

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](http://www.co.contra-costa.ca.us).

**AGENDA**  
**August 2, 2016**

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

**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))

1. *Jane Pendleton v. Contra Costa County*, Contra Costa County Superior Court Case No. C15-01869

2. *Pleasant Hill Recreation and Park District v. County of Contra Costa, et al.*, Contra Costa

**C. CONFERENCE WITH REAL PROPERTY NEGOTIATORS**

Property: 1700 and 1750 Oak Park Boulevard, 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- "You can't build a reputation on what you are going to do." ~ Henry Ford

**CONSIDER CONSENT ITEMS** (Items listed as C.1 through C.83 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.**

**DISCUSSION ITEMS**

**D. 1** CONSIDER Consent Items previously removed.

**D. 2** PUBLIC COMMENT (3 Minutes/Speaker)

- D. 3** CONSIDER waiving the 180-day "sit-out-period" for Richard Alexander, Director of Public Health Laboratory Services in the Health Services Department; and approving and authorizing the hiring of Richard Alexander as a temporary County retiree for the period August 8, 2016 through August 7, 2017. (William Walker, M.D., Health Services Director)
- D. 4** CONSIDER approving and authorizing the extension of the temporary employment of retiree Dr. Wendel Brunner, former Assistant Director of Health Services, effective July 1, 2016 through June 30, 2017. (William Walker, M.D., Health Services Director)
- D. 5** HEARING to consider adoption of Resolution of Necessity No. 2016/467 for acquisition by eminent domain of real property required for the Balfour Road Shoulder Widening Project, as recommended by the Public Works Director, Brentwood area. (100% Discovery Bay West Traffic Mitigation Funds) (Olivia D. Reynolds, Carmen Pina, Public Works Department)
- D. 6** CONSIDER adopting a position on SB 1107 (Hancock, Chiu): Political Reform Act of 1974, a bill that allows state and local governments to offer public campaign financing programs and limits the uses of campaign funds that are held by public officials who have been convicted of various public trust crimes. (Lara DeLaney, County Administrator's Office)



- D. 7** CONSIDER adopting report as the Board of Supervisors' response to Grand Jury Report No. 1602, entitled "Protecting Our Groundwater Resources". (David Twa, County Administrator)
- D. 8** CONSIDER adopting Resolution No. 2016/465, approving the side letter between Contra Costa County and Western Council of Engineers to revise Section 5.1 and Section 47.4 of the Memorandum of Understanding regarding term and wages. (David Twa, County Administrator)
- D. 9** CONSIDER adopting Resolution No. 2016/477 approving the Memorandum of Understanding between Contra Costa County and District Attorney Investigators' Association, implementing negotiated wage agreements and other terms and conditions of employment beginning July 1, 2016 through June 30, 2019. (David Twa, County Administrator)
- D.10** CONSIDER adopting Resolution No. 2016/488 to provide for salary increases for specified unrepresented sworn positions to parallel those in the new District Attorney Investigators' Association Memorandum of Understanding for the period July 1, 2016 and beyond. (David Twa, County Administrator)
- D.11** CONSIDER adopting Resolution No. 2016/486, approving the side letter between Contra Costa County and California Nurses Association to modify Section 7.2., Compensatory Time, of the Memorandum of Understanding (MOU) between Contra Costa County and California Nurses Association. (David Twa, County Administrator)

D. 12 CONSIDER reports of Board members.

**Closed Session**

***ADJOURN***

**CONSENT ITEMS**

**Road and Transportation**

- C. 1** APPROVE plans for the Kirker Pass Road Crash Cushion Replacement at Nortonville Road, as recommended by the Public Works Director, Pittsburg area. (100% Local Road Funds)

**Engineering Services**

- C. 2** ADOPT Resolution No. 2016/460 approving the second extension of the Subdivision Agreement for minor subdivision MS00-00003, for a project being developed by Ony Homes, LLC, as recommended by the Public Works Director, Alamo area. (No fiscal impact)
- C. 3** ADOPT Resolution No. 2016/464 accepting completion of warranty period for the Subdivision Agreement, and release of cash deposit for faithful performance, subdivision SD-08-09245, 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)
- C. 4** ADOPT Resolution No. 2016/470 accepting completion of improvements for road acceptance RA06-01208 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)
- C. 5** ADOPT Resolution No. 2016/471 approving the Road Improvement Agreement for Improvement Warranty, for road acceptance RA06-1210, for a project being 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)
- C. 6** ADOPT Resolution No. 2016/472 accepting completion of improvements for road acceptance RA06-01210 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)
- C. 7** ADOPT Resolution No. 2016/473 approving the Road Improvement Agreement for Improvement Warranty, for road acceptance RA12-01249 for a project being 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)
- C. 8** ADOPT Resolution No. 2016/475 accepting completion of improvements for road acceptance RA12-01249 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. 9** ACCEPT an Access Easement from the City of Oakley to the Contra Costa County Flood Control and Water Conservation District for property rights located off of Warhol Way and covering a portion of Assessor's Parcel Number: 037-500-092; in connection with the Cypress Grove Development, as recommended by the Chief Engineer, Oakley area. (No fiscal impact)

- C. 10** APPROVE the Notice of Intention to Convey Real Property owned by the Contra Costa County Flood Control and Water Conservation District, identified as a former access road along the Marsh Creek Channel adjacent to Subdivision Nos. 8678, 8679 and 8680, to the City of Oakley, in connection with the Cypress Grove Development, as recommended by the Chief Engineer, Oakley area. (No fiscal impact)
- C. 11** APPROVE and AUTHORIZE the Public Works Director, or designee, to execute a contract amendment with Stantec Architecture, Inc., effective July 1, 2016, to increase the payment limit by \$100,000 to a new payment limit of \$350,000, to continue providing on-call landscape architect services to complete existing projects, with no change to the original term, Countywide. (100% Special Revenue Funds)
- C. 12** APPROVE and AUTHORIZE the Purchasing Agent to execute, on behalf of the Director of Airports, a purchase order amendment with Ascent Aviation Group, Inc., to increase the payment limit by \$125,000 to a new payment limit of \$430,000 for aviation fuel, through August 31, 2016. (100% Airport Enterprise Fund)
- C. 13** APPROVE and AUTHORIZE the Director of Airports, or designee, to terminate the T-Hangar and Shade Hangar Rental Agreement with Equipco Sales & Service at the Buchanan Field Airport and AUTHORIZE County Counsel to pursue legal action. (100% Airport Enterprise Fund)

### **Claims, Collections & Litigation**

- C. 14** RECEIVE report concerning the final settlement of Cecily Buda vs. Contra Costa County Fire Protection District; and AUTHORIZE payment from the Workers' Compensation Internal Service Fund in an amount not to exceed \$235,000, as recommended by the Director of Risk Management. (100% Workers' Compensation Internal Service Fund)
- C. 15** DENY claims filed by David Chavez, Eli Dominguez, Deborah Haagensen, Mary R. Johnson DDS, Steven Ray Kitchen, Peter Korwin, Colleen Maramonte, a minor, by her father & guardian Alan Maramonte, and Denise M. Smullen.

### **Honors & Proclamations**

- C. 16** ADOPT Resolution No. 2016/463 honoring the 56th Annual Contra Costa Championship Swim Meet, as recommended by Supervisor Andersen.

### **Ordinances**

- C. 17 INTRODUCE Ordinance No. 2016-17 calling a special election for voter approval of a 30-year countywide transportation transaction and use tax estimated to generate \$2.9 billion and consolidating the special election with the statewide general election on November 8, 2016, WAIVE reading, and FIX August 9, 2016 for adoption as recommended by the Director of Conservation and Development.

### **Appointments & Resignations**

- C. 18 APPOINT Jannel George-Oden of San Pablo to the Tenant seat on the Contra Costa County Housing Authority Board of Commissioners, as requested by the Housing Authority Executive Director.
- C. 19 ACCEPT the resignation of Gordon Berke, DECLARE a vacancy in the Appointee 5 seat on the County Service Area P-5 Citizens Advisory Committee, effective August 1, 2016, and DIRECT the Clerk of the Board to post the vacancy, as recommended by Supervisor Andersen.
- C. 20 APPROVE the new medical staff and Travis resident appointments and reappointments, additional privileges, department change request, medical staff advancement, and updated pediatrics privilege as approved by the Medical Staff Executive Committee at their June 20, 2016 meeting and as recommended by the Health Services Director.
- C. 21 APPOINT Kathryn Ames to the Member at Large Seat #17 on the Advisory Council on Aging, as recommended by the Family and Human Services Committee.

### **Appropriation Adjustments**

- C. 22 Contingency Reserve (0990) / County Administrator (0003): APPROVE Appropriations Adjustment No. 5001 transferring appropriations in the amount of \$250,000 from the County's Contingency Reserve to the County Administrator's budget to pay for legal services in connection with the *County of San Joaquin, et al. v. Metropolitan Water District of Southern California, et al.* litigation.

### **Intergovernmental Relations**

- C. 23 ADOPT a "Support" position on AB 2121 (Gonzalez) Alcoholic Beverage Control: Beverage Service Training, a bill that requires a person who sells or serves alcoholic beverages to complete an approved Responsible Interventions for Beverage Servers Training Course within three months of employment and every three years thereafter, as recommended by the Legislation Committee. (No fiscal impact)

- C. 24** ADOPT an amendment to the County's adopted Federal Platform to include support for legislation that would create a new category of private activity bonds in the federal tax code for governments to join with private parties to help finance government buildings, as recommended by the Legislation Committee. (No fiscal impact)
- C. 25** CONSIDER adopting a Support position on Proposition 56: Cigarette Tax to Fund Healthcare, Tobacco Use Prevention, Research, and Law Enforcement, an initiative which seeks to increase cigarette tax by \$2 per pack, with equivalent increase on other tobacco products and electronic cigarettes containing nicotine, as recommended by the Legislation Committee. (No fiscal impact)
- C. 26** CONSIDER adopting an Support position on Proposition 67: Referendum to Overturn Ban on Single-Use Plastic Bags, which would be a position in favor of upholding or ratifying SB 270, the contested legislation banning single-use plastic bags, as recommended by the Legislation Committee. (No fiscal impact)
- C. 27** CONSIDER adopting a Support position on Proposition 54 Legislative Proceedings Initiative, which seeks to prohibit the Legislature from passing any bill unless it has been in print and published on the Internet for at least 72 hours before the vote, except in cases of public emergency, as recommended by the Legislation Committee. (No fiscal impact)

### **Personnel Actions**

- C. 28** ADOPT Position Adjustment Resolution No. 21875 to add one Social Casework Assistant (represented) position and cancel one Children's Services Aide (represented) position in the Employment and Human Services Department. (42% Federal, 48% State and 10% County)
- C. 29** ADOPT Position Adjustment Resolution No. 21886 to add one Clerk – Senior Level (represented) position and one Victim / Witness Assistance Program Specialist (represented) in the District Attorney's Office. (100% State)
- C. 30** ADOPT Position Adjustment Resolution No. 21888 to add one Mental Health Program Chief position (represented) in the Health Services Department. (100% Hospital Enterprise Fund I)
- C. 31** ADOPT Position Adjustment Resolution No. 21893 to add two Health Education Specialist positions (represented) in the Health Services Department. (100% Federally Qualified Health Center revenues)

- C. 32** ADOPT Position Adjustment Resolution No. 21889 to add one Public Health Program Specialist II position (represented) and cancel one Administrative Services Assistant II position (represented) in the Health Services Department. (65% Center for Disease Control funds, 35% Ryan White grant funds)
- C. 33** ADOPT Position Adjustment Resolution No. 21890 to add one Pre-Hospital Care Coordinator position (represented) in the Health Services Department. (100% Hospital Enterprise Fund I)
- C. 34** ADOPT Position Adjustment Resolution No. 21891 to add 18 positions (represented) in the Health Services Department for the expansion of services to be provided at the Antioch Health Center. (100% Federally Qualified Health Center and third party revenues)
- C. 35** ADOPT Position Adjustment Resolution No. 21892 to add 36 positions (represented) in the Health Services Department for the expansion of services to be provided at the Pittsburg Health Center. (100% Federally Qualified Health Center revenues)
- C. 36** ADOPT Position Adjustment Resolution No. 21894 to add one Public Health Program Specialist I position (represented), and cancel one vacant part-time Community Health Worker II position (represented) and one vacant Clerk-Specialist Level (represented) in the Health Services Department. (Cost savings)
- C. 37** ADOPT Position Adjustment Resolution No. 21887 to reallocate the classifications of the Pharmacist I (represented) Pharmacist II (represented), Pharmacy Technician (represented), and the Clinical/ Drug Information Coordinator (represented) positions on the Salary Schedule in the Health Services Department. (100% Enterprise Fund I)
- C. 38** ADOPT Position Adjustment Resolution No. 21895 to add 35 positions (represented) in the Health Services Department for the expansion of services to be provided at the Brentwood Health Center. (100% Federally Qualified Health Care revenues)

### **Grants & Contracts**

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

- C. 39** APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to apply for and accept Community Services Block Grant funding in an amount not to exceed \$115,000 from the Community Services Block Grant Consortium for individualized business advice and group training to low-to-moderate income County residents for the period July 1, 2016 through June 30, 2017. (No County match)
- C. 40** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute an interagency agreement with Mount Diablo Unified School District, to pay the County an amount not to exceed \$533,891 to provide professional school-based mental health services, crisis intervention, and day treatment services to students, for the period July 1, 2016 through June 30, 2017. (No County match)
- C. 41** APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to apply for and accept Senior Service America, Inc., grant funding in an amount not to exceed \$271,704 for the Senior Community Service Employment Program for the period July 1 through December 31, 2016. (100% General Fund)
- C. 42** ADOPT Resolution No. 2016/469 authorizing the Sheriff-Coroner, or designee, to apply and accept the Board of State & Community Corrections, FY 2016-2018 Strengthening Law Enforcement and Community Corrections Grant in an initial amount of \$600,000 for a proposed program to collaborate with non-profit organizations and community members to develop strategies for at risk neighborhoods. (80% State, 20% County In-kind match)
- C. 43** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract containing modified indemnification language with John Muir Health (dba John Muir Medical Center), Concord Campus, to act as a designated center to assist patients with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019. (No fiscal impact)
- C. 44** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract containing modified indemnification language with John Muir Health Inc, (dba John Muir Health Walnut Creek Campus), to act as a designated center to assist patients with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019. (No fiscal impact)
- C. 45** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract containing modified indemnification language with San Ramon Regional Medical Center, to act as a designated center to assist patients with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019. (No fiscal impact)

- C. 46** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract containing modified indemnification language with Kaiser Foundation Hospitals - Walnut Creek Medical Center, to act as a designated center to assist patients with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019. (No fiscal impact)
- C. 47** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract containing modified indemnification language with Sutter East Bay Hospitals (dba Sutter Delta Medical Center), to act as a designated center to assist patients with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019. (No fiscal impact)
- C. 48** APPROVE and AUTHORIZE the County Administrator, or designee, to apply for and accept a grant in an amount not to exceed \$30,000 from the State of California, California Arts Council, for the County to provide advocacy for the advancement of the arts for the period October 1, 2016 through September 30, 2017. (50% County General Fund match; 50% In-kind)
- C. 49** APPROVE and AUTHORIZE the Sheriff-Coroner, or designee, to execute a contract with the Contra Costa Community College District, to pay the County an amount not to exceed \$631,125 to provide educational course instruction at the Law Enforcement Training Center for the period July 1, 2016 through June 30, 2017. (100% Contra Costa Community College District funds)

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

- C. 50** ADOPT Resolution No. 2016/154 accepting as complete, the construction contract work performed by Roofing Constructors, Inc. (dba Western Roofing Service), for the Roof Replacement Project at 2099 Arnold Industrial Way, as recommended by the Public Works Director, Concord area. (No fiscal impact)
- C. 51** APPROVE and AUTHORIZE the Purchasing Agent or designee to execute, on behalf of the Chief Information Officer (Department of Information Technology), a purchase order with Dell Marketing, L.P., in an amount not to exceed \$174,212 for the purchase of Dell servers, storage equipment and support to replace the existing aged Geographic Information System servers. (100% County General Fund)
- C. 52** APPROVE and AUTHORIZE the Director of Risk Management to execute a contract with TCS Risk Management Services in an amount not to exceed \$591,000 to administer a county-wide ergonomic program and laboratory for the period July 1, 2016 through June 30, 2019. (100% Workers' Compensation Internal Service Funds)



- C. 53** APPROVE and AUTHORIZE the Conservation and Development Department Director, or designee, to execute a contract amendment with First Carbon Solutions, to increase the payment limit by \$24,200 to a new payment limit of \$333,039 with no change to the original term of September 10, 2014 through September 9, 2018, for services required to prepare the Environmental Impact Report for the Tassajara Parks Project in the Tassajara Valley (San Ramon area). (100% Applicant fees)
- C. 54** APPROVE and AUTHORIZE the Animal Services Director, or designee, to execute a contract amendment with MWI Animal Health to extend the term from September 30 through December 31, 2016 and increase the payment limit by \$250,000 to a new payment limit of \$700,000 to provide veterinary medical supplies. (37% User Fees, 54% City Revenue, 9% County)
- C. 55** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Uplift Family Services, Inc., in an amount not to exceed \$462,382 to provide mental health services to seriously emotionally disturbed children for the period July 1, 2016 through June 30, 2017, with a six-month automatic extension through December 31, 2017 in an amount not to exceed \$228,691. (49% Federal Financial Participation; 50% County Mental Health Realignment; 1% Mt. Diablo Unified School District)
- C. 56** APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to execute a contract with Bay Area Community Resources, Inc., in an amount not to exceed \$621,000 for Workforce Innovation and Opportunity Act Out-of-School Youth Services for the period July 1, 2016 through June 30, 2017. (100% Federal)
- C. 57** APPROVE and AUTHORIZE the Interim County Probation Officer, or designee, to execute a contract with STAND! For Families Free of Violence in the amount of \$107,238 to provide parenting training for participants ages 14-25 who are involved with the criminal justice system, for the period July 1, 2016 through June 30, 2017. (100% State)
- C. 58** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Muir Orthopaedic Specialists, a Medical Group, Inc., in an amount not to exceed \$225,000 to provide orthopedic services at Contra Costa Regional Medical Center and Health Centers, for the period August 1, 2016 through July 31, 2019. (100% Hospital Enterprise Fund I)

- C. 59** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Rainbow Community Center of Contra Costa County in an amount not to exceed \$227,120 to provide Mental Health Services Act (MHSA) Prevention and Early Intervention services to members of the lesbian, gay, bisexual, transgender and questioning community for the period July 1, 2016 through June 30, 2017, with a six-month automatic extension through December 31, 2017 in an amount not to exceed \$113,560. (100% MHSA)
- C. 60** APPROVE and AUTHORIZE the Purchasing Agent or designee to execute, on behalf of the Public Works Director, a purchase order amendment with Xerox Corporation, to increase the payment limit by \$450,000 to a new payment limit of \$829,039 for monthly equipment maintenance for the remainder of the lease, which expires on December 14, 2018, Countywide. (100% Department User Fees)
- C. 61** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract containing modified indemnification language with Young Men's Business Association of the East Bay, in an amount not to exceed \$97,000 to provide mental health and suicide prevention services to multi-cultural youth in West Contra Costa County, for the period July 1, 2016 through June 30, 2017; with a six-month automatic extension through December 31, 2017 in an amount not to exceed \$48,500. (100% MHSA)
- C. 62** APPROVE and AUTHORIZE the Sheriff-Coroner, or designee, to execute a contract with Vislink, Inc. in an amount not to exceed \$245,000 for the purchase of equipment, installation and support for a downlink system for the Sheriff's helicopters for the period August 1, 2016 through July 31, 2017. (100% State Grant)
- C. 63** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Berkeley Youth Alternatives in an amount not to exceed \$100,066 to provide school-based mental health services to seriously emotionally disturbed children for the period July 1, 2016 through June 30, 2017, with a six-month automatic extension through December 31, 2017 in an amount not to exceed \$50,033. (50% Federal Financial Participation; 50% County Realignment)
- C. 64** APPROVE and AUTHORIZE the Public Works Director, or designee, to execute a contract amendment with The Ratcliff Architects, effective August 2, 2016, to increase the payment limit by \$400,000 to a new payment limit of \$1,300,000 for as-needed architectural services, for the period of September 10, 2013 through September 10, 2018, Countywide. (100% Various Funds)
- C. 65** APPROVE and AUTHORIZE payment of \$126,881.26 to vendor California Ambulance for services rendered, less the amount owed to the State as a result of vendor's claims for Medi-Cal reimbursement. (100% Hospital Enterprise Fund I)

- C. 66** APPROVE and AUTHORIZE the Director of Risk Management to execute a contract with BSI EHS Services and Solutions in an amount not to exceed \$1,202,600 to provide professional on-site environmental, health, safety and sustainability consulting support for the period July 1, 2016 through June 30, 2017. (43% Workers' Compensation Internal Service Fund and 57% User Departments)
- C. 67** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract amendment with the Food Bank of Contra Costa and Solano, effective July 1, 2016, to increase the payment limit by \$62,986 to a new payment limit of \$124,809, to provide additional coordination of food and nutrition services to County residents diagnosed with HIV, with no change in the original term of March 1, 2016 through February 28, 2017. (100% Ryan White HIV Treatment Modernization Act)
- C. 68** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Compass Group USA, Inc. (dba Bateman Community Living), in an amount not to exceed \$2,704,537 to provide meal services for County's Senior Nutrition Program for the period July 1, 2016 through June 30, 2017. (100% Title III C-1; Title III C-2 of the Federal Older Americans Act of 1965)
- C. 69** APPROVE and AUTHORIZE the Purchasing Agent to execute, on behalf of the Health Services Director, a purchase order with Office of the Statewide Health Planning and Development in the amount of \$136,639 for the payment of the Hospital/Long Term Care Special Assessment Fee for FY 2016/2017, for the Contra Costa Regional Medical Center (CCRMC). (100% Hospital Enterprise Fund I)
- C. 70** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with La Clinica de la Raza in an amount not to exceed \$1,500,000, to provide primary care and ophthalmology services to Contra Costa Health Plan (CCHP) members for the period July 1, 2016 through June 30, 2017. (100% CCHP Enterprise Fund II)
- C. 71** APPROVE AND AUTHORIZE the Health Services Director, or designee, to execute a contract with Pro Transport-1, LLC, in an amount not to exceed \$225,000 to provide non-emergency patient transportation services for Contra Costa Regional Medical Center and Health Centers for the period June 1, 2016 through May 31, 2017. (100% Hospital Enterprise Fund I)

- C. 72** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute a contract with Desarrollo Familiar, Inc., in an amount not to exceed \$365,342, to provide school based mental health services for West Contra Costa County Latino children and their families, for the period July 1, 2016 through June 30, 2017, with a six-month automatic extension through December 31, 2017, in an amount not to exceed \$182,671. (50% Federal Financial Participation; 50% State Early Periodic Screening, Diagnosis and Treatment)
- C. 73** APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to execute a contract containing modified indemnification language with We Care Services for Children, in an amount not to exceed \$221,357 to provide State preschool services, for the period July 1, 2016 through June 30, 2017. (100% State)
- C. 74** APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to execute a contract containing modified indemnification language with Richmond Elementary School, Inc., in an amount not to exceed \$210,816 to provide State preschool services for the period July 1, 2016 through June 30, 2017. (100% State)
- C. 75** APPROVE and AUTHORIZE the Sheriff-Coroner, or designee, to execute a contract with Redwood Toxicology Laboratory, Inc., in an amount not to exceed \$200,000 to provide toxicology screening services for the period September 1, 2016 through August 31, 2018. (100% Client User fees)

### **Other Actions**

- C. 76** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute an unpaid student training agreement with San Jose State University, to provide supervised field instruction in the County's Public Health Division to occupational therapy students, for the period September 1, 2016 through August 31, 2021. (No fiscal impact)
- C. 77** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute an unpaid student training agreement with the Board of Trustees of California State University on behalf of California State University, East Bay, to provide supervised field instruction in the County's Public Health Division, to students in health care, nursing, health science and social work, for the period August 1, 2016 through July 31, 2019. (No fiscal impact)
- C. 78** ACCEPT the Treasurer's Investment Policy for the Fiscal Year 2016-2017 as revised and adopted on May 17, 2016 by the Treasury Oversight Committee.
- C. 79** ACCEPT the Treasurer's Quarterly Investment Report as of March 31, 2016, as recommended by the County Treasurer-Tax Collector.

- C. 80** APPROVE and AUTHORIZE the Health Services Director, or designee, to execute an unpaid student training agreement with University of Southern California, to provide supervised field instruction in the County's Public Health Division, to physical and occupational therapist students, for the period September 1, 2016 through August 31, 2019. (No fiscal impact)
- C. 81** SET the special tax levy for County Service Areas P-2 Zone A (Blackhawk), P-2 Zone B (Alamo) and P-5 (Round Hill) for fiscal year 2016/2017, as recommended by the Sheriff-Coroner. (100% Restricted Property Tax revenue)
- C. 82** SET the special tax levy for police services Zones in County Service Area P-6 for Fiscal Year 2016-2017 as set forth in Exhibit A. (100% Restricted Property Tax revenue)
- C. 83** CONTINUE the emergency action originally taken by the Board of Supervisors on November 16, 1999 regarding the issue of homelessness in Contra Costa County, as recommended by the Health Services Director. (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](http://www.co.contra-costa.ca.us)

## **STANDING COMMITTEES**

The **Ad Hoc Committee** (Supervisors Federal D. Glover and John Gioia) TBD

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 Candace Andersen) meets on the second Thursday of the month at 1:00 p.m. in Room 101, County

Administration Building, 651 Pine Street, Martinez.

Ad Hoc Committee	August 22, 2016	12:30 p.m.	See Above
Airports Committee	September 28, 2016	1:30 p.m.	See above
Family & Human Services Committee	August 8, 2016 cancelled September 12, 2016	1:00 p.m.	See above
Finance Committee	August 11, 2016	10:30 a.m.	See above
Hiring Outreach Oversight Committee	August 8, 2016	9:00 a.m.	See above
Internal Operations Committee	August 22, 2016	11:00 a.m.	See above
Legislation Committee	August 8, 2016	10:30 a.m.	See above
Public Protection Committee	Special Meeting August 15, 2016	12:00 p.m.	See above
Transportation, Water & Infrastructure Committee	August 11, 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: August 2, 2016

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

---

**RECOMMENDATION(S):**

1. WAIVE the 180-day “sit out period” for Richard Alexander, Director of Public Health Laboratory Services in the Health Services Department; and
2. FIND that the appointment of Mr. Alexander is necessary to fill a critically needed position; and
3. APPROVE and AUTHORIZE the hiring of County retiree Richard Alexander, as a temporary County employee for the period of August 8, 2016 to August 7, 2017.

**FISCAL IMPACT:**

Upon approval, this action has an annual cost of approximately \$6,196 and the cost will be funded by Public Health Laboratory Testing Fees.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

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

By: , Deputy

cc:

**BACKGROUND:**

The Clinical Laboratory Improvement Act (CLIA) regulates laboratory testings conducted in public health laboratories. CLIA requires that a public health laboratory must have a Laboratory Director who meets specific qualifications. In 1992, the CLIA changed the requirements of a Laboratory Director's qualifications. All Directors employed at that time were grandfathered in when more stringent qualification requirements were adopted. Richard Alexander met the qualification requirements and has been Contra Costa County's Director of Public Health Laboratory Services since 1998. In 2008, Mr. Alexander requested to be employed on a temporary basis and has been our Director of Public Health Laboratory Services since that time. This arrangement meets CLIA standards.

Richard Alexander will be retiring effective August 5, 2016 and he agreed to continue working as a temporary retiree once a month. In accordance with CLIA standards, Mr. Alexander will continue to ensure that our laboratory is meeting regulations when performing high complexity testing. Hiring back Mr. Alexander as a retiree on a temporary basis will provide the Department time to evaluate our needs, find a replacement and continue to meet CLIA requirements.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this action is not approved, the County's Public Health Laboratory will be out of CLIA compliance.

**CHILDREN'S IMPACT STATEMENT:**

Not applicable.



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Extend Temporary Hire of County Retiree in the Health Services Department

---

**RECOMMENDATION(S):**

1. FIND that the appointment of Dr. Wendell Brunner is necessary to fill a critically needed medical provider position in the Health Services Department; and
2. APPROVE and AUTHORIZE the extension of the temporary employment of retiree Dr. Wendell Brunner for the period July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

Upon approval, this action has an annual cost of approximately \$21,143 and the cost is a 100% offset by third-party revenues.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

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

By: , Deputy

cc:

#### BACKGROUND:

The Health Services Department is requesting a one (1) year-extension for the temporary employment of retiree Assistant Director of Health Services Wendell Brunner. This past year, Dr. Brunner has been working with the Behavioral Health Division Director and Alcohol and Other Drug Services Director in planning for the Organized Delivery System required for the Drug Medi-Cal (DMC) Waiver. The DMC Waiver allows the Health Services Department to obtain additional State funding which will expand treatment and recovery services for individuals with substance use disorders (SUDs). He was also heavily involved in administering Quality Improvement, Quality Management and Case Management system requirements. Prior to 2014-15, Dr. Brunner did an assessment of the Behavioral Health Division in order to identify opportunities that would integrate and streamline operations to promote a Behavioral Health System of Care, also required by the State DMC Waiver.

The DMC Waiver application and implementation process need to meet State timelines. Dr. Brunner's experience and expertise in this process is critical to ensure that the County receives State funding in a timely manner. It is anticipated that in the next several months, there will be major activities in Health Services and the expanded service delivery will start. His role could be replaced by an outside consultant(s), however they would not have his knowledge of the Division, its leaders and the County's System of Care.

#### CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, discontinuing Dr. Brunner's temporary employment as a temporary retiree hire will prevent the Division's ability to begin the expanded services as soon as possible.

#### CHILDREN'S IMPACT STATEMENT:

Not applicable.

#### ATTACHMENTS

Cost Sheet

**COST BREAKDOWN**  
**Temporary Hire - County Retiree (Extension)**  
**Assistant Director of Health Services**

20 hours per month for 12 months = 240 hours

Salary	\$18,962.64	(ANNUAL SALARY * POS)
Employer Paid Benefits*	\$2,180.70	(11.5% * SALARY)

**One Time Costs**

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Total Cost	\$21,143.34
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**ANNUAL TOTAL COST** **\$21,143.34**

\*Includes:

- 7.65% FICA
- 3.48% Workers Compensation
- 0.37% Unemployment

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<b>OVERALL ANNUAL COST</b>	<b>\$21,143.34</b>
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**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Resolution of Necessity Hearing for the Balfour Road Shoulder Widening Project Brentwood Area.

---

**RECOMMENDATION(S):**

OPEN the public hearing and ask if any notified property owners wish to be heard as to the four items specified in Section B below, CLOSE Public Hearing.

Upon completion and closing of the hearing, MAKE the findings and determinations listed under Section B below and ADOPT the attached Resolution of Necessity (No. 2016/467) to acquire the required property by eminent domain. Project No.: 0662-6R4002 [DCD-CP# 15-06]

**FISCAL IMPACT:**

100% Discovery Bay West Traffic Mitigation Funds.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Olivia D. Reynolds (925) 313-2306,  
Carmen Pina (925) 313-2012

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

By: , Deputy

cc:



## BACKGROUND:

### A. Proposed Project

Contra Costa County is undertaking its Balfour Road Shoulder Widening Project ("Project"), to improve Balfour Road, a county road, between Sellers Avenue in the City of Brentwood and Bixler Road in the Town of Discovery Bay, in eastern Contra Costa County. This segment of Balfour Road is a narrow, approximately 3-mile long, two-lane road that has substantial traffic. This segment of roadway is used as a thoroughfare between Brentwood and Discovery Bay, and it is used as a commuter route to State Route 4.

The Project will improve this segment of Balfour Road by providing standard travel lanes and shoulder widths that meet current County design standards. This segment of roadway will be widened from the current 18-to-20-foot width, to a 36-foot width. This widening will provide a 12-foot-wide travel lane, a six-foot-wide shoulder, and a two-foot-wide shoulder backing in each direction of travel on this segment of Balfour Road. The widened shoulders will provide a driver recovery area and a bike lane in each direction of travel on this segment of roadway. In addition, left-turn pockets will be added on the east and west segments of Balfour Road at the intersection of Balfour Road and Byron Highway. A left-turn pocket will be added on the western segment of Balfour Road at the intersection of Balfour Road and Bixler Road.

On December 15, 2015, this Board APPROVED the Project and ADOPTED the California Environmental Quality Act Mitigated Negative Declaration and the Mitigated Monitoring and Reporting Plan pertaining to the Project. A CEQA Notice of Determination was filed with the County Clerk on December 17, 2015.

To complete the Project, the County must acquire various property interests from eleven (11) parcels within the Project area. The County must acquire fee title to ten (10) parcels (all partial acquisitions) and three (3) temporary construction easements.

This resolution establishes the necessity of acquiring some of the property interests required for the Project. Specifically, this resolution establishes the necessity of acquiring seven (7) fee parcels and two (2) temporary construction easements in seven (7) properties, as more particularly described in Appendix "A" to the Resolution of Necessity. These property interests are required for the Project, including pre-construction utility work scheduled to begin in January 2017.

The County, through the Real Estate Division of the Public Works Department, has made an offer of just compensation to the owner or owners of the property for the property interests being acquired. Each offer was based on an appraisal of the fair market value of said property interest or interests being acquired. Negotiations to acquire the property interests identified in Appendix "A" have not been successful.

Construction of the overall project is scheduled to begin in the spring of 2017. In order to proceed with the Project, it is necessary for the County to exercise its power of eminent domain to acquire the property interests described herein.

Pursuant to Section 1245.235 of the Code of Civil Procedure, notice was given to all persons listed on the attached Exhibit "A" whose names and addresses appear on the last equalized County Assessment Roll. This notice consisted of sending by first-class and certified mail on July 14, 2016 a Notice of Intention which notified these owners that a hearing is scheduled for August 2, 2016 at 9:30 a.m. in the Board's Chambers, at which time they may appear to be heard on the matters referred to in the notice.

### B. Scope of Hearing Per C.C.P. Section 1245.235

#### 1. The public interest and necessity require the proposed Project.

This segment of Balfour Road between Sellers Avenue and Bixler Road is a narrow, approximately 3-mile long, two-lane road that receives substantial traffic and is used as a thoroughfare between Brentwood and Discovery Bay as well as a commuter route to State Route 4. The project includes installing left turn pockets on the east and

west legs of Balfour Road at Byron Highway and a left turn pocket on the west leg of Balfour Road at Bixler Road. A drainage system consisting of an open roadside ditch and underground pipe along the south side of Balfour Road will be installed to collect and convey roadside runoff. The Project is intended to improve this segment of roadway to meet current design standards. The project will improve traffic movement and the safety of persons who travel on this segment of roadway.

2. The Project is planned and located in the manner that will be most compatible with the greatest public good and the least private injury.

The Project location and design are more particularly described in the CEQA Mitigated Negative Declaration that was adopted for this Project. The Project design plan will bring the shoulders up to current design standards and provide a driver recovery area and a bike lane. The project does not increase the number of travel lanes and will therefore not increase the capacity of the roadway. The majority of the roadway widening will occur along the south side of this segment of Balfour Road. The Project alignment was selected to avoid substantial impacts to East Contra Costa Irrigation District irrigation pipelines and related facilities located on the north side of this segment of Balfour Road.

3. The properties sought to be acquired are necessary for the Project.

The property interests sought for this Project are necessary for the widening of Balfour Road between Sellers Avenue and Bixler Road, as planned. All efforts have been made to reduce physical and operational impacts to adjacent properties both during and after construction. The Project cannot be constructed as planned without the acquisition of these property interests.

4. The offer of compensation required by Section 7267.2 of the Government Code has been made to the owner or owners of record.

The County, through the Real Estate Division of the Public Works Department, has made an offer of just compensation to each owner of record for the rights required for this Project, in accordance with Government Code section 7267.2. Each offer was based on an appraisal of the fair market value of the property rights being acquired. In each case, efforts were made to acquire each required property or property right through negotiated purchase and sale instead of condemnation. Attempts to negotiate a settlement involved calls made to the property owners which were not successful, requiring the County to proceed with the adoption of this Resolution of Necessity.

CONSEQUENCE OF NEGATIVE ACTION:

The County will be unable to acquire the property interests necessary for the Project.

ATTACHMENTS

Resolution No. 2016/467

Appendix A

# THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA

## and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 08/02/2016 by the following vote:

AYE: ☐  
NO: ☐  
ABSENT: ☐  
ABSTAIN: ☐  
RECUSE: ☐



### Resolution No. 2016/467

The Board of Supervisors of Contra Costa County, California, by vote of four-fifths or more of its members, **RESOLVES** that: Pursuant to Government Code Section 25350.5 and Streets & Highways Code Section 943, Contra Costa County (County) intends to construct the Balfour Road Shoulder Widening Project (Project), in the Brentwood area of east Contra Costa County. The Project is a public improvement to Balfour Road, a county road, between Sellers Avenue in the City of Brentwood and Bixler Road in the Town of Discovery Bay, in eastern Contra Costa County. The Project will include widening this approximately three-mile-long segment of Balfour Road from its existing 18- to 20-foot pavement width, to a new pavement width of 36 feet. The Project will add a 12-foot-wide travel lane, a 6-foot wide paved shoulder/bike lane, and a 2-foot wide shoulder backing in each direction of travel on this segment of roadway. Left turn pockets will be added on the east and west segments of Balfour Road at its intersection with Byron Highway, and a left turn pocket will be added on the western segment of Balfour Road at its intersection with Bixler Road. A drainage system consisting of an open roadside ditch and underground pipe along the south side of the road will be installed to collect and convey roadside runoff. In connection with the Project, the County must acquire interests in certain real property. The property interests to be acquired consist of seven (7) separate parcels that are generally located in the Brentwood area. The property interests are more particularly described in Appendix "A", attached hereto and incorporated herein by this reference.

On July 14, 2016, notice of the County's intention to adopt a resolution of necessity for acquisition by eminent domain of the real property described in Appendix "A" was sent to persons whose names appear on the last equalized County Assessment Roll as owners of said property. The notice specified August 2, 2016, at 9:30 a.m., in the Board of Supervisors Chambers in the Administration Building, 651 Pine Street, Martinez, California, as the date, time, and place for the hearing thereon. The hearing was held on that date and at that time and place, and all interested parties were given an opportunity to be heard. Based upon the evidence presented to it, this Board finds, determines, and hereby declares the following:

1. The public interest and necessity require the proposed Project; and
2. The proposed Project is planned or located in the manner that will be most compatible with the greatest public good and the least private injury; and
3. The property described herein is necessary for the proposed Project; and
4. The offer required by Section 7267.2 of the Government Code was made to the owner or owners of record.
5. Insofar as any of the property described in this resolution has heretofore been dedicated to a public use, the acquisition and use of such property by Contra Costa County for the purposes identified herein is for a more necessary public use than the use to which the property has already been appropriated, or is for a compatible public use. This determination and finding is made and this resolution is adopted pursuant to Code of Civil Procedure Sections 1240.510 and 1240.610.
6. On December 15, 2015, this Board APPROVED the Project and ADOPTED the California Environmental Quality Act Mitigated Negative Declaration and Mitigation and Monitoring Reporting Program pertaining to this Project. The CEQA Notice of Determination was filed with the County Clerk on December 17, 2015.

NOW, THEREFORE, BE IT RESOLVED: The County Counsel of this County is hereby **AUTHORIZED** and **EMPOWERED**: To acquire in the County's name, by condemnation, the titles, easements and rights of way hereinafter described in and to said real property or interests therein, in accordance with the provisions for eminent domain in the Code of Civil Procedure and the Constitution of the State of California: Parcels 1, 2, 4, 5, 6, 7 and 8 are to be acquired in fee title; Parcels 3 and 9 are to be acquired as a temporary construction easements for a period of twelve (12) months between May 1, 2017 and April 30, 2018. To prepare and prosecute in the County's name such proceedings in the proper court as are necessary for such acquisition; and To deposit the probable amount of compensation based on an appraisal, and to apply to said court for an order permitting the County to take immediate possession and use said real property for said public uses and purposes. PASSED and ADOPTED on , by the

following vote: AYES: NOES: ABSENT: ABSTAIN: I HEREBY CERTIFY that the foregoing resolution was duly and regularly introduced, passed and adopted by the vote of four-fifths or more of the Board of Supervisors of Contra Costa County, California, at a meeting of said Board of Directors on the date indicated above. Date: \_\_\_\_\_

**Contact: Olivia D. Reynolds (925) 313-2306, Carmen Pina (925) 313-2012**

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: August 2, 2016**

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

By: , Deputy

**cc:**

## **APPENDIX "A"**

**Land descriptions** of three parcels of land in an unincorporated area of the County of Contra Costa, State of California, being a portion of the Northwest one-quarter of Section 20, Township 1 North, Range 3 East, Mount Diablo Meridian, also being a portion of Parcel C as shown on the map of Subdivision MS No. 207-71 filed December 28, 1971 in Book 20 of Parcel Maps at page 16, Contra Costa County records, described as follows:

### **Parcel 1 - Fee Title (Lindsey Nunn Houd - parcel 7)**

Beginning at the northwest corner of said Parcel C (20 PM 16), also being a point on the south right of way line of the 40 foot wide county road (Balfour Road), as approved August 9, 1887 in Road Book Vol. 1 at page 53, Contra Costa County records; thence along said south right of way line south 89°14'32" east, 84.28 feet to a point on the westerly line of the property described in the deed to Knightsen Irrigation District (Currently ECCID) recorded August 2, 1922 in Book 417 of Deeds at page 347; thence along said westerly line south 0°43'20" west, 5.00 feet; thence leaving said westerly line north 89°14'32" west, 84.29 feet to a point on the westerly line of said Parcel C (20 PM 16); thence along said westerly line north 0°52'43" east, 5.00 feet to the Point of Beginning.

Containing an area of 421 square feet of land, more or less.

### **Parcel 2 - Fee Title (Lindsey Nunn Houd - parcel 8)**

Commencing at the northwest corner of said Parcel C (20 PM 16), also being a point on the south right of way line of the 40 foot wide county road (Balfour Road), as approved August 9, 1887 in Road Book Vol. 1 at page 53, Contra Costa County records; thence along said south right of way line south 89°14'32" east, 144.28 feet to a point on the easterly line of the property described in the deed to Knightsen Irrigation District (Currently ECCID) recorded August 2, 1922 in Book 417 of Deeds at page 347, said point also being the Point of Beginning; thence from said Point of Beginning, continuing along said south right of way line south 89°14'32" east, 1079.01 feet to the easterly line of said Parcel C (20 PM 16); thence leaving said south right of way line, along said easterly line of Parcel C (20 PM 16) south 0°52'43" west, 30.00 feet; thence leaving said easterly line north 88°49'42" west, 415.44 feet; thence north 89°14'32" west, 120.00 feet; thence north 0°45'28" east, 5.00 feet; thence north 89°14'32" west, 543.50 feet to

the easterly line of said Knightsen Irrigation District property (417 Deeds 347); thence along said easterly line north 0°43'20" east, 22.00 feet to Point of Beginning.

Containing an area of 27,037 square feet of land, more or less.

**Parcel 3 - Temporary Construction Easement (Lindsey Nunn Houd - parcel 25)**

A temporary easement for a 12 month period between May 1, 2017 and April 30, 2018 for construction purposes and incidents thereto, upon, in, over and across a parcel of land described as follows:

Commencing at the northeast corner of said Parcel C (20 PM 16); thence along the easterly line of said Parcel C, south 0°52'43" west, 30.00 feet; thence leaving said easterly line, north 88°49'42" west, 265.44 feet to the Point of Beginning; thence from said Point of Beginning, south 1°10'18" west, 10.00 feet; thence north 88°49'42" west, 180.00 feet; thence north 1°10'18" east, 9.78 feet; thence south 89°14'32" east, 30.00 feet; thence south 88°49'42" east, 150.00 feet to the Point of Beginning.

Containing an area of 1,796 square feet of land, more or less.

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**Land description** of a parcel of land in an unincorporated area of the County of Contra Costa, State of California, being a portion of the Northwest one-quarter of Section 20, Township 1 North, Range 3 East, Mount Diablo Meridian, also being a portion of the property described in the deed to Rush, recorded October 29, 2013, Document Number 2013-258806, Contra Costa County records, described as follows:

**Parcel 4 - Fee Title (Casey Rush - parcel 9)**

Beginning at the northeasterly corner of Parcel B as shown on the map of Subdivision MS No. 207-71 filed December 28, 1971 in Book 20 of Parcel Maps at page 16, Contra Costa County records, being a point on the westerly line of said Rush property (2013-258806), thence along said westerly line north 0°52'43" east, 30.00 feet to a point on the south right of way line of the 40 foot wide county road (Balfour Road), as approved August 9, 1887 in Road Book Vol. 1 at page 53, Contra Costa County records; thence along said south right of way line south 89°14'32" east, 70.00 feet to the northeast corner of said Rush property (2013-258806), also being a point on the westerly terminus line of the of the 60.00 feet in width strip of land along Balfour Road dedicated to Contra Costa County for road purposes as shown on the map of Subdivision MS No. 108-78 filed February 27, 1980 in Book 84 of Parcel Maps at page 38, Contra Costa County records; thence leaving said south right of way line, along the westerly line of said road dedication (84 PM 38) south 0°52'43" west, 30.00 feet; thence leaving said westerly line north 89°14'32" west, 70.00 feet to the Point of Beginning.

Containing an area of 2,100 square feet of land, more or less.

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**Land description** of a parcel of land in an unincorporated area of the County of Contra Costa, State of California, being a portion of the Northeast one-quarter of Section 20, Township 1 North, Range 3 East, Mount Diablo Meridian, also being a portion of the property described in the deed to Coelho, recorded July 28, 1960 in Book 3670 of Official Records at page 62, Contra Costa County records, described as follows:

**Parcel 5 - Fee Title (Mathew G. Coelho & Sons, Inc. - parcel 11)**

Beginning at the northwest corner of said Coelho property (3670 OR 62), also being a point on the south right of way line of the 40 foot wide county road (Balfour Road), as approved August 9, 1887 in Road Book Vol. 1 at page 53, Contra Costa County records; thence along said south right of way south 89°11'59" east, 1664.32 feet to the northeast corner of said Coelho property (3670 OR 62), also being a point on the westerly line of the property as described in the deed to Knightsen Irrigation District (Currently ECCID) recorded February 18, 1924 in Book 470 of Deeds at page 30; thence along the easterly line of said Coelho property (3670 OR 62) south 0°58'24" west, 27.00 feet; thence leaving said easterly line north 89°11'59" west, 603.40 feet; thence south 89°02'16" west, 260.12 feet; thence north 89°11'59" west, 200.00 feet; thence north 87°33'48" west, 140.06 feet; thence north 88°19'06" west, 260.03 feet; thence north 89°11'59" west, 200.91 feet to the westerly line of said Coelho property (3670 OR 62); thence along said westerly line north 0°56'24" east, 27.00 feet to the Point of Beginning.

Containing an area of 48,937 square feet of land, more or less.

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**Land description** of a parcel of land in an unincorporated area of the County of Contra Costa, State of California, being a portion of the Northwest one-quarter of Section 21, Township 1 North, Range 3 East, Mount Diablo Meridian, also being a portion of the property described in the deed to Pedersen, recorded August 26, 2002, Document Number 2002-298574, Contra Costa County records, described as follows:

**Parcel 6 - Fee Title (Michael & Donna Pedersen - parcel 16)**

Beginning at the northeast corner of said Pedersen property (2002-298574), also being a point on the southerly line of the property as described in the deed to Knightsen Irrigation District recorded June 29, 1923 in Book 438 of Deeds at page 438; thence along said southerly line north 89°26'27" west, 467.46 feet; thence leaving said southerly line south 0°33'33" west, 5.00 feet; thence south 89°26'27" east, 467.42 feet to the east line of said Pedersen property (2002-298574); thence along said east line north 1°01'04" east, 5.00 feet to the Point of Beginning.

Containing an area of 2,337 square feet of land, more or less.

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**Land description** of a parcel of land in an unincorporated area of the County of Contra Costa, State of California, being a portion of the North one-half of Section 21, Township 1 North, Range 3 East, Mount Diablo Meridian, also being a portion of the property described in the deed to Nunn, recorded December 31, 2009, Document Number 2009-306058, Contra Costa County records, described as follows:

**Parcel 7 - Fee Title (Ron Nunn Family Limited Partnership - parcel 17)**

Beginning at the northwest corner of said Nunn property (2009-306058), also being a point on the south right of way line of the 40 foot wide county road (Balfour Road), as approved August 9, 1887 in Road Book Vol. 1 at page 53, Contra Costa County records; thence along said south right of way line south 89°26'27" east, 2952.47 feet to the northeast corner of said Nunn property (2009-306058), also being a point on the westerly right of way line of Byron Hwy; thence along said westerly right of way line south 1°09'19" west, 55.00 feet; thence leaving said westerly right of way line north 60°29'52" west, 22.72 feet; thence north 89°26'27" west, 652.43 feet; thence north 85°16'41" west, 179.09 feet; thence north 87°16'48" west, 159.12 feet; thence north 89°26'27" west, 299.56 feet; thence south 0°33'33" west, 5.00 feet; thence north 89°26'27" west, 1460.00 feet; thence south 0°33'33" west, 5.00 feet; thence north 89°26'27" west, 150.00 feet; thence south 0°33'33" west, 5.00 feet; thence north 89°26'27" west, 32.72 feet to the westerly line of said Nunn property (2009-306058); thence along said westerly line north 1°01'04" east, 40.00 feet to the Point of Beginning.

Containing an area of 98,705 square feet of land, more or less.

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**Land description** of a parcel of land in an unincorporated area of the County of Contra Costa, State of California, being a portion of the Northwest one-quarter of Section 22,



Township 1 North, Range 3 East, Mount Diablo Meridian, also being a portion of Parcel A as shown on the map of Subdivision MS No. 208-72 filed January 23, 1973 in Book 26 of Parcel Maps at page 9, Contra Costa County records, described as follows:

**Parcel 8 - Fee Title (Rene & Magdalena De Luna - parcel 19)**

Beginning at the northeast corner of said Parcel A (26 PM 9), said corner also being a point on southerly right of way line of Balfour Road, as described in the deed to Contra Costa County, recorded March 9, 1973 in Book 6884 of Official Records at page 300, Contra Costa County records; thence along said southerly right of way line north 89°09'11" west, 431.61 feet to a point on a tangent curve, concave to the southeast; thence southwesterly along said curve, having a radius of 20.00 feet, through a central angle of 45°34'23", an arc length of 15.91 feet to a point of cusp, a radial to said point bears north 44°43'34" west; thence south 89°09'11" east, 445.86 feet to the easterly line of said Parcel A (26 PM 9); thence along said easterly line north 1°09'19" east, 6.00 feet to the Point of Beginning.

Containing an area of 2,649 square feet of land, more or less.

**Including** the relinquishment of any and all abutter's rights of access along the southerly line of Parcel 19 appurtenant to grantors' remaining property, excepting therefrom a 30 foot wide Private Access adjacent to the easterly line of Parcel A as shown on said Parcel Map.

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**Land description** of a parcel of land in an unincorporated area of the County of Contra Costa, State of California, being a portion of the Southeast one-quarter of Section 17, Township 1 North, Range 3 East, Mount Diablo Meridian, also being a portion of the property described in the deed to Houd, recorded September 18, 2015, Document Number 2015-194591, Contra Costa County records, described as follows:

**Parcel 9 - Temporary Construction Easement (Laura A. Houd, TRE & Jeffrey W. Houd, TRE - parcel 27)**

A temporary easement for a 12 month period between May 1, 2017 and April 30, 2018 for construction purposes and incidents thereto, upon, in, over and across a parcel of land described as follows:

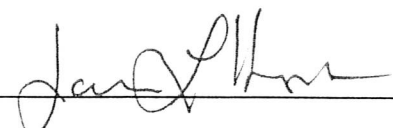
Commencing at the southeast corner of said Houd property (2015-194591), also being a point on the west line of the property described in the deed to Knightsen Irrigation

District recorded July 22, 1922 in Book 417 of Deeds at page 300, Contra Costa County records, and being a point on the north right of way line of the 40 foot wide county road (Balfour Road), as approved August 9, 1887 in Road Book Vol. 1 at page 53, Contra Costa County records; thence along said north right of way line north 89°11'59" west, 583.57 feet to the Point of Beginning; thence from said Point of Beginning, continuing along said north right of way line north 89°11'59" west, 320.00 feet; thence leaving said north right of way line north 0°48'01" east, 5.00 feet; thence south 89°11'59" east, 320.00 feet; thence south 0°48'01" west, 5.00 feet to the Point of Beginning.

Containing an area of 1,600 square feet of land, more or less.

Bearings are based on the California Coordinate System of 1983 (CCS83), Zone III.  
Distances given are ground distances.

This real property description has been prepared by me or under my direction, in conformance with the Professional Land Surveyors Act.

Signature:   
Licensed Land Surveyor  
Contra Costa County Public Works



Date: July 7, 2016



Contra  
Costa  
County

To: Board of Supervisors  
From: LEGISLATION COMMITTEE  
Date: August 2, 2016

Subject: SB 1107 (Hancock, Chiu): Political Reform Act of 1974

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**RECOMMENDATION(S):**

CONSIDER adopting a position on SB 1107 (Hancock, Chiu): Political Reform Act of 1974, a bill that allows state and local governments to offer public campaign financing programs and limits the uses of campaign funds that are held by public officials who have been convicted of various public trust crimes.

**FISCAL IMPACT:**

There is no fiscal impact related to adopting a position on the bill.

**BACKGROUND:**

A request for support of SB 1107 was received by Supervisor Andersen's office from Northern California Common Cause. There is no policy in the Board's adopted Platform that relates to this bill, so the bill was referred to the Legislation Committee for consideration. The Committee voted to forward the issue to the Board of Supervisors for discussion with no recommendation from the Committee.

SB 1107 was amended on 6/30/16 (Attachment A). The bill is pending in the Assembly Appropriations Committee. A "Fact Sheet" prepared by Common Cause is also attached (Attachment B), as is a letter of support template provided by them (Attachment C).

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☒ APPROVE

☐ OTHER

☐ RECOMMENDATION OF CNTY ADMINISTRATOR

☒ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: L. DeLaney,  
925-335-1097

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

By: , Deputy

cc:

BACKGROUND: (CONT'D)

**ASSEMBLY COMMITTEE ON ELECTIONS AND REDISTRICTING**

Shirley Weber, Chair

SB 1107

(Allen) - As Amended Ver: March 28, 2016

SENATE VOTE: 26-12

SUBJECT: Political Reform Act of 1974: public moneys: definition.

SUMMARY: Allows state and local governments to offer public campaign financing programs. Prohibits, under state law, foreign governments and foreign principals from making contributions and expenditures in connection with candidate elections. Increases the maximum monetary penalties for unlawful foreign contributions and expenditures. Limits the uses of campaign funds that are held by public officials who have been convicted of various public trust crimes. Specifically, this bill:

1) Permits state and local governmental entities to establish programs that provide for public campaign financing for candidates for elective office, if all of the following criteria have been met:

- a) The state or local governmental entity has established a dedicated fund for the purpose of providing public campaign financing for candidates for elective office;
- b) Public moneys held in the fund are available to all qualified, voluntarily participating candidates of the same office without regard to incumbency or political party preference; and,
- c) The state or local governmental entity has established criteria for determining a candidate's qualification by statute, ordinance, resolution, or charter.

2) Prohibits a foreign government or foreign principal, as defined, from making, directly or through any other person, a contribution, expenditure, or independent expenditure in connection with a state or local candidate.

3) Prohibits a person or a committee from soliciting or accepting a contribution from a foreign government or a foreign principal, as defined, in connection with a state or local candidate.

4) Increases the potential monetary penalties available for a violation of state law restricting contributions and expenditures by foreign governments and foreign principals as follows:

- a) Increases the maximum fine available in a criminal enforcement proceeding from an amount equal to the amount contributed or expended to an amount that is the greater of the following:
  - i) \$10,000; or,
  - ii) An amount equal to the amount contributed or expended.
- b) Increases the maximum fine available in a civil enforcement proceeding from an amount up to \$5,000 per violation to an amount that is the greater of the following:
  - i) \$10,000; or,
  - ii) An amount equal to the amount contributed or expended.

5) Provides that an officeholder who is convicted of a felony involving accepting or giving, or offering to give, any bribe, the embezzlement of public money, extortion or theft of public money, perjury, or conspiracy to commit any of those crimes, and whose conviction has become final, may use funds held by the officeholder's candidate

controlled committee only for the payment of outstanding campaign debts or expenses and the repayment of contributions. Requires the officeholder, six months after conviction for one of the aforementioned felonies becomes final, to forfeit any remaining funds and requires the funds to be deposited in the general fund. Provides that these provisions do not apply to funds held by a ballot measure committee or in a legal defense fund.

6) Requires the Secretary of State (SOS) to submit the provisions of this bill to the voters for approval at a statewide election, as specified.

7) Contains a severability clause.

8) Makes corresponding and technical changes.

#### EXISTING STATE LAW:

1) Creates the Fair Political Practices Commission (FPPC), and makes it responsible for the impartial, effective administration and implementation of the Political Reform Act (PRA).

2) Prohibits public officers from expending, and candidates from accepting, public moneys for the purpose of seeking elective office.

3) Prohibits a foreign government or foreign principal from making, directly or through any other person, a contribution, expenditure, or independent expenditure in connection with the qualification or support of, or opposition to, a state or local ballot measure. Prohibits a person or a committee from soliciting or accepting a contribution from a foreign government or a foreign principal in connection with the qualification or support of, or opposition to, any state or local ballot measure.

a) Defines "foreign principal," for the purposes of these restrictions, to include the following:

i) A foreign political party;

ii) A person outside the United States (US), unless either of the following is established:

(1) The person is an individual and a citizen of the US; or,

(2) The person is not an individual, and is organized under or created by the laws of the US or of any state or other place subject to the jurisdiction of the US and has its principal place of business within the US;

iii) A partnership, association, corporation, organization, or other combination of persons organized under the laws of or having its principal place of business in a foreign country; or,

iv) A domestic subsidiary of a foreign corporation if the decision to contribute or expend funds is made by an officer, director, or management employee of the foreign corporation who is neither a citizen of the US nor a lawfully admitted permanent resident of the US.

b) Provides that these restrictions do not prohibit a contribution, expenditure, or independent expenditure made by a lawfully admitted permanent resident.

c) Provides that a person who violates these provisions is guilty of a misdemeanor and shall be fined an amount equal to the amount contributed or expended.

4) Provides that contributions deposited into a candidate's campaign account are deemed to be held in trust for expenses associated with the election of the candidate or for expenses associated with holding office. Provides that an expenditure of campaign funds is within the lawful execution of this trust if the expenditure is reasonably related to a political, legislative or governmental purpose, as specified. Requires an expenditure that confers a substantial personal benefit on anyone with authority to approve the expenditure to be directly related to a

political, legislative, or governmental purpose.

5) Prohibits a person from being a candidate for, or being elected to, an elective office if the person has been convicted of a felony involving accepting or giving, or offering to give, any bribe, the embezzlement of public money, extortion or theft of public money, perjury, or conspiracy to commit any of those crimes.

6) Provides that a person who violates any provision of the PRA, except as specified, for which no specific civil penalty is provided, shall be liable in a civil action for an amount of up to \$5,000 per violation.

7) Permits the FPPC to impose administrative penalties of up to \$5,000 per violation of the PRA.

8) Requires every constitutional amendment, bond measure, or other legislative measure submitted to the people by the Legislature to appear on the ballot of the first statewide election occurring at least 131 days after the adoption of the proposal by the Legislature.

#### EXISTING FEDERAL LAW:

1) Prohibits a foreign national, directly or indirectly, from doing either of the following in connection with a federal, state, or local election:

a) Making a contribution or donation of money or other thing of value, or an express or implied promise to make a contribution or donation; or,

b) Making an expenditure, independent expenditure, or disbursement for an electioneering communication.

2) Prohibits a person from soliciting, accepting, or receiving a contribution or donation made by a foreign national in connection with a federal, state, or local election.

3) Defines "foreign national," for the purposes of the prohibitions described above, as either of the following:

a) A government of a foreign country; a foreign political party; or a partnership, association, corporation, organization, or other combination of persons organized under the laws of or having its principal place of business in a foreign country; or,

b) An individual who is not a citizen or a national of the US and who is not lawfully admitted for permanent residence in the US.

4) Establishes the Federal Election Commission (FEC), and makes it responsible for the administration and enforcement of the Federal Election Campaign Act (FECA), including the restrictions on contributions and expenditures by foreign nationals described above.

#### FISCAL EFFECT: According to the Senate Appropriations Committee analysis:

1) The FPPC indicates that it would incur first-year costs of \$167,000 and ongoing annual costs of \$160,000 to implement the provisions of the bill (General Fund).

2) One-time costs in the range of \$414,000 to \$552,000 to the SOS for printing and mailing costs to place the measure on the ballot in the next statewide election (General Fund).

#### COMMENTS:

1) Purpose of the Bill: According to the author:

In the wake of the U.S. Supreme Court's Citizens United decision, local governments are increasingly reviewing their campaign finance ordinances in order to ensure the accountability of their elections. However, most

California local governments do not have the option to offer any public funding to electoral campaigns, under an existing statewide ban.

Currently, six charter cities provide limited public funding to match small campaign contributions. These programs provide candidates with an alternative to relying on large campaign contributions and amplify the voices of everyday Californians who make small donations.

Unfortunately, other local governments are prohibited from offering public campaign funding, due to a provision adopted nearly 30 years ago as part of Proposition 73 in 1988. While charter cities such as [Los Angeles] are exempt under the state Constitution, general law cities, counties, districts, and the state government are covered by the current state ban. In fact, after voters in Sacramento County enacted public financing, the courts struck it down under Proposition 73.

SB 1107 would remove the ban on voluntary public campaign financing programs, subject to voter approval. Programs would have to meet basic criteria for fairness and accountability. SB 1107 does not create, or require any government to create, any public campaign financing program - it simply restores the option for local governments and the state.

Additionally, SB 1107 includes two other commonsense provisions to increase election accountability. The bill would require elected officials, who under current law are banned from running for office due to conviction of a specified felony such as bribery, to forfeit their campaign funds within six months, after paying debts or returning contributions, other than legal defense funds.

SB 1107 also would extend the current prohibition against foreign corporations or governments contributing to ballot measure campaigns to also include candidate campaigns, and would increase the maximum fine for violating that prohibition.

2) Public Financing and Proposition 73: In 1988, voters approved two separate campaign finance reform initiatives, Proposition 68 and Proposition 73. Proposition 68 proposed a system of public funding and expenditure limits for state legislative races, and passed with 53% of the vote. Proposition 73 prohibited public funding of campaigns and set contribution limits for state and local elections, and passed with 58% of the vote. The California State Supreme Court subsequently ruled in *Taxpayers to Limit Campaign Spending v. FPPC* (1990) 51 Cal. 3d 744, that because the two measures contained conflicting comprehensive regulatory schemes they could not be merged and only one could be implemented. As such, since Proposition 73 received more affirmative votes than Proposition 68, the Court ordered the implementation of Proposition 73 and proclaimed all provisions of Proposition 68 invalid.

In 1990, all state and local elections were conducted under the provisions of Proposition 73. Many of the provisions of Proposition 73 were ultimately ruled unconstitutional by the federal courts. The only provisions of Proposition 73 to survive legal challenge were contribution limits for special elections, restrictions on certain mass mailings by officeholders, and the prohibition on the use of public money for campaign purposes. The contribution limits for special elections that were included in Proposition 73 subsequently were repealed and replaced in another ballot measure.

Because of the public funding ban contained in Proposition 73, the state and most local governments in California do not have the option to offer public financing programs for electoral campaigns. While the California Supreme Court ruled that the public financing ban does not apply to charter cities (*Johnson v. Bradley* (1992) 4 Cal. 4th 389), a state appellate court has held that the public financing ban does apply to charter counties (*County of Sacramento v. Fair Political Practices Commission* (1990) 222 Cal. App. 3d 687). The California Constitution generally grants charter cities a greater degree of autonomy over local affairs than charter counties have, particularly with respect to local elections.

As a result, while charter cities in California can enact public campaign financing programs, general law cities, all counties, all districts, and the state government are covered by the current ban. According to information provided by the author's office, six charter cities currently provide limited public funding to match small campaign

contributions (Los Angeles, Long Beach, Oakland, Richmond, Sacramento, and San Francisco).

3) Previous Measures to Permit Public Financing: On three previous occasions, California voters have rejected ballot measures that would have repealed the prohibition against public funding of campaigns that was included in Proposition 73. In all three cases, however, the ballot measures also proposed to enact specific public financing programs for state elections--something that this bill does not propose.

Proposition 25--an initiative measure that appeared on the March 2000 statewide primary election ballot--would have provided for public financing of campaign media advertisements and voter information packets for qualifying candidates and ballot measure committees that agreed to abide by spending limits and would have repealed the PRA's prohibition against public financing systems, among other provisions. Proposition 25 failed passage, receiving 34.7% of the vote statewide.

