27/2018 0.9574	A	4/27/2018	2.3	5,500,000.00	99.5258	\$5,473,919.00
DU050116	26362VFQ6	DUBLIN USD-TXB-BANS 5/1/2016 4.761%	SP-1+	5/1/2016	0.4	4,000,000.00	101.1970	\$4,047,880.00
Ex020116	30229AB16	EXXON CORPORATION 02/01/16	A-1+	2/1/2016	0.2	1,125,000.00	99.9688	\$1,124,649.00
FM022717	3135G0XL2	FANNIE MAE 02/27/2017 0.65%	AA+	2/27/2017	1.2	3,660,000.00	99.5967	\$3,645,239.22
FM092816	3135G0CM3	FANNIE MAE 1.25% 09/28/16	AA+	9/28/2016	0.8	5,250,000.00	100.3624	\$5,269,026.00
FN031016	3136FPET0	FANNIE MAE 3/10/2016 2%	AA+	3/10/2016	0.2	8,975,000.00	100.3315	\$9,004,752.13
FF100316	313312J35	FED FARM CRD DISCOUN T NT 0% 10/03/16	A-1+	10/3/2016	0.8	20,000,000.00	99.5260	\$19,905,200.00
FF081616	3133EETK6	FEDERAL FARM CREDIT BANKS 08/16/16	AA+	8/16/2016	0.7	3,000,000.00	99.9293	\$2,997,879.00
FF112316	3133EUSU7	FEDERAL FARM CREDIT BANK 11/23/2016 0.6	AA+	11/23/2016	0.9	21,000,000.00	99.9151	\$20,982,171.00
ma011317	3133EFJK4	FEDERAL FARM CREDIT BANKS 01/13/17	AA+	1/13/2017	1.1	10,000,000.00	99.6884	\$9,968,840.00
FE063016	313384YU7	FEDERAL HOME LOAN BA NKS 06/30/16	AA+	6/30/2016	0.5	20,000,000.00	99.7676	\$19,953,520.00
FH012216	3130A3XU3	FEDERAL HOME LOAN BA NK 1/22/2016 0.25%	A-1+	1/22/2016	0.1	8,700,000.00	100.0058	\$8,700,504.60
FH030916	313384UB3	FEDERAL HOME LOAN BA NKS 03/09/16	A-1+	3/9/2016	0.2	10,000,000.00	99.9458	\$9,994,580.00
FH031816	313382K85	FEDERAL HOME LOAN BA NK 3/18/2016 0.45%	AA+	3/18/2016	0.2	10,650,000.00	100.0090	\$10,650,958.50
FH061016	313373S26	FEDERAL HOME LOAN BA NK 6/10/2016 2.125%	AA+	6/10/2016	0.5	5,000,000.00	100.6452	\$5,032,260.00
FH080116	313384A41	FEDERAL HOME LOAN BA NKS 08/01/16	A-1+	8/1/2016	0.7	3,885,000.00	99.6558	\$3,871,627.83
FL092816	3130A2T97	FEDERAL HOME LOAN BA NK 9/28/2016 0.5%	AA+	9/28/2016	0.8	10,000,000.00	99.8245	\$9,982,450.00
FL112316	3130A3J70	FEDERAL HOME LOAN BA NK 11/23/2016 0.625	AA+	11/23/2016	0.9	30,000,000.00	99.8041	\$29,941,230.00
FN091518	31394JTT4	FEDERAL HOME LOAN MO RTGAGE CORP 09/15/18	AA+	9/15/2018	2.8	2,497,065.03	103.8890	\$2,594,175.89
FN051617	3135G0ZD8	FEDERAL NATIONAL MOR TGAGE ASSOC 05/16/17	AA+	5/16/2017	1.4	2,000,000.00	100.3858	\$2,007,716.00
FB111816	31677QAZ2	FIFTH THIRD BANK 11/18/2016 0.7481%	A-	11/18/2016	0.9	8,360,000.00	99.9856	\$8,358,796.16
FI022616	31677QAX7	FIFTH THIRD BANK 2/26/2016 0.9%	A-	2/26/2016	0.2	6,810,000.00	99.9998	\$6,809,986.38
Au051518	31680GAB2	FITAT 2015-1 A2A MTGE 1.02% 05/15/18	Aaa	5/15/2018	2.4	10,400,000.00	99.7595	\$10,374,988.00
FH031516	3134G4VH8	FREDDIE MAC 3/15/2016 0.4%	AA+	3/15/2016	0.2	10,000,000.00	100.0034	\$10,000,340.00
FH041417	3134G6PN7	FREDDIE MAC 4/14/2017 0.8%	AA+	4/14/2017	1.3	10,000,000.00	100.0080	\$10,000,800.00
FH110116	3134G3S50	FREDDIE MAC 11/1/2016 0.625%	AA+	11/1/2016	0.9	5,000,000.00	99.8663	\$4,993,315.00
FM052617	3134G6E82	FREDDIE MAC 0.85% 05/26/2017	AA+	5/26/2017	1.4	11,545,000.00	99.7692	\$11,518,354.14
FM061617	3134G6W66	FREDDIE MAC 0.85% 06/16/2017	AA+	6/16/2017	1.5	5,000,000.00	99.6675	\$4,983,375.00
FM082516	3137EACW7	FREDDIE MAC 2.0 08/25/2016	AA+	8/25/2016	0.7	15,000,000.00	100.8048	\$15,120,720.00
FM092616	3134G4XW3	FREDDIE MAC 9/26/2016 0.6%	AA+	9/26/2016	0.8	2,500,000.00	99.8853	\$2,497,132.50
FR052617	3134G6R70	FREDDIE MAC 0.75% 05/26/2017	AA+	5/26/2017	1.4	5,000,000.00	99.5294	\$4,976,470.00
GE042018	36159LCF1	GE DEALER FLOORPLAN MASTER NT 04/20/18	Aaa	4/20/2018	2.3	4,690,000.00	100.0005	\$4,690,023.45
GE010917	36962G5N0	GENERAL ELEC CAP CORP 2.9% 1/9/2017	AA+	1/9/2017	1.1	3,000,000.00	101.6660	\$3,049,980.00
GE050916	36962G5C4	GENERAL ELEC CAP CORP 2.95% 5/9/16	AA+	5/9/2016	0.4	8,842,000.00	100.6582	\$8,900,198.04

GE051116	36962G2V5	GENERAL ELEC CAP CORP 05/11/2016	AA+	5/11/2016	0.4	4,635,000.00	100.0004	\$4,635,018.54
SO041516	37333JV4	GEORGIA POWER COMPAN Y 4/15/2016 3%	A-	4/15/2016	0.3	4,395,000.00	100.5550	\$4,419,392.25
GS020716	38143USC6	GOLDMAN SACHS GROUP INC 3.625% 2/7/16	A	2/7/2016	0.2	5,000,000.00	100.2535	\$5,012,675.00
HD011519	41284CAB0	HARLEY-DAVIDSON 0.8% 01/15/19	AAA	1/15/2019	3.1	4,539,618.31	99.6772	\$4,524,964.42
Au122117	43813JAC9	HAROT 2014-1 A3 12/21/2017 0.67%	AAA	11/21/2017	1.9	3,969,346.52	99.8202	\$3,962,209.63
Au071717	43814KAB7	HAROT 2015-1 A2 7/17/2017 0.7%	AAA	6/15/2017	1.5	4,104,083.92	99.9025	\$4,100,082.44
HI080116	4197915E4	HAWAII-TXBL-REF-ES 8/1/2016 0.731%	A	8/1/2016	0.7	14,250,000.00	100.0460	\$14,256,555.00
Au071618	41283YAC1	HDMOT 2013-1 A3 7/16/2018 0.65%	Aaa	7/16/2018	2.6	549,796.54	99.9056	\$549,277.54
Au011519	41284BAB2	HDMOT 2015-1 A2A 1/15/2019 0.95%	AAA	1/15/2019	3.1	8,240,631.66	99.8347	\$8,227,009.90
HA072318	43814LAB5	HONDA AUTO RECEIV- ABLES 07/23/18	AAA	7/23/2018	2.6	2,100,000.00	99.7313	\$2,094,357.30
HA082117	43813NAB2	HONDA AUTO RECEIV- ABLES 08/21/2017	AAA	8/21/2017	1.7	2,000,000.00	99.8578	\$1,997,156.00
HS011916	40429CFN7	HSBC FINANCE CORP SR NT 01/19/2016 5.5%	A	1/19/2016	0.1	6,185,000.00	100.1639	\$6,195,137.22
HB080718	40428HPW6	HSBC USA INC 8/7/2018 1.0809%	A	8/7/2018	2.7	2,000,000.00	99.9232	\$1,998,464.00
HB111317	40428HPM8	HSBC USA INC 11/13/2017 0.57185%	A	11/13/2017	1.9	7,955,000.00	99.1755	\$7,889,411.03
IB072216	459200GX3	IBM CORP 7/22/2016 1.95%	AA-	7/22/2016	0.6	12,450,000.00	100.5981	\$12,524,463.45
ID010117	45656TAQ1	INDUSTRY PUB FACS-A 1/1/2017 1.764%	AA	1/1/2017	1.1	7,700,000.00	100.5410	\$7,741,657.00
IA101816	4581X0BS6	INTER-AMERICAN DEVEL BK 10/18/2016 1.375	Aaa	10/18/2016	0.8	15,000,000.00	100.5625	\$15,084,375.00
IN070116	45884AZN6	INTERMOUNTAIN PWR-B 7/1/2016 0.785%	A+	7/1/2016	0.6	6,000,000.00	99.9970	\$5,999,820.00
IB051616	459058DM2	INTERNATIONAL BANK F OR RECONSTR 05/16/16	AAA	5/16/2016	0.4	20,000,000.00	100.0177	\$20,003,540.00
KO112316	45950KBQ2	INTERNATIONAL FINANC E CORPORATI 11/23/16	AAA	11/23/2016	0.9	10,000,000.00	100.0958	\$10,009,580.00
IB071916	45905U7F5	INTL BK RECON & DEVE LOP 07/19/2016 0.45%	AAA	7/19/2016	0.6	500,000.00	99.8090	\$499,045.00
IB091516	459058BS1	INTL BK RECON & DEVE LOP 9/15/2016 1%	AAA	9/15/2016	0.8	15,000,000.00	100.2699	\$15,040,485.00
IB101416	45905BDS9	INTL BK RECON & DEVE LOP 10/14/2016 0.62	AAA	10/14/2016	0.8	10,000,000.00	99.9776	\$9,997,760.00
OI021518	47787UAB9	JDOT 2015-A A2A 2/15/2018 0.87%	AAA	2/15/2018	2.2	6,628,442.57	99.8682	\$6,619,706.28
OI061518	47787WAB5	JDOT 2015-B A2 06/15/2018 0.98%	Aaa	6/15/2018	2.5	4,500,000.00	99.7696	\$4,489,632.00
DC011618	24422ESU4	JOHN DEERE CAPITAL C ORP 1/16/2018 0.543	A	1/16/2018	2.1	12,165,000.00	99.6294	\$12,119,916.51
JP061316	48121CJM9	JP MORGAN CHASE BANK NA 6/13/2016 0.6101	A-	6/13/2016	0.5	6,650,000.00	99.8514	\$6,640,118.10
JP011516	46625HHW3	JPMORGAN CHASE & CO 2.6% 1/15/16	A-	1/15/2016	0.1	2,000,000.00	100.0418	\$2,000,836.00
JP021517	46623EJZ3	JPMORGAN CHASE & CO 2/15/2017 0.750933%	A-	2/15/2017	1.2	1,500,000.00	99.9346	\$1,499,019.00
JP030116	46625HHX1	JPMORGAN CHASE & CO 3/1/2016 3.45%	A-	3/1/2016	0.2	4,000,000.00	100.4172	\$4,016,688.00
JP070516	46625HJA9	JPMORGAN CHASE & CO 7/5/2016 3.15%	A-	7/5/2016	0.6	1,500,000.00	101.0337	\$1,515,505.50
KE112516	49327MZE3	KEY BANK NA 11/25/2016 0.7516%	A-	11/25/2016	0.9	8,000,000.00	100.0012	\$8,000,096.00
LD080116	54465AFK3	LA CO REDEV-B-TXBL 8/1/2016 1.074%	AA-	8/1/2016	0.7	5,735,000.00	99.9400	\$5,731,559.00
LO110116	544587B72	LOS ANGELES CALIF MU N IMPT CORP 11/01/16	A+	11/1/2016	0.9	10,965,000.00	100.1710	\$10,983,750.15
LA070116	5446462D3	LOS ANGELES SD-L-TXB L 7/1/2016 0.68%	AA-	7/1/2016	0.6	1,000,000.00	100.0630	\$1,000,630.00
LO010116	5446462Q4	LOS ANGELES SD-L-TXB L 1/1/2016 0.486%	AA-	1/1/2016	0.1	1,980,000.00	100.0000	\$1,980,000.00
MA090116	56278SLC7	MANHATTAN BEACH CA .856% 9/1/16	AA	9/1/2016	0.8	1,405,000.00	100.1160	\$1,406,629.80
MA072517	55279HAH3	MANUF & TRADERS TRUS T CO 7/25/2017 0.53	AA	7/25/2017	1.6	5,000,000.00	99.6877	\$4,984,385.00
AB021517	58768LAB9	MBALT 2015-A A2A 2/15/2017 0.78%	AAA	2/15/2017	1.2	2,325,918.83	99.9688	\$2,325,193.14
Au011618	58769AAB2	MBALT 2015-B A2A 1% 01/16/18	AAA	1/16/2018	2.1	10,000,000.00	99.7584	\$9,975,840.00
Au021517	587729AB0	MBART 2014-1 A2 2/15/2017 0.43%	AAA	2/15/2017	1.2	258,728.97	99.9572	\$258,618.24
MB061518	58772PAB4	MERCEDES BENZ AUTO R ECEIVABLES 06/15/18	AAA	6/15/2018	2.5	2,050,000.00	99.7706	\$2,045,297.30
MI100116	605581FW2	MISSISSIPPI ST-B-TXB L 10/1/2016 0.64%	AA	10/1/2016	0.8	2,780,000.00	99.9270	\$2,777,970.60
MS100116	605581EP8	MISSISSIPPI ST-D-REF 10/1/2016 0.64%	AA	10/1/2016	0.8	2,520,000.00	99.9410	\$2,518,513.20
MO010518	61761JVN6	MORGAN STANLEY 1/5/2018 1.007098%	A	1/5/2018	2.1	7,938,000.00	99.9179	\$7,931,822.90
MS042916	61747YDD4	MORGAN STANLEY 3.8% 04/29/16	A	4/29/2016	0.3	2,000,000.00	100.8465	\$2,016,930.00
UN060616	90520EAC5	MUFG UNION BANK NA 6/6/2016 3%	A+	6/6/2016	0.5	680,000.00	100.9191	\$686,249.88
Au041717	65490BAB1	NALT 2014-B A2A 4/17/2017 0.73%	AAA	4/17/2017	1.3	5,152,745.41	99.8590	\$5,145,480.03
Au061517	65477WAB2	NAROT 2014-B A2 6/15/2017 0.6%	Aaa	6/15/2017	1.5	2,048,536.75	99.9312	\$2,047,127.35
Au091517	65477UAB6	NAROT 2015-A A2 9/15/2017 0.67%	AAA	9/15/2017	1.8	4,678,962.20	99.8938	\$4,673,993.15
CM040116	63946BAC4	NBCUNIVERSAL MEDIA L LC 4/1/2016 2.875%	A-	4/1/2016	0.3	2,000,000.00	100.4883	\$2,009,766.00
NE010116	63968AXN0	NE PUB PWR DIST-B 1/1/2016 0.48%	A	1/1/2016	0.1	12,000,000.00	100.0000	\$12,000,000.00
NY021517	64990EJ32	NEW YORK ST DORM AUT 2/15/17 .93%	AAA	2/15/2017	1.2	3,685,000.00	99.9980	\$3,684,926.30
NE031516	650035K56	NEW YORK ST URBAN DE V 3/15/2016 0.63%	AAA	3/15/2016	0.2	10,000,000.00	100.0170	\$10,001,700.00
NY031516	64990ERF6	NY DORM AUTH-D-TXBL 3/15/2016 0.66%	AAA	3/15/2016	0.2	2,500,000.00	100.0320	\$2,500,800.00
OA020116	672211BC2	OAKLAND COLISEUM-A 2/1/2016 0.8%	A-1+	2/1/2016	0.2	2,000,000.00	100.0170	\$2,000,340.00
OC081516	675371AS7	OCEANSIDE PENSION-RE F 8/15/2016 1.406%	AA	8/15/2016	0.7	750,000.00	100.0300	\$750,225.00
OR020116	68428LDH4	ORANGE CNTY -TXBL-A 2/1/2016 0.68%	AA	2/1/2016	0.2	10,930,000.00	100.0150	\$10,931,639.50
PB060118	69353REN4	PNC BANK NA 06/01/2018	A	6/1/2018	2.5	3,000,000.00	99.5237	\$2,985,711.00
PN012717	69353RCG1	PNC BANK NA 1/27/2017 1.125%	A	1/27/2017	1.1	12,735,000.00	99.6624	\$12,692,006.64
PO061516	738798BC0	POWAY REDEV AGY-B 6/15/2016 0.95%	AA-	6/15/2016	0.5	2,000,000.00	100.0340	\$2,000,680.00
PO121516	738798BD8	POWAY REDEV AGY-B 12/15/2016 1.1%	AA-	12/15/2016	1.0	3,545,000.00	100.0730	\$3,547,587.85
RI020117	762494QV7	RIALTO USD-TXBL 2/1/2017 1.258%	AA	2/1/2017	1.2	800,000.00	99.8660	\$798,928.00
RI090116	76912TJC8	RIVERSIDE PUB FIN-RE F 9/1/2016 1%	A	9/1/2016	0.8	2,090,000.00	99.9270	\$2,088,474.30
SD070116	7973552R4	SAN DIEGO CALIF UNI SCH DIST 07/01/16	AA-	7/1/2016	0.6	10,000,000.00	99.9000	\$9,990,000.00
SA100116	79876CAV0	SAN MARCOS CA REDEV 1.09% 10/1/16	AA-	10/1/2016	0.8	5,125,000.00	100.1530	\$5,132,841.25
Au081417	78448MAB3	SMAT 2015-1US A2A 8/14/2017 0.99%	AAA	8/14/2017	1.7	3,152,201.72	99.8179	\$3,146,461.56
Au011717	89236RAC3	TAOT 2013-A A3 1/17/2017 0.55%	AAA	1/17/2017	1.1	459,727.83	99.9579	\$459,534.28
AT121517	89231MAC9	TAOT 2014-A A3 12/15/2017 0.67%	AAA	12/15/2017	2.0	1,076,199.23	99.7888	\$1,073,926.29
TO121516	89231RAB0	TAOT 2014-B A2 12/15/2016 0.4%	AAA	12/15/2016	1.0	89,939.85	99.9733	\$89,915.84
AT071717	89236WAB4	TAOT 2015-A A2 7/17/2017 0.71%	AAA	7/17/2017	1.6	5,537,052.62	99.9157	\$5,532,384.88
Au021518	89231TAB6	TAOT 2015-C A2A 2/15/2018 0.93%	AAA	2/15/2018	2.2	5,550,000.00	99.8481	\$5,541,569.55
KO102717	191216BR0	THE COCA-COLA COMPAN Y 10/27/17	AA	10/27/2017	1.8	1,500,000.00	99.6274	\$1,494,411.00
TO030116	89116EC19	TORONTO DOMINION HOL DINGS USA I 03/01/16	A-1+	3/1/2016	0.2	20,000,000.00	99.9248	\$19,984,960.00
TM011116	89233P4R4	TOYOTA MOTOR CREDIT CORP 2.8% 1/11/16	AA-	1/11/2016	0.1	1,000,000.00	100.0288	\$1,000,288.00
TO011218	89236TCB9	TOYOTA MOTOR CREDIT CORP 1/12/2018 0.57	AA-	1/12/2018	2.1	13,000,000.00	99.4370	\$12,926,810.00
TO091516	89233P5E2	TOYOTA MOTOR CREDIT CORP 9/15/2016 2%	AA-	9/15/2016	0.8	895,000.00	100.8071	\$902,223.55
UB092616	90521APH5	UNION BANK NA 9/26/2016 1.5%	A+	9/26/2016	0.8	4,575,000.00	100.2446	\$4,586,190.45
UN092616	90521APG7	UNION BANK NA 9/26/2016 0.9996%	A+	9/26/2016	0.8	2,515,000.00	99.9987	\$2,514,967.31
UN051516	91412GUT0	UNIV OF CALIFORNIA-A N 5/15/2016 0.634%	AA	5/15/2016	0.4	1,830,000.00	100.0370	\$1,830,677.10
UC070141	91412GEZ4	UNIVERSITY CALIF REVS 07/01/2041**	AA	7/1/2017	1.6	10,880,000.00	99.9700	\$10,876,736.00
US111516	91159HHB9	US BANCORP 11/15/2016 2.2%	A+	11/15/2016	0.9	1,365,000.00	100.9639	\$1,378,157.24
US012618	90331HMR1	US BANK NA CINCINNAT I 1/26/2018 0.55572	AA-	1/26/2018	2.1	4,500,000.00	99.5123	\$4,478,053.50
US013017	90331HMD2	US BANK NA CINCINNAT I 1/30/2017 0.4661%	AA-	1/30/2017	1.1	5,000,000.00	99.9550	\$4,997,750.00

T022916	912828B82	US TREASURY N/B 2/29/2016 0.25%	AA+	2/29/2016	0.2	2,000,000.00	99.9922	\$1,999,844.00
T043016	912828C81	US TREASURY N/B 4/30/2016 0.375%	AA+	4/30/2016	0.3	20,000,000.00	99.9883	\$19,997,660.00
T083116	912828RF9	US TREASURY N/B 8/31/2016 1%	AA+	8/31/2016	0.7	30,000,000.00	100.2031	\$30,060,930.00
TN51516	912828VC1	US TREASURY N/B 5/15/2016 0.25%	AA+	5/15/2016	0.4	7,980,000.00	99.9297	\$7,974,390.06
TR033116	912828C40	US TREASURY N/B 0.375% 03/31/16	AA+	3/31/2016	0.2	15,000,000.00	100.0039	\$15,000,585.00
Au121517	90290KAC9	USAOT 2014-1 A3 12/15/2017 0.58%	AAA	12/15/2017	2.0	1,466,097.06	99.8389	\$1,463,735.18
Au031518	90290XAB3	USAOT 2015-1 A2 3/15/2018 0.82%	AAA	3/15/2018	2.2	11,430,000.00	99.8459	\$11,412,386.37
Au042018	92867PAC7	VALET 2013-2 A3 4/20/2018 0.7%	AAA	4/20/2018	2.3	4,071,030.42	99.5225	\$4,051,591.25
VC091516	92343VBN3	VERIZON COMMUNICATIO NS 9/15/2016 2.5%	A	9/15/2016	0.8	6,500,000.00	100.7803	\$6,550,719.50
VZ060917	92343VCD4	VERIZON COMMUNICATIO NS 6/9/2017 0.6306%	A	6/9/2017	1.5	1,000,000.00	99.5787	\$995,787.00
VZ091516	92343VBL7	VERIZON COMMUNICATIO NS 9/15/2016 1.7823	A	9/15/2016	0.8	1,925,000.00	100.6123	\$1,936,786.78
Au042017	92867QAD3	VWALT 2014-A A3 4/20/2017 0.8%	AAA	4/20/2017	1.3	7,023,042.46	99.7238	\$7,003,644.82
Au062017	92867VAB6	VWALT 2015-A A2A 6/20/2017 0.87%	AAA	6/20/2017	1.5	1,477,980.33	99.8075	\$1,475,135.22
VPWF3801	VP7000236	WELLS FARGO ADVANT- AGE HERITAGE	AAA	1/1/2016	0.1	49,409,692.00	100.0000	\$49,409,692.00

Grand Total \$1,018,427,217.39

* Security ratings are updated monthly at month-end.

**Mandatory put on 7/1/17

SECTION III

APPENDIX

B. INVESTMENT PORTFOLIO DETAIL – MANAGED BY OUTSIDE CONTRACTED PARTIES

B. 3. EAST BAY REGIONAL COMMUNICATIONS SYSTEM AUTHORITY (EBRCS)

EBRCS TRANSACTIONS*

For the Quarter Ending

December 31, 2015**FY 2015-2016**

FUND	BALANCE @	TJ/Date	TJ/Date	TJ/Date	TJ/Date	TJ/Date	TJ/Date	BALANCE @
NUMBER	09/30/15							12/31/15
100300	2,232,756.90							2,232,756.90
TOTALS	2,232,756.90	0.00	0.00	0.00	0.00	0.00	0.00	2,232,756.90

* East Bay Regional Communications System Authority

EXHIBITS

CONTRA COSTA COUNTY Portfolio Summary Report *AS OF DECEMBER 31, 2015*

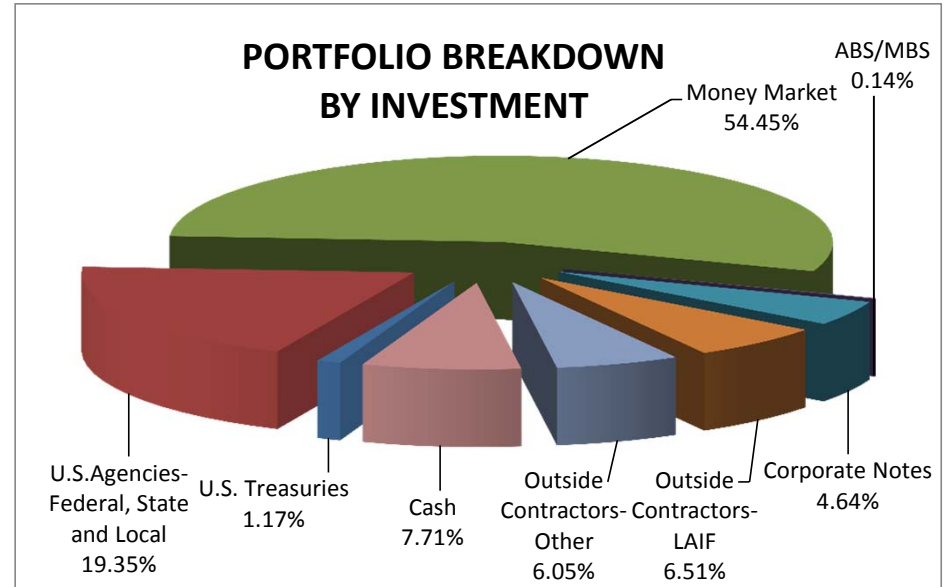
Exhibit I

Portfolio Characteristics

Par	\$3,223,855,273.60
Cost	\$3,224,114,720.65
Market Value	\$3,222,613,057.91
Weighted Yield to Maturity	0.64%
Weighted Average Days to Maturity	228
Weighted Duration	0.62 yr

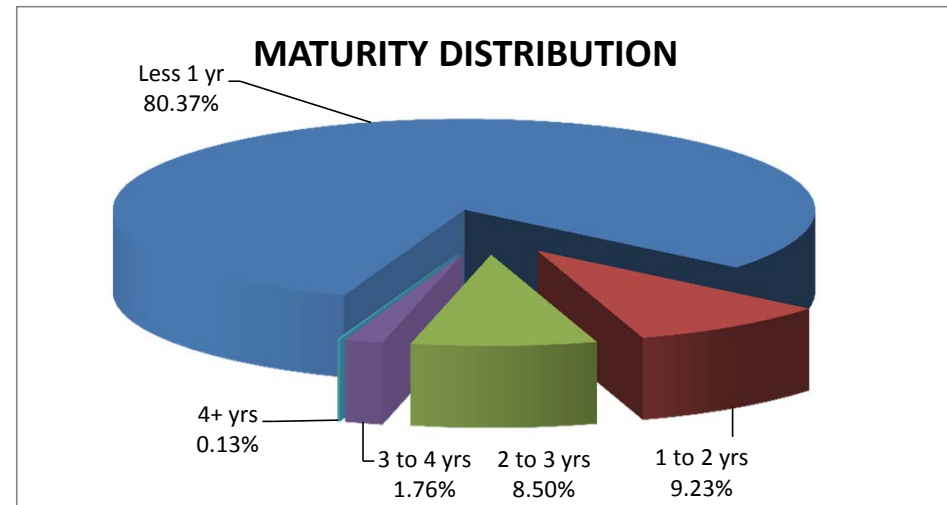
Portfolio Breakdown by Investment

Investments	Par Value	Percent of Total
U.S. Treasuries	\$37,620,000.00	1.17%
U.S. Agencies-Federal, State and Local	623,828,000.00	19.35%
Money Market	1,755,243,654.09	54.45%
ABS/MBS	4,562,799.15	0.14%
Corporate Notes	149,457,000.00	4.64%
Outside Contractors-LAIF	209,721,646.14	6.51%
Outside Contractors-Other	194,951,062.72	6.05%
Cash	248,471,111.50	7.71%
TOTAL*	\$3,223,855,273.60	100.00% **



Maturity Distribution

Time	Par Value	Percent of Total
Less 1 yr	\$2,590,967,140.82	80.37%
1 to 2 yrs	297,694,168.90	9.23%
2 to 3 yrs	274,174,802.65	8.50%
3 to 4 yrs	56,876,404.33	1.76%
4+ yrs	4,142,756.90	0.13%
TOTAL*	\$3,223,855,273.60	100.00% **



* Does not include the Futuris Public Entity Trust of the Contra Costa Community College District Retirement Board of Authority

** May or may not total to 100% due to rounding

**CONTRA COSTA COUNTY INVESTMENT POOL
PERFORMANCE SUMMARY
AS OF DECEMBER 31, 2015**

	<u>PAR</u> (\$)	³ <u>PERCENT OF</u> <u>PORTFOLIO</u> (%)	<u>YTM</u> (%)	<u>WEIGHTED</u> <u>AVERAGE DAYS TO</u> <u>MATURITY AT</u> <u>END-OF-QUARTER</u> (day)	<u>DURATION</u> (year)
A. Investments Managed by Treasurer's Office	\$2,570,711,453.24	79.80%	0.6955%	280	0.75 ¹
B. Investments Managed by Outside Contractors					
1. Local Agency Investment Fund	\$209,721,646.14	6.51%	0.3800%	1	N/A
2. Other					
a. Wells Capital Management	\$44,255,885.01	1.37%	0.8170%	277	0.42 ²
b. CalTRUST (Short-Term Fund)	\$148,462,420.81	4.61%	0.5600%	1	N/A
C. Cash	\$248,471,111.50	7.71%	0.3500% ⁴	1	N/A

³ Yield to Maturity on Portfolio at End-of-Quarter = 0.64%
³ Weighted Average Days to Maturity on Portfolio at End-of-Quarter = 228
³ Weighted Duration at End-of-Quarter = 0.62 yr

1. Data is provided by Sungard.
2. Data is provided by Wells Cap Management.
3. Excludes: Section B.2.a (EBRCS Bond) of the Investment Pool summary report and Futuris Public Entity Trust
4. Earnings Credit Rate on Investable Balance
LAIF and CalTRUST Short-Term are subject to a one day call of principal provision.

CONTRA COSTA COUNTY INVESTMENT POOL

TYPE	<u>As of December 31, 2015</u>	<u>As of September 30, 2015</u>	CHANGE IN VALUE	
	PAR VALUE	PAR VALUE	FROM PREV. QTR.	% CHANGE
A. Investments Managed by Treasurer's Office				
1. U.S. Treasuries (STRIPS, Bills, Notes)	\$37,620,000.00	\$29,160,000.00	\$8,460,000.00	29.01%
2. U.S. Agencies				
Federal Agriculture Mortgage Corporation	0.00	0.00	0.00	0.00%
Federal Home Loan Banks	235,002,000.00	223,502,000.00	11,500,000.00	5.15%
Federal National Mortgage Association	92,526,000.00	102,316,000.00	(9,790,000.00)	-9.57%
Federal Farm Credit Banks	174,036,000.00	124,211,000.00	49,825,000.00	40.11%
Federal Home Loan Mortgage Corporation	116,709,000.00	82,142,000.00	34,567,000.00	42.08%
Municipal Bonds	5,555,000.00	7,225,000.00	(1,670,000.00)	-23.11%
Subtotal	623,828,000.00	539,396,000.00	84,432,000.00	15.65%
3. Money Market Instruments				
Bankers Acceptances	0.00	0.00	0.00	0.00%
Repurchase Agreement	0.00	0.00	0.00	0.00%
Commercial Paper	955,477,000.00	612,848,000.00	342,629,000.00	55.91%
Negotiable Certificates of Deposit	794,998,000.00	495,732,000.00	299,266,000.00	60.37%
Medium Term Certificates of Deposit	4,200,000.00	2,025,000.00	2,175,000.00	107.41%
Money Market Accounts	565,318.32	565,318.32	0.00	0.00%
Time Deposit	3,335.77	3,335.77	0.00	0.00%
Subtotal	1,755,243,654.09	1,111,173,654.09	644,070,000.00	57.96%
4. Asset Backed Securities/Mortgage Backed Securitie:	4,562,799.15	4,595,000.00	2,093,548.49	100.00%
5. Corporate Notes	149,457,000.00	161,007,000.00	(11,550,000.00)	-7.17%
TOTAL	2,570,711,453.24	1,845,331,654.09	725,379,799.15	39.31%
B. Investments Managed by Outside Contractors				
1. Local Agency Investment Fund	209,721,646.14	195,505,003.78	14,216,642.36	7.27%
2. Other				
a. EBRCS Bond	2,232,756.90	2,232,756.90	0.00	0.00%
b. Wells Capital Management	44,255,885.01	44,187,952.42	67,932.59	0.15%
c. CalTRUST (Short-Term Fund)	148,462,420.81	148,585,809.69	(123,388.88)	-0.08%
Subtotal	194,951,062.72	195,006,519.01	(55,456.29)	-0.03%
TOTAL	404,672,708.86	390,511,522.79	14,161,186.07	3.63%
C. Cash	248,471,111.50	129,644,735.27	118,826,376.23	91.66%
* GRAND TOTAL (FOR A , B , & C)	\$3,223,855,273.60	\$2,365,487,912.15	\$858,367,361.45	36.29%

* Does not include the Futuris Public Entity Trust of the Contra Costa Community College District Retirement Board of Authority

CONTRA COSTA INVESTMENT POOL

Exhibit IV

INVESTMENTS MANAGED BY TREASURER'S OFFICE

QUARTERLY COUPON RATES, YIELD TO MATURITY

Fiscal Year		Quarter Ending			
		September	December	March	June
2015/16	Coupon Rate	0.6433%	0.7270%		
	Yield to Maturity	0.5859%	0.6955%		
2014/15	Coupon Rate	0.5437%	0.4624%	0.4912%	0.5309%
	Yield to Maturity	0.4605%	0.4185%	0.4379%	0.4894%
2013/14	Coupon Rate	0.6331%	0.4843%	0.4686%	0.4802%
	Yield to Maturity	0.4645%	0.3709%	0.3680%	0.3877%
2012/13	Coupon Rate	0.8304%	0.5568%	0.5829%	0.5838%
	Yield to Maturity	0.6012%	0.3947%	0.4243%	0.4229%
2011/12	Coupon Rate	0.8769%	0.8385%	0.8122%	0.7426%
	Yield to Maturity	0.6842%	0.6658%	0.6739%	0.6130%
2010/11	Coupon Rate	0.9802%	0.7132%	0.7326%	0.6982%
	Yield to Maturity	0.7494%	0.5866%	0.6133%	0.5612%
2009/10	Coupon Rate	1.2464%	0.8931%	0.8610%	0.8212%
	Yield to Maturity	1.1095%	0.7840%	0.7373%	0.6993%
2008/09	Coupon Rate	4.4019%	1.7623%	1.2918%	1.2418%
	Yield to Maturity	4.2819%	1.6574%	1.1808%	1.1231%
2007/08	Coupon Rate	5.1675%	4.6491%	3.3805%	2.9712%
	Yield to Maturity	5.2022%	4.6583%	3.3454%	2.9048%
2006/07	Coupon Rate	5.1683%	5.1819%	5.2384%	5.2407%
	Yield to Maturity	5.2286%	5.2229%	5.2766%	5.2705%
2005/06	Coupon Rate	3.6925%	4.1660%	4.6328%	5.0427%
	Yield to Maturity	3.6818%	4.1594%	4.6358%	5.0821%

Source: All data is calculated by Sungard.