Proposition 89--an initiative measure that appeared on the November 2006 statewide general election ballot--would have created a public financing system for candidates for elective state office, and would have repealed the PRA's prohibition against public financing systems. Proposition 89 was defeated by the voters, receiving 25.7% of the vote statewide.

Proposition 15--a measure that was placed on the June 2010 statewide primary election ballot by the Legislature--would have created a public financing pilot project for candidates for SOS, and would have repealed the PRA's prohibition against public financing systems. Proposition 15 was defeated by the voters, receiving 42.7% of the vote statewide.

4) Foreign Campaign Spending, Federal Law, and Previous Legislation: As detailed above, federal law prohibits foreign nationals from making contributions in connection with federal, state, and local elections. According to information from the FEC, "[t]he ban on political contributions and expenditures by foreign nationals was first enacted in 1966 as part of the amendments to the Foreign Agents Registration Act (FARA), an 'internal security' statute. The goal of the FARA was to minimize foreign intervention in US elections by establishing a series of limitations on foreign nationals. These included registration requirements for the agents of foreign principals and a general prohibition on political contributions by foreign nationals. In 1974, the prohibition was incorporated into [FECA], giving the [FEC] jurisdiction over its enforcement and interpretation."

Until 2002, the restriction on contributions by foreign nationals specifically applied to contributions made "in connection with an election to any political office." Because that language was limited to elections for office, it was the position of the FEC that contributions from foreign nationals relating exclusively to ballot measures were not restricted by federal law. (In 2002, the restriction on foreign contributions was amended to make it applicable to any contribution made "in connection with a Federal, State, or local election," though it is unclear whether that change was intended to cover ballot measure elections.)

In 1997, the Legislature approved and Governor Wilson signed SB 109 (Kopp), Chapter 67, Statutes of 1997, to prohibit foreign governments or foreign principals from making contributions, expenditures, or independent expenditures in connection with state or local ballot measures. The legislative history suggests that SB 109 did not seek to regulate foreign contributions made in connection with elections for office because such contributions were already restricted by federal law. Instead, SB 109 was limited to foreign spending in connection with ballot measure elections, thereby restricting foreign spending that was not covered by federal law.

Aside from the fact that state law is limited to foreign spending made in connection with ballot measures, state and federal law differ in one other important respect. While federal law restricts contributions and expenditures by foreign nationals, state law does not restrict contributions or expenditures by a foreign national who is an individual and who is legally present in the US. The initial version of SB 109 (and an unsuccessful bill from the prior legislative session) would have restricted contributions by foreign nationals who were legally present in the US, but that restriction was amended out of the bill to address opposition arguments that the restriction could be unconstitutional.

5) Recent Enforcement Action Related to Foreign Contributions: The FPPC recently brought an enforcement



action for the first time in a case involving foreign contributions made in connection with a ballot measure. That enforcement action was initiated after the FEC considered an enforcement action of its own, and declined to take action in that case.

Measure B was a Los Angeles County initiative dealing with adult film production that appeared on the ballot at the November 2012 statewide general election. In October 2012, one of the proponents of Measure B filed a complaint with the FEC alleging that the committee opposing Measure B had received contributions made by a foreign national, and further alleging that those contributions violated FECA. In August 2014, the Associate General Counsel of the FEC recommended dismissing the complaint due in part to a "lack of clear legal guidance" on whether federal law restricts contributions made by foreign nationals in connection with ballot measures. The FEC was equally divided on whether to dismiss the complaint, and in March 2015, it ultimately closed the file on the complaint without taking further action.

In July 2015, after the FEC's action to close its file, the FPPC received a sworn complaint in connection with the same matter. Last December, the FPPC reached a stipulated settlement in that case. As detailed in that settlement, Manwin USA, a Delaware-based subsidiary of Manwin International, a Luxembourg-based corporation, made contributions totaling more than \$268,000 to the committee opposing Measure B. In addition, Froytal, a Cyprus-based subsidiary of Manwin International, made a contribution of \$75,000 to the committee opposing Measure B, although that contribution subsequently was returned by the committee. Even though Manwin USA was incorporated under Delaware-law, its contributions violated California law because it was a subsidiary of a foreign corporation and the decision to contribute funds was made by an officer of the foreign corporation who was neither a US citizen nor a lawfully admitted permanent resident of the US.

The FPPC fined Manwin USA a total of \$20,000 for the unlawful contributions that it made, fined Froytal \$5,000 for the unlawful contribution that it made, and fined the committee opposing Measure B and its treasurer a total of \$20,000 for accepting unlawful contributions made by foreign principals. The FPPC also imposed an additional \$16,500 in fines for violations of reporting and disclosure laws that occurred in connection with the unlawful foreign contributions.

6) Suggested Amendments: As detailed above, this bill requires the SOS to submit its provisions to the voters for approval at a statewide election. According to the author's office, it is the author's desire for this bill to appear on the ballot at the November 2018 statewide general election.

Existing law, however, requires measures submitted to the people by the Legislature to appear on the ballot of the first statewide election occurring at least 131 days after the adoption of the proposal by the Legislature. Legislative measures that are chaptered on or before June 30, 2016, will appear on the ballot at the November 8, 2016, statewide election. Any legislative measure that is chaptered during the current legislative session, but after June 30, likely will appear on the ballot at the 2018 statewide primary election, unless the measure provides otherwise. (If the Governor called a statewide special election to be held prior to the June 2018 primary election, legislative measures could also appear on the ballot at that election.)

In order to ensure that this measure appears on the ballot at the November 2018 statewide general election, in accordance with the author's intent, committee staff recommends that this bill be amended to require the SOS to submit it to the voters at that election.

Furthermore, in order to clarify the method by which a dedicated fund may be established for the purposes of creating a public financing program, committee staff recommends the following technical amendment:

On page 3, line 8, after "purpose" insert: by statute, ordinance, resolution, or charter,

7) Related Legislation: AB 2250 (Ridley-Thomas), which is pending reconsideration on the Assembly Floor, is similar to the section of this bill that prohibits, under state law, foreign governments and foreign principals from making contributions or expenditures in connection with candidate elections. AB 2250 was approved by this committee on a 5-1 vote, but failed passage on the Assembly Floor on a 51-0 vote (54 votes were required for passage).

8) Political Reform Act of 1974: California voters passed an initiative, Proposition 9, in 1974 that created the FPPC and codified significant restrictions and prohibitions on candidates, officeholders and lobbyists. That initiative is commonly known as the PRA. Amendments to the PRA by the Legislature must further the purposes of the proposition and require a two-thirds vote of each house of the Legislature, or the Legislature may propose amendments to the proposition that do not further the purposes of the act by a majority vote, but such amendments must be approved by the voters to take effect. This bill would only take effect if approved by the voters.

REGISTERED SUPPORT / OPPOSITION:

*Support*

California Clean Money Campaign (co-sponsor)

California Common Cause (co-sponsor)

AARP

Alliance of Californians for Community Empowerment Action

American Civil Liberties Union of California

American Sustainable Business Council

Asian Americans Advancing Justice--California

Brennan Center for Justice at New York University School of Law

California Alliance for Retired Americans

California Church IMPACT

California Forward Action Fund

California League of Conservation Voters

California OneCare

California School Employees Association, AFL-CIO

CALPIRG

Campaign Legal Center

City and County of San Francisco

Courage Campaign

Franciscan Action Network

League of Women Voters of California

Los Angeles County Federation of Labor

Lutheran Office of Public Policy--California

MapLight

MOVI, Money Out Voters In

National Council of Jewish Women--California

Represent California

Represent.Us

San Francisco Bay Area Rapid Transit District

Sierra Club California

Southwest Voter Registration Education Project

UFCW Western States Council

Voices for Progress

*Opposition*

None on file.

Analysis Prepared by: Ethan Jones / E. & R. / (916) 319-2094

CONSEQUENCE OF NEGATIVE ACTION:

Contra Costa County would not have a position on the bill.

ATTACHMENTS

Attachment A: Bill Text

Attachment B: Fact Sheet

Attachment C: Letter of support template

AMENDED IN ASSEMBLY JUNE 30, 2016

AMENDED IN ASSEMBLY JUNE 21, 2016

AMENDED IN SENATE MARCH 28, 2016

## SENATE BILL

**No. 1107**

**Introduced by Senator Allen**  
**(Principal coauthor: Senator Hancock)**  
*(Principal coauthor: Assembly Member Chiu)*

February 17, 2016

An act to amend ~~Sections 85300 and 85320~~ *Section 85300* of, and to add ~~Sections 89519.5 and 91004.5~~ *Section 89519.5* to, the Government Code, relating to the Political Reform Act of 1974.

### LEGISLATIVE COUNSEL'S DIGEST

SB 1107, as amended, Allen. Political Reform Act of 1974.

Existing law prohibits a person who has been convicted of a felony involving bribery, embezzlement of public money, extortion or theft of public money, perjury, or conspiracy to commit any of those crimes, from being considered a candidate for, or elected to, a state or local elective office. Existing law, the Political Reform Act of 1974, provides that campaign funds under the control of a former candidate or elected officer are considered surplus campaign funds at a prescribed time, and it prohibits the use of surplus campaign funds except for specified purposes.

This bill would prohibit an officeholder who is convicted of one of those enumerated felonies from using funds held by that officeholder's candidate controlled committee for purposes other than certain purposes permitted for the use of surplus campaign funds. The bill would also require the officeholder to forfeit any remaining funds held 6 months

after the conviction became final, and it would direct those funds to be deposited in the General Fund.

The Political Reform Act of 1974 prohibits a public officer from expending, and a candidate from accepting, public moneys for the purpose of seeking elective office.

This bill would permit a public officer or candidate to expend or accept public moneys for the purpose of seeking elective office if the state or a local governmental entity established a dedicated fund for this purpose, as specified.

~~The act prohibits a foreign government or principal, as defined, from making a contribution or expenditure in connection with a state or local ballot measure, and it also sets forth civil and criminal penalties for violations of the act's provisions.~~

~~This bill would expand the scope of the prohibitions relating to foreign governments and principals by also prohibiting a foreign government or principal from making a contribution in support of, or opposition to, a state or local candidate. It would also permit a greater criminal penalty to be imposed for a violation of that prohibition, and it would establish the amount of a civil penalty for a violation of the prohibition.~~

A violation of the act's provisions is punishable as a misdemeanor. By expanding the scope of an existing crime, this bill would impose a state-mandated local program.

The California Constitution requires the state to reimburse local agencies and school districts for certain costs mandated by the state. Statutory provisions establish procedures for making that reimbursement.

This bill would provide that no reimbursement is required by this act for a specified reason.

~~The Political Reform Act of 1974, an initiative measure, provides that the act may be amended by a statute that becomes effective upon approval of the voters.~~

~~This bill would require the Secretary of State to submit the bill to the voters for approval at the November 6, 2018, statewide general election.~~

*The Political Reform Act of 1974, an initiative measure, provides that the Legislature may amend the act to further the act's purposes upon a <sup>2</sup>/<sub>3</sub> vote of each house and compliance with specified procedural requirements.*

*This bill would declare that it furthers the purposes of the act.*

Vote: ~~majority~~<sup>2</sup>/<sub>3</sub>. Appropriation: no. Fiscal committee: yes. State-mandated local program: yes.

*The people of the State of California do enact as follows:*

1     *SECTION 1. The Legislature finds and declares all of the*  
2     *following:*

3     *(a) All citizens should be able to make their voices heard in the*  
4     *political process and hold their elected officials accountable.*

5     *(b) Elections for local or state elective office should be fair,*  
6     *open, and competitive.*

7     *(c) The increasing costs of political campaigns can force*  
8     *candidates to rely on large contributions from wealthy donors and*  
9     *special interests, which can give those wealthy donors and special*  
10    *interests disproportionate influence over governmental decisions.*

11    *(d) Such disproportionate influence can undermine the public's*  
12    *trust that public officials are performing their duties in an impartial*  
13    *manner and that government is serving the needs and responding*  
14    *to the wishes of all citizens equally, without regard to their wealth.*

15    *(e) Special interests contribute more to incumbents than*  
16    *challengers because they seek access to elected officials, and such*  
17    *contributions account for a large portion of the financial*  
18    *incumbency advantage, as confirmed by recent studies such as*  
19    *those published in the Journal of Politics in 2014 and Political*  
20    *Research Quarterly in 2016.*

21    *(f) Citizen-funded election programs, in which qualified*  
22    *candidates can receive public funds for the purpose of*  
23    *communicating with voters rather than relying exclusively on*  
24    *private donors, have been enacted in six charter cities in*  
25    *California, as well as numerous other local and state jurisdictions.*

26    *(g) Citizen-funded election programs encourage competition*  
27    *by reducing the financial advantages of incumbency and making*  
28    *it possible for citizens from all walks of life, not only those with*  
29    *connections to wealthy donors or special interests, to run for office,*  
30    *as confirmed by recent studies such as those published in State*  
31    *Politics and Policy Quarterly in 2008, and by the Campaign*  
32    *Finance Institute in 2015 and the National Institute of Money in*  
33    *State Politics in 2016.*

34    *(h) By reducing reliance on wealthy donors and special interests,*  
35    *citizen-funded election programs inhibit improper practices,*  
36    *protect against corruption or the appearance of corruption, and*  
37    *protect the political integrity of our governmental institutions.*

(i) *In Johnson v. Bradley* (1992) 4 Cal.4th 389, the California Supreme Court commented that “it seems obvious that public money reduces rather than increases the fund raising pressures on public office seekers and thereby reduces the undue influence of special interest groups.”

(j) *In Buckley v. Valeo* (1976) 424 U.S. 1, the United States Supreme Court recognized that “public financing as a means of eliminating improper influence of large private contributions furthers a significant governmental interest.”

(k) *In Arizona Free Enterprise v. Bennett* (2011) 564 U.S. 721, the United States Supreme Court acknowledged that public financing of elections “can further ‘significant governmental interest[s]’ such as the state interest in preventing corruption,” quoting *Buckley v. Valeo*.

(l) *In Buckley v. Valeo*, the United States Supreme Court further noted that citizen-funded elections programs “facilitate and enlarge public discussion and participation in the electoral process, goals vital to a self-governing people.”

(m) The absolute prohibition on public campaign financing allows special interests to gain disproportionate influence and unfairly favors incumbents. An exception should be created to permit citizen-funded election programs so that elections may be conducted more fairly.

#### ~~SECTION 1.~~

SEC. 2. Section 85300 of the Government Code is amended to read:

85300. (a) Except as provided in subdivision (b), a public officer shall not expend, and a candidate shall not accept, any public moneys for the purpose of seeking elective office.

(b) A public officer or candidate may expend or accept public moneys for the purpose of seeking elective office if the state or a local governmental entity establishes a dedicated fund for this purpose by statute, ordinance, resolution, or charter, and both of the following are true:

(1) Public moneys held in the fund are available to all qualified, voluntarily participating candidates for the same office without regard to incumbency or political party preference.

(2) The state or local governmental entity has established criteria for determining a candidate’s qualification by statute, ordinance, resolution, or charter.

1     ~~SEC. 2. Section 85320 of the Government Code is amended~~  
2     ~~to read:~~

3     ~~85320. (a) A foreign government or foreign principal shall~~  
4     ~~not make, directly or through any other person, any contribution,~~  
5     ~~expenditure, or independent expenditure in connection with the~~  
6     ~~qualification or support of, or opposition to, a state or local~~  
7     ~~candidate or ballot measure.~~

8     ~~(b) A person or a committee shall not solicit or accept a~~  
9     ~~contribution from a foreign government or foreign principal in~~  
10    ~~connection with the qualification or support of, or opposition to,~~  
11    ~~a state or local candidate or ballot measure.~~

12    ~~(c) For the purposes of this section, a “foreign principal”~~  
13    ~~includes the following:~~

14    ~~(1) A foreign political party.~~

15    ~~(2) A person outside the United States, unless either of the~~  
16    ~~following is established:~~

17    ~~(A) The person is an individual and a citizen of the United~~  
18    ~~States.~~

19    ~~(B) The person is not an individual and is organized under or~~  
20    ~~created by the laws of the United States or of any state or other~~  
21    ~~place subject to the jurisdiction of the United States and has its~~  
22    ~~principal place of business within the United States.~~

23    ~~(3) A partnership, association, corporation, organization, or~~  
24    ~~other combination of persons organized under the laws of or having~~  
25    ~~its principal place of business in a foreign country.~~

26    ~~(4) A domestic subsidiary of a foreign corporation if the decision~~  
27    ~~to contribute or expend funds is made by an officer, director, or~~  
28    ~~management employee of the foreign corporation who is neither~~  
29    ~~a citizen of the United States nor a lawfully admitted permanent~~  
30    ~~resident of the United States.~~

31    ~~(d) This section does not prohibit a contribution, expenditure,~~  
32    ~~or independent expenditure made by a lawfully admitted permanent~~  
33    ~~resident.~~

34    ~~(e) A person who violates this section is guilty of a misdemeanor~~  
35    ~~and shall be fined the greater of ten thousand dollars (\$10,000) or~~  
36    ~~an amount equal to the amount contributed or expended.~~

37    ~~SEC. 3. Section 89519.5 is added to the Government Code, to~~  
38    ~~read:~~

39    ~~89519.5. (a) An officeholder who is convicted of a felony~~  
40    ~~enumerated in Section 20 of the Elections Code, and whose~~



conviction has become final, shall use funds held by the officeholder's candidate controlled committee only for the following purposes:

(1) The payment of outstanding campaign debts or elected officer's expenses.

(2) The repayment of contributions.

(b) Six months after the conviction becomes final, the officeholder shall forfeit any remaining funds subject to subdivision (a), and these funds shall be deposited in the General Fund.

(c) This section does not apply to funds held by a ballot measure committee or in a legal defense fund formed pursuant to Section 85304.

~~SEC. 4. Section 91004.5 is added to the Government Code, to read:~~

~~91004.5. (a) A person who intentionally violates Section 85320 is liable in a civil action brought by the civil prosecutor, for each violation, for the greater of ten thousand dollars (\$10,000) or an amount equal to the amount contributed or expended.~~

~~(b) The civil prosecutor may not bring an action pursuant to this section against a person being criminally prosecuted for a violation of Section 85320 pursuant to Section 91000.~~

~~(c) This section is applicable only to violations occurring after the effective date of this section.~~

~~SEC. 5.~~

~~SEC. 4.~~ The provisions of this bill are severable. If any provision of this bill or its application is held invalid, that invalidity shall not affect other provisions or applications that can be given effect without the invalid provision or application.

~~SEC. 6. No reimbursement is required by this act pursuant to Section 6 of Article XIII B of the California Constitution because the duties imposed on a local agency or school district by this act were expressly included in a ballot measure approved by the voters in a statewide election, within the meaning of Section 17556 of the Government Code.~~

~~SEC. 7. Notwithstanding Section 9040 of the Elections Code, the Secretary of State shall, pursuant to subdivision (b) of Section 81012 of the Government Code, submit this act to the voters for approval at the November 6, 2018, statewide general election.~~

~~SEC. 5. No reimbursement is required by this act pursuant to Section 6 of Article XIII B of the California Constitution because~~

1 *the only costs that may be incurred by a local agency or school*  
2 *district will be incurred because this act creates a new crime or*  
3 *infraction, eliminates a crime or infraction, or changes the penalty*  
4 *for a crime or infraction, within the meaning of Section 17556 of*  
5 *the Government Code, or changes the definition of a crime within*  
6 *the meaning of Section 6 of Article XIII B of the California*  
7 *Constitution.*  
8 *SEC. 6. The Legislature finds and declares that this bill furthers*  
9 *the purposes of the Political Reform Act of 1974 within the meaning*  
10 *of subdivision (a) of Section 81012 of the Government Code.*


[www.commoncause.org](http://www.commoncause.org)

## SB 1107: Strengthen Election Accountability

Voters are increasingly concerned about the influence of money in politics. According to recent polls by the Pew Research Center and *The New York Times*:

- **84%** of Americans say that money has too much influence in political campaigns today.
- **76%** say money has a greater influence on politics and elected officials than in the past.
- **85%** believe that we need to make fundamental changes or completely rebuild the system for funding political campaigns.

### SB 1107 would provide local options to strengthen election accountability

**SB 1107** (Allen) would **restore local control** over campaign finance policies.

SB 1107 would permit counties, districts, general law cities, or the state to enact citizen-funded election programs, like those already in place in six charter cities. The bill would update a 28-year-old state law, which caused courts to strike down a locally-enacted county ordinance, to restore local control.

SB 1107 *would not* create a public financing program, *would not* require any government to offer public financing, and **would not raise any taxes or fees**. It would simply permit local governments or the state the option to enact their own citizen-funded election programs, tailored to their local community.

Studies of existing citizen-funded election programs have found benefits including reducing candidates' reliance on wealthy donors and special interests, increasing the diversity of candidates and donors, encouraging greater competition, reducing the pressure for candidates to fundraise, strengthening the connections between elected officials and constituents, and fostering broader electoral participation.

SB 1107 includes protections for public accountability and political fairness. The bill would ensure that any public funds may not be used to advantage any political party or to advantage challengers or incumbents. And any system would be **voluntary: SB 1107 would allow local governments to decide**.

SB 1107 is supported by organizations including the League of Women Voters of California, Southwest Voter Registration Education Project, Asian Americans Advancing Justice – California, PICO California, Alliance of Californians for Community Empowerment, ACLU of California, and the UFCW Western States Council. As of July 5, 2016, the bill has no organizations registered in opposition.

July [REDACTED], 2016

The Honorable Ben Allen  
State Capitol, Room 2054  
Sacramento, CA 95814

RE: Senate Bill 1107 – accountable elections – SUPPORT

Dear Senator Allen,

On behalf of [REDACTED], I am writing with a letter of support for Senate Bill 1107, which would restore control to local governments and the state to enact new options for election campaign funding. Thank you for your leadership on this bill.

In response to voters' rising concern about money in politics, we believe that governments should act to strengthen the public's trust. SB 1107 would restore a crucial election accountability option to local governments by removing the ban on public campaign funds.

Citizen-funded election programs can amplify the voices of everyday Californians who donate small amounts, encourage more diverse participation, and give candidates an alternative to relying on large contributions. Although six charter cities offer limited public funds to match small campaign donations, current state law bans counties, districts, general law cities, and the state from enacted citizen-funded election programs.

SB 1107 would remove the ban on voluntary citizen-funded election programs. SB 1107 would not enact public financing, but would simply remove the ban and permit local governments or the state, if they so choose, to create public financing programs.

Voters in 1988 could have not envisioned the multi-million dollar SuperPACs that exist in 2016. It is time for the Legislature to bring our campaign finance laws into the 21st century. [REDACTED] strongly supports SB 1107 and we urge its expeditious passage.

Sincerely,

[REDACTED]



Contra  
Costa  
County

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: RESPONSE TO CIVIL GRAND JURY REPORT NO. 1602, ENTITLED "PROTECTING OUR GROUNDWATER RESOURCES"

---

**RECOMMENDATION(S):**

ADOPT report as the Board of Supervisors' response to Civil Grand Jury Report No. 1602, entitled "Protecting Our Groundwater Resources".

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

The 2015/16 Civil Grand Jury filed the above-referenced report attached, on May 10, 2016, which was reviewed by the Board of Supervisors and subsequently referred to the County Administrator and Assessor, who prepared the attached response that clearly specifies:

- A. Whether the finding or recommendation is accepted or will be implemented;
- B. If a recommendation is accepted, a statement as to who will be responsible for implementation and a definite target date;
- C. A delineation of the constraints if a recommendation is accepted but cannot be implemented within a six-month period; and
- D. The reason for not accepting or adopting a finding or recommendation.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Julie DiMaggio Enea  
(925) 335-1077

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

By: , Deputy

cc:

## BACKGROUND: (CONT'D)

>

## **FINDINGS**

F1. With the exception of Community and non-Community wells, the County is not required to provide oversight of individually owned wells; aside from permitting well construction and inspecting wells upon completion.

**Response:** *The respondent disagrees partially with the finding. The Contra Costa County Health Services Department-Environmental Health Division (EHD) has the authority to oversee the construction and destruction of water wells in the county. EHD also plays an on-going monitoring role for water wells that are part of a small water system in the county. Small water systems (community and non-community water systems) include a water system that serves two to 199 service connections. EHD does not play an on-going role for water wells that are part of medium or large water systems in the county. Those with more than 199 service connections are regulated by the State.*

*Additionally, as a result of enactment of the Sustainable Groundwater Management Act (SGMA) within the applicable groundwater basins, a Groundwater Sustainability Agency (GSA), via adoption of a Groundwater Sustainability Plan (GSP), could have oversight on individual wells that use more than 2-acre feet annually in groundwater basins designated as medium or high priority by the State. GSPs are required to be adopted prior to January 31, 2022.*

F2. Improperly maintained wells or wells that are located too close to surface contaminants or failing septic systems risk contamination, which also may lead to the contamination of neighboring wells.

**Response:** *The respondent agrees with the finding.*

F3. Improperly abandoned wells or undocumented wells can threaten groundwater quality because improper construction or maintenance may result in breaches in these wells that permit ground contaminants to reach potable water in lower water bearing strata.

**Response:** *The respondent agrees with the finding. Note, however, that most areas of the county do not contain surface contamination. The finding would be appropriate in the industrial or former industrial areas of the county. Note also that as a part of any industrial contamination investigation, a well survey is conducted and any wells that are identified are properly abandoned.*

F4. The lack of a comprehensive and readily accessible County database of wells hinders the ability to track wells to assure they are either properly maintained or correctly abandoned.

**Response:** *The respondent agrees with the finding. Laws currently exist that define abandoned wells and require their destruction. When such wells are identified, the EHD pursues corrective action/compliance. County Ordinance Code also requires that inactive wells that are to be used again be protected and marked.*

*Beyond the requirements described in state law and County ordinance, the County has no role in actively monitoring the status of water wells. Based on the response to F3, the need to pursue such a monitoring program is not needed.*

F5. EHD and the County Assessor can access DWR well log data, water district backflow preventer installation records, and related historical data that tie well locations to specific property parcels.

**Response:** *The respondent agrees with the finding. The County Assessor and EHD can access Department of Water Resources (DWR) well log data and related historical data that are made available to the County either by manually sorting through paper records or by accessing electronic data as allowed by the DWR and, likewise, water district backflow preventer installation records and related historical data as allowed by the water district.*

F6. Residents of the County who live in disadvantaged communities are more likely to have their sole potable water source come from domestic wells, which have fewer checks on water quality than municipal water sources derived from surface water. County Flood Control and EHD have the data to assess those most at risk. With this information they would be able to develop projects eligible for Proposition 1 matching grants, i.e., projects that could enhance water quality and reduce risk of well contamination during flood conditions.

**Response:** *The respondent disagrees with the finding. Most of the small water systems in the county depend on groundwater, and several of those would be included in the State description of a disadvantaged community (DAC). However, most of the small water system customers would not qualify, as they do not meet the definition of a DAC. Further, as identified in Appendix 1 of the report, most of the DACs, are in areas served by municipal water.*

*Contra Costa Flood Control does not have data to identify who is most at risk. Flood Control's clean water programs gather data on stream water quality, but not ground water quality. Also, wells should not be impacted during flood conditions, as they must conform to very strict standards to prevent surface water intrusion.*

F7. A “Groundwater Advisory Council” may coordinate stakeholders to help achieve the water-related goals and policies articulated in the County General Plan, as well as raise public awareness about groundwater issues in the County.

**Response:** *The respondent disagrees partially with the finding. Creation of an effective advisory council would be challenging given the inherent differences in water quantity and quality throughout the various parts of the county, and, thus, no unifying goals. The creation of groundwater agencies for those basins designated by DWR as high or medium priority is underway and is the best approach at this time.*

*Additionally, the SGMA already requires that any interested party may participate in the development of the GSP. In fact, the GSA shall encourage the active involvement of diverse social, cultural, and economic elements of the population within the groundwater basin prior to and during the development and implementation of the groundwater sustainability plan, see Section 10727.8 (a) of the SGMA.*

F8. There is insufficient data to confirm either a maximum sustainable withdrawal rate or storage capacity for any of the groundwater basins within the County.

**Response:** *The respondent agrees with the finding. The SGMA requires the development of a water budget that will require the GSA/GSP to identify existing groundwater use, and provides tools to sustainably manage groundwater resources.*

F9. The County can choose to support the formation of GSAs for “low” and “very low” risk basins, even though not required by the SGMA.

**Response:** *The respondent agrees with the finding. The SGMA requires that by January 31, 2022, all basins designated as high or medium priority by the DWR shall be managed under a groundwater sustainability plan (managed by a GSA), see Section 10720.7(b) of the SGMA. With respect to low and very low priority basins, the legislature merely authorizes and encourages them to be managed under a groundwater sustainability plan.*

*Contra Costa County has three medium priority basins for which there is a need to form a GSA and subsequent GSP. However, it was misreported in Grand Jury Report #1602 that the remaining basins in the County are designated “low” priority by DWR. The remaining basins within the County are designated as “very low” priority.*

F10. GSAs can be helpful in elucidating how much available groundwater exists within a defined basin; how much water can be sustainably withdrawn on an annual basis or during an emergency and in helping stakeholders reach agreement about who is entitled to withdraw from a groundwater basin.

**Response:** *The respondent disagrees partially with the finding. The GSA, through the development and adoption of the GSP and subject to the requirements of DWR, should identify 1) the existing amount of groundwater being used within a particular basin, 2) what actions are required to avoid undesirable results, and 3) other actions to sustainably manage groundwater resources.*

*How much available groundwater exists may remain unknown until such time as there are basin specific data/records that may show extremes in capacity of the basin over time.*

F11. Three GSA agencies are in the early stages of formation: one for the East Bay Plain, one that incorporates the “thumb” of the Livermore Valley Basin, and one for the Tracy Sub-Basin.

**Response:** *The respondent agrees with the finding. Additionally, to clarify, there has not been a GSA established in the county. Various local agencies (e.g. cities, counties and water districts) that overlie the East Bay Plain basin, the Livermore Valley basin, and the Tracy basin are meeting to determine whether there is support to develop and participate in the creation of a GSA.*

F12. Approximately \$100 million has been allocated by Proposition 1 (2014) to support GSAs in developing sustainability plans.

**Response:** *The respondent agrees with the finding.*

F13. Based on historical records and more recent hydrological studies, the City could access more groundwater for landscape watering and emergency purposes.

**Response:** *No response is required of the County.*

F14. To help establish the Pittsburg Plain basin’s sustainable yield and storage capacity, the City of Pittsburg could initiate formation of a GSA for this basin.

**Response:** *No response is required of the County.*

## RECOMMENDATIONS

R1. As funds are identified or become available, the Board of Supervisors should consider directing EHD to update their website alerting domestic well owners about the risks of not periodically checking the water quality of their potable water wells, and preparing an informational brochure containing the same cautionary information.

**Response:** *The recommendation has not yet been implemented, but will be implemented in the future. EHD will make water quality information directed at private well owners available on its website. The primary focus of the website will be to direct the interested web visitor to the State Water Resources Control Board website, which has links to Fact Sheets on groundwater and private domestic well-testing. Staff can make these handouts available in hard copy upon request.*

R2. As funds are identified or become available, the Board of Supervisors should consider directing appropriate County departments to review the well records and databases of DWR, water districts, and the County to document well locations, develop a countywide database, and map the locations as an overlay on the County GIS.

**Response:** *The recommendation has not yet been implemented, but will be implemented in the future. For several years now, EHD has collected geographical positioning system (GPS) information for new construction of water wells. EHD is pursuing having a student intern assist with obtaining GPS information*



*for historical water wells.*

R3. As funds are identified or become available, the County Assessor should consider verifying that the assessed value of each parcel reflects the presence or absence of wells by reviewing assembled well data and, where discrepancies between records are identified, confirming whether a well exists and its status, active or abandoned.

**Response:** *The recommendation will not be implemented because it is not warranted or reasonable. The Assessor does not need to verify or review the assessed value of each parcel or to determine well status. Pursuant to Proposition 13, every water well in the State as well as Contra Costa County was valued and included on the assessment roll with a 1975 base. Modifications to the base value triggered by actions such as new construction, removals, and changes in ownership include the value of wells in their current condition. Drilling, abandoning or removing a water well requires an EHD permit. EHD notifies the Assessor, which triggers a new assessment and new base year value reflecting the changed status of the water well.*

*Collecting, assembling, reviewing, and confirming data from many agencies would be labor intensive. Matching paper to paper and then making a field visit for verification would add to the extreme cost of this idea, making it cost prohibitive.*

R4. As funds are identified or become available, the Board of Supervisors should consider directing EHD and the County Flood Control District to jointly review proposed flood control projects to determine how to design or modify the projects to protect local wells, and the groundwater below, in DACs.

**Response:** *The recommendation will not be implemented because it is not warranted. Currently, EHD comments on any proposed project in the county and would thus do so also for any flood control project during its development. EHD reviews the project from many different environmental perspectives and water protection can be included in that without any additional direction from the Board. Further, the current standards for wells protect the ground water for all communities and do not need to be modified.*

R5. The Board of Supervisors should consider establishing a Groundwater Advisory Council to further promote public awareness about groundwater conservation and protection.

**Response:** *The recommendation will not be implemented because it is not warranted. No special council is needed at this time because 1) the groundwater basins in the county are not designated as critically over-drafted and 2) there will be a public process through the adoption of the GSP for medium priority basins located within the County. Since groundwater resources, usage and constraints vary dramatically across the county, basin-specific approaches to public engagement appear more appropriate at this time.*

R6. The Board of Supervisors should consider directing the County Water Agency to become involved in the formation of GSAs in the County and to periodically report to the Board on the status of each GSA.

**Response:** *The recommendation requires further analysis. Currently the Water Agency is participating, on behalf of the County, in meetings that may establish the County as a member in the Tracy subbasin. The Water Agency provided a report to the Board of Supervisors in April 2016, at which time the Board of Supervisors declared its intent to become a member of a GSA for the portion of the Tracy subbasin within Contra Costa County and to sustainably manage groundwater resources within the County in compliance with the SGMA, as recommended by the Transportation, Water and Infrastructure Committee. Formation of the GSA is required prior to June 2017.*

*There are many unanswered questions the County and local districts must examine over the next year, in*

*coordination with DWR and other local agencies beyond the county line, to determine how best to manage the basins that require a GSA/GSP. It should be noted that the County continues to seek adequate funding and staff to participate in the management of the three medium priority basins. It is conceivable that a new funding source for the County's possible participation in future GSA/GSPs may be identified. At present, the County's involvement in implementing SGMA is being provided by the Water Agency through a single staff person who already manages a full-time program.*

R7. The Board of Supervisors should encourage each water district whose sphere of Influence overlays “low” and “very low” priority groundwater basin in the County to form a GSA to analyze its groundwater basin and determine its potential for expansion and exploitation.

***Response:*** *The recommendation will not be implemented because it is not warranted or reasonable. While the intent of the Grand Jury may provide an opportunity to explore the use of underutilized groundwater storage (if it exists) within the “very low” priority groundwater basins in the county, it is not advisable for the Board of Supervisors to support development of GSA/GSP at this time as there are too many unknowns. Managing county groundwater resources is a new shared responsibility for the County. Three GSA/GSPs are required to be established within the county based on their designated priority. The County is participating in the establishment of GSA/GSPs for the three basins to better understand the unknowns, and recognize and learn from potential mistakes prior to encouraging water districts to go through what appears to be a lengthy and costly process.*

*Additionally, in June 2016, the DWR released new regulations that specify the required components for all groundwater sustainability plans. For the County and the local districts, a considerable amount of data will need to be developed for the required GSPs within the medium priority basins. A GSP must include a Hydrologic Conceptual Model, groundwater conditions, water budget, management areas, minimum thresholds, measurable objectives and monitoring network in order for a GSP to be accepted by the State. This is not a complete list of the requirements.*

*At this time, the overall costs and staff required to participate in the establishment of the Tracy subbasin GSA/GSP are not known because the governance structure of the GSA is incomplete and will not be required until June 2017.*

R8. As funds are identified or become available, the City should consider consulting hydrological specialists to provide advice about the best locations for accessing groundwater for landscape irrigation and emergency purposes.

***Response:*** *No response is required of the County.*

R9. As funds are identified or become available, the City of Pittsburg should consider forming a GSA for the “low priority” Pittsburg Plain groundwater basin in order to establish its practical sustainable yield and maximum storage capacity.

***Response:*** *No response is required of the County.*

## ATTACHMENTS

Civil Grand Jury Report No. 1602 "Protecting Our Groundwater Resources"

A REPORT BY  
THE 2015-2016 CONTRA COSTA COUNTY GRAND JURY  
725 Court Street  
Martinez, California 94553

Report 1602

# Protecting Our Groundwater Resources

Who's Minding the Storage?

APPROVED BY THE GRAND JURY:

Date: May 10, 2016

Michael Simmons  
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GRAND JURY FOREPERSON

ACCEPTED FOR FILING:

Date: May 6, 2016

John T. Laettner  
JOHN T. LAETTNER  
JUDGE OF THE SUPERIOR COURT

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Contra Costa County Grand Jury Report 1602

**Protecting Our Groundwater Resources**

**Who's Minding the Storage?**

**TO: Board of Supervisors, County Assessor, and City Councils for  
the Cities of El Cerrito, Pittsburg, Richmond, and San Pablo**

**SUMMARY**

Due to a fourth consecutive year of drought in California (State), residents and governmental agencies are increasingly focusing on the fact that water is a critical and limited resource. The anticipated drought relief from this year's El Niño storms has not completely remedied the drought situation. Even as the State's reservoirs fill again, many parts of the State are still experiencing a groundwater deficit. The need to use this valuable resource more wisely is clear.

Water agencies within Contra Costa County (County) are starting to more closely monitor and conserve our groundwater. Groundwater is contained within an aquifer (an underground geological formation able to store and yield water). The Sustainable Groundwater Management Act of 2014 (SGMA) mandates formation of management agencies for groundwater basins identified as 'medium' and 'high' priority by the California Department of Water Resources (DWR). Three of the eight basins that are either within or partially extend into the County have this designation: Tracy Sub-Basin; Livermore Valley Basin; and East Bay Plain Basin. For all other groundwater basins, agency formation is optional under SGMA.

This report concerns the protection of groundwater basins in the County. It concludes that more can and should be done to monitor the groundwater supply in the County, including the over 2,500 domestic water and irrigation wells, and to preserve and enhance the quantity and quality of groundwater in the County.

The Grand Jury's recommendations include:

- Preparing and distributing cautionary health information about domestic water wells.



- Identifying and mapping the existing domestic and irrigation wells in the County to check their status and safety.
- Forming a Groundwater Advisory Council to include stakeholders: (i) to support and participate in agency formation under SGMA, (ii) to advise the Board of Supervisors on the status of the wells that currently exist in our County, and (iii) to make recommendations to enhance and protect our Groundwater resources.
- Directing the Contra Costa Water Agency to participate in the formation of groundwater sustainability agencies (for both the medium and low priority groundwater basins) and the development of sustainability plans.
- Directing the Environmental Health Division (EHD) and the Flood Control District to cooperatively pursue matching grants afforded by State Proposition 1 to assist Disadvantaged Communities (DACs) to maximize groundwater protection.

## METHODOLOGY

The Grand Jury conducted interviews, attended public meetings and technical presentations, and reviewed documents. More specifically, we interviewed, and/or obtained information from sixteen senior and junior level specialists from:

- Contra Costa Assessors Office
- Contra Costa Environmental Health Division
- Contra Costa Department of Public Works
- Contra Costa Flood Control District
- Contra Costa Department of Conservation and Development
- Contra Costa Water District (CCWD)
- Diablo Water District (DWD)
- East Bay Municipal Utilities District (EBMUD), and various cities within the County that produce all or part of their domestic water supply from groundwater sources

The Grand Jury attended meetings and witnessed technical presentations at or by:

- Contra Costa Water District (CCWD)
- East Bay Municipal Utilities District (EBMUD)
- San Francisco Bay Regional Water Quality Control Board
- Bay Area Integrated Regional Water Management
- East Contra Costa County Integrated Regional Water Management
- California Water Resources Control Board
- East County Water Management Association
- East Bay Leadership Council (Water Task Force)

- Contra Costa Local Agency Formation Committee (LAFCO)
- The Board of Supervisor's Transportation, Water, and Infrastructure Committee (TWIC)

The Grand Jury studied and reviewed documents relating to water wells and groundwater issues including:

- County ordinances related to domestic wells
- The Sustainable Groundwater Management Act (the new groundwater law)
- Various groundwater basin studies prepared by Luhdorff & Scalmanini, Norfleet Consultants, and DWR, including Bulletin 118
- Water-industry standards, Government and Non-Governmental Organization (NGO) documents related to groundwater, well drilling, and groundwater quality

## BACKGROUND

The population of California has more than doubled in the past 50 years. During this time, California has experienced three periods of drought: 1976-1977; 1987-1992; and the current drought, which started in 2012.

In 2020, the 20X2020 Water Conservation Law, which mandates a reduction of water consumption by 20% per capita from the base year (2005), will come into effect. The State is currently meeting that goal because of severe drought cutbacks, but historically consumption increases (bounces back) when a drought abates.

Groundwater has always been essential in California. Due to variable precipitation and droughts, California has relied on groundwater when surface water is scarce. According to a fact sheet prepared by DWR and other water experts:

- *More than eighty percent of Californians rely, in part, on groundwater for their drinking water.*
- *Many rural areas and small urban areas rely entirely on groundwater, as well as some larger cities, such as Fresno.*
- *Even in wet years, groundwater is over a third of the state's total annual water supply and increases up to sixty percent in dry years.*
- *Groundwater basins are one of the most cost-effective and environmentally friendly places to store water locally during wet years.*
- *Collectively, groundwater basins are the state's largest reservoirs – more than ten times the size of all its surface reservoirs combined.*



- *There are eight groundwater basins that either entirely or partially underlie the "footprint" of our County.*

## **DISCUSSION**

To better identify and understand this complex subject, the report has been divided into the following sections; groundwater, wells, concerns, and path forward.

### **GROUNDWATER**

Groundwater is water that fills the pore spaces in the earth, the ground beneath your feet. By way of example, a ground water basin can be thought of as sand in a bathtub or marbles in a jar to which water is added. The coarser the material, (sand, pebbles, and gravel), the more space there is for water to be stored. This storage space is called an aquifer.

When the County was first settled, groundwater supply was sufficient for its population, but as the population grew, groundwater was impacted by the increased demands on it. This was exacerbated by periodic droughts and, in urban areas, by contamination from septic sources and diffusion of adjacent higher salinity water brought on by well over-drafting (the pumping of water from a groundwater basin or aquifer in excess of the supply flowing into the basin).

In the early part of the last century, surface waters captured and transported from the Sierra snowmelt and locally from the San Joaquin River, were tapped to provide a more reliable water source for the growing population. Nevertheless, for a significant number of families in exurban and rural areas of the County, groundwater remains an important source for both domestic and irrigation purposes. In East County, many disadvantaged communities (DACs) rely on groundwater for all or part of their water needs. Consequently, water quality issues in these areas have a greater impact in the absence of affordable water alternatives. (For more information about DACs in our County see Appendix 1)

#### **Groundwater Resources within Contra Costa County –**

The County's footprint overlays all or parts of eight groundwater basins. The shaded areas in Figure 1 below indicate the groundwater basins. The northwest corner contains the northern end of the East Bay Plain Basin. Proceeding east across the northern edge are Arroyo del Hambre Valley, Ygnacio Valley, Clayton Valley, Pittsburg Plain, and the Tracy Sub-Basin. The San Ramon Valley and (an extension of) the Livermore Valley basins are in the southwest corner of the County. Compared to more agricultural Bay Area counties, the County has much smaller and in some cases lower quality basins.



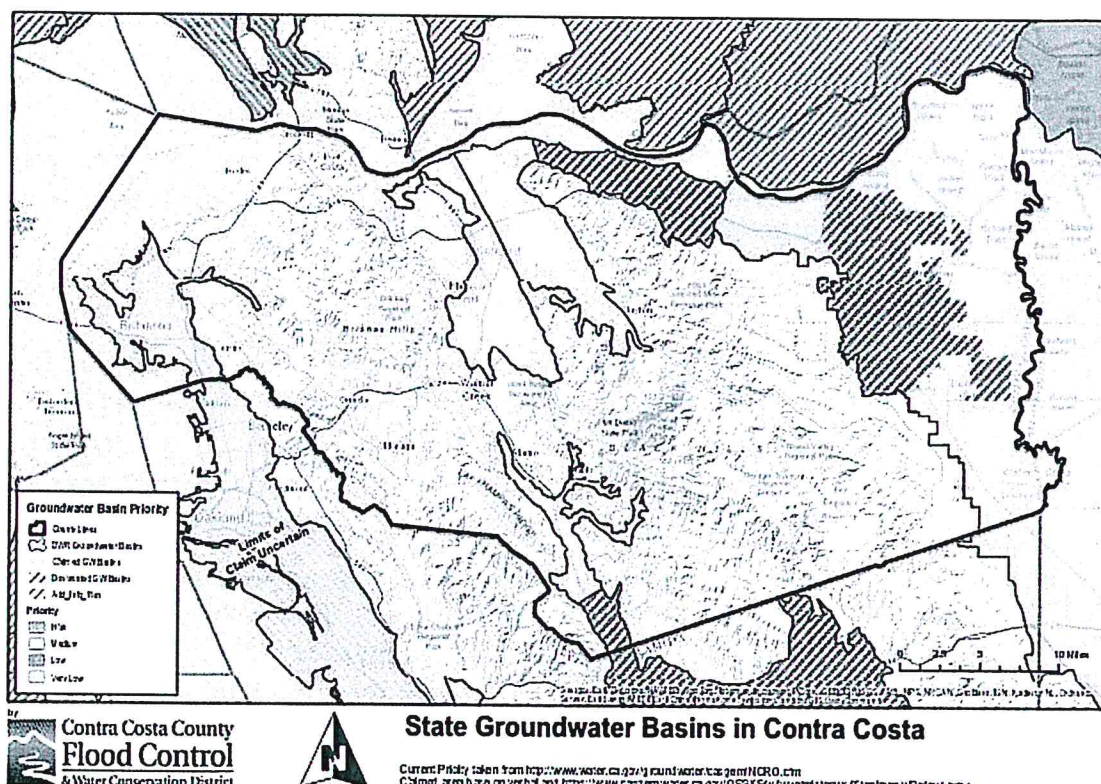


Figure 1- Groundwater Basins in Alameda and Contra Costa Counties

(Consult Table 3 in Appendix 4 for additional data obtained from DWR Bulletin 118.)

### Sustainable Groundwater Legislation –

Last year the Sonoma County Civil Grand Jury evaluated sustainable groundwater for its county. In their report, they provided the following summary of the SGMA:

*In November 2014, the State Legislature passed the Sustainable Groundwater Management Act (SGMA). It supersedes and strengthens previous legislation (AB 3030) that addressed groundwater management. It provides for the formation of Groundwater Sustainability Agencies (GSA's) to oversee each defined groundwater basin. It appropriated \$100 million toward the formation of GSA's. While only 'medium' and 'high' priority basins are required to form GSA's, the Act allows and encourages GSA formation for 'very low' and 'low' priority basins.*

Each GSA is responsible for assuring that groundwater monitoring wells reflect the true condition of the aquifer; pumping records are accurate; all necessary studies and modeling of groundwater basins have been identified and performed; and all decisions about how to achieve sustainability goals are properly validated.



While forming a GSA that is not legally mandated may appear to add an additional layer of bureaucracy, there are three potential advantages of doing so:

- (i) elucidation of how much available water exists within a defined basin;
- (ii) confirmation of how much water could be sustainably withdrawn on an annual basis or during an emergency and;
- (iii) agreement on who is entitled to withdraw from it.

For instance, if a basin confirmed to have unfilled space was intentionally charged with surplus water during wet years, basin users should agree on the rate at which the “water charger” may remove that water – for instance, a rate that would not negatively impact other basin users. It would also be important to agree that other users could not increase their withdrawal rates beyond their respective historical use. The GSA reaches, documents, and enforces these understandings and agreements

### **Planning for Groundwater Sustainability –**

To comply with the SGMA, each designated basin will need a detailed plan that addresses SGMA requirements. These requirements include:

- (i) a description of the basin’s parameters and characteristics;
- (ii) measurable objectives for achieving sustainability;
- (iii) a timeline and milestones for accomplishing the defined goals;
- (iv) provisions for monitoring and timely reporting of performance and;
- (v) verification that the plan aligns with general plans of the applicable city/cities and the County.

The Groundwater Sustainability Plan (GSP) has to consider all of the above criteria. To complete a GSP, the GSA will need to collect data on the current water extraction and recharge rates. It also needs to have studies conducted that better characterize the basin’s holding capacity, its ability to recharge, and its maximum extraction rate. SGMA provides authority for the GSA to obtain information about how much water is being extracted. Each GSA is also empowered to fund its own operations and enforce its own rules. However, stakeholders can opt out of SGMA requirements by demonstrating to the DWR that their basin is being managed sustainably.

### **Status of Groundwater Sustainability Agencies in the County –**

A GSA is currently being formed for the Tracy Sub-basin. Participants include Diablo Water District, CCWD, East Contra Costa Irrigation District, Byron-Bethany Irrigation District, the cities of Antioch and Brentwood, the Town of Discovery Bay, and the County Water Agency. The County is considering full membership in this GSA based on a recommendation by TWIC.

A GSA for the East Bay Plain basin, which is primarily within Alameda County but extends into the County, is being formed under the leadership of EBMUD. The team



working on formation of this GSA intends to work with the Contra Costa cities that overlie the basin and the County.

Previously, EBMUD had considered petitioning to sever the portion within the County from its "medium" priority status because it has limited storage capacity compared to the rest of the basin and the groundwater is degraded from salt-water intrusion in some areas. Nevertheless, the East Bay Plain basin contains producing wells, some of which are being used to water parks and public landscaping. In fact, as recently as 2009, a new well was drilled in El Cerrito. Also, the Richmond and El Cerrito General Plans acknowledge the potential benefits of using groundwater for emergencies such as an earthquake or an extended supply disruption.

Given that Richmond and San Pablo both had active municipal wells up into the 1930s that pumped over one million gallons per day, those cities might consider reassessing drilling new wells for irrigation and emergency use. According to a 1998 study produced by Norfleet Consultants, "Since [the over pumping and saltwater intrusion that occurred in the 1920-1930 era] groundwater levels have recovered and it is likely that they are now at 1880 levels or higher."

The Pittsburg Plain basin is classified as "low" priority and therefore does not require the formation of a GSA. Even though municipal wells in the Pittsburg Plain basin are extracting over 2000 acre-feet/year, the basin has historically shown itself to be sustainable. It would be useful to determine the basin's maximum capacity and suitability for enhanced storage. However, without stakeholder (municipal well owners) consensus that GSA formation would be beneficial, (and there has been none from municipal users) it would take the County's or City of Pittsburg's involvement to push agency formation forward.

The San Ramon Valley and the Ygnacio Valley basins are also classified as "low" priority. While there are slightly more than four hundred individual wells removing water from each basin, there have been no documented reports of permanent lowering of the water table. If the storage capacity of these basins were better understood, they might also be used for banking surplus water for future irrigation use. Again, GSA formation could be beneficial in establishing a mechanism for allowing such a banking plan to go forward.

#### **Constraints on Use of Groundwater within Contra Costa County –**

Water quality in parts of basins within the County has been compromised by misuse. Water quality problems include saline intrusion, toxic plumes from prior industrial activity, and the risk of introduction of new contaminants from undocumented abandoned wells. The risks of recontamination discourage cleanup of the existing groundwater basins for use as underground reservoirs and particularly affect industrial areas such as Richmond and along the northern waterfront from Martinez to Antioch.

Even where chemical pollution is only a minor concern, the overall quality of naturally

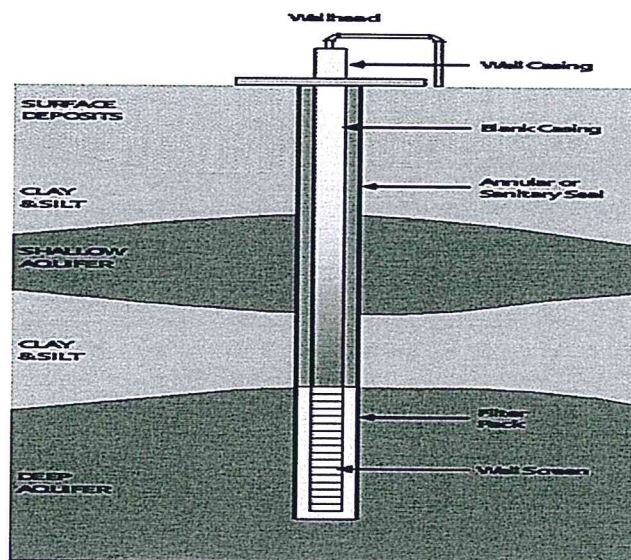
occurring water represents a problem for use and additional storage. High total dissolved solids (TDS), i.e. hardness and other naturally occurring elements and compounds (various salts, arsenic, boron, and hexavalent chromium), are issues that must be evaluated before moving forward.

The geological structure of the County's basins is inferior compared to the basins in the surrounding Bay Area counties and the large, highly permeable basins in Southern California. The latter contain thick layers of coarse sand and gravel that are ideal for water storage. Contra Costa's groundwater basins are smaller because the water-bearing layers are thinner, and often overlain with clay. The clay layers act as "aquitards" that inhibit natural recharging of the groundwater basins. However, despite these facts, significant amounts of water are currently being sustainably withdrawn to support domestic, industrial, and agricultural needs.

### **WELLS: ACCESSING GROUNDWATER IN CONTRA COSTA COUNTY**

#### **Wells and Well Drillers – (for description of different well types, see Appendix 2)**

Modern water wells have common features: a bore hole: a sleeve or liner called a "casing" that extends down the previously drilled hole to reach the aquifer; a sanitary seal that fills the annular space between the casing and the hole; a well pad on which the well head assembly rests; and the pump/motor/water conduit piping that extracts the water. Figure 2 shows a schematic representation.



*Figure 2 – Schematic Drawing Showing Completed Well (DWR)*

When a well is abandoned, it is required to be plugged with an approved material to a specified depth from the ground surface. Plugging is nothing more than removing the pump and internal piping and filling the space with the approved material.



## **Well Permitting and Inspection –**

In the mid-1980s the County passed ordinances that mandated permitting and inspection of all wells, including domestic and agricultural water wells. Since these ordinances were established to protect public health, enforcement was assigned to EHD, a branch of the County Health Department. EHD is responsible for permitting individual wells, inspecting well completions, and maintaining well records.

In order to drill wells in the County, each well drilling contractor must be bonded and possess a current (valid) state contractor's license. Both the County and the State maintain lists of licensed drillers.

EHD is responsible for monitoring and documenting one-hundred twenty small water service systems (those with up to one hundred ninety-nine service connections) that serve small communities, the public in commercial establishments, and remote regional parks.

EHD has no mandate to monitor individual households (single connection) or two related households sharing a well on the same parcel. A single test for contamination at well completion is all that is required. In comparison, most of the small systems the County monitors require routine bacteriological, chemical (including a more frequent test for nitrates), and radiological testing.

Although periodic testing and treatment of well water is recommended, private owners are not required to do so unless testing after well completion finds harmful bacteria in the water that was present prior to the drilling process.

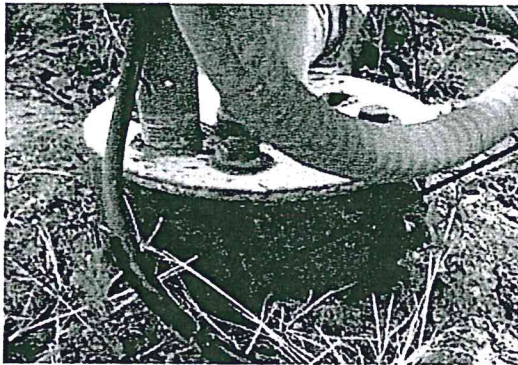
Individuals using well water are at greater risk than those using municipal water, since the well water requires minimal testing, while municipal water is tested several times a day. According to Joan Brunkard, PhD. of the Centers for Disease Control and Prevention, the lack of testing impedes researchers trying to understand the scope and severity of disease outbreaks that could be linked to contamination from septic systems.

## **Well Documentation –**

The EHD records each well completion (sealing of the well to prevent future contamination from surface or near surface water) and documents that the water source meets State water quality requirements. Each completed well record is filed in a folder. Folders are ordered by street address. Since 2002, well records have been electronically entered into a database for easier access. Older records are slowly being entered into this database as resources become available. There is no current deadline for all older records to be electronically entered. EHD staff does not know how many operational or abandoned well records are in their paper files. There may be many wells for which the County may not have documentation because EHD well records only go back to the mid-1980s.



Those undocumented wells and abandoned wells that have a breach in the casing or well head can be a potential health risk to nearby wells that are properly sealed. These compromised wells provide a "short cut" for contaminants from the earth's surface to travel to deeper water bearing zones from which drinking water is extracted. Figure 3 illustrates an entry point for contaminants.



A cracked well casing may allow surface water and contaminants into your well. One of the most common water quality issues associated with a cracked well casing is the presence of coliform bacteria. Other chemicals can also be introduced into the well through the cracked casing. Consult a water quality professional, such as a licensed well driller, to repair or replace the cracked casing.

*Figure 3 – Entry Point for Contaminated Water to Reach the Aquifer (DWR)*

As part of the well permitting process EHD notifies the County Assessor's Office when wells are put into service. The Assessor's Office shows or notes the presence of wells in the parcel files that it maintains. Such records can only be accessed manually (one at a time), which makes it difficult to identify all wells in the County since there are roughly 360,000 such records.

DWR maintains the well log records for drilling contractors going back to the early 1950s. These records document the date completed; the well type (domestic water, irrigation, monitoring, etc.); the well depth; the street address (in most cases); and, most importantly, geographic coordinates (latitude and longitude).

According to DWR's website, "In June 2015, Senate Bill 83 amended California Water Code §13752....to allow public access to Well Completion Reports. However, the law requires the DWR to comply with *The Information Practices Act of 1977*, redacting personal information from the Well Completion Reports before making them public. Since there are about 800,000 reports on file with the Department, it requires a significant effort to redact the personal data from all reports. DWR is in the process of redacting the personal information with the goal of making all Well Completion Reports available online at no charge within the next year."

There are over 17,000 wells in the County, although the majority are either monitoring wells or test wells. Test wells are usually plugged soon after completion. Domestic water and irrigation wells account for over 2500 of the total number of wells. The DWR data are organized on an Excel spreadsheet, so the active well locations can be converted into the County Geographic Information System (GIS) as a discrete overlay.

This “water well overlay” can identify the location of known water wells, as well as help confirm the status of old wells. It can also assist in locating possible abandoned wells so that they can be inspected to verify that they are correctly sealed.

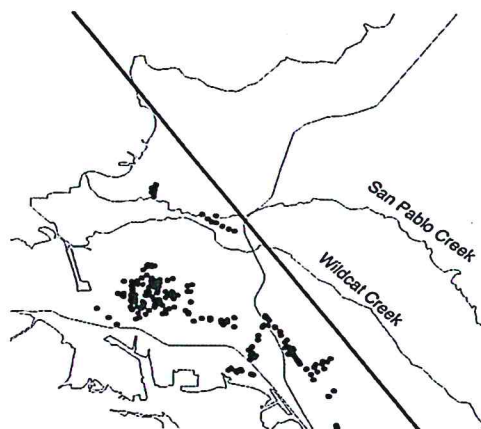
The distribution of domestic water and irrigation wells by associated groundwater basin is summarized in Table 2 in Appendix 2.

Performing a review of historical maps, United States Geographical Service (USGS) topographic maps, and old fire insurance maps (known as Sanborn Maps) also could aid in locating old wells to determine if they have been correctly abandoned.

The 1999 East Bay Plain Beneficial Use Study, prepared using data collected by Norfleet Consultants, identified the locations of wells dating back to at least 1910 in West County. Figure 4 shows the part of the data relating to West County. The black diagonal line represents the location of the Hayward Fault.

The 1999 Report recommended undertaking well abandonment programs by appropriate county agencies in areas where groundwater resources are at risk.

The 1999 Report also noted that EBMUD’s backflow preventer installation records are a good indication that backyard wells existed at those addresses. EBMUD records show that over 600 backflow preventers were installed in El Cerrito, Richmond and San Pablo. It is uncertain whether similar records are kept by other water districts within the County, which could be used to verify the existence of wells in areas served by the districts.



#### WATER WELLS IN 1910

The • indicates the location of public and private water wells in the East Bay Area in the Fall of 1910. At that time, there were approximately 3400 active wells. The data were collected by Dockweiler (1912). The map does not include wells that had been abandoned prior to 1910.

The pattern of wells provides an indication of the population density of the cities at the time. Oakland, Alameda Island, and Berkeley were well developed, while Richmond (founded in 1900), Hayward, and San Leandro were just beginning to develop.

The well locations shown on this map are approximate.

*Figure 4*  
*1910 Map showing existing public and private well in the Richmond Area*  
*(From 1998 Report Prepared by Norfleet Consultants)*

The original information collected by Dockweiler over 100 years ago was largely performed by door-to-door canvassers. It has long since been lost, but could be regathered.



## **CONCERNS**

### **Groundwater Availability –**

As California endures its fourth year of drought, there have been media reports of wells going dry and families being forced to haul water. These reports concern the Tassajara Valley in the southern part of the County where a defined groundwater basin does not supply the wells. Historically there have been problems during drought years in the area west of Briones Regional Park and along Marsh Creek Road. Last year EHD attempted to survey domestic well owners about seasonal or drought-related problems, but only received a limited response. The reason for the low response is not known but suggests that there is not a widespread issue with wells in other parts of the County.

As the drought persists, some drillers' backlogs have increased and a few have extended their workweek to 6 days to meet demand. While this might suggest an increase in construction of domestic or irrigation wells, EHD records for the County do not show this to be the case. There has only been a modest increase in well construction over the past 5 years and many of the new wells were associated with new building construction. EHD data shows that only 258 well permits were issued in the past 5 years. The peak year was 2014 when 84 permits were issued.

### **Groundwater Quality –**

DWR states that unused and abandoned wells can provide a pathway for contamination to reach aquifers used as drinking water sources. "The risk of groundwater contamination increases when other wells are operating, since pumping can draw poor quality water down the abandoned well and into the drinking water aquifer."

The lack of any testing or reporting requirement places families that are reliant on groundwater from their wells for domestic purposes at a greater risk compared to families using municipal water, who have their water tested dozens of times each day. The absence of testing is also an obstacle for researchers who are trying to understand the scope and severity of disease outbreaks that could be linked to faulty septic systems. The predominance of these issues falls within DACs.

Groundwater in the County can be high in total dissolved solids, commonly termed "hardness," and other contaminants such as arsenic, boron, chloride, hexavalent chromium and nitrates that must be filtered out or blended with higher quality water before distribution. Sometimes the limit (maximum permissible amount) on these "impurities" is driven by public health concerns. For example, the Beacon West community well on Bethel Island was recently found to contain arsenic levels more than double the current State Primary Drinking Water Standards. Previously controlled by the Department of Public Health, the maintenance of these standards now comes under the State Water Resources Control Board. Low interest loans from the State Revolving Fund were obtained in order for the community to drill a new, deeper well to reach higher quality water. Other times the "limits" are aesthetic: taste, color, odor and

usability without in-home water softening.

While lower quality groundwater is unsuitable for many uses, it may be used for irrigation. Where such water is available, it could be blended into recycled water distribution systems in summer months.

The County's stated water-related goals and policies in its current General Plan include:

- *To employ alternative drainage system improvements which rely on increased capacity to lessen or eliminate the need for structural modifications to water courses, whenever economically possible*
- *Preserve watersheds and groundwater recharge areas....*
- *Preserve and enhance the quality of surface and groundwater resources*
- *Provide development standards in recharge areas to maintain and protect the quality of groundwater supply*
- *Develop a program that fosters the participation of public agencies, private organizations, and individuals in the development of watershed management practices....*

These goals and policies confirm the County's interest in protecting its groundwater resource and in encouraging the broadest participation of its citizens in reaching those goals.

### ***THE PATH FORWARD***

While the groundwater basins within the County are not as large or productive as those in surrounding counties, these basins can contribute to the local water supply. When issues related to basin capacity, sustainable withdrawal rate, recharge, and water quality are resolved; the basins can make an important contribution during times of peak demand, extended drought or emergencies.

Thousands of domestic water and irrigation wells are known to exist throughout the County. Historical records indicate that thousands more, which cannot be fully accounted for, may have been improperly abandoned or left to deteriorate. This represents a potential public health risk that needs to be addressed.