CONTRA COSTA INVESTMENT POOL

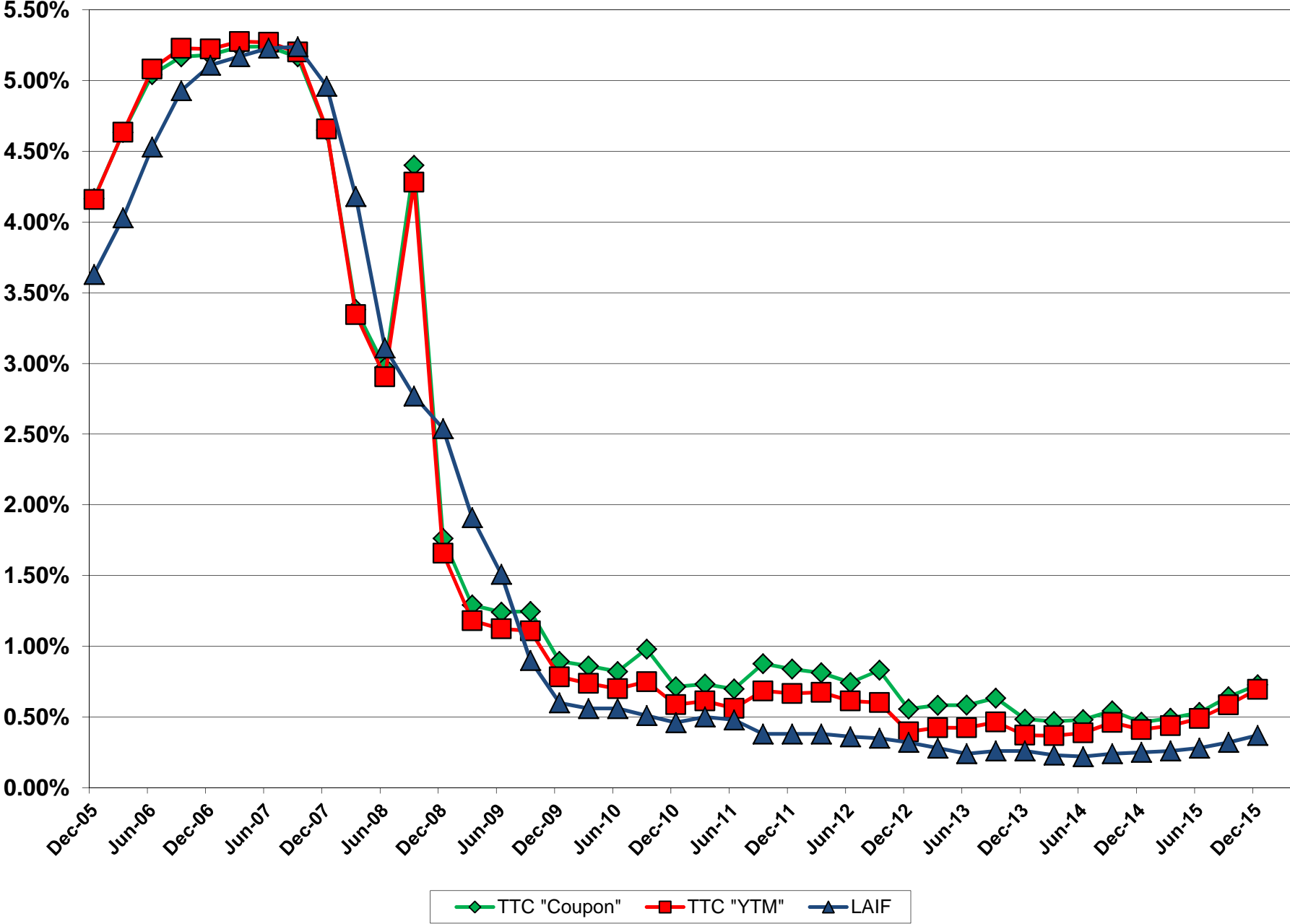
Exhibit IV (a)

INVESTMENTS MANAGED BY OUTSIDE CONTRACTOR

LAIF QUARTERLY APPORTIONMENT RATES

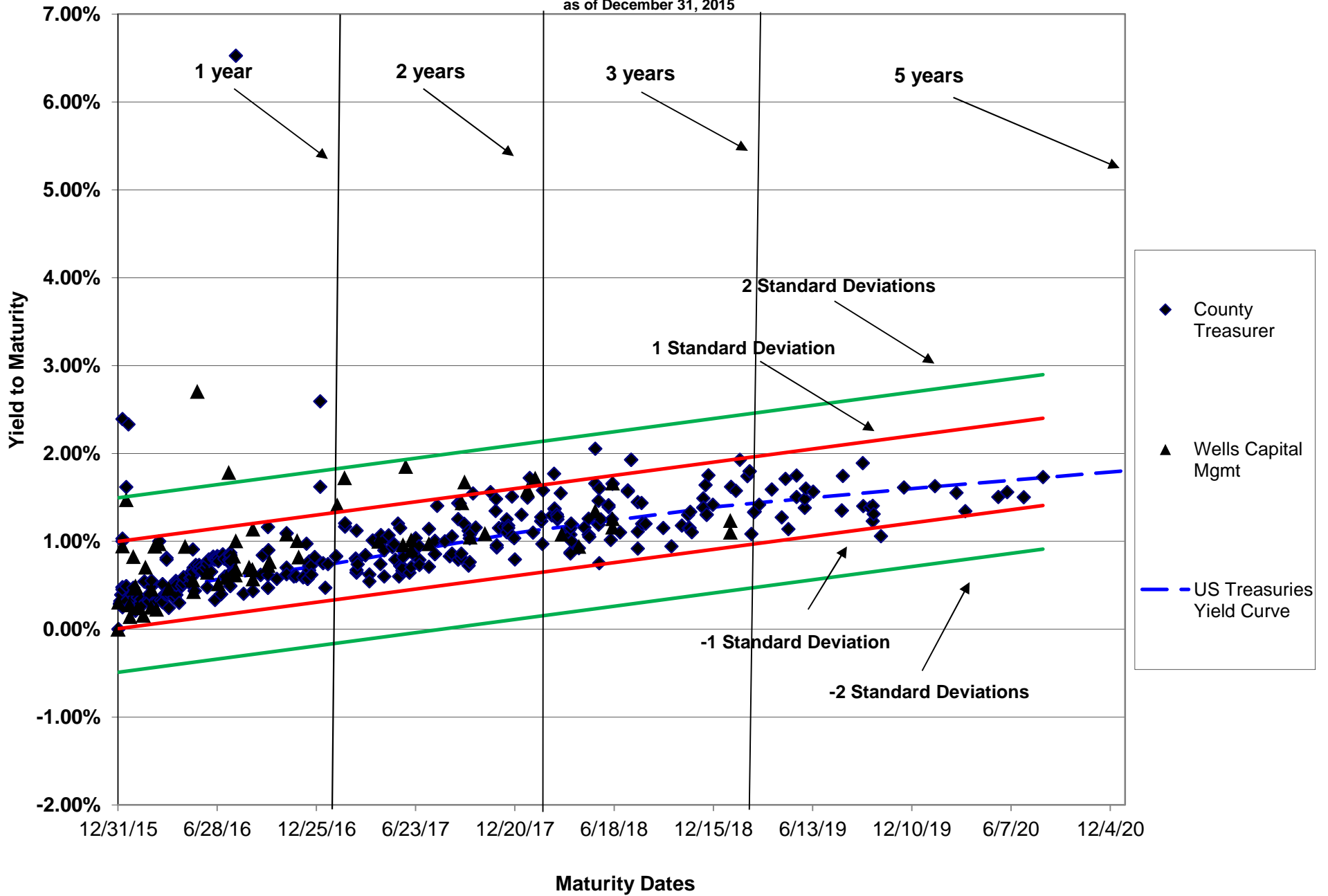
<u>Fiscal Year</u>		<u>Quarter Ending</u>			
		<u>September</u>	<u>December</u>	<u>March</u>	<u>June</u>
2015/16	Apportionment Rate	0.32%	0.37%		
2014/15	Apportionment Rate	0.24%	0.25%	0.26%	0.28%
2013/14	Apportionment Rate	0.26%	0.26%	0.23%	0.22%
2012/13	Apportionment Rate	0.35%	0.32%	0.28%	0.24%
2011/12	Apportionment Rate	0.38%	0.38%	0.38%	0.36%
2010/11	Apportionment Rate	0.51%	0.46%	0.50%	0.48%
2009/10	Apportionment Rate	0.90%	0.60%	0.56%	0.56%
2008/09	Apportionment Rate	2.77%	2.54%	1.91%	1.51%
2007/08	Apportionment Rate	5.24%	4.96%	4.18%	3.11%
2006/07	Apportionment Rate	4.93%	5.11%	5.17%	5.23%
2005/06	Apportionment Rate	3.18%	3.63%	4.03%	4.53%

Contra Costa County Investment Pool as of December 31, 2015



Risk Assessment

as of December 31, 2015



Risk Assessment

Exhibit IV (d)

(Securities Greater Than Two Standard Deviations)

As of December 31, 2015

<u>CUSIP</u>	<u>DESCRIPTION</u>	<u>PURCHASE DATE</u>	<u>PAR</u>	<u>COST</u>	<u>MARKET</u>	<u>COUPON (%)</u>	<u>MATURITY DATE</u>	<u>YTM (%)</u>
204712FD0	AUHSD MUNI COMPTONCA CNTY REDEV	1/3/12 ¹	10,000.00	7,453.00	7,453.00	0.00	8/1/16	6.53
928668AD4	VOLKSWAGEN GROUP AMERICA ³	5/23/14	500,000.00	500,000.00	496,780.20	0.55	5/23/16	2.71
167486JC4	AUHSD MUNI CHICAGO UNREF CALL	6/27/13 ²	390,000.00	421,318.77	421,318.77	5.00	1/1/17	2.59
36962GU51	CORP GENERAL ELEC CA	3/8/13	10,000,000.00	9,952,450.00	10,000,000.00	0.52	1/8/16	2.39
3134A4ZT4	WT GOV FHLMC NOTES	2/25/11	155,000.00	172,267.00	155,289.85	4.75	1/19/16	2.33
45905U7F5	IBRD ³	6/26/15	1,000,000.00	1,000,000.00	995,012.50	0.45	7/19/16	1.78
836496NW5	AUHSD MUNI SOUTH BEND IN CMNTY SCH	6/27/13 ²	505,000.00	547,506.38	547,506.38	5.00	1/15/16	1.62

1. Date when the security was transferred from AUHSD to Contra Costa County Investment Pool Managed by Treasurer's Office.

2. Date when the security was transferred from AUHSD's Fund 5055 to Fund 5057 per District's request.

3. Security purchased by Wells Cap Management.

CONTRA COSTA COUNTY INVESTMENT POOL

AVERAGE INFORMATION
October 1, 2015 through December 31, 2015

	AVERAGE DAILY BALANCE (PAR)	PERCENT OF PORTFOLIO	AVERAGE YTM	AVERAGE DAYS TO MATURITY AS A PERCENT OF PORTFOLIO	AVERAGE DAYS TO MATURITY FOR THE QUARTER
A. Investments Managed by Treasurer's Office	\$2,074,946,319.36	78.18%	0.6043%	217.87	279
B. Investments Managed by Outside Contractors					
1. Local Agency Investment Fund	\$190,301,317.54	7.17%	0.3770%	0.07	1
2. Other					
a. Wells Capital Management	\$44,225,233.98	1.67%	0.6840%	4.99	299
b. CalTRUST Short Term Fund	\$137,378,057.40	5.18%	0.5300%	0.05	1
c. Cash	\$207,120,144.28	7.80%	0.2083%	0.08	1
Total	<u>\$2,653,971,072.56</u>	100.00%			

* Weighted Average YTM of Portfolio = 0.55% 223

* Excludes: Section B.2.a (EBRCS Bond) of the Investment Pool Summary and Futuris Public Entity Trust
 LAIF and CalTRUST Short Term Fund are subject to a one day call of principal provision

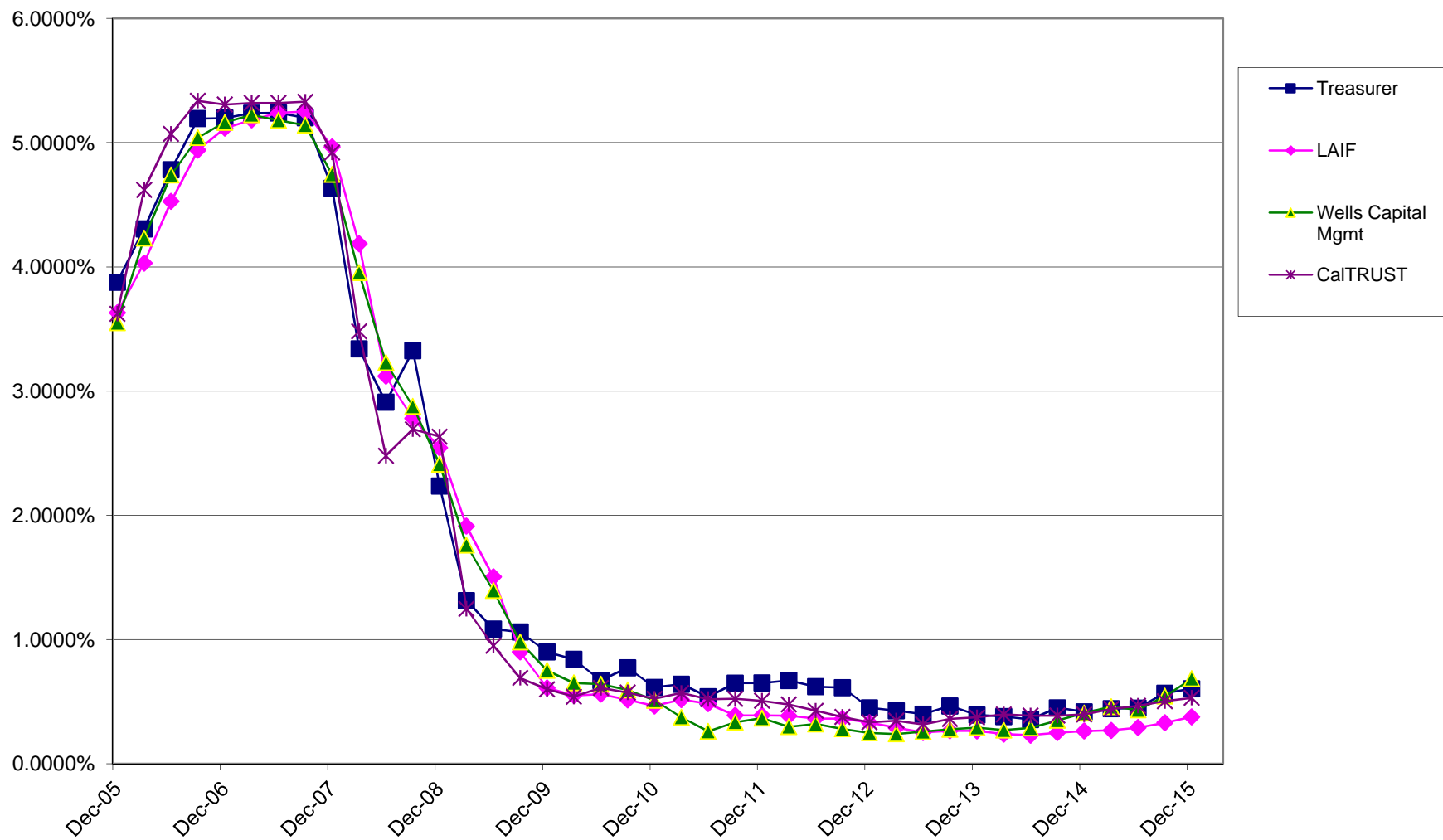
**CONTRA COSTA COUNTY INVESTMENT POOL
SUMMARY OF POOL RATES AND BENCHMARKS
AS OF DECEMBER 31, 2015**

<u>Pool Rates:</u>	<u>YTM as of 12/31/15</u>	<u>Quarterly Ave.</u>	<u>Average Days to Maturity</u>	
Total County Portfolio (w/o Cash)	0.64%	0.55%	257	*1
Investments Managed by Treasurer's Office	0.70%	0.60%	279	
Wells Capital Management	0.82%	0.68%	299	
CalTRUST Short Term Fund	0.56%	0.53%	376	*2
	<u>Quarterly Apportionment Rate</u>	<u>PMIA Ave. Effective Yield</u>		
Local Agency Investment Fund (LAIF)	0.37%	0.38%	210	*2
		10/1/15 - 12/31/15		
	<u>12/31/15</u>	<u>High</u>	<u>Ave.</u>	<u>Low</u>
<u>Benchmarks:</u>				
Federal Fund Rate	0.2500%	0.3500%	0.1592%	0.0600%
Six Month Treasury Bill	0.1625%	0.2475%	0.1383%	0.0075%
Six Month LIBOR	0.8462%	0.8462%	0.6312%	0.5159%
Vanguard Prime Money Mkt Fund	0.0500%			

*1. Cash is excluded from the calculation.

*2. Average days to maturity (with a one day call of principal provision)

Contra Costa County Investment Pool Average Quarterly YTM as of December 31, 2015



**CONTRA COSTA COUNTY
TREASURER'S INVESTMENT PORTFOLIO
STRUCTURED SECURITIES
December 31, 2015**

Exhibit VI

<u>Description</u>	<u>CUSIP</u>	<u>Purchase Date</u>	<u>Coupon Rate</u>	<u>Par</u>	<u>Market</u>	<u>Cost</u>	<u>Provisions</u>	<u>Fund #</u> *
GECC Float Rate Note 1/8/16	36962GU51	3/8/13	0.5180%	\$10,000,000.00	\$10,000,000.00	\$9,952,450.00	Float quarterly: LIBOR +20 bps	8177
Chicago Unrefunded MUNI 1/1/17	167486JC4	6/27/2013 ¹	5.0000%	\$390,000.00	\$421,318.77	\$421,318.77	One time: 1/1/16	5057
Chicago Prerefunded MUNI 1/1/17	167486JB6	6/27/2013 ¹	5.0000%	\$170,000.00	\$189,542.34	\$189,542.34	One time: 1/1/16	5057
Berkshire Hath Float Rate 1/10/17	084664CA7	1/10/14	0.4706%	\$500,000.00	\$499,780.00	\$500,000.00	Float quarterly: LIBOR +15 bps	6911
Svenska Handelsbanken Float CD 8/24/17	86958DH54	11/24/15	0.8280%	\$1,340,000.00	\$1,340,000.00	\$1,340,000.00	Float quarterly: LIBOR +45 bps	6911
HSBC BK Float CD 11/17/17	40428AR41	11/18/15	0.9541%	\$2,175,000.00	\$2,175,000.00	\$2,175,000.00	Float quarterly: LIBOR +59 bps	6911
Intel Structured Callable 12/15/17	458140AL4	1/27/14	1.3500%	\$5,211,000.00	\$5,217,930.63	\$5,179,629.78	Make-whole call +12.5 bps until 12/15/17	8177
FNMA Callable Multi-Step Up 5/22/18	3136G1M63	5/22/13	0.7500%	\$10,000,000.00	\$10,001,300.00	\$10,000,000.00	Quarterly; First: 11/22/13; Last: 2/22/18; 0.75% to 5/22/16; 1% to 5/22/17; 2% to 11/22/17; 3% thereafter	8177
FNMA Callable 5/25/18	3136G2K71	5/27/15	1.2500%	\$10,000,000.00	\$10,015,400.00	\$10,000,000.00	One time: 5/25/16	8177
FNMA Callable Multi-Step Up 6/12/18	3136G1MU0	6/12/13	1.0000%	\$5,000,000.00	\$5,005,050.00	\$4,997,950.00	Quarterly; First: 12/12/13; Last: 3/12/18; 0.8% to 6/12/14; 0.85% to 6/12/15; 1% to 6/12/16; 1.25% to 6/12/17; 1.5% to 12/12/17; 3% to 6/12/18	8177
BB&T Corp Callable 2/1/19	05531FAQ6	9/29/15	2.2500%	\$1,960,000.00	\$1,967,702.80	\$1,987,430.20	Call anytime on or after 1/2/19	7903
	Total			<u>\$46,746,000.00</u>				

* Fund #

5057 Acalanes Unified High School District
6911 Contra Costa County Schools Insurance Group
7903 Contra Costa Community College District Retiree Health Benefits
8177 County (Pool)

1. Date when the security was transferred from AUHSD's Fund 5055 to Fund 5057 per District's request

**CONTRA COSTA COUNTY
CALTRUST SHORT TERM FUND
STRUCTURED SECURITIES
December 31, 2015**

Exhibit VI (a)

<u>DESCRIPTION</u>	<u>CUSIP</u>	<u>MATURITY DATE</u>	<u>PAR</u> (\$)	<u>MARKET</u> (\$)	<u>COST</u> (\$)	<u>PROVISIONS</u>
AMERICAN HONDAFIN 1.125% 10/07/16	02665WAB7	10/7/2016	4,000,000.00	4,003,204.00	4,022,240.00	Make-whole call +10 bps
AMERICAN HONDA FINANCE 9/20/2017 0.7626	02665WAY7	9/20/2017	2,000,000.00	1,997,768.00	2,000,000.00	Floor quarterly: LIBOR +45 bps
AMERICAN HONDA FINANCE 12/11/2017 0.545	02665WAR2	12/11/2014	8,000,000.00	7,953,328.00	8,000,000.00	Floor quarterly: LIBOR +31 bps
ANAHEIM FING AUTH-B 5/1/2016 1%	03255LGX1	5/1/2016	2,850,000.00	2,850,798.00	2,850,000.00	Make-whole call
BANK OF AMERICA NA 11/14/2016 0.7089%	06050TLS9	11/14/2016	2,200,000.00	2,198,761.40	2,200,000.00	Floor quarterly: LIBOR +47 bps
BANK OF AMERICA NA 2/14/2017 0.7061%	06050TLU4	2/14/2017	500,000.00	499,200.50	500,000.00	Floor quarterly: LIBOR +47 bps
BANK OF AMERICA NA 06/05/2017	06050TMB5	6/5/2017	2,250,000.00	2,242,480.50	2,250,000.00	Floor quarterly: LIBOR +45 bps
BANK OF NEW YORK MELLON CORPORA 01/17/17	06406HCA5	1/17/2017	2,000,000.00	2,018,886.00	2,036,280.00	Call on anytime on or after 12/18/16
BANK OF NY MELLON 5/22/18 VARIABLE	06406HDC0	5/22/2018	5,000,000.00	4,991,575.00	4,998,500.00	Floor quarterly: LIBOR +38 bps
BB&T CORPORATION 3/15/2016 3.2%	05531FAG8	3/15/2016	2,350,000.00	2,356,427.25	2,401,026.00	Call anytime on or after 2/16/16
BERKSHIRE HATHAWAY FIN 8/15/2016 0.95%	084664BX8	8/15/2016	1,105,000.00	1,105,618.80	1,105,552.50	Make-whole call +7.5 bps
BERKSHIRE HATHAWAY FIN 1/12/2018 0.5533	084664CD1	1/12/2018	2,750,000.00	2,743,721.75	2,750,000.00	Floor quarterly: LIBOR +30 bps
BMWOT 2014-A A2 4/25/2017 0.53%	09658UAB5	4/25/2017	2,860,842.33	2,858,628.03	2,860,745.63	5% clean up call
BRANCH BANKING & TRUST 12/1/2016 0.6743	07330NAF2	12/1/2016	3,000,000.00	2,998,680.00	3,001,780.00	Floor quarterly: LIBOR +43 bps; Call after 11/1/16
BRANCH BANKING & TRUST 12/1/2016 1.05%	07330NAG0	12/1/2016	8,125,000.00	8,319,580.43	8,135,667.00	Call anytime after 11/1/16
BRANCH BANKING & TRUST 9/13/2016 0.5899	10513KAB0	9/13/2016	2,000,000.00	1,995,598.00	1,994,850.00	Floor quarterly: LIBOR +32 bps
CA UNI-FLTG-TXB-Y-2 7/1/2041 0.656%	91412GFA8	7/1/2017	4,250,000.00	4,248,725.00	4,249,500.00	Floor monthly: US0001M +50 bps
CALIFORNIA ST DEPT .991% 12/1/16	13066KW21	12/1/2016	1,250,000.00	1,250,725.00	1,251,250.00	Make-whole call +20 bps
CCCIT 2013-A6 A6 9/7/2018 1.32%	17305EFE0	9/7/2018	4,250,000.00	4,258,287.50	4,282,871.07	5% clean up call
CHAIT 2006-A2 A2 4/16/2018 5.16%	161571BC7	4/16/2018	2,426,000.00	2,438,003.85	2,514,700.63	10% clean up call
CHAIT 2014-A1 A1 1/15/2019 1.15%	161571GJ7	1/15/2019	13,000,000.00	12,989,951.00	13,057,890.69	10% clean up call
CHEVRON CORP3/2/2018 0.432967%	166764AW0	3/2/2018	4,000,000.00	3,971,392.00	4,000,000.00	Floor quarterly: LIBOR +17 bps
CISCO SYSTEMS INC 06/15/2018	17275RAY8	6/15/2018	5,500,000.00	5,488,455.50	5,500,000.00	Floor quarterly: LIBOR +31 bps
CITIGROUP INC 3/10/2017 0.7744%	172967HL8	3/10/2017	1,000,000.00	997,589.00	999,690.00	Floor quarterly: LIBOR +54 bps
CITIGROUP INC 4/27/2018 0.967%	172967JQ5	4/27/2018	5,000,000.00	4,979,775.00	5,000,000.00	Floor quarterly: LIBOR +69 bps
CITIGROUP INC. 12/07/18	172967KF7	12/7/2018	3,000,000.00	2,990,559.00	3,000,000.00	Floor quarterly: LIBOR +86 bps
COMCAST CORP 6/15/2016 4.95%	20030NAG6	6/15/2016	1,402,000.00	1,427,282.27	1,501,163.46	Make-whole call +20 bps until 5/15/15
CREDIT SUISSE NEW YORK 4/27/2018 0.9574	22546QAW7	4/27/2018	5,500,000.00	5,473,919.00	5,500,000.00	Floor quarterly: LIBOR +68 bps
FANNIE MAE 02/27/2017 0.65%	3135G0XL2	2/27/2017	3,660,000.00	3,645,239.22	3,654,876.00	Quarterly; First 11/27/13; Last 11/27/16
FEDERAL HOME LOAN MORTGAGE CORP 09/15/18	31394JTT4	9/15/2018	2,497,065.03	2,594,175.89	2,597,727.96	1% clean up call
FEDERAL NATIONAL MORTGAGE ASSOC 05/16/17	3135G0ZD8	5/16/2017	2,000,000.00	2,007,716.00	2,019,420.00	One time: 5/16/16
FITAT 2015-B A2A MTGE 1.02% 05/15/18	31680GAB2	5/15/2018	10,400,000.00	10,374,988.00	10,399,716.08	10% collateral call
FREDDIE MAC 4/14/2017 0.8%	3134G6PN7	4/14/2017	10,000,000.00	10,000,800.00	10,012,500.00	One time: 4/14/16
FREDDIE MAC 0.85% 05/26/2017	3134G6E82	5/26/2017	11,545,000.00	11,548,354.14	11,543,845.50	Quarterly; First 8/26/15; Last 2/26/17
FREDDIE MAC0.75% 05/26/2017	3134G6R70	5/26/2017	5,000,000.00	4,976,470.00	4,995,500.00	One time: 5/26/16
FREDDIE MAC 0.85% 06/16/2017	3134G6W66	6/16/2017	5,000,000.00	4,983,375.00	5,000,000.00	One time: 6/16/16
FIFTH THIRD BANK 2/26/2016 0.9%	31677QAX7	2/26/2016	6,810,000.00	6,809,986.38	6,821,310.80	Call anytime after 1/26/16
FIFTH THIRD BANK 11/18/2016 0.7481%	31677QA22	11/18/2016	8,360,000.00	8,358,796.16	8,371,221.50	Floor quarterly: LIBOR +51 bps; Call after 10/18/16
GE DEALER FLOORPLANMASTER NT 04/20/18	36159LCF1	4/20/2018	4,690,000.00	4,690,023.45	4,690,000.00	Floor monthly: LIBOR +40 bps; 10% clean up call
GENERAL ELEC CAPCORP 05/11/2016	36962G2V5	5/11/2016	4,635,000.00	4,635,018.54	4,583,207.70	Floor quarterly: LIBOR +20 bps
GEORGIA POWER COMPANY 4/15/2016 3%	373334JV4	4/15/2016	4,395,000.00	4,419,392.25	4,500,919.50	Make-whole call +15 bps until 4/15/16
HARLEY-DAVIDSON 0.8% 01/15/19	41284CAB0	1/15/2019	4,539,618.31	4,524,964.42	4,539,585.16	10% collateral call
HAROT 2015-1 A2 7/17/2017 0.7%	43814KAB7	6/15/2017	4,104,083.92	4,100,082.44	4,106,062.10	10% collateral call
HAROT 2014-1 A3 11/21/2017 0.67%	43813JAC9	11/21/2017	3,969,346.52	3,962,209.63	3,967,175.80	10% collateral call
HAWAII-TXBL-REF-ES 8/1/2016 0.731%	4197915E4	8/1/2016	14,250,000.00	14,256,555.00	14,251,690.00	Make-whole call +10 bps
HDMOT 2013-1 A3 7/16/2018 0.65%	41283YAC1	7/16/2018	549,796.54	549,277.54	549,066.33	10% collateral call
HDMOT 2015-1 A2A 1/15/2019 0.95%	41284BAB2	1/15/2019	8,240,631.66	8,247,009.90	8,240,564.93	10% collateral up call
HONDA AUTO RECEIV-ABLES 08/21/2017	43813NAB2	8/21/2017	2,000,000.00	1,997,156.00	1,999,880.20	10% clean up call
HONDA AUTO RECEIV-ABLES 07/23/18	43814LAB5	7/23/2018	2,100,000.00	2,094,357.30	2,099,961.78	10% collateral call
HSBC USA INC 11/13/2017 0.57185%	40428HPM8	11/13/2017	7,955,000.00	7,889,411.03	7,953,996.43	Floor quarterly: LIBOR +34 bps
HSBC USA INC 8/7/2018 1.0809%	40428HPW6	8/7/2018	2,000,000.00	1,998,464.00	2,000,000.00	Floor quarterly: LIBOR +77 bps
IBM CORP 7/22/2016 1.95%	45920GX3	7/22/2016	12,450,000.00	12,524,463.45	12,714,064.50	Make-whole call +15 bps until 7/22/16
INDUSTRY PUB FACS-A 1/1/2017 1.764%	45656TAQ1	1/1/2017	7,700,000.00	7,741,657.00	7,700,000.00	Make-whole call +25 bps
JDOT 2015-A A2A 2/15/2018 0.87%	47787UAB9	2/15/2018	6,628,442.57	6,619,706.28	6,628,015.70	10% clean up call
JDOT 2015-B A20 6/15/2018 0.98%	47787WAB5	6/15/2018	4,500,000.00	4,489,632.00	4,499,848.35	10% clean up call
JOHN DEERE CAPITAL CORP 1/16/2018 0.543	24422ESU4	1/16/2018	12,165,000.00	12,119,916.51	12,181,594.50	Floor quarterly: LIBOR +29 bps
JP MORGAN CHASE BANKNA 6/13/2016 0.6101	48121CJM9	6/13/2016	6,650,000.00	6,640,118.10	6,576,340.50	Floor quarterly: LIBOR +33 bps
JPMORGAN CHASE & CO 2/15/2017 0.750933%	46623EJZ3	2/15/2017	1,500,000.00	1,499,019.00	1,503,180.00	Floor quarterly: LIBOR +52 bps

**CONTRA COSTA COUNTY
CALTRUST SHORT TERM FUND
STRUCTURED SECURITIES
December 31, 2015**

<u>DESCRIPTION</u>	<u>CUSIP</u>	<u>MATURITY DATE</u>	<u>PAR</u> (\$)	<u>MARKET</u> (\$)	<u>COST</u> (\$)	<u>PROVISIONS</u>
KEY BANK NA 11/25/2016 0.7516%	49327M2E3	11/25/2016	8,000,000.00	8,000,096.00	8,023,008.00	Float quarterly: LIBOR +49 bps; Call anytime on or after 10/25/16
LOS ANGELES CALIF MUN IMPT CORP 11/01/16	544587B72	11/1/2016	10,965,000.00	10,983,750.15	10,965,000.00	Make-whole call
MANUF & TRADERS TRUST CO 7/25/2017 0.53	55279HAH3	7/25/2017	5,000,000.00	4,984,385.00	5,000,000.00	Float quarterly: LIBOR +30 bps
MBALT 2015-A A2A 2/15/2017 0.78%	58768LAB9	2/15/2017	2,325,918.83	2,325,193.14	2,325,787.42	10% clean up call
MBALT 2015-B A2A 1% 01/16/18	58769AAB2	1/16/2018	10,000,000.00	9,975,840.00	9,999,108.00	5% clean up call
MBART 2014-1 A2 2/15/2017 0.43%	587729AB0	2/15/2017	258,728.97	258,618.24	258,713.78	10% clean up call
MERCEDES BENZ AUTO RECEIVABLES 06/15/18	58772PAB4	6/15/2018	2,050,000.00	2,045,297.30	2,047,117.19	5% collateral call
MISSISSIPPI ST-B-TXBL 10/1/2016 0.64%	605581FW2	10/1/2016	2,780,000.00	2,777,970.60	2,780,000.00	Make-whole call +20 bps
MISSISSIPPI ST-D-REF10/1/2016 0.64%	605581EP8	10/1/2016	2,520,000.00	2,518,513.20	2,520,000.00	Make-whole call +25 bps
MORGAN STANLEY 1/5/2018 1.007098%	61761JVN6	1/5/2018	7,938,000.00	7,931,482.90	7,946,613.24	Float quarterly: LIBOR +74 bps
NALT 2014-B A2A 4/17/2017 0.73%	65490BAB1	4/17/2017	5,152,745.41	5,152,480.03	5,152,341.94	10% clean up call
NAROT 2014-B A2 6/15/2017 0.6%	65477WAB2	6/15/2017	2,048,536.75	2,047,127.35	2,048,426.74	5% collateral call
NAROT 2015-A A2 9/15/2017 0.67%	65477UAB6	9/15/2017	4,678,962.20	4,673,993.15	4,678,726.38	5% collateral call
NEW YORK ST DORM AUT 2/15/17 .93%	64990EJ32	2/15/2017	3,685,000.00	3,684,926.30	3,685,221.10	Make-whole call +20 bps
NEW YORK ST URBAN DEV 3/15/2016 0.63%	650035K56	3/15/2016	10,000,000.00	10,001,700.00	10,000,000.00	Make-whole call +25 bps
NY DORM AUTH-D-TXBL 3/15/2016 0.66%	64990ERF6	3/15/2016	2,500,000.00	2,500,800.00	2,505,325.00	Make-whole call +15 bps
PNC BANK NA 06/01/2018	69353REN4	6/1/2018	3,000,000.00	2,985,711.00	3,000,000.00	Float quarterly: LIBOR +42 bps
PNC BANK NA 1/27/2017 1.125%	69353RCG1	1/27/2017	12,735,000.00	12,692,006.64	12,757,197.90	Call anytime on and after 10/1/15
TAOT 2014-B A2 12/15/2016 0.4%	89231RAB0	12/15/2016	89,939.85	89,915.84	89,932.06	5% collateral call
TAOT 2013-A A3 1/17/2017 0.55%	89236RAC3	1/17/2017	459,727.83	459,534.28	460,015.16	5% collateral call
TAOT 2014-A A31 2/15/2017 0.67%	89231MAC9	12/15/2017	1,076,199.23	1,073,926.29	1,073,971.16	5% collateral call
TAOT 2015-A A2 7/17/2017 0.71%	89236WAB4	7/17/2017	5,537,052.62	5,532,384.88	5,537,000.01	5% collateral call
TAOT 2015-C A2A 2/15/2018 0.93%	89231TAB6	2/15/2018	5,550,000.00	5,541,569.55	5,549,553.78	5% collateral call
THE COCA-COLA COMPANY 10/27/17	191216BR0	10/27/2017	1,500,000.00	1,494,411.00	1,499,340.00	Make-whole call +5 bps
TOYOTA MOTOR CREDITCORP 9/15/2016 2%	89233P5E2	9/15/2016	895,000.00	902,223.55	911,512.75	Make-whole call +20 bps
UNIV OF CALIFORNIA-AN 5/15/2016 0.634%	91412GUT0	5/15/2016	1,830,000.00	1,830,677.10	1,830,000.00	Make-whole call +5 bps
UNION BANK NA 9/26/2016 0.9996%	90521APG7	9/26/2016	2,515,000.00	2,514,967.31	2,517,311.05	Float quarterly: LIBOR +75 bps
TOYOTA MOTOR CREDITCORP 1/12/2018 0.57	89236TCB9	1/12/2018	13,000,000.00	12,926,810.00	13,000,000.00	Float quarterly: LIBOR +32 bps
UNIVERSITY CALIF REVS 07/01/2041 ¹	91412GEZ4	7/1/2017	10,880,000.00	10,876,736.00	10,880,000.00	Float monthly: LIBOR +58 bps
UNION BANK NA9/26/2016 1.5%	90521APH5	9/26/2016	4,575,000.00	4,586,190.45	4,603,999.75	Call anytime on and after 8/26/16
US BANCORP 11/15/2016 2.2%	91159HHB9	11/15/2016	1,365,000.00	1,378,157.24	1,383,045.30	Call anytime on and after 10/14/16
US BANK NA CINCINNATI 1/26/2018 0.55572	90331HMR1	1/26/2018	4,500,000.00	4,478,053.50	4,503,960.00	Float quarterly: LIBOR +30 bps
US BANK NA CINCINNATI 1/30/2017 0.4661%	90331HMD2	1/30/2017	4,500,000.00	4,997,750.00	4,503,960.00	Float quarterly: LIBOR +23 bps
USAOT 2014-1 A31 2/15/2017 0.58%	90290KAC9	12/15/2017	1,466,097.06	1,463,735.18	1,465,524.37	10% collateral call
USAOT 2015-1 A23/15/2018 0.82%	90290XAB3	3/15/2018	11,430,000.00	11,412,386.37	11,429,574.80	10% collateral call
VALET 2013-2 A3 4/20/2018 0.7%	92867PAC7	4/20/2018	4,071,030.42	4,051,591.25	4,058,467.47	10% collateral call
VERIZON COMMUNICATIONS 9/15/2016 1.7823	92343VBL7	9/15/2016	1,925,000.00	1,936,786.78	1,925,000.00	Float quarterly: LIBOR +153 bps
VERIZON COMMUNICATIONS 9/15/2016 2.5%	92343VBN3	9/15/2016	6,500,000.00	6,550,719.50	6,553,170.00	Make-whole call +30 bps
VERIZON COMMUNICATIONS 6/9/2017 0.6306%	92343VCD4	6/9/2017	1,000,000.00	995,787.00	1,000,000.00	Float quarterly: LIBOR +40 bps
VWALT 2014-A A3 4/20/2017 0.8%	92867QAD3	4/20/2017	7,023,042.46	7,003,644.82	7,027,568.25	10% clean up call
VWALT 2015-A A2A 6/20/2017 0.87%	92867VAB6	6/20/2017	1,477,980.33	1,475,135.22	1,477,973.10	10% clean up call
TOTAL			470,666,788.85	471,003,238.50	471,638,444.00	

Notes:

1. The security has a mandatory put date of 7/1/2017.

Contra Costa County invests approximately \$148.5 million in the CalTRUST Short Term Fund which had assets of \$1,018.4 million as of 12/31/15. The above data represents the information at the Short Term Fund level, not at the Contra Costa County account level.

**CONTRA COSTA COUNTY
WELLS CAP MANAGEMENT
STRUCTURED SECURITIES
December 31, 2015**

<u>DESCRIPTION</u>	<u>CUSIP</u>	<u>MATURITY DATE</u>	<u>PAR</u>	<u>MARKET</u>	<u>COST</u>	<u>PROVISIONS</u>
AMERICAN HONDA FINANCE	02665WAY7	9/20/2017	\$500,000.00	\$499,442.00	\$500,000.00	Float quarterly: LIBOR +45 bps
ANAHEIM FING AUTH-B	03255LGX1	5/1/2016	\$750,000.00	\$751,460.00	\$750,000.00	Make-whole call
BANK OF AMERICA NA	06050TLU4	2/14/2017	\$500,000.00	\$499,731.80	\$500,000.00	Float quarterly: LIBOR +47 bps
BANK OF AMERICA NA	06050TMB5	6/5/2017	\$250,000.00	\$249,321.10	\$250,000.00	Float quarterly: LIBOR +45 bps
BB&T CORPORATION	05531FAG8	2/16/2016	\$750,000.00	\$759,117.92	\$766,320.00	Call anytime on or after 2/16/16
BERKSHIRE HATHAWAY FIN	084664CD1	1/12/2018	\$750,000.00	\$749,322.08	\$750,000.00	Float quarterly: LIBOR +30 bps
CISCO SYSTEMS INC	17275RAY8	6/15/2018	\$750,000.00	\$748,716.88	\$750,000.00	Float quarterly: LIBOR +31 bps
COCA-COLA CO	191216BR0	10/27/2017	\$300,000.00	\$299,348.87	\$299,868.00	Make-whole call +5 bps
FITAT 2014-2 A2A	31679KAB6	4/17/2017	\$86,721.92	\$86,700.73	\$86,712.39	10% collateral call
FITAT-151-A2A	31680GAB2	5/15/2018	\$500,000.00	\$499,024.32	\$499,986.35	10% collateral call
HAROT 2015-1 A2	43814KAB7	6/15/2017	\$252,965.61	\$252,797.77	\$252,952.41	10% collateral call
HAWAII-TXBL-REF-ES	4197915E4	8/1/2016	\$750,000.00	\$752,629.38	\$750,000.00	Make-whole call +10 bps
HDMOT 2015-1 A2A	41284BAB2	1/15/2019	\$319,404.33	\$318,989.82	\$319,401.74	10% collateral call
HOME DEPOT INC	437076BJ0	9/15/2017	\$750,000.00	\$751,417.13	\$751,401.98	Float quarterly: LIBOR +37 bps
HTMOT 2014 - A A2	41284AAB4	4/15/2018	\$65,802.65	\$65,742.73	\$65,798.20	10% clean up call
JDOT 2015-B A2	47787WAB5	6/15/2018	\$400,000.00	\$399,252.58	\$399,986.52	10% clean up call
LOS ANGELES CALIF MUN IMPT CORP LEASE RI	544587B72	11/1/2016	\$490,000.00	\$491,558.20	\$490,000.00	Make-whole call
MBART-151-A2A	58772PAB4	6/15/2018	\$650,000.00	\$648,745.53	\$649,085.94	5% collateral call
MISSISSIPPI ST-B-TXBL	605581FW2	10/1/2016	\$300,000.00	\$300,261.00	\$300,000.00	Make-whole call +20 bps
PNC BANK NA	69349LAH1	1/28/2016	\$750,000.00	\$752,537.25	\$751,785.00	Call anytime on or after 12/28/15
NAROT 2014-B A2	65477WAB2	6/15/2017	\$396,490.98	\$396,323.85	\$396,469.70	5% collateral call
TAOT 2015-A A2	89236WAB4	7/17/2017	\$495,855.46	\$495,594.07	\$495,850.75	5% collateral call
UNIV OF CALIFORNIA REVENUES	91412GUT0	5/15/2016	\$250,000.00	\$250,295.03	\$250,000.00	Make-whole call +5 bps
USAOT 2015-1 A2	90290XAB3	3/15/2018	\$480,000.00	\$479,435.45	\$479,982.14	10% collateral call
US BANK NA CINCINNATI	90331HMR1	1/26/2018	\$300,000.00	\$298,883.01	\$300,000.00	Float quarterly: LIBOR +30 bps
US BANK NA CINCINNATI	90331HMR1	1/26/2018	\$450,000.00	\$448,324.52	\$451,206.00	10% clean up call
VOLKSWAGEN GROUP AMERICA	928668AD4	5/23/2016	\$500,000.00	\$496,780.20	\$500,000.00	Float quarterly: LIBOR +22 bps
Total			\$12,737,240.96	\$12,741,753.19	\$12,756,807.11	



PAR VALUES MATURING BY DATE AND TYPE

Maturities in Millions of Dollars

ITEM	1 day to 30 days	31 days to 60 days	61 days to 90 days	91 days to 120 days	121 days to 150 days	151 days to 180 days	181 days to 210 days	211 days to 270 days	271 days to 1 year	1 year to 2 years	2 years to 3 years	3 years to 4 years	4 years to 5 year/out
TREASURY	\$ 750	\$ 4,200	\$ 1,050	\$ 1,700	\$ 1,300	\$ 3,200	\$ 3,750	\$ 3,000	\$ 4,400	\$ 8,900	\$ 500		
REPO													
TDs	\$ 2,044	\$ 1,448	\$ 1,410	\$ 296	\$ 297	\$ 183							
AGENCY	\$ 1,592	\$ 1,280	\$ 1,350	\$ 1,725	\$ 900	\$ 1,400	\$ 430	\$ 500	\$ 75	\$ 627	\$ 781		
CP	\$ 150	\$ 640	\$ 500	\$ 600	\$ 300	\$ 200							
CDs + BNs	\$ 4,150	\$ 1,385	\$ 2,100	\$ 2,100	\$ 100	\$ 800	\$ 650		\$ 300				
CORP BND													
TOTAL													
\$ 63,063	\$ 8,686	\$ 8,953	\$ 6,410	\$ 6,421	\$ 2,897	\$ 5,783	\$ 4,830	\$ 3,500	\$ 4,775	\$ 9,527	\$ 1,281	\$ -	\$ -
PERCENT	13.8%	14.2%	10.2%	10.2%	4.6%	9.2%	7.7%	5.6%	7.6%	15.1%	2.0%	0.0%	0.0%

Notes:

1. SBA Floating Rate Securities are represented at coupon change date.
2. Mortgages are represented at current book value.
3. Figures are rounded to the nearest million.
4. Does not include AB55 and General Fund loans.



State of California
Pooled Money Investment Account
Market Valuation
12/31/2015

Description	Carrying Cost Plus		Fair Value	Accrued Interest
	Accrued Interest	Purch.		
United States Treasury:				
Bills	\$ 10,468,708,753.45	\$ 10,482,830,783.28	\$ 10,478,607,000.00	NA
Notes	\$ 22,248,452,535.53	\$ 22,247,129,027.71	\$ 22,207,793,500.00	\$ 24,762,324.50
Federal Agency:				
SBA	\$ 642,351,164.21	\$ 642,343,909.17	\$ 635,322,467.80	\$ 549,995.41
MBS-REMICs	\$ 73,596,655.56	\$ 73,596,655.56	\$ 77,904,572.74	\$ 348,792.53
Debentures	\$ 961,990,090.06	\$ 961,986,867.84	\$ 961,041,000.00	\$ 3,893,258.30
Debentures FR	\$ -	\$ -	\$ -	\$ -
Discount Notes	\$ 7,584,478,430.49	\$ 7,593,829,138.89	\$ 7,592,138,500.00	NA
GNMA	\$ -	\$ -	\$ -	\$ -
Supranational Debentures	\$ 350,151,164.92	\$ 350,151,164.92	\$ 349,959,000.00	\$ 626,387.50
CDs and YCDs FR	\$ 200,000,000.00	\$ 200,000,000.00	\$ 200,000,000.00	\$ 197,363.48
Bank Notes	\$ 400,000,000.00	\$ 400,000,000.00	\$ 399,813,054.46	\$ 351,250.00
CDs and YCDs	\$ 10,985,007,118.52	\$ 10,985,007,118.52	\$ 10,981,602,163.42	\$ 9,862,947.22
Commercial Paper	\$ 2,385,328,869.46	\$ 2,386,701,088.85	\$ 2,386,066,166.67	NA
Corporate:				
Bonds FR	\$ -	\$ -	\$ -	\$ -
Bonds	\$ -	\$ -	\$ -	\$ -
Repurchase Agreements	\$ -	\$ -	\$ -	\$ -
Reverse Repurchase	\$ -	\$ -	\$ -	\$ -
Time Deposits	\$ 5,677,040,000.00	\$ 5,677,040,000.00	\$ 5,677,040,000.00	NA
AB 55 & GF Loans	\$ 3,590,865,000.00	\$ 3,590,865,000.00	\$ 3,590,865,000.00	NA
TOTAL	\$ 65,567,969,782.20	\$ 65,591,480,754.74	\$ 65,538,152,425.09	\$ 40,592,318.94

Fair Value Including Accrued Interest

\$ 65,578,744,744.03

Repurchase Agreements, Time Deposits, AB 55 & General Fund loans, and Reverse Repurchase agreements are carried at portfolio book value (carrying cost).

The value of each participating dollar equals the fair value divided by the amortized cost (**0.999186963**).
As an example: if an agency has an account balance of \$20,000,000.00, then the agency would report its participation in the LAIF valued at \$19,983,739.25 or \$20,000,000.00 x **0.999186963**.

All investments are in U.S. Dollar according to the State of California



DISCLOSURE STATEMENT

Portfolio Holdings: Structured Notes and Asset-Backed Securities

The Treasury Investment Division has received a number of inquiries concerning our various portfolio holdings. Questions involving structured notes, derivative products*, and asset-backed securities are the most notable.

In an effort to clarify the information provided in our monthly statements, we would like to share with you our investment positions in structured notes and asset-backed securities.

Following are the State of California Treasurer's holdings in each category as of December 31, 2015:

* ***The Pooled Money Investment Account Portfolio has not invested in, nor will it invest in, Derivative Products as defined in FASB 133.***

1. Structured Notes

Structured notes are debt securities (other than asset-backed securities) whose cash flow characteristics (coupon rate, redemption amount, or stated maturity) depend upon one or more indices and/or that have embedded forwards or options. They are issued by corporations and by government-sponsored enterprises such as the Federal National Mortgage Association and the Federal Home Loan Bank System or an international agency such as the World Bank.

Securities Accountability

Structured Notes

a. Callable Agency	\$	0.000 million
b. LIBOR Agency Floater	\$	0.000 million
c. 3 month LIBOR Corporate Floater	\$	0.000 million
d. 3 month LIBOR Bank Floater	\$	200.000 million
e. 2 year CMT Corporate Floater	\$	0.000 million
f. 3 month T-Bill Agency Floater	\$	0.000 million
g. 3 month T-Bill Corporate Floater	\$	0.000 million

U.S. \$200.000 million As of: 12/31/15

2. Asset-Backed Securities

Asset-backed securities entitle the purchaser to receive a share of the cash flows from a pool of assets such as principal and interest repayments from a pool of mortgages (such as CMOs), small business loans, or credit card receivables (such as ABCP).

Asset-Backed Securities

a. Small Business Administration Pools	\$	642.343 million
b. Agency MBS-REMIC'S	\$	<u>73.597 million</u>
(Medium term sub-total)	\$	715.940 million
c. Commercial Paper (Short term sub-total)	\$	239.501 million

U.S. \$955.441 million As of: 12/31/15

Exhibit VII (b)
State of California

Total Portfolio As of: 12/31/15

\$65,567,969,782.20

Structured notes and Medium-term Asset-backed securities as a percent of portfolio: 1.40%

Short-term Asset-Backed Commercial Paper (ABCP) as a percent of portfolio: 0.36% *

Total Medium-term and Short-term Structured notes and Asset-backed securities
as a percent of portfolio: 1.76%

****ABCP purchased by the Pooled Money Investment Account (PMIA) does not include Structured Investment Vehicles (SIVs) nor do any of the approved ABCP programs include SIVs as underlying assets.***

Portfolio Stress Test¹
as of December 31, 2015

Par Value	2,570,711,453.24	Book Price	100.001
Book Value	2,570,728,827.44	Average Days to Maturity	280
Market Value	2,569,513,821.31	Coupon	0.7270%
Market Price	99.953	YTM	0.6955%

Yield Change	Market Value	Market Price	Gain/Loss ²
(bps)	(\$)	(\$)	(bps)
-50	2,579,297,375.15	100.334	38.12
-25	2,574,392,389.33	100.143	19.01
-10	2,571,462,091.73	100.029	7.60
0	2,569,513,821.31	99.953	0.00
10	2,567,569,744.47	99.878	-7.50
25	2,564,661,463.26	99.765	-18.81
50	2,559,835,109.36	99.577	-37.62

Note: Stress Testing is a form of testing that is used to determine the stability of a given system or entity. It reveals how well a portfolio is positioned in the event the forecasts prove true. The stress test conducted on the portfolio managed by the Treasurer's Office identifies the sensitivity of our portfolio to the change in interest rate. The test result shows if the yield were to go down by 50 bps, the market value of the portfolio would increase by 38.12 bps. If the yield were to go up by 50 bps, the market value of the portfolio would decrease by 37.62 bps.

1. The stress test is conducted on the portfolio managed by the Treasurer's Office. Portfolios managed by outside contractors are excluded. All data is provided by SunGard.
2. Gain/Loss is calculated based on the market value/price.

**CONTRA COSTA COUNTY
TREASURER'S INVESTMENT PORTFOLIO
MUNICIPAL SECURITIES
December 31, 2015**

<u>Security Description</u>	<u>CUSIP</u>	<u>Coupon Rate</u>	<u>YTM</u>	<u>Purchase Date</u>	<u>Maturity Date</u>	<u>Par Value</u>	<u>Market Value²</u>	<u>Fund⁴</u>
Compton CA Community Redev Agy	204712FD0	0.0000%	6.5258%	1/3/2012 ¹	8/1/16	10,000.00	7,453.00	5033
Palo Alto USD Refunding Bond	697379UA1	1.4020%	1.4020%	8/14/12	8/1/17	440,000.00	440,000.00	7903
University of Cal Tax Revenue Bond	91412GPX7	0.6590%	0.6590%	3/14/13	5/15/16	1,240,000.00	1,240,000.00	6911
University of Cal Tax Revenue Bond	91412GPY5	0.9660%	0.9660%	3/14/13	5/15/17	175,000.00	175,000.00	7903
Chicago Prerefunded Proj & Refunding Bond	167486JB6	5.0000%	1.6188%	6/27/13 ³	1/1/17	170,000.00	189,542.34	5057
Chicago Unrefunded Bal-Proj & Refunding Bd	167486JC4	5.0000%	2.5923%	6/27/13 ³	1/1/17	390,000.00	421,318.77	5057
Washington State GO Bond	93974B3K6	5.0000%	1.3012%	6/27/13 ³	1/1/18	600,000.00	696,925.06	5057
South Bend IN Refunding Revenue Bond	836496NW5	5.0000%	1.6170%	6/27/13 ³	1/15/16	505,000.00	547,506.38	5057
Wicomico County MD GO Bond	967545R89	3.5000%	1.6386%	6/27/13 ³	12/1/18	390,000.00	427,550.12	5057
Univ of Cal Taxable Rev Bond	91412GSX4	0.9070%	0.9070%	10/2/13	5/15/16	415,000.00	415,000.00	6911
Univ of Cal Taxable Rev Bond	91412GSZ9	2.0540%	2.0540%	10/2/13	5/15/18	195,000.00	195,000.00	7903
Cal State Taxable GO Bond	13063CFD7	1.2500%	1.0901%	11/5/13	11/1/16	125,000.00	125,586.25	7903
Cal State Taxable GO Bond	13063CFD7	1.2500%	1.0901%	11/5/13	11/1/16	790,000.00	793,705.10	6911
State of Mississippi GO Bond	605581FX0	1.0900%	1.0900%	2/18/15	10/1/17	110,000.00	110,000.00	6911
Total						<u>\$5,555,000.00</u>	<u>\$5,784,587.02</u>	

1 Date when the security was transferred from AUHSD to Contra Costa County Investment Pool managed by Treasurer's Office

2 Market Value equals Cost less purchase interest

3 Date when the security was transferred from Fund 5055 to Fund 5057 per AUHSD's request

4 Fund #

5033 - Acalanes Union High School District

5057 - Acalanes Union High School District

6911 - Contra Costa County Schools Insurance Group

7903 - Contra Costa Community College District Retiree Health Benefits



Contra
Costa
County

To: Board of Supervisors
From: Sharon L. Anderson, County Counsel
Date: March 8, 2016

Subject: Conflict of Interest Code of the Department of Conservation and Development

RECOMMENDATION(S):

APPROVE amended Conflict of Interest Code for the Department of Conservation and Development, including the list of designated positions.

FISCAL IMPACT:

None.

BACKGROUND:

The Department of Conservation and Development has amended its conflict of interest code and submitted the revised code, attached as Exhibit A, to the Board for approval pursuant to Government Code section 87306 and 87306.5.

This amendment updates the conflict of interest code to conform to FPPC Regulation 18730 and updates the list of designated positions to add and eliminate positions.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Cynthia Schwerin, Deputy County
Counsel, (925) 335-1800

David J. Twa, County Administrator and Clerk of the Board of
Supervisors

By: , Deputy

cc: Cynthia Schwerin, Deputy County Counsel, David Twa, Clerk of the Board of Supervisors, Marjorie Koll, Department of Conservation and Development

ATTACHMENTS
COI - DCD Exhibit
A

Code Amended: February, 2016


Department of Conservation &
Development Director

CONFLICT OF INTEREST CODE
OF THE DEPARTMENT OF CONSERVATION AND DEVELOPMENT
OF CONTRA COSTA COUNTY

The Political Reform Act (Gov. Code §§ 81000, et seq.) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission has adopted regulation section 18730 of title 2 of the California Code of Regulations (“Section 18730”), which contains the terms of a standard conflict of interest code that can be incorporated by reference in an agency’s code. After public notice and hearing, Section 18730 may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. The terms of Section 18730 and any amendments to it that are adopted by the Fair Political Practices Commission are incorporated by reference into this Conflict of Interest Code. Section 18730 (attached) and the attached Appendix designating officials and employees and establishing disclosure categories, constitute the conflict of interest code of the Department of Conservation and Development.

All designated employees required to submit a statement of economic interests will file the original with the Executive Secretary to the Director of Conservation and Development who is assigned as the Department’s Filing Officer. In the case of agency heads and the members of boards and commissions, the Filing Officer will make and retain a copy of the statement and forward the original to the Clerk of the Board of Supervisors.

(Regulations of the Fair Political Practices Commission Title 2, Division 6 of the California Code of Regulations)

§ 18730. Provisions of Conflict of Interest Codes.

(a) Incorporation by reference of the terms of this regulation along with the designation of employees and the formulation of disclosure categories in the Appendix referred to below constitute the adoption and promulgation of a conflict of interest code within the meaning of Section 87300 or the amendment of a conflict of interest code within the meaning of Section 87306 if the terms of this regulation are substituted for terms of a conflict of interest code already in effect. A code so amended or adopted and promulgated requires the reporting of reportable items in a manner substantially equivalent to the requirements of article 2 of chapter 7 of the Political Reform Act, Sections 81000, et seq. The requirements of a conflict of interest code are in addition to other requirements of the Political Reform Act, such as the general prohibition against conflicts of interest contained in Section 87100, and to other state or local laws pertaining to conflicts of interest.

(b) The terms of a conflict of interest code amended or adopted and promulgated pursuant to this regulation are as follows:

(1) Section 1. Definitions.

The definitions contained in the Political Reform Act of 1974, regulations of the Fair Political Practices Commission (Regulations 18110, et seq.), and any amendments to the Act or regulations, are incorporated by reference into this conflict of interest code.

(2) Section 2. Designated Employees.

The persons holding positions listed in the Appendix are designated employees. It has been determined that these persons make or participate in the making of decisions which may foreseeably have a material effect on economic interests.

(3) Section 3. Disclosure Categories.

This code does not establish any disclosure obligation for those designated employees who are also specified in Section 87200 if they are designated in this code in that same capacity or if the geographical jurisdiction of this agency is the same as or is wholly included within the jurisdiction in which those persons must report their economic interests pursuant to article 2 of chapter 7 of the Political Reform Act, Sections 87200, et seq.

In addition, this code does not establish any disclosure obligation for any designated employees who are designated in a conflict of interest code for another agency, if all of the following apply:

(A) The geographical jurisdiction of this agency is the same as or is wholly included within the jurisdiction of the other agency;

(B) The disclosure assigned in the code of the other agency is the same as that required under article 2 of chapter 7 of the Political Reform Act, Section 87200; and

(C) The filing officer is the same for both agencies. ¹

Such persons are covered by this code for disqualification purposes only. With respect to all other designated employees, the disclosure categories set forth in the Appendix specify which kinds of economic interests are reportable. Such a designated employee shall disclose in his or her statement of economic interests those economic interests he or she has which are of the kind described in the disclosure categories to which he or she is assigned in the Appendix. It has been determined that the economic interests set forth in a designated employee's disclosure categories are the kinds of economic interests which he or she foreseeably can affect materially through the conduct of his or her office.

(4) Section 4. Statements of Economic Interests: Place of Filing.

The code reviewing body shall instruct all designated employees within its code to file statements of economic interests with the agency or with the code reviewing body, as provided by the code reviewing body in the agency's conflict of interest code. ²

(5) Section 5. Statements of Economic Interests: Time of Filing.

(A) Initial Statements. All designated employees employed by the agency on the effective date of this code, as originally adopted, promulgated and approved by the code reviewing body, shall file statements within 30 days after the effective date of this code. Thereafter, each person already in a position when it is designated by an amendment to this code shall file an initial statement within 30 days after the effective date of the amendment.

(B) Assuming Office Statements. All persons assuming designated positions after the effective date of this code shall file statements within 30 days after assuming the designated positions, or if subject to State Senate confirmation, 30 days after being nominated or appointed.

(C) Annual Statements. All designated employees shall file statements no later than April 1. If a person reports for military service as defined in the Servicemember's Civil Relief Act, the deadline for the annual statement of economic interests is 30 days following his or her return to office, provided the person, or someone authorized to represent the person's interests, notifies the filing officer in writing prior to the applicable filing deadline that he or she is subject to that federal statute and is unable to meet the applicable deadline, and provides the filing officer verification of his or her military status.

(D) Leaving Office Statements. All persons who leave designated positions shall file statements within 30 days after leaving office.

(5.5) Section 5.5. Statements for Persons Who Resign Prior to Assuming Office.

Any person who resigns within 12 months of initial appointment, or within 30 days of the date of notice provided by the filing officer to file an assuming office statement, is not deemed to have assumed office or left office, provided he or she did not make or participate in the making of, or use his or her position to influence any decision and did not receive or become entitled to receive any form of payment as a result of his or her appointment. Such persons shall not file either an assuming or leaving office statement.

(A) Any person who resigns a position within 30 days of the date of a notice from the filing officer shall do both of the following:

- (1) File a written resignation with the appointing power; and
- (2) File a written statement with the filing officer declaring under penalty of perjury that during the period between appointment and resignation he or she did not make, participate in the making, or use the position to influence any decision of the agency or receive, or become entitled to receive, any form of payment by virtue of being appointed to the position.

(6) Section 6. Contents of and Period Covered by Statements of Economic Interests.

(A) Contents of Initial Statements.

Initial statements shall disclose any reportable investments, interests in real property and business positions held on the effective date of the code and income received during the 12 months prior to the effective date of the code.

(B) Contents of Assuming Office Statements.

Assuming office statements shall disclose any reportable investments, interests in real property and business positions held on the date of assuming office or, if subject to State Senate confirmation or appointment, on the date of nomination, and income received during the 12 months prior to the date of assuming office or the date of being appointed or nominated, respectively.

(C) Contents of Annual Statements. Annual statements shall disclose any reportable investments, interests in real property, income and business positions held or received during the previous calendar year provided, however, that the period covered by an employee's first annual statement shall begin on the effective date of the code or the date of assuming office whichever is later, or for a board or commission member subject to Section 87302.6, the day after the closing date of the most recent statement filed by the member pursuant to Regulation 18754.

(D) Contents of Leaving Office Statements.

Leaving office statements shall disclose reportable investments, interests in real property, income and business positions held or received during the period between the closing date of the last statement filed and the date of leaving office.

(7) Section 7. Manner of Reporting.

Statements of economic interests shall be made on forms prescribed by the Fair Political Practices Commission and supplied by the agency, and shall contain the following information:

(A) Investment and Real Property Disclosure.

When an investment or an interest in real property ³ is required to be reported, ⁴ the statement shall contain the following:

1. A statement of the nature of the investment or interest;
2. The name of the business entity in which each investment is held, and a general description of the business activity in which the business entity is engaged;
3. The address or other precise location of the real property;
4. A statement whether the fair market value of the investment or interest in real property equals or exceeds \$2,000, exceeds \$10,000, exceeds \$100,000, or exceeds \$1,000,000.

(B) Personal Income Disclosure. When personal income is required to be reported, ⁵ the statement shall contain:

1. The name and address of each source of income aggregating \$500 or more in value, or \$50 or more in value if the income was a gift, and a general description of the business activity, if any, of each source;
2. A statement whether the aggregate value of income from each source, or in the case of a loan, the highest amount owed to each source, was \$1,000 or less, greater than \$1,000, greater than \$10,000, or greater than \$100,000;
3. A description of the consideration, if any, for which the income was received;
4. In the case of a gift, the name, address and business activity of the donor and any intermediary through which the gift was made; a description of the gift; the amount or value of the gift; and the date on which the gift was received;
5. In the case of a loan, the annual interest rate and the security, if any, given for the loan and the term of the loan.

(C) Business Entity Income Disclosure. When income of a business entity, including income of a sole proprietorship, is required to be reported,⁶ the statement shall contain:

1. The name, address, and a general description of the business activity of the business entity;
2. The name of every person from whom the business entity received payments if the filer's pro rata share of gross receipts from such person was equal to or greater than \$10,000.

(D) Business Position Disclosure. When business positions are required to be reported, a designated employee shall list the name and address of each business entity in which he or she is a director, officer, partner, trustee, employee, or in which he or she holds any position of management, a description of the business activity in which the business entity is engaged, and the designated employee's position with the business entity.

(E) Acquisition or Disposal During Reporting Period. In the case of an annual or leaving office statement, if an investment or an interest in real property was partially or wholly acquired or disposed of during the period covered by the statement, the statement shall contain the date of acquisition or disposal.

(8) Section 8. Prohibition on Receipt of Honoraria.

(A) No member of a state board or commission, and no designated employee of a state or local government agency, shall accept any honorarium from any source, if the member or employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests. This section shall not apply to any part-time member of the governing board of any public institution of higher education, unless the member is also an elected official.

Subdivisions (a), (b), and (c) of Section 89501 shall apply to the prohibitions in this section.

This section shall not limit or prohibit payments, advances, or reimbursements for travel and related lodging and subsistence authorized by Section 89506.

(8.1) Section 8.1. Prohibition on Receipt of Gifts in Excess of \$460.

(A) No member of a state board or commission, and no designated employee of a state or local government agency, shall accept gifts with a total value of more than \$460 in a calendar year from any single source, if the member or employee would be required to report the receipt of income or gifts from that source on his or her statement of economic interests. This section shall not apply to any part-time member of the governing board of any public institution of higher education, unless the member is also an elected official.

Subdivisions (e), (f), and (g) of Section 89503 shall apply to the prohibitions in this section.

(8.2) Section 8.2. Loans to Public Officials.

(A) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the elected officer holds office or over which the elected officer's agency has direction and control.

(B) No public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any officer, employee, member, or consultant of the state or local government agency in which the public official holds office or over which the public official's agency has direction and control. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(C) No elected officer of a state or local government agency shall, from the date of his or her election to office through the date that he or she vacates office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status.

(D) No public official who is exempt from the state civil service system pursuant to subdivisions (c), (d), (e), (f), and (g) of Section 4 of Article VII of the Constitution shall, while he or she holds office, receive a personal loan from any person who has a contract with the state or local government agency to which that elected officer has been elected or over which that elected officer's agency has direction and control. This subdivision shall not apply to loans made by banks or other financial institutions or to any indebtedness created as part of a retail installment or credit card transaction, if the loan is made or the indebtedness created in the lender's regular course of business on terms available to members of the public without regard to the elected officer's official status. This subdivision shall not apply to loans made to a public official whose duties are solely secretarial, clerical, or manual.