## FINDINGS

- F1. With the exception of Community and non-Community wells, the County is not required to provide oversight of individually owned wells; aside from permitting well construction and inspecting wells upon completion.
- F2. Improperly maintained wells or wells that are located too close to surface contaminants or failing septic systems risk contamination, which also may lead to the contamination of neighboring wells.
- F3. Improperly abandoned wells or undocumented wells can threaten groundwater quality because improper construction or maintenance may result in breaches in these wells that permit ground contaminants to reach potable water in lower water bearing strata.
- F4. The lack of a comprehensive and readily accessible County database of wells hinders the ability to track wells to assure they are either properly maintained or correctly abandoned.
- F5. EHD and the County Assessor can access DWR well log data, water district backflow preventer installation records, and related historical data that tie well locations to specific property parcels.
- F6. Residents of the County who live in disadvantaged communities are more likely to have their sole potable water source come from domestic wells, which have fewer checks on water quality than municipal water sources derived from surface water. County Flood Control and EHD have the data to assess those most at risk. With this information they would be able to develop projects eligible for Proposition 1 matching grants, i.e., projects that could enhance water quality and reduce risk of well contamination during flood conditions.
- F7. A "Groundwater Advisory Council" may coordinate stakeholders to help achieve the water-related goals and policies articulated in the County General Plan, as well as raise public awareness about groundwater issues in the County.
- F8. There is insufficient data to confirm either a maximum sustainable withdrawal rate or storage capacity for any of the groundwater basins within the County.
- F9. The County can choose to support the formation of GSAs for "low" and "very low" risk basins, even though not required by the SMGA.
- F10. GSAs can be helpful in elucidating how much available groundwater exists within a defined basin; how much water can be sustainably withdrawn on an annual basis or during an emergency and in helping stakeholders reach agreement about who is entitled to withdraw from a groundwater basin.

- F11. Three GSA agencies are in the early stages of formation: one for the East Bay Plain, one that incorporates the “thumb” of the Livermore Valley Basin, and one for the Tracy Sub-Basin.
- F12. Approximately \$100 million has been allocated by Proposition 1 (2014) to support GSAs in developing sustainability plans.
- F13. Based on historical records and more recent hydrological studies, the City could access more groundwater for landscape watering and emergency purposes.
- F14. To help establish the Pittsburg Plain basin’s sustainable yield and storage capacity, the City of Pittsburg could initiate formation of a GSA for this basin.

#### **RECOMMENDATIONS:**

- R1. As funds are identified or become available, the Board of Supervisors should consider directing EHD to update their website alerting domestic well owners about the risks of not periodically checking the water quality of their potable water wells, and preparing an informational brochure containing the same cautionary information.
- R2. As funds are identified or become available, the Board of Supervisors should consider directing appropriate County departments to review the well records and databases of DWR, water districts, and the County to document well locations, develop a county-wide database, and map the locations as an overlay on the County GIS.
- R3. As funds are identified or become available, the County Assessor should consider verifying that the assessed value of each parcel reflects the presence or absence of wells by reviewing assembled well data and, where discrepancies between records are identified, confirming whether a well exists and its status, active or abandoned.
- R4. As funds are identified or become available, the Board of Supervisors should consider directing EHD and the County Flood Control District to jointly review proposed flood control projects to determine how to design or modify the projects to protect local wells, and the groundwater below, in DACs.
- R5. The Board of Supervisors should consider establishing a Groundwater Advisory Council to further promote public awareness about groundwater conservation and protection.
- R6. The Board of Supervisors should consider directing the County Water Agency to become involved in the formation of GSAs in the County and to periodically report to the Board on the status of each GSA.



- R7. The Board of Supervisors should encourage each water district whose sphere of Influence overlays “low” and “very low” priority groundwater basin in the County to form a GSA to analyze its groundwater basin and determine its potential for expansion and exploitation.
- R8. As funds are identified or become available, the City should consider consulting hydrological specialists to provide advice about the best locations for accessing groundwater for landscape irrigation and emergency purposes.
- R9. As funds are identified or become available, the City of Pittsburg should consider forming a GSA for the “low priority” Pittsburg Plain groundwater basin in order to establish its practical sustainable yield and maximum storage capacity.

## REQUIRED RESPONSES

	<u>Findings</u>	<u>Recommendations</u>
Contra Costa County Board of Supervisors	1-12	1-2, 4-7
Contra Costa County Assessor	5	3
El Cerrito City Council	13	8
Richmond City Council	13	8
San Pablo City Council	13	8
Pittsburg City Council	14	9

These responses must be provided in the format and by the date set forth in the cover letter that accompanies this report. An electronic copy of these responses in the form of a Word document should be sent by e-mail to [epant@contracosta.courts.ca.gov](mailto:epant@contracosta.courts.ca.gov) and a hard (paper) copy should be sent to:

Civil Grand Jury – Foreperson

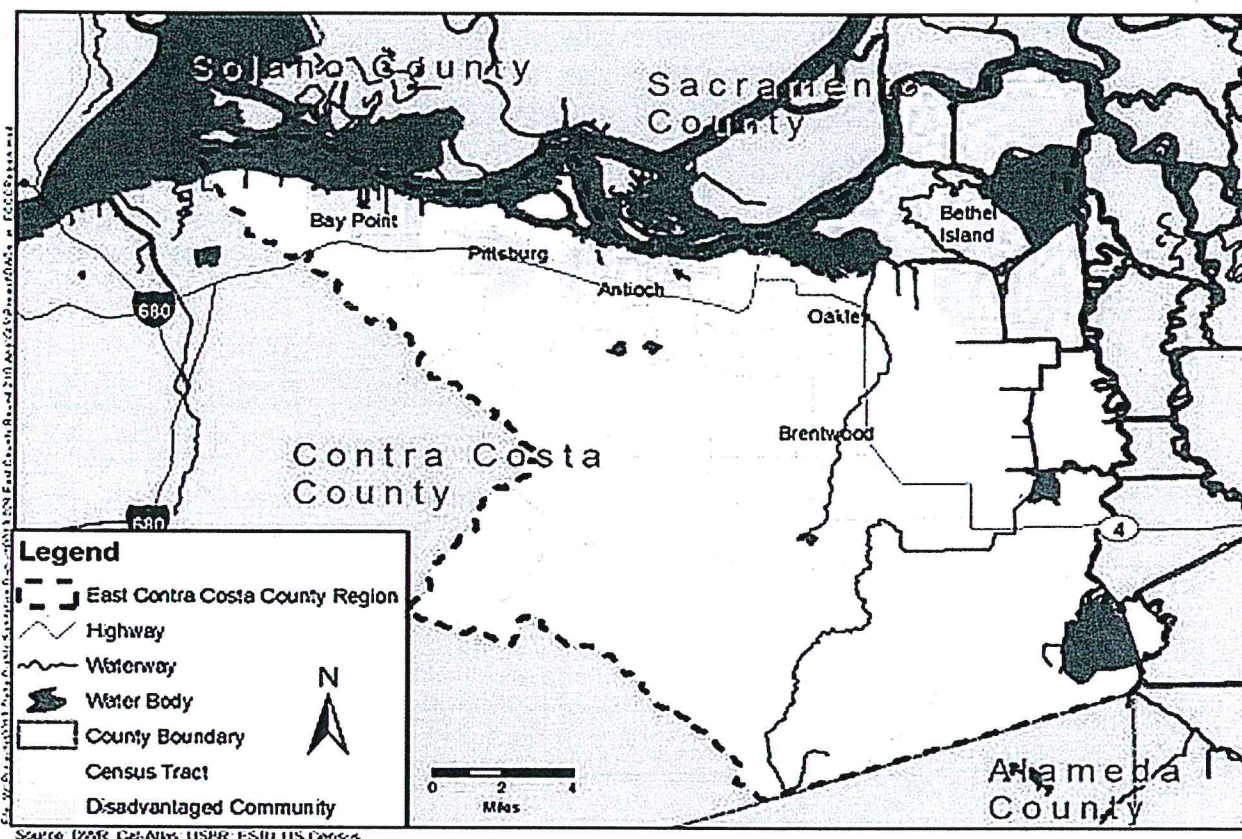
725 Court Street

P.O. Box 431

Martinez, CA 94553-0091

## APPENDIX 1

### Disadvantaged Communities in Contra Costa County



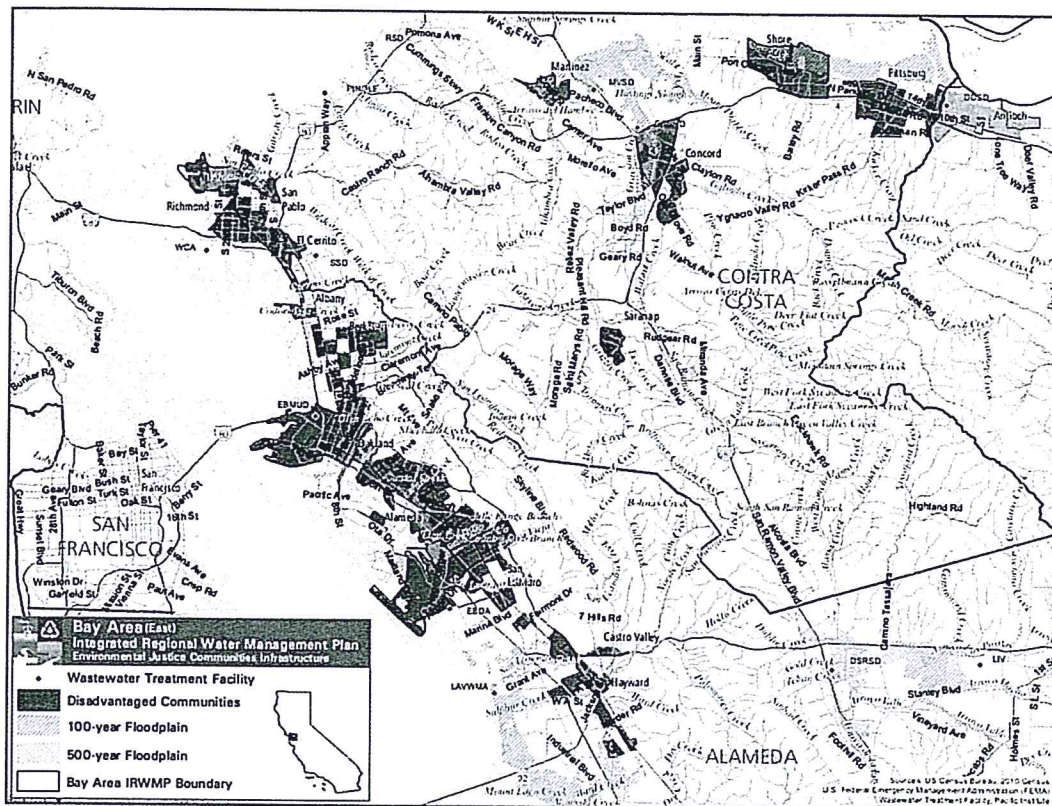
*Map of Disadvantaged Communities (DACs) in the East County Region*

The map shown above was taken from the East Contra Costa County Integrated Regional Water Management Plan (ECCIRWMP) website. The website describes DACs as follows:

According to the 2012 Proposition 84 and 1E Guidelines, a 'disadvantaged community' (DAC) is defined by the State of California as a community with an annual median household income (MHI) that is less than 80 percent of the statewide MHI (Public Resources Code (PRC), 75005(g)).

A community with an MHI of \$48,706 or less is considered a DAC. Under past grant funding applications, approximately 19% of the Region's area qualifies as DAC, while 23% of its population lives within a DAC. As of the 2015 IRWM Plan update, this number had dropped to 19% of the region's population qualified as DAC, reflecting some recovery from the recent economic downturn.





DACs in West and North County Regions  
(The map also shows portions of Alameda County)

## Critical Water Supply and Water Quality Needs of DACs in the Region –

Many water supply and water quality issues facing DACs in the Region relate to requirements to maintain drinking water quality that meets applicable standards, the threat of damage from flooding, and a strong reliance on Delta supplies. Increase costs of supplies or treatment have disproportionately adverse effects on DACs, whose limited resources may threaten their access to drinking water if costs grow too high. Bethel Island, which is entirely DAC, relies on groundwater for its drinking water. This groundwater has high levels of arsenic, and projects are currently being developed to address this issue. [Note: At least one of these projects has now been completed.]

### Issues of special concern to DACs in the Region include:

- Improved water supply reliability/reduced reliance on Delta supplies
- Water quality of groundwater supplies used to supplement Delta supplies
- Infrastructure renovations necessary to assure continued reliability of the minimum quality and quantity of water
- Affordability programs to offset the rising costs of water service
- Flood and stormwater management projects designed to protect disadvantaged communities from flooding impacts

## APPENDIX 2

### Smaller Community Wells –

EHD monitors the water quality reports required to be submitted for smaller community wells (up to 199 individual connections) and periodically visit the sites to verify their condition. Monitoring of larger water systems is the responsibility of the State. There are approximately thirty community water systems that EHD oversees. In addition, there are over ninety other smaller water systems, including commercial establishments, churches, parks, and much smaller "State Small Water Systems," that the State delegated to EHD for oversight. In some cases these systems required disinfection and filtration systems. Table 1 summarizes both community and municipal wells within the County.

#### Water Systems in Contra Costa County

Table 1

Type of System	Number of Systems	Approximate Population Served
<b>Community</b>		
Very Large (>100,000)	3	550,000
Large (10,001 – 100,000)	6	222,925
Medium (3,301 – 10,000)	0	0
Small (501 – 3,300)	0	0
Very Small (>15 connections, 0-500)	31	4,643
State Small (5-14 connections)	14	200
Local Small (2-4 connections)	27	150
<b>Non-Community</b>		
Non-Transient	15	3,650
Transient	51	4,057

*Source: Presentation by EHD to LAFCO – January 2016*



## **Municipal Wells –**

Several cities and communities, including Bay Point, Bethel Island, Brentwood, Discovery Bay, Oakley (Diablo Water), and Pittsburg, rely on groundwater for all or a portion of their potable (i.e., drinkable) water. When good quality surface water is available, it is blended with the well water to improve overall water quality.

## **Domestic and Agricultural Irrigation Wells –**

The DWR data for domestic and irrigation wells summarized in the Appendix does not include information on annual extraction rates. A rough estimate could be performed based on the well casing size, the acreage associated with the well or wells, and the type of crop grown. East Contra Costa Irrigation District (ECCID) normally uses their pre-1914 surface water “right” in lieu of pumping groundwater. In dry years it has a contract with CCWD to sell its surface water, and use groundwater for the crops that would normally get surface water irrigation. Table 2 sets forth the number and type of well for a specific groundwater basin within the County.

Well Location vs. Groundwater Basin

Table 2

<b>Ground-water Basin</b>	<b>Tracy Sub-Basin</b>	<b>Pittsburg Plain</b>	<b>Clayton Valley</b>	<b>Ygnacio Valley</b>	<b>Arroyo Del Hambre Valley</b>	<b>San Ramon Valley</b>	<b>East Bay Plain</b>	<b>Other</b>
Domestic Wells	1152	18	89	264	0	171	8	194
Irrigation Wells	111	21	18	199	2	232	9	284

## APPENDIX 3

### Notes from DWR Bulletin 118 –

#### *Arroyo del Hambre Valley, Clayton Valley, Pittsburg Plain, Tracy (Sub), and Ygnacio Valley Basins*

Within the CCWD service area, groundwater use is limited (CCWD 2011). The use of existing CCWD wells at the Mallard Well Fields is limited because of the threat of contamination from adjacent industrial areas. The City of Pittsburg operates two municipal wells from the Pittsburg Plain Groundwater Basin (Pittsburg 2011). The City of Martinez operates up to two wells in the Arroyo del Hambre Valley Groundwater Basin to provide irrigation water to a municipal park (Martinez 2011). In Bay Point, the Golden State Water Company operates three municipal wells.

#### *San Ramon Valley Groundwater Basin*

Groundwater use is limited within the San Ramon Valley Groundwater Basin located in southern Contra Costa County. Local wells are used for small agricultural activities and landscape irrigation by individual landowners.

#### *Livermore Valley Groundwater Basin*

In the Livermore Valley Groundwater Basin, Zone 7 Water Agency administers oversight of the groundwater basins used for water supply and provides water to California Water Service Company, Dublin San Ramon Services District, City of Livermore, and City of Pleasanton. Zone 7 Water Agency only withdraws groundwater that has been recharged using surface water supplies (Zone 7 2010). The California Water Service Company, Dublin San Ramon Services District, and City of Pleasanton also withdraw groundwater (California Water Service Company 2011h; DSRSD 2011; City of Livermore 2011; City of Pleasanton 2011).

Zone 7 Water Agency manages the groundwater levels and quality in the Livermore Valley Groundwater Basin to maintain groundwater levels that would avoid subsidence and provide emergency reserves for the worst credible drought (DWR 2006q, 2013d).

Zone 7 Water Agency artificially recharges the Livermore Valley Groundwater Basin with local surface water supplies and SWP water by releasing the surface waters into the Arroyo Mocho and Arroyo Valle (Zone 7 2005, 2010). The infiltrated water is then pumped from the groundwater basin for various uses, mostly during the summer and during drought periods when local surface water supplies are diminished and the available SWP water supplies are less than the entitlement value Zone 7 Water Agency, City of Livermore, City of Pleasanton, Dublin San Ramon Services District, and California Water Service Company are permitted to withdraw groundwater from this sub-basin.

In 2009, the Zone 7 Water Agency began operation of the Mocho Groundwater Demineralization Plant (Zone 7 2010). This plant is a wellhead treatment plant that produces potable water using reverse osmosis to remove TDS and hardness from the Main Basin.



## APPENDIX 4

### Summary of Groundwater Basins in Contra Costa County Information extracted from California DWR Bulletin 118 Data

Table 3

Basin Name <i>NI = No Information</i>	Pittsburg Plain	Clayton Valley	Ygnacio Valley	San Ramon Valley+thumb'of Livermore Valley	East Bay Plain within Contra Costa County	Arroyo del Hambre Valley	Tracy Sub-basin within Contra Costa County
Basin Number	2-4	2-5	2-6	2-7	2-9.4	2-31	5-22.15
Surface Area (Acres)	11,600	17,840	15,500	10,620 (est.)	7,000 (est.)	790	115,000 (est.)
Storage Capacity/ Groundwater in Storage	NI	NI	NI	NI	NI	NI	NI
Water Bearing Formations	NI	> 700 feet	> 700 feet	NI	NI	NI	NI
Groundwater Level Trends	NI	1976-1977 1987-1992 Dropped and Recovered	1976-1977 1987-1992 Dropped and Recovered	1976-1977 1987-1992 Dropped and Recovered	NI	NI	NI
Groundwater Quality	450-5737 mg/L 1821 mg/L Avg.	328-864 mg/L	NI	NI for SRV 450 mg/L Avg. for Livermore Valley	364-1420 mg/L	NI	210-7800 mg/L Higher salinity wells nearer Delta
Last Update	2004	2004	2004	2004	2004	2004	2006





**Contra  
Costa  
County**

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: Resolution No. 2016/465 Western Council of Engineers Side Letter - Extension of Agreement and Wages

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/465, approving the side letter between Contra Costa County and Western Council of Engineers to add Section 5.1.A.6 through 5.1.A.8, General Wages and replace Section 47.4, Duration of Agreement, of the Memorandum of Understanding (MOU) between Contra Costa County and Western Council of Engineers.

**FISCAL IMPACT:**

The estimated cost of the contract extension is \$30,800 for FY 2016/17 for the additional 1% wage increase for eleven months, \$134,360 for FY 2017/18 (\$33,600 for the full year of 1% and \$100,760 for 3%) , and \$235,120 for FY 2018/19 (\$33,600 for the full year of 1%,and \$100,760 for 3% in 2017/18 and 2018/19).

**BACKGROUND:**

The County and Western Council of Engineers agree to add Section 5.1.A.6 through 5.1.A.8, General Wages and replace Section 47.4, Duration of Agreement, of the Memorandum of Understanding (MOU) between Contra Costa County and Western Council of Engineers:

- a. Effective August 1, 2016, increase the base rate of pay for all classifications represented by the Union by an additional one percent (1%), members received a three percent wage increase on July 1, 2016;
- b. Effective July 1, 2017, the base rate of pay for all classifications represented by the Union will be increased by three percent (3%);

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☒ 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: August 2, 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: Harjit S. Nahal, Assistant County Auditor, Lisa Lopez, Assistant Director of Human Resources

BACKGROUND: (CONT'D)

>

- c. Effective July 1, 2018, the base rate of pay for all classifications represented by the Union will be increased by three percent (3%);
- d. and Extend the existing contract term from June 30, 2017 to June 30, 2019.

The terms of the Side Letter will be incorporated into the next MOU between the County and Western Council of Engineers. Except as specifically amended or excluded by the Side Letter, all other terms and conditions of the MOU between Contra Costa County and Western Council of Engineers (July 1, 2013 – June 30, 2017) remain unchanged.

CONSEQUENCE OF NEGATIVE ACTION:

Contract will expire June 30, 2017.

ATTACHMENTS

Resolution No. 2016/465

WCE Side Letter dated 7/14/16

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/465**

**In The Matter Of:** Approving the Side Letter between Contra Costa County and Western Council of Engineers to amend the MOU by revising section 5.1.A - General Wages and section 47.4 - Duration of Agreement.

The Contra Costa County Board of Supervisors acting in its capacity as Governing Board of the County of Contra Costa and all districts of which it is the ex-officio governing Board **RESOLVES THAT:**

Effective following approval of the Board of Supervisors, the attached Side Letter of Agreement dated July 14, 2016, between Contra Costa County and Western Council of Engineers be **ADOPTED**.

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: Lisa Driscoll, County Finance Director (925)  
335-1023**

**ATTESTED: August 2, 2016**

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

By: , Deputy

**cc:** Harjit S. Nahal, Assistant County Auditor, Lisa Lopez, Assistant Director of Human Resources

# SIDE LETTER BETWEEN CONTRA COSTA COUNTY AND WESTERN COUNCIL OF ENGINEERS

This Side Letter is by and between the Western Council of Engineers ("WCE") and the County of Contra Costa ("County") and is effective on (Date), following approval of the Board of Supervisors.

The County and WCE agree to add Sections 5.1.A.6 through 5.1.A.8, General Wages and replace Section 47.4, Duration of Agreement, of the Memorandum of Understanding (MOU) between Contra Costa County and WCE (July 1, 2013 – June 30, 2017) as follows:

## SECTION 5.1. – General Wages.

- A. 6. Effective the first of the month following ratification, the base rate of pay for all classifications represented by the Union will be increased by one percent (1%).
7. Effective July 1, 2017, the base rate of pay for all classifications represented by the Union will be increased by three percent (3%).
8. Effective July 1, 2018, the base rate of pay for all classifications represented by the Union will be increased by three percent (3%).

SECTION 47.4 – Duration of Agreement. This Agreement will continue in full force and effect from July 1, 2013 to and including June 30, 2019. Said Agreement shall automatically renew from year to year thereafter unless either party gives written notice to the other prior to sixty (60) days from the aforesaid termination date of its intention to amend, modify or terminate the Agreement.

The terms of this Side Letter will be incorporated into the next MOU between the County and WCE. Except as specifically amended or excluded by this Side Letter, all other terms and conditions of the MOU between Contra Costa County and Western Council of Engineers (July 1, 2013 – June 30, 2017) remain unchanged by this Side Letter.

Date: \_\_\_\_\_

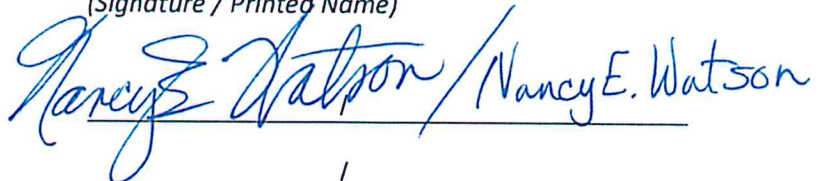
7/14/16

**Contra Costa County:**  
(Signature / Printed Name)



\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Western Council of Engineers:**  
(Signature / Printed Name)



\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



Contra  
Costa  
County

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: Memoranda of Understanding with District Attorney Investigators' Association

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/477 approving the Memorandum of Understanding between Contra Costa County and District Attorney Investigators' Association, implementing negotiated wage agreements and other terms and conditions of employment beginning July 1, 2016 through June 30, 2019.

**FISCAL IMPACT:**

The terms and conditions set forth in this action have an estimated FY 2016/17 cost of \$228,000; FY 2017/18 cost of \$433,000; and FY 2018/19 cost of \$639,000.

**BACKGROUND:**

The District Attorney Investigators' Association (DAIA) reached a Tentative Agreement with the County on July 19, 2016 and ratified the agreement on the same day. The resulting Memorandum of Understanding, which is attached, includes modifications to wages and benefits. In summary, those changes are:

**Duration of Agreement - Section 42.4**

- The term of the agreements is from July 1, 2016 through June 30, 2019.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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: Lisa Lopez, Assistant Director of Human Resources, Harjit S. Nahal, Assistant County Auditor

## BACKGROUND: (CONT'D)

>

### General Wages - Section 5.1

- Effective August 1, 2016, the base rate of pay will be increased by five percent (5.0%).
- Permanent full-time employees, employed by the County in a classification represented by the DAIA on August 1, 2016, will be paid a lump sum payment of four hundred and thirty-five dollars (\$435).
- Effective July 1, 2017, the base rate of pay will be increased by four and one-half percent (4.5%).
- Effective July 1, 2018, the base rate of pay will be increased by four and one-half percent (4.5%).

### Definitions

- Removes definition of Temporary Employment.

### Association Representatives – Section 4.2

- Increases the number of Union representatives permitted to attend meetings regarding matters within the scope of representation, from two (2) to three (3).

### Overtime – Section 7.1

- Deletes language that applies to temporary employees.

### Health, Life & Dental Care – Section 16

- Section retitled “Medical Dental, and Life Insurance.
- Deletes provisions regarding prior health plan contribution and County premium subsidy.
- Deletes information regarding County’s prior dental plan premium subsidy
- Updates provision regarding family members’ eligibility for listed dental plan subsidies.
- Deletes provision regarding vision care.
- Adds language regarding health benefit coverage for employees not otherwise covered.

### County Dental Plan Premium Subsidy on and after January 1, 2014 – Section 16.5

### Life Insurance Contributions – Section 16.9

- Removes references to provisional employment.

### Grievance Procedure – Section 22.1

- Removes references to “Human Resources Director” and replaces with “Employee Relations Officer or his/her designee.”

### Provisional Appointment – Section 27

- Deletes section regarding provisional appointments.

### Permanent-Intermittent Employee Benefits – Section 35

- Removes reference to CalPERS health plan regulations.

### Provisional Employee Benefits – Section 36

- Deletes section regarding provisional employee benefits.

## CONSEQUENCE OF NEGATIVE ACTION:

The County and DAIA will not have an agreement on a successor MOU.

## ATTACHMENTS

Resolution No. 2016/477

DAIA MOU 7/1/16 - 6/30/19



**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/477**

**In The Matter Of:** Memorandum of Understanding with District Attorney Investigators' Association, for the period of July 1, 2016 through June 30, 2019

The Contra Costa County Board of Supervisors acting in its capacity as the Governing Board of the County of Contra Costa,

**RESOLVES THAT:**

The Memorandum of Understanding (MOU) between Contra Costa County and District Attorney Investigators' Association, providing for wages, benefits and other terms and conditions of employment for the period beginning July 1, 2016 through June 30, 2019, for those classifications represented by the District Attorney Investigators' Association is ADOPTED. A copy of the MOU is 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: Lisa Driscoll, County Finance Director (925) 335-1023**

**ATTESTED: August 2, 2016**

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

By: , Deputy

**cc:** Lisa Lopez, Assistant Director of Human Resources, Harjit S. Nahal, Assistant County Auditor

**MEMORANDUM OF UNDERSTANDING**  
**BETWEEN**  
**CONTRA COSTA COUNTY**  
**AND**  
**DISTRICT ATTORNEY**  
**INVESTIGATORS' ASSOCIATION**



**JULY 1, 2016 – JUNE 30, 2019**

**DISTRICT ATTORNEY  
INVESTIGATORS' ASSOCIATION**

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**MEMORANDUM OF UNDERSTANDING  
BETWEEN  
CONTRA COSTA COUNTY  
AND  
DISTRICT ATTORNEY  
INVESTIGATORS' ASSOCIATION**

This Memorandum of Understanding (MOU) is entered into pursuant to the authority contained in Board of Supervisors Resolution 81/1165 and has been jointly prepared by the parties.

The Employee Relations Officer (County Administrator) is the representative of Contra Costa County in employer-employee relations matters as provided in Board of Supervisors Resolution 81/1165, Section 34-8.012.

The parties have met and conferred in good faith regarding wages, hours and other terms and conditions of employment for the employees in units in which the Association is the recognized representative, have freely exchanged information, opinions and proposals and have endeavored to reach agreement on all matters relating to the employment conditions and employer-employee relations covering such employees.

This MOU shall be presented to the Contra Costa County Board of Supervisors, as the governing board of the County and appropriate fire districts, as the joint recommendations of the undersigned for salary and employee benefit adjustments for the period set forth herein.

Special provisions and restrictions pertaining to Project employees covered by this MOU are contained in Attachment B which is attached hereto and made a part hereof.



## **DEFINITIONS**

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### **DEFINITIONS**

**Appointing Authority:** Department Head unless otherwise provided by statute or ordinance.

**Association:** District Attorney Investigators' Association.

**Class:** A group of positions sufficiently similar with respect to the duties and responsibilities that similar selection procedures and qualifications may apply and that the same descriptive title may be used to designate each position allocated to the group.

**Class Title:** The designation given to a class, to each position allocated to the class, and to the employees allocated to the class.

**County:** Contra Costa County.

**Demotion:** The change of a permanent employee to another position in a class allocated to a salary range for which the top step is lower than the top step of the class which the employee formerly occupied except as provided for under "Transfer" or as otherwise provided for in this MOU, in the Personnel Management Regulations, or in specific resolutions governing deep classifications.

**Director of Human Resources:** The person designated by the County Administrator to serve as the Assistant County Administrator-Director of Human Resources.

**Eligible:** Any person whose name is on an employment or reemployment or layoff list for a given classification.

**Employee:** A person who is an incumbent of a position or who is on leave of absence in accordance with provisions of this MOU and whose position is held pending his/her return.

**Employment List:** A list of persons who have been found qualified for employment in a specific class.

**Layoff List:** A list of persons who have occupied positions allocated to a class in the Merit System and who have been involuntarily separated by layoff, displacement, or demoted by displacement, or have voluntarily demoted in lieu of layoff or displacement, or have transferred in lieu of layoff or displacement.

**Permanent-Intermittent Position:** Any position which requires the services of an incumbent for an indefinite period but on an intermittent basis, as needed, paid on an hourly basis.

**Permanent Part-Time Position:** Any position which will require the services of an incumbent for an indefinite period but on a regularly scheduled less than full time basis.

**Permanent Position:** Any position which has required, or which will require the services of an incumbent without interruption, for an indefinite period.

**Project Employee:** An employee who is engaged in a time limited program or service by reason of limited or restricted funding. Such positions are typically funded from outside sources but may be funded from County revenues.

**Promotion:** The change of a permanent employee to another position in a class allocated to a salary range for which the top step is higher than the top step of the class which the employee formerly occupied, except as provided for under "Transfer" or as otherwise provided for in this MOU, in the Personnel Management Regulations, or in specific resolutions governing deep classes.

**Position:** The assigned duties and responsibilities calling for the regular full time, part-time or intermittent employment of a person.

**Reallocation:** The act of reassigning an individual position from one class to another class at the same range of the salary schedule or to a class which is allocated to another range that is within five (5%) percent of the top step, except as otherwise provided for in the Personnel Management Regulations, deep class resolutions or other ordinances.

**Reclassification:** The act of changing the allocation of a position by raising it to a higher class or reducing it to a lower class on the basis of significant changes in the kind, difficulty or responsibility of duties performed in such position.

**Reemployment List:** A list of persons, who have occupied positions allocated to any class in the merit system and, who have voluntarily separated and are qualified for consideration for reappointment under the Personnel Management Regulations governing reemployment.

**Resignation:** The voluntary termination of permanent service with the County from a position in the merit system.

**Transfer:** The change of an employee who has permanent status in a position to another position in the same class in a different department, or to another position in a class which is allocated to a range on the salary plan that is within five percent (5%) at top step as the class previously occupied by the employee.

## **SECTION 1 - ASSOCIATION RECOGNITION**

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### **SECTION 1 - ASSOCIATION RECOGNITION**

The Association is the formally recognized employee organization for the District Attorney Investigators' Unit, and such organization has been certified as such pursuant to Chapter 34-12 of Board Resolution 81/1165.

### **SECTION 2 - ASSOCIATION SECURITY**

**2.1 Dues Deduction.** Pursuant to Chapter 34-26 of Resolution 81/1165 only a majority representative may have dues deduction and as such the Association has the exclusive privilege of dues deduction for all members in its unit.

Dues deduction shall be based on the voluntary written authorization of the employee which shall remain in effect so long as the employee remains in a unit represented by the Association unless such authorization is canceled in writing by the employee in accordance with the provisions set forth in Section 2.4. The dues deduction shall be for a specified amount and uniform between members of the Association. The Association shall indemnify, defend, and hold the County harmless against any claims made and against any suit instituted against the County on account of dues deduction. The Association shall refund to the County any amounts paid to it in error upon presentation of supporting evidence.

**2.2 Dues Authorization Form.** Employees hired in classifications assigned to units represented by the Association shall as a condition of employment at the time of employment complete an Association dues authorization form provided by the Association and shall have deducted from their paychecks the membership dues of the Association. Said employees shall have thirty (30) days from the date of hire to decide if he/she does not want to become a member of the Association. Such decision not to become a member of the Association must be made in writing to the Auditor-Controller with a copy to the Employee Relations Division within said thirty (30) day period. If the employee decides not to become a member of the Association any Association dues previously deducted from the employee's paycheck shall be returned to the employee and said amount shall be deducted from the next dues deduction check sent to the Association. If the employee does not notify the County in writing of the decision not to become a member within the thirty (30) day period, he/she shall be deemed to have voluntarily agreed to pay the dues of the Association.

The dues authorization form referenced above shall include a statement that the Association and the County have entered into a MOU, that the employee is required to authorize payroll deductions of Association dues as a condition of employment, and that such authorization may be revoked within the first thirty (30) days of employment upon proper written notice by the employee within said thirty (30) day period as set forth above. Each such employee shall, upon written completion of the authorization form, receive a copy of said authorization form which shall be deemed proper notice of his/her right to revoke said authorization.

## **SECTION 2 - ASSOCIATION SECURITY**

**2.3 Maintenance of Membership.** All employees in the unit represented by the Association who are currently paying dues to the Association and all employees in such unit who hereafter become members of the Association shall as a condition of continued employment pay dues to the Association for the duration of this MOU and each year thereafter so long as the Association continues to represent the classification to which the employee is assigned, unless the employee has exercised the option to cease paying dues in accordance with Section 2.4.

**2.4 Withdrawal of Membership.** By notifying the Auditor-Controller's Department in writing, between May 1, and May 31, any employee may withdraw from Association membership and discontinue paying dues as of the payroll period commencing July 1, discontinuance of dues payments to then be reflected in the August 10, paycheck. The above withdrawal of membership can only occur in the last year of any given MOU. Immediately upon the close of the above mentioned thirty (30) day period the Auditor-Controller shall submit to the Association a list of the employees who have rescinded their authorization for dues deduction.

**2.5 Communicating With Employees.** The Association shall be allowed to use designated portions of bulletin boards or display areas in public portions of County buildings or in public portions of offices in which there are employees represented by the Association, provided the communications displayed have to do with official organization business such as times and places of meetings and further provided that the Association appropriately posts and removes the information. The Department Head reserves the right to remove objectionable materials after notification to and discussion with the Association.

Representatives of the Association, not on County time, shall be permitted to place a supply of employee literature at specific locations in County buildings if arranged through the Employee Relations Officer; said representatives may distribute employee organization literature in work areas (except work areas not open to the public) if the nature of the literature and the proposed method of distribution are compatible with the work environment and work in progress. Such placement and/or distribution shall not be performed by on duty employees.

The Association shall be allowed access to work locations in which it represents employees for the following purposes:

- a. to post literature on bulletin boards;
- b. to arrange for use of a meeting room;
- c. to leave and/or distribute a supply of literature as indicated above;
- d. to represent an employee on a grievance, and/or to contact an Association officer on a matter within the scope of representation.

In the application of this provision, it is agreed and understood that in each such instance advance arrangements including disclosure of which of the above purposes is

## **SECTION 2 - ASSOCIATION SECURITY**

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the reason for the visit, will be made with the departmental representative in charge of the work area, and the visit will not interfere with County services.

**2.6 Use of County Buildings.** The Association shall be allowed the use of areas normally used for meeting purposes for meetings of County employees during non-work hours when:

- a. Such space is available and its use by the Association is scheduled twenty-four (24) hours in advance;
- b. There is no additional cost to the County;
- c. It does not interfere with normal County operations;
- d. Employees in attendance are not on duty and are not scheduled for duty;
- e. The meetings are on matters within the scope of representation.

The administrative official responsible for the space shall establish and maintain scheduling of such uses. The Association shall maintain proper order at the meeting, and see that the space is left in a clean and orderly condition.

The use of County equipment (other than items normally used in the conduct of business meetings, such as desks, chairs, ashtrays, and blackboards) is prohibited, even though it may be present in the meeting area.

**2.7 Advance Notice.** The Association shall, except in cases of emergency, have the right to reasonable notice of any ordinance, rule, resolution or regulation directly relating to matters within the scope of representation proposed to be adopted by the Board, or boards and commissions designated by the Board, and to meet with the body considering the matter.

The listing of an item on a public agenda, or the mailing of a copy of a proposal at least seventy-two (72) hours before the item will be heard, or the delivery of a copy of the proposal at least twenty-four (24) hours before the item will be heard, shall constitute notice.

In cases of emergency when the Board, or boards and commissions designated by the Board, determines it must act immediately without such notice or meeting, it shall give notice and opportunity to meet as soon as practical after its action.

**2.8 Assignment of Classes to Bargaining Units.** The County shall assign new classes in accordance with the following procedure:

- a. Initial Determination. When a new class title is established, the Employee Relations Officer or his/her designee shall review the composition of existing representation units to determine the appropriateness of including some or all of the employees in the new class in one or more existing representation units, and

### **SECTION 3 - NO DISCRIMINATION**

within a reasonable period of time shall notify all recognized employee organizations of his/her determination.

- b. Final Determination. The Employee Relations Officer or his/her designee's determination is final unless within ten (10) days after notification a recognized employee organization requests in writing to meet and confer thereon.
- c. Meet and Confer and Other Steps. The Employee Relations Officer or his/her designee shall meet and confer with such requesting organizations (and with other recognized employee organizations where appropriate) to seek agreement on this matter within sixty (60) days after the ten (10) day period in Subsection B, unless otherwise mutually agreed. Thereafter, the procedures in cases of agreement and disagreement, arbitration referral and expenses, and criteria for determination shall conform to those in Subsections (d) through (l) of Section 34-12.008 of Board of Supervisors' Resolution 81/1165.

### **SECTION 3 - NO DISCRIMINATION**

There shall be no discrimination because of race, creed, color, national origin, sex, sexual orientation or Association activities against any employee or applicant for employment by the County or by anyone employed by the County; and to the extent prohibited by applicable State and Federal law there shall be no discrimination because of age. There shall be no discrimination against any disabled person solely because of such disability unless that disability prevents the person from meeting the minimum standards established for a position or from carrying out the duties of the position safely.

### **SECTION 4 – OFFICIAL REPRESENTATIVES**

**4.1 Attendance at Meetings.** Employees designated as official representatives of the Association shall be allowed to attend meetings held by County agencies during regular working hours on County time as follows:

- a. If their attendance is required by the County at a specific meeting;
- b. if their attendance is sought by a hearing body or presentation of testimony or other reasons;
- c. if their attendance is required for meeting(s) scheduled at reasonable times agreeable to all parties required for settlement of grievances filed pursuant to Section 22 - Grievance Procedure of this MOU;
- d. if they are designated as a grievance representative in which case they may utilize a reasonable time at each level of the proceedings to assist an employee to present a grievance, provided the meetings are scheduled at reasonable times agreeable to all parties;

## **SECTION 5 - SALARIES**

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- e. if they are designated as spokesperson or representative of the Association and as such make representations or presentations at meetings or hearings on wages, salaries and working conditions;
- f. in each case advance arrangements for time away from the employee's work station or assignment are made with the appropriate Department Head or his/her designee, and the County agency calling the meeting is responsible for determining that the attendance of the particular employee(s) is required.

The number of such representatives shall not exceed two (2) without prior approval of the department and the Employee Relations Manager.

**4.2 Association Representatives.** Official representatives of the District Attorney Investigators' Association shall be allowed time off on County time for meetings during regular working hours when formally meeting and conferring in good faith or consulting with the Employee Relations Officer or other management representatives on matters within the scope of representation, provided that the number of such representatives shall not exceed three (3) without prior approval of the department and the Employee Relations Manager, and that advance arrangements for the time away from the work station or assignment are made with the appropriate Department Head or his/her designee.

**4.3 Release Time for Training.** The County shall provide the Association a maximum of eight (8) total hours per year of release time for Association designated officers to attend Association sponsored training programs.

Requests for release time shall be provided in writing to the Department and County Human Resources Department at least fifteen (15) days in advance of the time requested. The Department Head will reasonably consider each request and notify the affected employee whether such request is approved, within one (1) week of receipt.

## **SECTION 5 - SALARIES**

### **5.1 General Wages.**

The base rate of pay for all classifications represented by the District Attorney Investigators' Association will be increased as follows:

- A. Effective August 1, 2016 or the first day of the month following ratification, whichever is later                      5% wage increase
- B. Permanent full-time employees, employed by the County in a classification represented by the DAIA on August 1, 2016, will be paid a lump sum payment of four hundred and thirty-five dollars (\$435) on September 9, 2016.
- C. Effective July 1, 2017                      4.5% wage increase
- D. Effective July 1, 2018                      4.5% wage increase

- E. The time between steps in the salary ranges will be as follows: 6 months between Step 1 and Step 2; 12 months between each of steps 2 through step 7 and 19 months between step 7 and step 8.
- F. Longevity Differential. Permanent, full-time employees who have completed twenty (20) years of Contra Costa County service are eligible to receive a two percent (2%) longevity differential effective on the first day of the month following the month in which the employee qualifies for the twenty (20) year service award. For those employees who completed twenty (20) years of service on or before April 1, 2012, this longevity differential will be paid prospectively only from April 1, 2012.

**5.2 Entrance Salary.** New employees shall generally be appointed at the minimum step of the salary range established for the particular class of position to which the appointment is made. However, the appointing authority may fill a particular position at a step above the minimum of the range.

**5.3 Anniversary Dates.** Except as may otherwise be provided for in deep class resolutions, anniversary dates will be set as follows:

- a. New Employees. The anniversary date of a new employee is the first day of the calendar month after the calendar month when the employee successfully completes six (6) months service provided however, if an employee began work on the first regularly scheduled workday of the month the anniversary date is the first day of the calendar month when the employee successfully completes six (6) months service.
- b. Promotions. The anniversary date of a promoted employee is determined as for a new employee in subsection 5.3.a above.
- c. Demotions. The anniversary date of a demoted employee is the first day of the calendar month after the calendar month when the demotion was effective.
- d. Transfers, Reallocations and Reclassifications. The anniversary date of an employee who is transferred to another position or one whose position has been reallocated or reclassified to a class allocated to the same salary range or to a salary range which is within five percent (5%) of the top step of the previous classification, remains unchanged.
- e. Reemployments. The anniversary of an employee appointed from a reemployment list to the first step of the applicable salary range and not required to serve a probation period is determined in the same way as the anniversary date is determined for a new employee who is appointed the same date, classification and step and who then successfully completes the required probationary period.
- f. Notwithstanding other provisions of this Section 5, the anniversary of an employee who is appointed to a classified position from outside the County's



## **SECTION 5 - SALARIES**

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merit system at a rate above the minimum salary for the employee's new class, or who is transferred from another governmental entity to this County's merit system, is one (1) year from the first day of the calendar month after the calendar month when the employee was appointed or transferred; provided however, when the appointment or transfer is effective on the employee's first regularly scheduled work day of that month, his/her anniversary is one (1) year after the first calendar day of that month.

- g. The anniversary date of employees on leave from their County position with or without pay, for more than three (3) months shall be extended by the appointing authority for a period of time equal to the length of time on leave. This new date shall become the employee's new anniversary date for purposes of future salary reviews.

**5.4 Increments Within Range.** The performance of each employee, except those of employees already at the maximum salary step of the appropriate salary range, shall be reviewed on the anniversary date as set forth in Section 5.3 – Anniversary Dates to determine whether the salary of the employee shall be advanced to the next higher step in the salary range. Advancement shall be granted on the affirmative recommendation of the appointing authority, based on satisfactory performance by the employee. The appointing authority may recommend unconditional denial of the increment or denial subject to one additional review at some specified date before the next anniversary which must be set at the time the original report is returned.

Except as herein provided, increments within range shall not be granted more frequently than once a year, nor shall more than one (1) step within-range increment be granted at one time, except as otherwise provided in deep-class resolutions. In case an appointing authority recommends denial of the within range increment on some particular anniversary date, but recommends a special salary review at some date before the next anniversary the special salary review shall not affect the regular salary review on the next anniversary date. Nothing herein shall be construed to make the granting of increments mandatory on the County. If the department verifies in writing that an administrative or clerical error was made in failing to submit the documents needed to advance an employee to the next salary step on the first of the month when eligible, said advancement shall be made retroactive to the first of the month when eligible.

**5.5 Part-Time Compensation.** A part-time employee shall be paid a monthly salary in the same ratio to the full time monthly rate to which the employee would be entitled as a full time employee under the provisions of this Section 5 as the number of hours per week in the employee's part-time work schedule bears to the number of hours in the full time work schedule of the department.

**5.6 Compensation for Portion of Month.** Any employee who works less than any full calendar month, except when on earned vacation or authorized sick leave, shall receive as compensation for services an amount which is in the same ratio to the established monthly rate as the number of days worked is to the actual working days in such employee's normal work schedule for the particular month; but if the employment is intermittent, compensation shall be on an hourly basis.

**5.7 Position Reclassification.** An employee who is an incumbent of a position which is reclassified to a class which is allocated to the same range of the basic salary schedule as is the class of the position before it was reclassified, shall be paid at the same step of the range as the employee received under the previous classification.

An incumbent of a position which is reclassified to a class which is allocated to a lower range of the basic salary schedule shall continue to receive the same salary as before the reclassification, but if such salary is greater than the maximum of the range of the class to which the position has been reclassified, the salary of the incumbent shall be reduced to the maximum salary for the new classification. The salary of an incumbent of a position which is reclassified to a class which is allocated to a range of the basic salary schedule greater than the range of the class of the position before it was reclassified shall be governed by the provisions of Section 5.9 - Salary on Promotion.

**5.8 Salary Reallocation & Salary on Reallocation.**

- a. In a general salary increase or decrease, an employee in a class which is allocated to a salary range above or below that to which it was previously allocated, when the number of steps remain the same, shall be compensated at the same step in the new salary range the employee was receiving in the range to which the class was previously allocated. If the reallocation is from one salary range with more steps to a range with fewer steps or vice versa, the employee shall be compensated at the step on the new range which is in the same percentage ratio to the top step of the new range as was the salary received before reallocation to the top step of the old range, but in no case shall any employee be compensated at less than the first step of the range to which the class is allocated.
- b. In the event that a classification is reallocated from a salary range with more steps to a salary range with fewer steps on the salary schedule, apart from the general salary increase or decrease described in 5.8.A above, each incumbent of a position in the reallocated class shall be placed upon the step of the new range which equals the rate of pay received before the reallocation. In the event that the steps in the new range do not contain the same rates as the old range, each incumbent shall be placed at the step of the new range which is next above the salary rate received in the old range, or if the new range does not contain a higher step, at the step which is next lower than the salary received in the old range.
- c. In the event an employee is in a position which is reallocated to a different class which is allocated to a salary range the same as above or below the salary range of the employee's previous class, the incumbent shall be placed at the step in the new class which equals the rate of pay received before reallocation. In the event that the steps in the range for the new class do not contain the same rates as the range for the old class, the incumbent shall be placed at the step of the new range which is next above the salary rate received in the old range; or if the new range does not contain a higher step, the incumbent shall be placed at the step which is next lower than the salary received in the old range.

## **SECTION 5 - SALARIES**

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- d. In the event of reallocation to a deep class, the provisions of the deep class resolution and incumbent salary allocations, if any, shall supersede this Section 5.8.

**5.9 Salary on Promotion.** Any employee who is appointed to a position of a class allocated to a higher salary range than the class previously occupied, except as provided under Section 5.12 – Transfer shall receive the salary in the new salary range which is next higher than the rate received before promotion. In the event this increase is less than five percent (5%), the employee's salary shall be adjusted to the step in the new range which is at least five percent (5%) greater than the next higher step; provided however that the next step shall not exceed the maximum salary for the higher class.

In the event of the appointment of a laid off employee from the layoff list to the class from which the employee was laid off, the employee shall be appointed at the step which the employee had formerly attained in the higher class unless such step results in a decrease, in which case the employee is appointed to the next higher step. If however, the employee is being promoted into a class allocated to a higher salary range than the class from which the employee was laid off, the salary on promotion will be calculated from the highest step the employee achieved prior to layoff.

**5.10 Salary on Involuntary Demotion.** Any employee who is demoted, except as provided under Section 5.12 - Transfer, shall have his/her salary reduced to the monthly salary step in the range for the class of position to which he has been demoted next lower than the salary received before demotion. In the event this decrease is less than five percent (5%), the employee's salary shall be adjusted to the step in the new range which is five percent (5%) less than the next lower step; provided, however, that the next step shall not be less than the minimum salary for the lower class.

Whenever the demotion is the result of layoff, cancellation of positions or displacement by another employee with greater seniority rights, the salary of the demoted employee shall be that step on the salary range which he/she would have achieved had he/she been continuously in the position to which he/she has been demoted, all within-range increments having been granted.

**5.11 Salary on Voluntary Demotion.** Whenever any employee voluntarily demotes to a position in a class having a salary schedule lower than that of the class from which he/she demotes, his/her salary shall remain the same if the steps in his/her new (demoted) salary range permit, and if not, the new salary shall be set at the step next below former salary.

**5.12 Transfer.** An employee who is transferred from one position to another as described under "Transfer" shall be placed at the step in the salary range of the new class which equals the rate of pay received before the transfer. In the event that the steps in the range for the new class do not contain the same rates as the range for the old class, the employee shall be placed at the step of the new range which is next above the salary rate received in the old range; or if the new range does not contain a higher step, the employee shall be placed at the step which is next lower than the salary received in the old range. If the transfer is to a deep class, the provisions of the deep class resolution on salary of transfers, if any, shall apply in lieu of the above provisions.

**5.13 Pay for Work in Higher Classification.** When an employee in a permanent position in the merit system is required to work in a classification for which the compensation is greater than that to which the employee is regularly assigned, the employee shall receive compensation for such work at the rate of pay established for the higher classification pursuant to Section 5.9 - Salary on Promotion of this MOU, commencing on the thirty-first (31st) work day of the assignment, under the following conditions:

1. The employee is assigned to a program, service, or activity established by the Board of Supervisors which is reflected in an authorized position which has been classified and assigned to the Salary Schedule.
2. The nature of the departmental assignment is such that the employee in the lower classification becomes fully responsible for the duties of the position of the higher classification.
3. Employee selected for the assignment will normally be expected to meet the minimum qualifications for the higher classification.
4. Pay for work in a higher classification shall not be utilized as a substitute for regular promotional procedures provided in this Memorandum.
5. The appropriate authorization form has been submitted by the Department Head and approved by the County Administrator.
6. Higher pay assignments shall not exceed six (6) months except through reauthorization.
7. If approval is granted for pay for work in a higher classification and the assignment is terminated and later reapproved for the same employee within thirty (30) days no additional waiting period will be required.
8. Any incentives (e.g., the education incentive) and special differentials (e.g., bilingual differential) accruing to the employee in his/her permanent position shall continue, unless the employee is no longer performing the duties which warrant the differentials.
9. During the period of work for higher pay in a higher classification, an employee will retain his/her permanent classification, and anniversary and salary review dates will be determined by time in that classification.
10. Allowable overtime pay, shift differentials and/or work location differentials will be paid on the basis of the rate of pay for the higher class.

## **SECTION 6 - DAYS AND HOURS OF WORK**

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**5.14 Payment.** On the tenth (10th) day of each month, the Auditor will draw a warrant upon the Treasurer in favor of each employee for the amount of salary due the employee for the preceding month; provided, however, that each employee (except those paid on an hourly rate) may choose to receive an advance on the employee's monthly salary, in which case the Auditor shall, on the twenty-fifth (25th) day of each month, draw his/her warrant upon the Treasurer in favor of such employee.

The advance shall be in an amount equal to one-third (1/3) or less (at the option of the employee) of the employee's basic salary of the previous month except that it shall not exceed the amount of the previous month's basic salary less all requested or required deductions.

The election to receive an advance shall be made on the prescribed form (form M-208, revised 5/81) and submitted by the fifteenth (15<sup>th</sup>) of the month to the department payroll clerk who will forward the card with the "Salary Advance Transmittal/Deviation Report" to the Auditor-Controller payroll section.

Each election shall become effective on the first day of the month following the deadline for filing the notice and shall remain effective until revoked.

In the case of an election made pursuant to this Section 5.14 all required or requested deductions from salary shall be taken from the second installment, which is payable on the tenth (10th) day of the following month.

## **SECTION 6 - DAYS AND HOURS OF WORK**

### **6.1 Definitions.**

- A. Regular Work Schedule:** A regular work schedule is eight (8) hours per day, Monday through Friday, inclusive, for a total of forty (40) hours per week.
- B. Workweek for Employees on Regular Work Schedule:** For employees on a regular work schedule, the workweek begins at 12:01 a.m. on Monday and ends at 12 midnight on Sunday.

**6.2 Time Reporting and Pay Practices Waiver.** The Association agrees to the implementation of an Automated Timekeeping System. The Association waives its right to meet and confer regarding any impacts that may result from the County's implementation of the automated timekeeping system, including but not limited to, changes to current departmental time reporting and pay practices. The Association agrees to convert from the current payroll cycle when the County is able to upgrade the current Payroll system or implement a new County Payroll System.

**6.3 Time Reporting/Time Stamping.** Hourly employees must timestamp in and out as they begin their work shifts, finish their work shifts, and take meal periods. In circumstances where time stamping in and out is not feasible, hourly employees must record their time in the electronic timecard. Salaried employees will report time off and time worked for special pays on the electronic timecard.

## **SECTION 7 - OVERTIME AND COMPENSATORY TIME**

### **SECTION 7 - OVERTIME AND COMPENSATORY TIME**

#### **7.1 Overtime.**

Permanent full-time and part-time employees are eligible to receive overtime pay or overtime compensatory time off for any authorized work performed:

- 1) in excess of forty (40) hours per week; or
- 2) in excess of eight (8) hours per day and that exceed the employee's daily number of scheduled hours. For example, an employee who is scheduled to work ten (10) hours per day and who works eleven (11) hours on a particular day would be entitled to one (1) hour of overtime.

Work performed does not include non-worked hours. Overtime pay is compensated at the rate of one and one-half (1-1/2) times the employee's base rate of pay (not including shift and any other special differentials). Any special differentials that are applicable during overtime hours worked will be computed on the employee's base rate of pay, not on the overtime rate of pay.

Overtime for employees is earned and credited in a minimum of one-half hour increments and is compensated by either pay or compensatory time off.

**7.2 Straight Time Pay.** Permanent full-time and part-time employees are eligible to receive straight time pay or straight time compensatory time off for hours worked in excess of the employee's daily number of scheduled hours that do not qualify for overtime pay as described in section 7.1, above. For example, if an employee is scheduled to work from 8 a.m. to 5 p.m., but uses accruals for 8 a.m. to 10 a.m. and works from 10 a.m. to 7 p.m., he/she would be entitled to two hours of straight time pay for the 5 p.m. to 7 p.m. hours worked. Straight time pay is calculated at the rate of one (1.0) times the employee's base rate of pay (not including differentials or shift pays).

**7.3 Overtime And Straight Time Compensatory Time.** The following provisions shall apply:

- a. Employees may annually elect to accrue overtime compensatory time off and straight time compensatory time off (hereinafter collectively referred to as "compensatory time off") in lieu of overtime pay and straight time pay. Eligible employees who elect to receive compensatory time off must agree to do so for a full fiscal year (July 1 through June 30). The employee must notify their department payroll staff of any change in the election by May 31 of each year.
- b. The names of those employees electing to accrue compensatory time off shall be placed on a list maintained by the Department. Employees who become eligible (i.e., newly hired employees, employees promoting, demoting, etc.) for compensatory time off in accordance with these guidelines must elect to accrue compensatory time or they will be paid for authorized overtime and straight time hours worked.

## ***SECTION 7 - OVERTIME AND COMPENSATORY TIME***

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- c. Overtime compensatory time off shall be accrued at the rate of one and one-half (1-1/2) times the actual authorized overtime hours worked by the employee. Straight time compensatory time off will be accrued at the rate of one (1.0) times the actual authorized straight time hours worked by the employee. Compensatory time off will be taken in increments of one (1) minute.
- d. Employees may not accrue a compensatory time off balance that exceeds one hundred twenty (120) hours (i.e., eighty (80) hours at time and one-half). Once the maximum balance has been attained, authorized straight time and overtime hours will be paid at the applicable straight time or overtime rate. If the employee's balance falls below one hundred twenty (120) hours, the employee shall again accrue compensatory time off for authorized straight time and overtime hours worked until the employee's balance again reaches one hundred twenty (120) hours.
- e. Accrued compensatory time off shall be carried over for use in the next fiscal year; however, as provided in 7.2.d above, accrued compensatory time off balances may not exceed one hundred twenty (120) hours.
- f. Employees may not use more than one hundred twenty (120) hours of compensatory time off in any fiscal year period (July 1 - June 30).
- g. The use of accrued compensatory time off shall be by mutual agreement between the Department Head or his/her designee and the employee. Compensatory time off shall not be taken when the employee would be replaced by another employee who would be eligible to receive, for time worked, either overtime payment or compensatory time accruals as provided for in this Section. This provision may be waived at the discretion of the Department Head or his/her designee.
- h. When an employee promotes, demotes or transfers from one classification eligible for compensatory time off to another classification eligible for compensatory time off within the same department, the employee's accrued compensatory time off balance will be carried forward with the employee.
- i. Compensatory time accrual balances will be paid off when an employee moves from one department to another through promotion, demotion or transfer. Said payoff will be made in accordance with the provisions and salary of the class from which the employee is promoting, demoting or transferring as set forth in 7.2.j. below.
- j. Since employees accrue overtime compensatory time off at the rate of one and one-half (1-1/2) hours for each hour of authorized overtime worked, accrued overtime compensatory time balances will be paid off at the straight time rate for the employee's current salary whenever:
  - 1. the employee separates from County service;
  - 2. the employee retires.



## **SECTION 8 – CELL PHONES**

- k. The Office of the County Auditor-Controller will establish timekeeping procedures to administer this Section.

**7.4 Court Appearance Overtime.** The County agrees to provide a minimum of four (4) hours overtime credit when in the line of duty employees in the classes of District Attorney Inspector and District Attorney Senior Inspector are required to attend a duly constituted judicial proceeding on his/her regularly scheduled day off.

## **SECTION 8 – CELL PHONES**

Inspectors and Senior Inspectors are required to retain a County-issued cell phone in his/her immediate possession at all times, and keep it activated while on duty or when not available at the phone number provided to the Department for after hours contact. Inspectors and Senior Inspectors shall respond by telephone as soon as possible after receiving a message.

## **SECTION 9 - ON-CALL/CALL BACK**

The Senior Inspector will be on-call for one (1) week intervals beginning at 0800 hours on a Wednesday and continuing until 0800 hours the following Wednesday. During the on-call interval, the employee must be ready to immediately report for duty and must arrange so that a supervisor can reach the employee within ten (10) minutes or less.

A County vehicle may be used and driven home during the on-call interval, and must be used in compliance with the County Vehicle Use Policy.

Inspectors of all classes, whether or not on-call, may be called out to an incident after normal working hours, and may be required to respond in their personal vehicle. If an employee uses their personal vehicle they shall be reimbursed per Section 25 – Mileage, of this MOU.

Any employee called out to an incident after normal work hours shall receive overtime or compensatory time at the appropriate rate for actual hours worked plus one (1) hour. An employee who is called back after normal working hours shall be paid a minimum of two (2) hours at the appropriate rate for each call back.

Employees who are assigned in writing to on-call status will be compensated at the rate of two hundred seventy-two dollars and fifty cents (\$272.50) per week.

## **SECTION 10 - SENIORITY, WORKFORCE REDUCTION, LAYOFF & REASSIGNMENT**

**10.1 Workforce Reduction.** In the event that funding reductions or shortfalls in funding occur in a department or are expected, which may result in layoffs, the department will notify the Association and take the following actions:

## ***SECTION 10 - SENIORITY, WORKFORCE REDUCTION, LAYOFF & REASSIGNMENT***

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- a. Identify the classification(s) in which position reductions may be required due to funding reductions or shortfalls.
- b. Advise employees in those classifications that position reductions may occur in their classifications.
- c. Accept voluntary leaves of absence from employees in those classifications which do not appear to be potentially impacted by possible position reductions when such leaves can be accommodated by the department.
- d. Approve requests for reduction in hours, lateral transfers, and voluntary demotions to vacant, funded positions in classes not scheduled for layoffs within the department, as well as to other departments not experiencing funding reductions or shortfalls when it is a viable operational alternative for the department(s).
- e. Review various alternatives which will help mitigate the impact of the layoff by working through the Tactical Employment Team program (TET) to:
  - 1. Maintain an employee skills inventory bank to be used as a basis for referrals to other employment opportunities.
  - 2. Determine if there are other positions to which employees may be transferred.
  - 3. Refer interested persons to vacancies which occur in other job classes for which they qualify and can use their layoff eligibility.
  - 4. Establish workshops to aid laid off employees in areas such as resume preparation, alternate career counseling, job search strategy, and interviewing skills.
- g. When it appears to the Department Head and/or Labor Relations Manager that the Board of Supervisors may take action which will result in the layoff of employees in a representation unit, the Labor Relations Manager shall notify the Association of the possibility of such layoffs and shall meet and confer with the Association regarding the implementation of the action.

### **10.2 Separation Through Layoff.**

- a. Grounds for Layoff. Any employee(s) having permanent status in position(s) in the merit service may be laid off when the position is no longer necessary, or for reasons of economy, lack of work, lack of funds or for such other reason(s) as the Board of Supervisors deems sufficient for abolishing the position(s).

## **SECTION 10 - SENIORITY, WORKFORCE REDUCTION, LAYOFF & REASSIGNMENT**

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- b. Order of Layoff. The order of layoff in a department shall be based on inverse seniority in the class of positions, the employee in that department with least seniority being laid off first and so on.
- c. Layoff By Displacement.
  - 1. In the Same Class. A laid off permanent full time employee may displace an employee in the department having less seniority in the same class who occupies a permanent-intermittent or permanent part-time position, the least senior employee being displaced first.
  - 2. In the Same Level or Lower Class. A laid off or displaced employee who had achieved permanent status in a class at the same or lower salary level as determined by the salary schedule in effect at the time of layoff may displace within the department and in the class of an employee having less seniority; the least senior employee being displaced first, and so on with senior displaced employees displacing junior employees.
- d. Particular Rules on Displacing.
  - 1. Permanent-intermittent and permanent part-time employees may displace only employees holding permanent positions of the same type respectively.
  - 2. A permanent full time employee may displace any intermittent or part-time employee with less seniority 1) in the same class or, 2) in a class of the same or lower salary level if no full time employee in a class at the same or lower salary level has less seniority than the displacing employees.
  - 3. Former permanent full time employees who have voluntarily become permanent part-time employees for the purpose of reducing the impact of a proposed layoff with the written approval of the Director of Human Resources or designee retain their permanent full time employee seniority rights for layoff purposes only and may in a later layoff displace a full time employee with less seniority as provided in these rules.
- e. Seniority. An employee's seniority within a class for layoff and displacement purposes shall be determined by adding the employee's length of service in the particular class in question to the employee's length of service in other classes at the same or higher salary levels as determined by the salary schedule in effect at the time of layoff. Employees reallocated or transferred without examination from one class to another class having a salary within five percent (5%) of the former class shall carry the seniority accrued in the former class into the new class. Employees reallocated to a new deep class upon its initiation or otherwise reallocated to a deep class because the duties of the position occupied are appropriately described in the deep class shall carry into the deep class the seniority accrued or carried forward in the former class and seniority accrued in

## **SECTION 10 - SENIORITY, WORKFORCE REDUCTION, LAYOFF & REASSIGNMENT**

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other classes which have been included in the deep class. Service for layoff and displacement purposes includes only the employee's last continuous permanent County employment. Periods of separation may not be bridged to extend such service unless the separation is a result of layoff in which case bridging will be authorized if the employee is reemployed in a permanent position within the period of layoff eligibility.

Approved leaves of absence as provided for in these rules and regulations shall not constitute a period of separation. In the event of ties in seniority rights in the particular class in question, such ties shall be broken by length of last continuous permanent County employment. If there remain ties in seniority rights, such ties shall be broken by counting total time in the department in permanent employment. Any remaining ties shall be broken by random selection among the employees involved.