(E) This section shall not apply to the following:

1. Loans made to the campaign committee of an elected officer or candidate for elective office.
2. Loans made by a public official's spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such persons, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.
3. Loans from a person which, in the aggregate, do not exceed \$500 at any given time.

4. Loans made, or offered in writing, before January 1, 1998.

(8.3) Section 8.3. Loan Terms.

(A) Except as set forth in subdivision (B), no elected officer of a state or local government agency shall, from the date of his or her election to office through the date he or she vacates office, receive a personal loan of \$500 or more, except when the loan is in writing and clearly states the terms of the loan, including the parties to the loan agreement, date of the loan, amount of the loan, term of the loan, date or dates when payments shall be due on the loan and the amount of the payments, and the rate of interest paid on the loan.

(B) This section shall not apply to the following types of loans:

1. Loans made to the campaign committee of the elected officer.
2. Loans made to the elected officer by his or her spouse, child, parent, grandparent, grandchild, brother, sister, parent-in-law, brother-in-law, sister-in-law, nephew, niece, aunt, uncle, or first cousin, or the spouse of any such person, provided that the person making the loan is not acting as an agent or intermediary for any person not otherwise exempted under this section.
3. Loans made, or offered in writing, before January 1, 1998.

(C) Nothing in this section shall exempt any person from any other provision of Title 9 of the Government Code.

(8.4) Section 8.4. Personal Loans.

(A) Except as set forth in subdivision (B), a personal loan received by any designated employee shall become a gift to the designated employee for the purposes of this section in the following circumstances:

1. If the loan has a defined date or dates for repayment, when the statute of limitations for filing an action for default has expired.
2. If the loan has no defined date or dates for repayment, when one year has elapsed from the later of the following:
 - a. The date the loan was made.
 - b. The date the last payment of \$100 or more was made on the loan.
 - c. The date upon which the debtor has made payments on the loan aggregating to less than \$250 during the previous 12 months.

(B) This section shall not apply to the following types of loans:

1. A loan made to the campaign committee of an elected officer or a candidate for elective office.
2. A loan that would otherwise not be a gift as defined in this title.
3. A loan that would otherwise be a gift as set forth under subdivision (A), but on which the creditor has taken reasonable action to collect the balance due.
4. A loan that would otherwise be a gift as set forth under subdivision (A), but on which the creditor, based on reasonable business considerations, has not undertaken collection action. Except in a criminal action, a creditor who claims that a loan is not a gift on the basis of this paragraph has the burden of proving that the decision for not taking collection action was based on reasonable business considerations.
5. A loan made to a debtor who has filed for bankruptcy and the loan is ultimately discharged in bankruptcy.

(C) Nothing in this section shall exempt any person from any other provisions of Title 9 of the Government Code.

(9) Section 9. Disqualification.

No designated employee shall make, participate in making, or in any way attempt to use his or her official position to influence the making of any governmental decision which he or she knows or has reason to know will have a reasonably foreseeable material financial effect, distinguishable from its effect on the public generally, on the official or a member of his or her immediate family or on:

(A) Any business entity in which the designated employee has a direct or indirect investment worth \$2,000 or more;

(B) Any real property in which the designated employee has a direct or indirect interest worth \$2,000 or more;

(C) Any source of income, other than gifts and other than loans by a commercial lending institution in the regular course of business on terms available to the public without regard to official status, aggregating \$500 or more in value provided to, received by or promised to the designated employee within 12 months prior to the time when the decision is made;

(D) Any business entity in which the designated employee is a director, officer, partner, trustee, employee, or holds any position of management; or

(E) Any donor of, or any intermediary or agent for a donor of, a gift or gifts aggregating \$460 or more provided to, received by, or promised to the designated employee within 12 months prior to the time when the decision is made.

(9.3) Section 9.3. Legally Required Participation.

No designated employee shall be prevented from making or participating in the making of any decision to the extent his or her participation is legally required for the decision to be made. The fact that the vote of a designated employee who is on a voting body is needed to break a tie does not make his or her participation legally required for purposes of this section.

(9.5) Section 9.5. Disqualification of State Officers and Employees.

In addition to the general disqualification provisions of section 9, no state administrative official shall make, participate in making, or use his or her official position to influence any governmental decision directly relating to any contract where the state administrative official knows or has reason to know that any party to the contract is a person with whom the state administrative official, or any member of his or her immediate family has, within 12 months prior to the time when the official action is to be taken:

(A) Engaged in a business transaction or transactions on terms not available to members of the public, regarding any investment or interest in real property; or

(B) Engaged in a business transaction or transactions on terms not available to members of the public regarding the rendering of goods or services totaling in value \$1,000 or more.

(10) Section 10. Disclosure of Disqualifying Interest.

When a designated employee determines that he or she should not make a governmental decision because he or she has a disqualifying interest in it, the determination not to act may be accompanied by disclosure of the disqualifying interest.

(11) Section 11. Assistance of the Commission and Counsel.

Any designated employee who is unsure of his or her duties under this code may request assistance from the Fair Political Practices Commission pursuant to Section 83114 and Regulations 18329 and 18329.5 or from the attorney for his or her agency, provided that nothing in this section requires the attorney for the agency to issue any formal or informal opinion.

(12) Section 12. Violations.

This code has the force and effect of law. Designated employees violating any provision of this code are subject to the administrative, criminal and civil sanctions provided in the Political Reform Act, Sections 81000-91014. In addition, a decision in relation to which a violation of the disqualification provisions of this code or of Section 87100 or 87450 has occurred may be set aside as void pursuant to Section 91003.

¹ Designated employees who are required to file statements of economic interests under any other agency's conflict of interest code, or under article 2 for a different jurisdiction, may expand their statement of economic interests to cover reportable interests in both jurisdictions, and file copies of this expanded statement with both entities in lieu of filing separate and distinct statements, provided that each copy of such expanded statement filed in place of an original is signed and verified by the designated employee as if it were an original. See Section 81004.

² See Section 81010 and Regulation 18115 for the duties of filing officers and persons in agencies who make and retain copies of statements and forward the originals to the filing officer.

³ For the purpose of disclosure only (not disqualification), an interest in real property does not include the principal residence of the filer.

⁴ Investments and interests in real property which have a fair market value of less than \$2,000 are not investments and interests in real property within the meaning of the Political Reform Act. However, investments or interests in real property of an individual include those held by the individual's spouse and dependent children as well as a pro rata share of any investment or interest in real property of any business entity or trust in which the individual, spouse and dependent children own, in the aggregate, a direct, indirect or beneficial interest of 10 percent or greater.

⁵ A designated employee's income includes his or her community property interest in the income of his or her spouse but does not include salary or reimbursement for expenses received from a state, local or federal government agency.

⁶ Income of a business entity is reportable if the direct, indirect or beneficial interest of the filer and the filer's spouse in the business entity aggregates a 10 percent or greater interest. In addition, the disclosure of persons who are clients or customers of a business entity is required only if the clients or customers are within one of the disclosure categories of the filer.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 87103(e), 87300-87302, 89501, 89502 and 89503, Government Code.

(Current as of 2/20/2016)

EXHIBIT A

CONFLICT OF INTEREST- DESIGNATED POSITIONS

DESIGNATED POSITIONS

<u>Designated Positions</u>	<u>Disclosure Categories</u>
Accountant I, II, III	1
Accounting Technician	1
Administrative Aide	1
Administrative Analyst	1
Administrative Services Assistants II, & III	1
Assistant Deputy Director	1
Building Inspector I, II	1
Building Plan Checker I, II	1
Chief, Annexations and Economic Stimulus Program	1
Departmental Fiscal Officer	1
Deputy Director of Conservation and Development (Building Inspection, Community Development, Policy Planning)	1
Director of Conservation and Development	1
Executive Secretary	1
Grading Inspector I, II	1
Information System Manager I, II	1
Information System Technician II	1
Information Systems Programmer Analyst I, II, III, IV	1
Land Information Business Manager	1
Lead Weatherization Home Repair Specialist	1
Manager, Application and Permit Center	1
Neighborhood Preservation Program Manager	1
Neighborhood Preservation Program Specialist	1
Network Administrator II	1
Planner I, II, III	1
Planning Technician I, II, III	1
Principal Building Inspector	1
Principal Planner (Level A & B)	1
Principal Structural Engineer	1
Redevelopment and Housing Specialist I, II	1
Senior Building Inspector	1
Senior Building Plan Checker	1
Senior Grading Inspector	1
Senior Planning Technician	1
Senior Structural Engineer	1
Senior Transportation Planner	1
Structural Engineer	1
Supervising Accountant	1
Supervising Structural Engineer	1
Supervisor, Inspection Services	1
Department of Conservation & Development Conflict of Interest Code	

Transportation Planner	1
Consultants*	1

* The Department Head will determine in writing whether a consultant is hired to perform a range of duties that requires the consultant to comply with the disclosure requirements. The written determination is a public record and the Filing Officer will retain the determination for public inspection.

EXHIBIT B

DISCLOSURE CATEGORIES

Category 1. Persons holding designated positions in Category "1" must report:

(a) All investments, interests in real property, business positions, sources of income, including gifts, loans, and travel payments, and any business entity in which the employee is a director, officer, partner, trustee, employee, or holds any position of management. These financial interests are reportable only if located within Contra Costa County or if the business entity is doing business or plans to do business in the County (and such plans are known by the person holding a designated position), or if the business entity has done business within the County at any time during the two years prior to the filing of the statement.

(b) Investments in any business entity, income from any source and status as a director, officer, partner, trustee, employee, or holder of a position of management in any business entity that has, within the last two years, contracted, or foreseeably may contract with Contra Costa County, or with any public agency within Contra Costa County, to provide services, supplies, materials, machinery, or equipment to either party.



Contra
Costa
County

To: Board of Supervisors
From: Sharon L. Anderson, County Counsel
Date: March 8, 2016

Subject: Conflict of Interest Code of the Contra Costa Community College District

RECOMMENDATION(S):

APPROVE amended Conflict of Interest Code for the Contra Costa Community College District, including the list of designated positions.

FISCAL IMPACT:

None.

BACKGROUND:

The Contra Costa Community College District has amended its conflict of interest code and submitted the revised code, attached as Exhibit A, to the Board for approval pursuant to Government Code section 87306 and 87306.5.

The list of designated positions/disclosure categories has been revised to include new positions. These changes are shown on the attached 'red-line' version. (See Exhibit B)

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Cynthia Schwerin, Deputy County
Counsel, (925) 335-1800

David J. Twa, County Administrator and Clerk of the Board of
Supervisors

By: , Deputy

cc: Cynthia Schwerin, Deputy County Counsel, David Twa, Clerk of the Board of Supervisors, Christina Chellew, Contra Costa Community College District

ATTACHMENTS

COI - CCD Exhibit A

COI - CCD redline Exhibit

B

CONFLICT OF INTEREST

In accordance with Board Policy 1020, the procedures listed below should be followed by Governing Board members and designated District staff in complying with the District's conflict of interest policy.

Location and Time of Filing of Disclosure Statements

Governing Board members and the District employees designated in Exhibit A hereto shall file their financial disclosure statements (e.g., Form 700) with the Chief Administrative Services Officer, in accordance with Exhibit B. The disclosure statements will be available for public inspection and reproduction upon request. (GC 81008) These statements will be retained in the office of the Vice Chancellor, Administrative Services.

Disclosure of Conflicts

If a Governing Board member or designated District employee has a disqualifying financial interest regarding a decision or proposal, this fact shall be disclosed and made part of the Governing Board's official minutes at the first meeting following the discovery of the conflict of interest.

In the case of an employee, this announcement shall be made in writing and submitted to the Governing Board through the Chancellor's Office.

A Governing Board member, upon identifying a conflict of interest, shall do all of the following prior to consideration of the matter:

- publicly identify the interest in detail sufficient to be understood by the public;
- recuse himself or herself from discussing, deliberating, and/or voting on the matter; and
- during Board consideration of the matter, the conflicted Board member shall leave the room as to closed session matters, and leave the dais as to open session matters, until after the discussion, vote, and any other disposition of the matter is concluded unless the matter is placed on the open session agenda reserved for uncontested matters. A Governing Board member may, however, discuss the issue as it relates to his/her personal interest during the time the general public speaks on the issue.

Declaration

Annually, each Governing Board member and designated employee shall submit to the District a signed declaration, set forth in Exhibit C hereto, which acknowledges compliance with this Code.

**CONTRA COSTA COMMUNITY COLLEGE DISTRICT
DESIGNATED POSITIONS/DISCLOSURE CATEGORIES**

Designated Position	Assigned Disclosure Category
Governing Board Member	1
Chancellor	1
President	1
Executive Vice Chancellor	1
Vice Chancellor	1
Associate Vice Chancellor	1
Chief Facilities Planner	1
Associate Chief Facilities Planner	1
Vice President	1
Academic/Student Services Manager	2
Assistant Comptroller	2
Associate Chancellor	2
Athletic Director	2
Bond Budget Controls Manager	2
Buildings and Grounds Manager	2
Capital Projects Manager	2
Central Services Manager	2
Chief Accountant	2
College Bookstore Manager	2
Comptroller/Assistant Chief Financial Officer	2
Contract Manager	2
Custodial Manager	2
Dean	2
Director of Administrative Information Systems	2
Director of Admissions and Records	2
Director of Admissions, Records and Relations with Schools	2
Director of Business Services	2
Director of Communications and Community Relations	2

Designated Position	Assigned Disclosure Category
Director of Construction Operations	2
Director of Construction Program Controls	2
Director of District Finance Services	2
Director of District Research	2
Director of Early Childhood Laboratory School	2
Director of Environmental Health, Occupational Safety, & Risk Management	2
Director of Facilities and Construction	2
Director of Facilities Services	2
Director of Facilities Support	2
Director of Financial Aid	2
Director of Fiscal Services	2
Director of Human Resources	2
Director of Information Technology	2
Director of Instructional Support	2
Director of Internal Audit Services	2
Director of International Education	2
Director of Library Services	2
Director of Marketing and Communication	2
Director of Marketing and Media Design	2
Director of Payroll Services	2
Director of Police, Safety and Emergency Services	2
Director of Public Safety and Related Programs	2
Director of Purchasing and Contract Services	1
Director of Special Programs and Services	2
Director of Student Programs and Services	2
Director of Student Services	2
District Design Director	2
Executive Dean	2
Facilities Project Manager	2
Fiscal Services Manager	2

Designated Position	Assigned Disclosure Category
Food Services Manager	2
Foundation Director	2
Human Resources Operations Manager	2
Human Resources Support Services Manager	2
Information Security Officer	2
Manager of Accounting Services	2
Manager of Disability Support Services	2
Network Technology Manager	2
Program Manager	2
Satellite Business Services Manager	2
Senior Academic/Student Services Manager	2
Senior Dean	2
Senior Foundation Director	2
Special Assistant to the Chancellor	2
Special Project Manager	2
Technology Applications Manager	2
Technology Systems Manager	2
Consultant	*See Exhibit B

DISCLOSURE CATEGORIES

Designated Positions in Category 1 shall disclose:

All interests in real property which is located in whole or in part within the boundaries of the District, as well as investments and business positions in business entities and sources of income, including gifts, loans, and travel payments, from persons or entities that provide, or who are likely to provide, goods or services to the District, or who seek or who are likely to seek any contract or other entitlement from the District

Designated Positions in Category 2 shall disclose:

All investments, business positions in business entities and sources of income, including gifts, loans and travel payments, from persons or entities that manufacture, sell or provide, or who are likely to provide, work, services, materials, commodities, supplies, books, machinery, vehicles, or equipment utilized by the department for which the designated position has discretionary authority.

Consultants

Consultants shall be included in the list of designated employees and shall disclose pursuant to Category 1 subject to the following limitation:

The Chancellor, or designee, may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties limited in scope and thus is not required to fully comply with the disclosure requirements in this section. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of disclosure requirements. The Chancellor or designee's determination is a public record and shall be retained for public inspection.

**CONTRA COSTA COMMUNITY COLLEGE DISTRICT
CONFLICT OF INTEREST DECLARATION**

This form is to be completed by each Governing Board member and designated District manager annually when the Form 700 is completed and submitted to the Chief Administrative Officer at the District Office.

I declare that as a member of the Governing Board or designated Contra Costa Community College District (CCCCD) manager, I am aware of the legal requirements imposed on me to disclose business and professional relationships that could affect decision-making and to abstain from participating in any matter when I have a disqualifying conflict of interest. By the following, I declare that:

- I will disclose whether I am related by blood or marriage to any member of the Governing Board, or to an employee of the CCCCC;
- I will disclose any contract, agreement, or business arrangement that I, or any member of my immediate family (persons related by blood, marriage or legal procedure, including registered domestic partners, parents, children, spouses, siblings, first cousins, and in-laws of any of the aforementioned, uncles, aunts, nieces, nephews, grandparents and grandchildren), may have with the CCCCC, either directly or indirectly through a corporation, partnership, or other business entity;
- I will disclose whether any person who has a business relationship with, or a financial interest in, any business that I own, operate, manage, or am employed by, also has a contract, agreement, or business arrangement with the CCCCC;
- I have read the Conflict of Interest policy established by the Governing Board, and I understand that, in the public's view, a conflict of interest may exist if I, or any member of my immediate family, does business with, or proposes to do business with, any entity that does business with the CCCCC;
- I understand that a conflict of interest, or the appearance of a conflict of interest, may exist if anyone with a family, business, or professional relationship with me does business or proposes to do business with the CCCCC; and
- I understand that any of these conflicts shall be fully disclosed in writing to the Governing Board as soon as the conflict is discovered.

By my signature, I agree to comply with the District's Conflict of Interest policy.

Printed Name _____

Signature _____

Date _____

CONFLICT OF INTEREST

In accordance with Board Policy 1020, the procedures listed below should be followed by Governing Board members and designated District staff in complying with the District's conflict of interest policy.

Location and Time of Filing of Disclosure Statements

Governing Board members and the District employees designated in Exhibit A hereto shall file their financial disclosure statements (e.g., Form 700) with the ~~Vice-Chancellor, Administrative Services~~, Chief Administrative Services Officer, in accordance with Exhibit B. The disclosure statements will be available for public inspection and reproduction upon request. (GC 81008) These statements will be retained in the office of the Vice Chancellor, Administrative Services.

Disclosure of Conflicts

If a Governing Board member or designated District employee has a disqualifying financial interest regarding a decision or proposal, this fact shall be disclosed and made part of the Governing Board's official minutes at the first meeting following the discovery of the conflict of interest.

In the case of an employee, this announcement shall be made in writing and submitted to the Governing Board through the Chancellor's Office.

A Governing Board member, upon identifying a conflict of interest, shall do all of the following prior to consideration of the matter:

- publicly identify the interest in detail sufficient to be understood by the public;
- recuse himself or herself from discussing, deliberating, and/or voting on the matter; and
- during Board consideration of the matter, the conflicted Board member shall leave the room as to closed session matters, and leave the dais as to open session matters, until after the discussion, vote, and any other disposition of the matter is concluded unless the matter is placed on the open session agenda reserved for uncontested matters. A Governing Board member may, however, discuss the issue as it relates to his/her personal interest during the time the general public speaks on the issue.

Declaration

Annually, each Governing Board member and designated employee shall submit to the District a signed declaration, set forth in Exhibit C hereto, which acknowledges compliance with this Code.

**CONTRA COSTA COMMUNITY COLLEGE DISTRICT
 DESIGNATED POSITIONS/DISCLOSURE CATEGORIES**

Designated Position	Assigned Disclosure Category
Governing Board Member	1
Chancellor	1
President	1
Executive Vice Chancellor	1
Vice Chancellor	1
Associate Vice Chancellor	1
Chief Facilities Planner	1
<u>Associate Chief Facilities Planner</u>	<u>1</u>
Vice President	1
Academic/Student Services Manager	2
Assistant Comptroller	2
Associate Chancellor	2
Athletic Director	2
Bond Budget Controls Manager	2
Buildings and Grounds Manager	2
Capital Projects Manager	2
Central Services Manager	2
Chief Accountant	2
College Bookstore Manager	2
Comptroller/Assistant Chief Financial Officer	2
Contract Manager	2
Custodial Manager	2
Dean	2
Director of Administrative Information Systems	2
Director of Admissions and Records	2
Director of Admissions, Records and Relations with Schools	2
Director of Business Services	2
Director of Communications and Community Relations	2

Designated Position	Assigned Disclosure Category
Director of Construction Operations	2
Director of Construction Program Controls	2
Director of District Finance Services	2
Director of District Research	2
Director of Early Childhood Laboratory School	2
<u>Director of Environmental Health, Occupational Safety, & Risk Management</u>	<u>2</u>
Director of Facilities and Construction	2
Director of Facilities Services	2
Director of Facilities Support	2
Director of Financial Aid	2
Director of Fiscal Services	2
Director of Human Resources	2
Director of Information Technology	2
Director of Instructional Support	2
Director of Internal Audit Services	2
Director of International Education	2
Director of Library Services	2
Director of Marketing and Communication	2
Director of Marketing and Media Design	2
Director of Payroll Services	2
Director of Police, Safety and Emergency Services	2
Director of Public Safety and Related Programs	2
Director of Purchasing and Contract Services	1
Director of Special Programs and Services	2
Director of Student Programs and Services	2
Director of Student Services	2
<u>District Design Director</u>	<u>2</u>
Executive Dean	2
Facilities Project Manager	2
Fiscal Services Manager	2

Designated Position	Assigned Disclosure Category
Food Services Manager	2
Foundation Director	2
Human Resources Operations Manager	2
Human Resources Support Services Manager	2
Information Security Officer	2
Manager of Accounting Services	2
Manager of Disability Support Services	2
Network Technology Manager	2
Program Manager	2
Satellite Business Services Manager	2
Senior Academic/Student Services Manager	2
Senior Dean	2
Senior Foundation Director	2
Special Assistant to the Chancellor	2
Special Project Manager	2
Technology Applications Manager	2
Technology Systems Manager	2
Consultant	*See Exhibit B

DISCLOSURE CATEGORIES

Designated Positions in Category 1 shall disclose:

All interests in real property which is located in whole or in part within the boundaries of the District, as well as investments and business positions in business entities and sources of income, including gifts, loans, and travel payments, from persons or entities that provide, or who are likely to provide, goods or services to the District, or who seek or who are likely to seek any contract or other entitlement from the District

Designated Positions in Category 2 shall disclose:

All investments, business positions in business entities and sources of income, including gifts, loans and travel payments, from persons or entities that manufacture, sell or provide, or who are likely to provide, work, services, materials, commodities, supplies, books, machinery, vehicles, or equipment utilized by the department for which the designated position has discretionary authority.

Consultants

Consultants shall be included in the list of designated employees and shall disclose pursuant to Category 1 subject to the following limitation:

The Chancellor, or designee, may determine in writing that a particular consultant, although a "designated position," is hired to perform a range of duties limited in scope and thus is not required to fully comply with the disclosure requirements in this section. Such written determination shall include a description of the consultant's duties and, based upon that description, a statement of disclosure requirements. The Chancellor or designee's determination is a public record and shall be retained for public inspection.

**CONTRA COSTA COMMUNITY COLLEGE DISTRICT
CONFLICT OF INTEREST DECLARATION**

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- I will disclose any contract, agreement, or business arrangement that I, or any member of my immediate family (persons related by blood, marriage or legal procedure, including registered domestic partners, parents, children, spouses, siblings, first cousins, and in-laws of any of the aforementioned, uncles, aunts, nieces, nephews, grandparents and grandchildren), may have with the CCCCCD, either directly or indirectly through a corporation, partnership, or other business entity;
- I will disclose whether any person who has a business relationship with, or a financial interest in, any business that I own, operate, manage, or am employed by, also has a contract, agreement, or business arrangement with the CCCCCD;
- I have read the Conflict of Interest policy established by the Governing Board, and I understand that, in the public's view, a conflict of interest may exist if I, or any member of my immediate family, does business with, or proposes to do business with, any entity that does business with the CCCCCD;
- I understand that a conflict of interest, or the appearance of a conflict of interest, may exist if anyone with a family, business, or professional relationship with me does business or proposes to do business with the CCCCCD; and
- I understand that any of these conflicts shall be fully disclosed in writing to the Governing Board as soon as the conflict is discovered.

By my signature, I agree to comply with the District's Conflict of Interest policy.

Printed Name _____

Signature _____

Date _____



Contra
Costa
County

To: Board of Supervisors
From: William Walker, M.D., Health Services Director
Date: March 8, 2016

Subject: Discharge from Accountability for Certain Health Services

RECOMMENDATION(S):

AUTHORIZE the discharge from accountability for certain Health Services accounts which are not collectible due to one or more of the following reasons: the accounts are being discharged in bankruptcy; debtors are deceased, the statute of limitations for pursuing recovery of the debt has expired; the cost of recovery is excessive; and/or the debtor no longer resides in the state.

FISCAL IMPACT:

The charges of the accounts to be discharged total \$7,119,735.24. These accounts cover multiple years from 2004 to 2015. No net impact on the Enterprise Fund or General Fund. Reserves for these accounts were established during the year of service delivery.

BACKGROUND:

The Health Services Department has received confirmation from Rash Curtis & Associates (collection service) that these accounts in the collection system are not recoverable due to one or more of the following reasons: the accounts are being discharged in bankruptcy; debtors are deceased; the statute of limitations for pursuing recovery of the debt has expired; the cost of recovery is excessive; or the debtor no longer resides in the state.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Patrick Godley,
957-5410

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: T Scott, M Wilhelm, Jose Reyes

BACKGROUND: (CONT'D)

Based on the stated facts, the Health Services Department should write off these accounts as "Charity Care" pursuant to Contra Costa Health Services Compliance Charity Care Program Policy #708-C.

CONSEQUENCE OF NEGATIVE ACTION:

Health Services Enterprise Fund I will continue to carry uncollectible accounts and reserves in the books, thereby overstating the receivable and reserve accounts.

CHILDREN'S IMPACT STATEMENT:

No impact.



Contra
Costa
County

To: Board of Supervisors
From: PUBLIC PROTECTION COMMITTEE
Date: March 8, 2016

Subject: 2015 YEAR-END REPORT ON ACCOMPLISHMENTS AND DISPOSITION OF REMAINING REFERRALS TO THE PUBLIC PROTECTION COMMITTEE

RECOMMENDATION(S):

1. ACKNOWLEDGE that the Board of Supervisors referred (9) nine issues to the Public Protection Committee (PPC) for its review and consideration during 2015.
2. FIND that the 2015 PPC convened ten (10) meetings, worked through and provided an opportunity for public input on a number of significant Countywide issues.
3. RECOGNIZE the excellent work of the County department staff who provided the requisite information to the PPC in a timely and professional manner, and members of the Contra Costa community and other public agencies who, through their interest in improving the quality of life in Contra Costa County, provided valuable insight into our discussions, and feedback that helped us to formulate our policy recommendations.
4. ACCEPT year-end productivity report and APPROVE recommended disposition of PPC referrals described at the end of this report.

FISCAL IMPACT:

No fiscal impact. This is an informational report only.

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Timothy Ewell, (925)
335-1036

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

BACKGROUND:

The Public Protection Committee (PPC) was established on January 8, 2008 to study criminal justice and public protection issues and formulate recommendations for consideration by the Board of Supervisors. At the February 29, 2016 meeting, the Committee discussed all issues currently on referral and has made the following recommendations to the Board of Supervisors for the 2016 PPC work-plan:

1. Opportunities to Improve Coordination of Response to Disasters and Other Public Emergencies.

Approximately three weeks following the November 2007 Cosco Busan oil spill, the Sheriff's Office of Emergency Services (OES) presented to the Board of Supervisors its assessment of the emergency response efforts, including what worked well and didn't work well, and what lessons were learned through those experiences. At the conclusion of the Board discussion, Supervisor Gioia introduced five recommendations that were approved by the Board.

On February 5, 2008 the Board of Supervisors referred this matter to the PPC for continuing development and oversight. PPC received a status report from the Office of the Sheriff and Health Services Department in February 2009 and requested the Hazardous Materials Program Manager to report back to the PPC on the development of mutual aid agreements from local oil refineries. Following a second briefing to the PPC by the Office of the Sheriff, the PPC reported out to the Board of Supervisors on May 6, 2009 with recommendations for follow-up by the Sheriff and Human Resources departments. The Health Services Department made a report to the PPC on April 19, 2010 regarding the resources and connections available to respond to hazardous materials emergencies and, again, on October 18, 2010 regarding who determines which local official participates in incident command if an event is in Contra Costa County. On December 5, 2011, Health Services reported to our Committee regarding training and deployment of community volunteers.

In January 2008, the Board of Supervisors referred to the PPC the matter of improving public response to emergency instructions and protocols through broader and better education, which had previously been on referral to the IOC. The Board suggested that the PPC work with the Office of the Sheriff, the Health Services Department, and the CAER (Community Awareness & Emergency Response) Program to determine what educational efforts are being made and what additional efforts may be undertaken to improve public response and safety during an emergency. In April 2011, the PPC met with CAER (Community Awareness Emergency Response) Executive Director Tony Semenza and staff from the Office of the Sheriff and Health Services to discuss what has been done to better inform the public and what more can be done to improve public response to emergency warnings. CAER provided a thorough report on its countywide community fairs, and programs targeted at the education system and non-English speaking populations. The PPC asked CAER to provide a written outreach strategy that describes how new homeowners are educated about emergency awareness.

The Sheriff's Office of Emergency Services provided an update to the Committee at the April 13, 2015 meeting. In addition, the draft update of the Countywide Emergency Operations Plan (EOP) was reviewed and forwarded to the BOS for review and approval.

Recommendation: REFER to the 2016 PPC

2. Welfare Fraud Investigation and Prosecution. In September 2006, the Employment and Human Services (EHS) Department updated the Internal Operations Committee (IOC) on its efforts to improve internal security and loss prevention activities. The IOC had requested the department to report back in nine months on any tools and procedures that have been developed and implemented to detect changes in income eligibility for welfare benefits.

The EHS Director made follow-up reports to IOC in May and October 2007, describing what policies, procedures, and practices are employed by the Department to ensure that public benefits are provided only to those who continue to meet income eligibility requirements, explaining the complaint and follow-through process, and providing statistical data for 2005/06, 2006/07, and for the first quarter of 2007/08.

Upon creation of the PPC in January 2008, this matter was reassigned from the IOC to the PPC. PPC has received status reports on this referral in October 2008, June and October 2010, November 2011, November 2012 and, most recently, in December 2013. The Committee has reviewed the transition of welfare fraud collections from the former

Office of Revenue Collection to the Employment and Human Services Department; the fraud caseload and percentage of fraud findings; fraud prosecutions and the number of convictions; and the amounts recovered.

As the PPC wishes to monitor performance of the welfare fraud program annually, it is recommended that this matter be retained on referral.

Recommendation: REFER to the 2016 PPC

3. Multi-Language Capability of the Telephone Emergency Notification System. This matter had been on referral to the IOC since 2000 and was reassigned to the PPC in January 2008. The PPC met with Sheriff and Health Services Department staff in March 2008 to receive an update on the County's efforts to implement multilingual emergency telephone messaging. The Committee learned that the Federal Communications Commission has before it two rulemaking proceedings that may directly affect practices and technology for multilingual alerting and public notification. Additionally, the federally-funded Bay Area "Super Urban Area Safety Initiative" (SUASI) has selected a contractor undertake an assessment and develop a five-year strategic plan on notification of public emergencies, with an emphasis on special needs populations. The Sheriff's Office of Emergency Services reported to the PPC in April 2009 that little has changed since the March 2008 report.

On October 18, 2010, the PPC received a report from the Sheriff's Office of Emergency Services on the Community Warning and Telephone Emergency Notification systems, and on developments at the federal level that impact those systems and related technology. Sheriff staff concluded that multi-lingual public emergency messaging is too complex to be implemented at the local level and should be initiated at the state and federal levels. New federal protocols are now being established to provide the framework within which the technological industries and local agencies can work to develop these capabilities.

In 2011, the Office of the Sheriff has advised staff that a recent conference on emergency notification systems unveiled nothing extraordinary in terms of language translation. The SUASI project had just commenced and Sheriff staff have been on the contact list for a workgroup that will be developing a gap analysis, needs assessment, and five-year strategic plan. This matter has been on committee referral for more than ten years and technology has yet to provide a feasible solution for multilingual public emergency messaging.

On September 18, 2012, following the Richmond Chevron refinery fire, the Board of Supervisors established an *ad hoc* committee to discuss the Community Warning System and Industrial Safety Ordinance. Since that committee is *ad hoc* in nature, we recommend that this issue remain on referral to the PPC.

The PPC received two updates on this issue in CY 2015; one on April 13, 2015 and one on November 9, 2015. The Committee continues to have interest in monitoring the implementation of a multi-lingual telephone ring down system for emergencies. This issue should remain on referral to the Committee in 2016.

Recommendation: REFER to the 2016 PPC

4. County support and coordination of non-profit organization resources to provide prisoner re-entry services, implementation of AB 109 Public Safety Realignment, and appointment recommendations to the Community Corrections Partnership. On August 25, 2009, the Board of Supervisors referred to the PPC a presentation by the Urban Strategies Council on how the County might support and coordinate County and local non-profit organization resources to create a network of re-entry services for individuals who are leaving jail or prison and are re-integrating in local communities. On September 14, 2009, the PPC invited the Sheriff-Coroner, County Probation Officer, District Attorney, Public Defender, Health Services Director, and Employment and Human Services Director to hear a presentation by the Urban Strategies Council. The PPC encouraged County departments to participate convene a task force to work develop a network for prisoner re-entry services, which has been meeting independently from the PPC.

The PPC received a status report from County departments in April 2010. The Employment and Human Services department reported on its efforts to weave together a network of services, utilizing ARRA funding for the New Start Program and on the role of One-Stop Centers in finding jobs for state parolees. Probation reported on the impacts of

the anticipated flood of state parolees into the county. The Sheriff reported on the costs for expanding local jail capacity and possible expanded use of GPS (global positioning systems) use in monitoring state parolees released back to our county. The Health Services Department reported on its Healthcare for the Homeless Program as a means to get parolees into the healthcare system and on its development of cross-divisional teams on anti-violence. The Public Defender reported on its Clean State Program, which has since been discontinued.

Supervisors Glover and Gioia indicated that their staff would continue to coordinate this local initiative when the Urban Strategies Council exhausts its grant funding from the California Endowment. The PPC continued to monitor progress on the initiative and, on February 7, 2011, received a presentation of the completed strategic plan and recommendations. In response to public testimony at the PPC meeting regarding concerns over the "Ban the Box" element of the plan, the plan recommendations were modified to exclude from the "Ban the Box" requirement certain identified sensitive positions in public safety and children's services or as determined by the agency.

On March 22, 2011, representatives from the Urban Strategies Council presented the completed Contra Costa County Re-entry Strategic Plan (100 pages), an Executive Summary (6 pages) of the plan, and a slide show to the Board of Supervisors, which approved the strategic plan and implementation recommendations with one modification: rather than adopt a 'Ban the Box' policy as recommended, which would have removed the question about criminal records from county employment applications during the initial application, the Board agreed to consider adopting such a policy at a future date. The Board directed the County Administrator to work with the offices of Supervisors Glover and Gioia to identify the resources needed to implement the strategic plan and to report back to the Board with his findings and recommendations.

Later in 2011, the California Legislature passed the Public Safety Realignment Act (Assembly Bills 109), which transfers responsibility for supervising specific low-level inmates and parolees from the California Department of Corrections and Rehabilitation (CDCR) to counties. Assembly Bill 109 (AB 109) takes effect October 1, 2011 and realigns three major areas of the criminal justice system. On a prospective basis, the legislation:

- Transfers the location of incarceration for lower-level offenders (specified non-violent, non-serious, non-sex offenders) from state prison to local county jail and provides for an expanded role for post-release supervision for these offenders;
- Transfers responsibility for post-release supervision of lower-level offenders (those released from prison after having served a sentence for a non-violent, non-serious, and non-sex offense) from the state to the county level by creating a new category of supervision called Post-Release Community Supervision (PRCS);
- Transfers the housing responsibility for parole and PRCS revocations to local jail custody

AB 109 also tasked the local Community Corrections Partnership (CCP) with recommending to the County Board of Supervisors a plan for implementing the criminal justice realignment, which shall be deemed accepted by the Board unless rejected by a 4/5th vote. The Executive Committee of the CCP is composed of the County Probation Officer (Chair), Sheriff-Coroner, a Chief of Police (represented by the Concord Police Chief in 2014), District Attorney, Public Defender, Presiding Judge of the Superior Court or designee, and the Behavioral Health Director.

On October 4, 2011, the Board of Supervisors approved the CCP Realignment Implementation Plan, including budget recommendations for fiscal year 2011/12. Throughout 2012, the PPC received regular status updates from county staff on the implementation of public safety realignment, including recommendations from the CCP-Executive Committee for 2012/13 budget planning. On January 15, 2013 the Board of Supervisors approved a 2012/13 budget for continuing implementation of public safety realignment programming.

The Committee received several reentry/AB 109 related presentations and updates throughout 2014, including program updates, review of the proposed fiscal year 2014/15 AB 109 Public Safety Realignment budget and made appointment recommendations to the Board of Supervisors for the CY 2015 Community Corrections Partnership. In addition, the Committee evaluated the feasibility of submitting a grant proposal for the 2014 Byrne Justice Assistance Grant (JAG) released by the California Board of State and Community Corrections.

As public safety realignment is a work in progress and continues to make up a substantial part of the Committee's time. In 2015, the Committee reviewed the FY 2015/16 AB 109 budget proposed by the CCP, made appointment

recommendations for the CY2016 CCP and CCP-Executive Committee to the Board of Supervisors and advised on grant programs that tie into AB 109 programming infrastructure, such as the Community Recidivism Reduction Grant (CRRG). It is recommended that this matter remain on referral to the 2016 PPC.

Recommendation: REFER to the 2016 PPC

5. Countywide 9-1-1 Wireless Capability. On December 14, 2010, the Board of Supervisors referred to the PPC a letter from the Emergency Medical Care Committee regarding the transmission of 9-1-1 emergency calls from cellular phones to the appropriate Public Safety Answering Point (PSAP). Our Committee met with representatives from the Office of the Sheriff on April 4 to discuss the status of establishing Sheriff's Dispatch as the PSAP for county unincorporated area wireless emergency calls.

Sheriff Department staff advised that the County is not accepting wireless 9-1-1 calls at this time. Staff explained that the GPS (global positioning system) technology exists to enable Sheriff's Dispatch to receive 9-1-1 system emergency calls from cellular phones and to locate the emergency location within some degree of precision. However, due to several years of tight budgets, Sheriff's Dispatch is not currently staffed at a level that is adequate to respond to the call volume associated with the wireless 9-1-1 calls, which are currently routed to the appropriate PSAP by the California Highway Patrol (CHP).

While our committee believes that transferring responsibility for handling wireless 9-1-1 calls from the CHP to Sheriff's Dispatch would be more efficient and would improve response time, it is unlikely that the County will be in a position, fiscally, to assume this responsibility in the next year. The PPC reported on April 12, 2011 to the Board of Supervisors and requested the Office of the Sheriff to provide a status report to the PPC in the spring of 2012 to advise if any outside funding becomes available to support such a transition of responsibility.

On April 2, 2012, the PPC (Supervisor Glover only; Supervisor Uilkema was absent) received a status report prepared by the Office of the Sheriff on the process that has been initiated to make the partial or full transition of 9-1-1 dispatching from the CHP to the Sheriff a reality within funding constraints. The Sheriff reports that if fully implemented, the call volume for Sheriff's Dispatch is projected to nearly double (from 56,000 calls to about 100,000 calls annually). Since the County can expect no additional outside revenue or other resources to support the increased call volume, the Sheriff is planning a phased implementation at a rate and call volume that current resources will permit. The phased implementation beginning with smaller carriers will provide the necessary experience and feedback to inform future implementation phases. New carriers will not be added unless the previous carrier can be effectively managed.

On April 17, 2012, the PPC provided an update to the Board of Supervisors on this topic and recommended continued monitoring of this referral. The issue will only be scheduled at the request of the Sheriff-Coroner.

Recommendation: REFER to the 2016 PPC, but only schedule at the request of the Sheriff

6. Civil gang injunctions. This matter was referred to the PPC on May 12, 2011 at the request of the District Attorney, who suggested under Public Comment at the April 4, 2011 PPC meeting that the Committee consider the use of gang injunctions to help prevent gang violence. The District Attorney has advised committee staff that he is currently focusing on implementing a Ceasefire Program with Richmond Police Department and has requested that this referral be postponed until further notice. The referral will only be scheduled at the request of the District Attorney.

Recommendation: REFER to the 2016 PPC, but schedule only upon the request of the District Attorney

7. Report on Emergency Gas Shut Off Valves for various structures in Unincorporated Contra Costa County.

On September 25, during a presentation on Emergency Preparedness within Contra Costa County, the Board of Supervisors referred to the Public Protection Committee a report on the county Gas Shut-Off valve ordinance (Ordinance Code § 718-8 et seq.). Originally, the former Building Inspection Department was responsible for regulation related to the Ordinance, now the Department of Conservation and Development (DCD) provides oversight through its Building Inspection Division. On November 5, 2012, the Conservation and Development

Department provided a review of the program. The Committee requested additional information from staff at the February 2013 regular meeting. The Department returned to the Committee in February 2013 and presented the requested information. The Committee accepted the staff report and recommended no further action.

On May 11, 2015, the Department provided an update to the Committee on the status of the ordinance. Following the presentation and discussion, the Committee had no further direction for staff, but indicated that the referral should remain with the Committee. For this reason, we believe that this issue should remain on referral to the PPC.

Recommendation: REFER TO 2016 PPC

8. Inmate Welfare Fund/Telecommunications/Visitation Issues. On July 16, 2013, the Board of Supervisors referred a review of the Inmate Welfare Fund (IWF) and inmate visitation policies to the Public Protection Committee for review. The Inmate Welfare Fund is authorized by Penal Code § 4025 for the "...benefit, education, and welfare of the inmates confined within the jail." The statute also mandates that an itemized accounting of IWF expenditures must be submitted annually to the County Board of Supervisors.

The Sheriff's Office has made several reports to the Committee throughout 2013 and 2014 regarding funding of IWF programs, visitation/communication policies and an upcoming RFP for inmate telecommunications services. The referral was placed on hold pending further discussion and outcomes of state and federal level changes to statute or rulemaking that could curtail the collection of telephone commissions individuals contacting inmates and wards housed in county adult and juvenile detention facilities normally pay. Such changes could potentially impact programming provided within the County's detention facilities.

In late 2015, the Federal Communications Commission (FCC) issued new regulations significantly curtailing the costs charged to inmates or the families of inmates for use of a jail or prison telecommunications system. This rulemaking process will have an impact on the Sheriff's Office and Probation Department beginning in CY 2016. For this reason, this issue should remain on referral to the Committee in 2016.

Recommendation: REFER to the 2016 PPC

9. Review of County Service Area (CSA) P-6 Zones. On June 2, 1987, the Board of Supervisors authorized the County Administrator to develop a plan to fund additional Police Services in the unincorporated areas of Contra Costa County. Subsequent to that decision, various Zones within the existing County Service Area P-6 were authorized. According to the Ordinances, each July the Board of Supervisors shall determine the amount of taxes to be levied upon the parcels in each Zone. That amount is, also according to the Ordinances, to be adjusted annually based upon the consumer price index. As of July 2014, there are 116 authorized Zones in County Service Area P-6.

On October 7, 2014, the Board of Supervisors referred to the PPC a review of CSA P-6 zones. Following the referral to Committee, staff prepared a comprehensive staff report and presentation for the PPC, which was provided on March 9, 2015. The Committee reported out to the full Board on May 5, 2015 in a workshop format, with the Sheriff in attendance, to discuss the CSA P-6 program more in depth. Following a request for additional information, the Board ultimately approved a spending plan for unallocated CSA P-6 funding at the July 7, 2015 meeting. For this reason, the referral should be discontinued for CY 2016.

Recommendation: TERMINATE REFERRAL

10. Racial Justice Coalition of Contra Costa County. On April 7, 2015, the Board of Supervisors received a letter (attached) from the Contra Costa County Racial Justice Coalition requesting review of topics within the local criminal justice system. The PPC generally hears all matters related to public safety within the County.

On July 6, 2015, the Committee initiated discussion regarding this referral and directed staff to research certain items identified in the Coalition's letter to the Board of Supervisors and return to the Committee in September 2015.

On September 14, 2015, the Committee received a comprehensive report from staff on current data related to race in the Contra Costa County criminal justice system, information regarding the County's Workplace Diversity Training

and information regarding diversity and implicit bias trainings and presentations from across the country. Following discussion at the meeting the District Attorney, Public Defender and Probation Department were asked to discuss the issue of Disproportionate Minority Contact (DMC) further and report back to the Committee on a proposal for updating a county study on the topic that was released in 2008.

On December 14, 2015, the Committee received an update from the departments listed above and determined the potential composition of a Task Force to assist with the update of the 2008 study. Staff was directed to return to the Committee with final recommendations for a proposed work plan to be forwarded to the Board of Supervisors for review and discussion. For this reason, the issue should remain on referral to the PPC in 2016.

Recommendation: REFER to the 2016 PPC

LIST OF REFERRALS TO BE TERMINATED

- Report on County Service Area P-6 Zones

**LIST OF ITEMS TO BE REFERRED TO THE
2016 PUBLIC PROTECTION COMMITTEE**

- Welfare fraud investigation and prosecution
- Multilingual capabilities of the telephone emergency notification system
- County support and coordination of non-profit organization resources to provide prisoner re-entry services and implementation of AB109 public safety realignment
- Directing 9-1-1 emergency calls to the appropriate Public Safety Answering Point (*schedule at the request of the Sheriff*)
- Civil gang injunctions (*schedule at the request of the District Attorney*)
- Inmate Welfare Fund/Telecommunications/Visitation Issues
- Opportunities to improve coordination of response to disasters and other public emergencies
- Report on Emergency Gas Shut Off Valves for various structures in unincorporated Contra Costa County
- Racial Justice Coalition of Contra Costa County

CONSEQUENCE OF NEGATIVE ACTION:

The Board of Supervisors will not receive the annual report from the 2015 Public Protection Committee.

CHILDREN'S IMPACT STATEMENT:

No impact.



Contra
Costa
County

To: Board of Supervisors
From: David Twa, County Administrator
Date: March 8, 2016

Subject: ADOPT Resolution No. 2016/111 reaffirming the County Debt Management Policy, which replaces Resolution No. 2015/245

RECOMMENDATION(S):

ADOPT Resolution No. 2016/111 updating and reaffirming the County Debt Management Policy.

FISCAL IMPACT:

No specific fiscal impact.

BACKGROUND:

On December 7, 2006 the Finance Committee reviewed and discussed a report regarding establishing a County Debt Management Policy. The Committee directed staff to report to the full Board on December 19, 2006 the recommendation to adopt a formal County Debt Management Policy. A formal policy was adopted on December 19, 2006 (Resolution No. 2006/773).

The Board of Supervisors has worked exceptionally hard to address the County's financial issues and has set very ambitious and necessary goals for lowering cost growth, balancing the budget, and increasing reserves. These solutions are aimed at addressing both short and long term needs and improving the County's future ability to maintain public services. There are four major financial areas the County Administrator's office identified which benefited from formal policies:

- Budget Policy (established November 2006)
-

APPROVE

OTHER

RECOMMENDATION OF CNTY ADMINISTRATOR

RECOMMENDATION OF BOARD
COMMITTEE

Action of Board On: **03/08/2016** APPROVED AS RECOMMENDED OTHER

Clerks Notes:

VOTE OF SUPERVISORS

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

ATTESTED: March 8, 2016

Contact: Lisa Driscoll, County Finance
Director (925) 335-1023

David J. Twa, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Hon. Robert Campbell, Auditor-Controller, Hon. Russell Watts, Treasurer-Tax Collector, Lisa Driscoll, County Finance Director, John Kopchick, Conservation and Development Director

BACKGROUND: (CONT'D)

General Fund Reserve Policy (established December 2005)

- Facilities Maintenance (included in Budget Policy)
- Debt Management Policy (established December 2006)

Debt affordability standards help the County to evaluate when, why, and how much debt should be issued. In addition to debt affordability standards, the County also adopted a formal Debt Management Policy. The Debt Management Policy:

- Establishes parameters for issuing and managing debt
- Provides guidance to decision makers so as not to exceed the debt affordability standards
- Directs staff on objectives to be achieved both pre- and post-issuance
- Promotes objectivity in decision-making and limits the role of political influence
- Facilitates the process by considering and making important policy decisions in advance of an actual financing

Periodically, policies should be revised to keep current with best practices or changes in laws. The Debt Affordability Advisory Committee reviews the existing Debt Policy on an annual basis and makes recommendations for revisions to the Board of Supervisors. The following revisions have been made since original adoption:

- On December 11, 2012, the Board of Supervisors adopted the Debt Affordability Advisory Committee's recommendations and added two additional appendix to the Debt Management Policy (Appendices 2 and 3) and amended two existing sections. The purpose of the Post-Issuance Tax Compliance Procedures for Tax-Exempt and Build America Bonds appendix (Appendix 2) was to establish policies and procedures in connection with tax-exempt bonds and "Build America Bonds" issued by the County of Contra Costa and the County of Contra Costa Public Financing Authority so as to ensure that the County complies with all applicable post-issuance requirements of federal income tax law needed to preserve the tax-exempt or Build America bonds status of bonds. In recognition of the importance of the County meeting its disclosure obligations pursuant to S.E.C. Rule 15c(2)-12, the Committee directed the Finance Director to annually update the Disclosure Requirements Listing that appears in Appendix 3 as well as cause timely filing by the Dissemination Agent of the requisite Annual Reports required under the respective Continuing Disclosure Certificates. Section I of the Policy was amended to require the Debt Affordability Advisory Committee's review of the debt performance of the Community Facilities Districts (Appendix 4), Multifamily Mortgage Revenue Bond Program (Appendix 5), and the Successor Agency to the former Contra Costa County Redevelopment Agency (Appendix 6) to assure that prudent debt management practices extend to these important debt issuers. Section IV.B of the Policy was updated to require the County to issue Requests for Qualifications (RFQs) for financial advisor, bond counsel, disclosure counsel and tax counsel every three years.
- On March 25, 2014, the Board of Supervisors adopted the Debt Affordability Advisory Committee's recommendations and updated Section II of the Policy to reflect the County's upgraded rating tier from Standard and Poor's of "AAA", and Appendix 3 to reflect the current annual disclosure requirement listing.
- On March 31, 2015, the Board of Supervisors adopted the Debt Affordability Advisory Committee's recommendations and updated Appendix 2 of the Policy to reflect updated post-issuance compliance requirements for private placements/direct loans. This is in response to a new law that went into effect January 1 that requires all issuers to report private placements/direct loans to the California Debt and Investment Advisory Commission (CDIAC) within 21 days of their occurrence (AB-2274, Chapter 181, Statutes of 2014).
- On July 16, 2015 the Board of Supervisors adopted the Debt Affordability Advisory Committee's recommendations and updated Debt Affordability measures to better track with current metrics used by credit rating agencies to evaluate the County's financial position.
- On August 25, 2015 the Board of Supervisors adopted updates to Appendix 3 of the Policy to include updated disclosure requirements and procedures.

The Debt Affordability Advisory Committee met on February 29, 2016 and reviewed the draft FY 2014/15 Debt Report, which includes the Debt Management Policy as an Appendix. Today's action would reaffirm the Debt Management Policy as Resolution No. 2016/111 and include the attached version by reference.

CONSEQUENCE OF NEGATIVE ACTION:

The policy will not be formally reaffirmed by the Board.

ATTACHMENTS

Resolution No. 2016/111

CCC Debt Management Policy

THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA
and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 03/08/2016 by the following vote:

AYE:

NO:

ABSENT:

ABSTAIN:

RECUSE:



Resolution No. 2016/111

IN THE MATTER OF: Reaffirming the County's Debt Management Policy

WHEREAS, the Contra County County Board of Supervisors, acting in its capacity as the Governing Board of the County of Contra Costa and for Special Districts, Agencies and Authorities governed by the Board wishes to reaffirm its Debt Management Policy, currently adopted as Resolution No. 2015/245.

NOW, THEREFORE, BE IT RESOLVED that the Contra Costa County Board of Supervisors, acting in its capacity as the Governing Board of the County of Contra Costa and for Special Districts, Agencies and Authorities governed by the Board, takes the following actions:

1. The County Debt Management Policy, Resolution No. 2015/245 is hereby replaced by this Resolution No. 2016/111, including the Debt Management Policy as attached.

I hereby certify that this is a true and correct copy of an action taken and entered on the minutes of the Board of Supervisors on the date shown.

Contact:

ATTESTED: March 8, 2016
, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc: Hon. Robert Campbell, Auditor-Controller, Hon. Russell Watts, Treasurer-Tax Collector, Lisa Driscoll, County Finance Director, John Kopchick, Conservation and Development Director

Contra Costa County, California Debt Management Policy

County Administration
651 Pine Street, 10th Floor
Martinez, California 94553
925-335-1023
lisa.driscoll@cao.cccounty.us

Resolution No. 2016/111
~~Resolution No. 2015/308~~
~~Resolution No. 2015/245~~
~~Resolution No. 2015/113~~
~~Resolution No. 2014/77~~
~~Resolution No. 2012/333~~
~~Resolution No. 2006/773~~

**DEBT MANAGEMENT POLICY
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Contra Costa County, California

Debt Management Policy

I. PURPOSE: The County recognizes the foundation of any well-managed debt program is a comprehensive debt policy. A debt policy sets forth the parameters for issuing debt and managing outstanding debt and provides guidance to decision makers regarding the timing and purposes for which debt may be issued, types and amounts of permissible debt, method of sale that may be used and structural features that may be incorporated. The debt policy should recognize a binding commitment to full and timely repayment of all debt as an intrinsic requirement for entry into the capital markets. Adherence to a debt policy helps to ensure that a government maintains a sound debt position and that credit quality is protected. Advantages of a debt policy are as follows:

- enhances the quality of decisions by imposing order and discipline, and promoting consistency and continuity in decision making,
- provides rationality in the decision-making process,
- identifies objectives for staff to implement,
- demonstrates a commitment to long-term financial planning objectives, and
- is regarded positively by the rating agencies in reviewing credit quality.

II. DEBT AFFORDABILITY ADVISORY COMMITTEE

A. Purpose. By adoption of this Debt Policy, the Debt Affordability Advisory Committee is established. Its purpose is to annually review and evaluate existing and proposed new County debt and other findings and/or issues the committee considers appropriate.

It is the task of this committee to assess the County's ability to generate and repay debt. The committee will issue an annual report to the County Administrator defining debt capacity of the County. This review will be an important element of the budget process and will include recommendations made by the committee regarding how much new debt can be authorized by the County without overburdening itself with debt service payments.

B. Members. The committee shall be composed of the Auditor-Controller, Treasurer-Tax Collector, Director/Conservation and Development Department, and County Finance Director.

C. Debt Affordability Measures. The committee shall examine specific statistical measures to determine debt capacity and relative debt position and compare these ratios to other counties, rating agency standards and Contra Costa County's historical ratios to determine debt affordability. From Moody's Investors Service, the committee will evaluate the County against the following debt ratios from the most recent available national medians for counties in the "Aa" rating tier with populations of at least 1 million:

1. Direct net debt as a percentage of Assessed Valuation;
2. Overall net debt as a percentage of Assessed Valuation;
3. Assessed Valuation per-capita;
4. Available general fund balance as a percentage of revenues; and
5. General fund balance as a percentage of revenues.

From Standard and Poor's, the committee will evaluate the County against the following debt ratios from the most recent available national medians for counties in the "AAA" rating tier :

1. Assessed valuation per-capita;
2. Direct debt as percentage of governmental funds revenue;
3. Total government available cash as a percentage of debt service;
4. Total government available cash as a percentage of expenditures; and
5. Total debt service as a percentage of general fund expenditures.

The Advisory Committee also evaluates the County against a group of cohort counties, namely, other large, urban counties in California. The Advisory Committee utilizes each respective cohort county's most recently available CAFR to measure the County's comparative performance on the various debt measures calculated by Moody's and S&P as noted above, and also against the additional ratios below:

1. Direct debt per capita; and
2. Debt payments as a percentage of general fund revenues.

III. COMPREHENSIVE CAPITAL PLANNING

A. Planning. The County Administrator's Office shall prepare a multi-year capital program for consideration and adoption by the Board of Supervisors as part of the County's budget process. Annually, the capital budget shall identify revenue sources and expenditures for the coming current year and the next succeeding three fiscal years. The plan shall be updated annually.

B. Funding of the Capital Improvement Program. Whenever possible, the County will first attempt to fund capital projects with grants or state/federal funding, as part of its broader capital improvement plan. When such funds are insufficient, the County will use dedicated revenues to fund projects. If these are not available, the County will use excess surplus from the reserve and debt financing, general revenues. The County shall be guided by three principles in selecting a funding source for capital improvements: equity, effectiveness and efficiency.

1. Equity: Whenever appropriate, the beneficiaries of a project or service will pay for it. For example, if a project is a general function of government that benefits the entire community, such as an Office of Emergency Services, the project will be paid for with general purpose revenues or financed with debt. If, however, the project benefits specific users, such as a building permit facility, the revenues will be derived through user fees or charges, and assessments.

2. Effectiveness: In selecting a source or sources for financing projects, the County will select one or more that effectively funds the total cost of the project. For example, funding a capital project, or the debt service on a project, with a user fee that does not provide sufficient funds to pay for the project is not an effective means of funding the project.

3. Efficiency: If grants or current revenues are not available to fund a project, the County will generally select a financing technique that provides for the lowest total cost consistent with acceptable risk factors and principals of equity and effectiveness. These methods currently consist of County issued debt, special funding programs funded by state or federal agencies, or special pool financing. Examples include funding pools like the Association of Bay Area Governments Participation Certificates.

C. Maintenance, Replacement and Renewal/FLIP. The County intends to set aside sufficient current revenues to finance ongoing maintenance needs and to provide periodic replacement and renewal consistent with its philosophy of keeping its capital facilities and infrastructure systems in good repair and to maximize a capital asset's useful life.

D. Debt Authorization. No County debt issued for the purpose of funding capital projects may be authorized by the Board of Supervisors unless an appropriation has been included in the capital budget (Some forms of debt such as Private Activity Bonds for housing, Mello-Roos for infrastructure, and redevelopment bonds for infrastructure/facilities may not be appropriate for inclusion in the County capital improvement program. The policies for such forms of debt are included as Appendixes 4, 5, and 6).

IV. PLANNING AND STRUCTURE OF COUNTY INDEBTEDNESS

A. Overview. The County shall plan long- and short-term debt issuance to finance its capital program based on its cash flow needs, sources of revenue, capital construction periods, available financing instruments and market conditions. The County Finance Director shall oversee and coordinate the timing, issuance process and marketing of the County's borrowing and capital funding activities required in support of the capital improvement plan. The County shall finance its capital needs on a regular basis dictated by its capital spending pattern. Over the long-term this policy should result in a consistently low average interest rate. When market conditions in any one year result in higher than average interest rates, the County shall seek refinancing opportunities in subsequent years to bring such interest rates closer to the average. The Debt Affordability Advisory Committee shall use the Government Financial Officers Association checklist set forth in Appendix 1 hereto in planning and structuring any debt issuances.

B. Financing Team. The County employs outside financial specialists to assist it in developing a debt issuance strategy, preparing bond documents and marketing bonds to investors. The key team members in the County's financing transactions include its financial advisor and outside bond and disclosure counsel, the underwriter and County representatives (the County Auditor-Controller, Treasurer-Tax Collector, and the County Finance Director, among others). Other outside firms, such as those providing paying agent/registrars, trustee, credit enhancement, verification, escrow, auditing, or printing services, are retained as required. The County will issue Requests for Qualifications (RFQs) for financial advisor, bond counsel, disclosure counsel and tax counsel every three years. The financing team shall meet at least semi-annually to review the overall financing strategy of the County and make recommendations to the County Administrator.

C. Term of Debt Repayment. Borrowings by the County shall mature over a term that does not exceed the economic life of the improvements that they finance and usually no longer than 20 years, unless special structuring elements require a specific maximum term to maturity, as is the case with pension obligation bonds. The County shall finance improvements with a probable useful life less than five years using pay-go funding for such needs. Bonds sold for the purchase of equipment with a probable useful life exceeding five years are repaid over a term that does not exceed such useful life.

D. Legal Borrowing Limitations/Bonds and other indebtedness. California Government Code Section 29909 limits General Obligation Bond indebtedness to five percent of the total assessed valuation of all taxable real and personal property within the County, excluding Public Financing Authority lease revenue bonds, Public Facility Corporation certificates of participation, Private Activity Bond, Mello-Roos special tax, and Assessment District Debt for which no legal limitations are currently in effect.

E. Debt Features.

1. Original issue discount or premium. The County's bonds may be sold at a discount or premium, in order to achieve effective marketing, achieve interest cost savings or meet other financing objectives. The maximum permitted discount is stated in the Notice of Sale accompanying the County's preliminary official statement on the Bond Purchase Agreement, as applicable.

2. Debt service structure/Level Debt Service. The County shall primarily finance its long-lived municipal improvements over a 20-year term or less, on a level debt service basis. This policy minimizes long-run impact on a funding department's budget. The County will seek to continue this practice, unless general fund revenues are projected to be insufficient to provide adequately for this debt service structure.

3. Call provisions. The County shall seek to minimize the protection from optional redemption given to bondholders, consistent with its desire to obtain the lowest possible interest rates on its bonds. The County's tax-exempt bonds are generally subject to optional redemption. The County seeks early calls at low or no premiums because such features will allow it to refinance debt more easily for debt service savings when interest rates drop. The County and its financial advisor shall evaluate optional redemption provisions for each issue to assure that the County does not pay unacceptably higher interest rates to obtain such advantageous calls. The County shall not sell derivative call options.

4. Interest rates. The County shall first consider the use of fixed-rate debt to finance its capital needs, except for short-term needs (such as short-lived assets) that will be repaid or refinanced in the near term; and may consider variable rate debt under favorable conditions.

F. Other Obligations Classified as Debt/Other Post Employment Benefits (OPEB)/Vested Vacation Benefits. OPEBs and vacation benefits are earned by County employees based on time in service. The County records these vacation benefits as earned in accordance with generally accepted accounting principles as established by the Governmental Accounting Board (GASB). The liability for the benefit is recorded on the Fund level financial statements. The expense is recorded during the conversion to the Government Wide financial statements in accordance with GASB standards. For Enterprise funds the expense and liability are accrued in the respective funds. In this initial policy, the amount of OPEB and vacation benefits will not be in measures used to evaluate the County's debt affordability. However, the County's net OPEB obligation is posted to the County's balance sheet.

V. METHOD OF SALE. The County will select a method of sale that is the most appropriate in light of financial, market, transaction-specific and County-related conditions, and explain the rationale for its decision.

A. Competitive Sales. Debt obligations are generally issued through a competitive sale. The County and its financial advisor will set the terms of the sale to encourage as many bidders as possible. By maximizing bidding, the County seeks to obtain the lowest possible interest rates on its bonds. Some of the conditions that generally favor a competitive sale include:

1. the market is familiar with the County;
2. the County is a stable and regular borrower in the public market;
3. there is an active secondary market with a broad investor base for the County's bonds;
4. the issue has a non-enhanced credit rating of A or above or can obtain credit enhancement prior to the competitive sale;
5. the debt structure is backed by the County's full faith and credit or a strong, known or historically performing revenue stream;
6. the issue is neither too large to be easily absorbed by the market nor too small to attract

- investors without a concerted sale effort;
7. the issue does not include complex or innovative features or require explanation as to the bonds' security;
 8. the issue can be sold and closed on a schedule that does not need to be accelerated or shortened for market or policy reasons; and
 9. interest rates are stable, market demand is strong, and the market is able to absorb a reasonable amount of buying or selling at reasonable price changes.

B. Negotiated Sales. When certain conditions favorable for a competitive sale do not exist and when a negotiated sale will provide significant benefits to the County that would not be achieved through a competitive sale, the County may elect to sell its debt obligations through a private placement or negotiated sale, upon approval by the County Board of Supervisors. Such determination shall be made on an issue-by-issue basis, for a series of issues, or for part or all of a specific financing program. The following practices are recommended to be observed in the event of a negotiated sale:

1. ensure fairness by using a competitive underwriter selection process through a request for proposals where multiple proposals are considered;
2. remain actively involved in each step of the negotiation and sale processes to uphold the public trust;
3. ensure that either an employee of the County, or an outside professional other than the issue underwriter, who is familiar with and abreast of the condition of the municipal market, is available to assist in structuring the issue, pricing, and monitoring sales activities;
4. require that the financial advisor used for a particular bond issue not act as underwriter of the same bond issue;
5. require that financial professionals disclose the name or names of any person or firm, including attorneys, lobbyists and public relations professionals compensated in connection with a specific bond issue;
6. request all financial professionals submitting joint proposals or intending to enter into joint accounts or any fee-splitting arrangements in connection with a bond issue to fully disclose to the County any plan or arrangements to share tasks, responsibilities and fees earned, and disclose the financial professionals with whom the sharing is proposed, the method used to calculate the fees to be earned, and any changes thereto; and
7. review the "Agreement among Underwriters" and insure that it is filed with the County and that it governs all transactions during the underwriting period.

VI. REFINANCING OF OUTSTANDING DEBT. The County may undertake refinancings of outstanding debt under the following circumstances:

A. Debt Service Savings. The County may refinance outstanding long-term debt when such refinancing allows the County to realize significant debt service savings (2% minimum by maturity and a minimum 4% savings overall) without lengthening the term of refinanced debt and without increasing debt service in any subsequent fiscal year. The County may also consider debt refinancing when a primary objective would be the elimination of restrictive covenants that limit County operations.

B. Defeasance. The County may refinance outstanding debt, either by advance refunding to the first call or by defeasance to maturity, when the public policy benefits of replacing such debt outweigh the costs associated with new issuance as well as any increase in annual debt service.

VII. CREDIT RATINGS

A. Rating Agency Relationships. The Senior Deputy County Administrator/Finance Manager is responsible for maintaining relationships with the rating agencies that assign ratings to the County's various debt obligations. This effort includes providing periodic updates on the County's general financial condition along with coordinating meetings and presentations in conjunction with a new debt issuance.

B. Quality of Ratings. The County shall request ratings prior to the sale of securities from each of two major rating agencies for municipal bond public issues. Currently these agencies are Moody's Investors Service and Standard & Poor's Corporation. The County shall provide a written and/or oral presentation to the rating agencies to help each credit analyst make an informed evaluation. The County shall make every reasonable effort to maintain its Aa implied general obligation bond credit ratings.

VIII. MANAGEMENT PRACTICES. The County has instituted sound management practices and will continue to follow practices that will reflect positively on it in the rating process. Among these are the County development of and adherence to long-term financial and capital improvement plans, management of expense growth in line with revenues and maintenance of an adequate level of operating reserves.

A. Formal Fiscal Policies. The County shall continue to establish, refine, and follow formal fiscal policies such as: Investment Policy, General Fund Reserve Policy, Budget Policy, and this Debt Management Policy.

B. Rebate Reporting and Covenant Compliance The Senior Deputy County Administrator/Finance Manager is responsible for maintaining a system of record keeping and reporting to meet the arbitrage rebate compliance requirements of the federal tax code and/or contracting for such service. This effort includes tracking investment earnings on debt proceeds, calculating rebate payments in compliance with tax law, and remitting any rebatable earnings to the federal government in a timely manner in order to preserve the tax- exempt status of the County's outstanding debt issues. Additionally, general financial reporting and certification requirements embodied in bond covenants are monitored to ensure that all covenants are complied with.

C. Reporting Practices. The County will comply with the standards of the Government Finance Officers Association for financial reporting and budget presentation and the disclosure requirements of the Securities and Exchange Commission.

D. Post-Issuance Compliance Procedures. To assure it manages its debt obligations in accordance with all federal tax requirements, the County will comply with the Post-Issuance Compliance Procedures set forth in Appendix 2 hereto.

GOVERNMENT FINANCE OFFICERS ASSOCIATION

Checklist of Debt Policy Considerations

1. How long is the capital planning period?
2. Have all non-debt sources of funds been considered?
3. How are borrowing plans reviewed internally?
4. What level of debt is manageable in order to maintain or improve the government's credit quality?
5. How much "pay-as-you-go" financing should be included in the capital plan?
6. How much short-term borrowing will be undertaken, including both operating and capital borrowings?
7. How much debt will be issued in the form of variable-rate securities?
8. How does the redemption schedule for each proposed issue affect the overall debt service requirements of the government?
9. What types of affordability guidelines will be established to help monitor and preserve credit quality?
10. What provisions have been made to periodically review the capital plan and borrowing practices?
11. What is the overlapping debt burden on the taxpayer?
12. How will the formal debt policies be integrated into the capital planning and funding process?

**County of Contra Costa
Post-Issuance Tax Compliance Procedures
For Tax-Exempt and Build America Bonds**

The purpose of these Post-Issuance Tax Compliance Procedures is to establish policies and procedures in connection with tax-exempt bonds and "Build America bonds" ("Bonds") issued by the County of Contra Costa and the County of Contra Costa Financing Authority (together, the "County") so as to ensure that the County complies with all applicable post-issuance requirements of federal income tax law needed to preserve the tax-exempt or Build America bond status of the Bonds.