- f. Eligibility for Layoff List. Whenever any person who has permanent status is laid off, has been displaced, has been demoted by displacement or has voluntarily demoted in lieu of layoff or displacement, or has transferred in lieu of layoff or displacement, the person's name shall be placed on the layoff list for the class of positions from which that person has been removed.
- g. Order of Names on Layoff. First, layoff lists shall contain the names of persons laid off, displaced, or demoted as a result of a layoff or displacement, or who have voluntarily demoted in lieu of layoff or displacement or who have transferred in lieu of layoff or displacement. Names shall be listed in order of layoff seniority in the class from which laid off, displaced, demoted or transferred on the date of layoff, the most senior person listed first. In case of ties in seniority, the seniority rules shall apply except that where there is a class seniority tie between persons laid off from different departments, the tie(s) shall be broken by length of last continuous permanent County employment with remaining ties broken by random selection among the employees involved.
- h. Duration of Layoff and Reemployment Rights. The name of any person granted reemployment privileges shall continue on the appropriate list for a period of two (2) years. Persons placed on layoff lists shall continue on the appropriate list for a period of two (2) years.
- i. Certification of Persons From Layoff Lists. Layoff lists contain the name(s) of person(s) laid off, displaced or demoted by displacement or voluntarily demoted in lieu of layoff or who transferred in lieu of layoff or displacement. When a request for personnel is received from the appointing authority of a department from which an eligible(s) was laid off, the appointing authority shall receive and appoint the eligible highest on the layoff list from the department. When a request for personnel is received from a department from which an eligible(s) was not laid off, the appointing authority shall receive and appoint the eligible highest on the layoff list who shall be subject to a probationary period. A person employed from

## **SECTION 10 - SENIORITY, WORKFORCE REDUCTION, LAYOFF & REASSIGNMENT**

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a layoff list shall be appointed at the same step of the salary range the employee held on the day of layoff.

- j. Removal of Names from Reemployment & Layoff Lists. The Director of Human Resources may remove the name of any eligible from a reemployment or layoff list for any reason listed below:
1. For any cause stipulated in Section 404.1 of the Personnel Management Regulations.
  2. On evidence that the eligible cannot be located by postal authorities.
  3. On receipt of a statement from the appointing authority or eligible that the eligible declines certification or indicates no further desire for appointment in the class.
  4. If three (3) offers of permanent appointment to the class for which the eligible list was established have been declined by the eligible.
  5. If the eligible fails to respond to the Director of Human Resources or the appointing authority within ten (10) days to written notice of certification mailed to the person's last known address.
  6. If the person on the reemployment or layoff list is appointed to another position in the same or lower classification, the name of the person shall be removed.
  7. However, if the first permanent appointment of a person on a layoff list is to a lower class which has a top step salary lower than the top step of the class from which the person was laid off, the name of the person shall not be removed from the layoff list. Any subsequent appointment of such person from the layoff list shall result in removal of that person's name.
- k. Removal of Names from Reemployment and Layoff Certifications. The Director of Human Resources may remove the name of any eligible from a reemployment or layoff certification if the eligible fails to respond within five (5) days to a written notice of certification mailed to the person's last known address.

**10.3 Notice.** The County agrees to give employees scheduled for layoff at least ten (10) work days notice prior to their last day of employment.

**10.4 Special Employment Lists.** The County will establish a TET Employment Pool which will include the names of all laid off County employees. Special employment lists for job classes may be established from the pool. Persons placed on a special employment list must meet the minimum qualifications for the class. An appointment from such a list will not affect the individual's status on a layoff list(s).

## **SECTION 11 - HOLIDAYS**

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**10.5 Reassignment of Laid Off Employees.** Employees who displaced within the same classification from full time to part-time or intermittent status in a layoff, or who voluntarily reduced their work hours to reduce the impact of layoff, or who accepted a position of another status than that from which they were laid off upon referral from the layoff list, may request reassignment back to their pre-layoff status (full time or part-time or increased hours). The request must be in writing in accord with each department's reassignment bid or selection process. Employees will be advised of the reassignment procedure to be followed to obtain reassignment back to their former status at the time of the workforce reduction. The most senior laid off employee in this status who requests such a reassignment will be selected for the vacancy; except when a more senior laid off individual remains on the layoff list and has not been appointed back to the class from which laid off, a referral from the layoff list will be made to fill the vacancy.

## **SECTION 11 - HOLIDAYS**

**11.1 Holidays Observed.** The County will observe the following holidays:

January 1st, known as New Year's Day  
Third Monday in January known as Dr. M. L. King, Jr. Day  
Third Monday in February, known as President's Day  
Last Monday in May, known as Memorial Day  
July 4th known as Independence Day  
First Monday in September, known as Labor Day  
November 11th, known as Veterans Day  
Fourth Thursday in November, known as Thanksgiving Day  
Friday after Thanksgiving Day  
December 25th, known as Christmas Day

Such other days as the Board of Supervisors may by resolution designate as holidays.

Each full-time employee will accrue two (2) hours of personal holiday credit per month. Such personal holiday time may be taken in increments of one-tenth (1/10) of an hour, and preference of personal holidays will be given to employees according to their seniority in their department as reasonably as possible.

Permanent part-time employees will receive personal holiday credit in the same ratio to the personal holiday credit given full-time employees as the number of hours per week in the part-time employee's schedule bears to the number of hours in the regular full-time schedule.

Employees shall accrue their personal holiday credit during months they are in pay status provided however that no employee may accrue more than forty (40) hours of personal holiday credit. On separation from County service, an employee shall be paid for any unused personal holiday credits at the employee's then current pay rate.

**11.2 Holidays Observed – Full-Time Employees:** Full-time employees on a regular schedule are entitled to observe a holiday (day off work), without a reduction in pay,



## **SECTION 12 - VACATION LEAVE**

whenever a holiday is observed by the County. Any holiday observed by the County that falls on a Saturday is observed on the preceding Friday and any holiday that falls on a Sunday is observed on the following Monday.

**11.3 Holidays Observed – Part-Time Employees:** Permanent, part-time employees are entitled to observe a holiday (day off work) in the same ratio as the number of hours in the part time employee's weekly schedule bears to forty (40) hours.

**11.4 Holiday is WORKED and Holiday Falls on Regularly Scheduled Work Day (for employees on a Regular Work Schedule, the holiday always falls on the employee's regularly scheduled work day):** When a full-time employee works on a holiday that falls on the employee's regularly scheduled work day, the employee is entitled to receive his/her regular salary. The employee is also entitled to receive holiday pay at the rate of one and one half (1.5) times his/her base rate of pay (not including differentials) for all hours worked, up to a maximum of eight (8) hours.

**11.5 Automated Time Keeping:** This agreement may be re-opened at the request of either party for the purpose of meeting and conferring regarding the establishment of an automated time keeping system.

## **SECTION 12 - VACATION LEAVE**

**12.1 Vacation Allowance.** Employees in permanent positions are entitled to vacation with pay. Accrual is based upon straight time hours of working time per calendar month of service and begins on the date of appointment to a permanent position. Increased accruals begin on the first of the month following the month in which the employee qualifies. Accrual for portions of a month shall be in minimum amounts of one (1) hour calculated on the same basis as for partial month compensation pursuant to Section 5.6 of this MOU. Vacation credits may be taken in one (1) minute increments and may not be rounded. Vacation credits may not be taken during the first six (6) months of employment (not necessarily synonymous with probationary status) except where sick leave has been exhausted; and none shall be allowed in excess of actual accrual at the time vacation is taken.

**12.2 Vacation Accrual Rates.** All employees in the bargaining unit are entitled to the following vacation accruals:

<u>Length of Service</u>	<u>Monthly Accrual Hours</u>	<u>Maximum Cumulative Hours</u>
Under 11 years	10	240
11 years	10-2/3	256
12 years	11-1/3	272
13 years	12	288
14 years	12-2/3	304
15 thru 19 years	13-1/3	320
20 thru 24 years	16-2/3	400
25 thru 29 years	20	480
30 years and up	23-1/3	560

## **SECTION 12 - VACATION LEAVE**

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**Service Award Date:** An employee's Service Award Date is used to determine when an employee begins to accrue the next higher number of vacation hours. The Service Award Date is the first date of a temporary, provisional, or permanent appointment to a position in the County. If an employee is first appointed to a temporary or provisional position and then later appointed to a permanent position, the Service Award Date for that employee is the date of the temporary or provisional appointment.

**Increased Vacation Accruals Granted in Recognition of Long Service:** Each employee is eligible to **begin** to accrue increased vacation hours on the first day of the month following the employee's Service Award Date.

### **Example One:**

1. The employee's Service Award Date is January 1, 1988.
2. The employee reached 20 years of service on January 1, 2008.
3. February 1, 2008 is the date on which the employee is eligible to begin accruing 16.66 hours of vacation time each month.

### **Example Two:**

1. An employee's Service Award Date is February 24, 1987.
2. The employee reached 20 years of service on February 24, 2007.
3. March 1, 2007 is the date on which the employee is eligible to begin accruing 16.66 hours of vacation time each month.

**12.3 Accrual During Leave Without Pay.** No employee who has been granted a leave without pay or unpaid military leave shall accrue any vacation credit during the time of such leave, nor shall an employee who is absent without pay accrue vacation credit during the absence.

**12.4 Vacation Allowance for Separated Employees.** On separation from County service, an employee shall be paid for any unused vacation credits at the employee's then current pay rate.

**12.5 Accrual on Prorated Basis.** Employees in permanent part-time and permanent-intermittent positions shall accrue vacation benefits on a prorated basis as provided in Resolution 81/1165, Section 32-2.006.

**12.6 Vacation Leave on Reemployment from a Layoff List.** Employees with six (6) months or more service in a permanent position prior to their layoff, who are employed from a layoff list, shall be considered as having completed six (6) months tenure in a permanent position for the purpose of vacation leave. The appointing authority or designee will advise the Auditor-Controller's Payroll Unit in each case where such vacation is authorized so that appropriate payroll system override actions can be taken.

**SECTION 13 - SICK LEAVE**

**13.1 Purpose of Sick Leave.** The primary purpose of paid sick leave is to ensure employees against loss of pay for temporary absences from work due to illness or injury. It is a benefit extended by the County and may be used only as authorized; it is not paid time off which employees may use for personal activities.

**13.2 Credits to and Charges Against Sick Leave.** Sick leave credits accrue at the rate of eight (8) working hours credit for each completed month of service. Employees who work a portion of a month are entitled to a pro rata share of the monthly sick leave credit computed on the same basis as is partial month compensation.

Credits to and charges against sick leave are made in minimum amounts of one (1) minute increments and may not be rounded.

Unused sick leave credits accumulate from year to year.

When an employee is separated other than through retirement, accumulated sick leave credits shall be canceled, unless the separation results from layoff, in which case the accumulated credits shall be restored if re-employed in a permanent position within the period of lay off eligibility.

Upon retirement, an employee's accumulated sick leave is converted to retirement on the basis of one (1) day of retirement service credit for each day of accumulated sick leave credit.

**13.3 Policies Governing the Use of Paid Sick Leave.** As indicated above, the primary purpose of paid sick leave is to ensure employees against loss of pay for temporary absences from work due to illness or injury. The following definitions apply:

Immediate Family means and includes only the spouse, son, stepson, daughter, stepdaughter, father, stepfather, mother, stepmother, brother, sister, grandparent, grandchild, father-in-law, mother-in-law, daughter-in-law, son-in-law, brother-in-law, sister-in-law, foster children, aunt, uncle, cousin, stepbrother, stepsister, or domestic partner of an employee and/or includes any other person for whom the employee is the legal guardian or conservator, or any person who is claimed as a "dependent" for IRS reporting purposes by the employee.

Employee means any person employed by Contra Costa County in an allocated position in the County service.

Paid Sick Leave Credits means those sick leave credits provided for by County Salary Regulations and Memoranda of Understanding.

Condition/Reason: With respect to necessary verbal contacts and confirmations which occur between the department and the employee when sick leave is requested or verified, a brief statement in non-technical terms from the employee regarding inability to work due to injury or illness is sufficient.

## **SECTION 13 - SICK LEAVE**

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Accumulated paid sick leave credits may be used, subject to appointing authority approval, by an employee in pay status, but only in the following instances:

- a. Temporary Illness or Injury of an Employee. Paid sick leave credits may be used when the employee is off work because of a temporary illness or injury.
- b. Permanent Disability Sick Leave. Permanent disability means the employee suffers from a disabling physical injury or illness and is thereby prevented from engaging in any County occupation for which the employee is qualified by reason of education, training or experience. Sick leave may be used by permanently disabled employees until all accruals of the employee have been exhausted or until the employee is retired by the Retirement Board, subject to the following conditions:
  1. An application for retirement due to disability has been filed with the Retirement Board.
  2. Satisfactory medical evidence of such disability is received by the appointing authority within thirty (30) days of the start of use of sick leave for permanent disability.
  3. The appointing authority may review medical evidence and order further examination as deemed necessary, and may terminate use of sick leave when such further examination demonstrates that the employee is not disabled, or when the appointing authority determines that the medical evidence submitted by the employee is insufficient, or where the above conditions have not been met.
- c. Communicable Disease. An employee may use paid sick leave credits when under a physician's order to remain secluded due to exposure to a communicable disease.
- d. Sick Leave Utilization for Pregnancy Disability. Employees whose disability is caused or contributed to by pregnancy, miscarriage, abortion, childbirth, or recovery therefrom, shall be allowed to utilize sick leave credit to the maximum accrued by such employee during the period of such disability under the conditions set forth below:
  1. Application for such leave must be made by the employee to the appointing authority accompanied by a written statement of disability from the employee's attending physician. The statement must address itself to the employee's general physical condition having considered the nature of the work performed by the employee, and it must indicate the date of the commencement of the disability as well as the date the physician anticipates the disability to terminate.
  2. If an employee does not apply for leave and the appointing authority believes that the employee is not able to properly perform her work or that

## **SECTION 13 - SICK LEAVE**

her general health is impaired due to disability caused or contributed to by pregnancy, miscarriage, abortion, childbirth or recovery therefrom the employee shall be required to undergo a physical examination by a physician selected by the County. Should the medical report so recommend, a mandatory leave shall be imposed upon the employee for the duration of the disability.

3. Sick leave may not be utilized after the employee has been released from the hospital unless the employee has provided the County with a written statement from her attending physician stating that her disability continues and the projected dates of the employee's recovery from such disability.
- e. Medical & Dental Appointments. An employee may use paid sick leave credits:
    1. For working time used in keeping medical and dental appointments for the employee's own care; and
    2. For working time used by an employee for prescheduled medical and dental appointments for an immediate family member.
  - f. Emergency Care of Family. An employee may use paid sick leave credits for working time used in cases of illness or injury to an immediate family member.
  - g. Death of Family Member. An employee may use paid sick leave credits for working time used because of a death in the employee's immediate family, but this shall not exceed three (3) working days, plus up to two (2) days of work time for necessary travel.
  - h. Accumulated paid sick leave credits may not be used in the following situations:
    1. Self-inflicted Injury. For time off from work for an employee's illness or injury caused by his/her willful misconduct.
    2. Vacation. Paid sick leave credits may not be used for an employee's illness or injury which occurs while he/she is on vacation but the County Administrator may authorize it when extenuating circumstances exist and the appointing authority approves.
    3. Not in Pay Status. Paid sick leave credits may not be used when the employee would otherwise be eligible to use paid sick leave credits but is not in pay status.

**13.4 Administration of Sick Leave.** The proper administration of sick leave is a responsibility of the employee and the Department Head. The following procedures apply:

- a. Employees are responsible for notifying the Investigative Unit Supervisor of an absence as early as possible prior to the commencement of their work shift and

## **SECTION 13 - SICK LEAVE**

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in accordance with operational requirements. Notification shall include the reason and possible duration of the absence.

- b. Employees are responsible for keeping their department informed of their continuing condition and probable date of return to work.
- c. Employees are responsible for obtaining advance approval from their appointing authority or designee for the schedule time of prearranged personal or family medical and dental appointments.

The use of sick leave may be denied if these procedures are not followed. Abuse of sick leave on the part of the employee is cause for disciplinary action. To ascertain the propriety of claims against sick leave, the Department Head may make such investigations as he/she deems necessary including medical verification of illness.

### **13.5 Disability.**

- a. An employee physically or mentally incapacitated for the performance of duty is subject to dismissal, suspension or demotion, subject to the County Employees Retirement Law of 1937. An appointing authority after giving notice may place an employee on leave if the appointing authority has filed an application for disability retirement for the employee, or whom the appointing authority believes to be temporarily or permanently physically or mentally incapacitated for the performance of the employee's duties.
- b. An appointing authority who has reasonable cause to believe that there are physical or mental health conditions present in an employee which endanger the health or safety of the employee, other employees, or the public, or which impair the employee's performance of duty, may order the employee to undergo at County expense and on the employee's paid time, a physical, medical and/or psychiatric examination by a licensed physician or psychologist and receive a report of the findings on such examination. If the examining physician or psychologist recommends that treatment for physical or mental health problems, including leave, are in the best interests of the employee or the County in relation to the employee overcoming any disability and/or performing his/her duties the appointing authority may direct the employee to take such leave and/or undergo such treatment.
- c. Leave due to temporary or permanent disability shall be without prejudice to the employee's right to use sick leave, vacation, or any other benefit to which the employee is entitled other than regular salary. The Human Resources Director may order lost pay restored for good cause and subject to the employee's duty to mitigate damages.
- d. Before an employee returns to work from any absence for illness or injury, other leave of absence or disability leave, exceeding two weeks in duration, the appointing authority may order the employee to undergo at County expense a physical, medical, and/or psychiatric examination by a licensed physician or psychologist, and may consider a report of the findings on such examination. If



## **SECTION 13 - SICK LEAVE**

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the report shows that such employee is physically or mentally incapacitated for the performance of duty, the appointing authority may take such action as he/she deems necessary in accordance with appropriate provisions of this MOU.

- e. Before an employee is placed on an unpaid leave of absence or suspended because of physical or mental incapacity under (A) or (B) above, the employee shall be given notice of the proposed leave of absence or suspension by letter or memorandum, delivered personally or by certified mail, containing the following:
  - 1. a statement of the leave of absence or suspension proposed;
  - 2. the proposed dates or duration of the leave or suspension which may be indeterminate until a certain physical or mental health condition has been attained by the employee;
  - 3. a statement of the basis upon which the action is being taken;
  - 4. a statement that the employee may review the materials upon which the action is taken;
  - 5. a statement that the employee has until a specified date (not less than seven (7) work days from personal delivery or mailing of the notice) to respond to the appointing authority orally or in writing.
- f. Pending response to the notice the appointing authority for cause specified in writing may place the employee on a temporary leave of absence, with pay.
- g. The employee to whom the notice has been delivered or mailed shall have seven (7) work days to respond to the appointing authority either orally or in writing before the proposed action may be taken.
- h. After having complied with the notice requirements above, the appointing authority may order the leave of absence or suspension in writing stating specifically the basis upon which the action is being taken, delivering the order to the employee either personally or by certified mail, effective either upon personal delivery or deposit in the U.S. Postal Service.
- i. An employee who is placed on leave or suspended under this section may, within ten (10) calendar days after personal delivery or mailing to the employee of the order, appeal the order in writing through the Director of Human Resources to the Merit Board. Alternatively, the employee may file a written election with the Director of Human Resources waiving the employee's right to appeal to the Merit Board in favor of appeal to a Disability Review Arbitrator.
- j. In the event of an appeal either to the Merit Board or the Disability Review Arbitrator, the employee has the burden of proof to show that either:

## **SECTION 13 - SICK LEAVE**

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1. the physical or mental health condition cited by the appointing authority does not exist, or
  2. the physical or mental health condition does exist, but it is not sufficient to prevent, preclude, or impair the employee's performance of duty, or is not sufficient to endanger the health or safety of the employee, other employees, or the public.
- k. If the appeal is to the Merit Board, the order and appeal shall be transmitted by the Director of Human Resources to the Merit Board for hearing under the Merit Board's Procedures, Section 1114-1128 inclusive. Medical reports submitted in evidence in such hearings shall remain confidential information and shall not be a part of the public record.
- l. If the appeal is to a Disability Review Arbitrator, the employee (and his/her representative) will meet with the County's representative to mutually select the Disability Review Arbitrator, who may be a de facto arbitrator, or a physician, or a rehabilitation specialist, or some other recognized specialist mutually selected by the parties. The arbitrator shall hear and review the evidence. The decision of the Disability Review Arbitrator shall be binding on both the County and the employee.

### **Scope of the Arbitrator's Review.**

- a. The arbitrator may affirm, modify or revoke the leave of absence or suspension.
- b. The arbitrator may make his/her decision based only on evidence submitted by the County and the employee.
- c. The arbitrator may order back pay or paid sick leave credits for any period of leave of absence or suspension if the leave or suspension is found not to be sustainable, subject to the employee's duty to mitigate damages.
- d. The arbitrator's fees and expenses shall be paid one-half by the County and one-half by the employee or employee's association.

### **13.6 Workers' Compensation.**

- a. State Labor Code 4850 Pay. Law enforcement officers as defined in State Labor Code 4850 who are members of the Contra Costa County Retirement System continue to receive full salary benefits in lieu of temporary disability during any absence from work which qualifies for workers' compensation benefits.

Currently, the maximum 4850 pay is one (1) year for any injury or illness. To be eligible for this benefit the employee must be under the care of a physician. All 4850 pay shall be approved by the County Administrator's Office, Risk Management Division.

## **SECTION 13 - SICK LEAVE**

- b. Sick Leave and Vacation. Sick leave and vacation shall accrue in accordance with the provision of State Labor Code 4850.
- c. 4850 Pay Beyond One Year. If an injured employee remains eligible for workers' compensation temporary disability benefits beyond one (1) year, full salary will continue by integrating sick leave and/or vacation accruals with workers' compensation benefits (use of vacation accruals must be approved by the department and the employee). If salary integration is no longer available because accruals are exhausted, workers' compensation benefits will be paid directly to the employee as prescribed by workers' compensation laws.
- d. Rehabilitation Integration. An injured employee who is eligible for workers' compensation rehabilitation temporary disability benefits and who has exhausted 4850 pay eligibility will continue to receive full salary by integrating sick leave and/or vacation accruals with workers' compensation rehabilitation temporary disability benefits. When these accruals are exhausted, the rehabilitation temporary disability benefits will be paid directly to the employee as prescribed by workers' compensation laws.
- e. Health Insurance. The County contribution to the employee's group insurance plan(s) continues during the 4850 pay period and during integration of sick leave or vacation with workers' compensation benefits.
- f. Integration Formula. An employee's sick leave and/or vacation charges shall be calculated as follows:  $C = 8 [1 - (W \div S)]$   
  
C = Sick leave or vacation charge per day (in hrs.)  
W = Statutory workers' compensation for a month  
S = Monthly salary
- g. Medical Examinations. Whenever possible, medical exams or follow-up medical appointments for job-related illness or injury scheduled during work hours will be at the beginning or end of the employee's shift so as to minimize time lost from work.

**13.7 Integration of SDI.** On May 26, 1981 the Board of Supervisors established a Labor Management Committee to administer a rehabilitation program for disabled County employees. It is understood that the benefits specified above in this Section 13 shall be coordinated with any disabled employee's rehabilitation program.

**13.8 Accrual During Leave Without Pay.** No employee who has been granted a leave without pay or an unpaid military leave shall accrue any sick leave credits during the time of such leave nor shall an employee who is absent without pay accrue sick leave credits during the absence.

## **SECTION 14 - LEAVE OF ABSENCE**

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### **SECTION 14 - LEAVE OF ABSENCE**

**14.1 Leave Without Pay.** Any employee who has permanent status in the classified service may be granted a leave of absence without pay upon written request, approved by the appointing authority; provided, however, that leaves for pregnancy, pregnancy disability, serious health conditions, and family care shall be granted in accordance with applicable state and federal law.

**14.2 General Administration - Leaves of Absence.** Requests for leave without pay shall be made upon forms prescribed by the Director of Human Resources and shall state specifically the reason for the request, the date when it is desired to begin the leave, and the probable date of return.

- a. Leave without pay may be granted for up to one (1) year for any of the following reasons:
  1. Illness, disability or serious health condition;
  2. pregnancy or pregnancy disability;
  3. family care;
  4. to take a course of study such as will increase the employee's usefulness on return to the position;
  5. for other reasons or circumstances acceptable to the appointing authority.
- b. An employee should request a leave of absence at least thirty (30) days before the leave is to begin if the need for the leave is foreseeable. If the need is not foreseeable, the employee must provide written notice to the employer within five (5) days of learning of the event by which the need for a leave of absence arises.
- c. An appointing authority may extend such leave for additional periods. The procedure in granting extensions shall be the same as that in granting the original leave, provided that the request for extension must be made not later than thirty (30) calendar days before the expiration of the original leave.

### **14.3 Family Care or Medical Leave (FMLA).**

- a. Definitions. For medical and family care leaves of absence under Section 14, the following definitions apply:
  1. Child: A biological, adopted, or foster child, stepchild, legal ward, conservatee, or a child who is under eighteen (18) years of age for whom an employee stands in loco parentis or for whom the employee is the guardian or conservator, or an adult dependent child of the employee.

## ***SECTION 14 - LEAVE OF ABSENCE***

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2. Parent: A biological, foster, or adoptive parent, a stepparent, legal guardian, conservator, or other person standing in loco parentis to a child.
3. Spouse: A partner in marriage as defined in California Civil Code Section 4100.
4. Domestic Partner: An unmarried person, eighteen (18) years or older, to whom the employee is not related and with whom the employee resides and shares the common necessities of life.
5. Serious Health Condition: An illness, injury, impairment, or physical or mental condition which involves either inpatient care in a hospital, hospice or residential health care facility or continuing treatment or continuing supervision by a health care provider (e.g. physician or surgeon) and which, for family care leave only, warrants the participation of a family member to provide care during a period of treatment or supervision, as defined by state and federal law.
6. Certification for Family Care Leave: A written communication to the employer from a health care provider of a person for whose care the leave is being taken which need not identify the serious health condition involved, but shall contain:
  - a. the date, if known, on which the serious health condition commenced;
  - b. the probable duration of the condition;
  - c. an estimate of the amount of time which the employee needs to render care or supervision;
  - d. a statement that the serious health condition warrants the participation of a family member to provide care during period of treatment or supervision;
  - e. if for intermittent leave or a reduced work schedule leave, the certification should indicate that the intermittent leave or reduced work schedule leave is necessary for the care of the individual or will assist in their recovery, and its expected duration.
7. Certification for Medical Leave: A written communication from a health care provider of an employee with a serious health condition or illness to the employer, which need not identify the serious health condition involved, but shall contain:
  - a. the date, if known, on which the serious health condition commenced;
  - b. the probable duration of the condition;

## **SECTION 14 - LEAVE OF ABSENCE**

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- c. a statement that the employee is unable to perform the functions of the employee's job;
  - d. if for intermittent leave or a reduced work schedule leave, the certification should indicate the medical necessity for the intermittent leave or reduced work schedule leave and its expected duration.
- 8. Comparable Positions: A position with the same or similar duties and pay which can be performed at the same or similar geographic location as the position held prior to the leave. Ordinarily, the job assignment will be the same duties in the same program area located in the same city, although specific clients, caseload, co-workers, supervisor(s), or other staffing may have changed during an employee's leave.
- b. Section 14.2 notwithstanding, upon request to the appointing authority, during a "rolling" twelve (12) month period measured backward from the date an employee uses his/her FMLA leave, any employee who has permanent status shall be entitled to, and shall be granted, at least twelve (12) weeks leave (less if so requested by the employee) for:
  - 1. medical leave of absence for the employee's own serious health condition which makes the employee unable to perform the functions of the employee's position; or
  - 2. family care leave of absence without pay for reason of the birth of a child of the employee, the placement of a child with an employee in connection with the adoption or foster care of the child by the employee, or the serious illness or health condition of a child, parent, spouse, or domestic partner of the employee.

The employee may be asked to provide certification of the need for family care leave or medical leave. Additional period(s) of family care or medical leave may be granted by the appointing authority.
- c. Intermittent Use of Leave. The twelve (12) week entitlement may be in broken periods, intermittently on a regular or irregular basis, or may include reduced work schedules depending on the specific circumstances and situations surrounding the request for leave. The twelve (12) weeks may include use of appropriate available paid leave accruals when accruals are used to maintain pay status, but use of such accruals is not required beyond that specified in Section 14.6.b below. When paid leave accruals are used for a medical or family care leave, such time shall be counted as a part of the twelve (12) week entitlement.
- d. Aggregate Use for Spouse. In the situation where husband and wife are both employed by the County, the family care or medical leave entitlement based on the birth, adoption or foster care of a child is limited to an aggregate for both



## **SECTION 14 - LEAVE OF ABSENCE**

employees together of twelve (12) weeks during a “rolling” twelve (12) month period measured backward from the date the employee uses his/her FMLA leave. Employees requesting family care leave are required to advise their appointing authority(ies) when their spouse is also employed by the County.

**14.4 Pregnancy Disability Leave.** Insofar as pregnancy disability leave is used under Section 13.3.d - Sick Leave Utilization for Pregnancy Disability, that time will not be considered a part of the twelve (12) week family care leave period.

### **14.5 Group Health Plan Coverage.**

- a. During Leave of Absence. Employees who were members of one of the group health plans prior to commencement of their leave of absence can maintain their health plan coverage with the County contribution by maintaining their employment in pay status as described in Section 14.6. In order to maintain such coverage, employees are required to pay timely the full employee contribution to maintain their group health plan coverage, either through payroll deduction or by paying the County directly.
- b. During Medical or Family Care Leave. During the twelve (12) weeks of an approved medical or family care leave under Section 14.3 above, the County will continue its contribution for such health plan coverage even if accruals are not available for use to maintain pay status as required under Section 14.6. In order to maintain such coverage, employees are required to pay timely the full employee contribution to maintain their group health plan coverage, either through payroll deduction or by paying the County directly.

### **14.6 Leave Without Pay - Use of Accruals.**

- a. All Leaves of Absence. During the first twelve (12) month period of any leave of absence without pay, an employee may elect to maintain pay status each month by using at least 0.1 hour of available sick leave (if so entitled under Section 13 - Sick Leave), vacation, floating holiday, compensatory time off or other accruals or entitlements; in other words, during the first twelve (12) months, a leave of absence without pay may be "broken" into segments and accruals used on a monthly basis at the employee's discretion. After the first twelve (12) months, the leave period may not be "broken" into segments and accruals may not be used, except when required by SDI/Sick Leave Integration.
- b. Family Care or Medical Leave (FMLA). During the twelve (12) weeks of an approved medical or family care leave, if a portion of that leave will be on a leave of absence without pay, the employee will be required to use at least 0.1 hour of sick leave (if so entitled under Section 13 - Sick Leave), vacation floating holiday, compensatory time off or other accruals or entitlements if such are available, although use of additional accruals is permitted under subsection A. above.
- c. Sick leave accruals may not be used during any leave of absence, except as allowed under Section 13 - Sick Leave.

## **SECTION 14 - LEAVE OF ABSENCE**

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**14.7 Military Leave.** Any employee who is required to serve as a member of the State Militia or the United States Army, Navy, Air Force, Marine Corps, Coast Guard or any division thereof shall be granted a military leave for the period of such service, plus ninety (90) days. An employee who volunteers for such service shall be granted a leave of absence if necessary in accordance with applicable state or federal laws. Upon the termination of such service or upon honorable discharge, the employee shall be entitled to return to his/her position in the classified service provided such still exists and the employee is otherwise qualified, without any loss of standing of any kind whatsoever.

An employee who has been granted a military leave shall not, by reason of such absence, suffer any loss of vacation, holiday, or sick leave privileges which may be accrued at the time of such leave, nor shall the employee be prejudiced thereby with reference to salary adjustments or continuation of employment. For purposes of determining eligibility for salary adjustments or seniority in case of layoff or promotional examination, time on military leave shall be considered as time in County service.

Any employee who has been granted a military leave, may upon return, be required to furnish such evidence of performance of military service or of honorable discharge as the Director of Human Resources may deem necessary.

### **14.8 Return From Leave of Absence.**

- a. **Early Return.** Whenever an employee who has been granted a leave without pay desires to return before the expiration of such leave, the employee shall submit a request to the appointing authority in writing at least fifteen (15) days in advance of the proposed early return provided, however, that less notification may be approved at the discretion of the appointing authority or his/her designee. Early return is subject to prior approval by the appointing authority. The Human Resources Department shall be notified promptly of such return.
- b. **Leave of Absence Reinstatement.** Any permanent employee who requests reinstatement to the classification held by the employee in the same department at the time the employee was granted a leave of absence, shall be reinstated to a position in that classification and department and then only on the basis of seniority.
- c. **Leave of Absence Replacement.** In case of severance from service or displacement by reason of the reinstatement of a permanent employee returning from a leave of absence, the provisions of Section 10 (Seniority, Workforce Reduction, Layoff, & Reassignment Seniority) shall apply.
- d. **Reinstatement From Family Care or Medical Leave of Absence.** In the case of a family care or medical leave, an employee on a 5/40 schedule shall be reinstated to the same or comparable position if the return to work is after no more than ninety (90) work days of leave from the initial date of a continuous leave, including use of accruals, or within the equivalent on an alternate work schedule. A full time employee taking an intermittent or reduced work schedule leave shall be reinstated to the same or comparable position if the return to work on a full schedule is after no more than 720 hours, including use of accruals, of

## **SECTION 15 - JURY DUTY AND WITNESS DUTY**

intermittent or reduced work schedule leave. At the time the original leave is approved, the appointing authority shall notify the employee in writing of the final date to return to work, or the maximum number of hours of leave, in order to guarantee reinstatement to the same or comparable position. An employee on a schedule other than 5/40 shall have the time frame for reinstatement to the same or comparable position adjusted on a pro rata basis.

**14.9 Appeal of Denial.** The decision of the appointing authority on granting or denying leave or early return from leave shall be subject to appeal to the Director of Human Resources and not subject to appeal through the grievance procedure set forth in this MOU.

**14.10 Salary Review While on Leave of Absence.** The salary of an employee who is on leave of absence from a County position on any anniversary date and who has not been absent from the position on leave without pay more than six (6) months during the preceding year shall receive salary increments that may accrue to them during the period of military leave.

**14.11 Unauthorized Absence.** An unauthorized absence from the work site or failure to report for duty after a leave request has been disapproved, revoked, or canceled by the appointing authority, or at the expiration of a leave shall be without pay. Such absence may also be grounds for disciplinary action.

**14.12 Furlough Days Without Pay.** Subject to the prior written approval of the appointing authority, employees may elect to take furlough days or hours without pay (pre-authorized absence without pay), up to a maximum of fifteen (15) calendar days for any one period. Longer pre-authorized absences without pay are considered leaves of absence without pay. Employees who take furlough time shall have their compensation for the portion of the month worked computed in accord with Section 5.6 - Compensation for Portion of Month of this MOU. Full time and part time employees who take furlough time shall have their vacation, sick leave, floating holiday and any other payroll-computed accruals computed as though they had worked the furlough time. When computing vacation, sick leave, floating holiday and other accrual credits for employees taking furlough time, this provision shall supersede Sections 12.1, 13.2, 13.8 and 14.1 of this MOU regarding the computation of vacation, sick leave, floating holiday and other accrual credits as regards furlough time only. For payroll purposes, furlough time (absence without pay with prior authorization of the appointing authority) shall be reported separately from other absences without pay to the Auditor-Controller.

## **SECTION 15 - JURY DUTY AND WITNESS DUTY**

**15.1 Jury Duty.** For purposes of this Section, jury duty shall be defined as any time an employee is obligated to report to the court.

When called for jury duty, County employees, like other citizens, are expected to discharge their jury duty responsibilities.

## ***SECTION 15 - JURY DUTY AND WITNESS DUTY***

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Employees shall advise their department as soon as possible if scheduled to appear for jury duty.

If summoned for jury duty in a Superior or Federal Court, or a Coroners jury, employees may remain in their regular County pay status, or they may take paid leave (vacation, floating holiday, etc.) or leave without pay and retain all fees and expenses paid to them.

When an employee is summoned for jury duty selection or is selected as a juror in a Superior or Federal Court, employees may remain in a regular pay status if they waive all fees (other than mileage), regardless of shift assignment and the following shall apply:

- a. If an employee elects to remain in a regular pay status and waive or surrender all fees (other than mileage), the employee shall obtain from the Clerk or Jury Commissioner a certificate indicating the days attended and noting that fees other than mileage are waived or surrendered. The employee shall furnish the certificate to his/her department where it will be retained as a department record. No "Absence/Overtime Record" is required.
- b. An employee who elects to retain all fees must take leave (vacation, floating holiday, etc.) or leave without pay. No court certificate is required but an "Absence/Overtime Record" must be submitted to the department payroll clerk.

Employees are not permitted to engage in any employment regardless of shift assignment or occupation before or after daily jury service that would affect their ability to properly serve as jurors.

An employee on short notice standby to report to court, whose job duties make short notice response impossible or impractical, shall be given alternate work assignments for those days to enable them to respond to the court on short notice.

When an employee is required to serve on jury duty, the County will adjust that employee's work schedule to coincide with a Monday to Friday schedule for the remainder of their service, unless the employee requests otherwise. Participants in 9/80 or 4/10 work schedules will not receive overtime or compensatory time credit for jury duty on their scheduled days off.

Permanent-intermittent employees are entitled to paid jury duty leave only for those days on which they were previously scheduled to work.

**15.2 Witness Duty.** Employees called upon as a witness or an expert witness in a case arising in the course of their work or the work of another department may remain in their regular pay status and turn over to the County all fees and expenses paid to them other than mileage allowance or they may take vacation leave or leave without pay and retain all fees and expenses.

## **SECTION 16 - MEDICAL, DENTAL, AND LIFE INSURANCE**

Employees called to serve as witnesses in private cases or personal matters (e.g., accident suits and family relations) shall take vacation leave or leave without pay and retain all witness fees paid to them.

Retention or waiver of fees shall be governed by the same provisions as apply to jury duty as set forth in Section 15.1 of this MOU.

Employees shall advise their department as soon as possible if scheduled to appear for witness duty. Permanent intermittent employees are entitled to paid witness duty only for those days on which they were previously scheduled to work.

### **SECTION 16 - MEDICAL, DENTAL, AND LIFE INSURANCE**

**16.1 Health Plan.** The County will provide group health benefits through the California Public Employees' Retirement System (CalPERS) for all permanent full-time employees, and permanent part-time employees regularly scheduled to work at least twenty (20) hours per week in classes represented by DAIA. The CalPERS health care program, as regulated by the Public Employees' Medical and Hospital Care Act (PEMHCA), regulations issued pursuant to PEMHCA, and the administration of PEMHCA by CalPERS, controls on all health plan issues for employees who receive health care coverage from CalPERS, including, but not limited to, eligibility, benefit plans, benefit levels, minimum premium subsidies, and costs.

**16.2 Contra Costa Health Plan (CCHP).** Because CCHP has met the minimum standards required under PEMHCA and is approved as an alternative CalPERS plan option, DAIA members and COBRA counterparts may elect to enroll in CCHP under the CalPERS plan rules and regulations.

**16.3 CalPERS Health Plan Monthly Premium Subsidy.** The County subsidy to the CalPERS monthly health plan premiums is as provided below. The employee must pay any CalPERS health plan premium costs that are greater than the County's subsidy identified in Section 16.3.

**A. County Premium Subsidy On and After January 1, 2015.**

For the plan year that begins on January 1, 2015, the County will pay the following monthly premium subsidy for each health plan:

Employee/Retiree/Survivor Only	\$608.87
Employee/Retiree/Survivor & One Dependent	\$1,217.74
Employee/Retiree/Survivor & Two or more Dependents	\$1,583.07

In addition, if there is an increase in the monthly premium charged by a health plan for 2015 that exceeds the above stated amounts, the County and the employee will each pay fifty percent (50%) of that increase. For each calendar year thereafter, the County and the employee will each pay fifty percent (50%) of any premium increase for each health plan.

**B. Effective January 1, 2015, in the first calendar year that a new health plan is**

## **SECTION 16 - MEDICAL, DENTAL, AND LIFE INSURANCE**

offered, the County monthly premium subsidy will be equal to the corresponding Kaiser monthly premium in the CalPERS region for that health plan. For each calendar year thereafter, the County and the employee will each pay fifty percent (50%) of the monthly premium increase that is above the plan premium for the first year of the new plan.

- C. In the event, in whole or in part, that the above County premium subsidy amounts are greater than one hundred percent (100%) of the applicable premium of any plan, for any plan year, the County's contribution will not exceed one hundred percent (100%) of the applicable plan premium.

**16.4 Dental Plan.** The County may, during the term of this MOU, change dental care providers, so long as the level of benefits provided is not reduced.

**16.5 County Dental Plan Premium Subsidy On and After January 1, 2016.** The County's subsidy to the monthly dental plan premiums shall be as provided below. This subsidy is provided only for permanent full-time and permanent part-time employees regularly scheduled to work at least twenty (20) hours per week. Permanent-intermittent and permanent part-time employees working less than twenty (20) hours per week may enroll in a dental plan but are not entitled to the County's premium subsidy. Any increases in dental plan costs greater than the County's premium subsidy identified below shall be borne by the employee.

- A. County premium subsidy for 2016 and thereafter. For calendar year 2016, the County will pay the following monthly premium subsidy:

### **Dental Plans:**

Delta Dental	
Single	\$32.69
Family	\$73.64

DeltaCare (PMI)	
Single	\$22.30
Family	\$48.19

Delta Dental without health plan	
Single	\$42.44
Family	\$95.62

DeltaCare (PMI) without health plan	
Single	\$28.91
Family	\$62.49

In addition, if there is an increase in the monthly premium charged by a dental plan for 2016 that exceeds the above stated amounts, the County and the employee will each pay fifty percent (50%) of that increase. For each calendar year thereafter, the County and the employee will each pay fifty percent (50%) of any premium increase for each dental plan.



## **SECTION 16 - MEDICAL, DENTAL, AND LIFE INSURANCE**

- B.** If the County premium subsidy amounts are greater than one hundred percent (100%) of the applicable premium of any dental plan, for any plan year, the County's contribution will not exceed one hundred percent (100%) of the applicable plan premium.
- C.** Eligible Family Members. The following persons may be enrolled as the Eligible Family Members of a dental plan subscriber.
1. Eligible Dependents:
    - a. Employee's legal spouse
    - b. Employee's qualified domestic partner
    - c. Employee's Disabled Child who is:
      - i. Over age 19,
        - a). Unmarried; and
        - b). Incapable of sustaining employment due to a physical or mental disability that existed prior to the child's attainment of age 19.
    - d. Delta Dental Only - Employee's unmarried child who is:
      - i. Under age 19; or
      - ii. Age 19, or above, but under age 24; and
        - a). Resides with the Employee for more than 50% of the year, excluding time living at school, and
        - b). Receives at least 50% of support from Employee; and
        - c). Is enrolled and attends school on a full-time basis, as defined by the school.
    - e. Delta Care Only – Employee's child to age 26.
  2. "Employee's child" includes natural child, step-child, adopted child, child of a qualified\_domestic partner, and a child specified in a Qualified Medical Child Support Order (QMSCO) or similar court document.
  3. For purposes of this Section 16.5 – County Dental Plan Premium Subsidy On and After January 1, 2016 and Section 16.12 – Retirement Coverage, "Eligible Family Member" does not include Survivors of employees or retirees.

**16.6 Orthodontia Coverage.** The County will offer Orthodontia coverage to all permanent employees in classes represented by the DAIA who participate in a County dental plan. The cost for orthodontia coverage is borne 100% by each enrolled employee. Premium payments are made by payroll deduction or direct pay, as applicable.

**16.7 Rate Information.** The County Benefits Service Unit will make dental plan rate information and, to the extent possible, CalPERS health plan rate information available to employees and departments upon request. In addition, the County Benefits Service Unit will publish and distribute to employees and departments information about rate changes as they occur during the year.

## **SECTION 16 - MEDICAL, DENTAL, AND LIFE INSURANCE**

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**16.8 Life Insurance Benefit Under Health and Dental Plans.** For permanent employees who are enrolled in a County sponsored health or dental plan as either the primary insured or a dependent, term life insurance in the amount of ten thousand dollars (\$10,000) will be provided by the County.

**16.9 Life Insurance Contributions.** The County will pay the entire premium on behalf of permanent full-time and permanent part-time employees regularly scheduled to work at least twenty (20) hours per week who elect health and/or dental coverage. Permanent-intermittent and permanent part-time employees working less than twenty (20) hours per week may participate in the Life Insurance Plan at their full personal expense, which shall not exceed the County's cost, provided they elect health and/or dental coverage.

**16.10 Premium Payments.** Employee participation in any health, dental, or life insurance plan is contingent upon the employee authorizing payroll deduction by the County of the employee's share of the premium cost. The County's contribution to health plan and dental plan monthly premiums are payable as follows:

- A. CalPERS Plan (Includes Alternate CCHP Plan). The County's contribution to the health plan premium is payable one (1) month in advance. If an employee's compensation in any month is not sufficient to pay the employee share of the premium, the employee must make up the difference by remitting the amount delinquent to the County by the tenth day of each month. The responsibility for this payment rests solely with the employee.
- B. Dental and Life Insurance Plans. The County's contribution to the dental and life insurance premium (as described in Sections 16.5 and 16.9) is payable monthly. If an employee's compensation in any month is not sufficient to pay the employee share of the premium, the employee must make up the difference by remitting the amount delinquent to the County by the tenth day of each month. The responsibility for this payment rests solely with the employee.

**16.11 Extended Coverage.** An employee on approved leave without pay shall be allowed to continue his/her health/dental/life insurance coverage provided that the employee shall pay their share of the monthly premium by the tenth day of each month, during said leave.

An employee who terminates County employment is covered through the last day of the month in which he/she is paid for County dental plans and through the last day of the month following the month of termination for CalPERS plans. Employees who terminate County employment may continue Group Health/Dental plan coverage to the extent provided under the COBRA regulations.

### **16.12 Retirement Coverage.**

- A. Retirement Coverage. Upon retirement, employees and eligible family members may, subject to plan requirements, remain in the same County group medical and/or dental plan, if immediately before their retirement they are either

## **SECTION 16 - MEDICAL, DENTAL, AND LIFE INSURANCE**

active subscribers to one of the County contracted health/dental plans, including CalPERS plans, or if while on authorized leave of absence without pay, they have retained continuous coverage during the leave period.

### **B. Retirement Medical Coverage.**

Government Code section 22892 applies to all employees who retire under the Contra Costa County Employees' Retirement Association (CCCERA).

### **16.13 Dual Coverage.**

- A. CalPERS Health Plan. Employees must adhere to the rules as established by CalPERS.
- B. On and after January 1, 2013, each employee and retiree may be covered by only a single County health and/or a single County dental plan, including CalPERS plans. For example, a County employee may be covered under a single County health plan as either the primary insured or the dependent of another County employee or retiree, but not as both the primary insured and the dependent of another County employee or retiree.
- C. On and after January 1, 2013, each dependent may be covered by the health and/or dental plan of only one spouse or one domestic partner. For example, when both parents are County employees, all of their eligible children may be covered as dependents of either parent, but not both.
- D. For purposes of this Section 16.13 - Dual Coverage, "County" includes the County of Contra Costa and all Board of Supervisors governed special districts, such as the Contra Costa County Fire Protection District.

**16.14 Health Care Spending Account.** The County will continue to offer regular full-time and part-time (20/40 or greater) County employees the option to participate in a Health Care Spending Account (HCSA) Program designed to qualify for tax savings under Section 125 of the Internal Revenue Code, but such savings are not guaranteed. The HCSA Program allows employees to set aside a pre-determined amount of money from their paycheck for health care expenses not reimbursed by any other health benefits plan with before-tax dollars. HCSA dollars can be expended on any eligible medical expenses allowed by Internal Revenue Code Section 125. Any unused balance is forfeited and cannot be recovered by the employee.

**16.15 PERS Long Term Care.** The County will deduct and remit monthly premium and eligible lists to the PERS Long Term Care Administrator, at no County administrative cost, for County employees who are eligible and voluntarily elect to purchase long term care through the PERS Long Term Care Program.

The County further agrees that County employees interested in purchasing PERS Long Term Care may participate in meetings scheduled by PERS Long Term Care on County facilities during non-work hours (i.e. coffee breaks, lunch hour).

## **SECTION 17 - PROBATIONARY PERIOD**

**16.16 Dependent Care Assistance Program.** The County will continue to offer the option of enrolling in a Dependent Care Assistance Program (DCAP) designed to qualify for tax savings under Section 129 of the Internal Revenue Code, but tax savings are not guaranteed. The program allows employees to set aside up to five thousand dollars (\$5,000) of annual salary (before taxes) per calendar year to pay for eligible dependent care (child and elder care) expenses. Any unused balance is forfeited and cannot be recovered by the employee.

**16.17 Premium Conversion Plan.** The County will continue to offer the Premium Conversion Plan (PCP) designed to qualify for tax savings under Section 125 of the Internal Revenue Code, but tax savings are not guaranteed. The program allows employees to use pre-tax dollars to pay medical and dental premiums.

**16.18 Health Benefit Coverage for Employees Not Otherwise Covered.** To access County health plans, an employee represented by the Association who is not otherwise eligible for health coverage by the County, must be eligible to receive an offer of coverage from the County under the federal Patient Protection and Affordable Care Act ("ACA"). Employees eligible to receive an offer of coverage (and qualified dependents), will be offered access to the County's lowest cost, single individual health insurance plan as determined by the County. Employees will be responsible for the full premium cost of coverage. This provision is not subject to the grievance process.

**16.19 Prevailing Section.** To the extent that any provision of this Section (Section 16 – Medical, Dental, and Life Insurance) is inconsistent with any provision of any other County enactment or policy, including but not limited to Administrative Bulletins, the Salary Regulations, the Personnel Management Regulations, or any other resolution or order of the Board of Supervisors, the provision(s) of this Section (Section 16 – Medical, Dental, and Life Insurance) will prevail.

## **SECTION 17 - PROBATIONARY PERIOD**

**17.1 Duration.** All appointments from officially promulgated employment lists for original entrance or promotion shall be subject to a probationary period. This period shall be from six (6) months to two (2) years duration.

**17.2 Probation Periods Over Six Months.** Listed below are those classes represented by the Association which have probation periods in excess of six (6) months:

D.A. Inspector	One (1) year
D.A. Sr. Inspector	One (1) year

**17.3 Revised Probationary Period.** When the probationary period for a class is changed, only new appointees to positions in the classification shall be subject to the revised probationary period.

**17.4 Length of Probationary Period.** The probationary period shall commence from the date of appointment. It shall not include time served in provisional or temporary

## ***SECTION 17 - PROBATIONARY PERIOD***

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appointments or any period of continuous absence or industrial or non-industrial leave or temporary modified duty assignment exceeding fifteen (15) calendar days, except as otherwise provided in the Personnel Management Regulations or by law.

For those employees appointed to permanent-intermittent positions with a six (6) months probation period, probation will be considered completed upon serving one thousand (1,000) hours after appointment except that in no instance will this period be less than six (6) calendar months from the beginning of probation. If a permanent-intermittent probationary employee is reassigned to full-time, credit toward probation completion in the full-time position shall be prorated on the basis of one hundred seventy-three (173) hours per month.

**17.5 Rejection During Probation.** An employee who is rejected during the probation period and restored to the eligible list shall begin a new probationary period if subsequently certified and appointed.

- A. Appeal from rejection. Notwithstanding any other provisions of this section, an employee (probationer) shall have the right to appeal from any rejection during the probationary period based on political or religious affiliations or opinions, union activities, or race, color, national origin, sex, age, disability or sexual orientation.
- B. The appeal must be written, must be signed by the employee and set forth the grounds and facts by which it is claimed that grounds for appeal exist under subsection (A) and must be filed through the Director of Human Resources to the Merit Board by 5:00 p.m. on the seventh (7th) calendar day after the date of delivery to the employee of notice of rejection.
- C. The Merit Board shall consider the appeal, and if it finds probable cause to believe that the rejection may have been based on grounds prohibited in subsection (A), it may refer the matter to a Hearing Officer for hearing, recommended findings of fact, conclusions of law and decision, pursuant to the relevant provisions of the Merit Board rules in which proceedings the rejected probationer has the burden of proof.
- D. If the Merit Board finds no probable cause for a hearing, it shall deny the appeal. If, after hearing, the Merit Board upholds the appeal, it shall direct that the appellant be reinstated in the position and the appellant shall begin a new probationary period unless the Merit Board specifically reinstates the former period.

**17.6 Regular Appointment.** The regular appointment of a probationary employee shall begin on the day following the end of the probationary period, subject to the condition that the Director of Human Resources receive from the appointing authority a statement in writing that the services of the employee during the probationary period were satisfactory and that the employee is recommended for permanent appointment. A probationary employee may be rejected at any time during the probation period without regard to the Skelly provisions of this MOU, without notice and without right of appeal or hearing. If the appointing authority has not returned the probation report, or the

## **SECTION 17 - PROBATIONARY PERIOD**

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appointing authority fails to submit in a timely manner the proper written documents certifying that a probationary employee has served in a satisfactory manner and later acknowledges it was his/her intention to do so, the regular appointment shall begin on the day following the end of the probationary period.

Notwithstanding any other provisions of the MOU, an employee rejected during the probation period from a position in the Merit System to which the employee had been promoted or transferred from an eligible list, shall be restored to a position in the department from which the employee was promoted or transferred.

An employee dismissed for other than disciplinary reasons within six (6) months after being promoted or transferred from a position in the Merit System to a position not included in the Merit System shall be restored to a position in the classification in the department from which the employee was promoted or transferred.

A probationary employee who has been rejected or has resigned during probation shall not be restored to the eligible list from which the employee was certified unless the employee receives the affirmative recommendation from the appointing authority and is certified by the Human Resources Director whose decision is final.

The Director of Human Resources shall not certify the name of a person restored to the eligible list to the same appointing authority by whom the person was rejected from the same eligible list, unless such certification is requested in writing by the appointing authority.

**17.7 Layoff During Probation.** An employee who is laid off during probation, if reemployed in the same class by the same department, shall be required to complete only the balance of the required probation.

If reemployed in another department or in another classification, the employee shall serve a full probationary period. An employee appointed to a permanent position from a layoff or reemployment list is subject to a probation period if the position is in a department other than the department from which the employee separated, displaced, or voluntarily demoted in lieu of layoff. An appointment from a layoff or reemployment list is not subject to a probation period if the position is in the department from which the employee separated, displaced or voluntarily demoted in lieu of layoff.

**17.8 Rejection During Probation of Laid Off Employee.** An employee who has achieved permanent status in the class before layoff and who subsequently is appointed from the layoff list shall begin a new probation period if subsequently certified and appointed in a different department or classification than that from which the employee was laid off. If the employee is rejected during the probation period, the employee shall be automatically restored to the layoff list, unless discharged for cause, if the rejection occurs within the employee's period of layoff eligibility.

**SECTION 18 - PROMOTION**

**18.1 Competitive Exam.** Promotion shall be by competitive examination unless otherwise provided in this MOU.

**18.2 Promotion Policy.** The Director of Human Resources, upon request of an appointing authority, shall determine whether an examination is to be called on a promotional basis.

**18.3 Open Exam.** If an examination for one of the classes represented by the Association is proposed to be announced on an Open Only basis the Director of Human Resources shall give five (5) days prior notice of such proposed announcement and shall meet at the request of the Association to discuss the reasons for such open announcement.

**18.4 Promotion Via Reclassification Without Examination.** Notwithstanding other provisions of this Section, an employee may be promoted from one classification to a higher classification and his/her position reclassified at the request of the appointing authority and under the following conditions:

- a. An evaluation of the position(s) in question must show that the duties and responsibilities have significantly increased and constitute a higher level of work.
- b. The incumbent of the position must have performed at the higher level for one (1) year.
- c. The incumbent must meet the minimum education and experience requirements for the higher class.
- d. The action must have approval of the Human Resources Director.
- e. The Association approves such action.

The appropriate rules regarding probationary status and salary on promotion are applicable.

**18.5 Requirements for Promotional Standing.** In order to qualify for an examination called on a promotional basis, an employee must have probationary or permanent status in the merit system and must possess the minimum qualifications for the class. Applicants will be admitted to promotional examinations only if the requirements are met on or before the final filing date. If an employee who is qualified on a promotional employment list is separated from the merit system, except by layoff, the employee's name shall be removed from the promotional list.

**18.6 Seniority Credits.** Employees who have qualified to take promotional examinations and who have earned a total score, not including seniority credits, of seventy percent (70%) or more, shall receive, in addition to all other credits, five one-hundredths of one percent (.05%) for each completed month of service as a permanent



## **SECTION 19 - TRANSFER**

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County employee continuously preceding the final date for filing application for said examination. For purposes of seniority credits, leaves of absence shall be considered as service. Seniority credits shall be included in the final percentage score from which the rank on the promotional list is determined. No employee, however, shall receive more than a total of five percent (5%) credit for seniority in any promotional examination.

**18.7 Physical Examination.** County employees who are required as part of the promotional examination process to take a physical examination, shall do so on County time at County expense.

## **SECTION 19 - TRANSFER**

**19.1 Conditions.** The following conditions are required in order to qualify for transfer:

- a. The position shall be in the same class, or if in a different class shall have been determined by the Director of Human Resources to be appropriate for transfer on the basis of minimum qualifications and qualifying procedure;
- b. the employee shall have permanent status in the merit system and shall be in good standing;
- c. the appointing authority or authorities involved in the transaction shall have indicated their agreement in writing;
- d. the employee concerned shall have indicated agreement to the change in writing.
- e. the Director of Human Resources shall have approved the change.

Notwithstanding the foregoing, transfer may also be accomplished through the regular appointment procedure provided that the individual desiring transfer has eligibility on a list for a class for which appointment is being considered.

**19.2 Procedure.** Any employee or appointing authority who desires to initiate a transfer may inform the Director of Human Resources in writing of such desire stating the reasons therefore. The Director of Human Resources shall, if he/she considers that the reasons are adequate and that the transfer will be for the good of the County service and the parties involved, inform the appointing authority or authorities concerned and the employee of the proposal and may take the initiative in accomplishing the transfer.

## **SECTION 20 - RESIGNATIONS**

An employee's voluntary termination of service is a resignation. Written resignations shall be forwarded to the Human Resources Department by the appointing authority immediately upon receipt, and shall indicate the effective date of termination. Oral resignation shall be immediately confirmed by the appointing authority in writing to the

## ***SECTION 20 - RESIGNATIONS***

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employee and to the Human Resources Department and shall indicate the effective date of termination.

**20.1 Resignation in Good Standing.** A resignation giving the appointing authority written notice at least two (2) weeks in advance of the last date of service (unless the appointing authority requires a longer period of notice, or consents to the employee's terminating on shorter notice) is a resignation in good standing.

**20.2 Constructive Resignation.** A constructive resignation occurs and is effective when:

- a. An employee has been absent from duty for five (5) consecutive working days without leave, and;
- b. Five (5) more consecutive work days have elapsed without response by the employee after the mailing of a notice of resignation by the appointing authority to the employee at the employee's last known address.

**20.3 Effective Resignation.** A resignation is effective when delivered or spoken to the appointing authority, operative either on that date or another date specified.

**20.4 Revocation.** A resignation that is effective is revocable only by written concurrence of the employee and the appointing authority.

**20.5 Coerced Resignations.**

- a. Time Limit. A resignation which the employee believes has been coerced by the appointing authority may be revoked within seven (7) calendar days after its expression, by serving written notice on the Director of Human Resources and a copy on the appointing authority.
- b. Reinstatement. If the appointing authority acknowledges that the employee could have believed that the resignation was coerced, it shall be revoked and the employee returned to duty effective on the day following the appointing authority's acknowledgment without loss of seniority or pay.
- c. Contest. Unless, within seven (7) days of the receipt of the notice, the appointing authority acknowledges that the resignation could have been believed to be coerced, this question should be handled as an appeal to the Merit Board. In the alternative, the employee may file a written election with the Director of Human Resources waiving the employee's right of appeal to the Merit Board in favor of the employee's appeal rights under the grievance procedure contained in Section 22 – Grievance Procedure of the MOU beginning with Step C.
- d. Disposition. If a final decision is rendered that determines that the resignation was coerced, the resignation shall be deemed revoked and the employee returned to duty effective on the day following the decision but without loss of seniority or pay, subject to the employee's duty to mitigate damages.

## ***SECTION 21 - DISMISSAL, SUSPENSION, DEMOTION, TEMPORARY REDUCTION IN PAY & REDUCTION WITHIN CLASS***

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### **SECTION 21 - DISMISSAL, SUSPENSION, DEMOTION, TEMPORARY REDUCTION IN PAY & REDUCTION WITHIN CLASS**

**21.1 Cause for Action.** The appointing authority may dismiss, suspend, demote, temporarily reduce the pay of, or reduce within class any employee for cause. The reduction in pay may not exceed five percent (5%) for a three (3) month period. The following are sufficient causes for such action; the list is indicative rather than inclusive of restrictions and dismissal, suspension, reduction or demotion may be based on reasons other than those specifically mentioned:

- a. absence without leave,
- b. conviction of any criminal act involving moral turpitude,
- c. conduct tending to bring the merit system and/or the Office of the District Attorney into disrepute,
- d. disorderly or immoral conduct,
- e. incompetence or inefficiency,
- f. insubordination,
- g. being at work under the influence of liquor or drugs, carrying onto the premises liquor or drugs or consuming or using liquor or drugs during work hours and/or on County premises,
- h. neglect of duty, (i.e. non-performance of assigned responsibilities),
- i. negligent or willful damage to public property or waste of public supplies or equipment,
- j. violation of any lawful or reasonable regulation or order given by a Supervisor or Department Head,
- k. willful violation of any of the provisions of the Merit System Ordinance or Personnel Management Regulations,
- l. material and intentional misrepresentation or concealment of any fact in connection with obtaining employment,
- m. misappropriation of County funds or property,
- n. unreasonable failure or refusal to undergo any physical, medical, and/or psychiatric exam and/or treatment authorized by this MOU,

## ***SECTION 21 - DISMISSAL, SUSPENSION, DEMOTION, TEMPORARY REDUCTION IN PAY & REDUCTION WITHIN CLASS***

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- o. dishonesty or theft,
- p. excessive or unexcused absenteeism and/or tardiness,
- q. sexual harassment, including but not limited to unwelcome sexual advances, requests for sexual favors, and other verbal, or physical conduct of a sexual nature, when such conduct has the purpose or effect of affecting employment decisions concerning an individual, or unreasonably interfering with an individual's work performance, or creating an intimidating and hostile working environment.

**21.2 Skelly Requirements - Notice of Proposed Action (Skelly Notice).** Before taking a disciplinary action to dismiss, suspend, for more than five (5) work days (four (4) work days for employees on 4/10 work week), demote, temporarily reduce the pay of, or reduce within class an employee, the appointing authority shall cause to be served personally or by certified mail, on the employee, a Notice of Proposed Action, which shall contain the following:

- a. A statement of the action proposed to be taken.
- b. A copy of the charges; including the acts or omissions and grounds upon which the action is based.
- c. If it is claimed that the employee has violated a rule or regulation of the County, department or district, a copy of said rule shall be included with the notice.
- d. A statement that the employee may review and request copies of materials upon which the proposed action is based.
- e. A statement that the employee has seven (7) calendar days to respond to the appointing authority either orally or in writing.

**21.3 Employee Response.** The employee upon whom a Notice of Proposed Action has been served shall have seven (7) calendar days to respond to the appointing authority either orally or in writing before the proposed action may be taken. Upon request of the employee and for good cause, the appointing authority may extend in writing the period to respond. If the employee's response is not filed within seven (7) days or during any extension, the right to respond is lost.

**21.4 Leave Pending Employee Response.** Pending response to a Notice of Proposed Action within the first seven (7) days or extension thereof, the appointing authority for cause specified in writing may place the employee on temporary leave of absence, with pay.

**21.5 Suspensions Without Pay.** Suspensions without pay shall not exceed thirty (30) days unless ordered by an arbitrator, an adjustment board or the Merit Board. The

## **SECTION 22 - GRIEVANCE PROCEDURE**

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thirty (30) day limit does not apply to suspension due to pending criminal charges as provided in 21.6 below.

### **21.6 Procedure on Dismissal, Suspension, Reduction Within Class, Temporary Reduction in Pay, or Disciplinary Demotion.**

- a. In any disciplinary action to dismiss, suspend, reduce within class, temporarily reduce the pay of, or demote an employee having permanent status in a position in the merit system after having complied with the Skelly requirements where applicable, the appointing authority shall make an order in writing stating specifically the causes for the action.
- b. Service of Order. Said order of dismissal, suspension, reduction within class, temporary reduction of pay, or demotion shall be filed with the Director of Human Resources, showing by whom and the date a copy was served upon the employee to be dismissed, suspended, reduced within class or demoted, either personally or by certified mail to the employee's last known mailing address. The order shall be effective either upon personal service or deposit in the U.S. Postal Service.
- c. Employee Appeals from Order. The employee may appeal an order of dismissal, suspension, demotion, temporary reduction of pay, or reduction within class either to the Merit Board or through the procedures of Section 22 - Grievance Procedure of this MOU provided that such appeal is filed in writing with the Human Resources Director within ten (10) calendar days after service of said order. An employee may not both appeal to the Merit Board and file a grievance under Section 22 of this MOU.

## **SECTION 22 - GRIEVANCE PROCEDURE**

**22.1 Definition.** A grievance is any dispute which involves the interpretation or application of any provision of this MOU excluding, however, those provisions of this MOU which specifically provide that the decision of any County official shall be final, the interpretation or application of those provisions not being subject to the grievance procedure. The Association may represent the employee at any stage of the process. Grievances must be filed within thirty (30) days of the incident or occurrence about which the employee claims to have a grievance and shall be processed in the following manner:

Step 1. Any employee or group of employees who believes that a provision of this MOU has been misinterpreted or misapplied to his/her detriment shall discuss the complaint with the employee's immediate supervisor, who shall meet with the employee within five (5) days of receipt of a written request to hold such meeting.

Step 2. If a grievance is not satisfactorily resolved in Step 1 above, the employee may submit the grievance in writing within ten (10) work days to such management official as the Department Head may designate. This formal written grievance shall state which provision of the MOU has been misinterpreted or misapplied, how misapplication or

## ***SECTION 22 - GRIEVANCE PROCEDURE***

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misinterpretation has affected him/her to his/her detriment, and the redress he/she seeks. A copy of each written communication on a grievance shall be filed with the Employee Relations Officer or his/her designee. The Department Head or his/her designee shall have ten (10) work days in which to respond to the grievance in writing.

Step 3. If a grievance is not satisfactorily resolved in Step 2 above, the employee may appeal in writing within seven (7) work days to the Employee Relations Officer or his/her designee. The Employee Relations Officer or his/her designee shall have twenty (20) work days in which to investigate the merit of the complaint and to meet with the Department Head and the employee and attempt to settle the grievance and respond in writing.

Step 4. No grievance may be processed under this Step 4 which has not first been filed and investigated in accordance with Step 3 above and filed within seven (7) work days of the written response of the Employee Relations Officer or his/her designee. If the parties are unable to reach a mutually satisfactory accord on any grievance which arises and is presented during the term of this MOU, such grievance shall be submitted in writing within seven (7) work days to an Adjustment Board comprised of three (3) Association representatives, no more than two (2) of whom shall be either an employee of the County or an elected or appointed official of the Association presenting this grievance, and three (3) representatives of the County, no more than two (2) of whom shall be either an employee of the County or a member of the staff or an organization employed to represent the County in the meeting and conferring process. The Adjustment Board shall meet and render a decision within twenty (20) work days of receipt of the written request.

Step 5. If an Adjustment Board is unable to arrive at a majority decision, either the employee (or the County, when alleging a violation of Section 22.5) may require that the grievance be referred to an impartial arbitrator who shall be designated by mutual agreement between the employee and the Employee Relations Officer or his/her designee. Such request shall be submitted within twenty (20) work days of the rendering of the Adjustment Board decision. Within twenty (20) days of the request for arbitration the parties shall mutually select an arbitrator. The fees and expenses of the arbitrator and of the Court Reporter shall be shared equally by the employee and the County. Each party, however, shall bear the costs of its own presentation, including preparation and post hearing briefs, if any.

**22.2 Time Limits.** The time limits specified above may be waived by mutual agreement of the parties to the grievance. If the County fails to meet the time limits specified in steps 1 through 3 above, the grievance will automatically move to the next step. If an employee fails to meet the time limits specified in steps 1 through 4 above, the grievance will be deemed to have been settled and withdrawn.

**22.3 Notice.** An official, with whom a formal grievance is filed by a grievant who is included in a unit represented by the Association, but is not represented by the Association in the grievance, shall give the Association a copy of the formal presentation.

## **SECTION 23 - RETIREMENT**

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**22.4 Compensation Complaints.** All complaints involving or concerning the payment of compensation shall be initially filed in writing with the Employee Relations Officer or his/her designee. Only complaints which allege that employees are not being compensated in accordance with the provisions of this MOU shall be considered as grievances. Any other matters of compensation are to be resolved in the meeting and conferring process, if not detailed in the MOU which results from such meeting and conferring process shall be deemed withdrawn until the meeting and conferring process is next opened for such discussion. No adjustment shall be retroactive for more than two (2) years from the date upon which the complaint was filed.

No change in this MOU or interpretations thereof (except interpretations resulting from Adjustment Board proceedings hereunder) will be recognized unless agreed to by the County and the Association.

**22.5 Strike/Work Stoppage.** During the term of this MOU, the Association, its members and representatives, agree that it and they will not engage in, authorize, sanction, or support any strike, slowdown, stoppage of work, sickout, or refuse to perform customary duties.

**22.6 Merit Board.**

- a. All grievances of employees in representation units represented by the Association shall be processed under Section 22 unless the employee elects to apply to the Merit Board on matters within its jurisdiction.
- b. No action under Step 3 and Step 4 of Subsection 22.1 above shall be taken if action on the complaint or grievance has been taken by the Merit Board, or if the complaint or grievance is pending before the Merit Board.

**22.7 Filing by Association.** The Association may file a grievance at Step 3 on behalf of affected employees when action by the County Administrator or the Board of Supervisors violates a provision of this MOU.

## **SECTION 23 - RETIREMENT**

**23.1 Payment of Employee Contributions.** Effective on April 1, 2012 employees are responsible for the payment of one hundred percent (100%) of the employees' basic retirement benefit contributions determined annually by the Board of Retirement of the Contra Costa County Employees' Retirement Association without the County paying any part of the employees' contribution. Employees are also responsible for the payment of the employees' contributions to the retirement cost of living program as determined annually by the Board of Retirement without the County paying any part of the employees' contributions.

**23.2 Safety Employees Retirement – Tier A - Employees Hired or Re-hired Before January 1, 2013.** For County employees hired or re-hired by the County before January 1, 2013, or who are hired after that date but are not new members under PEPRA, and who are safety members of CCCERA, the retirement formula shall be “3



## **SECTION 23 - RETIREMENT**

percent at 50.” The cost of living adjustment (COLA) to the retirement allowance shall not exceed three percent (3%) per year. The employee’s final compensation shall be calculated based on a twelve (12) month salary average. This retirement benefit is known as Tier A. Effective July 1, 2012, each such employee in Tier A shall pay three percent (3%) of his/her retirement base to pay part of the employer’s contribution for the cost of this retirement benefit. “Retirement base” means base salary and other payments, such as salary differential and flat rate pay allowances, used to compute retirement benefits.

Effective June 30, 2016, the payment of the 3% that the employee pays of his/her retirement base to pay part of the employer’s contribution for the cost of Safety Tier A will cease.

**23.3 Thirty (30) Year Employees.** Through the term of this Memorandum of Understanding and any extensions thereof, an Association member with credit for more than 30 years of continuous service as a safety member shall not make payments from his/her retirement base to pay part of the employer’s contribution for the cost of Safety Tier A.

### **23.4 Safety Retirement Benefit – Sworn Employees who become New Members of CCCERA on or after January 1, 2013.**

- A. For sworn employees who, under PEPRRA, become safety New Members of the Contra Costa County Employee Retirement Association (CCCERA) on or after January 1, 2013, retirement benefits are governed by the California Public Employees Pension Reform Act of 2013 (PEPRA), (Chapters 296, 297, Statutes of 2012). To the extent this Agreement conflicts with any provision of PEPRA, PEPRA will govern.
- B. PEPRA Safety Option Plan Two (2.7% @ 57) applies to these employees who, under PEPRA, become New Members of CCCERA. For these employees, the cost of living adjustment to the retirement allowance will not exceed two percent (2%) per year, and the cost of living adjustment will be banked.

**23.5 Re-opener – Election of Safety PEPRA Tier by Employees Hired on or Before December 31, 2012.** If either the Internal Revenue Service issues guidance acceptable to both parties, or the County receives a Private Letter Ruling from the IRS that protects the County and DAIA members hired prior to January 1, 2013 from additional tax liability if these employees have the opportunity to elect to enter the new Safety PEPRA Tier, then the County and the Association agree to reopen this agreement to meet and confer on 1) the possibility of allowing these employees to elect to enter the Safety Retirement PEPRA Tier, 2) seeking State Legislation to authorize these employees to make such an election, and 3) the process by which these employees would be able to elect to enter the Safety PEPRA Tier if the enabling legislation is enacted. Any changes to this agreement in these subject matter areas will occur only upon the written agreement of the parties.

## **SECTION 24 - SAFETY**

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### **SECTION 24 - SAFETY**

The County shall expend every effort to see to it that the work performed under the terms and conditions of this MOU is performed with a maximum degree of safety consistent with the requirement to conduct efficient operations.

### **SECTION 25 - MILEAGE**

The mileage allowance for the use of personal vehicles on County business shall be paid according to the rates allowed by the Internal Revenue Service and shall be adjusted to reflect changes in this rate on the date it becomes effective or the first of the month following announcement of the changed rate by the Internal Revenue Service, whichever is later.

### **SECTION 26 - PAY WARRANT ERRORS**

If an employee receives a pay warrant which has an error in the amount of compensation to be received and if this error occurred as a result of a mistake by the Auditor-Controller's Department, it is the policy of the Auditor-Controller's Department that the error will be corrected and a new warrant issued within forty-eight (48) hours, exclusive of Saturdays, Sundays and holidays from the time the department is made aware of and verifies that the pay warrant is in error.

Pay errors discovered by the County in employee pay shall be corrected as soon as possible as to current pay rate but that no recovery of either overpayments or underpayments to an employee shall be made retroactively except for the six (6) month period immediately preceding discovery of the pay error. This provision shall apply regardless of whether the error was made by the employee, the appointing authority or designee, the Director of Human Resources or designee, or the Auditor-Controller or designee. Recovery of fraudulently accrued over or underpayments are excluded from this section for both parties.

A repayment schedule will be no longer than three times (3) the length of time the overpayment occurred.

### **SECTION 27 - PERSONNEL FILES**

An employee shall have the right to inspect and review any official record(s) relating to his/her performance as an employee or to a grievance concerning the employee which is kept or maintained by the County in the employee's personnel file in the Human Resources Department or in the employee's personnel file in their department. The contents of such records shall be made available to the employee for inspection and review at reasonable intervals during the regular business hours of the County. The County shall provide an opportunity for the employee to respond in writing to any information which is in the employee's personnel file about which he/she disagrees.

## **SECTION 28 - SERVICE AWARDS**

Such response shall become a permanent part of the employee's personnel record. The employee shall be responsible for providing the written responses to be included as part of the employee's official personnel file. This section does not apply to the records of an employee relating to the investigation of a possible criminal offense, medical records and information or letters of reference.

All documents pertaining to disciplinary actions shall be placed in an official personnel file maintained by the Human Resources Department or in an official personnel file maintained by their department. Copies of written reprimands or memoranda pertaining to an employee's unsatisfactory performance which are to be placed in the employee's personnel file shall be given to an employee who shall have the right to respond in writing to said documents. Letters of Reprimand are subject to the grievance procedure but shall not be processed past Step 3 unless said letters are used in a subsequent discharge, suspension, reduction within class or demotion of the employee. Copies of letters of commendation which are to be placed in the employee's personnel file will be given to the employee. Employees have the right to review their official personnel files which are maintained in the Human Resources Department or by their department. In a case involving a grievance or disciplinary action, the employee's designated representative may also review his/her personnel file with specific written authorization from the employee.

### **SECTION 28 - SERVICE AWARDS**

The County shall continue its present policy with respect to service awards including time off; provided, however, that the type of award given shall be at the sole discretion of the County.

### **SECTION 29 - REIMBURSEMENT FOR MEAL EXPENSES**

Employees shall be reimbursed for meal expenses under the following circumstances and in the amount specified:

- a. When the employee is required to be out of his/her regular or normal work area during a meal hour because of a particular work assignment and with prior approval of the Department Head or his/her designee.
- b. When the employee is required to stay over to attend consecutive or continuing afternoon and night sessions of a Board or Commission.
- c. When the employee is required to incur expenses as host for official guests of the County, work as members of examining boards, official visitors, and speakers or honored guests at banquets or other official functions.
- d. When the employee is required to work three (3) or more hours of overtime; in this case he/she may be reimbursed in accordance with the Administrative Bulletin on Expense Reimbursement.

## **SECTION 30 - COMPENSATION FOR LOSS OR DAMAGE TO PERSONAL PROPERTY**

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Meal costs will be reimbursed only when eaten away from home or away from the facility in the case of employees at 24-hour institutions.

Procedures and definitions relative to reimbursement for meal expenses shall be in accordance with the Administrative Bulletin on Expense Reimbursement.

### **SECTION 30 - COMPENSATION FOR LOSS OR DAMAGE TO PERSONAL PROPERTY**

The loss or damage to personal property of employees is subject to reimbursement under the following conditions:

- a. The loss or damage must result from an event which is not normally encountered or anticipated on the job and which is not subject to the control of the employee.
- b. Ordinary wear and tear of personal property used on the job is not compensable.
- c. Employee tools or equipment provided without the express approval of the Department Head and automobiles are excluded from reimbursement.
- d. The loss or damage must have occurred in the line of duty.
- e. The loss or damage was not a result of negligence or lack of proper care by the employee.
- f. The personal property was necessarily worn or carried by the employee in order to adequately fulfill the duties and requirements of the job.
- g. The loss or damage to an employee's dentures or other prosthetic devices did not occur simultaneously with a job connected injury covered by workers' compensation.
- h. The amount of reimbursement shall be limited to the actual cost to repair damages. Reimbursement for items damaged beyond repair shall be limited to the actual value of the item at the time of loss or damage but not more than the original cost.
- i. The burden of proof of loss rests with the employee.
- j. Claims for reimbursement must be processed in accordance with the Administrative Bulletin on Compensation for Loss or Damage to Personal Property.

## **SECTION 31 - UNFAIR LABOR PRACTICE**

### **SECTION 31 - UNFAIR LABOR PRACTICE**

Either the County or the Association may file an unfair labor practice as defined in Chapter 34-22 of the Board of Supervisors Resolution 81/1165 against the other. Allegations of an unfair labor practice, if not resolved in discussions between the parties, may be heard by a mutually agreed upon impartial third party.

### **SECTION 32 - LENGTH OF SERVICE DEFINITION (for service awards and vacation accruals)**

The length of service credits of each employee of the County shall date from the beginning of the last period of continuous County employment (including temporary, provisional, and permanent status, and absences on approved leave of absence). When an employee separates from a permanent position in good standing and within two (2) years is reemployed in a permanent County position, or is reemployed in a permanent County position from a layoff list within the period of layoff eligibility, service credits shall include all credits accumulated at time of separation, but shall not include the period of separation. The Human Resources Director shall determine these matters based on the employee status records in the Human Resources Department.

### **SECTION 33 - PERMANENT PART-TIME EMPLOYEE BENEFITS**

Permanent part-time employees receive prorated vacation and sick leave benefits. They are eligible for health, dental and life insurance benefits at corresponding premium rates providing they work at least fifty percent (50%) of full time. If the employee works at least fifty percent (50%) of full time, County retirement participation is also included.

### **SECTION 34 - PERMANENT-INTERMITTENT EMPLOYEE BENEFITS**

Permanent-intermittent employees are eligible for prorated vacation and sick leave benefits.

### **SECTION 35 - PROFESSIONAL REIMBURSEMENT**

The County agrees to reimburse employees in the District Attorney Investigators' Unit for actual cost of membership dues in job-related professional associations, job-related equipment, professional publications, training and software and hardware from a standardized County approved list provided each employee in the District Attorney Investigators' Unit complies with the provisions of the Computer Use and Security Policy adopted by the Board of Supervisors. Effective January 1, 2007 the maximum amount will be increased to three-hundred dollars (\$300) per calendar year.

Reimbursement in the amount prescribed above will be processed upon presentation of a verified receipt to the Auditor-Controller's Office showing payment of annual

## **SECTION 36 - SAFETY EQUIPMENT**

membership dues in job-related professional associations, or purchase of job-related equipment, professional publications, training or software and hardware and evidence of supervisor approval.

### **SECTION 36 - SAFETY EQUIPMENT**

- a. The County agrees to continue to provide newly hired Inspectors with all required safety equipment. Said equipment shall remain the property of the County;
- b. Safety equipment owned by the County deemed unserviceable by the District Attorney or his/her authorized representative shall be turned over to the County and a replacement shall be furnished by the District Attorney or his/her authorized representative;
- c. The provisions of this replacement program do not apply to safety equipment damaged or otherwise rendered unserviceable as a result of employee negligence, subject to the provisions of Section 3802 of the California Labor Code;
- d. The District Attorney or his/her designated representative retains the right to render final decisions on the serviceability of safety equipment.
- e. The District Attorney's Office will provide District Attorney Inspectors and Senior District Attorney Inspectors an appropriate "turn out" jacket.

### **SECTION 37 - DEPENDENT CARE**

- a. Dependent Care Information & Referral Service. The County will administer an Information & Referral Service through the Contra Costa Child Care Council for the duration of this MOU.
- b. Dependent Care Salary Contribution. Subject to the applicable provisions of the Internal Revenue Service, employees may contribute up to \$5,000 each calendar year from their salaries for approved dependent care; only eligible employees may contribute for such expenses; there is no County contribution for dependent care.

Reimbursements are made on a monthly basis subject to submission of itemized statements, adequate accumulation of the salary contribution, proof of payment, and applicable County administrative procedures.

### **SECTION 38 - BILINGUAL PAY**

A salary differential shall be paid incumbents of positions requiring bilingual proficiency as designated by the appointing authority and Director of Human Resources. The differential shall be one hundred nine dollars (\$109) per month effective the first of the

## **SECTION 39 - ADOPTION**

month following the month this Memorandum of Understanding is adopted by the Board of Supervisors. Said differential shall be paid to eligible employees in paid status for any portion of a given month. Designation of positions for which bilingual proficiency is required is the sole prerogative of the County.

If during the term of this MOU, the County increases the Bilingual Pay for other bargaining units, the County will extend that increase to the DAIA bargaining unit members. The increase will be implemented on prospective basis only and will not be subject to retroactivity.

## **SECTION 39 - ADOPTION**

The provisions of this MOU shall be made applicable on the dates indicated and upon approval by the Board of Supervisors. Resolutions and Ordinances, where necessary, shall be prepared and adopted in order to implement these provisions. It is understood that where it is determined that an Ordinance is required to implement any of the foregoing provisions, said provisions shall become effective upon the first day of the month following thirty (30) days after such Ordinance is adopted.

## **SECTION 40 - SCOPE OF AGREEMENT & SEPARABILITY OF PROVISION**

**40.1 Scope of Agreement.** Except as otherwise specifically provided herein, this MOU fully and completely incorporates the understanding of the parties hereto and constitutes the sole and entire agreement between the parties in any and all matters subject to meet and confer. Any past side letters or any other agreements that are not incorporated into or attached to this MOU are deemed expired upon approval of this MOU by the Board of Supervisors.

The Association understands and agrees that the County is not obligated to meet and confer regarding wages, hours or conditions of employment during the term of this extended agreement, except as otherwise required by law.

**40.2 Separability of Provisions.** Should any section, clause or provision of this MOU be declared illegal, unlawful or unenforceable, by final judgment of a court of competent jurisdiction, such invalidation of such section, clause or provision shall not invalidate the remaining portions hereof, and such remaining portions shall remain in full force and effect for the duration of this MOU.

**40.3 Personnel Management Regulations.** Where a specific provision contained in a section of this MOU conflicts with a specific provision contained in a section of the Personnel Management Regulations, the provision of this MOU shall prevail. It is recognized, however, that certain provisions of the Personnel Management Regulations may be supplementary to the provisions of this MOU or deal with matters not within the scope of representation and as such remain in full force and effect.



## **SECTION 40 - SCOPE OF AGREEMENT & SEPARABILITY OF PROVISION**

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**40.4 Duration of Agreement.** This Agreement will continue in full force and effect from July 1, 2016 to and including June 30, 2019. Said Agreement shall automatically renew from year to year thereafter unless either party gives written notice to the other prior to sixty (60) days from the aforesaid termination date of its intention to amend, modify or terminate the Agreement.

DATE: \_\_\_\_\_

**Contra Costa County:**  
(Signature / Printed Name)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DAIA:**  
(Signature / Printed Name)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DISTRICT ATTORNEY INVESTIGATORS' ASSOCIATION**

**ATTACHMENTS**

**ATTACHMENT A**

**CLASS & SALARY LISTING**

**ATTACHMENT B**

**PROJECT POSITIONS**

**District Attorney Investigators' Association**  
**CLASS AND SALARY LISTING**  
**Effective 8/1/2016**

Job Code	Class Title	Flex Staff (F) / Deep Class (D)	Salary Range	
			From	To
6KVA	DA SR INSPECTOR		\$7,233	\$10,013
6KVD	DA SR INSPECTOR WELFARE FRAUD		\$7,233	\$10,013
6KWF	DA INSPECTOR-WELFARE FRAUD		\$6,278	\$8,691

All classes are designated as safety

**PROJECT POSITIONS**

The District Attorney Investigators' Association and the County have met and conferred in good faith regarding wages, hours and other terms and conditions of employment for employees in project classes which, except for the project designation, would be represented by the District Attorney Investigators' Association. For example, District Attorney Senior Inspector is represented by the Association, therefore, it has been agreed that District Attorney Senior Inspector-Project will also be represented by the District Attorney Investigators' Association.

Other project classes that are not readily identifiable as properly included in bargaining units represented by the District Attorney Investigators' Association shall be assigned to bargaining units in accordance with the provisions of Section 34-12.015 of Board Resolution 81/1165 as set forth in Section 2.8 of this Memorandum of Understanding.

The Association and the County understand that the meet and confer process with respect to the conditions of employment for project classifications is unique and, therefore, differs from other regular classes represented by the District Attorney Investigators' Association in the following respects:

1. Project employees are not covered by the Merit System.
2. Project employees may be separated from service at any time without regard to the provisions of this Memorandum of Understanding, without notice and without right of appeal or hearing or recourse to the grievance procedure as it applies to suspensions, demotions or discharge.
3. Any provision of this Memorandum of Understanding which pertains to layoff or seniority are not applicable to project employees.

**DISTRICT ATTORNEY  
INVESTIGATORS' ASSOCIATION**

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Contra  
Costa  
County

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: General Salary Increases for Specified Unrepresented Sworn Employees

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**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/488 to provide for salary increases and one-time lump sum payment for specified unrepresented sworn positions to parallel those in the new District Attorney Investigators' Association Memorandum of Understanding for the period July 1, 2016 and beyond.

**FISCAL IMPACT:**

Upon approval, the cost of these actions will be absorbed by the Departments utilizing these classifications. The majority of the fiscal impact is the associated wage increase for temporary employees. The actual cost is depend upon the use of these non-permanent employees.

**BACKGROUND:**

Contra Costa County has historically tied unrepresented sworn classes to represented classes in the District Attorney Investigators' Association for purposes of salary increases and decreases. The Board of Supervisors recently adopted a new memorandum of understanding with the District Attorney Investigators' Association that includes wage increases. The District Attorney's Office employs a number of unrepresented sworn temporary employees.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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: Lisa Lopez, Assistant Director of Human Resources, Harjit S. Nahal, Assistant County Auditor

## BACKGROUND: (CONT'D)

>

Resolution No. 2016/488 provides for the following:

1. The base rate of pay for the classifications of DA Chief of Inspectors-Exempt (6KD1), DA Director of Forensic & Technical Services (6KDC), DA Lieutenant of Inspectors (6KNB), and the DA Lieutenant of Inspectors-Welfare Fraud (6KWG) will be increased as follows:
  - Effective August 1, 2016, five percent (5.0%)
  - Effective August 1, 2016, permanent full-time employees, employed by the County on August 1, 2016 in one of the classifications listed above, will be paid a one-time lump sum payment of four hundred and thirty-five dollars (\$435)
  - Effective July 1, 2017, four and one-half percent (4.5%)
  - Effective July 1, 2018, four and one-half percent (4.5%)
2. Effective August 1, 2016, temporary employees, employed by the County on August 1, 2016 in one of the classifications listed below, will be paid a one-time lump sum payment of four hundred and thirty-five dollars (\$435):
  - DA Senior Inspector (6KVA)
  - DA Senior Inspector-Welfare Fraud (6KVD)
  - DA Inspector-Welfare Fraud (6KWF)

## CONSEQUENCE OF NEGATIVE ACTION:

The County could be detrimentally impacted by the potential loss of highly-trained sworn personnel and it may become more difficult to attract candidates for promotion.

## ATTACHMENTS

Resolution No. 2016/488

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/488**

**In The Matter Of:** Providing for Salary Increases for Specified Unrepresented Sworn Employees

WHEREAS the County of Contra Costa has maintained historic salary ties between sworn unrepresented and represented classifications; and

WHEREAS the District Attorney Investigators' Association has recently negotiated a new Memorandum of Understanding including wage increases;

The Contra Costa County Board of Supervisors acting solely in its capacity as the Governing Board of the County of Contra Costa **RESOLVES THAT:**

1. The base rate of pay for the classifications of DA Chief of Inspectors-Exempt (6KD1), DA Director of Forensic & Technical Services (6KDC), DA Lieutenant of Inspectors (6KNB), and the DA Lieutenant of Inspectors-Welfare Fraud (6KWG) will be increased as follows:
  - Effective August 1, 2016, five percent (5.0%)
  - Effective August 1, 2016, permanent full-time employees, employed by the County on August 1, 2016 in one of the classifications listed above, will be paid a one-time lump sum payment of four hundred and thirty-five dollars (\$435)
  - Effective July 1, 2017, four and one-half percent (4.5%)
  - Effective July 1, 2018, four and one-half percent (4.5%)
2. Effective August 1, 2016, temporary employees, employed by the County on August 1, 2016 in one of the classifications listed below, will be paid a one-time lump sum payment of four hundred and thirty-five dollars (\$435):
  - DA Senior Inspector (6KVA)
  - DA Senior Inspector-Welfare Fraud (6KVD)
  - DA Inspector-Welfare Fraud (6KWF)

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: Lisa Driscoll, County Finance Director (925) 335-1023**

**ATTESTED: August 2, 2016**

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

By: , Deputy

**cc:** Lisa Lopez, Assistant Director of Human Resources, Harjit S. Nahal, Assistant County Auditor



Contra  
Costa  
County

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: Resolution No. 2016/486 California Nurses Association Side Letter - Compensatory Time Modification

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/486, approving the side letter between Contra Costa County and California Nurses Association to modify Section 7.2., Compensatory Time, of the Memorandum of Understanding (MOU) between Contra Costa County and California Nurses Association.

**FISCAL IMPACT:**

The modification to compensatory time is an administrative change with little or no fiscal impact.

**BACKGROUND:**

The County and California Nurses Association agree to modify Section 7.2., Compensatory Time, of the Memorandum of Understanding (MOU) between Contra Costa County and California Nurses Association. In summary, the modification allows employees represented by CNA to periodically elect to accrue compensatory time off in lieu of call-back pay. Eligible employees who elect to receive compensatory time off for call-back must agree to do so for a full fiscal year (July 1 through June 30). The employee must notify their department payroll staff in writing of any change in the election by May 31 of each year. Employees who become eligible (i.e., newly hired

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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: Enid Mendoza, Senior Deputy County Administrator, Andrew Dadko, Labor Representative/CNA, William Walker, Health Services Department

BACKGROUND: (CONT'D)

>

employees, employees promoting, demoting, etc.) for call-back compensatory time after May 31 of each year will be paid for authorized time until the next notification period. For the 2016/17 partial fiscal year, election must be made by August 31 and may begin September 1, 2016. Health Services Administration will alert employees of the new compensatory time election procedures.

Adoption of this Side Letter settles the existing grievance filed by CNA on April 25, 2016 regarding Compensatory Time Election. The terms of this Side Letter will be incorporated into the next MOU between the County and CNA. Except as specifically amended or excluded by this Side Letter, all other terms and conditions of the MOU between Contra Costa County and California Nurses Association (August 1, 2014 – December 31, 2017) remain unchanged by this Side Letter.

CONSEQUENCE OF NEGATIVE ACTION:

Employees will not be able to choose compensatory time rather than pay for call-back time.

ATTACHMENTS

Resolution No. 2016/486

CNA Side Letter dated 7-21-16



**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐

**NO:** ☐

**ABSENT:** ☐

**ABSTAIN:** ☐

**RECUSE:** ☐



**Resolution No. 2016/486**

**In The Matter Of:** Approving the Side Letter between Contra Costa County and California Nurses Association to modify Section 7.2., Compensatory Time, of the Memorandum of Understanding

The Contra Costa County Board of Supervisors acting in its capacity as Governing Board of the County of Contra Costa and all districts of which it is the ex-officio governing Board **RESOLVES THAT:**

Effective following approval of the Board of Supervisors, the attached Side Letter of Agreement dated July 21, 2016, between Contra Costa County and California Nurses Association be **ADOPTED**.

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: Lisa Driscoll, County Finance Director (925) 335-1023**

**ATTESTED: August 2, 2016**

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

By: , Deputy

**cc:** Enid Mendoza, Senior Deputy County Administrator, Andrew Dadko, Labor Representative/CNA, William Walker, Health Services Department

## SIDE LETTER BETWEEN CONTRA COSTA COUNTY AND CALIFORNIA NURSES ASSOCIATION

This Side Letter is by and between the California Nurses Association ("CNA") and the County of Contra Costa ("County") and is effective on (Date), following approval of the Board of Supervisors.

The County and CNA agree to modify Section 7.2., Compensatory Time, of the Memorandum of Understanding (MOU) between Contra Costa County and CNA (August 1, 2014 – December 31, 2017) as follows:

**7.2 Compensatory Time.** The following provisions shall apply:

- A. Employees may periodically elect to accrue compensatory time off in lieu of overtime pay and call-back pay. Eligible employees must notify their Department Head or designee of their intention to accrue compensatory time off or to receive overtime pay at least thirty (30) days in advance of the change. Eligible employees who elect to receive compensatory time off for call-back must agree to do so for a full fiscal year (July 1 through June 30). The employee must notify their department payroll staff in writing of any change in the election by May 31 of each year. Employees who become eligible (i.e., newly hired employees, employees promoting, demoting, etc.) for call-back compensatory time after May 31 of each year will be paid for authorized time until the next notification period. For the 2016/17 partial fiscal year, election must be made by August 31 and may begin September 1, 2016. Health Services Administration will alert employees of the new compensatory time election procedures.
- B. The names of those employees electing to accrue compensatory time off in lieu of overtime pay or call-back pay shall be placed on lists maintained by the Department. Employees who become eligible (i.e., newly hired employees, employees promoting, demoting, etc.) for compensatory time off in accordance with these guidelines, must elect to accrue compensatory time or they will be paid for authorized overtime hours worked.
- C. Compensatory time off shall be accrued at the rate of one and one-half (1-1/2) times the actual authorized overtime hours worked or call-back time earned by the employee. Compensatory time off may also be accrued for "plus one (1) hour" earned described in Sections 8.1 and 8.2.
- D. Employees may not accrue a compensatory time- off balance that exceeds one hundred twenty (120) hours (i.e., eighty [80] hours at time and one-half [1-1/2]). Once the maximum balance has been attained, authorized overtime hours and call-back time will be paid at the overtime and call-back rates. If the employee's balance falls below one hundred twenty (120) hours, the employee shall again accrue compensatory time off for authorized overtime hours worked or call-back time earned until the employee's balance again reaches one hundred twenty (120) hours.
- E. Accrued compensatory time off shall be carried over for use in the next fiscal year; however, as provided in D. above, accrued compensatory time-off balances may not exceed one hundred twenty (120) hours.
- F. The use of accrued compensatory time off shall be by mutual agreement between the Department Head or designee and the employee. In cases of emergency, employees will be allowed to use compensatory time with the approval of their supervisor to supplement any unpaid hours. Such approval shall not be denied unless employee has received prior notice.

Compensatory time off shall not be taken when the employee should be replaced by another employee who would be eligible to receive, for time worked, either overtime payment or compensatory time accruals as provided for in this Section. This provision may be waived at the discretion of the Department Head or designee.

- G. When an employee promotes, demotes or transfers from one classification eligible for compensatory time off to another classification eligible for compensatory time off within the same department, the employee's accrued compensatory time-off balance will be carried forward with the employee.
- H. Compensatory time accrual balances will be paid off when an employee moves from one department to another through promotion, demotion or transfer. Said payoff will be made in accordance with the provisions and salary of the class from which the employee is promoting, demoting or transferring as set forth in I. below.
- I. Since employees accrue compensatory time off at the rate of one and one-half (1-1/2) hours for each hour of authorized overtime worked or call-back time earned, accrued compensatory time balances will be paid off at the straight time rate (two-thirds [2/3] of the overtime rate) for the employee's current salary whenever:
1. the employee changes status and is no longer eligible for compensatory time off;
  2. the employee promotes, demotes or transfers to another department;
  3. the employee separates from County service;
  4. the employee retires.
- J. The Office of the County Auditor-Controller will establish time-keeping procedures to administer this Section.

Adoption of this Side Letter settles the existing grievance filed by CNA on April 25, 2016 regarding Compensatory Time Election. The terms of this Side Letter will be incorporated into the next MOU between the County and CNA. Except as specifically amended or excluded by this Side Letter, all other terms and conditions of the MOU between Contra Costa County and California Nurses Association (August 1, 2014 – December 31, 2017) remain unchanged by this Side Letter.

Date: July 21, 2016

**Contra Costa County:**  
(Signature / Printed Name)

Alma Hughes Glynis Hughes  
/

\_\_\_\_\_  
/  
\_\_\_\_\_  
/  
\_\_\_\_\_  
/

**California Nurses Association:**  
(Signature / Printed Name)

Andrew Dadko  
/

\_\_\_\_\_  
/  
\_\_\_\_\_  
/  
\_\_\_\_\_  
/



Contra  
Costa  
County

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: APPROVE plans for the Kirker Pass Road Crash Cushion Replacement at Nortonville Road

---

**RECOMMENDATION(S):**

APPROVE plans for the Kirker Pass Road Crash Cushion Replacement at Nortonville Road, as recommended by the Public Works Director, Pittsburg area.

**FISCAL IMPACT:**

100% Local Road Funds.

**BACKGROUND:**

The purpose of this work is to replace the existing crash cushion located at the end of the concrete median barrier on Kirker Pass Road at its intersection with Nortonville Road. The work will replace the existing crash cushion with a new SCI Smart Cushion in the same location.

**CONSEQUENCE OF NEGATIVE ACTION:**

The crash cushion will not be replaced.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Brian Louis,  
925-313-7039

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

By: , Deputy

cc:

## ATTACHMENTS

Kirker Pass Road Crash Cushion at Nortonville  
Road



CONTRA COSTA COUNTY  
PUBLIC WORKS DEPARTMENT  
KIRKER PASS ROAD CRASH CUSHION REPLACEMENT  
AT NORTONVILLE ROAD, PITTSBURG AREA

PROJECT NO. 0672-6U4206-16

TO BE SUPPLEMENTED BY THE LATEST STATE STANDARD PLANS AND COUNTY STANDARD PLANS



*Brian Louis*  
PROJECT ENGINEER  
C.E. 72922  
*[Signature]*  
SENIOR PROJECT ENGINEER  
C.E. 62539  
*[Signature]*  
SUPERVISING PROJECT ENGINEER  
APPROVED: *[Signature]*  
BY: *[Signature]*  
DEPUTY PUBLIC WORKS DIRECTOR

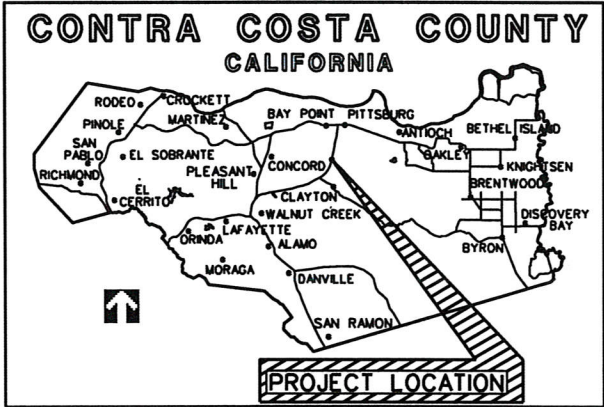
7/18 2016  
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7/18 2016



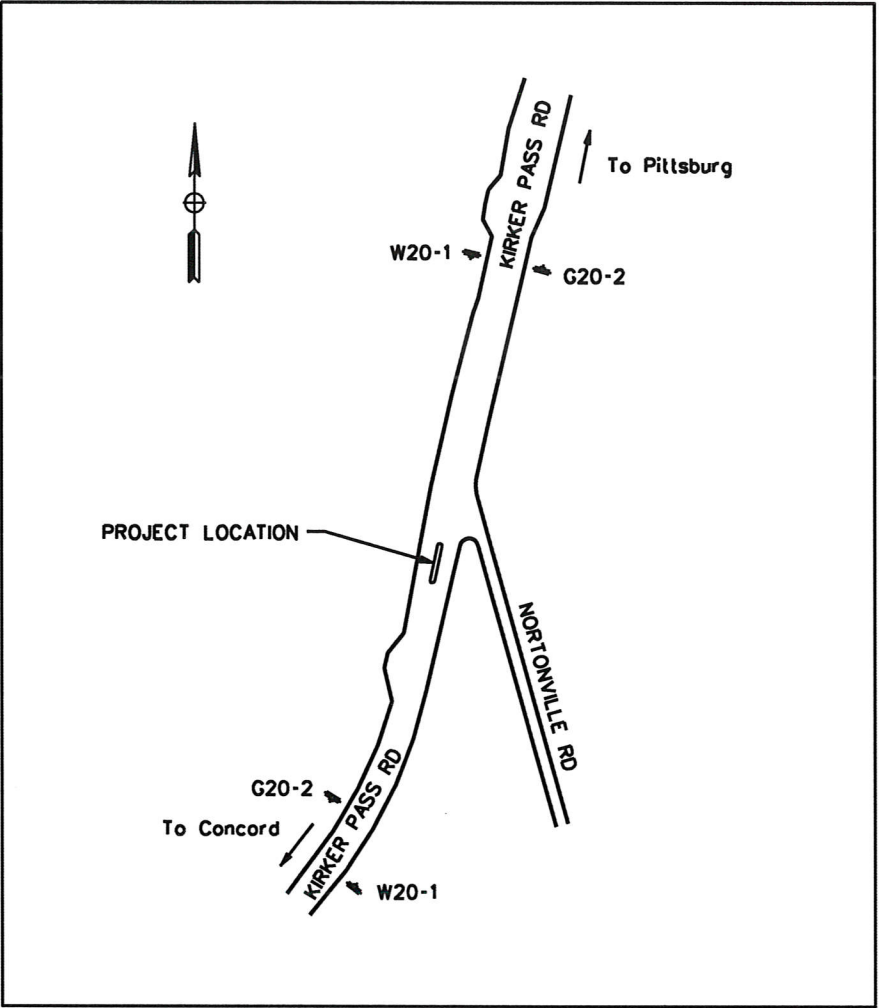
1-800-227-2600  
811

INDEX OF SHEETS

SHEET NO.	DESCRIPTION
1	TITLE SHEET
2	PLAN



LOCATION MAP  
NO SCALE



VICINITY AND CONSTRUCTION SIGNING MAP  
NO SCALE

CONSTRUCTION AREA SIGNS

TYPE	QUANTITY	DESCRIPTION	DIMENSIONS
G20-2	2	END ROAD WORK	36"X18"
W20-1	2	ROAD WORK AHEAD	48"X48"

NOTE:  
CONSTRUCTION AREA SIGNS SHALL BE PLACED IN ACCORDANCE WITH THE MANUAL OF TRAFFIC CONTROLS FOR CONSTRUCTION AND MAINTENANCE WORK ZONES OR AS DIRECTED BY THE ENGINEER.

NOTE:  
STANDARD ABBREVIATIONS AND SYMBOLS ARE AVAILABLE ON COUNTY STANDARD PLAN \*CA011 AND CALTRANS STANDARD PLANS \*A10A THRU \*A10D.

THE CONTRACTOR SHALL POSSESS THE CLASS (OR CLASSES) OF LICENSE AS SPECIFIED IN THE "NOTICE TO BIDDERS".

STATE PLANE	EAST COORD.	NORTH COORD.	FILE NO.	SHEET	OF
			E5261-2016	1	2
FILE NAME: dc420616.001			PEN TBL:		

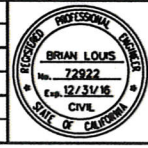
KIRKER PASS ROAD CRASH CUSHION REPLACEMENT AT NORTONVILLE ROAD; PROJECT NO.0672-6U4206-16





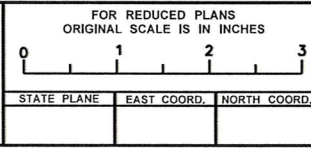
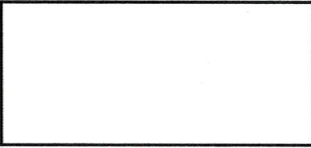
REVISIONS		
NO.	DESCRIPTION	BY DATE

DES.: **B. LOUIS**  
DRAWN: **L. COSTA**  
CHKD.: **M. CORDIS**  
DATE: **7-18-16**  
SCALE: **NO SCALE**  
FLD. BK.



*Brian Louis*  
PROJECT ENGINEER  
**7/18/16**  
PLANS APPROVAL DATE

CONTRA COSTA COUNTY  
PUBLIC WORKS DEPARTMENT  
255 GLACIER DRIVE  
MARTINEZ, CALIFORNIA 94553



<b>KIRKER PASS ROAD CRASH CUSHION REPLACEMENT AT NORTONVILLE ROAD, PITTSBURG AREA</b>	
PLAN	
FILE NO. <b>E5261-2016</b>	SHEET <b>2</b> OF <b>2</b>
FILE NAME: <b>dc420616.002</b>	PEN TBL:

6420616.002  
7/18/2016





**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Approve the second extension of the Subdivision Agreement for minor subdivision MS00-00003, Alamo area.

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/460 approving the second extension of the Subdivision Agreement for minor subdivision MS00-00003, for a project being developed by Ony Homes, LLC, as recommended by the Public Works Director, Alamo area. (District II)

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

The terminal date of the Subdivision Agreement needs to be extended. The developer has not completed the required improvements and has requested more time. (Approximately 95% of the work has been completed to date.) By granting an extension, the County will give the developer more time to complete his improvements and keeps the bond current.

**CONSEQUENCE OF NEGATIVE ACTION:**

The terminal date of the Subdivision Agreement will not be extended and the developer will be in default of the agreement, requiring the County to take legal action against the developer and surety to get the improvements installed, or revert the development to acreage.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jocelyn LaRocque,  
925-313-2315

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

By: , Deputy

cc: J. LaRocque, S. Reed, Design/Construction, C. Sumpter

## ATTACHMENTS

Resolution No. 2016/460

MS00-00003 SD Agreement  
Extension

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/460**

IN THE MATTER OF approving the second extension of the Subdivision Agreement for minor subdivision MS00-00003, for project being developed by Ony Homes LLC, as recommended by the Public Works Director, Alamo area. (Districts II)

WHEREAS the Public Works Director having recommended that she be authorized to execute the second agreement extensions which extends the Subdivision Agreement between Ony Homes LLC and the County for construction of certain improvements in minor subdivision MS00-00003, Alamo area, through June 17, 2017.

APPROXIMATE PERCENTAGE OF WORK COMPLETE: 95%

ANTICIPATED DATE OF COMPLETION: October 2017

BOND NO.: 724970 S

DATE: March 21, 2014

REASON FOR EXTENSION: Developer is installing required improvements and needs additional time to complete said improvements.

NOW, THEREFORE, BE IT RESOLVED that the recommendation of the Public Works Director is APPROVED.

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: August 2, 2016**

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

**Contact: Jocelyn LaRocque, 925-313-2315**

By: , Deputy

**cc:** J. LaRocque, S. Reed, Design/Construction, C. Sumpter

**CONTRA COSTA COUNTY**  
**SUBDIVISION AGREEMENT EXTENSION**

**Development Number:** MS00-00003

**Developer:** Ony Homes, LLC

**Original Agreement Date:** June 17, 2014

**Second Extension New Termination Date:** June 17, 2017

**Improvement Security**

**SURETY :** Developers Surety & Indemnity Co.

**BOND No.** 724970 S

**Date:** March 21, 2014

**Security Type**

**Security Amount**

**Cash:**

**\$ 4,230.00 (1% cash, \$1,000 Min.)**

**SURETY BOND:**

**\$ 418,770.00 (Performance)**

**\$ 211,500.00 (Labor & Material)**

The Developer and the Surety desire this Agreement to be extended through the above date; and Contra Costa County and said Surety hereby agree thereto and acknowledge same.

Dated: \_\_\_\_\_

Dated: June 15, 2016

SEE ATTACHED  
JURAT/ACKNOWLEDGMENT  
FOR NOTARY

FOR CONTRA COSTA COUNTY  
Julia R. Bueren, Public Works Director

Developer's Signature(s)

Mike Chernomordik

Printed

By: \_\_\_\_\_

Developer's Signature(s)

Printed

RECOMMENDED FOR APPROVAL:

By: \_\_\_\_\_  
(Engineering Services Division)

Address

Developers Surety and Indemnity Company  
Surety or Financial Institution

P.O. Box 8101, Walnut Creek, CA 94596-8101  
Address

***(NOTE: Developer's, Surety's and Financial Institution's Signatures must be Notarized.)***

FORM APPROVED: Victor J. Westman, County Counsel

After Approval Return to Clerk of the Board

Attorney in Facts Signature

Dennis J. Woodard

Printed

**RECEIVED**

**JUN 27 2016**

**Public Works Dept  
Engineering Services**

**CALIFORNIA ALL-PURPOSE ACKNOWLEDGEMENT**

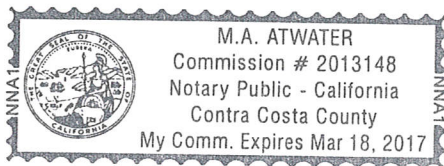
**CIVIL CODE § 1189**

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 June 15, 2016 Before me, M. A. Atwater, Notary Public,  
*Date Here Insert Name and Title of the Officer*  
personally appeared Dennis J. Woodard  
*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 M. A. Atwater  
*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: \_\_\_\_\_ Document Date: \_\_\_\_\_  
Number of Pages: \_\_\_\_\_ Signer(s) Other Than Named Above: \_\_\_\_\_

**Capacity(ies) Claimed by Signer(s)**

Signer's Name: \_\_\_\_\_  
☐ Corporate Officer - Title(s): \_\_\_\_\_  
☐ Partner - ☐ Limited ☐ General  
☐ Individual ☐ Attorney in Fact  
☐ Trustee ☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_  
Signer is Representing: \_\_\_\_\_

Signer's Name: \_\_\_\_\_  
☐ Corporate Officer - Title(s): \_\_\_\_\_  
☐ Partner - ☐ Limited ☐ General  
☐ Individual ☐ Attorney in Fact  
☐ Trustee ☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_  
Signer is Representing: \_\_\_\_\_

**POWER OF ATTORNEY FOR  
DEVELOPERS SURETY AND INDEMNITY COMPANY  
INDEMNITY COMPANY OF CALIFORNIA**  
PO Box 19725, IRVINE, CA 92623 (949) 263-3300

KNOW ALL BY THESE PRESENTS that except as expressly limited, DEVELOPERS SURETY AND INDEMNITY COMPANY and INDEMNITY COMPANY OF CALIFORNIA, do each hereby make, constitute and appoint:

\*\*\*Brad Bahl, Dennis J. Woodard, Gordon J. Fischer, Dennis Sewell, jointly or severally\*\*\*

as their true and lawful Attorney(s)-in-Fact, to make, execute, deliver and acknowledge, for and on behalf of said corporations, as sureties, bonds, undertakings and contracts of suretyship giving and granting unto said Attorney(s)-in-Fact full power and authority to do and to perform every act necessary, requisite or proper to be done in connection therewith as each of said corporations could do, but reserving to each of said corporations full power of substitution and revocation, and all of the acts of said Attorney(s)-in-Fact, pursuant to these presents, are hereby ratified and confirmed.

This Power of Attorney is granted and is signed by facsimile under and by authority of the following resolutions adopted by the respective Boards of Directors of DEVELOPERS SURETY AND INDEMNITY COMPANY and INDEMNITY COMPANY OF CALIFORNIA, effective as of January 1st, 2008.

RESOLVED, that a combination of any two of the Chairman of the Board, the President, Executive Vice-President, Senior Vice-President or any Vice President of the corporations be, and that each of them hereby is, authorized to execute this Power of Attorney, qualifying the attorney(s) named in the Power of Attorney to execute, on behalf of the corporations, bonds, undertakings and contracts of suretyship; and that the Secretary or any Assistant Secretary of either of the corporations be, and each of them hereby is, authorized to attest the execution of any such Power of Attorney;

RESOLVED, FURTHER, that the signatures of such officers may be affixed to any such Power of Attorney or to any certificate relating thereto by facsimile, and any such Power of Attorney or certificate bearing such facsimile signatures shall be valid and binding upon the corporations when so affixed and in the future with respect to any bond, undertaking or contract of suretyship to which it is attached.

IN WITNESS WHEREOF, DEVELOPERS SURETY AND INDEMNITY COMPANY and INDEMNITY COMPANY OF CALIFORNIA have severally caused these presents to be signed by their respective officers and attested by their respective Secretary or Assistant Secretary this November 21, 2013.

By: *Daniel Young*  
Daniel Young, Senior Vice-President

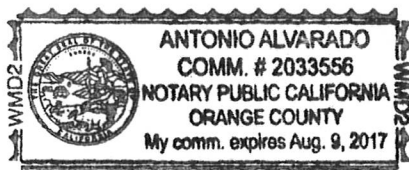
By: *Mark J. Lansdon*  
Mark J. Lansdon, Vice-President



State of California  
County of Orange

On November 21, 2013 before me, Antonio Alvarado, Notary Public  
Date Here Insert Name and Title of the Officer

personally appeared Daniel Young and Mark J. Lansdon  
Name(s) of Signer(s)



Place Notary Seal Above

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

*Antonio Alvarado*

Antonio Alvarado, Notary Public

CERTIFICATE

The undersigned, as Secretary or Assistant Secretary of DEVELOPERS SURETY AND INDEMNITY COMPANY or INDEMNITY COMPANY OF CALIFORNIA, does hereby certify that the foregoing Power of Attorney remains in full force and has not been revoked and, furthermore, that the provisions of the resolutions of the respective Boards of Directors of said corporations set forth in the Power of Attorney are in force as of the date of this Certificate.

This Certificate is executed in the City of Irvine, California, this 15th day of June, 2016.

By: *Cassie J. Berrisford*  
Cassie J. Berrisford, Assistant Secretary

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.

## ALL PURPOSE ACKNOWLEDGMENT

STATE OF CALIFORNIA }

COUNTY OF Contra Costa }

On JUNE 21<sup>st</sup> 2016 before me, M.M. Osorio Notary Public Notary Public,  
(here insert name and title of the officer)

personally appeared Mark Chernomordikov

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: [Signature] (Seal)



OPTIONAL

Description of Attached Document

Title or Type of Document: SUBDIVISION Agreement extension

Number of Pages: 2

Document Date: 6/21/2016

Other: N/A





Contra  
Costa  
County

To: Board of Supervisors

From: Julia R. Bueren, Public Works Director/Chief Engineer

Date: August 2, 2016

Subject: Accept completion of warranty period for the Subdivision Agreement for subdivision SD08-09245, San Ramon (Dougherty Valley) area.

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/464 accepting completion of the warranty period for the Subdivision Agreement, and release of cash deposit for faithful performance for subdivision SD08-09245, 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:**

100% Developer Fees. The funds to be released are developer fees that have been held on deposit.

**BACKGROUND:**

The public road improvements have met the guaranteed 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: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jocelyn LaRocque,  
925-313-2315

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

By: , Deputy

cc: S. Reed, Design/Construction, L. Lorentini, Engineering Services, C. Sumpter, C. Sumpter, C. Low, City of San Ramon

## ATTACHMENTS

Resolution No.  
2016/464

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/464**

IN THE MATTER OF accepting completion of warranty period for the Subdivision Agreement, and release of cash deposit for faithful performance for subdivision SD08-09245, 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 SD08-09245 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 \$23,000.00 cash deposit (Auditor's Deposit Permit No. DP629652, 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 civil improvements for maintenance 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. 929569043, dated July 9, 2013, issued by The Continental Insurance Company, are EXONERATED.

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: Jocelyn LaRocque, 925-313-2315**

**ATTESTED: August 2, 2016**

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

By: , Deputy

**cc:** S. Reed, Design/Construction, L. Lorentini, Engineering Services, C. Sumpter, C. Sumpter, C. Low, City of San Ramon



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Accept completion of public improvements for road acceptance RA06-01208, San Ramon (Dougherty Valley) area.

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/470 accepting completion of improvements for road acceptance RA06-01208 (cross-reference subdivision SD04-08856) 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.

**BACKGROUND:**

The developer has completed the improvements per the Road Improvements Agreement and in accordance with the Title 9 of the County Ordinance Code.

**CONSEQUENCE OF NEGATIVE ACTION:**

The completion of improvements will not be accepted.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jocelyn LaRocque,  
925-313-2315

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

By: , Deputy

cc: R. Hutchins, Records, S. Reed, Design/Construction, Chris Lau, C. Halford, Mapping, L. Lorentini, Engineering Services, Jorge Hernandez, L. Brown, Finance, C. Low, City of San Ramon

## ATTACHMENTS

Resolution No.  
2016/470

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/470**

IN THE MATTER OF: Accepting completion of improvements for road acceptance RA06-01208 (cross-reference subdivision SD04 -08856) 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)

The Public Works Director has notified this Board that the improvements in road acceptance RA06-01208 have been completed as provided in the Road Improvement Agreement with Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, heretofore approved by this Board in conjunction with the filing of the Subdivision Map.

WHEREAS, these improvements are approximately located along 'new' Dougherty Road, near Bollinger Canyon Road.

NOW, THEREFORE, BE IT RESOLVED that the road improvements have been COMPLETED as of August 2, 2016 thereby establishing the six-month terminal period for the filing of liens in case of action under said Road Improvement Agreement:

DATE OF AGREEMENT: November 18, 2008

NAME OF SURETY: National Fire Insurance Company of Hartford

BE IT FURTHER RESOLVED the payment (labor and materials) surety for \$5,642,700.00, Bond No. 929390933 issued by the above surety be RETAINED for the six-month lien guarantee period until February 2, 2017, at which time the Board AUTHORIZES the release of said surety less the amount of any claims on file.

BE IT FURTHER RESOLVED that Dougherty Road for the hereinafter described public improvements, as shown and dedicated on the Offer of Dedication for Roadway Purposes accepted for recordation on May 24, 2016, (Resolution No. 2016/376) by this Board, are ACCEPTED AS COMPLETE.

Road Name: Dougherty Road

Length (miles): 0.33

Road/ROW Width: 142'

System: Arterial

BE IT FURTHER RESOLVED that upon acceptance by the Board of Supervisors, the San Ramon City Council shall accept the improvements for maintenance and ownership in accordance with the Dougherty Valley Memorandum of Understanding.

BE IT FURTHER RESOLVED that the beginning of the warranty period is hereby established, and the \$112,900.00 cash deposit (Auditor's Deposit Permit No. DP468993, dated August 16, 2006) made by Shapell Homes, a Division of Shapell Industries, Inc., a Delaware Corporation, and the performance/maintenance surety bond rider for \$1,579,910.00, Bond No. 929390933 issued by National Fire Insurance Company of Hartford be RETAINED pursuant to the requirements of Section 94-4.406 of the Ordinance Code until release by this Board.

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: Jocelyn LaRocque, 925-313-2315**

**ATTESTED: August 2, 2016**

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

By: , Deputy

**cc:** R. Hutchins, Records, S. Reed, Design/Construction, Chris Lau, C. Halford, Mapping, L. Lorentini, Engineering Services, Jorge Hernandez, L. Brown, Finance, C. Low, City of San Ramon





Contra  
Costa  
County

To: Board of Supervisors

From: Julia R. Bueren, Public Works Director/Chief Engineer

Date: August 2, 2016

Subject: Approve the Road Improvement Agreement for Improvement Warranty for road acceptance RA06-01210, San Ramon (Dougherty Valley) area.

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/471 approving the Road Improvement Agreement for Improvement Warranty for road acceptance RA06-01210 (cross-reference SD04-08856), a project being developed by Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area. (District II)

**FISCAL IMPACT:**

No fiscal improvement.

**BACKGROUND:**

Improvements have been reviewed and processed by Public Works staff and meets all conditions of approval and County requirements.

**CONSEQUENCE OF NEGATIVE ACTION:**

The Road Improvement Agreement for Improvement Warranty will not be approved.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jocelyn LaRocque,  
925-313-2315

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

By: , Deputy

cc: S. Reed, Design/Construction, L. Lorentini, Engineering Services, C. Low, City of San Ramon, J. Hernandez, Engineering Services

## ATTACHMENTS

Resolution No. 2016/471

RA06-1210 Road Improvement Agreement for Improvement  
Warranty

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/471**

IN THE MATTER OF: Approving the Road Improvement Agreement for Improvement Warranty for road acceptance RA06-01210 (cross-reference SD04-08856), a project being developed by Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area.

WHEREAS, these improvements are approximately located along 'new' Dougherty Road, near Bollinger Canyon Road. The following document was presented for Board approval for road acceptance RA06-01210 (cross-reference SD04-08856) property located in the San Ramon (Dougherty Valley) area, Supervisorial District II.

A Road Improvement Agreement for Improvement Warranty with Shapell Industries, Inc., a Delaware Corporation, principal, whereby said principal agrees to warrant all improvements, as required in said Road Improvement Agreement for Improvement Warranty, for one year from the date of said agreement. Improvements generally consist of road and street improvements, tract drainage, street signs, and all other public improvements.

Said document was accompanied by security to guarantee the warranty of road improvements, as required by Title 9 of the County Ordinance Code, as follows:

1. Cash Bond

Performance Amount: \$127,000.00

Auditor's Deposit Permit No.: DP689558

Date: July 16, 2015

Auditor's Deposit Permit No.: DP715383

Date: July 18, 2016

Submitted by: Toll Brothers, Inc.

2. Surety Bond

Bond Company: Western Surety Company

Bond No.: 58735832

Date: July 14, 2016 Performance Amount: \$1,767,650.00

Labor & Materials Amount: \$6,315,5000.00

Principal: Shapell Industries, Inc., a Delaware Corporation

NOW, THEREFORE, BE IT RESOLVED that said Road Improvement Agreement for Improvement Warranty is APPROVED.

All deposit permits are on file with the Public Works Department.

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: August 2, 2016**

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

**Contact: Jocelyn LaRocque, 925-313-2315**

By: , Deputy

**cc:** S. Reed, Design/Construction, L. Lorentini, Engineering Services, C. Low, City of San Ramon, J. Hernandez, Engineering Services

**ROAD IMPROVEMENT AGREEMENT FOR  
IMPROVEMENT WARRANTY**  
(After Construction is Complete)  
(Government Code §§ 66462 and 66463)

**Development:** RA 06-1210

**Road:** Dougherty Road

**Developer:** Shapell Industries Inc., a Delaware Corp

**Maintenance Period:** 1 year

**Effective Date:** \_\_\_\_\_

Deposits:

- A. (Cash) \$ 127,000
- B. (Bonds, etc.)
  - 1. (Faithful Performance & Maintenance) \$ 1,767,650
  - 2. (Payment) \$ 6,315,500

1. PARTIES & DATE. Effective on the above date, the County of Contra Costa, California, hereinafter called "County," and the above-named Developer, mutually promise and agree as follows concerning this development.

2. IMPROVEMENT WARRANTY. Developer warrants that the road and street improvements, development drainage, street signs, and all other public improvements were constructed, installed and completed in this development in a manner equal or superior to the requirements of the County Ordinance Code, Title 9.

3. GUARANTEE & MAINTENANCE. Developer guarantees that the aforesaid development improvements are and will be free from defects and will perform satisfactorily in accordance with County Ordinance Code; and he shall maintain the improvements for one year after the date of this agreement against any defective workmanship or materials or any unsatisfactory performance.

4. IMPROVEMENT SECURIT - DEPOSIT & BONDS. Upon executing this agreement, Developer shall deposit as security with the County:

A. Cash: \$1,000.00 cash or 1% of the estimated cost of the improvements, whichever is more; together with

B. Bond, etc.: (1. Faithful performance) additional security totaling 15% of the cost of the estimated improvements less the cash deposit in the form of a cash deposit, acceptable instrument of credit, or an acceptable corporate surety bond, guaranteeing his faithful performance of this agreement and maintenance of the work for one year after the date of this agreement against any defective workmanship or materials or any unsatisfactory performance; plus (2. payment for labor & materials) another such additional security in at least the above specified amount, which is 50% of the estimated cost of the aforementioned improvements, securing payment to the contractor, to his subcontractors, and to persons renting equipment or furnishing labor or materials to them or to the Developer. Said payment bond to become null and void six months after the completion of improvements.

5. NO WAIVER BY COUNTY. Inspection of the improvements and/or materials, or approval of improvements and/or materials inspected, or statement by any officer, agent or employee of the County indicating that the improvements or any part thereof comply with the requirements of this agreement, or acceptance of the whole or any part of said improvements and/or materials, or payments, therefor, or any combination or all of these acts, shall not relieve the Developer of his obligation to fulfill this agreement as prescribed; nor shall the County be thereby be stopped from bringing any action for damages arising from the failure to comply with any of the terms and conditions hereof.

6. INDEMNITY: Developer shall hold harmless and indemnify the indemnities from the liabilities as defined in this section:

A. The indemnities benefited and protected by this promise are the County, and its special district, elective and appointive boards, commissions, officers, agents, and employees;

B. The liabilities protected against are any liability or claim for damage of any kind allegedly suffered, incurred or threatened because of actions defined below, and including personal injury, death, property damage, inverse condemnation, or any combination of these, and regardless of whether or not such liability, claim or damage was unforeseeable at any time before the County approved the subdivision map or accepted the improvements as completed, and including the defense of any suit(s), action(s), or other proceeding(s) concerning these;

C. The actions causing liability are any act or omission (negligent or non-negligent) in connection with the matters covered by this agreement and attributable to the Developer, contractor, subcontractor, or any officer, agent, or employee of one or more of them;

D. Non-Conditions: The promise and agreement in this section are not conditioned or dependent on whether or not any Indemnity has prepared, supplied, or approved any plan(s) or specification(s) in connection with the improvements or development, or has insurance or other indemnification covering any of these matters.

7. COSTS: Developer shall pay or have paid when due all the costs of the work, including inspections thereof and relocating existing utilities required thereby.

8. NON-PERFORMANCE AND COSTS: If Developer fails to maintain the work and improvements during the time specified in this agreement, County may proceed to maintain them by contract or otherwise, and Developer shall pay the costs and charges, therefor immediately upon demand. If County sues to compel performance of this agreement or recover engineering costs and the cost of maintaining the improvements, Developer shall pay all reasonable attorneys' fees, costs of suit, and all other expenses of litigation incurred by County in connection therewith.

9. ASSIGNMENT: If before the completion of the maintenance period the development is annexed to a city, the County may assign to that city the County's rights under this agreement and any deposit or bond securing them.

10. LABOR & MATERIALS, WARRANTY: Developer further warrants that the claims and liens of all persons, contractors, and subcontractors furnishing labor or materials for the installation of said improvements in the development have been satisfied. The Developer agrees to satisfy any valid claims or liens of labor and materialmen as to the said improvements and development appearing hereafter upon demand by the County.

11. CONSIDERATION: In consideration hereof, County shall clear the development for occupancy, and recognizes this development as one complying with State laws and County ordinances.

CONTRA COSTA COUNTY:

Julia R. Bueren, Public Works Director


By: \_\_\_\_\_

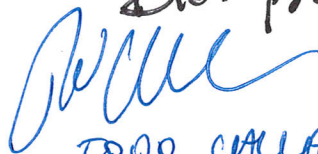
RECOMMENDED FOR APPROVAL:

By: \_\_\_\_\_  
Engineering Services Division

Developer:

Shapell Industries Inc., a Delaware Corporation

  
Robert D. Moore  
(Name and Title)  
Dev. President

  
Todd Callahan  
(Name and Title)  
VICE PRESIDENT

FORM APPROVED: Victor J. Westman, County Counsel



## ACKNOWLEDGMENT

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 Alameda

On July 6, 2016 before me, Jean R. Westphal, Notary Public  
(insert name and title of the officer)

personally appeared Robert D. Moore,  
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.

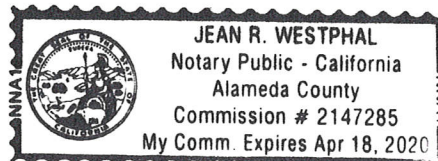
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature

Jean R. Westphal

(Seal)





## ACKNOWLEDGMENT

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 Alameda )

On July 6, 2016 before me, Jean R. Westphal, Notary Public  
(insert name and title of the officer)

personally appeared Todd Callahan,  
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.