General

Ultimate responsibility for all matters relating to County financings and refundings, other than Tax and Revenue Anticipation Notes ("TRANS"), rests with the County Administrator (the "Administrator"). The County Treasurer and County Auditor-Controller are responsible for tax compliance with respect to TRANS.

Post-Issuance Compliance Requirements

Timely Reporting of Final Sale

The Administrator and other appropriate County personnel shall file timely any report required by state and federal regulatory agencies notifying those agencies of final sale of bonds, or receipt bank loan/private placement proceeds, as required by law. As of this writing, this section applies to the following:

1. California Debt and Investment Advisory Commission (CDIAC)
 - *Report of Final Sale:* This Reports details information about the issuer and the bond issuance. The report requires attachment of the Official Statement related to the transaction or other bond documents in the case of a bank loan/private placement. The report is required to be filed within 21 days of closing, pursuant to Government Code § 8855(j).
 - *Special Requirement for Refunding Bonds sold via Negotiated Sale or Private Placement:* In addition to the Report of Final Sale above, if refunding bonds are sold through a negotiated sale or private placement, CDIAC requires submission of a written statement explaining the reasons for not selling those bonds at a public sale within 14 days of closing, pursuant to Government Code § 53583(c)(2)(B).
2. Internal Revenue Service (IRS)
 - *IRS Form 8038-G "Information Return for Tax-Exempt Governmental Obligations":* This filing details information about the issuer and tax-exempt governmental obligations over \$100,000. The report is required to be filed no later than the 15th day of the second calendar month after the close of the calendar quarter in which the bond was issued, pursuant to Internal Revenue Code § 149(e).

External Advisors / Documentation

The Administrator and other appropriate County personnel shall consult with bond counsel and other legal counsel and advisors, as needed, throughout the Bond issuance process to identify requirements and to establish procedures necessary or appropriate so that the Bonds will continue to qualify for the appropriate tax status. Those requirements and procedures shall be documented in a County resolution(s), Tax Certificate(s) and / or other documents finalized at or before issuance of the Bonds.

Those requirements and procedures shall including future compliance with applicable arbitrage rebate requirements and all other applicable post-issuance requirements of federal tax law throughout (and in some cases beyond) the term of the Bonds.

The Administrator and other appropriate County personnel also shall consult with bond counsel and other legal counsel and advisors, as needed, following issuance of the Bonds to ensure that all applicable post-issuance requirements in fact are met. This shall include, without limitation, consultation in connection with future contracts with respect to the use of Bond-financed assets and future contracts with respect to the use of output or throughput of Bond-financed assets.

Whenever necessary or appropriate, the County shall engage expert advisors (each a "Rebate Service Provider") to assist in the calculation of arbitrage rebate payable in respect of the investment of Bond proceeds.

Role of the County as Bond Issuer

Unless otherwise provided by County resolutions, unexpended Bond proceeds shall be held by the County, and the investment of Bond proceeds shall be managed by the [Administrator]. The Administrator shall maintain records and shall prepare regular, periodic statements to the County regarding the investments and transactions involving Bond proceeds.

If a County resolution provides for Bond proceeds to be administered by a trustee, the trustee shall provide regular, periodic (monthly) statements regarding the investments and transactions involving Bond proceeds.

Arbitrage Rebate and Yield

Unless a Tax Certificate documents that bond counsel has advised that arbitrage rebate will not be applicable to an issue of Bonds:

- the County shall engage the services of a Rebate Service Provider, and the County or the Bond trustee shall deliver periodic statements concerning the investment of Bond proceeds to the Rebate Service Provider on a prompt basis;
- upon request, the Administrator and other appropriate County personnel shall provide to the Rebate Service Provider additional documents and information reasonably requested by the Rebate Service Provider;
- the Administrator and other appropriate County personnel shall monitor efforts of the Rebate Service Provider and assure payment of required rebate amounts, if any, no later than 60 days after each 5-year anniversary of the issue date of the Bonds, and no later than 60 days after the last Bond of each issue is redeemed; and
- during the construction period of each capital project financed in whole or in part by Bonds, the Administrator and other appropriate County personnel shall monitor the investment and expenditure of Bond proceeds and shall consult with the Rebate Service Provider to determine compliance with any applicable exceptions from the arbitrage rebate requirements during each 6-month spending period up to 6 months, 18 months or 24 months, as applicable, following the issue date of the Bonds.

The County shall retain copies of all arbitrage reports and trustee statements as described below under "Record Keeping Requirements".

Use of Bond Proceeds

The Administrator and other appropriate County personnel shall:

- monitor the use of Bond proceeds, the use of Bond-financed assets (e.g., facilities, furnishings or equipment) and the use of output or throughput of Bond-financed assets throughout the term of the Bonds (and in some cases beyond the term of the Bonds) to ensure compliance with covenants and restrictions set forth in applicable County resolutions and Tax Certificates;
- maintain records identifying the assets or portion of assets that are financed or refinanced with proceeds of each issue of Bonds;
- consult with Bond Counsel and other professional expert advisers in the review of any contracts or arrangements involving use of Bond-financed facilities to ensure compliance with all covenants and restrictions set forth in applicable County resolutions and Tax Certificates;
- maintain records for any contracts or arrangements involving the use of Bond-financed facilities as might be necessary or appropriate to document compliance with all covenants and restrictions set forth in applicable County resolutions and Tax Certificates;
- meet at least annually with personnel responsible for Bond-financed assets to identify and discuss any existing or planned use of Bond-financed, assets or output or throughput of Bond-financed assets, to ensure that those uses are consistent with all covenants and restrictions set forth in applicable County resolutions and Tax Certificates.

All relevant records and contracts shall be maintained as described below.

Record Keeping Requirements

Unless otherwise specified in applicable County resolutions or Tax Certificates, the County shall maintain the following documents for the term of each issue of Bonds (including refunding Bonds, if any) plus at least three years:

- a copy of the Bond closing transcript(s) and other relevant documentation delivered to the County at or in connection with closing of the issue of Bonds;
- a copy of all material documents relating to capital expenditures financed or refinanced by Bond proceeds, including (without limitation) construction contracts, purchase orders, invoices, trustee requisitions and payment records, as well as documents relating to costs reimbursed with Bond proceeds and records identifying the assets or portion of assets that are financed or refinanced with Bond proceeds;
- a copy of all contracts and arrangements involving private use of Bond-financed assets or for the private use of output or throughput of Bond-financed assets; and
- copies of all records of investments, investment agreements, arbitrage reports and underlying documents, including trustee statements.

**COUNTY OF CONTRA COSTA
CONTINUING DISCLOSURE PROCEDURES**

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ARTICLE I
DEFINITIONS

The following capitalized terms shall have the following meanings in these Procedures:

“Agency” shall mean the Successor Agency to the former Redevelopment Agency of Contra Costa County.

“Annual Report” shall mean any annual report to be filed by the County or the Authority in connection with its obligations under any Continuing Disclosure Certificate executed in accordance with Rule 15c2-12 under the Securities Exchange Act of 1934.

“Auditor-Controller” shall mean the Auditor-Controller of the County of Contra Costa.

“Authority” shall mean the Contra Costa County Public Financing Authority, a joint exercise of powers authority of which the County of Contra Costa and the Contra Costa County Flood Control and Water Conservation District are members.

“Board of Supervisors” shall mean the Board of Supervisors of the County of Contra Costa.

“Bonds” shall mean any bonds, certificates of participation, notes or any other evidence of indebtedness issued by or on behalf of the County or the Authority which is subject to Rule 15c2-12.

“Bond Insurer” shall mean an issuer of a financial guaranty insurance or municipal bond insurance policy guaranteeing the scheduled payment of principal of and interest on an outstanding issue of Bonds when due.

“CDIAC” shall mean the California Debt and Investment Advisory Commission.

“Continuing Disclosure Certificate” shall mean each continuing disclosure certificate, undertaking or agreement executed and delivered by the County or the Authority in connection with an issue of Bonds.

“County” shall mean the County of Contra Costa, a political subdivision of the State of California.

“County Counsel” shall mean an attorney within the Office of the County Counsel of the County of Contra Costa, California.

“County Finance Director” shall mean the County Finance Director of the County of Contra Costa in the County Administrator’s Office.

“Credit Facility Provider” shall mean a bank providing a direct-pay letter of credit or other security or liquidity instrument in connection with an issue of Bonds which secures the payment of the principal or purchase price, if any, of and interest on an outstanding issue of Bonds when due.

“Disclosure Coordinator” shall mean the person or persons designated by a Disclosure Representative to assist in taking such action necessary or desirable to comply with the terms of the Continuing Disclosure Certificates, as provided in Article III hereof.

“Debt Affordability Advisory Committee” shall mean a committee composed of the Auditor-Controller, Treasurer-Tax Collector, Director of Conservation and Development and the County Finance Director that advise the County Administrator on debt management issues.

“Director of Conservation and Development” shall mean the Director of the Department of Conservation and Development of the County of Contra Costa.

“Disclosure Counsel” shall mean a firm of nationally recognized standing in matters pertaining to the disclosure obligations under Rule 15c2-12 of the Securities and Exchange Commission of the United States of America, duly admitted to the practice of law before the highest court of any state of the United States of America.

“Disclosure Representative” shall mean the County Administrator, Director of Conservation and Development and County Finance Director who are collectively responsible for compliance with the terms of the Continuing Disclosure Certificates, as provided in Article III.

“EMMA” shall mean the MSRB’s Electronic Municipal Market Access system or any other successor thereto as designated by the SEC or the MSRB.

“Event Notice” shall mean any notice of the occurrence of a Material Event or Listed Event.

“Listed Event” shall mean any event described in Section 3 of Article IV hereof.

“Material Event” shall mean any event described in Section 2 of Article IV hereof.

“MSRB” shall mean Municipal Securities Rulemaking Board.

“Official Statement” shall mean any Preliminary Official Statement, final Official Statement or any other disclosure document that the County or the Authority prepared in connection with the issuance and sale of any Bonds.

“Paying Agent” shall mean any bank, trust company, banking association or financial institution appointed to perform the functions of a paying agent for an issue of Bonds.

“Procedures” shall mean these Continuing Disclosure Procedures.

“Rating Agency” shall mean each of Moody’s Investor’s Service and Standard & Poor’s Rating Services or any other nationally recognized statistical rating organization registered with the SEC.

“Rule 15c2-12” shall mean Rule 15c2-12(b)(5) adopted by the SEC under the Securities Exchange Act of 1934, as the same may be amended from time to time.

“SEC” shall mean the United States Securities and Exchange Commission.

“Treasurer-Tax Collector” shall mean the Treasurer - Tax Collector of the County of Contra Costa.

“Trustee” shall mean the bank, trust company, national banking association or other financial institution appointed as a trustee for an issue of Bonds.

ARTICLE II

GENERAL PRINCIPLES

The County is committed to complete and accurate market disclosure in accordance with the disclosure requirements under the federal securities laws, including rules and regulations promulgated by the SEC and the MSRB. In order to achieve this objective and, in accordance therewith, these Procedures are approved by the Board of Supervisors, as recommended by the Debt Affordability Advisory Committee (DAAC), and may be amended and supplemented from time to time as necessary or desirable as SEC and MSRB rules are amended, as Bonds mature, or are redeemed, and as Bonds that are subject to Rule 15c2-12 are issued.

ARTICLE III

DISCLOSURE REPRESENTATIVES AND DISCLOSURE COORDINATORS

Section 1. **Appointment of Disclosure Representatives.** The County Administrator, Director of Conservation and Development and County Finance Director are appointed as Disclosure Representatives to fulfill the duties set forth in Section 2 of this Article III.

Section 2. **Duties of the Disclosure Representatives.**

- (A) The Disclosure Representatives shall:
- (i) monitor and maintain compliance by the County with its respective Continuing Disclosure Certificates and these Procedures;
 - (ii) serve as the main contact for each Disclosure Coordinator to communicate issues and information that may be included in an Event Notice or an Annual Report;
 - (iii) review all proposed Listed Event Notices, Annual Reports and other filings with the EMMA system and filings for Bond Insurers, Credit Facility Providers, Paying Agents, Rating Agencies, Trustees and CDIAC;
 - (iv) confer with County Counsel and Disclosure Counsel regarding the County's continuing disclosure undertakings and procedures;
 - (v) maintain the lists attached as Exhibits A and B;
 - (vi) direct the Disclosure Coordinators to file any required documents; and
 - (vii) take such other action as may be necessary or useful to achieve the objectives of these Procedures and to comply with all applicable federal securities laws.

Section 3. **Appointment of Disclosure Coordinator.**

The Disclosure Representatives shall appoint one or more Disclosure Coordinators from time to time to fulfill the duties set forth in Section 4 of this Article III. The Disclosure Coordinators may work with employees in various County or Authority offices and departments in order to effectively comply with the objectives of these Procedures.

Section 4. **Duties of the Disclosure Coordinator.**

(A) The Disclosure Coordinator shall:

- (i) file any documents as directed by the Disclosure Representative;
- (ii) serve as a contact for County staff to communicate issues and information that may be included in an Event Notice or an Annual Report;
- (iii) maintain correspondence regarding possible Listed Events;
- (iv) keep informed regarding all of the County's public disclosures, including disclosures to the Bond Insurers, the Credit Facility Providers, the Rating Agencies, the Trustees and CDIAC;
- (v) document the County's continuing disclosure filings by retaining the documents set forth in Article VIII hereof; and
- (vi) take such other action as may be necessary or useful to achieve the objectives of these Procedures and to comply with all applicable federal securities laws.

(B) In addition to the duties set forth above in clause (A), the Disclosure Coordinator shall review the Listed Events regularly to determine whether an event has occurred that may require a filing of an Event Notice. The Disclosure Coordinator shall regularly check the websites of and subscribe to communications (*e.g.*, news alerts, press releases, etc.) from each Rating Agency, Bond Insurer or Credit Facility Provider in order to be aware of any Rating Change as described in the Continuing Disclosure Certificates. The Disclosure Coordinator shall contact relevant County staff on a regular basis to ascertain whether any events have occurred which would constitute Listed Events under the Continuing Disclosure Certificates.

ARTICLE IV

LISTED EVENTS REQUIREMENTS

Section 1. **General.**

The Continuing Disclosure Certificates entered into by the County or the Authority with respect to Bonds issued prior to December 1, 2010 require Event Notices to be filed upon the occurrence of any event listed in Section 2 of Article IV hereof, if material. Any such Event Notice shall be filed "in a timely manner". The Continuing Disclosure Certificates entered into by the County or Authority with respect to Bonds issued on or after December 1, 2010 require Event Notices to be filed upon the occurrence of any event listed in Section 3 of Article IV hereof no later than 10 business days after the occurrence of such Listed Event.

Section 2. **Listed Events for Bonds Issued Prior to December 1, 2010.**

For Bonds issued prior to December 1, 2010, pursuant to the provisions of the applicable Continuing Disclosure Certificate, the County or Authority shall give, or cause to be given, notice of the occurrence of any of the following events with respect to the outstanding obligation, if material, in a timely manner:

- (i) principal and interest payment delinquencies;
- (ii) non-payment related defaults;
- (iii) unscheduled draws on debt service reserves reflecting financial difficulties;
- (iv) unscheduled draws on any credit enhancements reflecting financial difficulties;
- (v) substitution of any credit or liquidity providers, or their failure to perform;
- (vi) adverse tax opinions or events affecting the tax-exempt status of the securities;
- (vii) modifications to the rights of security holders;
- (viii) bond calls;
- (ix) defeasances;
- (x) release, substitution, or sale of property securing repayment of the securities; and
- (xi) rating changes.

Section 3. **Listed Events for Bonds Issued on and after December 1, 2010.**

For Bonds issued on or after to December 1, 2010, pursuant to the provisions of the applicable Continuing Disclosure Certificate, the County or Authority shall give, or cause to be given, notice of the occurrence of any of the following Listed Events within ten (10) business days of the occurrence thereof:

- (i) principal and interest payment delinquencies;
- (ii) non-payment related defaults, if material;
- (iii) unscheduled draws on debt service reserves reflecting financial difficulties;
- (iv) unscheduled draws on credit enhancements reflecting financial difficulties;
- (v) substitution of credit or liquidity providers, or their failure to perform;
- (vi) adverse tax opinions, the issuance by the Internal Revenue Service of proposed or final determinations of taxability, Notices of Proposed Issue (IRS Form 5701-TEB) or other material notices or determinations with respect to the tax status of the security, or other material events affecting the tax status of the security;
- (vii) modifications to rights of security holders, if material;
- (viii) bond calls, if material, and tender offers;
- (ix) defeasances;
- (x) release, substitution, or sale of property securing repayment of the securities, if material;

- (xi) rating changes;
- (xii) bankruptcy, insolvency, receivership or similar event of the obligated person (Note: For the purposes of this event, the event is considered to occur when any of the following occur: The appointment of a receiver, fiscal agent or similar officer for an obligated person in a proceeding under the U.S. Bankruptcy Code or in any other proceeding under state or federal law in which a court or governmental authority has assumed jurisdiction over substantially all of the assets or business of the obligated person, or if such jurisdiction has been assumed by leaving the existing governing body and officials or officers in possession but subject to the supervision and orders of a court or governmental authority, or the entry of an order confirming a plan of reorganization, arrangement or liquidation by a court or governmental authority having supervision or jurisdiction over substantially all of the assets or business of the obligated person);
- (xiii) the consummation of a merger, consolidation, or acquisition involving an obligated person or the sale of all or substantially all of the assets of the obligated person, other than in the ordinary course of business, the entry into a definitive agreement to undertake such an action or the termination of a definitive agreement relating to any such actions, other than pursuant to its terms, if material;
- (xiv) appointment of a successor or additional trustee or the change of name of a trustee, if material.

ARTICLE V

ANNUAL REPORT REQUIREMENTS

Pursuant to the various Continuing Disclosure Certificates, the County and the Authority must provide its respective Annual Report with respect to an issue of Bonds by the date set forth in Exhibit B attached hereto. The Disclosure Coordinator shall commence collection of information for each Annual Report at such time as determined necessary or useful in order to timely complete and file the Annual Report. The Disclosure Coordinator shall obtain any information necessary to be included in an Annual Report that is not included in the County's audited financial statements. The Annual Report shall include the financial information and other operating data set forth in the respective Continuing Disclosure Certificate as summarized in Exhibit B attached hereto.

In accordance with the Continuing Disclosure Certificates, if audited financial statements are not available by the date the Annual Report is required to be filed, unaudited financial statements are to be included in such Annual Reports and audited financial statements shall be filed when such statements become available. In addition, the Continuing Disclosure Certificates require the County to file a notice of any failure to provide its Annual Report, on or before the date specified in a Continuing Disclosure Certificate.

ARTICLE VI

FILING AND NOTICE REQUIREMENTS

Section 1. Annual Reports and Event Notices.

The Disclosure Representative shall file each Annual Report on such dates as provided in Exhibit B attached hereto and shall file each Event Notice as required pursuant to Article III hereof and

the related Continuing Disclosure Certificate. The Disclosure Representative shall submit all filings of Annual Reports and Listed Events through EMMA or any other repository so designated by the MSRB or the SEC, unless the County is otherwise advised by a written opinion of Disclosure Counsel.

Section 2. **California Debt and Investment Advisory Commission.**

The Disclosure Representative shall file each periodic report required to be prepared and filed with CDIAC as set forth in statute.

Section 3. **Required Notices.**

The Disclosure Representative shall file any notice required to be given to any Bond Insurer, Credit Facility Provider, Paying Agent, Rating Agency or Trustee as may be required from time to time.

ARTICLE VII

VOLUNTARY DISCLOSURES

The County's policy is to only file annual financial information and operating data and Event Notices that are required under the Continuing Disclosure Certificates and applicable federal securities laws. The Disclosure Representative may determine to file voluntary disclosure information that is not required under the Continuing Disclosure Certificates.

ARTICLE VIII

DOCUMENT RETENTION POLICY

In accordance with Article III hereof, the Disclosure Coordinator shall maintain the following materials for a period ending 5 years after the final maturity of an issue of Bonds:

- A. Continuing Disclosure Certificate;
- B. Annual Reports, including any EMMA transmittal letters and EMMA filing receipts;
- C. Event Notices, including any EMMA transmittal letters and EMMA filing receipts;
- D. CDIAC transmittal letters and filing receipts;
- E. Rating reports; and
- F. Such other information as the Disclosure Representative determines necessary or useful in accordance with the Continuing Disclosure Certificates.

EXHIBIT A: COUNTY AND AUTHORITY OUTSTANDING DEBT

as of August 25, 2015

Name of Issue	Issuing Entity	Principal Amount	Date of Issue	Final Maturity Date	CUSIP for Final Maturity	Trustee or Paying Agent	Annual Report Due Date	Disclosure Representative	Disclosure Coordinator
Lease Revenue Bonds/Obligations:									
Lease Revenue Bonds, 2015 Series A (Capital Projects) and 2015 Series B (Refunding)	County of Contra Costa Public Financing Authority	\$ 71,150,000	8/25/2015	6/1/2035 (A) 6/1/2028 (B)	21226PLV8 (A) 21226PMJ4 (B)	Wells Fargo	3/31	County Finance Director	Sr. Deputy CAO
Lease Revenue Obligations (Capital Projects Program) 2012 Series A , \$13,102,304 ***Private Placement***	County of Contra Costa Public Financing Authority	\$ 13,102,304	10/11/2012	6/1/2027	N/A	Wells Fargo	N/A	County Finance Director	Sr. Deputy CAO
Lease Revenue Bonds, \$58,055,000 comprised of Capital Project I - Tax Exempt Bonds, Series A-1 , \$6,790,000 and Capital Project I - Taxable Build America Bonds, Series A-2 , \$13,130,000 and Capital Project I - Taxable Recovery Zone Bonds, Series A-3 , \$20,700,000 and 2010 Series B (Refunding), \$17,435,000	County of Contra Costa Public Financing Authority	\$ 58,055,000	11/16/2010	6/1/2020 (A-1) 6/1/2030 (A-2) 6/1/2040 (A-3) 6/1/2025 (B)	21226PJR0 (A-1) 21226PKU1 (A-2) 21226PKE7 (A-3) 21226PKV9 (B)	Wells Fargo	3/31	County Finance Director	Sr. Deputy CAO
Lease Revenue Bonds (Capital Projects Program) 2009 Series A , \$25,061,614.90 ***Private Placement***	County of Contra Costa Public Financing Authority	\$ 25,061,615	6/1/2009	6/1/2024	N/A	Wells Fargo	N/A	County Finance Director	Sr. Deputy CAO
Lease Revenue Bonds, \$232,330,000 consisting of (Refunding and Various Capital Projects), 2007 Series A , \$122,065,000 and (Medical Center Refunding), 2007 Series B , \$110,265,000	County of Contra Costa Public Financing Authority	\$ 232,330,000	3/14/2007 (A) 8/7/2007 (B)	6/1/2028 (A) 6/1/2018 (B)	21226PHB7 (A) 21226PHN1 (B)	Wells Fargo	3/31	County Finance Director	Sr. Deputy CAO
Pension Obligation Bonds									
California Taxable Pension Obligation Bonds, Series 2003A, \$322,710,000	Contra Costa County	\$ 322,710,000	5/1/2003	8/1/2022	212257BV0	Wells Fargo	3/31	County Finance Director	Sr. Deputy CAO
Tax Allocation Bonds:									
2007 Tax Allocation Revenue Bonds (Contra Costa Centre, North Richmond, Bay Point, Rodeo and Montalvin Manor Project Areas), Series A , \$62,205,000, 2007 Taxable Tax Allocation Revenue Bonds (North Richmond, Bay Point, Rodeo and Montalvin Manor Project Areas), Series A-T , \$25,500,000 and 2007 Tax Allocation Revenue Bonds (Contra Costa Centre, North Richmond, Bay Point, Rodeo and Montalvin Manor Project Areas), Series B , \$16,665,000	County of Contra Costa Public Financing Authority	\$ 104,370,000	6/13/2007	8/1/2037 (A) 8/1/2037 (A-T) 8/1/2035 (B)	212262HQ5 (A) 212262JP5 (A-T) 212262KM0 (B)	US Bank	3/31	DCD Director	Community Dev. Bond Program Mgr.
Tax Allocation Revenue Bonds (Multiple Project Areas), Series 2003A , \$43,345,000, (Multiple Project Areas-Housing Set Aside Revenues), Series 2003B , \$2,445,000	County of Contra Costa Public Financing Authority	\$ 45,790,000	9/11/2003	8/1/2033 (A) 8/1/2033 (B)	212262DW6 (A) 212262FN4 (B)	US Bank	3/31	DCD Director	Community Dev. Bond Program Mgr.

Name of Issue	Issuing Entity	Principal Amount	Date of Issue	Final Maturity Date	CUSIP for Final Maturity	Trustee or Paying Agent	Annual Report Due Date	Disclosure Representative	Disclosure Coordinator
Tax Allocation Revenue Bonds (Pleasant Hill BART, North Richmond, Bay Point, Oakley and Rodeo Redevelopment Project Areas), Series 1999 , \$44,615,000	County of Contra Costa Public Financing Authority	\$ 44,615,000	5/1/1999	8/1/2028	212262CE7	US Bank	3/31	DCD Director	Community Dev. Bond Program Mgr.

Special Assessment Districts

2013 Special Tax Refunding Bonds (Norris Canyon) , \$5,605,000	County of Contra Costa Community Facilities District No. 2001-1	\$ 5,605,000	1/24/2013	9/1/2031	212288CT9	BNY Mellon	3/31	DCD Director	Community Dev. Bond Program Mgr.
2001 Revenue Bonds (Reassessment District of 2001), \$6,575,000	County of Contra Costa Public Financing Authority	\$ 6,575,000	6/21/2001	9/2/2016	212261BD2	BNY Mellon	3/31	County Finance Director	Sr. Deputy CAO
1998 Special Tax Refunding Bonds (Pleasant Hill BART Station Area), \$4,785,000	County of Contra Costa Community Facilities District No. 1991-1	\$ 4,785,000	5/12/1998	8/1/2016	212288BD5	US Bank	3/31	DCD Director	Community Dev. Bond Program Mgr.

**EXHIBIT B:
REQUIRED INFORMATION FOR ANNUAL REPORTS OF COUNTY AND AUTHORITY**

Issue Description	Due Date	Filing Requirements
Lease Revenue Bonds:		
County of Contra Costa Public Financing Authority Lease Revenue Bonds, \$71,115,000 consisting of \$19,055,000 2015 Series A (Capital Projects) and \$52,060,000 2015 Series B (Refunding)	Nine months after FYE 6/30 (3/31)	<p>(a) The audited financial statements of the County for the prior fiscal year, prepared in accordance with generally accepted accounting principles as promulgated to apply to governmental entities from time to time by the Governmental Accounting Standards Board. If the County’s audited financial statements are not available by the time the Annual Report is required to be filed pursuant to Section 3(a), the Annual Report shall contain unaudited financial statements in a format similar to the financial statements contained in the final Official Statement, and the audited financial statements shall be filed in the same manner as the Annual Report when they become available.</p> <p>(b) Numerical and tabular information for the immediately preceding Fiscal Year of the type contained in the Official Statement under the following captions:</p> <ol style="list-style-type: none"> 1. The status of the construction and installation of the improvement constituting the 2015 Project, until such time as the 2015 Project is completed; 2. Report of changes in “DEBT SERVICE SCHEDULE;” 3. Table B-1–“County of Contra Costa General Fund Budget Summary;” 4. Table B-2–“County of Contra Costa Summary of Secured Assessed Valuations and <i>Ad Valorem</i> Property Taxation;” 5. Table B-5–“County of Contra Costa General Fund Statement of Revenues, Expenditures and Changes in Fund Balances;” 6. Table B-8–“Contra Costa County Employees’ Retirement Association Schedule of Funded Status;” 7. Table B-16–“Contra Costa County Other Post Employment Benefit Plan Summary of Contributions;” and 8. Table B-19–“Contra Costa County Outstanding Lease Revenue Obligations and Pension Obligation Bonds”).
County of Contra Costa Public Financing Authority Lease Revenue Bonds, \$58,055,000 consisting of \$6,790,000 2010 Series A-1 (Capital Project I – Tax Exempt Bonds); \$13,130,000 2010 Series A-2 (Capital Project I – Taxable Build America bonds); \$20,700,000 2010 Series A-3 (Capital Project I – Taxable Recovery Zone Bonds); and \$17,435,000 2010 Series B (Refunding)	Nine months after FYE 6/30 (3/31)	<p>(a) The audited financial statements of the County for the prior fiscal year, prepared in accordance with generally accepted accounting principles as promulgated to apply to governmental entities from time to time by the Governmental Accounting Standards Board. If the County’s audited financial statements are not available by the time the Annual Report is required to be filed pursuant to Section 3(a), the Annual Report shall contain unaudited financial statements in a format similar to the financial statements contained in the final Official Statement, and the audited financial statements shall be filed in the same manner as the Annual Report when they become available.</p> <p>(b) Numerical and tabular information for the immediately preceding Fiscal Year of the type contained in the Official Statement under the following captions:</p> <ol style="list-style-type: none"> 1. The status of the construction and installation of the improvement constituting Capital Project I and Capital Project II until such time as each Capital Project has been completed; 2. Report of changes in “DEBT SERVICE SCHEDULE;” 3. APPENDIX B–“COUNTY FINANCIAL INFORMATION–Recent County General Fund Budgets” (update Table B-1 “COUNTY OF CONTRA COSTA GENERAL FUND BUDGET”); 4. APPENDIX B–“COUNTY FINANCIAL INFORMATION–Ad Valorem Property Taxes” (update Table B-2 “COUNTY OF CONTRA COSTA SUMMARY OF SECURED ASSESSED VALUATIONS AND AD VALOREM PROPERTY TAXATION”);

**EXHIBIT B:
REQUIRED INFORMATION FOR ANNUAL REPORTS OF COUNTY AND AUTHORITY**

Issue Description	Due Date	Filing Requirements
		<p>5. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Accounting Policies, Reports and Audits" (update Table B-6 "COUNTY OF CONTRA COSTA GENERAL FUND STATEMENT OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCES");</p> <p>6. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Pension Plan" (update Table B-9 "CONTRA COSTA COUNTY EMPLOYEES' RETIREMENT ASSOCIATION SCHEDULE OF FUNDED STATUS");</p> <p>7. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Other Post-Employment Healthcare Benefits" (update Table B-16 "CONTRA COSTA COUNTY OTHER POST-EMPLOYMENT HEALTHCARE BENEFIT PLAN SUMMARY OF PARTICIPATING EMPLOYEES AND CONTRIBUTIONS");</p> <p>8. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Long Term Obligations" (update Table B-22--"CONTRA COSTA COUNTY OUTSTANDING LEASE OBLIGATIONS AND PENSION OBLIGATION BONDS").</p>
<p>County of Contra Costa Public Financing Authority Lease Revenue Bonds, \$232,330,000 consisting of (Refunding and Various Capital Projects), 2007 Series A, \$122,065,000 and (Medical Center Refunding) , 2007 Series B, \$110,265,000 Dated: March 14, 2007</p>	<p>Nine months after FYE 6/30 (3/31)</p>	<p>(a) The audited financial statements of the County for the prior fiscal year, prepared in accordance with generally accepted accounting principles as promulgated to apply to governmental entities from time to time by the Governmental Accounting Standards Board. If the County's audited financial statements are not available by the time the Annual Report is required to be filed pursuant to Section 3(a), the Annual Report shall contain unaudited financial statements in a format similar to the financial statements contained in the final Official Statement, and the audited financial statements shall be filed in the same manner as the Annual Report when they become available.</p> <p>(b) Numerical and tabular information for the immediately preceding Fiscal Year of the type contained in the Official Statement under the following captions:</p> <ol style="list-style-type: none"> 1. Report of changes in "DEBT SERVICE SCHEDULE;" 2. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Recent County General Fund Budgets" (update Table B-1 "COUNTY OF CONTRA COSTA GENERAL FUND BUDGET"); 3. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Ad Valorem Property Taxes" (update Table B-2 "COUNTY OF CONTRA COSTA SUMMARY OF SECURED ASSESSED VALUATIONS AND AD VALOREM PROPERTY TAXATION"); 4. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Accounting Policies, Reports and Audits" (update Table B-5 "COUNTY OF CONTRA COSTA GENERAL FUND STATEMENT OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCES"); 5. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Pension Plan" (update Table B-12 "CONTRA COSTA COUNTY EMPLOYEES' RETIREMENT ASSOCIATION SCHEDULE OF FUNDED STATUS"); 6. APPENDIX B--"COUNTY FINANCIAL INFORMATION--Long Term Obligations" (update Table B-23--"CONTRA COSTA COUNTY OUTSTANDING LEASE OBLIGATIONS AND PENSION OBLIGATION BONDS").