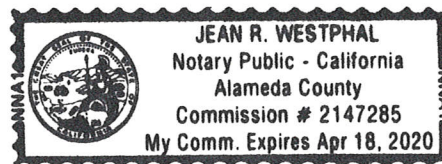
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

Signature

Jean R. Westphal

(Seal)



Subdivision: Gale Ranch IV RA 06-1210

Bond No.: 58735832

Premium: \$14,141.00

Any claim under this Bond should be sent

to the following address:

2 Paoli Office Park

Paoli, PA 19301

**IMPROVEMENT SECURITY BOND  
FOR SUBDIVISION AGREEMENT**  
(Performance, Guarantee and Payment)  
(Gov. Code, §§ 66499-66499.10)

1. **RECITAL OF SUBDIVISION AGREEMENT.** The Principal has executed an agreement with the County of Contra Costa (hereinafter "County") to install and pay for street, drainage and other improvements in Subdivision 06-1210 as specified in the Subdivision Agreement, and to complete said work within the time specified for completion in the Subdivision Agreement, all in accordance with State and local laws and rulings thereunder in order to satisfy conditions for filing of the Final Map or Parcel Map for said subdivision. Under the terms of the Subdivision Agreement, Principal is required to furnish a bond to secure the faithful performance of the Subdivision Agreement and payment to laborers and materialmen.

2. **OBLIGATION.** Shapell Industries, Inc., a Delaware Corporation, as Principal, and Western Surety Company, a corporation organized and existing under the laws of the State of South Dakota and authorized to transact surety business in California, as Surety, hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns to the County of Contra Costa, California to pay it:

(A. Performance and Guarantee) One Million Seven Hundred Sixty Seven Thousand Six Hundred Fifty and 00/100 Dollars (\$ 1,767,650.00 ) for itself or any city assignee under the above Subdivision Agreement.

(B. Payment) Six Million Three Hundred Fifty Thousand and 00/100 Dollars (\$ 6,315,500.00 ) to secure the claims to which reference is made in Title XV (commencing with Section 3082) of Part 4 of Division III of the Civil Code of the State of California.

3. **CONDITION.** This obligation is subject to the following condition.

A. The condition of this obligation as to Section 2.(A) above is such that if the above bounded Principal, his or its heirs, executors, administrators, successors or assigns, shall in all things stand to and abide by, and well and truly keep and perform the covenants, conditions and provisions in the said agreement and any alteration thereof made as therein provided, on his or their part, to be kept and performed at the time and in the manner therein specified, and in all respects according to their true intent and meaning, and shall indemnify and save harmless the County of Contra Costa (or city assignee), its officers, agents and employees, as therein stipulated, then this obligation shall become null and void; otherwise it shall be and remain in full force and effect.

As part of the obligation secured hereby and in addition to the face amount specified therefor, there shall be included costs and reasonable expenses and fees, including reasonable attorney's fees, incurred by the County of Contra Costa (or city assignee) in successfully enforcing such obligation, and to be taxed as costs and included in any judgment rendered.

B. The condition of this obligation, as to Section 2.(B) above, is such that said Principal and the undersigned as corporate surety are held firmly bound unto the County of Contra Costa and all contractors, subcontractors, laborers, materialmen and other persons employed in the performance of the aforesaid Subdivision Agreement and referred to in the aforesaid Civil Code for materials furnished or labor thereon of any kind, or for amounts due under the Unemployment Insurance Act with respect to this work or labor, and that the Surety will pay the same in an amount not exceeding the amount hereinabove set forth, and also in case suit is brought upon this bond, will pay, in addition to the face amount thereof, costs and reasonable expenses and fees, including reasonable attorney's fees, incurred by the County of Contra Costa (or city assignee) in successfully enforcing such obligation, to be awarded and fixed by the court, and to be taxed as costs and to be included in the judgment therein rendered.

It is hereby expressly stipulated and agreed that this bond shall inure to the benefit of any and all persons, companies, and corporations entitled to file claims under Title 15 (commencing with Section 3082) of Part 4 of Division 3 of the Civil Code, so as to give a right of action to them or their assigns in any suit brought upon this bond.

Should the condition of this bond be fully performed, then this obligation shall become null and void; otherwise it shall be and remain in full force and effect.

C. No change, extension of time, alteration, or addition to the terms of said Subdivision Agreement or the work to be performed thereunder or any plan or specifications of said work, agreed to by the Principal and the County of Contra Costa (or city assignee) shall relieve any Surety from liability on this bond; and consent is hereby given to make such change, extension of time, alteration or addition without further notice to or consent by Surety; and Surety hereby waives the provisions of Civil Code Section 2819 and holds itself bound without regard to and independently of any action against the Principal whenever taken.

SIGNED AND SEALED on July 14, 20 16.

Shapell Industries, Inc., a Delaware Corporation  
Principal: Corporation

Address: \_\_\_\_\_

Zip: \_\_\_\_\_

By: 

Print Name: Robert H. Moore

Title: Div. President

Surety: Western Surety Company

Address: 100 Matsonford Road

Radnor, PA Zip: 19087

By: 

Print Name: Joseph W. Kolok, Jr.

Title: Attorney-in-Fact

[Note: All signatures must be acknowledged. For corporations, two officers must sign. The first signature must be that of the chairman of the board, president, or vice-president; the second signature must be that of the secretary, assistant secretary, chief financial officer, or assistant treasurer. (Civ. Code, § 1190 and Corps. Code, § 313.)]

Form Approved by County Counsel  
(Rev. 1/06)

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGEMENT

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 PENNSYLVANIA

County of CHESTER

On JULY 14, 2016 before me, ARLENE OSTROFF, Notary Public  
Date Name and Title of Notary

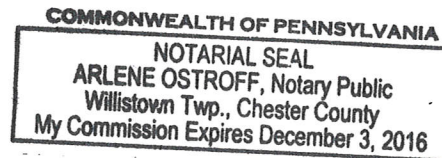
personally appeared JOSEPH W. KOLOK, JR.  
Name and or Names of Signer(s)

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 *Arlene Ostroff*  
Notary Public Signature



Place Notary Public Seal Above

OPTIONAL

*Though the information below is not required by law, it may prove valuable to the persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

## Description of Attached Document

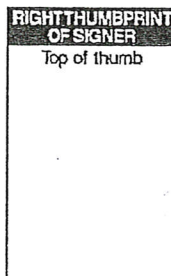
Title or Type of Document \_\_\_\_\_

Document Date \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer's Name: \_\_\_\_\_

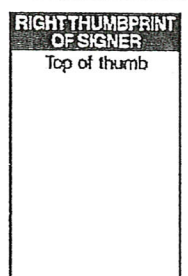
- ☐ Individual
- ☐ Corporate Officer – Title(s): \_\_\_\_\_
- ☐ Partner - ☐ Limited ☐ General
- ☐ Guardian or Conservator
- ☒ Attorney-in-Fact
- ☐ Trustee
- ☐ Other: \_\_\_\_\_

Signer is representing \_\_\_\_\_  
WESTERN SURETY COMPANY



- ☐ Individual
- ☐ Corporate Officer – Title(s): \_\_\_\_\_
- ☐ Partner - ☐ Limited ☐ General
- ☐ Guardian or Conservator
- ☐ Attorney-in-Fact
- ☐ Trustee
- ☐ Other: \_\_\_\_\_

Signer is representing \_\_\_\_\_





# Western Surety Company

## POWER OF ATTORNEY APPOINTING INDIVIDUAL ATTORNEY-IN-FACT

Know All Men By These Presents, That WESTERN SURETY COMPANY, a South Dakota corporation, is a duly organized and existing corporation having its principal office in the City of Sioux Falls, and State of South Dakota, and that it does by virtue of the signature and seal herein affixed hereby make, constitute and appoint

**William F Simkiss, Richard J Decker, Daniel P Dunigan, Joseph W Kolok Jr, Brian C Block, James L Hahn, Individually**

of Paoli, PA, its true and lawful Attorney(s)-in-Fact with full power and authority hereby conferred to sign, seal and execute for and on its behalf bonds, undertakings and other obligatory instruments of similar nature

### - In Unlimited Amounts -

and to bind it thereby as fully and to the same extent as if such instruments were signed by a duly authorized officer of the corporation and all the acts of said Attorney, pursuant to the authority hereby given, are hereby ratified and confirmed.

This Power of Attorney is made and executed pursuant to and by authority of the By-Law printed on the reverse hereof, duly adopted, as indicated, by the shareholders of the corporation.

In Witness Whereof, WESTERN SURETY COMPANY has caused these presents to be signed by its Vice President and its corporate seal to be hereto affixed on this 10th day of February, 2016.



WESTERN SURETY COMPANY

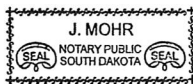
Paul T. Bruflat, Vice President

State of South Dakota }  
County of Minnehaha } ss

On this 10th day of February, 2016, before me personally came Paul T. Bruflat, to me known, who, being by me duly sworn, did depose and say: that he resides in the City of Sioux Falls, State of South Dakota; that he is the Vice President of WESTERN SURETY COMPANY described in and which executed the above instrument; that he knows the seal of said corporation; that the seal affixed to the said instrument is such corporate seal; that it was so affixed pursuant to authority given by the Board of Directors of said corporation and that he signed his name thereto pursuant to like authority, and acknowledges same to be the act and deed of said corporation.

My commission expires

June 23, 2021



J. Mohr, Notary Public

### CERTIFICATE

I, L. Nelson, Assistant Secretary of WESTERN SURETY COMPANY do hereby certify that the Power of Attorney hereinabove set forth is still in force, and further certify that the By-Law of the corporation printed on the reverse hereof is still in force. In testimony whereof I have hereunto subscribed my name and affixed the seal of the said corporation this 14TH day of JULY, 2016.



WESTERN SURETY COMPANY

L. Nelson, Assistant Secretary

WESTERN SURETY COMPANY  
Sioux Falls, South Dakota  
Statement of Net Admitted Assets and Liabilities  
December 31, 2015

ASSETS

Bonds	\$ 1,694,282,606
Common stocks	24,218,356
Cash, cash equivalents, and short-term investments	25,339,975
Investment income due and accrued	20,596,996
Premiums and considerations	27,577,388
Amounts recoverable from reinsurers	9,329,459
Federal & foreign income taxes recoverable	3,597,963
Net deferred tax asset	16,095,068
Receivable from parent, subsidiaries, and affiliates	1,645,324
Other assets	1,016,832
Total Assets	<u>\$ 1,823,699,967</u>

LIABILITIES AND SURPLUS


Losses	\$ 214,978,759
Loss adjustment expense	56,382,252
Other expenses	1,040,680
Taxes, License and fees	2,313,346
Unearned premiums	207,378,031
Advance premiums	5,566,599
Ceded reinsurance premiums payable	1,844,830
Provision for reinsurance	681,280
Other liabilities	10,175,884
Total Liabilities	<u>\$ 500,361,661</u>

Surplus Account;

Common stock	\$ 4,000,000
Gross paid in and contributed surplus	280,071,837
Unassigned funds	1,039,266,469
Surplus as regards policyholders	<u>\$ 1,323,338,306</u>
Total Liabilities and Capital	<u>\$ 1,823,699,967</u>

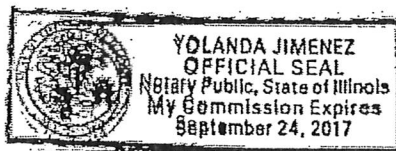
I, Troy Wray, Assistant Vice President of Western Surety Company hereby certify that the above is an accurate representation of the financial statement of the Company dated December 31, 2015, as filed with the various Insurance Departments and is a true and correct statement of the condition of Western Surety Company as of that date.

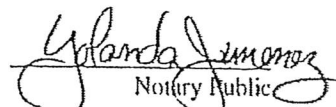
Western Surety Company

By   
Assistant Vice President

Subscribed and sworn to me this 21st day of March, 2016.

My commission expires:



  
Notary Public

## ACKNOWLEDGMENT

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 Alameda )

On July 14, 2016 before me, Jean R. Westphal, Notary Public  
(insert name and title of the officer)

personally appeared Robert D. Moore,  
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.

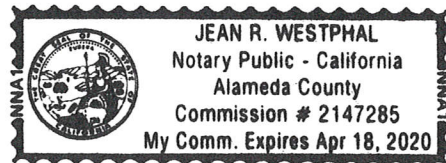
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature

*Jean R. Westphal*

(Seal)





**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Accept completion of public improvements for road acceptance RA06-01210, San Ramon (Dougherty Valley) area.

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/472 accepting completion of improvements for road acceptance RA06-01210 (cross-reference subdivision SD04-08856) 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.

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

The developer has completed the public improvements in accordance with the Title 9 of the County Ordinance Code.

**CONSEQUENCE OF NEGATIVE ACTION:**

The completion of improvements will not be accepted.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jocelyn LaRocque,  
925-313-2315

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

By: , Deputy

cc: R. Hutchins, Records, S. Reed, Design/Construction, Chris Lau, C. Halford, Mapping, L. Lorentini, Engineering Services, J. Hernandez, Engineering Services, L. Brown, Finance, C. Low, City of San Ramon



## ATTACHMENTS

Resolution No.  
2016/472

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/472**

IN THE MATTER OF: Accepting completion of improvements for road acceptance RA06-01210 (cross-reference subdivision SD04-08856) for a project developed by Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area. (District II)

The Public Works Director has notified this Board that the improvements in road acceptance RA06-01210 (cross-reference subdivision SD04-08856) have been completed.

WHEREAS, these improvements are located along 'new' Dougherty Road, near Bollinger Canyon Road.

NOW, THEREFORE, BE IT RESOLVED that the road improvements have been COMPLETED as of August 2, 2016, thereby establishing the six-month terminal period for the filing of liens in case of action under the Road Improvement Agreement for Improvement Warranty:

DATE OF AGREEMENT: August 2, 2016

NAME OF SURETY: Western Surety Company

BE IT FURTHER RESOLVED the payment (labor and materials) surety for \$6,315,500.00, Bond No. 58735832 issued by the above surety be RETAINED for the six-month lien guarantee period until February 2, 2017, at which time the Board AUTHORIZES the release of said surety less the amount of any claims on file.

BE IT FURTHER RESOLVED that Dougherty Road for the hereinafter described public improvements, as shown and dedicated on the Offer of Dedication for Roadway Purposes, accepted for recordation on May 24, 2016 (Resolution No. 2016/376) by this Board, are ACCEPTED AS COMPLETE.

Road Name: Dougherty Road

Length (miles): 1.00

Road/ROW Width: 142'

System: Arterial

BE IT FURTHER RESOLVED that upon acceptance by the Board of Supervisors, the San Ramon City Council shall accept the improvements for maintenance and ownership in accordance with the Dougherty Valley Memorandum of Understanding.

BE IT FURTHER RESOLVED that the beginning of the warranty period is hereby established, and the \$127,000.00 cash deposit (Auditor's Deposit Permit No. DP689558, dated July 16, 2015 and Auditor's Deposit Permit No. DP715383, dated July 18, 2016) made by Toll Brothers, Inc., and the performance/maintenance surety bond for \$1,767,650.00, Bond No. 58735832 issued by Western Surety Company be RETAINED pursuant to the requirements of Section 94-4.406 of the Ordinance Code until release by this Board.

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: Jocelyn LaRocque, 925-313-2315**

**ATTESTED: August 2, 2016**

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

By: , Deputy

**cc:** R. Hutchins, Records, S. Reed, Design/Construction, Chris Lau, C. Halford, Mapping, L. Lorentini, Engineering Services, J. Hernandez, Engineering Services, L. Brown, Finance, C. Low, City of San Ramon



Contra  
Costa  
County

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Approving the Road Improvement Agreement for Improvement Warranty for road acceptance RA12-01249, San Ramon (Dougherty Valley) area.

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/473 approving the Road Improvement Agreement for Improvement Warranty, for road acceptance RA12-01249 (cross-reference SD04-08856) for a project being 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.

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

Improvements have been reviewed and processed by Public Works staff and meets all conditions of approval and County requirements.

**CONSEQUENCE OF NEGATIVE ACTION:**

The Road Improvement Agreement for Improvement Warranty will not be approved.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jocelyn LaRocque,  
925-313-2315

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

By: , Deputy

cc: S. Reed, Design/Construction, L. Lorentini, Engineering Services, J. Hernandez, Engineering Services, C. Low, City of San Ramon

## ATTACHMENTS

Resolution No. 2016/473

RA06-1249 Road Improvement Agreement for Improvement  
Warranty

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/473**

IN THE MATTER OF: Approving the Road Improvement Agreement for Improvement Warranty for road acceptance RA12-01249 (cross-reference SD04-08856), a project being developed by Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area. (District II)

WHEREAS, these improvements are approximately located along 'new' Dougherty Road, near Bollinger Canyon Road. The following document was presented for Board approval road acceptance RA12-01249 (cross-reference SD04-08856) property located in the San Ramon (Dougherty Valley) area, Supervisorial District II.

A Road Improvement Agreement for Improvement Warranty with Shapell Industries, Inc., a Delaware Corporation, principal, whereby said principal agrees to warrant all improvements, as required in said Road Improvement Agreement for Improvement Warranty, for one year from the date of said agreement. Improvements generally consist of road and street improvements, tract drainage, street signs, and all other public improvements.

Said document was accompanied by security to guarantee the warranty of road improvements, as required by Title 9 of the County Ordinance Code, as follows:

1. Cash Bond

Performance Amount: \$25,000.00

Auditor's Deposit Permit No.: DP660482

Date: June 5, 2014

Submitted by: Toll Brothers, Inc.

2. Surety Bond

Bond Company: Western Surety Company

Bond No.: 58735833

Date: July 14, 2016 Performance Amount: \$349,250.00

Labor & Materials Amount: \$1,247,500.00 Principal: Shapell Industries, Inc., a Delaware Corporation

NOW, THEREFORE, BE IT RESOLVED that said Road Improvement Agreement for Improvement Warranty is APPROVED. All deposit permits are on file with the Public Works Department.

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: August 2, 2016**

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

**Contact: Jocelyn LaRocque, 925-313-2315**

By: , Deputy

**cc:** S. Reed, Design/Construction, L. Lorentini, Engineering Services, J. Hernandez, Engineering Services, C. Low, City of San Ramon

**ROAD IMPROVEMENT AGREEMENT FOR  
IMPROVEMENT WARRANTY**

(After Construction is Complete)  
(Government Code §§ 66462 and 66463)

**Development:** RA 06-1249

**Road:** Dougherty Road

**Developer:** Shapell Industries Inc., a Delaware Corp

**Maintenance Period:** 1 year

**Effective Date:** \_\_\_\_\_

**Deposits:**

A. (Cash) \$ 25,000

B. (Bonds, etc.)

1. (Faithful Performance & Maintenance) \$ 349,250

2. (Payment) \$ 1,247,500

1. **PARTIES & DATE.** Effective on the above date, the County of Contra Costa, California, hereinafter called "County," and the above-named Developer, mutually promise and agree as follows concerning this development.

2. **IMPROVEMENT WARRANTY.** Developer warrants that the road and street improvements, development drainage, street signs, and all other public improvements were constructed, installed and completed in this development in a manner equal or superior to the requirements of the County Ordinance Code, Title 9.

3. **GUARANTEE & MAINTENANCE.** Developer guarantees that the aforesaid development improvements are and will be free from defects and will perform satisfactorily in accordance with County Ordinance Code; and he shall maintain the improvements for one year after the date of this agreement against any defective workmanship or materials or any unsatisfactory performance.

4. **IMPROVEMENT SECURIT - DEPOSIT & BONDS.** Upon executing this agreement, Developer shall deposit as security with the County:

A. Cash: \$1,000.00 cash or 1% of the estimated cost of the improvements, whichever is more; together with

B. Bond, etc.: (1. Faithful performance) additional security totaling 15% of the cost of the estimated improvements less the cash deposit in the form of a cash deposit, acceptable instrument of credit, or an acceptable corporate surety bond, guaranteeing his faithful performance of this agreement and maintenance of the work for one year after the date of this agreement against any defective workmanship or materials or any unsatisfactory performance; plus (2. payment for labor & materials) another such additional security in at least the above specified amount, which is 50% of the estimated cost of the aforementioned improvements, securing payment to the contractor, to his subcontractors, and to persons renting equipment or furnishing labor or materials to them or to the Developer. Said payment bond to become null and void six months after the completion of improvements.

5. **NO WAIVER BY COUNTY.** Inspection of the improvements and/or materials, or approval of improvements and/or materials inspected, or statement by any officer, agent or employee of the County indicating that the improvements or any part thereof comply with the requirements of this agreement, or acceptance of the whole or any part of said improvements and/or materials, or payments, therefor, or any combination or all of these acts, shall not relieve the Developer of his obligation to fulfill this agreement as prescribed; nor shall the County be thereby be stopped from bringing any action for damages arising from the failure to comply with any of the terms and conditions hereof.

6. **INDEMNITY:** Developer shall hold harmless and indemnify the indemnities from the liabilities as defined in this section:



A. The indemnities benefited and protected by this promise are the County, and its special district, elective and appointive boards, commissions, officers, agents, and employees;

B. The liabilities protected against are any liability or claim for damage of any kind allegedly suffered, incurred or threatened because of actions defined below, and including personal injury, death, property damage, inverse condemnation, or any combination of these, and regardless of whether or not such liability, claim or damage was unforeseeable at any time before the County approved the subdivision map or accepted the improvements as completed, and including the defense of any suit(s), action(s), or other proceeding(s) concerning these;

C. The actions causing liability are any act or omission (negligent or non-negligent) in connection with the matters covered by this agreement and attributable to the Developer, contractor, subcontractor, or any officer, agent, or employee of one or more of them;

D. Non-Conditions: The promise and agreement in this section are not conditioned or dependent on whether or not any Indemnity has prepared, supplied, or approved any plan(s) or specification(s) in connection with the improvements or development, or has insurance or other indemnification covering any of these matters.

7. COSTS: Developer shall pay or have paid when due all the costs of the work, including inspections thereof and relocating existing utilities required thereby.

8. NON-PERFORMANCE AND COSTS: If Developer fails to maintain the work and improvements during the time specified in this agreement, County may proceed to maintain them by contract or otherwise, and Developer shall pay the costs and charges, therefor immediately upon demand. If County sues to compel performance of this agreement or recover engineering costs and the cost of maintaining the improvements, Developer shall pay all reasonable attorneys' fees, costs of suit, and all other expenses of litigation incurred by County in connection therewith.

9. ASSIGNMENT: If before the completion of the maintenance period the development is annexed to a city, the County may assign to that city the County's rights under this agreement and any deposit or bond securing them.

10. LABOR & MATERIALS, WARRANTY: Developer further warrants that the claims and liens of all persons, contractors, and subcontractors furnishing labor or materials for the installation of said improvements in the development have been satisfied. The Developer agrees to satisfy any valid claims or liens of labor and materialmen as to the said improvements and development appearing hereafter upon demand by the County.

11. CONSIDERATION: In consideration hereof, County shall clear the development for occupancy, and recognizes this development as one complying with State laws and County ordinances.

CONTRA COSTA COUNTY:

Julia R. Bueren, Public Works Director

By: \_\_\_\_\_

RECOMMENDED FOR APPROVAL:

By: \_\_\_\_\_

Engineering Services Division

Developer:

Shapel Industries Inc., a Delaware Corporation

  
Robert D. Moore

(Name and Title)

  
David Presiding



TODD CALLAHAN

(Name and Title)

VICE PRESIDENT

FORM APPROVED: Victor J. Westman, County Counsel

## ACKNOWLEDGMENT

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 Alameda

On July 6, 2016 before me, Jean R. Westphal, Notary Public  
(insert name and title of the officer)

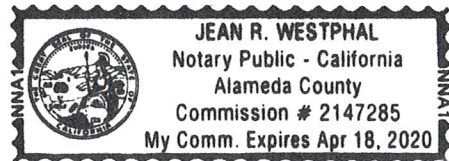
personally appeared Robert D. Moore,  
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are  
subscribed to the within instrument and acknowledged to me that he/~~she/they~~ executed the same in  
his/~~her/their~~ authorized capacity(ies), and that by his/~~her/their~~ 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 Jean R. Westphal

(Seal)



## ACKNOWLEDGMENT

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 Alameda

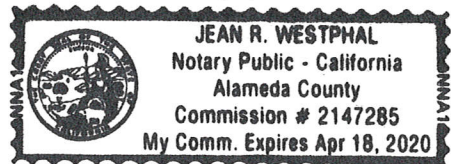
On July 6, 2016 before me, Jean R. Westphal, Notary Public  
(insert name and title of the officer)

personally appeared Todd Callahan,  
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 Jean R. Westphal (Seal)





Subdivision: Gale Ranch IV RA 12-1249

Bond No.: 58735833

Premium: 2794.00

Any claim under this Bond should be sent

to the following address:

2 Paoli Office Park

Paoli, PA 19301

**IMPROVEMENT SECURITY BOND  
FOR SUBDIVISION AGREEMENT**  
(Performance, Guarantee and Payment)  
(Gov. Code, §§ 66499-66499.10)

1. **RECITAL OF SUBDIVISION AGREEMENT.** The Principal has executed an agreement with the County of Contra Costa (hereinafter "County") to install and pay for street, drainage and other improvements in Subdivision 12-1249 as specified in the Subdivision Agreement, and to complete said work within the time specified for completion in the Subdivision Agreement, all in accordance with State and local laws and rulings thereunder in order to satisfy conditions for filing of the Final Map or Parcel Map for said subdivision. Under the terms of the Subdivision Agreement, Principal is required to furnish a bond to secure the faithful performance of the Subdivision Agreement and payment to laborers and materialmen.

2. **OBLIGATION.** Shapell Industries, Inc., a Delaware Corporation, as Principal, and Western Surety Company, a corporation organized and existing under the laws of the State of South Dakota and authorized to transact surety business in California, as Surety, hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns to the County of Contra Costa, California to pay it:

(A. Performance and Guarantee) Three Hundred Forty Nine Thousand Two Hundred Fifty and 00/100 Dollars (\$ 349,250.00) for itself or any city assignee under the above Subdivision Agreement.

(B. Payment) One Million Two Hundred Forty Seven Thousand Five Hundred and 00/100 Dollars (\$ 1,247,500.00) to secure the claims to which reference is made in Title XV (commencing with Section 3082) of Part 4 of Division III of the Civil Code of the State of California.

3. **CONDITION.** This obligation is subject to the following condition.

A. The condition of this obligation as to Section 2.(A) above is such that if the above bounded Principal, his or its heirs, executors, administrators, successors or assigns, shall in all things stand to and abide by, and well and truly keep and perform the covenants, conditions and provisions in the said agreement and any alteration thereof made as therein provided, on his or their part, to be kept and performed at the time and in the manner therein specified, and in all respects according to their true intent and meaning, and shall indemnify and save harmless the County of Contra Costa (or city assignee), its officers, agents and employees, as therein stipulated, then this obligation shall become null and void; otherwise it shall be and remain in full force and effect.

As part of the obligation secured hereby and in addition to the face amount specified therefor, there shall be included costs and reasonable expenses and fees, including reasonable attorney's fees, incurred by the County of Contra Costa (or city assignee) in successfully enforcing such obligation, and to be taxed as costs and included in any judgment rendered.

B. The condition of this obligation, as to Section 2.(B) above, is such that said Principal and the undersigned as corporate surety are held firmly bound unto the County of Contra Costa and all contractors, subcontractors, laborers, materialmen and other persons employed in the performance of the aforesaid Subdivision Agreement and referred to in the aforesaid Civil Code for materials furnished or labor thereon of any kind, or for amounts due under the Unemployment Insurance Act with respect to this work or labor, and that the Surety will pay the same in an amount not exceeding the amount hereinabove set forth, and also in case suit is brought upon this bond, will pay, in addition to the face amount thereof, costs and reasonable expenses and fees, including reasonable attorney's fees, incurred by the County of Contra Costa (or city assignee) in successfully enforcing such obligation, to be awarded and fixed by the court, and to be taxed as costs and to be included in the judgment therein rendered.

It is hereby expressly stipulated and agreed that this bond shall inure to the benefit of any and all persons, companies, and corporations entitled to file claims under Title 15 (commencing with Section 3082) of Part 4 of Division 3 of the Civil Code, so as to give a right of action to them or their assigns in any suit brought upon this bond.

Should the condition of this bond be fully performed, then this obligation shall become null and void; otherwise it shall be and remain in full force and effect.

C. No change, extension of time, alteration, or addition to the terms of said Subdivision Agreement or the work to be performed thereunder or any plan or specifications of said work, agreed to by the Principal and the County of Contra Costa (or city assignee) shall relieve any Surety from liability on this bond; and consent is hereby given to make such change, extension of time, alteration or addition without further notice to or consent by Surety; and Surety hereby waives the provisions of Civil Code Section 2819 and holds itself bound without regard to and independently of any action against the Principal whenever taken.

SIGNED AND SEALED on July 14, 20 16.

Shapell Industries, Inc., a Delaware Corporation  
Principal: \_\_\_\_\_

Address: \_\_\_\_\_

Zip: \_\_\_\_\_

By: \_\_\_\_\_

Print Name: Robert H. Moore

Title: Dr. President

Surety: Western Surety Company

Address: 100 Matsonford Road

Radnor, PA

Zip: 19087

By: \_\_\_\_\_

Print Name: Joseph W. Kolok, Jr.

Title: Attorney-in-Fact

[Note: All signatures must be acknowledged. For corporations, two officers must sign. The first signature must be that of the chairman of the board, president, or vice-president; the second signature must be that of the secretary, assistant secretary, chief financial officer, or assistant treasurer. (Civ. Code, § 1190 and Corps. Code, § 313.)]

Form Approved by County Counsel  
[Rev. 1/06]

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGEMENT

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 PENNSYLVANIA

County of CHESTER



On JULY 14, 2016 before me, ARLENE OSTROFF, Notary Public

Date

Name and Title of Notary

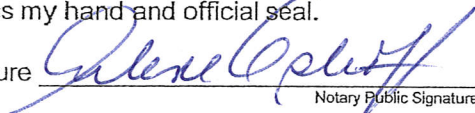
personally appeared JOSEPH W. KOLOK, JR.

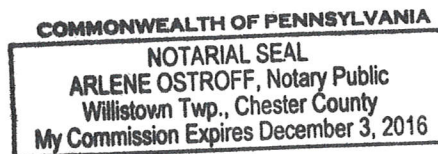
Name and or Names of Signer(s)

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   
Notary Public Signature



Place Notary Public Seal Above

## OPTIONAL

Though the information below is not required by law, it may prove valuable to the persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document \_\_\_\_\_

Document Date \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer's Name: \_\_\_\_\_

- ☐ Individual
- ☐ Corporate Officer – Title(s): \_\_\_\_\_
- ☐ Partner - ☐ Limited ☐ General
- ☐ Guardian or Conservator
- ☒ Attorney-in-Fact
- ☐ Trustee
- ☐ Other: \_\_\_\_\_

Signer is representing \_\_\_\_\_

WESTERN SURETY COMPANY

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb

- ☐ Individual
- ☐ Corporate Officer – Title(s): \_\_\_\_\_
- ☐ Partner - ☐ Limited ☐ General
- ☐ Guardian or Conservator
- ☐ Attorney-in-Fact
- ☐ Trustee
- ☐ Other: \_\_\_\_\_

Signer is representing \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb

# Western Surety Company

## POWER OF ATTORNEY APPOINTING INDIVIDUAL ATTORNEY-IN-FACT

Know All Men By These Presents, That WESTERN SURETY COMPANY, a South Dakota corporation, is a duly organized and existing corporation having its principal office in the City of Sioux Falls, and State of South Dakota, and that it does by virtue of the signature and seal herein affixed hereby make, constitute and appoint

**William F Simkiss, Richard J Decker, Daniel P Dunigan, Joseph W Kolok Jr, Brian C Block, James L Hahn, Individually**

of Paoli, PA, its true and lawful Attorney(s)-in-Fact with full power and authority hereby conferred to sign, seal and execute for and on its behalf bonds, undertakings and other obligatory instruments of similar nature

### - In Unlimited Amounts -

and to bind it thereby as fully and to the same extent as if such instruments were signed by a duly authorized officer of the corporation and all the acts of said Attorney, pursuant to the authority hereby given, are hereby ratified and confirmed.

This Power of Attorney is made and executed pursuant to and by authority of the By-Law printed on the reverse hereof, duly adopted, as indicated, by the shareholders of the corporation.

In Witness Whereof, WESTERN SURETY COMPANY has caused these presents to be signed by its Vice President and its corporate seal to be hereto affixed on this 10th day of February, 2016.



WESTERN SURETY COMPANY

Paul T. Bruflat, Vice President

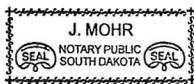
State of South Dakota  
County of Minnehaha

} ss

On this 10th day of February, 2016, before me personally came Paul T. Bruflat, to me known, who, being by me duly sworn, did depose and say: that he resides in the City of Sioux Falls, State of South Dakota; that he is the Vice President of WESTERN SURETY COMPANY described in and which executed the above instrument; that he knows the seal of said corporation; that the seal affixed to the said instrument is such corporate seal; that it was so affixed pursuant to authority given by the Board of Directors of said corporation and that he signed his name thereto pursuant to like authority, and acknowledges same to be the act and deed of said corporation.

My commission expires

June 23, 2021



J. Mohr, Notary Public

### CERTIFICATE

I, L. Nelson, Assistant Secretary of WESTERN SURETY COMPANY do hereby certify that the Power of Attorney hereinabove set forth is still in force, and further certify that the By-Law of the corporation printed on the reverse hereof is still in force. In testimony whereof I have hereunto subscribed my name and affixed the seal of the said corporation this 14TH day of JULY, 2016.



WESTERN SURETY COMPANY

L. Nelson, Assistant Secretary

WESTERN SURETY COMPANY  
Sioux Falls, South Dakota  
Statement of Net Admitted Assets and Liabilities  
December 31, 2015

ASSETS

Bonds	\$ 1,694,282,606
Common stocks	24,218,356
Cash, cash equivalents, and short-term investments	25,339,975
Investment income due and accrued	20,596,996
Premiums and considerations	27,577,388
Amounts recoverable from reinsurers	9,329,459
Federal & foreign income taxes recoverable	3,597,963
Net deferred tax asset	16,095,068
Receivable from parent, subsidiaries, and affiliates	1,645,324
Other assets	1,016,832
Total Assets	<u>\$ 1,823,699,967</u>

LIABILITIES AND SURPLUS

Losses	\$ 214,978,759
Loss adjustment expense	56,382,252
Other expenses	1,040,680
Taxes, License and fees	2,313,346
Unearned premiums	207,378,031
Advance premiums	5,566,599
Ceded reinsurance premiums payable	1,844,830
Provision for reinsurance	681,280
Other liabilities	10,175,884
Total Liabilities	<u>\$ 500,361,661</u>

Surplus Account:

Common stock	\$ 4,000,000
Gross paid in and contributed surplus	280,071,837
Unassigned funds	1,039,266,469
Surplus as regards policyholders	<u>\$ 1,323,338,306</u>
Total Liabilities and Capital	<u>\$ 1,823,699,967</u>

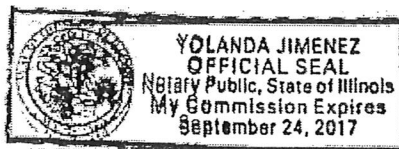
I, Troy Wray, Assistant Vice President of Western Surety Company hereby certify that the above is an accurate representation of the financial statement of the Company dated December 31, 2015, as filed with the various Insurance Departments and is a true and correct statement of the condition of Western Surety Company as of that date.

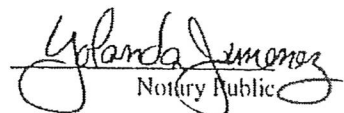
Western Surety Company

By   
Assistant Vice President

Subscribed and sworn to me this 21st day of March, 2016.

My commission expires:



  
Notary Public



## ACKNOWLEDGMENT

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 Alameda )

On July 14, 2016 before me, Jean R. Westphal, Notary Public  
(insert name and title of the officer)

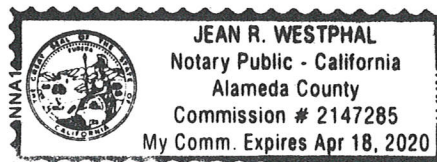
personally appeared Robert D. Moore,  
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are  
subscribed to the within instrument and acknowledged to me that he/she/they executed the same in  
his/her/their authorized capacity(ies), and that by his/her/their 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 Jean R. Westphal

(Seal)





**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Accept completion of public improvements for road acceptance RA12-01249, San Ramon (Dougherty Valley) area.

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/475 accepting completion of improvements for road acceptance RA12-01249 (cross-reference subdivision SD04-08856) 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.

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

The developer has completed the public improvements in accordance with the Title 9 of the Country Ordinance Code.

**CONSEQUENCE OF NEGATIVE ACTION:**

The completion of improvements will not be accepted.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jocelyn LaRocque,  
925-313-2315

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

By: , Deputy

cc: R. Hutchins, Records, S. Reed, Design/Construction, Chris Lau, C. Halford, Mapping, L. Lorentini, Engineering Services, J. Hernandez, Engineering Services, L. Brown, Finance

## ATTACHMENTS

Resolution No.  
2016/475

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/475**

IN THE MATTER OF: Accepting completion of improvements for road acceptance RA12-01249 (cross-reference subdivision SD04-08856) for a project developed by Shapell Industries, Inc., a Delaware Corporation, as recommended by the Public Works Director, San Ramon (Dougherty Valley) area. (District II)

The Public Works Director has notified this Board that the improvements in road acceptance RA12-01249 (cross-reference subdivision SD04-08856) have been completed.

WHEREAS, these improvements are located along 'new' Dougherty Road near Bollinger Canyon Road.

NOW, THEREFORE, BE IT RESOLVED that the road improvements have been COMPLETED as of August 2, 2016 thereby establishing the six-month terminal period for the filing of liens in case of action under the Road Improvement Agreement for Improvement Warranty:

DATE OF AGREEMENT: August 2, 2016

NAME OF SURETY: Western Surety Company

BE IT FURTHER RESOLVED the payment (labor and materials) surety for \$1,247,500.00, Bond No. 58735833 issued by the above surety be RETAINED for the six-month lien guarantee period until February 2, 2017, at which time the Board AUTHORIZES the release of said surety less the amount of any claims on file.

BE IT FURTHER RESOLVED that Dougherty Road for the hereinafter described public improvements, as shown and dedicated on the Offer of Dedication for Roadway Purposes, accepted for recordation on March 3, 2015 (Resolution No. 2015/59) by this Board, are ACCEPTED AS COMPLETE.

Road Name: Dougherty Road

Length (miles): 0.30

Road/ROW Width: 142'

System: Arterial

BE IT FURTHER RESOLVED that upon acceptance by the Board of Supervisors, the San Ramon City Council shall accept the improvements for maintenance and ownership in accordance with the Dougherty Valley Memorandum of Understanding.

BE IT FURTHER RESOLVED that the beginning of the warranty period is hereby established, and the \$25,000.00 cash deposit (Auditor's Deposit Permit No. DP660482, dated June 5, 2014) made by Toll Brothers, Inc. and the performance/maintenance surety bond for \$349,250.00, Bond No. 58735833 issued by Western Surety Company be RETAINED pursuant to the requirements of Section 94-4.406 of the Ordinance Code until release by this Board.

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: August 2, 2016**

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

**Contact: Jocelyn LaRocque, 925-313-2315**

By: , Deputy

**cc:** R. Hutchins, Records, S. Reed, Design/Construction, Chris Lau, C. Halford, Mapping, L. Lorentini, Engineering Services, J. Hernandez, Engineering Services, L. Brown, Finance



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Accept an Access Easement from the City of Oakley regarding the Cypress Grove Development Project

---

**RECOMMENDATION(S):**

ACCEPT an access easement from the City of Oakley conveying to the Contra Costa County Flood Control and Water Conservation District the right to access the portion of the Marsh Creek Channel located adjacent to Warhol Way in the City of Oakley (Project No. 7521-6D8325 [SCH#: 2001122073])

DIRECT the Real Estate Division of the Public Works Department to record the above referenced Access Easement in the Office of the County Clerk-Recorder.

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

Prior to construction

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Olivia Reynolds, (925)  
313-2306

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

By: , Deputy

cc:

BACKGROUND: (CONT'D)

of the Cypress Grove Development Project, the District had an access road to the Marsh Creek Channel (Channel) located off E. Cypress Road, on the north side of the railroad tracks. The developer was allowed to remove the access road and build a new trail along Warhol Way to connect to the East Bay Regional Parks District (EBRPD) trail/District Maintenance Road along the Channel, with the understanding that the District would have access to the Channel north of the railroad tracks by using Warhol Way. It is now necessary for the District to acquire an access easement from the City over the trail from Warhol way to the Channel.

On October 6, 2004, the County Board of Supervisors adopted the previously certified City of Oakley's Final Environmental Impact Report for the project. SCH # 2001122073.

CONSEQUENCE OF NEGATIVE ACTION:

The District will not have sufficient access rights to maintain Marsh Creek.

ATTACHMENTS

Access Easement, Cypress Grove Dev., Oakley



Recorded at the request of:  
Contra Costa County Flood  
Control & Water Conservation  
District

Return to:  
Contra Costa County  
Public Works Department  
Real Estate Division  
255 Glacier Drive  
Martinez, CA 94553  
Attn: Olivia D. Reynolds

Portion of Assessor's Parcel No. 037-500-092  
FCPID: 5095

## ACCESS EASEMENT

**THIS INDENTURE**, made by and between the City of Oakley, a municipal corporation, 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 a perpetual easement and right of way for ingress and egress purposes, in, under, along, and across that certain real property in the County of Contra Costa, State of California, described as follows:

**FOR DESCRIPTION SEE EXHIBIT "A" 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 flood control 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 including, but not limited to, the driveway, concrete ramp, and bollards within the area described in Exhibit "A" herein, unless damage is a result of the GRANTEE's negligence or misconduct.

**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 12<sup>th</sup> day of April, 2016.

#### CITY

City of Oakley, a municipal corporation

By: Bryan H. Montgomery  
Bryan H. Montgomery, City Manager

Attest:

By: Kim Carmody  
or Libby Vreonis, City Clerk

**ABOVE SIGNATURES MUST BE NOTARIZED**

PORTION OF PARCEL B, SUBDIVISION 8680 (486 M 1)  
CONTRA COSTA COUNTY

FCD PARCEL 5095

JANUARY 20, 2010  
JOB NO.: 0985-010  
ACCESS EASEMENT FOR THE  
CONTRA COSTA COUNTY FLOOD CONTROL AND  
WATER CONSERVATION DISTRICT (CCCFC & WCD)  
FROM THE CITY OF OAKLEY

EXHIBIT 'A'

LEGAL DESCRIPTION

REAL PROPERTY, SITUATE IN THE CITY OF OAKLEY, COUNTY OF CONTRA COSTA,  
STATE OF CALIFORNIA, DESCRIBED AS FOLLOWS:

BEING A PORTION OF PARCEL B, AS SAID PARCEL B IS SHOWN AND DESIGNATED  
ON THE MAP OF SUBDIVISION 8680, RECORDED FEBRUARY 23, 2005, IN BOOK  
476 OF MAPS AT PAGE 1, IN THE OFFICE OF THE COUNTY RECORDER OF CONTRA  
COSTA COUNTY, DESCRIBED AS FOLLOWS:

COMMENCING AT THE WESTERN CORNER OF SAID PARCEL B;

THENCE, FROM SAID POINT OF COMMENCEMENT, ALONG THE NORTHWESTERN LINE  
OF SAID PARCEL B, ALONG THE ARC OF A NON-TANGENT 464.00 FOOT RADIUS  
CURVE TO THE LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH  
55°10'15" WEST, THROUGH A CENTRAL ANGLE OF 12°02'06", AN ARC DISTANCE  
OF 97.46 FEET TO THE POINT OF BEGINNING;

THENCE, FROM SAID POINT OF BEGINNING, CONTINUING ALONG SAID  
NORTHWESTERN LINE, ALONG SAID 464.00 FOOT RADIUS CURVE TO THE LEFT,  
FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH 67°12'21" WEST,  
THROUGH A CENTRAL ANGLE OF 07°15'41", AN ARC DISTANCE OF 58.81 FEET;

THENCE, LEAVING SAID NORTHWESTERN LINE, SOUTH 74°28'02" EAST 10.00  
FEET;

THENCE, ALONG THE ARC OF A NON-TANGENT 474.00 FOOT RADIUS CURVE TO THE  
RIGHT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH 74°28'02" WEST,  
THROUGH A CENTRAL ANGLE OF 03°37'37", AN ARC DISTANCE OF 30.01 FEET;

THENCE, SOUTH 01°50'13" EAST 90.61 FEET;

THENCE, ALONG THE ARC OF A TANGENT 179.00 FOOT RADIUS CURVE TO THE  
LEFT, THROUGH A CENTRAL ANGLE OF 20°02'35", AN ARC DISTANCE OF 62.62  
FEET;

THENCE, ALONG THE ARC OF A COMPOUND 24.00 FOOT RADIUS CURVE TO THE  
LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH 68°07'12" EAST,  
THROUGH A CENTRAL ANGLE OF 87°27'30", AN ARC DISTANCE OF 36.63 FEET TO  
A POINT ON THE EASTERN LINE OF SAID PARCEL B;

THENCE, ALONG SAID EASTERN LINE, ALONG THE ARC OF A NON-TANGENT 272.00 FOOT RADIUS CURVE TO THE LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH  $63^{\circ}16'40''$  EAST, THROUGH A CENTRAL ANGLE OF  $9^{\circ}15'18''$ , AN ARC DISTANCE OF 43.94 FEET;

THENCE, LEAVING SAID EASTERN LINE, ALONG THE ARC OF A NON-TANGENT 19.00 FOOT RADIUS CURVE TO THE LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS SOUTH  $52^{\circ}54'33''$  EAST, THROUGH A CENTRAL ANGLE OF  $86^{\circ}59'34''$ , AN ARC DISTANCE OF 28.85 FEET;

THENCE, SOUTH  $40^{\circ}05'53''$  WEST 12.00 FEET;

THENCE, NORTH  $49^{\circ}54'07''$  WEST 8.43 FEET;

THENCE, ALONG THE ARC OF A TANGENT 193.00 FOOT RADIUS CURVE TO THE RIGHT, THROUGH A CENTRAL OF  $48^{\circ}03'54''$ , AN ARC DISTANCE OF 161.91 FEET;

THENCE, NORTH  $01^{\circ}50'13''$  WEST 63.97 FEET;

THENCE, NORTH  $67^{\circ}12'21''$  WEST 7.42 FEET TO SAID POINT OF BEGINNING.

CONTAINING 4,993 SQUARE FEET OF LAND, MORE OR LESS.

ATTACHED HERETO IS A PLAT TO ACCOMPANY LEGAL DESCRIPTION, AND BY THIS REFERENCE MADE A PART HEREOF.

END OF DESCRIPTION

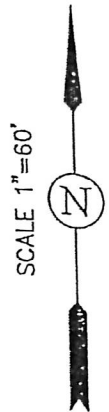


Christopher S. Harmison

CHRISTOPHER S. HARMISON, P.L.S.  
L.S. NO. 7176  
EXPIRES: DECEMBER 31, 2011

# EXHIBIT 'B'

TANGENT TABLE		
NO.	BEARING	LENGTH
L1	S74°28'02"E(R)	10.00'
L2	S01°50'13"E	90.61'
L3	S40°05'53"W	12.00'
L4	N49°54'07"W	8.43'
L5	N01°50'13"W	63.97'
L6	N67°12'21"W(R)	7.42'



POB  
N67°12'21"W(R)

POC  
N55°10'15"W(R)

MARSH CREEK

PARCEL B  
476 M 1

ACCESS  
EASEMENT  
(PARCEL 5095)  
4,993 SF

N68°07'12"E(R)

N63°16'40"E(R)

SUBDIVISION  
8680  
476 M 1

WAREHOL WAY

S52°54'33"E(R)

BNSF RAILROAD

CURVE TABLE			
NO.	DELTA	RADIUS	LENGTH
C1	07°15'41"	464.00'	58.81'
C2	03°37'37"	474.00'	30.01'
C3	20°02'35"	179.00'	62.62'
C4	87°27'30"	24.00'	36.63'
C5	09°15'18"	272.00'	43.94'
C6	86°59'34"	19.00'	28.85'
C7	48°03'54"	193.00'	161.91'
C8	12°02'06"	464.00'	97.46'

## PLAT TO ACCOMPANY LEGAL DESCRIPTION ACCESS EASEMENT

CONTRA COSTA COUNTY FLOOD CONTROL  
AND WATER CONSERVATION DISTRICT (CCCFC&WCD)  
CITY OF OAKLEY, CONTRA COSTA COUNTY, CALIFORNIA

DATE: NOVEMBER 2009

CCCFC & WCD DRAWING NO. FA-20,027

Carlson, Barbee, & Gibson, Inc.

CIVIL ENGINEERS • SURVEYORS • PLANNERS

6111 BOLLINGER CANYON ROAD, SUITE 150 SAN RAMON, CALIFORNIA 94583

TELEPHONE: (925) 866-0322 FAX: (925) 866-8575

**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 )

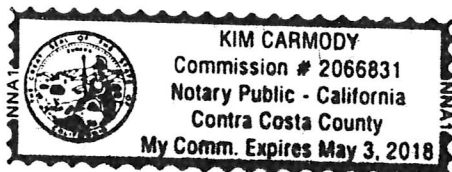
On 4/14/2016 before me, Kim Carmody, Notary Public,  
Date Here Insert Name and Title of the Officer

personally appeared Bryan H Montgomery  
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 Kim Carmody  
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: Access Easement Document Date: \_\_\_\_\_

Number of Pages: \_\_\_\_\_ Signer(s) Other Than Named Above: \_\_\_\_\_

**Capacity(ies) Claimed by Signer(s)**

Signer's Name: \_\_\_\_\_

- ☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Individual ☐ Attorney in Fact  
☐ Trustee ☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

Signer's Name: \_\_\_\_\_

- ☐ Corporate Officer — Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Individual ☐ Attorney in Fact  
☐ Trustee ☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RESOLUTION NO. 41- 16

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF OAKLEY,  
CALIFORNIA, APPROVING AN ACCESS EASEMENT FROM THE CITY OF  
OAKLEY TO CONTRA COSTA COUNTY FLOOD CONTROL AND WATER  
CONSERVATION DISTRICT RELATED TO ASSESSOR'S PARCEL NUMBER  
037-500-092 AND AUTHORIZING THE CITY MANAGER TO EXECUTE THE  
ACCESS EASEMENT

**WHEREAS**, the City of Oakley is the fee title owner of Parcel B of  
Subdivision 8680, also referred to as Assessor's Parcel Number 037-500-092;  
and

**WHEREAS**, Parcel B is adjacent to the Marsh Creek and owned by the  
Contra Costa County Flood Control and Water Conservation District; and

**WHEREAS**, the Access Easement is necessary to allow the Contra Costa  
County Flood Control and Water Conservation District to have ingress and  
egress of a portion of Parcel B for flood control purposes for Marsh Creek; and

**NOW, THEREFORE, BE IT RESOLVED AND ORDERED**, that the City  
Council of the City of Oakley approve the Access Easement from the City of  
Oakley to Contra Costa County Flood Control and Water Conservation District  
affecting a portion of Parcel B of Subdivision 8680 as more particularly and  
precisely described in Exhibit A attached hereto and the City Manager is hereby  
authorized to execute the Access Easement.

**PASSED, APPROVED AND ADOPTED** by the City Council of the City of  
Oakley at a meeting held on this 12<sup>th</sup> day of April, 2016 by the following vote:

AYES: Hardcastle, Higgins, Perry, Pope, Romick

NOES:

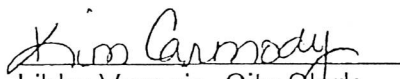
ABSENT:

ABSTENTIONS:

APPROVED:

  
Kevin Romick, Mayor

ATTEST:

  
Libby Vreonis, City Clerk

4-13-16  
Date

PORTION OF PARCEL B, SUBDIVISION 8680 (486 M 1)  
CONTRA COSTA COUNTY

FCD PARCEL 5095

JANUARY 20, 2010  
JOB NO.: 0985-010  
ACCESS EASEMENT FOR THE  
CONTRA COSTA COUNTY FLOOD CONTROL AND  
WATER CONSERVATION DISTRICT (CCCFC & WCD)  
FROM THE CITY OF OAKLEY

EXHIBIT 'A'

LEGAL DESCRIPTION

REAL PROPERTY, SITUATE IN THE CITY OF OAKLEY, COUNTY OF CONTRA COSTA,  
STATE OF CALIFORNIA, DESCRIBED AS FOLLOWS:

BEING A PORTION OF PARCEL B, AS SAID PARCEL B IS SHOWN AND DESIGNATED  
ON THE MAP OF SUBDIVISION 8680, RECORDED FEBRUARY 23, 2005, IN BOOK  
476 OF MAPS AT PAGE 1, IN THE OFFICE OF THE COUNTY RECORDER OF CONTRA  
COSTA COUNTY, DESCRIBED AS FOLLOWS:

COMMENCING AT THE WESTERN CORNER OF SAID PARCEL B;

THENCE, FROM SAID POINT OF COMMENCEMENT, ALONG THE NORTHWESTERN LINE  
OF SAID PARCEL B, ALONG THE ARC OF A NON-TANGENT 464.00 FOOT RADIUS  
CURVE TO THE LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH  
55°10'15" WEST, THROUGH A CENTRAL ANGLE OF 12°02'06", AN ARC DISTANCE  
OF 97.46 FEET TO THE POINT OF BEGINNING;

THENCE, FROM SAID POINT OF BEGINNING, CONTINUING ALONG SAID  
NORTHWESTERN LINE, ALONG SAID 464.00 FOOT RADIUS CURVE TO THE LEFT,  
FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH 67°12'21" WEST,  
THROUGH A CENTRAL ANGLE OF 07°15'41", AN ARC DISTANCE OF 58.81 FEET;

THENCE, LEAVING SAID NORTHWESTERN LINE, SOUTH 74°28'02" EAST 10.00  
FEET;

THENCE, ALONG THE ARC OF A NON-TANGENT 474.00 FOOT RADIUS CURVE TO THE  
RIGHT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH 74°28'02" WEST,  
THROUGH A CENTRAL ANGLE OF 03°37'37", AN ARC DISTANCE OF 30.01 FEET;

THENCE, SOUTH 01°50'13" EAST 90.61 FEET;

THENCE, ALONG THE ARC OF A TANGENT 179.00 FOOT RADIUS CURVE TO THE  
LEFT, THROUGH A CENTRAL ANGLE OF 20°02'35", AN ARC DISTANCE OF 62.62  
FEET;

THENCE, ALONG THE ARC OF A COMPOUND 24.00 FOOT RADIUS CURVE TO THE  
LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH 68°07'12" EAST,  
THROUGH A CENTRAL ANGLE OF 87°27'30", AN ARC DISTANCE OF 36.63 FEET TO  
A POINT ON THE EASTERN LINE OF SAID PARCEL B;



LEGAL DESCRIPTION  
PAGE 2 OF 2

JANUARY 20, 2010  
JOB NO.: 0985-010

THENCE, ALONG SAID EASTERN LINE, ALONG THE ARC OF A NON-TANGENT 272.00 FOOT RADIUS CURVE TO THE LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS NORTH  $63^{\circ}16'40''$  EAST, THROUGH A CENTRAL ANGLE OF  $9^{\circ}15'18''$ , AN ARC DISTANCE OF 43.94 FEET;

THENCE, LEAVING SAID EASTERN LINE, ALONG THE ARC OF A NON-TANGENT 19.00 FOOT RADIUS CURVE TO THE LEFT, FROM WHICH THE CENTER OF SAID CURVE BEARS SOUTH  $52^{\circ}54'33''$  EAST, THROUGH A CENTRAL ANGLE OF  $86^{\circ}59'34''$ , AN ARC DISTANCE OF 28.85 FEET;

THENCE, SOUTH  $40^{\circ}05'53''$  WEST 12.00 FEET;

THENCE, NORTH  $49^{\circ}54'07''$  WEST 8.43 FEET;

THENCE, ALONG THE ARC OF A TANGENT 193.00 FOOT RADIUS CURVE TO THE RIGHT, THROUGH A CENTRAL OF  $48^{\circ}03'54''$ , AN ARC DISTANCE OF 161.91 FEET;

THENCE, NORTH  $01^{\circ}50'13''$  WEST 63.97 FEET;

THENCE, NORTH  $67^{\circ}12'21''$  WEST 7.42 FEET TO SAID POINT OF BEGINNING.

CONTAINING 4,993 SQUARE FEET OF LAND, MORE OR LESS.

ATTACHED HERETO IS A PLAT TO ACCOMPANY LEGAL DESCRIPTION, AND BY THIS REFERENCE MADE A PART HEREOF.

END OF DESCRIPTION



*Christopher S. Harmison*

CHRISTOPHER S. HARMISON, P.L.S.  
L.S. NO. 7176  
EXPIRES: DECEMBER 31, 2011



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Approve Notice of Intention to Convey Real Property to City of Oakley

---

**RECOMMENDATION(S):**

APPROVE the Notice of Intention to Convey Contra Costa County Flood Control and Water Conservation District (District) property, identified as a former access road along the Marsh Creek Channel and adjacent to Subdivision Nos. 8678, 8679 and 8680, to the City of Oakley (City), in connection with the Cypress Grove Development (Project), pursuant to Government Code Section 25365 and F.C.D. Act, Section 31. (Project No.: 7521-6D8325)

DECLARE that this Board will meet on September 13, 2016 at 9:00 a.m. or thereafter, in the Board's Chambers, County Administration Building, 651 Pine Street, Martinez, California, to consummate the conveyance.

DIRECT the Real Estate Division of the Public Works Department to publish the NOI in the East Bay Times pursuant to Government Code Section 6061.

**FISCAL IMPACT:**

No Fiscal Impact.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Olivia D. Reynolds,  
(925) 313-2306

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

By: , Deputy

cc:

**BACKGROUND:**

This Project is located just northeast of the intersection of E. Cypress Road and the Marsh Creek Channel and consisted of three subdivisions, 8678, 8679 and 8680. As part of the overall construction of the Project, E. Cypress Road was widened to the north into District right of way, over Marsh Creek and just to the east of the Marsh Creek Channel. As a result of the construction, the former access road adjacent to the subdivisions needs to be transferred to the City to complete the right of way transactions associated with this Project.

On October 6, 2004, the County Board of Supervisors adopted the previously certified City of Oakley's Final Environmental Impact Report for the project. SCH # 2001122073.

**CONSEQUENCE OF NEGATIVE ACTION:**

The District will be responsible for maintaining the property.

**ATTACHMENTS**

Notice of Intention-Cypress Grove

**CONTRA COSTA COUNTY  
PUBLIC WORKS DEPARTMENT**

***NOTICE OF INTENTION TO CONVEY REAL PROPERTY***

The Board of Supervisors of Contra Costa County, as the Governing Board of the Contra Costa County Flood Control and Water Conservation District, declares its intention to convey to the City of Oakley the following described real property located in the City of Oakley adjacent to the Cypress Grove Development:

A former access road along the Marsh Creek Channel is adjacent to Subdivision Nos. 8678, 8679, and 8680. The real property is described in more detail in Exhibits "A-1, "A-2" and "A-3" and shown on Exhibits "B-1", "B-2" and "B-3", which are available for review at the Public Works Department, 255 Glacier Drive, Martinez, CA 94553.

The Board will meet on September 13, 2016, at 9:00 a.m., or thereafter, in its Chambers, County Administration Building, 651 Pine Street, Martinez, California, to consummate the conveyance to the City of Oakley.

ATTESTED: \_\_\_\_\_  
David Twa, Clerk of the Board of Supervisors and County Administrator

By \_\_\_\_\_, Deputy



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: APPROVE and AUTHORIZE a contract amendment with Stantec Architecture, Inc.

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Public Works Director, or designee, to execute amendment number 1 to the Consulting Services Agreement with Stantec Architecture, Inc., effective July 1, 2016, to increase the payment limit by \$100,000 to a new payment limit of \$350,000, to continue providing on-call landscape architect services to complete existing projects, Countywide.

**FISCAL IMPACT:**

100% Federal, State, Local, and/or General Funds.

**BACKGROUND:**

On March 31, 2015, the Board of Supervisors approved a contract with Stantec Architecture, Inc. to provide on-call landscape architect services. Due to the nature of on-call work and unknown conditions in the field, costs that were not originally anticipated were incurred. Special Districts staff recommends increasing the payment limit by \$100,000 to a new payment limit of \$350,000. Amending the payment limit would allow the Consultant to complete existing projects and provide the County the flexibility to cover any further unexpected costs.

**CONSEQUENCE OF NEGATIVE ACTION:**

Without Board approval, the Consultant will not be able to continue providing on-call landscape architect services to complete existing projects.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Susan Cohen, (925)  
313-2160

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

By: , Deputy

cc:



# Contra Costa County

To: Board of Supervisors  
From: Keith Freitas, Airports Director  
Date: August 2, 2016

Subject: Approve increase to purchase order with Ascent Aviation Group Inc. for aviation fuel at the Byron Airport

---

## **RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Purchasing Agent, to execute on behalf of the Director of Airports, a Purchase Order amendment with Ascent Aviation Group, Inc., to increase the payment limit by \$125,000 for a new total of \$430,000 for aviation fuel through August 31, 2016. Byron Area.

## **FISCAL IMPACT:**

The Airport Enterprise Fund will cover the purchase costs and the Airport will then resell the fuel to Byron tenants and other users to generate income.

## **BACKGROUND:**

Contra Costa County Airports is responsible for an aviation self-serve fueling facility at Byron Airport that supports aviation fuel needs for its tenants and visiting aircraft. On August 25, 2015, the Board of Supervisors approved a purchase order in the amount of \$230,000, permitting purchase of fuel from Ascent Aviation Group, Inc. for resell. On June 7, 2016, the Board approved an increase in the purchase order from \$230,000 to \$305,000, to permit the purchase of additional fuel to meet user demand. Sales to date for 2016 (January to June) are 50% higher than the same period in 2015 due in part to more competitive pricing. As such, more fuel has been purchased than estimated making the current purchase order amount insufficient through its expiration date of August 31, 2016. In order to ensure supply through August, the purchase order needs to be increased by \$125,000, to a new total amount of \$430,000.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Beth Lee, (925)  
681-4200

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

By: , Deputy

cc:

CONSEQUENCE OF NEGATIVE ACTION:

If the purchase order amendment is not approved, the County will no longer be able to buy aviation fuel and there will be a disruption of needed aviation fuel service at the Byron Airport for tenants and customers.





Contra  
Costa  
County

To: Board of Supervisors  
From: Keith Freitas, Airports Director  
Date: August 2, 2016

Subject: AUTHORIZE TERMINATION OF T-HANGAR AND SHADE HANGAR RENTAL AGREEMENT AT  
BUCHANAN FIELD AIRPORT; AUTHORIZE LEGAL ACTION TO REGAIN POSSESSION

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Director of Airports to terminate a month-to-month T-Hangar and Shade Hangar Rental Agreement dated September 7, 2012, between the County and Equipco Sales & Service for a T-Hangar at the Buchanan Field Airport. AUTHORIZE County Counsel to pursue legal action, Concord Area.

**FISCAL IMPACT:**

The Airport Enterprise Fund will cover the cost of any legal action.

**BACKGROUND:**

*License Requirements; FAA Requirements*

In September 2012, the County entered into a T-Hangar and Shade Hangar Rental Agreement (Agreement) with Equipco Sales & Service (Tenant) for use of T-Hangar #E-18, which is located on the East Ramp of Buchanan Field Airport. Under the terms of the Agreement, the hangar may only be used to (i) store Tenant's aircraft, (ii) refurbish Tenant's aircraft, (iii) store materials directly related to the storage or restoration of Tenant's aircraft, (iv) store Tenant's aircraft and a boat, recreation vehicle, motorcycle, or automobile, or (v) store Tenant's aircraft and small comfort items, such as a couch, small refrigerator, etc. The limitation on the use of the hangar is intended to ensure that the hangar is used for activities that involve, or are directly related to, the operation of an aircraft. This limitation is consistent with requirements imposed on the County by the Federal Aviation Administration (FAA).

The FAA provides financial assistance, including grants, to general aviation airports like Buchanan Field Airport. As

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Beth Lee, (925)  
681-4200

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

By: , Deputy

cc:

a recipient of FAA grants, the County must comply with FAA requirements known as grant assurances. If the County fails to comply with the grant assurances, the County is at risk of being denied future grants from the FAA and of having to repay grants it has already received.

One grant assurance limits non-aeronautical use of hangars. Non-aeronautical use of a hangar is allowed

#### BACKGROUND: (CONT'D)

only if there is no current aviation need and the proposed use is (i) a short-term occupancy, (ii) the occupant pays the market rate for a non-aeronautical use, and (iii) the occupant is required to vacate the premises if an aeronautical user expresses an interest in using the hangar.