**EXHIBIT B:
REQUIRED INFORMATION FOR ANNUAL REPORTS OF COUNTY AND AUTHORITY**

Issue Description	Due Date	Filing Requirements
Pension Obligation Bonds:		
County of Contra Costa, California Taxable Pension Obligation Bonds, Series 2003A, \$322,710,000 Dated: May 1, 2003	Nine months after FYE 6/30 (3/31)	<p>1. The audited financial statements of the County for the prior fiscal year, prepared in accordance with generally accepted accounting principles as promulgated to apply to governmental entities from time to time by the Governmental Accounting Standards Board. If the County's audited financial statements are not available by the time the Annual Report is required to be filed pursuant to Section 3(a), the Annual Report shall contain unaudited financial statements in a format similar to the financial statements contained in the final Official Statement, and the audited financial statements shall be filed in the same manner as the Annual Report when they become available</p> <p>2. Numerical and tabular information for the immediately preceding Fiscal Year of the type contained in the Official Statement under the following captions:</p> <p>(a) "APPENDIX A – COUNTY ECONOMIC, DEMOGRAPHIC AND FINANCIAL INFORMATION – Recent County General Fund Budgets" (update table entitled "COUNTY OF CONTRA COSTA GENERAL FUND BUDGET");</p> <p>(b) "APPENDIX A – COUNTY ECONOMIC, DEMOGRAPHIC AND FINANCIAL INFORMATION – Ad Valorem Property taxes" (updated table entitled "COUNTY OF CONTRA COSTA SUMMARY OF ASSESSED VALUATIONS AND AD VALOREM PROPERTY TAXATION");</p> <p>(c) "APPENDIX A – COUNTY ECONOMIC, DEMOGRAPHIC AND FINANCIAL INFORMATION – Accounting Policies, Reports and Audits" (update table entitled "COUNTY OF CONTRA COSTA GENERAL FUND SCHEDULE OF REVENUES, EXPENDITURES AND CHANGES IN FUND BALANCES");</p> <p>(d) "APPENDIX A – COUNTY ECONOMIC, DEMOGRAPHIC AND FINANCIAL INFORMATION – Long Term Obligations – General Obligation Debt" and "- Lease Obligations" (update table entitled "COUNTY OF CONTRA COSTA OUTSTANDING MARKETABLE LEASE AND PENSION BOND OBLIGATIONS")</p>
Tax Allocation Bonds:		
2007 Tax Allocation Revenue Bonds (Contra Costa Centre, North Richmond, Bay Point, Rodeo and Manor Project Areas), Series A, \$62,205,000, 2007 Taxable Tax Allocation Revenue Bonds (North Richmond, Bay Point, Rodeo and Montalvin Manor Project Areas), Series A-T, \$25,500,000 and 2007 Tax Allocation Revenue Bonds (Contra Costa Centre, North Richmond, Bay Point, Rodeo and Montalvin Manor Project Areas), Series B, \$16,665,000	Nine months after FYE 6/30 (3/31)	<p>(a) Audited financial statements of the Agency for the most recent fiscal year, prepared in accordance with generally accepted accounting principles as promulgated to apply to governmental entities from time to time by the Governmental Accounting Standards Board, and as further modified according to applicable State law. If the Agency's audited financial statements are not available by the time the Annual Report is required to be filed pursuant to Section 3(a), the Annual Report shall contain unaudited financial statements in a format similar to the usual format utilized by the Agency, and the audited financial statements shall be filed in the same manner as the Annual Report when they become available. The financial statements of the Agency may be consolidated with those of the County of Contra Costa and its related entities;</p> <p>(b) The following information for the most recently completed fiscal year, in substantially the form set forth in the Official Statement relating to the Bonds:</p> <p>(i) Assessed values of property in each Project Area in substantially the form of Tables 3, 11, 19, 27 and 35 of the Official Statement;</p> <p>(ii) Gross and Net Tax Revenues in each Project Area in substantially the form of Tables 7, 8, 15, 16, 23, 24, 31, 32, 39 and 40 of the Official Statement;</p> <p>(iii) Issuance by the Agency of any Parity Debt with respect to any Project Area (if and to the extent permitted by the Loan Agreements);</p>

**EXHIBIT B:
REQUIRED INFORMATION FOR ANNUAL REPORTS OF COUNTY AND AUTHORITY**

Issue Description	Due Date	Filing Requirements
		<p>(iv) Information about each pending and successful appeal of assessed values in each Project Area that exceeds 5% of assessed value in such Project Area;</p> <p>(v) Incremental taxable value, tax levy, current year collections, current collections as a percentage of current year levy collected, total collections and total collections as a percentage of the current year's tax levy in each Project Area in substantially the form of Tables 4, 12, 20, 28 and 36 of the Official Statement;</p> <p>(vi) Amount of all Agency debt outstanding secured by a pledge of the Tax Revenues in each Project Area;</p> <p>(vii) Cumulative amount of Tax Revenues received by the Agency to date in such Project Area (except the Montalvin Manor Project Area); and</p> <p>(viii) Loan payments made pursuant to each Loan Agreement and the debt service coverage ratio for its obligations under each Loan Agreement and all applicable Parity Debt in substantially the form of Tables 6, 11, 16, 21 and 26.</p> <p>(c) A copy of the report provided by the Authority pursuant to Section 5.11(b) of the Indenture for the most recent fiscal year; provided that if no such report is required to be provided pursuant to said Section 5.11(b), the information described in clauses (i) and (ii) of said Section 5.11(b).</p> <p>(d) For the fiscal year ended June 30, 2010, information about the final resolution of the North Richmond Escrow Fund and the Bay Point Escrow Fund.</p>
<p>Tax Allocation Revenue Bonds (Multiple Project Areas), Series 2003A, \$43,345,000, (Multiple Project Areas-Housing Set Aside Revenues), Series 2003B, \$2,445,000</p>	<p>Nine months after FYE 6/30 (3/31)</p>	<p>(a) Audited financial statements of the Agency for the most recent fiscal year, prepared in accordance with generally accepted accounting principles as promulgated to apply to governmental entities from time to time by the Governmental Accounting Standards Board and as further modified according to applicable State law. If the Agency's audited financial statements are not available by the time the Annual Report is required to be filed pursuant to Section 3(a), the Annual Report shall contain unaudited financial statements in a format similar to the usual format utilized by the Agency, and the audited financial statements shall be filed in the same manner as the Annual Report when they become available. The financial statements of the Agency may be consolidated with those of the County of Contra Costa and its related entities;</p> <p>(b) The following information for the most recently completed fiscal year, in substantially the form set forth in the Official Statement relating to the Bonds: (i) Assessed values of property in each Project Area in substantially the form of Tables 2, 8, 14, and 20 of the Official Statement;</p> <p>(ii) Tax Revenues in each Project Area in substantially the form of Tables 5,6, 11, 12, 17, 18,23 and 24 of the Official Statement;</p> <p>(iii) Issuance by the Agency of any Parity Debt with respect to any Project Area (if and to the extent permitted by the Loan Agreements);</p> <p>(iv) Information about each pending and successful appeal of assessed values in each Project Area that exceeds 5% of assessed value in such Project Area;</p> <p>(v) Incremental taxable value, tax levy, current year collections, current collections as a percentage of current year levy collected, total collections and total collections as a percentage of the current year's tax levy in each Project Area in substantially the form of Tables 3, 9, 15, and 21 of the Official Statement;</p> <p>(vi) Amount of all Agency debt outstanding secured by a pledge of the Tax Revenues in each Project Area, and cumulative amount of Tax Revenues received by the Agency to date in such Project Area; and</p> <p>(vii) Loan payments made pursuant to each Loan Agreement and the debt service coverage ratio for its obligations under each Loan Agreement and all applicable Parity Debt in substantially the form of Tables 7, 13, 19, and 25.</p> <p>(c) A copy of the report provided by the Authority pursuant to Section 5.11 (b) of the Indentures for the most recent fiscal year; provided that if no</p>

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Issue Description	Due Date	Filing Requirements
		<p>such report is required to be provided pursuant to said Section 5.11(b), the information described in clauses (i) and (ii) of said Section 5.11(b).</p> <p>(d) For as long as the 1995 North Richmond Loan is outstanding, a copy of reports required by Section 7.13 of the North Richmond First Supplemental Loan Agreement (as defined in the Official Statement).</p> <p>(e) For the fiscal year ended June 30, 2005, information about the final resolution of the Pleasant Hill BART Escrow Fund.</p>
Tax Allocation Revenue Bonds (Pleasant Hill BART, North Richmond, Bay Point, Oakley and Rodeo Redevelopment Project Areas), Series 1999, \$44,615,000	Nine months after FYE 6/30 (3/31)	<p>(a) Audited financial statements of the Agency for the most recent fiscal year, prepared in accordance with generally accepted accounting principles as promulgated to apply to governmental entities from time to time by the Governmental Accounting Standards Board, and as further modified according to applicable State law. If the Agency's audited financial statements are not available by the time the Annual Report is required to be filed pursuant to Section 3(a), the Annual Report shall contain unaudited financial statements in a format similar to the usual format utilized by the Agency, and the audited financial statements shall be filed in the same manner as the Annual Report when they become available. The financial statements of the Agency may be consolidated with those of the County of Contra Costa and its related entities;</p> <p>(b) The following information for the most recently completed fiscal year, in substantially the form set forth in the Official Statement relating to the Bonds:</p> <p>(i) Assessed values of property in each Project Area in substantially the form of Tables 3, 8, 13, 18 and 23 of the Official Statement;</p> <p>(ii) Tax Revenues in each Project Area in substantially the form of Tables 5, 10, 15, 20 and 25 of the Official Statement;</p> <p>(iii) Issuance by the Agency of any Parity Debt with respect to any Project Area (if and to the extent permitted by the Loan Agreements);</p> <p>(iv) Information about each pending and successful appeal of assessed values in each Project Area that exceeds 5% of assessed value in such Project Area;</p> <p>(v) Incremental taxable value, tax levy, current year collections, current collections as a percentage of current year levy collected, total collections and total collections as a percentage of the current year's tax levy in each Project Area in substantially the form of Tables 2, 7, 12, 17 and 22 of the Official Statement;</p> <p>(vi) Amount of all Agency debt outstanding secured by a pledge of the Tax Revenues in each Project Area, and cumulative amount of Tax Revenues received by the Agency to date in such Project Area; and</p> <p>(vii) Loan payments made pursuant to each Loan Agreement and the debt service coverage ratio for its obligations under each Loan Agreement and all applicable Parity Debt in substantially the form of Tables 6, 11, 16, 21 and 26.</p> <p>(c) A copy of the report provided by the Authority pursuant to Section 5.11 (b) of the Indenture for the most recent fiscal year; provided that if no such report is required to be provided pursuant to said Section 5.11(b), the information described in clauses (i) and (ii) of said Section 5.11(b).</p> <p>(d) For as long as the 1995 North Richmond Loan is outstanding, a copy of the reports required by Section 7.13 of the North Richmond First Supplemental Loan Agreement (as defined in the Official Statement).</p> <p>(e) For the fiscal year ended June 30, 2003, information about the final resolution of the Pleasant Hill BART Escrow Fund.</p>
Special Assessment Districts:		
2013 Special Tax Refunding Bonds, \$5,605,000	Nine months	<p>(a) The audited financial statements of the County for the prior fiscal year prepared in accordance with generally accepted accounting principles in effect from time to time by the Governmental Accounting Standards Board to apply to governmental entities. If the audited financial statements are</p>

**EXHIBIT B:
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Issue Description	Due Date	Filing Requirements
	after FYE 6/30 (3/31)	<p>not available by the time the Annual Disclosure Report is required to be filed pursuant to Section 3(a), the Annual Disclosure Report shall contain unaudited financial statements in a format similar to the financial statements contained in the Official Statement, and the audited financial statements shall be filed in the same manner as the Annual Disclosure Report when they become available.</p> <p>(b) The following information with respect to the 2013 Bonds and the District:</p> <ol style="list-style-type: none"> 1. The principal amount of the 2013 Bonds outstanding. 2. The balances of all funds and accounts established by the Fiscal Agent Agreement as of the end of the next preceding fiscal year. 3. Total assessed value of all parcels subject to the Special Tax. 4. Actual Special Tax levy for the most recent fiscal year, Special Tax and property tax delinquency rate for parcels in the District for the most recent year. 5. Concerning delinquent parcels: <ol style="list-style-type: none"> (i) number of parcels delinquent in payment of Special Tax, (ii) amount of total delinquency and as a percentage of total Special Tax levy, and (iii) status of the County's foreclosure proceedings upon delinquent properties. 6. Identity of any delinquent tax payer obligated for more than 10% of the annual Special Tax levy and: <ol style="list-style-type: none"> (i) assessed value of applicable properties, and (ii) summary of results of foreclosure sales, if available. 7. Significant amendments to land use entitlements for property in the District known to the Director of the Department of Conservation and Development. 8. Status of any significant legislative, administrative, and judicial challenges to the construction of the development in the District known to the Director of the Department of Conservation and Development, without independent inquiry, for any year in which construction activity has occurred in the District.
2001 Revenue Bonds (Reassessment District of 2001), \$6,575,000	Nine months after FYE 6/30 (3/31)	<p>(a) Items relating to the Authority.</p> <ol style="list-style-type: none"> (i) Outstanding principal amount of the Bonds as of the end of the most recent fiscal year; and (ii) Balance of the Reserve Fund as of the end of the most recent fiscal year. <p>(b) Items relating to the Reassessment District. Unless otherwise provided in the audited financial statements filed on or prior to the annual filing deadline for the Annual Reports provided for in Section 3 above, financial information and operating data with respect to the Reassessment District for the preceding fiscal year, substantially similar to that provided in the corresponding tables and charts in the Official Statement for the Bonds, as follows:</p>

**EXHIBIT B:
REQUIRED INFORMATION FOR ANNUAL REPORTS OF COUNTY AND AUTHORITY**

Issue Description	Due Date	Filing Requirements
		<p>(i) Principal amount outstanding of the Reassessment Bonds.</p> <p>(ii) Balance in the Redemption Funds created pursuant to the Paying Agent Agreement relating to the Reassessment Bonds.</p> <p>(iii) Total aggregate assessed value (per the County records) of all parcels currently subject to the Reassessments within the Reassessment District showing the total aggregate assessed valuation for all improvements within the Reassessment District.</p> <p>(iv) With respect to the Reassessment District, but only in the event the sum of uncured Reassessment delinquencies for such Reassessment District for the preceding Fiscal Year exceeds 5 percent of the Reassessment installments posted to the tax roll for such Fiscal Year (3% if any portion of the Reassessment District does not participate in the County's Teeter Plan), delinquency information for each parcel then delinquent in the payment of Reassessments, including the amount of such delinquency, length of delinquency and status of any foreclosure (including results of foreclosure sales).</p> <p>(v) A land ownership summary listing property owners (and the assessed values of their property) responsible for more than five percent (5%) of the annual Reassessments within the Reassessment District, as shown on the Contra Costa County Assessor's last equalized tax roll prior to the September next preceding the Annual Report Date.</p> <p>(vi) A copy of any information given by the Authority to the California Debt and Investment Advisory Commission pursuant to Government Code Section 6599.1.</p>
1998 Special Tax Refunding Bonds (Pleasant Hill BART Station Area), \$4,785,000	Nine months after FYE 6/30 (3/31)	<ol style="list-style-type: none"> 1. Principal amount of Bonds outstanding. 2. Balance in the Reserve Fund. 3. Balance in other funds and accounts held by County or Fiscal Agent and related to the Bonds. 4. Additional debt authorized but not issued by the County and payable from or secured by special taxes or assessments with respect to property within the District. 5. Special tax delinquency rate, total amount of delinquencies, number of parcels delinquent in payment. 6. Identity of each delinquent taxpayer responsible for 5 percent or more of the total special taxes levied, and the following information: assessor parcel number, assessed value of applicable properties, amount levied, amount delinquent by parcel number and status of foreclosure proceedings. If any foreclosure has been completed, summary of results of foreclosure sales or transfers. 7. Most recently available total assessed value of parcels subject to the special taxes. 8. Total number of units occupied as of the immediately preceding June 30th, as reported by the County in the Yearly Housing Bond Issuance Report submitted by the County to the California Debt and Investment Advisory Commission.



CONTRA COSTA COUNTY

FINANCING POLICIES FOR COMMUNITY FACILITIES DISTRICTS

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SECTION I: GENERAL POLICY STATEMENT

Contra Costa County (the "County") has created these goals and policies concerning the use of the Mello-Roos Community Facilities Act of 1982 (Government Code sections 53311 and following), as amended (the "Act") in providing adequate public services and public infrastructure improvements (the "Policies"). The Policies will apply to all Community Facilities Districts ("CFDs") and related debt financing. In those cases in which fixed lien special assessment or other types of land based financing is substituted for CFD financing, the County will apply the appropriate provisions of these Policies. These Policies are intended to serve as guidelines to assist all concerned parties in determining the County's approach to CFD financing, provide specific guidance for approval of public financing for provision of public services and public infrastructure improvements and establish the standards and guidelines for the review of proposed development financings. It is the County's intent to support projects which address a public need and provide a public benefit. These Policies are also designed to comply with Section 53312.7(a) of the Government Code.

A. Community Facilities District Financings

1. The County encourages the development of residential, commercial and industrial property consistent with the adopted General Plan. The Board of Supervisors will consider the use of CFDs to assist these types of projects.
2. The County will consider the funding of services permitted under the Act if such funding does not create an unreasonable economic burden on the land and special taxpayers.
3. The County encourages the formation of CFDs as acquisition districts. In acquisition districts, a developer is reimbursed for projects only when discrete, useable facilities are deemed by the County to be completed. In construction districts, developers are provided progress payments during the construction of facilities. Acquisition districts provide stronger credit features, and better assure that the public facilities are completed.
4. While recognizing that public facilities proposed to be financed by a CFD are to benefit those properties within the boundaries of the proposed CFD, the Board of Supervisors finds that public benefit can only be "significant" when the benefit is also received by the community at large or are regional in nature but have a benefit to the properties within the proposed CFD.
5. The use of CFDs will be permitted to finance public facilities as described in Paragraph B below, whose useful life will be at least five (5) years and equal to or greater than the term of the bonds. Facilities which are, upon completion, owned, operated or maintained by public agencies will be considered public facilities. Limited exceptions may be made for facilities to be owned, operated or maintained by private utilities, or for facilities which could be owned by public agencies, or utilities.
6. The County is concerned that the proposed project that is to be financed is not premature for the area in which it is to be located. The proposed project must meet the land use approvals listed in Section D.
7. Extending public financing to a proposed project for identified public improvements cannot be

done without considering the aggregate public service needs for the project. Upon receipt of an application for public financing, the County will notify the other public entities having responsibility to serve the proposed project and request comment on the application. Periodic meetings, on a regional basis, with all affected public entities will be encouraged by the County to address the issues relative to overlapping debt

8. The Debt Affordability Advisory Committee (described in Section III below) may waive all or some of the provisions of these policies if unique and special circumstances apply to specific CFD financings.

B. Eligible Facilities

Facilities eligible to be financed by a CFD, upon completion of the construction or acquisition thereof, are intended to be owned by the County, another public agency or a public utility and must have a useful life of five (5) years or more. The list of public facilities eligible to be financed by a CFD may include, but is not limited to the following: streets, highways, and bridges; water, sewer, and drainage facilities; parks; libraries; police and fire stations; traffic signals and street lighting; recreation facilities; governmental facilities; flood control facilities; environmental mitigation measures; and public rights-of-way landscaping.

Facilities to be financed must be legally eligible under the Act and federal tax law, if applicable, to the satisfaction of bond counsel. The Board of Supervisors will have the final determination as to the eligibility of any facility for financing under these Policies.

C. Eligible Services

Services eligible to be funded through a CFD include: police protection services, fire protection and suppression services, ambulance and paramedic services, maintenance and lighting of parks, parkways, streets, roads and open space, flood and storm protection services, and services with respect to the removal or remedial action for the cleanup of any hazardous substance released or threatened to be released in to the environment. The Board of Supervisors will have the final determination as to the prioritization of funding such services. A CFD may not finance public services provided by any other public agency.

SECTION II: INITIATION OF THE FINANCING

A. Application

The proponent of a project must obtain and submit the required application to the initiating County department or related district or agency. The initiating County department with respect to CFD financings is the Department of Conservation and Development (the "Department").

Any application for the establishment of a CFD district will contain such information and be submitted in

such form as the Department may require. At a minimum each application must contain:

1. Proof of authorization to submit the application on behalf of the owner of the property proposed for new development for which the application is submitted if the applicant is not the owner of such property;
2. Evidence satisfactory to the Department that the applicant represents or has the consent of the owners of not less than 67% by area, of the property proposed to be subject to the levy of the special tax;
3. For any CFD financing to benefit new development, a business plan for the development of the property within the proposed CFD and such additional information as the Department may deem necessary to adequately review the financial feasibility of the CFD. For any CFD financing to benefit new development, the applicant must demonstrate to the satisfaction of the Department the ability of the owner of the property to be developed to pay the special tax installments for the CFD and any other assessments, special taxes and ad valorem on such property until full build out and sale or lease up of the property.

An application must be completed and the necessary information provided, as determined by the initiating County department or related district or agency, before any action will be taken to process the application and initiate financing for a project.

B. Processing and Formation Fees

Applications are to be accompanied by a processing or formation fee. All costs to the County associated with the proceedings statutorily required to establish a CFD are to be advanced by the applicant and paid prior to the actual sale of any bonds. The applicant will be reimbursed solely from the proceeds of the bonds sold for all monies advanced.

An initial deposit in an amount of not less than \$35,000 for a CFD is to be attached to the completed application submitted. The initiating County department or related district or agency, in its discretion, may determine a larger deposit amount is appropriate. The deposit will be placed in a separate trust account held by the County. The deposit may be placed in an interest bearing account so long as it is directed to do so by the Board of Supervisors and is allowable under state law. All costs of the County and/or its consultants retained during the formation process are to be paid from this account.

If, in the judgment of the initiating County department or related district or agency, the costs incurred or projected will cause the balance in this account to fall below \$5,000, a written demand will be made to the applicant to advance monies sufficient to bring the account to a balance that is projected to meet remaining costs required to establish the CFD. Failure to advance the requested monies within ten (10) days of a written demand by the County will result in all processing of the application to cease and no further actions to be taken toward establishing the financing district until the monies have been received. Waiver of this requirement can be made only by formal action of the Board of Supervisors.

Monies held in the trust account are to be applied to pay the County and its staff in reviewing and processing the application as well as the costs of the special tax consultant, appraiser, absorption consultant, all publication expenses, and any other costs determined by the County to be necessary to

establish the CFD.

Accompanying the application will be an agreement governing the processing or formation fee, its deposit in a trust account, the use of the monies, the return to the applicant of any unused portion of the fee or other monies advanced, and reimbursement of all monies advanced from bond proceeds.

C. Petition for Formation and Waiver of Time Requirements of the Election

The Mello-Roos Community Facilities Act of 1982, as amended, (the "Act") states that one way to request the formation of a proposed community facilities district is through a Petition signed by landowners holding title to ten percent (10%) of the land by area within the proposed community facilities district. The Petition must be submitted to the County before formal action can be commenced to form the CFD. The form of the petition will be supplied by bond counsel once the completed application has been received and initial processing has been completed.

The Act also provides that the formation can be shortened if one hundred percent (100%) of the property owners within the proposed boundaries of the CFD execute a waiver regarding the timing of and certain procedures associated with the required special election. The applicant should indicate on the application whether this waiver can be secured.

D. Selection of the Financing Team

The County will select the bond counsel, financial advisor, underwriter or placement agent or remarketing agent, and fiscal agent/trustee. It will require the retention of underwriter's counsel or disclosure counsel. Providers of letters of credit, liquidity supports and other types of credit enhancements are also subject to the approval of the County. Bond counsel and underwriter or disclosure counsel must be different firms.

In addition to the consultants that compose the financing team, as noted above, the County will select a special tax consultant to determine a fair and reasonable method to allocate the special tax required to meet debt service on the bonds and other related expenses of the proposed CFD.

Unless satisfactory and current information regarding land values for property within the proposed CFD and subject to the special tax is available, the County will require that a real estate appraiser of its choice be retained and an appraisal made. Additionally, an economist or real estate appraiser or other qualified independent third party may also be retained for the purpose outlined in Section IV.A.

In addition, the County reserves the right to retain additional professional consultants that it deems appropriate.

SECTION III: DEBT AFFORDABILITY ADVISORY COMMITTEE

The Board of Supervisors established the Debt Affordability Advisory Committee (the "Committee") to review issues relevant to capital markets transactions and to make recommendations to the Board of Supervisors when appropriate. The Committee will be comprised of the County Auditor-Controller, the County Treasurer-Tax Collector, Director of the Department of Conservation and Development, and the Senior Deputy County Administrator/Finance Director. The Committee is charged with the task of reviewing and commenting upon all CFD financing as well as other types of financing proposed to be issued by the County or its related districts or agencies. The Committee is to review each proposed debt issue and provide comment on whether the proposed debt issue is consistent with these Policies. It is to comment on the economic viability and credit worthiness of the proposed debt issue. In performing its function the Committee may, in its sole discretion, review a matter more than once and retain additional consultants to assist in its review. The cost of such consultants is to be borne by the proponent of the debt issue. In addition, the Committee has an ongoing responsibility to monitor the status of debt issued by the County or related districts or agencies.

A written summary of the Debt Affordability Advisory Committee's review of the proposed financing is to be prepared and submitted to the Board of Supervisors after it considers the financing. The written summary will state the issues considered by the Committee, whether the financing and the issues considered were consistent with or at variance with these Policies, and its recommendation with regard to each issue and the financing. If the vote of the Committee is not unanimous, the written summary is to so indicate and summarize the position taken by the minority members of the Committee.

The following are those matters which at minimum the Debt Affordability Advisory Committee is to review and comment upon with regard to the CFD financings.

1. Prior to the Board of Supervisors considering the resolution of intention to establish a CFD, the Department is to determine that all land use approvals required for the project under Section IV.E. have been fulfilled and that the proposed rate and method of apportionment of the special tax is consistent with Section V.A. of these Policies. Any variation from these Policies is to be noted and a recommendation made to the Board of Supervisors with regard thereto.
2. Prior to the Board of Supervisors considering the resolution authorizing the sale and issuance of bonds, the Debt Affordability Advisory Committee is to determine that:
 - a) A current appraisal and any related absorption study have been prepared consistent with Section IV.A. and IV.B of these Policies and that satisfactory land value to lien ratios exist.
 - b) Each property owner responsible for twenty percent (20%) or more of the debt service on the bonded indebtedness to be incurred has supplied the financial security required by Section IV.C. and IV.D. of these Policies.
 - c) The rate and method of apportionment of the special tax is in compliance with Section V.A. of these Policies.
 - d) The structure of the proposed financing is consistent with the applicable subsections of Section VI of these Policies.

- e) Each property owner responsible for 20% or more of the debt service in connection with any series of bonds must be current with respect to payment of all general property taxes, and any assessments or special taxes levied.

As stated above, any variation from these Policies is to be noted and a recommendation made to the Board of Supervisors with regard thereto. In addition, the Debt Affordability Advisory Committee is to make any comment it deems relevant in determining the economic viability or credit worthiness of the proposed debt issue. The Committee is to make a recommendation to the Board of Supervisors as to whether or not to proceed with the sale and issuance of the bonds.

If the proposed financing contemplates that bonds are to be issued in series, then each series is to be reviewed and commented upon by the Debt Affordability Advisory Committee before that series of bonds is considered by the Board of Supervisors for issuance.

Any proposal for refunding or defeasing a particular CFD financing is to be reviewed for consistency with Section XI of these Policies and commented on by the Debt Affordability Advisory Committee prior to it being submitted to the Board of Supervisors for consideration.

Once issuance of bonds has been approved by the Board of Supervisors and the bonds have been sold, the County department or related district or agency having responsibility for the administration of the bond issue is to annually file with the Auditor Controller of the County a report regarding the status of the bond financing. The occurrence of a technical default, or the likelihood thereof, is to be reported immediately to the Auditor Controller of the County by the administering County department or related district or agency.

SECTION IV: ECONOMIC VIABILITY OF THE FINANCING

In evaluating the application and the proposed debt issue, the County may require any or all of the following to determine the economic viability of the proposed project and the timing of the sale of any bonds or series thereof. The following requirements would apply to a Services CFD only to the extent determined by the Department.

A. Absorption Study

Unless waived by the Debt Affordability Advisory Committee, an absorption study of the proposed project will be required for CFD financings. The absorption study will be used: (1) as a basis to verify proposed base pricing of the finished products (lots or completed buildings or dwelling units) subject to the levy of the special tax; (2) to determine the projected market absorption of such finished products and (3) as a basis for verification that the assumptions supporting the special tax formula are appropriate and sufficient revenues can be collected to support the bonded indebtedness to be incurred.

The absorption study will also be used to evaluate the timing consideration identified by the applicant and the financing team. The absorption study will be provided to the appraiser and the appraisal required below in Section IV.B. is to reflect consideration of the absorption study.

B. Appraisal

1. Definition of Appraisal

An appraisal is a written self-contained report independently and impartially prepared by a qualified appraiser setting forth an opinion of defined value of an adequately described property as of a specific date, supported by the presentation and analysis of relevant market information. A qualified appraiser is a state certified real estate appraiser, as defined in Business and Professions Code Section 11340.

2. Standards of Appraisal

A detailed complete appraisal will be prepared to support any CFD financing. A detailed complete appraisal will reflect nationally recognized appraisal standards including, to the extent appropriate, the Uniform Standards of Professional Appraisal Practice (USPAP) of the Appraisal Foundation, the Code of Professional Ethics and the Standards of Professional Appraisal Practice of the Appraisal Institute. An appraisal should also generally conform to the Appraisal Standards for Land - Secured Financings provided by the California Debt and Investment Advisory Commission ("CDIAC"). Appraisals undertaken to establish value-to-lien ratios in CFD's should value the fee simple estate, subject to special assessment and special tax liens. The estimate of Market Value should be refined to reflect the Retail Value of fully improved and occupied properties and the Bulk Sale Value of all vacant properties, including both unimproved properties and improved or partially improved but unoccupied properties. An appraisal must contain sufficient documentation including valuation data and the appraiser's analysis of the data to support his or her opinion of value. At a minimum, the appraisal will contain the following items:

- a) The purpose and/or function of the appraisal, an identification of the property being appraised, the intended use, the identity of the current and intended uses, and a statement of the assumptions and limiting conditions affecting the appraisal.
- b) An adequate description of the physical characteristics of the property being appraised, location, General Plan/zoning, present use, and an analysis of highest and best use.
- c) Relevant and reliable approaches to value consistent with commonly accepted professional appraisal practices. If a discounted cash flow analysis is used, it should be supported with at least one other valuation method, such as a market approach using sales that are at the same stage of land development, when possible. If more than one approach is utilized, there will be an analysis and reconciliation of approaches to value that are sufficient to support the appraiser's opinion of value.
- d) A description of comparable sales, including a description of all relevant physical, legal and economic factors such as parties to the transaction, source and method of financing, and verification by a party involved in the transaction.
- e) A statement of the value of real property.
- f) The effective date of valuation, date of appraisal, signature and certification of the appraiser.

3. Community Facilities District Appraisal Premises. The valuation of proposed special tax districts will be based on all of the following three premises:

- a) Raw Land Value. (Premise #1). The total land within the project will be valued "as is":
 - (i) Without proposed infrastructure being financed or any future private improvements;
 - (ii) With existing parcel configuration and existing land use entitlements; and
 - (iii) Considering planned densities allowed by the General Plan, specific plan, zoning or other project approvals then in effect

This is a typical type of land valuation.

- b) Project Build-out value. (Premise #2). The total land within the project is valued under projected conditions:
 - (i) With completion of proposed infrastructure being financed;
 - (ii) At the planned densities allowed by the General Plan, specific plan, zoning or other approvals then in effect; and
 - (iii) Land development is at the stage of being marketed to merchant builders or tentative tract maps ready to be filed.

This is a projected value based on project plans predicated on market conditions continuing as projected.

- c) Bulk Land Value. (Premise #3). The total land within the project is valued under projected conditions:
 - (i) With completion of proposed infrastructure being financed;
 - (ii) With existing parcel configuration; and
 - (iii) Considering planned densities allowed by the General Plan, specific plan, zoning or other project approvals then in effect.

This premise should consider a discounted or "quick sale" valuation considering time, costs and the possibility of a pre unit value based on the total size of the project.

4. Timeliness of Information. To ensure that the opinion of value is current at the time of any bond sale, the valuation date of the appraisal or an update to the appraisal should be within three months of the bond sale.

C. Financial Information Required of Applicant

Both at time of application and prior to the sale and issuance of any bonds, the applicant for a CFD debt issue and all property owners owning land within the boundaries of the proposed financing district that will be responsible for twenty percent (20%) or more of the debt service on the bonded indebtedness to be incurred will provide financial statements (preferably audited) for the current and prior two fiscal years. The applicant will also provide all other financial information related to the proposed project that may be requested by the County.

Subsequent to the sale and issuance of the bonds, federal and state statutes and/or regulations regarding

the financing may require the preparation of periodic reports. The applicant and all major participants in the project will be required to provide that information needed to complete such statutorily required reports. In addition, the County department or related district or agency responsible for the administration of the bonds may require information of the applicant or the major participants in the project to satisfy reporting demands of rating agencies or institutional buyers.

D. Potential Third Party Guarantee of Special Tax Payments During Project Development

The greatest exposure to default on CFD bonds is the period between the issuance of bonds and project stabilization. The risk of default is increased when only a single or a few property owners are responsible for the special assessment or special tax payments. While the County's credit is not pledged to support the bonds, a default on CFD bonds can negatively impact the investment community's perception of the County.

To minimize the risk of default, the County may require a third party guarantee for the annual special tax payments within a district while the project is being developed and until there is significant absorption of the new development. The need for, nature and duration of any third party guarantees will be evaluated by the County and its financing team on a case by case basis. However, a third party guarantee would be specifically required of a developer in each year in which the developer owns or leases property within the district which is responsible for 20% or more of the special taxes levied; the guarantee would provide for 100% of the special tax levy due in each applicable fiscal year for property owned or leased by such developer. If required, the commitment letter for the third party guarantee must be provided within five days of the Resolution of Issuance and the third party guarantee must be provided prior to printing the preliminary official statement for the financing.

Third party guarantees may include letters of credit ("LOCs"), surety bonds, or some other mechanism which assures payment of special taxes while the project is being developed. When LOCs are provided, they must be in form and substance acceptable to the County from a bank acceptable to the County.

E. Land Use Approvals

For CFD financings the County will require, at a minimum that the proposed project must

1. be consistent with the County's General Plan;
2. be reviewed by the Director of the Department or designee, and have satisfied or be able to satisfy, all of the relevant land use requirements specified by the Director; and,
3. have had the service levels for the required public facilities established or the exact public facilities required for the project identified.

A proposed project that requires: (i) a General Plan amendment, (ii) a change of zone that increases the density or intensity of land use, (iii) a specific plan, or (iv) a specific plan amendment that increases the

density or intensity of land use will be referred to the Department's Community Development Division for evaluation as to whether the project is premature.

An appropriate environmental review of the proposed project is to have been completed as part of land use entitlement proceedings that will have addressed all of the public facilities that are to be constructed through the proposed financing.

F. Equity Participation by Applicant and Major Participants

In evaluating the proposed debt issue, the Debt Affordability Advisory Committee will consider the equity participation of the applicant and the major participants in the proposed project. At the time the application for the proposed financing is received, an analysis will be made as to the equity interest that the applicant has in the proposed project. It will also be required of the applicant that in addition to the financing, the applicant will fund in-tract public infrastructure and may be expected to contribute to other public improvements related to the proposed project.

SECTION V: REVENUE SUPPORTING THE FINANCING

CFD bonds are termed "limited obligations" whose primary repayment is secured by a special tax. The following are criteria that will be applied in evaluating the revenue stream that will be supporting a proposed CFD bond financing.

- A. The rate and method of apportionment of the special tax must be both reasonable and equitable in apportioning the costs of the public facilities and services to be financed to each of the parcels within the boundaries of the proposed CFD.
- B. The rate and method of apportionment must be structured to produce special taxes sufficient to pay scheduled debt service on all bonds (and provide coverage equal to 10% of debt service - see Section V.F. below), pay annual services or maintenance expenses (if applicable), establish or replenish any reserve fund for a bond issue, and pay reasonable and necessary administrative expenses of the CFD. In addition, the rate and method of apportionment may be structured to produce amounts to pay directly the costs of public facilities authorized to be financed by the CFD, the accumulation of funds reasonably required for future debt service, amounts equal to projected deficiencies in special tax payments, any remarketing, credit enhancement or liquidity fees and any other costs or payments permitted by law.
- C. The rate and method of apportionment of the special tax is to provide for the administrative expenses of the proposed CFD, including, but not limited to, those expenses necessary for the enrollment and collection of the special tax and bond administration.
- D. All property not otherwise exempted by the Act from taxation will be subject to the special tax. The rate and method of apportionment may provide for exemptions to be extended to parcels that are publicly-owned, held by property owners associations, used for a public purpose such as permanent

open space or wetlands, or affected by public utility easements making impractical their use for other than the purposes specified in the easement

- E. The annual special tax levy on each residential parcel developed to its final land use will not escalate, except that a variation for services and administrative expenses will be allowed. The County will allow an annual escalation factor, not to exceed two percent (2%) per year, on parcels to be developed for commercial or industrial uses.
- F. The maximum annual special tax, together with *ad valorem* property taxes, County Service Area charges, special assessments or taxes for an overlapping financing district, or any other charges, taxes or fees payable from and secured by the property, including potential charges, taxes, or fees relating to authorized but unissued debt of public entities other than the County, in relation to the expected assessed value of each parcel upon completion of the private improvements to the parcel is of great importance to the County in evaluating the proposed financing.