#### *Evidence of Non-Compliant Use*

After receiving a complaint in October 2015 that the hangar was being used for non-aviation purposes, County staff conducted a number of inspections of the hangar. Inspections were conducted on November 4, 2015, March 8, 2016 and June 28, 2016. Those inspections revealed that the hangar is not being used to store an aircraft; it is being used to store other items. In fact, there is no room in the hangar for an aircraft, given the amount of other items stored in the hangar. After each inspection, Tenant was given time to bring its use of the hangar into compliance.

Under the terms of the Agreement, Tenant must store an aircraft in the hangar. In the absence of an aircraft, storage of anything else is not allowed. Based on the results of each inspection, County staff has concluded that Tenant's use of the hangar does not comply with the terms of the license or the FAA requirements.

Airport staff is requesting authority to terminate the Agreement and to pursue legal action to regain possession of the hangar. Such actions are consistent with adopted Airport policies. In addition, by recovering possession of the Premises, the Airport will be able to make the space available to the next person on the Buchanan Field Airport T-Hangar waiting list.

#### CONSEQUENCE OF NEGATIVE ACTION:

Failure to terminate the Agreement and pursue legal action against Tenant would result in the Airport being unable to enforce adopted Airport policies and procedures and could put future FAA grant funding at risk.



Contra  
Costa  
County

To: Board of Supervisors  
From: Sharon Offord Hymes, Risk Manager  
Date: August 2, 2016

Subject: Settlement of Claim, Cecily Buda vs Contra Costa County Fire Protection District

---

**RECOMMENDATION(S):**

RECEIVE this report concerning the final settlement of Cecily Buda and AUTHORIZE payment from the Workers' Compensation Internal Service Fund in an amount not to exceed \$235,000, less settlement advances.

**FISCAL IMPACT:**

Workers' Compensation Internal Service Fund payment of \$235,000 less settlement advances.

**BACKGROUND:**

Attorney Benjamin Tolentino, defense counsel for the County, has advised the County Administrator that within authorization an agreement has been reached settling the workers' compensation claim of Cecily Buda vs. Contra Costa County Fire Protection District. The Board's July 19, 2016 closed session vote was: Supervisor Gioia, Andersen, Piepho and Glover - Yes; Supervisor Mitchoff - Absent. This action is taken so that the terms of this final settlement and the earlier July 19, 2016 closed session vote of his Board authorizing its negotiated settlement are known publicly.

**CONSEQUENCE OF NEGATIVE ACTION:**

Case will not be settled.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Sharon Hymes-Offord  
925.335.1453

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

By: , Deputy

cc:



# Contra Costa County

To: Board of Supervisors  
 From: David Twa, County Administrator  
 Date: August 2, 2016

Subject: Claims

---

**RECOMMENDATION(S):**

DENY claims filed by David Chavez, Eli Dominguez, Deborah Haagensen, Mary R. Johnson DDS, Steven Ray Kitchen, Peter Korwin, Colleen Maramonte, a minor, by her father & guardian Alan Maramonte, and Denise M. Smullen.

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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: August 2, 2016

Subject: Resolution Honoring the 56th Annual Contra Costa Championship Swim Meet

---

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

Contact: Lauri  
957-8860

By: , Deputy

cc:

## ATTACHMENTS

Resolution No.  
2016/463



*The Board of Supervisors of  
Contra Costa County, California*

In the matter of:

**Resolution No. 2016/463**

**recognizing the 56th Annual Contra Costa Championship Swim Meet in Lafayette.**

**Whereas**, on August 13 & 14, 2016, Contra Costa County will hold its annual Championship Swim Meet at the Steve Heaston Aquatic Center at Acalanes High School in Lafayette; and

**Whereas**, the County meet brings together all the top swimmers from the County's recreational Swim Clubs; and

**Whereas**, each swimmer must beat a challenging time to qualify to swim in an individual event, it is an honor for swimmers to become eligible to swim in this meet; and

**Whereas**, this County-wide event is sponsored by and run by the Lafayette Moraga Youth Association, a not for profit community sports organization, and the proceeds support the Lafayette Moraga Youth Association Dolphins Swim Team; and

**Whereas**, each year this championship meet brings together all the top swimmers from the County's recreational swim clubs; and

**Whereas**, this has become the premiere recreation swim meet in Contra Costa County.

Now, Therefore, Be It Resolved that the Board of Supervisors of Contra Costa County is proud to recognize and congratulate all of the swimmers and volunteers who make the **56<sup>th</sup> Annual Contra Costa County Swim Meet** a success.

\_\_\_\_\_  
**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: August 2, 2016

David J. Twa,

By: \_\_\_\_\_, Deputy



Contra  
Costa  
County

To: Board of Supervisors  
From: John Kopchik, Director, Conservation & Development Department  
Date: August 2, 2016

Subject: Introduction of an Ordinance Calling for a Special Election for a Local Sales Tax for Transportation Improvements and Growth Management

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**RECOMMENDATION(S):**

INTRODUCE Ordinance No. 2016-17 calling a special election for voter approval of a 30-year countywide transportation transaction and use tax and consolidating the special election with the statewide general election on November 8, 2016, WAIVE reading, and FIX August 9, 2016 for adoption.

**FISCAL IMPACT:**

The Authority will reimburse the County for all costs of conducting this election.

**BACKGROUND:**

Ordinance No. 2016-17 calls a special election for the purpose of submitting a 30-year countywide transportation transaction and use tax (sales tax) to the voters of Contra Costa County, pursuant to Public Utilities Code section 180201 et seq. and Revenue and Taxation Code section 7291, as requested by the Contra Costa Transportation Authority (Authority). The ordinance also consolidates the special election with the statewide general election on November 8, 2016.

Over the past several months, the Authority has undertaken actions necessary to have a measure placed on the November 2016 general election ballot that would establish an additional one-half of one percent sales tax for transportation purposes to meet the growing needs of Contra Costa County. If the tax passes, the revenues will supplement an existing one-half of one percent local transportation sales tax implemented by Measure C in 1988, which was extended until March 31, 2034 by Measure J in 2004.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

Contact: County  
Counsel?

By: , Deputy

cc:

## BACKGROUND: (CONT'D)

>

As required by Public Utilities Code section 180206, the Authority prepared a Transportation Expenditure Plan (TEP), entitled "*Transforming Contra Costa County, Our New 30-Year Transportation Expenditure Plan*", that sets forth the use of the approximately \$2.9 billion expected to be derived from the 30-year sales tax. The TEP includes proposed project and program expenditures, including a revised Growth Management Program (GMP), a new Complete Streets Policy, and a new Advance Mitigation Program to help the Authority achieve its goals to reduce future congestion, manage the impacts of growth, and expand alternatives to the single-occupant vehicle.

The Authority approved the final language for the TEP on May 18, 2016 and released the TEP for approval by city/town councils and the County Board of Supervisors. By July 12, 2016, the TEP was approved by the city/town councils of all nineteen of the cities/towns in Contra Costa County and the County Board of Supervisors.

Following approval of the TEP by the governing boards of Contra Costa County and its cities/towns, the Authority approved the TEP, with corrections to the BART funding provisions, on July 20, 2016 by Authority Ordinance 16-02. Ordinance 16-02 and the associated TEP are attached to this report. At the same time, it adopted Authority Ordinance No. 16-03, which establishes a transportation sales tax for the period from April 1, 2017 to March 31, 2047, subject to the approval of two-thirds of the voters. Through Authority Resolution 16-41-P, the Authority also requested that the Board of Supervisors call and consolidate an election for the purpose of submitting a ballot measure to the qualified voters seeking approval of the sales tax.

Public Utilities Code Section 180201 and 180203 requires the election to be called by a county ordinance. At least five days must elapse between introduction and adoption of the ordinance. The Board's action today introduces the ordinance, waives its reading, and fixes adoption of the ordinance for August 9, 2016. The Board's adoption of this ordinance is a ministerial activity that is exempt from CEQA (Public Resources Code section 21080(b)(1)).

The sample ballot mailed to the voters will contain the full proposition, as set forth in Section III of Ordinance 2016-17, and the voter information handbook will include the entire TEP and Authority Ordinance No. 16-03, which establishes the sales tax.

Pursuant to Public Utilities Code section 180203(a) and Authority Resolution 16-41-P, the Authority will reimburse the County for all costs of conducting the election, including those relating to consolidation of the election.

## CONSEQUENCE OF NEGATIVE ACTION:

If the Board of Supervisors does not take the recommended actions, the Authority's proposed 30-year countywide transportation sales tax will not be submitted to the voters as a measure on the November 8, 2016 ballot.

## ATTACHMENTS

Ordinance 2016-17

CCTA Ordinance 16-02

**ORDINANCE NO. 2016-17**  
**(Calling of Special Election for Voter Approval to Augment Local Sales Tax for Transportation Purposes)**

The Contra Costa County Board of Supervisors ordains as follows:

**SECTION I. SUMMARY.** This ordinance calls a special election, at the request of the Contra Costa Transportation Authority, referred to as the “Authority,” for the purpose of submitting to the voters for approval an additional one-half of one percent sales tax for the transportation projects and programs described in the tax ordinance and county transportation expenditure plan adopted by the Authority on July 20, 2016.

**SECTION II. RECITALS AND FINDINGS.** This ordinance is made with reference to the following recitals and findings:

Local highway and transportation improvements in Contra Costa County are needed to address countywide mobility needs and alleviate traffic congestion that threatens the economic viability of the area and adversely impacts the quality of life in the County.

To manage current and future local transportation maintenance and improvement needs, local jurisdictions need to develop and implement local funding programs that go significantly beyond current federal and state funding, which is inadequate to resolve these problems.

It is in the public interest, under the Local Transportation Authority and Improvement Act (Public Utilities Code Section 180000 and following), to allow the voters in Contra Costa County to implement a new retail transactions and use tax (sales tax) ordinance to raise additional local revenues for a transportation expenditure plan that funds transportation improvements and maintenance and meets local transportation needs in a timely manner.

In 1988, voters in Contra Costa County passed Measure C, which created a one-half cent sales tax for 20 years to support transportation programs and projects. In 2004, voters approved Measure J, which extended the transportation sales tax for an additional 25 years beyond the previous expiration date.

**ORDINANCE NO. 2016-17**

On May 18, 2016, the Authority authorized the release of a proposed Transportation Expenditure Plan, *Transforming Contra Costa County, Our New 30-Year Transportation Expenditure Plan*, to the County, cities and towns to consider, among other matters, establishing an additional countywide one-half of one percent sales tax for 30 years to increase the funding of transportation projects, subject to approval by the qualified electors on the November 8, 2016 ballot.

As of July 12, 2016, all of Contra Costa County's nineteen cities and towns representing 100 percent of the incorporated area population, and the County Board of Supervisors, have approved the Transportation Expenditure Plan prior to its final approval by the Authority Board.

On July 20, 2016, the Authority Board approved the Transportation Expenditure Plan and requested that the Contra Costa County Board of Supervisors call a special election for the purpose of submitting Authority Ordinance No. 16-03, authorizing the additional one-half of one percent sales tax, to voters on the November 8, 2016 ballot.

**SECTION III. CALL OF SPECIAL ELECTION.** At the request of the Authority, pursuant to Public Utilities Code sections 180201 and 180203, the Board of Supervisors hereby calls a special election for the purpose of submitting the following proposition to the voters of the incorporated and unincorporated territory of Contra Costa County for approval:

"To implement a Transportation Expenditure Plan to continue:

- Repairing potholes/fixing roads;
- Improving BART capacity/reliability;
- Improving Highways 680, 80, 24, and 4;
- Enhancing bus/transit including for seniors and people with disabilities;
- Increasing bicycle/pedestrian safety;
- Improving air quality;
- Reducing traffic;

shall voters adopt the ordinance augmenting the sales tax by ½%, raising ninety-seven million dollars for transportation improvements annually for 30 years with independent oversight, audits, and all money benefitting local residents?"

**ORDINANCE NO. 2016-17**

SECTION IV. CONSOLIDATION. As requested by the Authority in Authority Resolution 16-41-P, the election shall be consolidated with the Statewide General Election to be held on Tuesday, November 8, 2016.

SECTION V. CONDUCT OF ELECTION. Pursuant to Public Utilities Code Section 180203(b), the County Clerk (Elections Clerk) shall conduct said election in the same manner as provided by law for the conduct of special elections by a county.

SECTION VI. SAMPLE BALLOT AND VOTER HANDBOOK. Pursuant to Public Utilities Code Section 180203(c), the sample ballot to be mailed to the voters shall contain the full proposition, as set forth in Section III of this ordinance, and the voter information handbook shall include the entire adopted county transportation expenditure plan and the tax ordinance (Authority Ordinance No. 16-03) referred to in Section II of this ordinance.

SECTION VII. ELECTION COST. Pursuant to Public Utilities Code section 180203(a) and Authority Resolution 16-41-P, the Authority shall reimburse the County for all costs of conducting said election, including those relating to consolidation of the election.

SECTION VIII. EFFECTIVE DATE. This ordinance becomes effective immediately upon passage and within 15 days after passage shall be published once with the names of supervisors voting for and against it in the EAST BAY TIMES, a newspaper published in this county.

PASSED on August 9, 2016 by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

ATTEST: David Twa, Clerk of the Board  
of Supervisors and County Administrator

By: \_\_\_\_\_

**ORDINANCE NO. 2016-17**

Deputy Clerk

Board Chair

[SEAL]

RJH

H:\Taxes\CCTA\Ordinance\2016 Election Ordinance (1).doc

**ORDINANCE NO. 2016-17**





CONTRA COSTA  
transportation  
authority

ORDINANCE 16-02

APPROVED BY THE  
CONTRA COSTA  
TRANSPORTATION AUTHORITY

DATE

July 27, 2016

CERTIFIED BY

*Tarienne Grover*

Tarienne Grover, Board Clerk

**AN ORDINANCE OF THE CONTRA COSTA TRANSPORTATION AUTHORITY  
ADOPTING 2016 TRANSPORTATION EXPENDITURE PLAN**

**WHEREAS**, the Contra Costa Transportation Authority (hereinafter "Authority") is considering the countywide imposition of a one half of one percent sales tax for transportation purposes for a period of thirty years, effective on April 1, 2017 through March 31, 2047; and

**WHEREAS**, Public Utilities Code section 180206 requires preparation and adoption of a Transportation Expenditure Plan ("TEP") for the expenditure of the revenues expected to be derived from a transactions and use tax, together with other federal, state, and local funds expected to be available for transportation improvements, for the period during which the transportation and use tax is to be imposed; and

**WHEREAS**, the Authority is required to receive approval of the TEP from the Board of Supervisors of Contra Costa County and of the city/town councils representing both a majority of the cities in the county and a majority of the population residing in the incorporated areas of the county; and

**WHEREAS**, the Authority conducted extensive consultations with local governments and conducted outreach to a wide variety of interest groups and the public in order to develop a TEP proposing a potential mix of projects and programs to be funded by the proposed sales tax; and

**WHEREAS**, the Authority circulated the TEP and received unanimous approval of the TEP from the Contra Costa County Board of Supervisors and the city/town councils representing all cities in the county and a majority of the population residing in the incorporated areas of the county.

**NOW, THEREFORE, THE CONTRA COSTA TRANSPORTATION AUTHORITY DOES ORDAIN AS FOLLOWS:**

- 1. ADOPTION.** The Authority adopts the Transportation Expenditure Plan, which is set forth in the text of Exhibit 1 to this Ordinance, incorporated herein by reference and made a part of this Ordinance as if fully set forth at this point. The graphical representation of the text serves as illustrations and are not a substantive part of the

TEP. The revenues received by the Authority from this Ordinance, after deduction of required Board of Equalization costs for performing the functions specified in Section 180204 of the Public Utilities Code, and for the administration of the Transportation Expenditure Plan commencing with Public Utilities Code Section 180200, shall be used for transportation projects and programs countywide as set forth in the TEP and in a manner consistent with the Comprehensive Transportation Plan developed by the Authority.

- 2. TRANSPORTATION IMPROVEMENT PROGRAM PURPOSES.** In the allocation of all revenues made available from the transactions and use tax, the Authority shall make every effort to maximize state, federal and regional transportation. The Authority may amend the TEP, in accordance with Section 3, as needed, to maximize the transportation funding to Contra Costa County. The revenues shall be allocated in accordance with the TEP and subject to the following provisions:

**A. For all projects.**

1. No revenues shall be allocated for any state projects or programs until the Authority has certified that Contra Costa is receiving, at a minimum, its fair share of funds from state and federal sources for transportation projects and programs. The determination of fair share shall consider all relevant factors including the degree to which the Contra Costa region is receiving its statutory county share and county minimum funding for all budgeted, expended, and programmed state funds and federal funds available for capital projects and operational subsidies. The policies and project approval actions of the California Transportation Commission, the State Department of Transportation (hereafter referred to as Caltrans) and the federal Department of Transportation (e.g. Federal Highway Administration and Federal Transit Administration) will also be reviewed to ensure that Contra Costa is receiving full consideration in the allocation of any additional uncommitted state and federal funding. Part of the certification shall include a finding that the state has not reduced any state fund allocations to the Contra Costa region as a result of the addition of any local revenues as provided herein. The certification shall be made annually.
2. If the Authority finances the construction of transportation facilities by the issuance of bonds or any similar financing device, the Authority shall first allocate the funds necessary to meet all debt service requirements.
3. Each project shall have a local jurisdiction(s) or special district as a sponsor of the project. If there is no local jurisdiction or special district as a project

sponsor for a specific Project or Program, the Authority shall be the sponsor for that Project or Program.

4. The Authority may use the proceeds of this Ordinance to accelerate projects which are anticipated to be funded through the State Transportation Improvement Program ("STIP"). It must be demonstrated by the implementing agency (generally the Authority or Caltrans) that a meaningful acceleration can be accomplished using Authority funds and the State must commit to refunding those proceeds in dollars or in the completion of other TEP Projects and Programs and/or STIP projects using State funds not otherwise committed to Contra Costa County.

In the event that the refund of acceleration funds impacts the implementation of any TEP Project or Program, the Authority shall amend the Expenditure Plan under Section 3.

5. Any local 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. All local jurisdictions and special districts are encouraged to seek all available funding from private and public sources to further the purposes of the Expenditure Plan and this Ordinance.

**B. For Highway Projects.**

1. All state improvements to be funded with revenues as provided in this Ordinance, including project development and overall project management, shall be a joint responsibility of Caltrans, the Authority and the affected local jurisdiction(s) or special district(s). All major project approval actions including the project concept, the project location, and any subsequent change in project scope shall be jointly agreed upon by Caltrans, the Authority and the project sponsors, and where appropriate, by the Federal Highway Administration and/or the California Transportation Commission.
2. Once any state highway facility or usable portion thereof is constructed to at least minimum acceptable state standards, the state shall be responsible for the maintenance and operation thereof.

**C. For Transit Projects.** Prior to the construction of any transit facility or usable portion thereof, the Authority, in cooperation with affected transit operators and agencies, shall determine the entity to be responsible for the maintenance and operation thereof.

- D. For Transit Rolling Stock.** Prior to the appropriation of any funds for transit rolling stock, the Authority, in cooperation with affected transit operators and agencies, shall determine the entity(ies) to be responsible for the ownership, maintenance and operation thereof.
- E. For Local Streets and Road Projects.** Prior to the construction of any local street and road facility or usable portion thereof, the Authority in cooperation with affected local agency(ies), shall determine the local agency(ies) to be responsible for the maintenance and operation thereof.
- F. For Trail Projects.** Prior to the construction of any trail facility or usable portion thereof, the Authority in cooperation with affected agencies, shall determine the entity(ies) to be responsible for the maintenance and operation thereof.
- G. For Maintenance and Operational Programs.** The Authority may adopt guidelines, policies and other requirements for the administration of and appropriation of funds for programs in the TEP targeted for infrastructure maintenance or operational programs. The Authority will develop any such guidelines, policies and other requirements in cooperation with the Regional Transportation Planning Committees and other affected stakeholder.
- H. Bay Area Rapid Transit District (BART) Maintenance of Effort (MOE):** Prior to any appropriation, allocation or reimbursement of funds to BART from the "BART Capacity, Access or Parking Improvements" category, the Authority Board shall make a finding that BART has continued to use a proportional share of its operating allocations for capital projects. BART's preliminary FY 2017 Budget forecasts approximately \$144 million of its operating allocations to capital projects. BART shall demonstrate that it continues to use an equivalent proportional share of its operating revenues for capital projects allowing for normal annual fluctuations in capital projects or maintenance expenditures. In years where BART fare revenues or other general fund revenues are reduced by a decrease in ridership or unforeseen economic circumstances, loss of regional, state or federal funding, or where one-time costs are increased by a natural disaster, then the Authority may release funds only if the Authority Board makes findings that 1) BART has not reduced its capital project funding disproportionately to the total operating revenue and 2) BART made best efforts to fund capital projects that benefit Contra Costa County.

### **3. AMENDMENTS.**

#### **A. Amendments to the Ordinance.**

1. This Ordinance may be amended to further its purposes. The Authority shall establish a process for proposed Ordinance amendment(s) which ensures that the Regional Transportation Planning Committees participate in proposed Ordinance amendment(s). Upon completion of that process, amendment(s) to this Ordinance must be passed by a roll call vote entered in the minutes and must have two-thirds of the Authority concurring with the proposed amendment(s).
2. In the event that a local jurisdiction does not agree with the Authority's amendments(s), the jurisdiction's policy decision-making body must, by a majority vote, determine to formally notify the Authority of its intent, in writing via registered mail, to obtain an override of the Authority's amendment(s). The appealing jurisdiction will have 45 days from the date the Authority adopts the proposed amendment(s) to obtain resolutions supporting its appeal for an override of the amendment(s) from a majority of the cities representing a majority of the population residing within the incorporated areas of the county and from the Board of Supervisors. If a jurisdiction does not obtain the necessary resolutions supporting its appeal, the Authority's amendment(s) to the Ordinance will stand.

#### **B. Amendments to the TEP.**

1. The Authority may annually review and propose amendments to the TEP to provide for the use of additional federal, state, and local funds, to account for unexpected revenues, to take into consideration unforeseen circumstances, and to account for impacts, alternatives, and potential mitigation determined during review under the California Environmental Quality Act (CEQA) at such time as each Project and Program is proposed for approval. The Authority shall establish a process for proposed TEP amendment(s) which ensures that the affected Regional Transportation Planning Committee(s) participate in the development of the proposed amendment(s). Upon completion of this process, amendment(s) to the Expenditure Plan must be passed by a roll call vote entered in the minutes and must have a majority of the Authority concurring with the proposed amendment(s). Subsequently, the Authority shall notify the Board of Supervisors, the City/Town Council of each city/town in the county and the Mayors' Conference and provide each entity with a copy of the proposed

amendment(s). Pursuant to Public Utilities Code 180207, proposed amendment(s) shall become effective 45 days after notice is given, unless appealed under the process outlined in the following paragraph. The Authority shall hold a public hearing on the proposed amendment(s) within this 45-day period.

2. In the event that a local jurisdiction does not agree with the Authority's amendments(s), the jurisdiction's policy decision-making body must, by a majority vote, determine to appeal and shall, within 45 days after notice is given by the Authority, formally notify the Authority of its intent, in writing via registered mail, to obtain an override of the Authority's amendment(s). The appealing jurisdiction will have 45 days from the date of its determination to appeal the proposed amendment(s) to obtain resolutions supporting its appeal for an override of the amendment(s) from a majority of the cities representing a majority of the population residing in the incorporated areas of the county and from the Board of Supervisors. If a jurisdiction does not obtain the necessary resolutions supporting its appeal, the Authority's amendment(s) to the Expenditure Plan will stand.
4. **PRIVATE SECTOR FUNDING.** Revenues provided from the transactions and use tax shall not be used to replace private developer funding which has been or will be committed for any project.
5. **DESIGNATION OF FACILITIES.** Each project or program in excess of \$250,000 funded in whole or in part by revenues from the Ordinance shall be clearly designated in writing via signs and/or documents, during its construction or implementation as being funded by revenues from the Ordinance.
6. **COORDINATION.** The Authority shall consult and coordinate its actions to secure funding for the completion and improvement of the priority regional projects with the California Transportation Commission, transit operators and other interested and affected parties for the purpose of integrating its transportation improvements with other planned improvements and operations impacting the county. In addition, the Authority shall seek all ways to expedite the completion of Expenditure Plan projects, the implementation of which is the responsibility of other agencies.
7. **EMINENT DOMAIN.** The Authority will not use its power of eminent domain as provided in Public Utilities Code Section 180152.
8. **COMPLIANCE WITH CALIFORNIA ENVIRONMENTAL QUALITY ACT ("CEQA").** The Authority finds that the approval of this Ordinance is not a "project" and, alternatively, is exempt from the California Environmental Quality Act ("CEQA"). The

Ordinance is intended to provide a plan for a funding mechanism for future projects and programs, related to the Authority's provision of transportation services. The Ordinance does not commit the Authority to any particular project, program, or capital improvement. Accordingly, the Authority hereby finds that, under State CEQA Guidelines section 15378(b)(4), adoption of the Ordinance and TEP as a prerequisite to establishing a government funding mechanism is not a project subject to the requirements of CEQA because the TEP merely facilitates "[t]he creation of [a] government funding mechanism[] or other fiscal activity which do[es] not involve any commitment to any specific project which may result in a potentially significant physical impact on the environment." (Cal. Code Regs., tit. 14, § 15378, subd. (b)(4); see also *Sustainable Transportation Advocates of Santa Barbara v. Santa Barbara County Association of Governments* 179 Cal.App.4th 113, 123 [holding that the adoption of a transportation expenditure plan in accordance with Public Utilities Code section 180206 "does not qualify as a project within the meaning of CEQA because it is a mechanism for funding proposed projects that may be modified or not implemented depending upon a number of factors, including CEQA environmental review"].) Further, because the Ordinance does not authorize the construction of any projects that may result in any direct or indirect physical change in the environment and is subject to further discretionary approvals, including the pre-conditions found in Public Utilities Code section 180206(b), approving the Ordinance is not an approval that "commits the agency to a definite course of action" (State CEQA Guidelines section 15352). The timing, design, and approval of individual projects to be funded by the Ordinance are dependent on funding availability, need, and CEQA review. Thus, the Ordinance has no potential for causing a significant effect on the environment and is exempt from any further review under CEQA (State CEQA Guidelines section 15061(b)(3)).

9. **SEVERABILITY.** If any section, part, clause or phrase of this Ordinance is for any reason held invalid or unconstitutional, the remaining portions shall not be affected but shall remain in full force and effect.



**Adopted by the Contra Costa Transportation Authority at a Special Meeting thereof, held this 20th day of July, 2016, by the following vote:**

**AYES:** Chair Hudson, Vice Chair Butt, and Commissioners Abelson, Arnerich, Durant, Glover, Mitchoff, Pierce, Romick, Tatzin, and Taylor  
**NOES:** None  
**ABSENT:** None  
**ABSTAIN:** None

A handwritten signature in black ink, appearing to read "David E. Hudson", written over a horizontal line.

David E. Hudson, Chair

**This Ordinance 16-02 was entered into at a special meeting of the Contra Costa Transportation Authority held on July 20, 2016, in Walnut Creek, California, and shall become effective as provided above.**

**Attest:**

A handwritten signature in blue ink, appearing to read "Tarienne Grover", written over a horizontal line.

Tarienne Grover, Board Clerk

**EXHIBIT 1**

**2016 TRANSPORTATION EXPENDITURE PLAN**  
**[Attached behind this page]**

# TRANSFORMING CONTRA COSTA COUNTY

## Our New 30-Year Transportation Expenditure Plan

### TABLE OF CONTENTS

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### Transforming Contra Costa County

Contra Costa is a county as unique and diverse as its residents. Our communities stretch from the Richmond coastline to Discovery Bay, from Port Chicago to the San Ramon Valley, and from Mount Diablo to Crockett Hills. We are growing with the times while protecting the qualities that make Contra Costa County a wonderful place to call home. **We need a transportation plan that reflects where we are now and, more importantly, our commitment to pursue transportation policies, planning and investments that will get us where we want to be.**

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 that connect our communities, foster a strong economy, increase sustainability, and safely and efficiently get people and freight where they need to go. CCTA is also the county's designated Congestion Management Agency (CMA), responsible for putting programs in place to keep traffic levels manageable.

Currently, our transportation needs significantly exceed available revenue to meet those needs. Over the next 30 years, our population will continue to grow and that population will have new and additional needs. A new countywide funding measure and Transportation Expenditure Plan (TEP) can keep Contra Costa County moving and create the livable and sustainable communities that all Contra Costans deserve.

After extensive public engagement and analysis, CCTA prepared a 30-year TEP that will **promote a strong economy, protect the environment, maintain and improve local streets and roads, encourage greater transit usage and alternate forms of transportation, and enhance the quality of life for all** of Contra Costa's diverse communities. This new TEP will benefit every person and every part of the county.

This plan is transformative on every level. With a strong focus on technology and innovation, the plan will deliver **a more efficient, cleaner and faster transportation system.**

The new plan will significantly cut emissions through an emphasis on transit, electric and other non-fossil fuel oriented modes of transportation and transportation networks. It provides for new BART cars that will reduce energy use, pollution and costs, and that will provide increased frequency of BART trains and improved BART station access, and also provides for improved bus transit operations and improved bus frequency, potential driverless vehicles, bikes in every community, and connectivity

among and with all modes of transportation.

The plan also sets forward clear policies that ensure that while we grow, we will keep all growth within clear urban limit lines. This will allow the county to continue growing in a smart way, while protecting vital open space for parks and farmland. Furthermore, increased investments in bike and pedestrian paths and walkways bring access to the outdoors to every community.

Smooth, safe and complete streets for cars, trucks, buses, bikes and pedestrians, along with extraordinary investments in direct funding to Contra Costa's communities for local street and road repair, will greatly enhance all communities.

For our urban areas, the plan focuses on support for transit and transit-oriented mixed-use development. This includes an emphasis on bicycle and pedestrian opportunities, interconnectivity, transit, traffic smoothing, and technological advances to ensure our systems are efficient and work well together.

This plan will benefit the people who live in Contra Costa County by:

- **Attracting more good jobs**, which will reduce commute trips and congestion
- **Actively managing the impacts of growth** on our community so we support local businesses and preserve our environment
- **Accommodating the needs of all** transportation modes, while increasing the use of alternative transportation; and
- **Enhancing transportation services** for seniors, persons with disabilities and school children

This TEP was developed with two key documents as guidance – the Expenditure Plan Advisory Committee (EPAC) Vision, Goals and Objectives and the CCTA Principles for Development of a Transportation Expenditure Plan. Both documents are available for review at [www.CCTA.net](http://www.CCTA.net). Building on these two documents and extensive public engagement with stakeholders, the TEP articulates how the Authority will use nearly \$3 billion in additional revenue to invest wisely – using locally-generated funds and leveraging outside matching funds – to maximize the benefits for all Contra Costa residents by promoting a strong economy, protecting the environment, maintaining and improving local streets and roads, and encouraging greater transit usage and alternate forms of transportation.

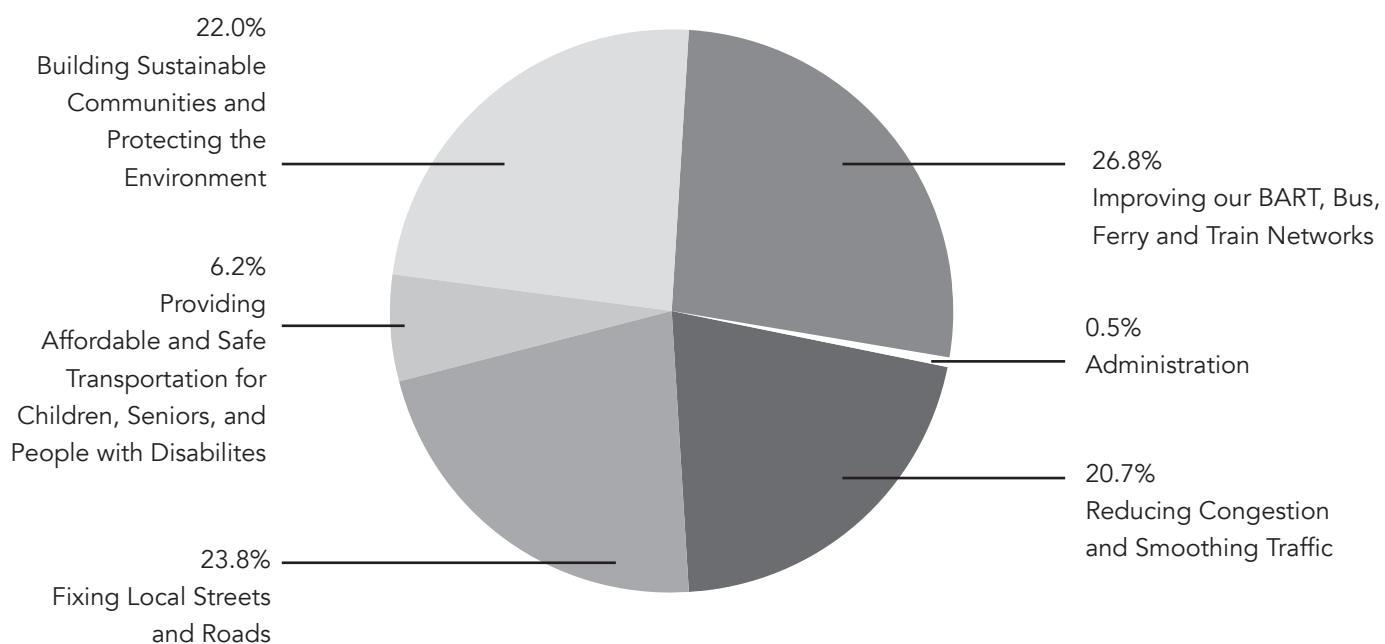
## Transportation Expenditure Plan Summary

Transportation Expenditure Plan: Summary of Funding		Funds (\$ millions)	%
Improving our BART, Bus, Ferry and Train Networks		770	26.79%
	BART Capacity, Bicycle and Pedestrian Access and Parking Improvements	300	10.44%
	Bus Transit and Other Non-Rail Transit Enhancements	295	10.26%
	East Contra Costa Transit Extension	70	2.44%
	High Capacity Transit Improvements Along the I-80 Corridor	55	1.91%
	Intercity Rail and Ferry Service Improvements	50	1.74%
Reducing Congestion and Smoothing Traffic		595	20.71%
	Traffic Flow Improvements and High Capacity Transit Implementation Along I-680 and SR 24	250	8.70%
	East County Corridor (Vasco Road and/or Byron Highway Corridors) Improvements	117	4.07%
	Traffic Flow Improvements Along SR 242 and SR 4	108	3.76%
	I-80 Interchange Improvements at San Pablo Dam Road and Central Ave	60	2.09%
	I-680 and SR 4 Interchange Improvements	60	2.09%
Fixing Local Streets and Roads		684	23.79%
	Local Street Maintenance and Improvements	684	23.79%
Providing Affordable and Safe Transportation for Children, Seniors, and People with Disabilities		179	6.23%
	Safe Transportation for Children	64	2.23%
	Transportation for Seniors and People with Disabilities	115	4.00%
Building Sustainable Communities and Protecting the Environment		632	21.98%
	Major Streets and Complete Streets Project Grants	290	10.09%
	Pedestrian, Bicycle and Trail Facilities	115	4.00%
	Community Development Transportation Program	100	3.48%
	Innovative Transportation Technologies/Connected Communities Grant Program	65	2.26%
	Transportation Planning, Facilities and Services	43	1.50%
	Regional Transportation Priorities	19	0.65%
	<b>Total Investments</b>	<b>2860</b>	<b>99.50%</b>
	Administration	14	0.50%
	<b>Total Funds</b>	<b>2874</b>	<b>100.0%</b>

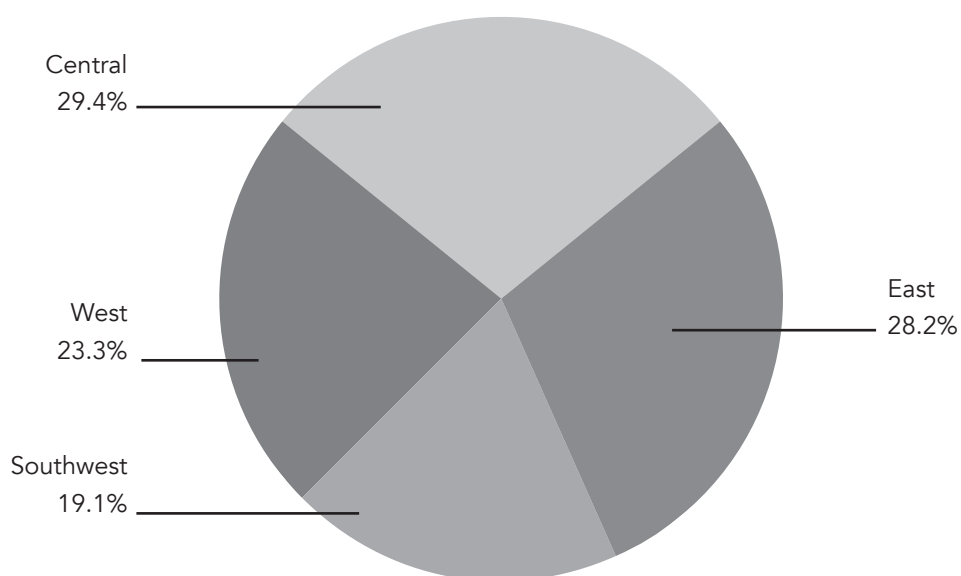
Funding amounts in 2016 Dollars

For the full breakdown see the chart on page 31.

## Transportation Expenditure Plan Summary by Category













## Transportation Expenditure Plan Summary by Region

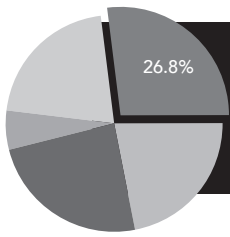


See page 31 for detailed distribution of funding by subregion.

## Benefits Key

	Reduces Congestion
	Reduces Greenhouse Gas Emissions
	Improves BART Service
	Improves Bus Service
	Expands Bicycle Access/Improves Bicycle Safety
	Improves Pedestrian Safety
	Improves Transportation Connectivity
	Provides Alternatives to Single-Occupant Vehicle Use
	Integrates New Technology
	Creates Good Local Jobs

Each icon represents a benefit to Contra Costa County as a result of the portion of the plan being described.



# IMPROVING OUR BART, BUS, FERRY AND TRAIN NETWORKS



## BART Capacity, Access and Parking Improvements

**\$300 Million**

This category is intended to provide funding to increase the capacity of and ridership on the BART System in Contra Costa County, including improvements to local BART stations, as well as access and parking in Contra Costa County. Funds in this category are intended to be allocated by the Authority for the acquisition of additional new BART cars, provided that: 1) BART agrees to fund a minimum of \$100 million in BART station, access and parking improvements in Contra Costa County from other BART revenues, and 2) a regional approach, that includes commitments of equal funding shares from both Alameda and San Francisco counties and additional regional funding from the Metropolitan Transportation Commission, is developed and approved no later than December 31, 2024.

BART station, access and parking improvements or alternate public transit services that access BART may include station capacity, safety and operational improvements; infrastructure improvements that facilitate Transit Oriented Development at or near BART stations; additional on or off site parking, last mile shuttle or shared vehicles that provide alternatives to driving single-occupant vehicles to BART stations; and bicycle/pedestrian facilities that provide access to BART stations.

In the event that commitments from the four parties to fund additional BART cars are not approved by December 31, 2024, or any date earlier if BART informs the Authority it is no longer pursuing the acquisition of additional BART

cars as provided herein, and if BART has maintained the commitment to fund a minimum of \$100 million in improvements as described above, the Authority (in consultation with the RTPCs) and BART will jointly identify, and the Authority will allocate these funds for other capacity-enhancing, safety and efficiency increasing projects (to include station, access and parking improvements or alternate public transit services that access BART) that benefit the residents of Contra Costa County.

Prior to any appropriation, allocation or reimbursement of funds to BART, the Authority Board shall make a finding that BART has continued to use a proportional share of its operating allocations for capital projects. BART's preliminary FY 2017 Budget forecasts approximately \$144 million of its operating allocations to capital projects. BART shall demonstrate that it continues to use an equivalent proportional share of its operating revenues for capital projects allowing for normal annual fluctuations in capital projects or maintenance expenditures. In years where BART fare revenues or other general fund revenues are reduced by a decrease in ridership or unforeseen economic circumstances, loss of regional, state or federal funding, or where one-time costs are increased by a natural disaster, then the Authority may release funds only if the Authority Board makes findings that 1) BART has not reduced its capital project funding disproportionately to the total operating revenue and 2) BART made best efforts to fund capital projects that benefit Contra Costa County.





### Bus Transit and Other Non-Rail Transit Enhancements

**\$295 million**

#### Bus Transit Enhancements in the West Subregion of Contra Costa

**\$111 million**

This subcategory is intended to provide funding for public transit operators to maintain and increase transit operations, including any transit capital expenses and/or operating expenses for existing service or service improvements/enhancements in the West subregion of Contra Costa. Funding is to provide for bus transit operations to increase or maintain ridership, including incentivizing transit use by offsetting fares, and improve the frequency and capacity of routes, especially high demand routes. Funding will be allocated by the Authority based on input from the WCCTAC in consultation with local bus operators and stakeholders.

#### Bus Transit Enhancements and Other Non-Rail Transit Enhancements in the Central, East and Southwest Subregions of Contra Costa

**\$184 million**

This subcategory is intended to provide funding for public transit operators to maintain and increase transit operations, including any transit capital expenses and/or operating expenses for existing service or service improvements/enhancements, and also to provide funding for future non-rail transit service alternatives in the Central, East and Southwest subregions of Contra Costa. Funding is to provide for bus transit operations to increase or maintain ridership, including incentivizing transit use by offsetting fares, and improve the frequency and capacity of routes, especially high demand routes. Funding will be allocated by the Authority for the Central, East and Southwest subregions of Contra Costa based on input from the RTPCs in those subregions, in consultation with local bus operators and stakeholders. Funding allocation by the Authority may include use of a portion of the funds for non-rail transit services/projects that demonstrate an innovative approach to maximize the movement of people efficiently and in a manner that reduces Vehicle Miles Traveled (VMT) and Green-house Gas (GHG).



## East Contra Costa Transit Extension (BART or alternative)

**\$70 million**

This category is intended to provide funding to improve access to and extend high capacity transit service easterly from the Hillcrest BART Station in Antioch through Oakley to a new transit 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.



## High Capacity Transit Improvements along the I-80 Corridor in West Contra Costa County

**\$55 million**

This category is intended to fund projects/programs for high capacity transit improvements along the I-80 corridor. 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 and in

consultation with the west subregion. 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.

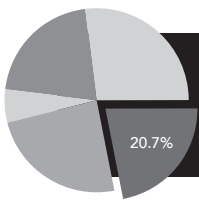


## Intercity Rail and Ferries

**\$50 million**

This category is intended to provide funding 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. Projects that increase ridership using existing capacity, including incentivizing use by offsetting fares or other methodologies, may also be considered. 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 the Authority and demonstrate progress toward the Authority's goals of reducing Vehicle Miles Traveled (VMT) and green-house gas (GHG) reductions. Selection of final projects to be based on a performance analysis of project alternatives consistent with Authority 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.



# REDUCING CONGESTION AND SMOOTHING TRAFFIC



## Traffic Flow Improvements and High Capacity Transit Implementation Along I-680 and SR 24

**\$250 million**

This category is intended to fund an I-680 corridor express lane and operational improvement project to facilitate carpools and increase transit use in the corridors as an alternative to single occupant vehicle travel. Funding may also be used to implement high capacity transit improvements in the corridor (including those identified in the I-680 Transit Investment and Congestion Relief Options and other relevant studies). Funding may also be used to complete improvements to the mainline freeway and/or local interchanges along I-680 and SR 24 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 projects shall be based on a performance analysis of project alternatives consistent with Authority requirements. Projects funded from this category must be on or near the I-680 or the SR 24 corridors. Of the funds assigned to this category in Southwest County, \$20 million will be eligible for interchange improvements on the SR 24. 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.



## East County Corridor (Vasco Road and/or Byron Highway Corridors) Improvements

**\$117 million**

The Authority shall provide funding to construct a new 2-lane "limited access" connector between Byron Highway and Vasco Road south of Camino Diablo Road as well as shoulder and other improvements to the Byron Highway (including a railroad grade separation) to improve safety and access to the Byron Airport and to facilitate economic development and access for goods movement in East Contra Costa County. For the Vasco Road corridor, the Authority shall provide funding for safety and other improvements oriented at facilitating the use of high-capacity transit and/or high occupancy carpools. To the greatest degree possible, local funds generated by this measure shall be used to leverage additional regional, state and/or federal funds for these projects.

Prior to the use of any local sales tax funds to implement capacity improvements to either or both of these corridors,

the Authority Board must make a finding that the project(s) include measures to prevent growth outside of the Urban Limit Lines (ULL). Such measures might include, but are not necessarily limited to, limits on roadway access in areas outside the ULL, purchase of abutters' rights of access, preservation of critical habitat and/or the permanent protection/acquisition of agricultural and open space or performing conservation measures required to cover this project under the East Contra Costa County Habitat Conservation Plan/Natural Community Conservation Plan (HCP/NCP). With the exception of the new connection between Vasco Road and the Byron Highway, funding from this category shall not be used to construct new roadways on new alignments. The Authority will work with Alameda and/or San Joaquin Counties to address project impacts in those jurisdictions.



## Traffic Flow Improvements Along the SR 242 and SR 4

**\$108 million**

This category is intended to provide funding to improve traffic flow and reduce congestion between Concord and Brentwood along 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. Projects funded from this category must be on or near the SR 242 or SR 4 corridors. Selection of final project(s) shall be based on a performance analysis of project alternatives consistent with Authority requirements.



## I-80 Interchange Improvements at San Pablo Dam Road and Central Avenue

**\$60 million**

This category is intended to fund improvements of the I-80 interchanges at San Pablo Dam Road, Central Avenue, and other locations along I-80 in consultation with the

subregion. The improvements of the interchanges are a priority to gain corridor traffic flow improvements.

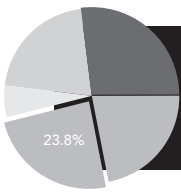


## Interstate 680/State Route 4 Interchange

**\$60 million**

This category is intended to fund an 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. Authority 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.



# FIXING LOCAL STREETS AND ROADS



## Local Street Maintenance & Improvements

**\$664 million**

This category is intended to fund maintenance and improvement projects on local streets and roads and may be used for any eligible transportation purposes as defined under the Act. 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. Population figures used shall be the most current available from the

State Department of Finance. Road mileage shall be from the most current information included in the Highway Performance Monitoring System (HPMS)

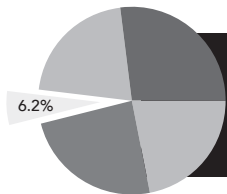
Funds shall be used by each jurisdiction to maintain and enhance existing roadway and other transportation facilities. Jurisdictions shall comply with the Authority's Maintenance of Effort (MOE) policy as well as Implementation Guidelines of this TEP. Local agencies will report on the use of these funds,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

## Additional Local Street Maintenance & Improvements

**\$20 million**

This subcategory is intended to fund additional maintenance and improvement projects on local streets and roads. These additional funds will be allocated to Central Contra Costa County jurisdictions based on the formula of 50 percent on

relative population and 50 percent on road miles for each jurisdiction and subject to program requirements detailed above.



# PROVIDING AFFORDABLE AND SAFE TRANSPORTATION FOR CHILDREN, SENIORS AND PEOPLE WITH DISABILITIES



## Safe Transportation for Children

**\$64 million**

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

The Authority 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.



## Transportation for Seniors & People With Disabilities

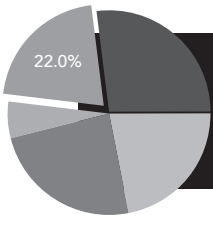
**\$115 million**

Funding in this category is to support mobility opportunities for seniors and people with disabilities who, due to age or disability, cannot drive or take other transit options.

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 address both Americans with Disabilities Act (ADA) and non-ADA services. 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.

The ATS Strategic Plan will be developed by the Authority, in consultation with direct users of service, stakeholders representing seniors and people with disabilities who face mobility barriers, and non-profit and publicly operated paratransit service providers. Public operators in Contra Costa must participate in the ATS planning process to be eligible to receive funding in this category. The ATS Strategic Plan must be adopted no later than April 1, 2018. The development of the ATS Strategic Plan will not affect the allocation of funds to current operators as prescribed in the existing Measure J Expenditure Plan.



# BUILDING SUSTAINABLE COMMUNITIES AND PROTECTING THE ENVIRONMENT



## Major Streets, Complete Streets, and Traffic Synchronization Project Grants **\$290 million**

This category is intended 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 shall include a variety of components that meet the needs of all users and respond to the context of the facility. Projects may include but are not limited to installation of bike and pedestrian facilities, installation of “smart” parking management programs, separated bike lanes, 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 Authority will adopt a ‘traffic signal synchronization’ program and award grants for installation of ‘state of the art’ technology designed to smooth the flow of traffic along major arterial roadways throughout the county. Funding from this program will be prioritized to projects that improve access for all modes to jobs, commercial areas and transit, and the design process which includes opportunity for public input from existing and potential users of the facility. Priority will be given to projects that can show a high percentage of “other funding” allocated to the project (i.e. – leverage). The Authority will adopt program guidelines that will include information regarding how to evaluate the

range of possible project components. All projects will be selected through a competitive project selection process within each subregion with the Authority approving the final program of projects, allowing for a comprehensive countywide approach while recognizing subregional needs to achieve the overall program goal. All projects funded through this program must comply with the Authority’s Complete Streets Policy and include complete street elements whenever possible. Twenty percent of the program funding will be allocated to four Complete Streets demonstration projects, one in each subregion, recommended by the relevant RTPC and approved by Authority, to demonstrate the successful implementation of Complete Streets projects no later than April 1, 2022.. Projects will be required to strongly pursue the use of separated bike lane facilities in the demonstration project program. The purpose of these demonstration projects is to create examples of successful complete street projects in multiple situations throughout the county.





## Pedestrian, Bicycle and Trail Facilities

**\$115 million**

Two-thirds of the funds from this program shall be used to implement projects in the Countywide Bicycle and Pedestrian Plan, consistent with the current Measure J program. These funds shall be allocated 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. All projects will be selected through a competitive project selection process within each subregion with the Authority approving the final program of projects, allowing for a comprehensive countywide approach while recognizing subregional needs to achieve the overall program goal. The review process shall consider project feasibility and readiness and the differing needs of the sub-regions when identifying projects for funding. Funding available through this program is to be primarily used to construct and maintain bicycle, pedestrian and trail facilities, as well as to make safety or other improvements to bicycle, pedestrian and trail facilities. 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 conceptual planning/design phase by 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 component of the funding 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.



## Community Development Transportation Program

**\$100 million**

This category is intended to provide funding to implement a new Community Development Transportation Program (CDTP) to be administered by the Authority in conjunction with the Authority's existing Transportation for Livable Communities Program (TLC) with projects identified by the Authority's Regional Transportation Planning Committees (RTPCs). Funds will be allocated by the Authority on a competitive basis to transportation projects or programs that promote housing within planned or established centers that are supported by transit, or that support economic development and job creation in Contra Costa County. All projects will be selected through a competitive project selection process within each subregion with the Authority approving the final program of projects, allowing for a

comprehensive countywide approach while recognizing subregional needs to achieve the overall program goal. Project sponsors must demonstrate that at least 20 percent of the project is funded from other than local transportation sales tax revenue. Additional priority will be given to projects where the sponsor can demonstrate that the project supports and facilitates development of jobs or housing for all income levels and that have additional matching funds that have already been committed or secured. Working with the RTPCs, the Authority will prepare guidelines and establish overall criteria for the program with the intent of complementing and administering the program in conjunction with the Authority's Measure J TLC program no later than December 31, 2017.

## Building Sustainable Communities and Protecting the Environment



### Innovative Transportation Technology/Connected Communities Program

**\$65 million**

This category is intended to provide funding 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. The Authority intends innovative solutions to include installing new digital and communications infrastructures, automated processes and intelligent controls, and integration with other community services, such as public safety and communications providers, to support a more integrated transportation system that promotes economic development, expanded job opportunities, increased government efficiency, reductions in consumption of nonrenewable resources, and increased sustainability, safety and mobility. Examples of eligible projects include but are not limited to expanding opportunities for zero emission vehicle charging; smart rideshare, carshare and bikeshare services; on-demand and personal transit services that complement 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 is to 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. All programs/projects will be selected through a competitive project selection process within each subregion with the Authority approving the final programs/projects for each of the sub-programs, allowing for a comprehensive countywide approach while recognizing subregional needs to achieve the overall program goal.

Project sponsors must demonstrate that the programs provide highly efficient services that are cost effective, integrated and responsive to the needs of the community.



### Transportation Planning, Facilities and Services

**\$43 million**

This category is intended to provide funding to implement the countywide Growth Management Program, 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.



### Regional Transportation Priorities

**\$19 million**

This category is intended to fund any project or program identified in the Expenditure Plan or eligible under the provisions of the Act, including activities that promote

alternatives to travel in single occupant vehicles. Program and project recommendations shall be made by each subregion for consideration and funding by the Authority.

## 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.<sup>1</sup>

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.

The Measure J Transportation Expenditure Plan Growth Management Program (see page 18) includes: Principles of Agreement for Establishing the Urban Limit Line, is replaced in its entirety by this Growth Management Program (see page 18): Urban Limit Line (ULL) Definitions and Compliance Requirements.

### Components

To receive its share of the 2016 Transforming Contra Costa County Expenditure Plan funding from Local Streets Maintenance and Improvements funds and its share of Contra Costa's Measure J Transportation Sales Tax Expenditure Plan Local Streets Maintenance & Improvements funding and to be eligible for Contra Costa's Measure J Transportation Sales Tax Expenditure Transportation for Livable Communities funds and the 2016 Transforming Contra Costa County Expenditure Plan funding from Community Development Transportation Program 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 2–8 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.

#### ***2. Adopt a Development 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.

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<sup>1</sup> The 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.

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 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 or other tools adopted by the Authority for measuring performance and quality of service along routes of significance, collectively referred to as 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.

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. Continuously Comply with an Urban Limit Line (ULL)***

In order to be found in compliance with this element of the Authority's Growth Management Program, all jurisdictions must continually comply with an applicable voter approved Urban Limit Line (ULL). Said ULL may either be the Contra Costa County voter approved ULL (County ULL) or a locally initiated, voter approved ULL (LV- ULL).

Additional information and detailed compliance requirements for the ULL are fully defined in the ULL Compliance Requirements, which are incorporated (see page 18).

Any of the following actions by a local jurisdiction will constitute non-compliance with the Growth Management Program:

1. The submittal of an annexation request to Local Agency Formation Commission (LAFCO) for lands outside of a jurisdiction's applicable ULL.
2. Failure to conform to the Authority's ULL Compliance Requirements (See page 18).

#### ***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.

#### ***8. Adopt Additional Growth Management Policies, as applicable***

Each jurisdiction shall adopt and thereafter continuously maintain the following policies (where applicable): a hillside development policy, a ridgeline protection policy, a wildlife corridor policy and a creek development policy. Where a jurisdiction does not have a developable hillside, ridgeline, wildlife corridor or creek, it need not adopt the corresponding policy. An ordinance that implements the East Contra Costa HCP/NCCP shall satisfy the requirement to have an adopted wildlife corridor policy and creek development policy. In addition to the above, jurisdictions with Prime Farmland and Farmland of Statewide Importance (as defined by the California Dept. of Conservation and mapped by FMMP) within their planning areas but outside of their city shall adopt and thereafter continuously maintain an Agricultural Protection Policy. The policy must ensure that potential impacts of converting Prime Farmland and Farmland of Statewide Importance outside the ULL to other uses are identified and disclosed when considering such a conversion. The applicable policies are required to be in place by no later than April 1, 2019.

## 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 and the allocation procedures described below. The funds are to be distributed on a formula based on population and road miles.

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 2016 Transforming Contra Costa County Expenditure Plan funding from Local Streets Maintenance and Improvements funding and its share of Contra Costa's Measure J Transportation Sales Tax Expenditure Plan Local Streets Maintenance & Improvements 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 2016 Transforming Contra Costa County Expenditure Plan funding from Community Development Transportation Program funds or Contra Costa's Measure J Transportation Sales Tax Expenditure Plan Transportation for Livable Communities funds 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.

## Urban Limit Line (ULL) Compliance Requirements

Definitions - the following definitions apply to the GMP ULL requirement:

1. Urban Limit Line (ULL): 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 future urban development
2. Local Jurisdictions: Includes Contra Costa County, the 19 cities and towns within Contra Costa, plus any newly incorporated cities or towns established after April 1, 2017.
3. County ULL: A ULL placed on the ballot by the Contra Costa County Board of Supervisors, approved by voters at a countywide election, and in effect through the applicable GMP compliance period. The current County ULL was established by Measure L approved by voters in 2006.

*The following local jurisdictions have adopted the County ULL as their applicable ULL:*

City of Brentwood	Town of Moraga
City of Clayton	City of Oakley
City of Concord	City of Orinda
Town of Danville	City of Pinole

City of El Cerrito	City of Pleasant Hill
City of Hercules	City of Richmond
City of Lafayette	City of San Pablo
City of Martinez	City of Walnut Creek

4. Local Voter ULL (LV-ULL): A 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. The LV-ULL will be used as of its effective date to meet the Authority's GMP ULL requirement and must be in effect through the applicable GMP compliance period.

*The following local jurisdictions have adopted a LV-ULL:*

City of Antioch  
City of San Ramon  
City of Pittsburg

5. Minor Adjustment: An adjustment to the ULL of 30 acres or less is intended to address unanticipated circumstances.
6. Other Adjustments: Other adjustments that address issues of unconstitutional takings, and conformance to state and federal law.

## Revisions to the ULL

1. A local jurisdiction which has adopted the County ULL as its applicable ULL may revise its ULL with local voter approval at any time during the term of the Authority's GMP by adopting a LV-ULL in accordance with the requirements outlined for a LV-ULL contained in the definitions section.
2. A local jurisdiction may revise its LV-ULL with local voter approval at any time during the term of the Authority's GMP if the resultant ULL meets the requirements outlined for a LV-ULL contained in the definitions section.
3. If voters, through a countywide ballot measure, approve a revision to the County ULL, the legislative body of each local jurisdiction relying on the County ULL shall:
  - a. Accept and approve its existing ULL to continue as its applicable ULL, or
  - b. Accept and approve the revised County ULL as its applicable ULL, or
  - c. Adopt a LV-ULL in accordance with the requirements outlined for a LV-ULL contained in the definitions section.
4. Local jurisdictions may, without voter approval, enact Minor Adjustments to their applicable ULL subject to a vote of at least 4/5 of the jurisdiction's legislative body and meeting the following requirements:
  - a. Minor adjustment shall not exceed 30 acres.
  - b. Adoption of at least one of the findings listed in the County's Measure L (§82-1.018 of County Ordinances 2006-06 § 3, 91-1 § 2, 90-66 § 4) which include:
    - 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.
    - An objective study has determined that the urban limit line is preventing the jurisdiction from providing its fair share of affordable housing, or regional housing, as required by state law, and the governing elected legislative body finds that a change to the urban limit line is necessary and the only feasible means to enable the county jurisdiction to meet these requirements of state law.



- 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.
  - A minor change to the urban limit line will more accurately reflect topographical characteristics or legal boundaries.
  - 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 Contra Costa County Code (Section 82-1.010), that new information is available (from city, town, or county growth management studies or otherwise) or circumstances have changed, warranting a change to the urban limit line.
  - 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
  - A change is required to conform to applicable California or federal law.
- c. Adoption of a finding that the proposed Minor Adjustment will have a public benefit. Said public benefit could include, but is not necessarily limited to, enhanced mobility of people or goods, environmental protections or enhancements, improved air quality or land use, enhanced public safety or security, housing or jobs, infrastructure preservation or other significant positive community effects as defined by the local land use authority. If the proposed Minor Adjustment to the ULL is proposed to accommodate housing or commercial development, said proposal must include permanent environmental protections or enhancements such as the permanent protection of agricultural lands, the dedication of open space or the establishment of permanent conservation easements.
- d. The Minor Adjustment is not contiguous to one or more non-voter approved Minor Adjustments that in total exceed 30 acres.
- e. The Minor Adjustment does not create a pocket of land outside the existing urban limit line, specifically to avoid the possibility of a jurisdiction wanting to fill in those subsequently through separate adjustments.
- f. Any jurisdiction proposing to process a minor adjustment to its applicable ULL that impacts Prime Farmland and Farmland of Statewide Importance (as defined by the California Dept. of Conservation and mapped by FMMP) is required to have an adopted Agricultural Protection Ordinance or must demonstrate how the loss of these agricultural lands will be mitigated by permanently protecting farmland.
5. A local jurisdiction may revise its LV-ULL, and the County may revise the County ULL, to address issues of unconstitutional takings or conformance to State or federal law.

## Conditions of Compliance

1. Submittal of an annexation request of greater than 30 acres by a local jurisdiction to LAFCO outside of a voter-approved ULL will constitute non-compliance with the GMP.
2. For each jurisdiction, an applicable ULL shall be in place through each GMP compliance reporting period in order for the local jurisdiction to be found in compliance with the GMP requirements.

# 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. The goal of every transportation project is to provide safer, more accessible facilities for all users and all projects shall be planned, designed, constructed and operated to take advantage of that opportunity.

By making streets more efficient and safe for all users, a complete streets approach will expand capacity and improve mobility for all users, giving commuters convenient options for travel and minimizing the need to widen roadways.

## *Policy*

To achieve this vision, all recipients of funding through this Plan shall consider and accommodate, wherever possible and subject to the Exceptions listed in this Policy, the needs of all users in the planning, design, construction, reconstruction, rehabilitation and maintenance of the transportation system. This determination shall be consistent with the exceptions listed below. Achieving this vision will require balancing the needs of different users, and may require reallocating existing right of way for different uses.

The Authority shall revise its project development guidelines to require the consideration and accommodation of all users in the design and construction of projects funded with Measure funds and shall adopt peer review and design standards to implement that approach. The guidelines will allow flexibility in responding to the context of each project and the needs of users specific to the project's context, and will build on accepted best practices for complete streets and context-sensitive design.

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 and construction of the project. In the checklist, the sponsor will outline how they provided opportunity for public input, in a public forum, from all users early in the project development and design process. If the proposed project or program will not provide context appropriate 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 the funding allocation resolution.

Recipients of Local Maintenance and Improvements funds shall adopt procedures that ensure that all agency departments consider and accommodate the needs of all users for projects or programs affecting public rights of way for which the agency is responsible. These procedures shall:

- 1) 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,
- 2) involve and coordinate the work of all agency departments and staff whose projects will affect the public right of way,
- 3) consider the complete street design standards adopted by the Authority, and
- 4) provide opportunity for public review by all potential users early in the project development and design phase so that options can be fully considered. 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 list projects funded by the Measure and detail how those projects accommodated users of all modes.

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 and construction of transportation facilities for all modes within their jurisdiction with the plans of adjoining and connecting jurisdictions.

### **Exceptions**

Project sponsors may provide a lesser accommodation or forgo complete street accommodation components 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, or
3. The sponsor demonstrates that, such accommodation is not needed, based on objective factors including:
  - a. current and projected user demand for all modes based on current and future land use, and
  - b. lack of identified conflicts, both existing and potential, between modes of travel.

Project sponsors shall explicitly approve exceptions findings as part of the approval of any project using measure funds to improve streets classified as a major collector or above.<sup>1</sup> Prior to this project sponsors must provide an opportunity for public input at an approval body (that regularly considers design issues) and/or the governing board of the project sponsor.

## **Advance Mitigation Program**

The Authority is committed to participate in the creation and funding of an Advance Mitigation Program as an innovative way to advance needed infrastructure projects more efficiently and provide more effective conservation of our natural resources, watersheds and wetlands, and agricultural lands. As a global biodiversity hot spot, the Bay Area and Contra Costa County hosts an extraordinarily rich array of valuable natural communities and ecosystems that provide habitat for rare plants and wildlife, and support residents' health and quality of life by providing clean drinking water, clean air, opportunities for outdoor recreation, protection from disasters like flooding, landslides, and adaptation to climate change. The Advance Mitigation Program aims to integrate conservation into infrastructure agencies' plans and project development well in advance and on a regional scale to reduce potential impacts of transportation projects, as well as to drive mitigation dollars to protect regional conservation priorities and protect important ecological functions, watersheds and wetlands, and agricultural lands that are at threat of loss. The Advance Mitigation Program will provide environmental mitigation activities specifically required under the California Environmental Quality Act (CEQA), National Environmental Policy Act (NEPA), Clean Water Act Section 401 and Section 404, and other applicable regulations in the implementation of the major highway, transit and regional arterial and local streets and roads projects identified in the Plan.