The objective of the County is to limit the total tax burden, including the *ad valorem* property taxes levied by the County, special taxes levied by any existing district for the payment of bonded indebtedness or ongoing services, assessments levied for any assessment district or maintenance district for the payment of bonded indebtedness or services and the assigned special tax for the proposed CFD, on any parcel to a maximum of two percent (2%) of the expected assessed value of the parcel upon completion of the private improvements. In evaluating whether this objective can be met, the County will consider the aggregate public service needs for the proposed project. It will consider what public improvements the applicant is proposing be financed in relation to these aggregate needs and decide what is an appropriate amount to extend in public financing to the identified public improvements.

- G. The total maximum annual special taxes that can be collected from taxable property in a district, taking into account any potential changes in land use or development density or rate, and less all projected administrative expenses, must be equal to at least one hundred ten percent (110%) of the gross annual debt service on any bonds issued by or on behalf of the CFD in each year that said bonds will remain outstanding.
- H. The rate and method of apportionment of the special tax will include a provision for a back up tax or other assurances to protect against any changes in development that would result in insufficient special tax revenues to meet the debt service requirements of the CFD. Such backup tax or other assurances will be structured in such a manner that it will not violate any provisions of the Act regarding cross-collateralization limitations for residential properties.
- I. A formula to provide for the prepayment of the special tax may be provided; however, neither the County nor the CFD will be obligated to pay for the cost of determining the prepayment amount which is to be paid by the requesting property owner.

SECTION VI: STRUCTURING THE FINANCING

In structuring a CFD financing, the County and its financing team will insure that the following issues are addressed in connection with the CFD bond issue.

A. Limited Obligations of the County

Both the statutory authority providing for the issuance of CFD bonds as well as the proceedings resulting in the sale and issuance of the bonds must ensure the bonds are limited obligations of the County payable only from the revenue source identified and do not require the expenditure of the general funds or any other revenues of the County to satisfy debt service obligations or to replenish any reserve fund established for the bonds.

B. Structuring of Debt Service

While the County prefers that debt service be structured with approximately level debt service, CFD financings may be structured with level, escalating, or declining debt service. The bonds must mature within forty (40) years of the date of the initial bonds issued. No bonds will be issued with a maturity date greater than the expected useful life of the facilities being financed.

C. Reserve Funds

The County will require that for CFD financings a reserve fund be established at a required funding level as determined appropriate by the financing team.

D. Capitalized Interest

Interest will be capitalized for a bond issue only as long as necessary to place the special tax installments on the assessment roll; provided, however, that interest may be capitalized for a longer term to be established in the sole discretion of the County on a case by case basis, not to exceed an aggregate of 18 months, taking into consideration the value to lien ratio for such bonds, the expected timing of initial occupancies of residential dwelling units or nonresidential structures within the CFD, expected absorption and buildout of the property within the applicable Community Facilities District, expected construction and completion schedule for the facilities to be funded from the proceeds of the bonds, the size of the bond issue, the development pro forma and the equity position of the applicant and such other factors as the County may consider relevant.

E. Foreclosure Covenant

In collecting delinquent special taxes, the County seeks to balance the bondholders' right to receive timely payment with fairness to property owners within the CFD who, due to extenuating circumstances, may have difficulty paying their special taxes in a timely manner. Because CFD financings generally are repaid from special tax receipts and solely secured by liens against property within the CFD, the

investment market expects to see appropriate foreclosure covenants. Foreclosure covenants would compel the County to take action to file a foreclosure action against a parcel with certain delinquency thresholds are reached. For example, a covenant may require the County to institute foreclosure if an individual delinquency exceeds a certain threshold (e.g., \$5,000) or the total amount of delinquencies exceeds a specified percentage of the total special taxes to be received (e.g., 5%). Those standards may differ if the reserve fund for the issue remains fully funded.

For each bond issue, the County and its financing team will analyze key aspects of the district (e.g., number of parcels, special tax rates, and debt service) to structure foreclosure covenants in a manner that satisfies the bondholders' need to reduce the likelihood of a shortfall in special taxes to pay debt service with the desire to provide flexibility in treatment of individual special tax payers.

F. Underwriter and Original Issue Discount

The underwriter's discount will be negotiated and determined solely by the County and will be competitive with and comparable to such discounts on similar financings being issued by the County and other public entities. The County will consider any other compensation the underwriter may be receiving in connection with the bond financing in determining the appropriate amount of the discount.

An original issue discount will be permitted only if the County determines that such discount results in a lower true interest cost on the bonds and that, for CFD financings, the use of an original issue discount will not adversely affect the ability of the CFD to construct public facilities identified by the bond documents.

SECTION VII: AGREEMENTS WITH AFFECTED PUBLIC ENTITIES

A. County Initiated CFD Financings

1. For CFDs, the joint community facilities agreement(s) required with other public entities which will own, maintain or operate the facilities to be financed must be adopted and approved by all parties at or prior to the adoption of the resolution establishing the CFD.
2. Should a CFD bond issue be for the construction of public facilities required to be sized to exceed the service needs of the properties within the boundaries of the financing district, the County will negotiate the following:
 - a) To the extent that the affected public entity's regulations allow, a credit against connection fees or other fees such that the credit will preclude the affected properties from contributing twice toward the cost of the identified public facilities.
 - b) To the extent that the affected public entity's regulations allow, a reimbursement for oversized facilities that will allow the CFD to balance the bonded indebtedness incurred with the level of benefit the properties are to receive from the public facilities that are to be financed.

- c) Any reimbursements for oversizing received from the affected public entity are to be paid to the CFD and, depending upon date of receipt, will be used either to augment construction proceeds or to reduce the outstanding bonded indebtedness of the financing district as determined appropriate by the County.

B. CFD Financings Not Initiated by the County

An administrative review will be made by the Department of all non-county initiated CFD financings that will require a joint community facilities agreement with the County to ensure compliance with the following minimum requirements. Only those financings that do not satisfy these minimum requirements will be referred to the Debt Affordability Advisory Committee for review and comment.

1. For CFDs containing residential projects, the rate and method of apportionment of the special tax will not provide for an annually increasing maximum special tax for any residential classification. However, for commercial and industrial projects within the CFD, the County will accept a maximum special tax for such classifications that escalates at a rate not to exceed two percent (2%) per year.
2. For CFDs, the total projected annual special tax revenues, less estimated annual administrative expenses, must exceed the projected annual gross debt service on the bonds by ten percent (10%). In structuring the rate and method of apportionment of the special tax, projected annual interest earnings may also be included as part of the projected annual revenues to satisfy this coverage requirement. Annual bond reserve fund interest earnings will be calculated at a rate to be determined by the County but, in no event greater than the then current passbook savings rate.
3. Whether the projected *ad valorem* property tax and other direct and overlapping debt for the property within the proposed boundaries of the CFD, including the proposed maximum special tax, does meet the County's objective of not exceeding two percent (2%) of the anticipated assessed value of each improved parcel upon completion of the private improvements as articulated in Section V.E. will be reviewed. This review will include current or estimated County Service Area or Community Service District charges, benefit assessments, levies for authorized but unissued debt and any other anticipated charge which may be included on the property tax bill.
4. With regard to any bonds to be issued, there will be created a reserve fund that will be established for each series of bonds.
5. If the County or its related districts or agencies are to:
 - a) own, operate, or maintain a majority of the facilities to be financed, or,
 - b) be the single largest recipient of the facilities to be financed, or,
 - c) own, operate or maintain facilities having a combined construction cost of \$100,000 or more, including design, engineering, construction contingencies and related costs of the

construction project,

then the County will require that all of the appropriate Policies set forth herein will be adhered to before entering into a joint community facilities agreement.

SECTION VIII: CREDIT ENHANCEMENTS

Credit enhancements, if required by the County, are to be utilized either to improve the credit worthiness of the proposed financing or to insure that the debt service requirements of the proposed debt issue are met in a timely manner. It is important to the County to minimize the possibility of a debt issue being placed in default and to insure that sufficient cash flows are available to meet debt service requirements. Section IV. D. contains a potential requirement for credit enhancement related to the ownership of 20% or more of the property within a CFD.

The County will examine carefully the provider of the required credit facility and the form that the credit facility will take. The rating of the provider, as well as the provider's capitalization, are of principal concern, and a reduction in either during the term of the credit facility to a level unacceptable to the County may require that an alternate credit facility be secured from an acceptable provider. The County reserves the right, in its sole discretion, to determine the acceptability of both the credit facility and its provider.

SECTION IX: OFFERING STATEMENTS AND DISCLOSURE

It is the intent of the County to comply with all applicable federal or state requirements regarding disclosure to insure that fair and accurate descriptions of debt issues are provided to the purchasers of the bonds. The County and any owner of property within a CFD that has not reached its entitled development and that will be responsible for the payment of special taxes representing such portion (as determined by bond counsel) of annual debt service on an issue of bonds that would cause such person or entity to be an "obligated person" under federal securities law (each, an "Obligated Person") will use all reasonable means to ensure compliance with applicable federal securities laws in connection with the issuance of debt and the provision of financial information and operating data regarding any CFD established by the County with respect to which bonds have been issued.

The County will retain disclosure counsel for any particular land secured or conduit financing having an aggregate principal value of \$1,000,000 or more. Decisions as to the adequacy of the disclosure will be determined by the County, its counsel, bond counsel and disclosure counsel. No preliminary or final offering statement for a particular land secured or conduit financing will be released for circulation unless it is deemed final by the County on the advice of its counsel, bond counsel or disclosure counsel.

With regard to the initial disclosure, each Obligated Person will be required to provide for inclusion in the official statement or other offering materials distributed in connection with the offering and sale of such bonds, such information as may be required to satisfy any requirements of, or avoid any liability under, any applicable federal or state securities laws.

The proponent(s) of a particular land secured or conduit financing and all principal participants therein are expected to provide the information requested by the County, its counsel, the underwriter, its counsel,

disclosure counsel, or bond counsel that is deemed necessary for disclosure purposes. Failure on the part of the proponent and any principal participants to comply with such requests will jeopardize completion of the debt issue.

With regard to continuing disclosure, each Obligated Person will be required to enter into an Agreement pursuant to which such Obligated Person will agree to provide financial information and operating data, on an ongoing basis, as may be required for the underwriter of such bonds to satisfy the requirements imposed on such Obligated Person pursuant to Rule 15c2-12 under the Securities Exchange Act of 1934.

The proponent of a particular land secured or conduit financing and all Obligated Persons will be required to execute those certificates and provide those written opinions of their respective counsel that are required by the terms of the bond purchase agreement. Failure to do so will result in the bonds not being sold and issued.

Failure of the proponent of a particular land secured or conduit financing or of any Obligated Person to comply with such proponent's or Obligated Person's initial or continuing disclosure obligations pertaining to bonds previously issued for any other CFD will be grounds for denial of the application for the formation of a CFD. Any such failure should be remedied by the time of providing the preliminary official statement and such failure will be disclosed in the preliminary and final official statements as required by bond counsel and/or disclosure counsel.

SECTION X: ADMINISTRATION

All matters related to administration of issued bonds are to be handled consistent with the terms of the trust indenture or fiscal agent agreement pursuant to which the bonds were sold. Administrative responsibilities with regard to the bonds and the project being financed by bond proceeds will vary depending upon the nature of the project.

A. Debt Administration

CFD bonds are issued pursuant to bond indentures or fiscal agent agreements which identify the Auditor-Controller of the County to have administrative responsibility for these debt issues. This includes, among other duties, the computation and enrollment of the special tax, payment of principal and interest on the bonds, initiation of foreclosure proceedings with regard to delinquent parcels, and management and investment of monies held in all funds and accounts created by the bond indentures or fiscal agent agreements.

B. Notice to Future Property Owners

The Act requires that certain disclosure certificates regarding the existence of a CFD and the special tax obligation be provided to those individuals purchasing property within the CFD, including to interim purchasers and merchant builders. The County will require that the statutorily prescribed disclosure be

made to the initial purchaser of property within a CFD, and the proponent of the CFD and/or developer will make available the information necessary to complete the disclosure certificate required for secondary transfers. In its sole discretion, the County may require additional disclosure if such disclosure will aid subsequent purchasers to be made aware of the existence of the CFD and the lien obligations created by the special tax.

C. Annual Reporting

The County departments or related districts or agencies identified in Section X. of these Policies as having responsibility for bond administration will prepare and timely file with the state and federal agencies all statutorily required reports.

Consistent with Section III of these Policies, County departments or related districts or agencies having responsibility for bond administration are to prepare and submit annually to the Auditor Controller of the County a report on the status of their respective debt issues on forms to be provided by the Debt Affordability Advisory Committee. The occurrence of technical default, or the likelihood thereof, is to be reported immediately to the Auditor Controller of the County by the administering department or related district or agency. For the purposes of these Policies, the term "technical default" will mean the occurrence of an event or omission that may result in the inability to make timely payment of debt service on the financing or would jeopardize the tax exempt status of the financing (e.g., the need to draw on a reserve fund, the insolvency or bankruptcy of a principal property owner, the insolvency of a provider of a credit enhancement, or insufficient funds to make a required rebate payment).

The information contained in these reports will allow the Auditor Controller of the County to prepare an analysis of the outstanding debt of the County and its related districts or agencies.

SECTION XI: REFUNDINGS

The principal objective of the County in refunding an outstanding debt issue is to secure a public benefit which may include an interest rate savings that will result in both an annual and present value savings to the property owners responsible for paying debt service on the bonds. The actual value of the savings must significantly exceed the costs of the refunding and any increase in the principal amount of bonds that will be outstanding as a result of the refunding.

Refunding of a particular CFD financing must at minimum be structured to reflect the following:

1. The refunding bonds will mature on a date not later than the date on which the bonds being refunded (the "prior bonds") mature.
2. Annual debt service savings to be realized from the refunding are to be apportioned over the remaining life of the refunding bonds.
3. The prior bonds (or any portion thereof being refunded) are to be legally defeased in accordance

with the indenture or fiscal agent agreement authorizing their issuance. If there is no provision for their defeasance, a defeasance escrow will be established that will contain only cash or direct obligations of the United States.

4. A refunding that results in an increase in the principal amount of bonds outstanding must consider prepayments that have been received prior to the refunding.

The County will also consider refunding an outstanding land secured financing to address unacceptable or unworkable bond covenants, debt service schedules or bond maturities.

SECTION XII: AMENDMENTS AND EXCEPTIONS

The County reserves the right to amend or modify these policies at any time and the right to make exceptions or grant waivers for specific financing projects, as facts and circumstances warrant.

**County of Contra Costa
Multifamily Mortgage Revenue Bond Program
Policy**

Summary

Federal, state and local legislation authorize issuance of mortgage revenue bonds by local governments to finance the development, acquisition and rehabilitation of multifamily rental housing projects pursuant to Section 52075 of the California Health and Safety Code, and applicable provisions of the Internal Revenue Code. The allocation of private activity bond authority is secured through the California Debt Limit Allocation Committee (CDLAC). The interest on the bonds can be exempt from federal and state taxation. As a result, bonds provide below market financing for qualified rental projects located within Contra Costa County (the "County")*. In addition the bonds issued under the program can qualify projects for allocations of federal low-income housing tax credits, which can provide a significant portion of the funding necessary to develop affordable housing. The program is administered by the County's Department of Conservation and Development (DCD).

There is no direct legal liability to the County in connection with the repayment of bonds; there is no pledge of the County's faith, credit or taxing power and the bonds do not constitute general obligations of the issuer because the security for repayment of bonds is limited to project revenue and other sources specified under each financing. Project loans are, in most cases, secured by a first deed of trust on the bond-financed property. The program is completely self-supporting; developers must secure funding to pay for costs of issuance of the bonds and all other costs under each financing.

The bonds may be used for construction, rehabilitation and permanent financing. The effective mortgage rate is the aggregate of the applicable bond rate and the add-on fees charged under the program such as lender, trustee, issuer's fee, etc. The bond rate, for fixed rate bonds, is determined at the time of a bond sale, and the resulting mortgage rate is approximately 1.5-2% below conventional mortgage rates. The project loans generally have a 30-year amortization schedule.

The goals of the program include:

- Increase and preserve the supply of affordable rental housing;
- Encourage economic diversity within residential communities;
- Maintain a quality living environment for residents of assisted projects and surrounding properties; and
- In the event of provision of public funds towards the project, optimize the effectiveness of those funds by maximizing the leveraging of private sector funds.

Eligibility

The project must be located within Contra Costa County and consist of complete rental units, including full kitchens and bathrooms, and cannot be used for transient or student housing.

* The County has authority to issue on behalf of Cities within the County pursuant to Contra Costa County 1982 Home Mortgage Revenue Bonds Cooperation Agreements. The County works closely with local communities to meet their housing objectives.

There is no limit on the maximum or minimum project size or number of units. However, smaller size projects (fewer than 40 units or less than \$2 million loan) may not find tax exempt financing economically efficient due to the costs of issuance, services of the

financial team, rating fees, etc. Proposed combined or pooled projects will be considered on a case by case basis. For projects requiring bond financing greater than \$35 million, it will be necessary to obtain a waiver from the CDLAC in order to receive an allocation.

Loan funds may be used for costs of property acquisition (no more than 25% of bond proceeds can be used for the acquisition of land), construction, rehabilitation, improvements, architectural and engineering services, construction interest, loan fees and other capital costs of the project incurred after the Bond Inducement date (specified in Financing Process section).

Pursuant to federal requirements, if bonds are used for acquisition and rehabilitation, at least 15% of the portion of the acquisition cost of the building and related equipment financed with the proceeds of the bonds must be used for rehabilitation of the project.

No more than 2% of any tax-exempt bond loan can be used to finance costs of issuance, such as the services of the financing team members, rating and printing of bonds, bond allocation, etc.

County Compensation

The County’s fees are comprised of (1) a non-refundable application fee due prior to drafting a Reimbursement Inducement Resolution, (2) an issuance fee due upon bond closing, and (3) an annual fee due in advance to cover costs of monitoring compliance with State and federal law requirements as contained in a Regulatory Agreement. The annual fees may be negotiated, however the standard fee is 1/8 of 1% (or .125%) of the principal amount of bonds outstanding. Annual fees are charged for the full term of the Regulatory Agreement, generally 55 years. At the County’s discretion, annual fees above a \$5,000 minimum may be subordinated to payment of debt service. The County fees are summarized in the table below:

Issuer Fee Schedule

Application ⁽¹⁾	Issuance Fee		Annual Fee ⁽²⁾	
\$2,500	Rate ⁽³⁾	.125%	Rate ⁽³⁾	.125%
	Minimum	\$5,000	Minimum	\$5,000
	Maximum	\$75,000	Maximum	\$25,000

- (1) Payable upon request of Reimbursement Inducement Resolution. Amount applied to Issuance Fee at closing. DCD may waive this requirement in its sole discretion.
- (2) Amounts above the minimum may be subordinated to bond debt service, at the County’s option.
- (3) Percentage applied to the initial bond issuance amount.

Types of Bonds

The County may issue either tax-exempt or taxable bonds. Taxable bonds would generally be issued in combination with tax-exempt bonds. Tax-Exempt Private Activity Bonds (non-refunding) require an allocation of bond authority from CDLAC. To obtain the allocation the County must submit an application to CDLAC on behalf of the developer. Submittal of the application is at the discretion of the County, not the developer. The developer must pay all required CDLAC fees when due.

The interest on taxable bonds is not exempt from federal taxation. These bonds are not subject to federal volume “cap” limitations and therefore do not require allocation authority from CDLAC. Taxable bonds can be used in combination with low-income housing tax credits awarded by the Tax Credit Allocation Committee. Taxable bond issues must meet all applicable requirements of this Policy (including rating requirements) and any additional regulations that may be promulgated, from time to time, by the County

The County may issue 501(c)(3) bonds on behalf of qualified nonprofit organizations. 501 (c)(3) bonds are tax-exempt and do not require an allocation from CDLAC, but cannot be used with the Low Income Housing Tax Credit Program.

Refunding Bonds will be allowed if the issuance meets the following conditions:

1. The Project Sponsor agrees to cover all costs of the issuer.
2. Projects originally financed by tax-exempt bonds prior to the 1986 Tax Act will have to make a minimum 10% of the units affordable to persons earning 50% of the median area income with the rents affordable at the same level.
3. The affordability restrictions of the existing bond regulatory agreement are subject to extension and/or additional restrictions. All specifics of refunding proposals must be approved by the County.
4. Default refunding applications require a default refunding analysis (to determine the eligibility for a default refunding). The County shall choose the firm to conduct the analysis. The project applicant will deposit the cost for the study with the County before the study begins.

Affordability Requirements

Term

The project must remain as rental housing and continuously meet the affordability requirements for at least 55 years from the date of 50% occupancy of the project. At the conclusion of the Regulatory period, rent of “in-place” tenants will continue to be governed by the applicable affordability restriction, so long as those tenants continue to live in the development.

Income Restrictions

To be eligible for tax-exempt bond financing, federal and State law require that the project meet one of the following conditions:

- (a) A minimum of 20% of the units in the project must be set aside for occupancy by households whose income does not exceed 50% of area median income, as adjusted for family size; or
- (b) A minimum of 10% of the units in the project must be set aside for occupancy by households whose incomes do not exceed 50% of area median income, as adjusted for family size AND an additional 40% of the units in the project must

be set aside for occupancy by households whose incomes do not exceed 60% of area median income, as adjusted for family size.

Project owners must certify their tenant's eligibility annually. If at the annual certification it is found that a tenant's income exceeds 140% of the current income limit, the owner must rent the next available unit of comparable size to a new income eligible tenant. The owner may raise the current tenant's rent to market rent only upon renting the next available unit to a new low-income or very low-income household, as applicable. A unit occupied only by full time students does not count towards the set-aside requirement.

Rent Restrictions

The maximum rents for all the affordable units are equal to 30% of the applicable monthly maximum income level, assuming one person in a studio, two persons in a one-bedroom, three persons in a two-bedroom and four persons in a three-bedroom unit. These assumptions differ for projects using Low Income Housing Tax Credits. In the event that both are used, the more restrictive rents apply. The maximum rents are further reduced by the amount of the utility allowance applicable to those units, based on unit size. Utility allowances are set by the Housing Authority of the County of Contra Costa and are based solely upon the utilities paid by the tenant.

The set-aside units must proportionately reflect the mix of all units in the project, be distributed throughout the project, and have the same floor area, amenities, and access to project facilities as market-rate units.

Regulatory Agreement

The rental and affordability unit requirements will be contained in a Regulatory Agreement that is recorded with the property and must be complied with by subsequent buyers for the minimum rental period. The requirements are terminated at the later of the end of the minimum rental period and repayment in full of the bonds or in the event of total casualty loss or foreclosure.

Financing Team

Bond Counsel and Financial Advisor, if applicable, specifically represent the interests and concerns of the County in ensuring the integrity of the bond transaction. The project sponsor may, at its own expense, add additional members to the finance team to represent its interests.

Financial Advisor

If deemed necessary, the Financial Advisor will be designated by DCD. They will prepare a feasibility study of whether it is economically advisable to proceed with the financing, including: evaluations of the financial strength of the project; assumptions regarding income and expenses; sources of security for bonds in addition to the project; developers financial situation and experience in operating and managing rental projects; marketability of the bonds; rights and resources of parties to the transaction in the event of default; and provide financial advise on all relevant issues to best protect the interests of the County. The compensation for financial advisory services to determine whether it is advisable to proceed with a financing will not be contingent on the sale of the bonds.

Bond Counsel

Bond Counsel will be designated for each financing by the County Board of Supervisors. Bond counsel will prepare the necessary legal documentation, including provisions regarding compliance with any applicable continuing disclosure requirements, provide an opinion regarding the validity of the bonds and their tax exemption, and provide legal advice on all relevant issues to best protect the interests of the County.

Additional Parties

The Bond Underwriter, Remarketing Agent, Private Placement Purchaser, and Bond Trustee, if required, will be selected by the County in consultation with the project sponsor. The fees for such services will be paid solely out of bond proceeds or otherwise by the project sponsor.

The Financing Process

1. Request for Financing (New or Refunding) – A letter of request must be sent to the DCD stating the desire to use the County’s Multifamily Mortgage Revenue Bond Program. The letter should include:
 - a. Name of Development Project;
 - b. Location by street address and assessor’s parcel number (if known);
 - c. Estimated number units;
 - d. Estimated development costs including land (bonds to be issued cannot exceed this amount);
 - e. Exact legal name of the ownership entity at the time of bond closing (e.g. name of individual, partnership, corporation, etc. and
 - f. If different, name of the operating entity at the time of bond closing.
 - g. Non-refundable application fee of \$2,500 to cover the administrative costs of reviewing the project feasibility, Inducement and TEFRA Hearing processes.
2. Board of Supervisor Approval of Reimbursement [Inducement] Resolution – The Reimbursement Resolution is a conditional statement of intent on the part of the County to provide tax-exempt financing for the project. The Resolution is non-binding, however it authorizes the submittal of the application to CDLAC by the County and it sets the date (which is 60-days earlier than the Inducement Date) from which costs related to the project are eligible for financing.
3. Public Hearing/Section 147(f) Resolution – Tax law requires that a public hearing be held to take comment on the nature of and location of the facility proposed to be financed with private activity bonds (Multifamily Mortgage Revenue Bonds included). The hearing must be noticed in a local newspaper of general circulation at least 14 days prior to the hearing. The legislative body then adopts a resolution approving the issuance of bonds pursuant to Section 147(f) of the Tax Code after the hearing is held. This is not the final approval of the bond issuance. The DCD holds the hearing administratively and the Board of Supervisors approves the Section 147(f) Resolution at a subsequent Board meeting. DCD may opt to schedule the required public hearing with the Board of Supervisors.
4. Securement of CDLAC Allocation – The CDLAC allocation of private activity bond authority is subject to an application process. The application must be submitted to the County for review and comment at least 10 days prior to the CDLAC deadline. The final application must include the current application fee for CDLAC and a

performance deposit in the amount of .5% of the requested allocation amount to be held by the County. The deposit is returned according to CDLAC procedures, but is subject to reversion to CDLAC if the financing does not close according to their procedures. The CDLAC process includes approximately 60 days for review of applications prior to allocation.

5. Bond Sale Resolution – When an allocation is received the County and financing parties have 90 days in which to complete the financing and sell and close on the issuance of the bonds. All real estate, lender and bond documents are completed. The Board of Supervisors must approve a Bond Sale Resolution, typically 30 days in advance of the proposed bond closing.

Bond Sale Modes/Issuing Criteria

Under its tax exempt financing program the County provides loans secured by a first deed of trust. A fundamental requirement for financings is that the project have loan underwriting and credit enhancement from a third party institution that bears the ultimate risk and responsibility of the loan. The County may consider unrated bonds on a case by case basis. Subordinate financing from other federal, state, or local agencies may be integrated into a plan of finance for the project. Early consultation with County staff is encouraged.

Any bonds issued under the program that are sold to the public should generally be rated “A”, or its equivalent, or better from a nationally recognized rating agency. The same rating requirement applies in the case of a substitution of existing credit facility for bonds that are outstanding.

A preferred way of obtaining the required rating on the bonds is through the provision of additional, outside credit support for the bond issue provided by rated, financially strong private institutions, such as bond insurance companies; domestic and foreign banks and insurance companies; FHA mortgage insurance or co-insurance, etc. The rating on the bonds is based on the credit worthiness of the participating credit enhancement provider. The applicant is required to identify and obtain credit enhancement for each bond issuance. As the primary source of security for the repayment of bonds, the credit enhancement provider reviews and approves the borrower and the project and its feasibility, including the size of the loan and the terms of repayment using their own underwriting criteria.

Fixed rate bonds, or their portion, can be issued without credit enhancement if the proposed financing structure results in the required minimum rating on the bonds by a nationally recognized rating agency. Bonds issued without credit enhancement will be sold to institutional investors in minimum \$100,000 denominations.

Private Placement Bonds

Private Placement Bonds are allowed under the following conditions:

1. The bonds are privately placed with “qualified institutional buyers” under Rule 144A of the Securities Act of 1933, or “accredited investors,” as generally defined under Regulation D of the Securities Act of 1933.
2. The bonds must be sold in minimum \$100,000 denominations.
3. All initial and subsequent purchasers must be willing to sign a sophisticated investor letter in a form approved by the County. While the bonds remain unrated, their

transferability will be restricted to qualified institutional buyers or accredited investors who sign an Investor Letter.

4. The County may limit the number of investors.
5. The owner must indemnify the County against any costs incurred by the County, including any lawsuit initiated by the bondholder or any other party, regardless of whether the developer is negligent, and if requested by the County, post a surety bond guaranteeing the same.

Change of Ownership

The County reserves the right to approve any voluntary change in ownership (i) that results in a transfer of 50% or more of the total equity interests in a developer or (ii) that results in a transfer of any general partner or managing member interest in the developer. Such approval to transfer ownership shall be at the discretion of the County. Transfers made by a limited partner tax credit investor to its affiliates may, at the County's discretion, be exempted from this requirement. The County shall review proposed owner management practices on current and previously owned properties, inspections, financial statements and credit histories.

Other Issuers

Projects financed with subordinate financing from the County (CDBG, HOME, etc.) will be financed by bonds issued by the County. The County may consent to the use of statewide issuers for private activity bonds (including 501c3 bonds) to finance projects located within the unincorporated County when such projects are part of a common plan of finance with one or more projects located within the County. DCD may waive the limitations on the use of statewide issuers.

**Contra Costa County
Debt Management Policies
For
Successor Agency to the former Contra Costa County
Redevelopment Agency**

I. Purpose

The purpose of this Successor Agency (“Agency”) Debt Management Policy is to organize and formalize the Agency’s debt-related policies and practices and establish a framework for administering and potentially refinancing the Agency’s debt.

The primary objectives of the policy are to:

- Promote sound financial management
- Assist the Agency in evaluating debt refinancing options
- Ensure full and timely repayment of debt
- Maintain full and complete financial disclosure and good investor relations
- Ensure compliance with applicable state and federal laws

II. Responsibility/Approval Process

The Director of the Department of Conservation and Development, Deputy Director-Redevelopment, or designee shall be responsible for managing and coordinating all activities related to the administration and potential refinancing of the Agency’s debt, including investment of bond proceeds, compliance with bond covenants, continuing disclosure, and arbitrage compliance.

III. Debt Issuance

Refinancing The Agency may refinance all or a portion of an outstanding debt issue when such refinancing enables the Agency to realize significant debt service savings or other policy goals. In general, refinancing that produces a net present value savings of at least three percent (3%) of the refinanced debt, without extending the term of the refinanced debt, will be considered economically viable. Refinancing that produce a net present value savings of less than three percent (3%) will be considered on a case-by-case basis if there is a compelling public policy objective that is accomplished by retiring the debt. For example, the Agency may pursue a non-economic refinancing to eliminate undesirable legal covenants in outstanding bond documents, to restructure the debt service profile, or to change the tax status of the debt.

IV. Debt Structure

Project Area Debt The Agency may refinance debt for a single project area or may combine financings for multiple project areas to achieve economies of scale or credit benefits. Each project area debt component must conform to the requirements and limitations of its respective project area redevelopment plan.

Debt Service Reserve Fund The Agency may finance a debt service reserve fund from bond proceeds or other funds, consistent with federal tax law, to

enhance the marketability of the bonds and/or to satisfy requirements of outstanding debt covenants. The Agency may purchase a reserve fund equivalent (such as a reserve fund surety) when such purchase is considered to be advantageous to the economics of the debt issuance.

Bond Insurance The Agency may purchase bond insurance (or secure a letter of credit) for any proposed financing if the economic benefit of the insurance realized through lower interest costs exceeds the cost of the insurance. The Director of the Department of Conservation and Development, Deputy Director – Redevelopment or designee will solicit quotes from providers, and shall have the authority to select a provider whose bid is most cost effective, and whose terms and conditions are satisfactory to the County.

Call Provisions In general the bonds will include a call feature that is no longer than 10 years from the date of delivery of the bonds. The Agency will seek to avoid the sale of non-callable bonds absent careful evaluation by the Agency of the value of the call option.

Original Issue Discount An original issue discount will be permitted only if the Agency determines that such discount results in a lower true interest cost on the bonds and that the use will not adversely affect the projects to be financed.

Interest Rate Mode The Agency shall use only fixed-rate debt to refinance its bonds.

VI. Financing Team

The Agency employs outside financial specialists to assist in developing a debt strategy, preparing bond documents, marketing bonds to investors and generally implementing its financing plan. The Director of the Department of Conservation and Development, Deputy Director – Redevelopment, or designee shall have the authority to periodically select service providers as necessary to meet legal requirements and minimize net Agency debt costs. Such services, depending on the type of financing, may include bond counsel, disclosure counsel, financial advisory, underwriting, trustee, verification agent, escrow agent, arbitrage consulting, and fiscal consulting. The goal in selecting service providers is to achieve an appropriate balance between service and cost.

VII. Method of Sale

The Agency may select a method of sale that is most appropriate for a particular financing or debt program in light of the financial, market, transaction-specific, and Agency-related conditions. The Director of the Department of Conservation and Development, Deputy Director – Redevelopment and/or Community Development Bond Program Manager shall be responsible for determining the appropriate

manner in which to offer any securities to investors, and may consider negotiated sale, competitive bid or private placement, as appropriate. The Agency's bonds have traditionally been sold via negotiated sale. This has been reflective of a complex structure which has required significant up-front work by the bond underwriter, and a strong pre-marketing effort at sale. The Agency may elect to privately place its debt if it is demonstrated to result in a cost savings to the Agency relative to other methods of debt issuance.

VIII. Debt Administration

Investment of bond proceeds Investments of bond proceeds shall be consistent with federal tax requirements, the County's adopted Investment Policy as modified from time to time, and with requirements contained in the governing bond documents.

Continuing Disclosure The Agency is committed to full and complete primary and secondary market financial disclosure in accordance with disclosure requirements established by the Securities and Exchange Commission and Municipal Securities Rulemaking Board, as may be amended from time to time. The Agency is also committed to cooperating fully with rating agencies, institutional and individual investors, other levels of government, and the general public to share clear, timely, and accurate financial information.

Arbitrage Compliance The Agency shall maintain a system of record keeping and reporting to meet the arbitrage compliance requirements of federal tax law or procure an outside contractor for such service.