The Authority's participation in an Advance Mitigation Program is subject to the following conditions:

1. Development of a Regional Conservation Assessment/Framework that identifies conservation priorities and mitigation opportunities for all of Contra Costa County. The Regional Conservation Assessment/Framework will include countywide opportunities and strategies that are, among other requirements, consistent with

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1. Major Collectors and above, as defined by the California Department of Transportation California Road System (CRS maps).

and support the East Contra Costa County Habitat Conservation Plan/Natural Community Conservation Plan (East Contra Costa HCP/NCCP) for the areas of the county covered by the East Contra Costa HCP/NCCP. The Regional Conservation Assessment/Framework will identify mitigation opportunities for all areas of the county to ensure that mitigation occurs in the vicinity of the project impact to the greatest extent possible. The Authority will review and approve the Regional Conservation Assessment/Framework, in consultation with the RTPCs, prior to the allocation of funds for Advance Mitigation Program.

2. Development of a Project Impacts Assessment that identifies the portfolio of projects to be included in the Advance Mitigation Program and the estimated costs for mitigation of the environmental impacts of the projects. The Authority will review and approve the Project Impacts Assessment prior to the allocation of funds for the Advance Mitigation Program. The Assessment and estimated costs do not in any way limit the amount of mitigation that may be necessary or undertaken for the environmental impacts of the projects.
3. Development of the legislative and regulatory framework necessary to implement an Advance Mitigation Program in Contra Costa County.
4. The identification of the Implementing Agency to administer the Advance Mitigation Program for Contra Costa County or portions of the Bay Area Including Contra Costa County.

The Authority will determine the amount of funds to be dedicated to this Program following the satisfaction of the above conditions. Funds from the Plan will be allocated consistent with the Regional Conservation Assessment/Framework to fund environmental mitigation activities required in the implementation of the major highway, transit and regional arterial and local streets and roads projects identified in the Plan. If this approach cannot be fully implemented, these funds shall be used for environmental mitigation purposes on a project by project basis. Mitigation required for future transportation improvements identified in the Plan are not limited by the availability of funding or mitigation credits available in the Program.

Projects funded from the following categories of Expenditures are eligible for inclusion in the Advance Mitigation Program:

- Major Streets, Complete Streets and Traffic Synchronization Project Grants
- East Contra Costa Transit Extension
- High Capacity Transit Improvements along the I-80 Corridor in West Contra Costa County
- Traffic Flow Improvements Along I-680 and SR 24
- Traffic Flow Improvements Along SR 242 and SR 4
- I-80 Interchange Improvements at San Pablo Dam Road and Central Ave
- I-680 and SR 4 Interchange Improvements
- East County Corridor (Vasco Road and/or Byron Highway Corridors)
- Pedestrian, Bicycle and Trail Facilities
- Community Development Transportation Program

## Governing Structure

### *Governing Body and Administration*

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

The four subregions within Contra Costa: Central, West, Southwest and East County are each represented by a Regional Transportation Planning Commission (RTPC). Central County (TRANSPAC subregion) includes Clayton, Concord, Martinez, Pleasant Hill, Walnut Creek and the unincorporated portions of Central County. West County (WCCTAC subregion) includes El Cerrito, Hercules, Pinole, Richmond, San Pablo and the unincorporated portions of West County. Southwest County (SWAT subregion) includes Danville, Lafayette, Moraga, Orinda, San Ramon and the unincorporated portions of Southwest County. East County (TRANSPLAN subregion) includes Antioch, Brentwood, Oakley, Pittsburg and the unincorporated portions of East County.

### *Public Oversight Committee*

The Public Oversight Committee (Committee) shall provide diligent, independent and public oversight of all expenditures of Measure funds by Authority 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.
- Review of fiscal audits of Measure expenditures.
- Review of performance audits of projects and programs relative to performance criteria established by the Authority, and if performance of any project or program does not meet its established performance criteria, identify reasons why and make recommendations for corrective actions that can be taken by the Authority Board for changes to project or program guidelines.
- Review of application of the Performance-based Review policy
- 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

Authority Board for implementing the expenditure plan. The report will be noticed in local media outlets throughout Contra Costa County, posted to the Authority Website and made continuously available for public inspection at Authority 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 Authority Board summarizing the annual report subsequent to its release.

Committee members shall be selected to reflect community, business organizations and other interests within the County. The goal of the membership makeup of the Public Oversight Committee is 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. One member will be nominated by each of the four subregions with the RTPC representing the subregion nominating the member. The Board of Supervisors will nominate four members, with each of these four members residing in and representing one of the county's four subregions. Eight members will be nominated by each respective organization detailed here, with each having one representative: League of Women's Voters, Contra Costa Taxpayers Association, East Bay Leadership Council, Building and Construction Trades Council, Central Labor Council, Paratransit Coordinating Council, Bike East Bay, and environmental and/or open space organizations operating in Contra Costa County (specific organization may vary during the life of the measure). About one half of the initial member appointments will be for two years and the remaining appointments will be for three year terms. Thereafter, members will be appointed to two year terms. Any individual member can serve on the Committee for no more than 6 consecutive years.

Committee members will be Contra Costa County residents who are not elected officials at any level of government or public employees from agencies that either oversee or benefit from the proceeds of the Measure. Membership is restricted to individuals with no economic interest in any of Authority'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 Authority 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 Authority 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 Authority Board will request a replacement from the stakeholder categories listed above.

The Authority 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 Authority, and with logistical support so that the Committee may effectively perform its oversight function. The Committee will have full access to Authority's independent auditors, and may request Authority staff briefings for any information that is relevant to the Measure. The Committee Chair shall inform the Authority Board Chair and Executive Director of any concern regarding Authority staff's commitment to open communication, the timely sharing of information, and teamwork.

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 Authority 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 (i.e. this document) will be evaluated on a periodic basis and a formal review will be conducted by the Authority Board, Executive Director and the Committee a minimum of 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 oversight committees. Amendments to this Charter shall be proposed by the Committee and adopted or rejected by the Authority Board.

The Committee replaces the Authority'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 Authority to advise and assist in policy development and implementation. The committees include:

The Regional Transportation Planning 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
- Bus Transit Coordinating Committee

## **Implementing Guidelines**

This Transportation Expenditure Plan (Plan) is guided by principles that ensure the revenue generated by the sales tax is spent only for the purposes outlined in this Plan in the most efficient and effective manner possible, consistent with serving the transportation needs of Contra Costa County. The following Implementing Guidelines shall govern the administration of sales tax revenues by the Authority. Additional detail for certain Implementing Guidelines is found elsewhere in this Plan.

### *Duration of the Plan*

The duration of the Plan shall be for 30 years from April 1, 2017 through March 31, 2047.

### *Administration of the Plan*

1. **Funds only Projects and Programs in the Plan:** Funds collected under this Measure may only be spent for purposes identified in the Plan, as it may be amended by the Authority governing body. Identification of Projects or Programs in the Plan does not ensure their implementation. As authorized, the Authority may amend or delete Projects and Programs identified in the Plan, including to provide for the use of additional federal, state and local funds, to account for unexpected revenue, to maintain consistency with the current Contra Costa Countywide Transportation Plan, to take into consideration unforeseen circumstances, and to account for impacts, alternatives, and potential mitigation determined during review under the California Environmental Quality Act (CEQA) at such time as each Project and Program is proposed for approval.
2. **All Decisions Made in Public Process:** The Authority 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 Authority will be conducted in public according to state law, through publically noticed meetings. The annual budgets of Authority, strategic plans and annual reports will all be prepared for public review. The interest of the public will be further protected by a Public 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 expenditures for the salaries and benefits of the staff necessary to perform administrative functions for the Authority exceed one half percent (0.5%) of revenues from the Measure. The allocated costs of Authority 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 Transportation Planning Committee(s) will participate in the development of the proposed amendment(s). A majority of the Authority Board is required to approve an amendment and 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 in the Plan shall be made available for project development and implementation as required in the project's financial and implementation program.
6. **Jurisdiction:** The Authority retains sole discretion regarding interpretation, construction, and meaning of words and phrases in the Transportation Expenditure Plan.

#### *Taxpayer Safeguards, Audits and Accountability*

7. **Public Oversight Committee:** The Public Oversight Committee will provide diligent, independent and public oversight of all expenditures of Measure funds by Authority 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, 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
8. **Fiscal Audits:** All Funds expended by Authority directly and all funds allocated by formula or discretionary grants to other entities are subject to fiscal audit. Recipients of Local Streets Maintenance & Improvements, Bus Transit and Other Non-Rail Transit Enhancements, or Transportation for Seniors & People With Disabilities programs funding (including but not limited to 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.
9. **Performance Audits:** The following funding categories shall be subject to performance audits by the Authority: Local Streets Maintenance and Improvements, Major Streets/Complete Streets/Traffic Signal Synchronization Program, Bus Transit and Other Non-Rail Transit Enhancements, Transportation for Seniors and People with Disabilities, Safe Transportation for Children, Intercity Rail and Ferry Service, Pedestrian, Bicycle, and Trail Facilities, Community Development Transportation Program, and Innovative Transportation Technology/ Connected Communities Program. Each year, the Authority shall select and perform a focused performance audit on two or three of the funding categories listed above, so that at the end of the fourth year all funding categories listed above are audited. This process shall commence two years after passage of the new sales tax measure. Additional Performance Audits shall continue on a similar cycle for the duration of the Plan. The performance audits shall provide an accurate quantitative and qualitative evaluation of the funding categories to determine the effectiveness in meeting the performance criteria established by the Authority. In the event that any performance audit determines that a funding category is not meeting the performance requirements

established by the Authority, the audit shall include recommendations for corrective action including but not limited to revisions to Authority policies or program guidelines that govern the expenditure of funds.

10. **Maintenance of Effort (MOE):** Funds generated by the new sales tax Measure are to be used to supplement and not replace existing local revenues used for streets and highways purposes. The basis of the MOE requirement will be the average of expenditures of annual discretionary funds on streets and highways, as reported to the Controller pursuant to Streets and Highways Code Section 2151 for the three most recent fiscal years before the passage of the Measure where data is available. 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 Streets Maintenance and Improvements funds until MOE compliance is achieved. The audit of the MOE 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.

Any local jurisdiction wishing to adjust its maintenance of effort requirement shall submit to the Authority a request for adjustment and the necessary documentation to justify the adjustment. The Authority staff shall review the request and shall make a recommendation to the Authority. Taking into consideration the recommendation, the Authority may adjust the annual average of expenditures reported pursuant to Streets and Highways Code Section 2151. The Authority shall make an adjustment if one or more of the following conditions exists:

1. The local jurisdiction has undertaken one or more major capital projects during those fiscal years, that required accumulating unrestricted revenues (i.e., revenues that are not restricted for use on streets and highways such as general funds) to support the project during one or more fiscal years.
  2. A source of unrestricted revenue used to support the major capital project or projects is no longer available to the local jurisdiction and the local jurisdiction lacks authority to continue the unrestricted funding source.
  3. One or more sources of unrestricted revenues that were available to the local jurisdiction is producing less than 95 percent of the amount produced in those fiscal years, and the reduction is not caused by any discretionary action of the local jurisdiction.
  4. The local jurisdiction Pavement Condition Index (PCI) is 70 or greater, as calculated by the jurisdiction Pavement Management System and reported to the Metropolitan Transportation Commission.
11. **Annual Budget and Strategic Plan:** Each year, the Authority will adopt an annual budget that estimates expected sales tax receipts, other anticipated revenue and planned expenditures for the year. On a periodic basis, the Authority will also prepare a Strategic Plan which will identify the priority for projects; the date for project implementation based on project readiness and availability of project funding; the state, federal and other local funding committed for project implementation, and other relevant criteria. The annual budget and Strategic Plan will be adopted by the Authority Board at a public meeting.
  12. **Requirements for Fund Recipients:** All recipients of funds allocated in this expenditure plan will be required to sign a Master Cooperative Agreement that defines reporting and accountability elements and as well as other applicable policy requirements. All funds will be appropriated through an open and transparent public process.
  13. **Geographic Equity:** The proposed projects and programs to be funded through the 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 an Authority Fund Allocations policy, and to maintain a “balanced” distribution of funding allocations to each subregion.

## Restrictions On Funds

14. **Expenditure Shall Benefit 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 residents of Contra Costa County. Under no circumstance may these funds be appropriated by the State of California or any other local government agency as defined in the implementing guidelines.
15. **Environmental Review:** All projects funded by sales tax proceeds are subject to laws and regulations of federal, state, and local government, including the requirements of the California Environmental Quality Act (CEQA). Prior to approval or commencement of any project or program included in the Plan, all necessary environmental review required by CEQA shall be completed.
16. **Performance-based Project Review:** Before the allocation of any measure funds for the construction of a project with an estimated capital cost in excess of \$25 million (or elements of a corridor project with an overall estimated cost in excess of \$25 million), the Authority will: 1) verify that the project is consistent with the approved Countywide Transportation Plan (CTP), as it may be amended, 2) verify that the project is included in the Regional Transportation Plan / Sustainable Communities Strategy, and 3) require the project sponsor to complete a performance based review of project alternatives prior to the selection of a preferred alternative. Said performance based review will include, but not necessarily be limited to, an analysis of the project impacts on greenhouse gas emissions, vehicle miles travelled, goods movement effectiveness, travel mode share, delay (by mode), safety, maintenance of the transportation system and consistency with adopted Authority plans. The Authority may require the evaluation of other performance criteria depending on the specific need and purpose of the project. When appropriate, the Authority will encourage project sponsors to identify and select a project alternative that reduces greenhouse gas emissions as well as vehicle miles travelled per capita. The Authority will also prioritize and reward high performing projects by leveraging additional regional and other funding sources. The Authority shall adopt detailed guidelines for evaluating project performance and applying performance criteria in the review and selection of a preferred project alternative no later than October 1, 2018.
17. **Countywide Transportation Plan:** State law allows each county in the San Francisco Bay Area that is subject to the jurisdiction of the regional transportation planning agency to prepare a Countywide Transportation Plan (CTP) for the county and cities within the county. Both Measure C and Measure J also require the Authority to prepare and periodically update a CTP for Contra Costa. State law also created an inter-dependent relationship between the CTP and regional planning agency. Each CTP must consider the region's most recently adopted Regional Transportation Plan (RTP) and Sustainable Communities Strategy (SCS) while the adopted CTPs must form the "primary basis" for the next RTP and SCS. The Authority shall follow applicable statutes and the most current guidelines for preparing the CTP, as established and periodically updated by the regional transportation planning agency. The Authority shall also use the CTP to convey the Authority's investment priorities, consistent with the long-range vision of the RTP and SCS.
18. **Complete Streets:** The Authority has adopted a policy requiring all recipients of funding through this Plan to consider and accommodate, wherever possible, the needs of all users in the planning, design, construction, reconstruction, rehabilitation and maintenance of the transportation system. Achieving this vision will require balancing the needs of different users, and may require reallocating existing right of way for different uses.
19. **Compliance with the Growth Management Program:** 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 Transportation Program (CDTP) funding until the Authority determines the jurisdiction has achieved compliance, as detailed in the Growth Management Program section of the Plan.

20. **Local Contracting and Good Jobs:** Authority will develop a policy supporting the hiring of local contractors and businesses, including policy requiring prevailing wages, apprenticeship programs for Contra Costa residents, and veteran hiring policy (such as the Helmets to Hardhats program) to the extent permitted by law. The Authority, will adopt the aforementioned policy for projects and programs funded by the measure no later than April 1, 2018.
21. **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.
22. **Countywide Transit Plan:** The Authority will develop a countywide transit plan identifying services and projects to be funded with this Measure. The plan will be inclusive of services and projects in adopted plans of existing transit operators which have gone through a public review process prior to adoption. The plan will be periodically reviewed and updated. Funding will be allocated by the Authority throughout the County based on input from each Regional Transportation Planning Committee and on performance criteria established by the Authority in consultation with local and regional bus transit operators, providers of alternate non-rail transportation, and stakeholders. Said performance criteria will include a review of impact on Vehicle Miles Traveled (VMT) and Green-house Gas (GHG) and 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.

#### *Project Financing Guidelines and Managing Revenue*

23. **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.
24. **Project and Program Financing:** The Authority has the authority to bond for the purposes of expediting the delivery of transportation projects and programs. The Authority will develop a policy to identify financing procedures for the entire plan of projects and programs.
25. **Programming of Variations from the Expected Revenue:** Actual revenues may, at times be higher or lower than expected in this Plan due to changes in receipts. Additional funds may become available due to the increased opportunities for leveraging or project costs being 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 Authority. 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.
26. **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 Authority reassign funds to another project in the same subregion. In the allocation of the released funds, the Authority in consultation with the subregion RTPC 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 other modes of travel in the same subregion, 3) other expenditure plan projects or programs, 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.
27. **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 described above.

## Appendix

**Table of Expenditure Plan Funding Allocations**

Funding Category	\$ millions	%	Distribution of Funding By Subregion			
			Central (a)	Southwest (b)	West (c)	East (d)
BART Capacity, Access and Parking Improvements	300.00	10.44%	88.10	57.38	69.77	84.75
Bus Transit Enhancements in West Contra Costa	110.55	3.84%			110.55	
Bus Transit and Other Non-Rail Transit Enhancements in Central, East and Southwest Contra Costa	184.40	6.42%	61.45	61.45		61.50
East Contra Costa Transit Extension	70.00	2.44%				70.00
High Capacity Transit Improvements along the I-80 Corridor	55.00	1.91%			55.00	
Intercity Rail and Ferry Service Improvements	50.00	1.74%	8.00		35.00	7.00
Traffic Flow Improvements & High Capacity Transit Implementation Along I-680 & SR 24	250.00	8.70%	125.00	125.00		
East County Corridor (Vasco Rd and/or Byron Highway Corridors)	117.00	4.07%				117.00
Traffic Flow Improvements along SR 242 & SR 4	108.00	3.76%	44.00			64.00
I-80 Interchange Improvements at San Pablo Dam Road and Central Avenue	60.00	2.09%			60.00	
Interstate 680 and State Route 4 Interchange Improvements	60.00	2.09%	60.00			
Local Street Maintenance and Improvements	663.50	23.09%	191.96	147.53	145.63	178.38
Add'l Local Street Maintenance and Improvements	20.00	0.70%	20.00			
Transportation for Seniors and People with Disabilities	115.01	4.00%	30.80	19.30	28.15	36.76
Safe Transportation for Children	63.96	2.23%	8.72	20.03	26.12	9.09
Major Streets, Complete Streets and Traffic Synchronization Project Grants	290.00	10.09%	108.40	46.40	56.60	78.60
Pedestrian, Bicycle and Trail Facilities	115.00	4.00%	28.30	30.35	26.41	29.94
Community Development Transportation Program	100.00	3.48%	25.26	16.45	20.00	38.29
Innovative Transportation Technology / Connected Communities Grant Program	65.00	2.26%	22.10	11.00	16.70	15.20
Transportation Planning, Facilities & Services	43.05	1.50%	12.64	8.23	10.02	12.16
Regional Transportation Priorities	18.70	0.65%	5.00	3.70	5.00	5.00
Administration	14.35	0.50%	4.20	2.75	3.35	4.05
<b>TOTAL</b>	<b>2873.52</b>	<b>100.0%</b>	<b>843.93</b>	<b>549.57</b>	<b>668.30</b>	<b>811.72</b>
Population Based Share			<b>843.88</b>	<b>549.58</b>	<b>668.33</b>	<b>811.73</b>
Population Share (2030 Estimate) of Total			<b>29.37%</b>	<b>19.12%</b>	<b>23.26%</b>	<b>28.25%</b>

Numbers in this chart are rounded for viewing simplicity.

## Contra Costa Transportation Authority **STAFF REPORT**

**Meeting Date:** July 20, 2016

<b>Subject</b>	<b>Approve Ordinance 16-02 Adopting the 2016 Transportation Expenditure Plan (TEP)</b>
<b>Summary of Issues</b>	<p>Over the past several months, the Contra Costa Transportation Authority (Authority) has undertaken actions necessary to consider placing a measure on the November 2016 general election ballot which would establish a new one half of one percent transactions and use tax (aka sales tax) for transportation purposes to meet the growing needs of Contra Costa County. Placing a new transportation sales tax on the ballot requires preparation and adoption of a TEP documenting the use of the revenues expected to be derived from the sales tax. The Authority approved the final language for the TEP on May 18, 2016 and released the TEP for approval by city/town councils and the County Board of Supervisors (BOS). The TEP was approved unanimously by all city/town councils and the BOS without a single "no" vote.</p> <p>Staff has worked with the Authority's legal council to develop the attached Ordinance 16-02 as consideration of adopting the TEP.</p>
<b>Recommendations</b>	Staff recommends the Authority adopt Ordinance 16-02 approving the TEP, pursuant to a finding that the approval of the Resolution is not a project or, alternatively, is exempt from environmental review under the California Environmental Quality Act.
<b>Financial Implications</b>	The proposed TEP would, if approved by the voters, generate \$2.9 billion in sales tax revenues over 30 years to improve the transportation system in Contra Costa. The TEP is estimated to leverage twice this amount of funding from state, federal and regional sources.
<b>Options</b>	The Authority can elect to not adopt the TEP which would effectively end efforts to seek a new transportation sales tax measure on the November 2016 ballot.
<b>Attachments</b>	<b>A.</b> Ordinance 16-02 which includes the proposed TEP as an attachment.

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**Changes from  
Committee**

N/A

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Since 1989, the Authority has administered sales tax revenues collected through voter-approved transportation sales tax measures, specifically Measures C and J. Measure C, passed in 1988, created a half-cent sales tax for 20 years, expiring in 2009. In 2004, Contra Costa County voters approved Measure J, with a 71.1 percent vote, to continue the half-cent transportation sales tax for an additional 25 years beyond the Measure C 2009 expiration date. Together, the two measures will generate more than \$3.8 billion in local sales tax funds. When combined with federal, state and regional funds, it will result in over \$6.5 billion invested in transportation (year of expenditure dollars). These previous measures also established the Growth Management Program, the Principles for Agreement of an Urban Limit Line, and other policies.

The Authority, as the County's Congestion Management Agency, updates the Countywide Transportation Plan (CTP) on a periodic basis. The CTP identified goals for bringing together all modes of travel, networks and operators to meet the diverse transportation needs of Contra Costa County, and highlights priority programs and projects to meet these needs. The cost for the projects identified in the most recent draft CTP totals \$12.4 billion with available funding from approved local, federal, state and regional sources projected to be \$3.4 billion, resulting in a \$9 billion shortfall for projects. State and federal transportation programs no longer contain reliable funding that addresses multi-modal needs.

To continue to implement a robust program to improve the transportation network in Contra Costa, and to enhance or add new services, additional new revenue is required. Placing a new transportation sales tax measure on the ballot requires preparation and adoption of a TEP to document the planned use of the revenues expected to be derived from the sales tax. In May 2015, the Authority began discussions on the development and approval of a new TEP and an associated countywide transportation sales tax measure as a potential method to begin to address the funding gap.

The Authority conducted an unprecedented outreach program with the public and worked extensively with the Regional Transportation Planning Committees (RTPCs), an Expenditure Plan Advisory Committee (EPAC) and other stakeholders to develop the proposed TEP. The Authority approved the final language for the TEP on May 18, 2016 and released it for approval



by city/town councils and the County Board of Supervisors (BOS). Between May 31, 2016 and July 12, 2016, the TEP was approved unanimously by all city/town councils and the BOS without a single "no" vote.

Staff has worked with the Authority's legal council to develop the attached Ordinance 16-02 as consideration of adopting the TEP. The attached TEP would be included in the Contra Costa County Voter Information Guide if adopted and placed on the ballot. The ordinance generally follows the specific terms and provisions of the ordinances used for Measure C and Measure J with minor modifications for sections including Caltrans and various federal agencies to update the terms to current roles and responsibilities. The ordinance also makes a finding with respect to compliance of the TEP with the California Environmental Quality Act (CEQA). The ordinance contains language specifically stating that the Authority is approving the text of the TEP attached to Ordinance 16-02 with the understanding that the TEP included in the Contra Costa County Voter Information Guide and Sample Ballot may be in a slightly different format to comply with requirements of the Registrar of Voters office, however, there will be no change in any of the TEP language approved by the Authority on May 18, 2016.



Contra  
Costa  
County

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: NOMINATION TO THE CONTRA COSTA COUNTY HOUSING AUTHORITY BOARD OF COMMISSIONERS

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**RECOMMENDATION(S):**

RE-APPOINT Jannel George-Oden of San Pablo to the Tenant seat on the Contra Costa County Housing Authority Board of Commissioners, to a new two-year term ending on March 31, 2018, as requested by the Housing Authority Executive Director.

**FISCAL IMPACT:**

Commissioners may receive compensation for attendance at up to four meetings of the Authority per month. Compensation is fixed at a rate of \$50 per day. Commissioners may receive necessary traveling and subsistence expenses incurred in the discharge of their duties. All compensation is paid from the Housing Authority budget. There is no impact to the County General Fund.

**BACKGROUND:**

The Housing Authority needs to fill one vacant tenant position on its Board of Commissioners. Housing Commissioners should have the following characteristics for the effective functioning of the Board of Commissioners:

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: Julie DiMaggio Enea  
925.335.1077

, County Administrator and Clerk of the Board of Supervisors

By: , Deputy

cc:

### BACKGROUND: (CONT'D)

1. Must have an earnest interest in the affordable housing needs of low-income families throughout Contra Costa County.
2. Must be dedicated to the mission of the Housing Authority, which is to provide high-quality affordable housing solutions and promote self-sufficiency for low-income persons of Contra Costa County
3. Must be willing and able to attend and participate in the following key activities:
  - Affordable housing solutions
  - Monthly Board of Commissioner meetings
  - Periodic commissioner training seminars as needed to assist the commissioners in performing their oversight duties.
4. Must be willing to become knowledgeable about the activities, policies, and practices of the Housing Authority and be able to effectively deliberate on matters brought before the Board of Commissioners.
5. Must be able to work cooperatively with other Board members, the Executive Director, and Housing Authority staff.

In early 2014, the Housing Authority solicited applicants from its Resident Advisory Board, active resident councils, Section 8 Family Self-sufficiency clients and at its senior properties to fill two vacancies on the Board of Commissioners. A total of 23 applications were received. A first round of screening removed any persons in bad standing with the Housing Authority or any applicants who had moved from the Housing Authority's jurisdiction. Pursuant to then-Chair Mitchoff's instructions, a panel was convened in March 2014 to interview all remaining applicants. The panel was composed of Joseph Villarreal, the Housing Authority's Executive Director, Keiko Kobayashi, the Housing Authority's primary Counsel, and Julie DiMaggio Enea, a Senior Deputy with the County Administrator's Office.

Ms. George-Oden of San Pablo (formerly of Antioch) was selected from the 2014 recruitment for appointment to the Tenant seat and has served a partial term from May 2015 through March 2016. The Housing Authority Executive Director recommends Ms. George-Oden for reappointment to a new two year term, to expire on March 31, 2018.

### CONSEQUENCE OF NEGATIVE ACTION:

Disapproval of the nomination would prolong the vacancy in a Tenant seat and not provide representation of Housing Authority clients on the Board of Commissioners as required by law.

### CHILDREN'S IMPACT STATEMENT:

Not applicable.

### ATTACHMENTS

Candidate Application\_HACCC\_Jannel George-Oden

HOUSING AUTHORITY  
OF THE  
COUNTY OF CONTRA COSTA



Application  
**Housing Commissioner**  
To the Board of Supervisors sitting as the Housing Authority  
Board of Commissioners  
(Please print or type)

**Name of Applicant:** Jannel George-Oden

**Home Address:**

[Redacted]

(Street)

Antioch

(City)

Ca

(State)

94531

(Zip)

[Redacted]  
(Home Phone including area code)

**Business Name and Address:**

Brighter-Beginnings

(Name of Company)

2727 Macdonald Ave

(Street)

Richmond

(City)

Ca

(State)

9480

(Zip)

[Redacted]  
(Work Phone including area code)

**Occupation:** Parent Child Educator II

Why are you interested in serving on the Board of Commissioners?

I am interested in serving on the Board of Commissioners,  
because I believe that individuals who benefit from  
public housing, deserve representation through the  
voice of a participant who has a passion for advocacy.

Please list any Community Activities you are involved in: I am currently involved in

the program development of the Redemption Project which is a economic  
& personal empowerment initiative of The Redemption Center, (NOW-PROFIT ORGANIZATION)

Please list any Special Interest and Accomplishments: I recently became

legal guardian of my 4 year old niece, rescuing her  
from the possible negative impact of the foster care system.

Continued on 2<sup>nd</sup> Page

Education/Background: I have a B.A. in Human Development (2010) with  
objective of early childhood & adolescent development (CSUEB).  
Currently enrolled at CSUEB, pursuing MPA: Public Management &  
Policy Analysis (Summer, 2014)  
Please list any Community Boards or Commissions you serve on: N/A

Other comments: I am a Case manager and many of my clients  
reside in shelters due to lack of housing. I am grateful to have housing  
& am working on self-sufficiency daily. I would be honored to have the  
opportunity to serve on your board.  
Thank you.

1. Are you now a resident at a public housing development operated by the Housing Authority of the County of Contra Costa? Yes ☐ No ☒

2. Do you now receive housing assistance under the Housing Authority's Housing Choice Voucher (Section 8) Program? Yes ☒ No ☐

3. Are you 62 years of age or older? Yes ☐ No ☒

4. Will you be able to regularly attend monthly meetings and other related meetings or sessions? Yes ☒ No ☐

Note: Yes answers are not necessarily required to be eligible. Questions 2 & 3 are asked because some Advisory Housing Commission seats must be filled by a person receiving assistance under one of the Housing Authority's programs. Further, one seat must be filled by a person receiving assistance under one of the Housing Authority's programs and be over 62 years of age. 5 of the 7 Commission seats are "at-large" and applicants are not required to be a recipient of assistance and there is no age restriction.

Signature of applicant

Date: 11/04/13

Note: Housing Commissioners are required to submit annual Conflict of Interest statements.

Please return to:  
Joseph Villarreal, Executive Director  
Housing Authority of the County of  
Contra Costa  
P.O. Box 2759  
Martinez, CA 94553



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Candace Andersen, District II Supervisor  
Date: August 2, 2016

Subject: RESIGNATION FROM THE COUNTY SERVICE AREA P-5 CITIZENS ADVISORY COMMITTEE

---

**RECOMMENDATION(S):**

ACCEPT the resignation of the following person, DECLARE a vacancy in the Appointee 5 Seat on the County Service Area P-5 Citizens Advisory Committee, effective August 1, 2016, and DIRECT the Clerk of the Board to post the vacancy, as recommended by Supervisor Candace Andersen:

Gordon Berke  
Alamo, CA 94507

**FISCAL IMPACT:**

None.

**BACKGROUND:**

Established on April 18, 1972, by Resolution Number 72/257, the purpose of the County Service Area P-5 Citizen Advisory Committee is to act as a liaison between the citizens of the P-5 Police District and the Office of the Sheriff of Contra Costa County by: Advising the Board of Supervisors and the Office of the Sheriff of the community's needs and desires regarding police protection; Promoting public safety in the areas of home safety, traffic safety, vacation security and crime prevention through the neighborhood watch program; and maintaining oversight of expenditures of the public funds accruing in the P-5 Police District.

Mr. Berke has moved from the Roundhill community, therefore no longer is able to serve.

---

☒ APPROVE

☐ OTHER

☐ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jill Ray,  
925-957-8860

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

By: , Deputy

cc: District 2 Supervisor, Maddy Book, CSA P-5 CAC, Appointee

CONSEQUENCE OF NEGATIVE ACTION:

The seat will remain filled without the benefit of the appointee in attendance at meetings, which could create a quorum issue.

CHILDREN'S IMPACT STATEMENT:

None.





Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Medical Staff Appointments and Reappointments – July 2016

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**RECOMMENDATION(S):**

APPROVE the new medical staff and Travis resident appointments and reappointments, additional privileges, department change request, medical staff advancement, and updated Pediatrics privilege as recommend by the Health Services Director and by the Medical Staff Executive Committee at their June 20, 2016 meeting.

**FISCAL IMPACT:**

Not Applicable

**BACKGROUND:**

The Joint Commission on Accreditation of Healthcare Organizations has requested that evidence of Board of Supervisors approval for each Medical Staff member be placed in his or her Credentials File. A revised re-entry plan is to accommodate policy changes. The above recommendations for appointment/reappointment were reviewed by the Credentials Committee and approved by the Medical Executive Committee.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this action is not approved, the Contra Costa Regional Medical and

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Anna Roth,  
370-5101

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

By: , Deputy

cc: T Scott, M Wilhelm, S Salman

CONSEQUENCE OF NEGATIVE ACTION: (CONT'D)

Contra Costa Health Centers' medical staff would not be appropriately credentialed; and along with the privilege form, they would not be in compliance with the Joint Commission on Accreditation of Healthcare Organizations.

CHILDREN'S IMPACT STATEMENT:

Not Applicable

ATTACHMENTS

Attachment 1

Attachment 2

**A. New Medical Staff Members**

Naushad Amin, MD	Hospitalist
Talia Firestein, MD	Family Medicine
Ava Moskin, MD	Family Medicine
Rebecca Sonu, MD	Pathology
Robert Streett, MD	Psychiatry/Psychology
Xingbo Sun, DPM	Surgery (Podiatry)
Yujie Xu, MD	Pathology

**B. New Teleradiologist Staff Members**

Steven Lengle, MD	Diagnostic Imaging
Alan Pratt, MD	Diagnostic Imaging

**C. Travis Residents – Family Medicine**

Alice Deden, MD  
Mark Prats, MD

**D. Request for Additional Privileges**

	<b>Department</b>	<b>Requesting</b>
Elizabeth Berryman, MD	Family Medicine	Post Graduation FM, ED
Christina Gomez-Mira, M	Family Medicine	Post Graduation FM
Tamara McBride, MD	Family Medicine	Post Graduation FM
Mana Prinia, DO	Family Medicine	Post Graduation FM
Katherine Rausa, MD	IM-Nephrology	MED 1 and MED 2
Marcie Richmond, MD	Family Medicine	Post Graduation Hospitalist and OB

**E. Request for Department Change**

	<b>Previous Primary Department</b>	<b>Requesting Primary Department</b>
Elizabeth Berryman, MD	Family Medicine	Emergency Medicine

**F. Advance to Non-Provisional**

Amy Gordon, MD	Family Medicine
Scott Karpowicz, MD	Family Medicine
Stephen Merjavy, MD	Hospitalist
Joachim Raese, MD	Psychiatry/Psychology
Naima Rehman, MD	Family Medicine
Yana Wirengard, MD	Surgery

**G. Biennial Reappointments**

Tarun Bhandari, MD	Psychiatry/Psychology	A
Frank Camodeca, DDS	Dental	Admin
Jeffrey Chen, MD	Psychiatry/Psychology	C
Michelle Clark, MD	Psychiatry/Psychology	A
Stephen Daniels, MD	Family Medicine	A
Hala Fattah, MD	Psychiatry/Psychology	A
Arianne Ferguson, MD	Psychiatry/Psychology	A
Wayne Garrett, DO	Pathology	C
Vasanta Giri, MD	Psychiatry/Psychology	A

Nicole Hickey, MD  
 Theresa Kailikole, DPM  
 Jeremy Lieb, MD  
 Daniel Lively, MD  
 Steven Merjavy, MD  
 Patrik Munzar, MD  
 Bennet Omalu, MD  
 Leena Ray, MD  
 Marcie Richmond, MD  
 Lawrence Thompson, MD  
 Daniel Thwaites, MD  
 Leonid Treyger, MD  
 Ashley Tyrrel, MD  
 Takenori Watanabe, MD

Internal Medicine P  
 Surgery - Podiatry A  
 Surgery - Urology P  
 Internal Medicine -OP A  
 Family Medicine P  
 Psychiatry/Psychology A  
 Pathology C  
 Internal Medicine-Neph C  
 Family Medicine P  
 Pathology C  
 Family Medicine A  
 Family Medicine P  
 Pediatrics P  
 Family Medicine A

**H. Biennial Renew of Privileges**

Rebecca A Arcos, NP  
 Alberto G Hernandez, NP  
 Analisa Loewen, NP  
 Diana McDonald, NP

Pediatrics  
 Pediatrics  
 Family Medicine  
 Pediatrics

**I. Voluntary Resignations**

Christopher Camilleri, MD  
 Deepak Kumar, MD  
 Kaitlyn Van Arsdell, MD

Psychiatry/Psychology  
 Psychiatry/Psychology  
 Family Medicine

# Contra Costa Regional Medical Center

## Pediatrics Privileges Request Form

Practitioner Name: \_\_\_\_\_

Departments (s)	Number	Privilege Descriptions  D= With Direct Supervision C= With Consultation U= Unrestricted	D/C/U	Training/ Education	Experience	Current Competence	Requested	Granted	D= Denied P= Pending CNM=Criteria Not Met
		<b>Pediatrics</b>							
ANE CC DEN DIA EME FAM GER HOSP MED OBG PED SGN	ANE 3	<b>Moderate (Conscious) Sedation*</b> Does <b>NOT</b> include use of ketamine or propofol.	D	CA Lic.	N/A	N/A			
			C	CA Lic. <u>If performed outside of Hospital:</u>	10	1 case in last 2 years			
			U	ANE11, Inservice or ACLS required)	15	5 cases in last 2 years			
ANE CC EME HOSP IM PED SGN	ANE 11	<b>Endotracheal Intubation*</b>	D	CA Lic.	N/A	N/A			
			U	CA Lic.	10	2 cases in last 4 years			
PED	EME 11	Interosseous Line Placement	D	CA Lic.	N/A	N/A			
			U	CA Lic.	N/A	2 cases in last 4 yrs. or inservice in last 2 yrs.			
FAM PED	PED 1	Outpatient Care Including Healthcare Maintenance and Preoperative H&P <b>0 - 36 Months</b>	C	CA Lic.	N/A	N/A			
			U	CA Lic.	N/A	1 year in last 4 yrs.			
FAM PED	PED 2	Outpatient Care Including Healthcare Maintenance and Preoperative H&P <b>36 Months - 21 Years Old</b>	C	CA Lic.	N/A	N/A			
			U	CA Lic.	N/A	1 year in last 4 yrs.			

# Contra Costa Regional Medical Center

## Pediatrics Privileges Request Form

Practitioner Name: \_\_\_\_\_

Departments (s)	Number	Privilege Descriptions  D= With Direct Supervision C= With Consultation U= Unrestricted	D/C/U	Training/ Education	Experience	Current Competence	Requested	Granted	D= Denied P= Pending CNM=Criteria Not Met
FAM PED	PED 5	General Inpatient Care Including Healthcare Maintenance, Excluding All Cases Where Expected Improvement is Not Soon Apparent or when Specialized Therapeutic or Diagnostic Techniques are Needed. <b>0 -18 Years Old</b>	C	CA Lic.	N/A	N/A			
			U	FP	N/A	10 cases in last 2 yrs.			
				PEDS	N/A	5 cases in last 2 yrs.			
		<b>Neonatology</b>							
FAM HOSP PED	PED 11	Inpatient Uncomplicated Newborn Care (e.g. normal term newborn and those with indirect bilirubin <15mg%); including Frenotomy	C	CA Lic.	N/A	N/A			
			U	CA Lic.	20	3 cases in last 2 yrs			
FAM HOSP PED	PED 12	Care of Newborns with Complicated but Non-life-threatening Problems (e.g. low birth weight, but > 2000gms.; total bilirubin <18mg%, transient hypoglycemia not requiring IV therapy; suspected sepsis or temperature instability, congenital anomalies without distress, anemia, uncomplicated TTN).	C	CA Lic.	N/A	N/A			
			U	CA Lic.	20	3 cases in last 2 years			
PED	PED 13	<b>Care of Newborns:</b> including those with potentially life-threatening illnesses, e.g. newborns less than 35 weeks gestation, requiring >40% FiO2 or pCO2 > 50 Torr, mechanical ventilation, infants with shock, seizures, polycythemia requiring partial exchange transfusion or with life-threatening congenital anomalies (requires current certification in AAP/AHA Neonatal Resuscitation Program)	C	FP or PEDS (requires current cert in AAP/AHA NRP)	N/A	N/A			
			U	FP or PEDS (requires current cert in AAP/AHA NRP)	30	10 cases in last 2 years			

**Contra Costa Regional Medical Center  
Pediatrics Privileges Request Form**

Practitioner Name: \_\_\_\_\_

Departments (s)	Number	Privilege Descriptions  D= With Direct Supervision C= With Consultation U= Unrestricted	D/C/U	Training/ Education	Experience	Current Competence	Requested	Granted	D= Denied P= Pending CNM=Criteria Not Met
PED	PED 15	Attendance for the Neonate at Deliveries (requires current certification in AAP/AHA Neonatal Resuscitation Program).	D	FP or PEDS (requires current cert in AAP/AHA NRP)	N/A	N/A			
			U	FP or PEDS (requires current cert in AAP/AHA NRP)	25	10 cases in last 2 years			
		<b>Pediatric Procedures</b>							
PED	PED 16	Lumbar Puncture and Bladder Catheterization.	D	CA Lic.	N/A	N/A			
			U	CA Lic.	5	3 cases in last 4 years or inservice			
PED	PED 17	<u>Umbilical Artery and Vein Catheter Placement*</u>	D	CA Lic.	N/A	N/A			
			U	FP or PEDS	5	1 case or inservice in last 4 yrs.			
PED	PED 18	<u>Needle Thoracostomy or Thoracentesis, Chest Tube Placement.</u>	D	FP or PEDS	N/A	N/A			
			U	PEDS	5	1 case or inservice in last 4 yrs.			
PED	PED 19	Pediatric Echocardiogram Interpretation.	D	FP or PEDS	N/A	N/A			
			U	PEDS	200	20 cases in last 2 yrs.			



# Contra Costa Regional Medical Center Pediatrics Privileges Request Form

Practitioner Name: \_\_\_\_\_

Departments (s)	Number	Privilege Descriptions  D= With Direct Supervision C= With Consultation U= Unrestricted	D/C/U	Training/ Education	Experience	Current Competence	Requested	Granted	D= Denied P= Pending CNM=Criteria Not Met
PED	PED 20	Pediatric EKG Interpretation (official report).	D	FP or PEDS	N/A	N/A			
			U	PEDS	250	200 cases in last 4 years			

I certify that I have reviewed the Contra Costa Regional Medical Center Privilege Criteria, and that I meet the specified criteria for education/training, experience, and current competence for the privileges that I have indicated above.

\_\_\_\_\_  
Signature of Requesting Practitioner

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Department Chairperson

\_\_\_\_\_  
Date



Contra  
Costa  
County

To: Board of Supervisors

From: FAMILY & HUMAN SERVICES COMMITTEE

Date: August 2, 2016

Subject: Appointment to the Advisory Council on Aging

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**RECOMMENDATION(S):**

APPOINT Kathryn Ames to the Member at Large Seat #17 on the Advisory Council on Aging (ACOA), as recommended by the Family and Human Services Committee.

**FISCAL IMPACT:**

None

**BACKGROUND:**

Ms. Ames was interviewed and approved by the ACOA Membership Committee on 4/20/2016 to fill the Member At-Large #17 seat on the ACOA with a term ending 9/30/2018. Ms. Ames submitted an application for ACOA membership dated 2/17/2016.

The Advisory Council on Aging provides a means for countywide planning, cooperation and coordination for individuals and groups interested in improving and developing services and opportunities for the older residents of the County. The Council provides leadership and advocacy on behalf of older persons and serves as a channel of communication and information on aging.

**CONSEQUENCE OF NEGATIVE ACTION:**

Member at Large Seat 17 will remain vacant.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: Elaine Burres, (925)  
313-1717

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

By: , Deputy

cc:

CHILDREN'S IMPACT STATEMENT:

Not applicable.

ATTACHMENTS

Ames redacted



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:

PRINT EXACT NAME OF BOARD, COMMITTEE, OR COMMISSION

PRINT EXACT SEAT NAME (if applicable)

1. Name: Ames Kathryn B.  
(Last Name) (First Name) (Middle Name)

2. Address: \_\_\_\_\_  
(No.) (Street) (Apt.) (State) CA 94518  
(Zip Code)

3. Phones: \_\_\_\_\_  
(Home No.) N/A (Work No.) N/A (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) S.F. State University	Clinical Science	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>			<del>BA</del> BA	
B) Holy Names University	Human Services	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>			BA	06/1993
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"/>			



03/2014 - Present : Volunteer for Ombudsman Service  
 - Field Investigator (In-training) Contra Costa County.  
 - Office Data Input

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>          05      1992 - 12/13/2013</p> <p>Total: <u>Yrs.</u>    <u>Mos.</u>                    21      7</p> <p>Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p>Title <u>Medical Sec. / DATA INPUT</u>  <u>Kaiser Permanente Hospital</u></p> <p>Employer's Name and Address          1992 @ Kaiser Hayward Home Health          2002 transferred to Kaiser Martinez Home Health          200 Muir Rd. MT2</p>	<p>Duties Performed          Computer program-          Data entry          Audits          Procurement of supplies</p>
<p>B) Dates (Month, Day, Year)  <u>From</u>      <u>To</u>          April 1979 - Dec 1991</p> <p>Total: <u>Yrs.</u>    <u>Mos.</u>                    12      8</p> <p>Hrs. per week <u>40</u> . Volunteer <input type="checkbox"/></p>	<p>Title <u>POST ICU Unit Secretary AND ADMIN ASSIST COAGULATION LAB</u></p> <p>Employer's Name and Address          Providence Hospital          3100 Summit St. Oakland          Merged to Merritt Medical Center</p>	<p>Duties Performed          Performed all Unit Secretary Duties on the Post Intensive Care Unit          Transferred to the Coagulation Center Lab : admin duties          small amount of lab work</p>
<p>C) Dates (Month, Day, Year)  <u>From</u>      <u>To</u>          1975      1978</p> <p>Total: <u>Yrs.</u>    <u>Mos.</u>                    3      0</p> <p>Hrs. per week <u>32</u> . Volunteer <input type="checkbox"/></p>	<p>Title <u>Food Services Clerk Microbiology Lab Assistant</u></p> <p>Employer's Name and Address          Alta Bates Hospital          Berkeley, CA</p>	<p>Duties Performed          Menu + Nutritional information to inpatients          Transferred to Microbiology Lab          - processed blood cultures          - "planted" specimens          - general office work</p>
<p>D) Dates (Month, Day, Year)  <u>From</u>      <u>To</u>          1968      1974</p> <p>Total: <u>Yrs.</u>    <u>Mos.</u>                    6      0</p> <p>Hrs. per week <u>on call</u> . Volunteer <input type="checkbox"/></p> <p>"Student job"</p>	<p>Title <u>Radiology File Clerk</u>  <u>Herrick Hospital</u></p> <p>Employer's Name and Address          2001 Dwight Way          Berkeley, CA</p>	<p>Duties Performed          general duties regarding x-ray reports &amp; charts</p>

7. How did you learn about this vacancy?

☐ CCC Homepage ☐ Walk-In ☐ Newspaper Advertisement ☐ District Supervisor ☒ Other Member

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: \_\_\_\_\_

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: 02/17/2016

**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.



Contra  
Costa  
County

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: Payments for Legal Services in County of San Joaquin, et al. v. Metropolitan Water District of Southern California, et al

**RECOMMENDATION(S):**

APPROVE Appropriations Adjustment No. 5001 transferring appropriations in the amount of \$250,000 from the County's Contingency Reserve (0990) to the County Administrator's budget (0003) to pay for legal services in connection with the *County of San Joaquin, et al. v. Metropolitan Water District of Southern California, et al.* (San Joaquin Co. Super. Ct. Case No. STK-CV-UWM-2016-3596) litigation.

**FISCAL IMPACT:**

\$250,000, 100% County General Fund. Under the related legal services contract, the County and Contra Costa County Water Agency will be jointly responsible for paying one-third of the fees charged by the law firm and one-third of costs incurred in this case. The other two participating public agencies will each be responsible for one-third of fees charged and costs incurred.

**BACKGROUND:**

The County and the Water Agency are petitioners in the lawsuit *County of San Joaquin, et al. v. Metropolitan Water District of Southern California, et al.* (San Joaquin Co. Super. Ct. Case No. STK-CV-UWM-2016-3596), filed April 14, 2016. On May 10, 2016, the Board of Supervisors authorized the County Counsel to execute two agreements in connection with the lawsuit: (1) a joint representation and cost allocation agreement, executed by all six petitioners in the case – Contra Costa County, the Contra

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Julie DiMaggio Enea  
(925) 335-1077

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

By: , Deputy

cc:



**BACKGROUND: (CONT'D)**

Costa County Water Agency, San Joaquin County, Central Delta Water Agency, the Planning and Conservation League, and Food & Water Watch; and (2) a contract for legal services with the law firm of Shore, McKinley & Conger, LLP, to represent the four public agencies in the lawsuit. Under this contract, the County and Water Agency are jointly responsible for paying one-third of the fees charged by the firm and one-third of costs incurred in this case. The other two public agencies will each be responsible for one-third of fees charged and costs incurred.

The requested budget adjustment will appropriate funds to the County Administrator's budget to pay County Counsel costs and invoices from Shore, McKinley & Conger, LLP, in a total amount not to exceed \$250,000.


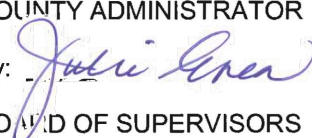
**ATTACHMENTS**

AP00 5001 Payments for Legal Services

**CONTRA COSTA COUNTY  
APPROPRIATION ADJUSTMENT/  
ALLOCATION ADJUSTMENT  
T/C-27**

<b>AUDITOR-CONTROLLER USE ONLY:</b>	
FINAL APPROVAL NEEDED BY:	
<input checked="" type="checkbox"/>	BOARD OF SUPERVISORS
<input type="checkbox"/>	COUNTY ADMINISTRATOR
<input type="checkbox"/>	AUDITOR-CONTROLLER

ACCOUNT CODING		DEPARTMENT: GF CONT RESERVE 0990 / COUNTY ADMIN 0003		
ORGANIZATION	EXPENDITURE SUB-ACCOUNT	EXPENDITURE ACCOUNT DESCRIPTION	<DECREASE>	INCREASE
0990	6301	Apportion for Contingencies	250,000.00	
1227	2310	Professional/Specialized Services		200,000.00
1227	2340	Other Interdepartmental Charges		50,000.00
			250,000.00	250,000.00

<p align="center"><b>APPROVED</b></p> <p><b>AUDITOR – CONTROLLER</b>          By: <u></u> Date <u>7/15/16</u></p> <p><b>COUNTY ADMINISTRATOR</b>          By: <u></u> Date <u>7/27/16</u></p> <p><b>BOARD OF SUPERVISORS</b>          YES:          NO:</p> <p>By: _____ Date _____</p>	<p><b>EXPLANATION OF REQUEST</b></p> <p>Transfer appropriations from the Contingency Reserve to the County Administrator to provide towards the County's share of legal costs in the County of San Joaquin, et al. vs. Metropolitan Water District of Southern California, et al. litigation, as approved by the Board of May 10, 2016.</p> <p>PREPARED BY: <u>Julie DiMaggio Enea</u>          TITLE: <u>Sr. Deputy County Administrator</u>          DATE: <u>7/12/2016</u></p> <p align="right">APPROPRIATION <u>APOO 5001</u>          ADJ. JOURNAL NO.</p>
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**Contra  
Costa  
County**

To: Board of Supervisors  
From: LEGISLATION COMMITTEE  
Date: August 2, 2016

Subject: Support position on AB 2121 (Gonzalez) Alcoholic Beverage Control: Beverage Service Training

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**RECOMMENDATION(S):**

ADOPT a "Support" position on AB 2121 (Gonzalez) Alcoholic Beverage Control: Beverage Service Training, a bill that requires a person who sells or serves alcoholic beverages to complete an approved Responsible Interventions for Beverage Servers Training Course within 3 months of employment and every 3 years thereafter, as recommended by the Legislation Committee.

**FISCAL IMPACT:**

No fiscal impact.

**BACKGROUND:**

At its July 11, 2016 meeting, the Legislation Committee considered the recommendation from the Alcohol and Other Drugs Advisory Board to recommend a position of "Support" to the Board of Supervisors on AB 2121. The Committee voted unanimously to support the recommendation.

Status: 06/28/2016 From SENATE Committee on GOVERNMENTAL ORGANIZATION: Do pass to Committee on APPROPRIATIONS. (13-0)

**Bill Analysis - 06/27/2016**

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☒ APPROVE

☐ OTHER

☐ RECOMMENDATION OF CNTY ADMINISTRATOR

☒ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: L. DeLaney,  
925-335-1097

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

By: , Deputy

cc:

## BACKGROUND: (CONT'D)

DIGEST: This bill establishes the Responsible Beverage Service (RBS) Training Program Act of 2016, beginning July 1, 2020, that requires an alcohol server, as defined, to successfully complete an RBS training course from an accredited training provider within three months of employment and every three years thereafter.

## ANALYSIS:

### Existing law:

- 1) Establishes the Department of ABC and grants it exclusive authority to administer the provisions of the ABC Act in accordance with laws enacted by the Legislature. This involves licensing individuals and businesses associated with the manufacture, importation and sale of alcoholic beverages in this state and the collection of license fees for this purpose.
- 2) Stipulates that no person who sells, furnishes, gives, or causes to be sold, furnished, or given away, any alcoholic beverage shall be civilly liable to any injured person or the estate of such person for injuries inflicted on that person as a result of intoxication by the consumer of such alcoholic beverage.
- 3) Provides that every person who sells, furnishes, gives, or causes to be sold, furnished, or given away, any alcoholic beverage to any habitual or common drunkard or to any obviously intoxicated person is guilty of a misdemeanor.
- 4) States a cause of action may be brought by or on behalf of any person who has suffered injury or death against any person licensed, or required to be licensed, as specified, or any person authorized by the federal government to sell alcoholic beverages on a military base or other federal enclave, who sells, furnishes, gives or causes to be sold, furnished or given away any alcoholic beverage, and any other person who sells, or causes to be sold, any alcoholic beverage, to any obviously intoxicated minor where the furnishing, sale or giving of that beverage to the minor is the proximate cause of the personal injury or death sustained by that person.
- 5) Defines an "on-sale" license as authorizing the sale of all types of alcoholic beverages: namely, beer, wine and distilled spirits, for consumption on the premises (such as at a restaurant or bar). An "off-sale" license authorizes the sale of all types of alcoholic beverages for consumption off the premises in original, sealed containers.
- 6) Permits the Department of ABC to issue licenses and authorizations for the retail sale of beer, wine and distilled spirits on a temporary basis for special events. The most common are as follows:
  - a) Special Daily Beer and/or Wine License - Authorizes the sale of beer and/or wine for consumption on the premises where sold. (No off-sale privileges)
  - b) Daily On-Sale General License - Authorizes the sale of beer, wine and distilled spirits for consumption on the premises where sold. (No off-sale privileges)
  - c) Catering Authorization - Authorizes certain types of licensees (and catering businesses that qualify) to sell beer, wine and distilled spirits for consumption at conventions, sporting events, trade exhibits, picnics, social gatherings, or similar events.
  - d) Event Authorization - Authorizes certain types of licensees to sell beer, wine and spirits for consumption on property adjacent to the licensed premises and owned or under the

control of the licensee.

e) Wine Sales Event Permit - Authorizes wineries to sell bottled wine produced by the winegrower for consumption off the premises where sold and only at fairs, festivals or cultural events sponsored by designated nonprofit organizations.

This bill:

1) Establishes the Responsible Beverage Service (RBS) Training Program and beginning July 1, 2020, requires alcohol servers, as defined, to complete an RBS training course from an accredited training provider within three months of employment and every three years thereafter.

2) Defines "alcohol server" to mean a person who sells or serves alcoholic beverages directly to consumers, or a person who manages or supervises a person who sells or serves alcoholic beverages directly to consumers, including the onsite establishment owner of a licensed facility, for consumption on the premises of a licensed facility that includes, but is not limited to, one-day events, fairs, festivals, sporting events, and other special events.

3) Stipulates that the licensee must ensure that those persons required to successfully complete an RBS training course do so and that a current certificate or card provided by any accredited training provider shall be sufficient documentation of successful completion and be accepted statewide.

4) Defines "accredited training provider" to mean either of the following: (a) A training provider accredited by the American National Standards Institute (ANSI) that meets ASTM International E2659-15 Standard Practice for Certificate Programs or (b) A training provider accredited by an accreditation agency other than ANSI, provided the accreditation agency is authorized by the department of ABC to accredit training providers offering RBS training courses.

5) Provides that a nonprofit organization that has obtained a temporary daily on-sale license or temporary daily off-sale license from the Department of ABC must designate a person or persons to receive RBS training before the event and that designated person or those designated persons must remain on site for the duration of the event.

6) Requires the Department of ABC, on or before January 1, 2020, to establish a list, published on its Internet Web site, of RBS training courses offered by accredited training providers that may be used to fulfill the requirements of this program.

7) Provides that an RBS training course shall consist of at least four hours of instruction and include certain information (e.g., social impact of alcohol; impact of alcohol on the body; state laws and regulations relating to alcoholic beverage control and driving under the influence; and, intervention techniques). Also, permits the Department of ABC to establish additional training standards and curricula to be included in an RBS training course.

8) Allows RBS training courses to be offered through a trainer-led class and assessment or self-training and assessment and specifies that participants must score 70% to successfully complete the course. Also, provides that the certificate or card shall be valid for three years from the date of issuance, regardless of whether the alcohol server changes employers during that period.

9) Provides that at least one RBS training course shall cost a participant no more than

\$15, inclusive of the certificate or card provided upon successful completion of the training course. At least one RBS training course must be offered in Spanish. If no RBS training courses meet these requirements the RBS course requirements shall not apply.

10) Permits the Department of ABC to authorize an accreditation agency, in addition to ANSI, to accredit training providers to offer RBS training courses and to collect fees to cover reasonable costs associated with the review and approval of that accreditation agency.

11) Requires the Department of ABC, beginning January 1, 2019, to include information on the RBS training course requirement, including information on documentation requirements, on license applications and license renewal notices. Also, requires all licensees, beginning July 1, 2020, to maintain and provide upon request all records necessary to establish compliance with this bill.

12) Stipulates that, beginning July 1, 2020, an authorized licensee, or agent or employee of that licensee, who knowingly and intentionally employs an alcohol server that has not completed an RBS training course, shall only be subject to certain ABC Act civil and administrative penalties.

### Background

Dram Shop Law. A dram shop law is a type of statute which holds any business establishment strictly liable for selling alcoholic beverages to a person who is obviously intoxicated. The purpose of dram shop laws is to increase the responsibility of those who make profits by tendering alcoholic beverages to guests. The word "dram" refers to a British unit of measurement for serving alcohol. Dram shop laws usually deal with prohibiting alcohol sales to intoxicated persons, but sometimes they may also cover the sale of alcohol to minors, as well as issues with licenses and identification. Most states have some form of these types of laws, but they vary widely between jurisdictions.

California's Dram Shop Law specifies that a vendor who provides alcohol to a person 21 years of age or older cannot be held liable for damages if the person then injures someone else, even if the person was obviously intoxicated at the time. The law states that the consumption of alcohol, not the furnishing of the beverages, is the proximate cause of injuries that an intoxicated person inflicts on another individual, a position that largely eliminates dram shop liability. Thus, the sale of alcohol by bars, liquor stores and restaurants in California is not considered to be the cause of an automobile accident.

RBS training programs. RBS training is not mandatory in California although some cities and counties do require RBS training in order to sell or serve alcoholic beverages at licensed establishments within their jurisdictions.

Currently, the Department of ABC oversees the Licensee Education on Alcohol and Drugs Program (LEAD) - a free, voluntary prevention and education program for retail licensees, their employees and applicants. The mission of the LEAD program is to provide high quality, effective and educationally sound training on alcohol responsibility and the law to California retail licensees and their employees. The program was initiated in 1991 with a grant from the California Office of Traffic Safety. The training classes are offered at a variety of locations throughout the state and include instruction on checking various forms of identification, detecting and preventing illegal activity, reducing liability and much more. Each training class lasts four hours. At the conclusion of the class, there is an exam on the material that was covered and each person that fulfills all of the training requirements receives a certificate, via email, certifying that they successfully completed a LEAD training course.

Purpose of AB 2121. This bill will establish an RBS training program that will require alcohol servers, beginning July 1, 2020, to obtain certification that they have successfully completed an RBS training course from an accredited training provider within three months of employment and every three years thereafter. The Department of ABC will be required to develop a list, published on its Web site, of accredited RBS training courses. Also, both new and renewal applicants for on-sale licenses will be required to provide ABC with documentation that its employees have successfully completed an RBS accredited training course. Additionally, this bill requires nonprofit organizations that have obtained temporary daily off-sale or on-sale licenses to designate at least one person to receive RBS training prior to the event and that person must stay on site for the duration of the event. Furthermore, this bill provides that a licensee, or agent or employee of that licensee, who knowingly and intentionally employs an alcohol server that has not completed an RBS training course, shall only be subject to civil and administrative penalties.

According to the author's office, "The "National Highway Traffic Safety Administration claims that more than 10,000 people die on our streets every year - the equivalent of one fatality every 51 minutes due to drunk driving. While we can't entirely stop every individual from making bad decisions that put innocent people at risk, we do have a responsibility to intervene when we can. Unlike 18 other states and the District of Columbia, California does not require responsible beverage server training for those bartenders and restaurant servers who are serving alcohol to customers and are in a unique position to assess and intervene if customers pose a potential threat. While law enforcement does its best with checkpoints and other enforcement, these approaches only help after someone has already made the choice to get behind the wheel when they shouldn't. That isn't good enough. This bill seeks to help individuals who serve alcohol meet their statutory requirement not to serve obviously intoxicated patrons and minors by requiring participation in an RBS training course from an accredited training provider within three months of employment and every three years thereafter. The ancillary benefit is a reduction in drunk driving."

#### SUPPORT:

Alcohol Justice

California Alcohol Policy Alliance

California Craft Brewers Association

California Medical Association (sponsor)

California Police Chiefs Association

California Society of Addiction Medicine

County Health Executives Association of California

Los Angeles Drug and Alcohol Policy Alliance

Mothers Against Drunk Driving (MADD)

Partnership for a Positive Pomona



## SPIRITT Family Services

### OPPOSITION:

None received

ARGUMENTS IN SUPPORT: Proponents state that "this legislation establishes a reasonable training requirement. Eighteen other states and the District of Columbia already require this training. RBS training provides bartenders and servers with tools to effectively identify when a patron has had too much to drink and how to safely intervene if the patron attempts to get into their car. Responsible beverage training has been found to increase appropriate server practices, increase refusal to serve obviously intoxicated patrons, and decrease the percentage of intoxicated patrons leaving an establishment. Three years after Oregon mandated responsible beverage service training, fatal single vehicle nighttime crashes decreased by an estimated 23%."

### CONSEQUENCE OF NEGATIVE ACTION:

Contra Costa County would not have a position on the bill.

### ATTACHMENTS

Attachment A: AB 2121 bill text

Attachment B: Alcohol and Other Drugs Advisory Board letter

AMENDED IN SENATE JUNE 21, 2016

AMENDED IN ASSEMBLY MAY 31, 2016

AMENDED IN ASSEMBLY MAY 11, 2016

AMENDED IN ASSEMBLY APRIL 12, 2016

CALIFORNIA LEGISLATURE—2015–16 REGULAR SESSION

**ASSEMBLY BILL**

**No. 2121**

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**Introduced by Assembly Member Gonzalez**  
**(Coauthor: Assembly Member Eduardo Garcia)**  
(Coauthor: Senator Pan)

February 17, 2016

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An act to add Article 4 (commencing with Section 25680) to Chapter 16 of Division 9 of the Business and Professions Code, relating to alcoholic beverages.

LEGISLATIVE COUNSEL'S DIGEST

AB 2121, as amended, Gonzalez. Alcoholic beverage control: Responsible Beverage Service Training Program Act of 2016.

The Alcoholic Beverage Control Act, administered by the Department of Alcoholic Beverage Control, regulates the granting of licenses for the manufacture, distribution, and sale of alcoholic beverages within the state. Under existing law, any on-sale license authorizes the sale of the alcoholic beverage specified in the license for consumption on the premises where sold and applications for the issuance or renewal of that license are signed under the penalty of perjury. Currently, the Licensee Education on Alcohol and Drugs (LEAD) program is a voluntary prevention and education program for retail licensees, their

employees, and applicants, regarding alcohol responsibility and the law.

This bill would, in addition to the LEAD program, establish the Responsible Beverage Service (RBS) Training Program Act of 2016, beginning July 1, 2020, that would require an alcohol server, as defined, to successfully complete ~~a certified~~ *an* RBS training course *offered by an accredited training provider* within 3 months of employment and every 3 years thereafter. The bill would require a nonprofit organization that obtained a temporary daily on-sale or off-sale license to designate a person or persons to receive RBS training before the event and would require that person or those persons to remain on site for the duration of the event. The bill would provide that ~~a certified~~ *an* RBS training course include information on, among other things, state laws and regulations relating to alcoholic beverage control and the impact of alcohol on the body. The bill would require the Department of Alcoholic Beverage Control, on or before January 1, 2020, to establish a list published on the department's Internet Web site of ~~certified~~ RBS training courses and would authorize the department to collect fees to cover the reasonable costs of ~~certification and recertification of RBS training courses~~; *review and approval of accreditation agencies*. The bill, beginning January 1, 2019, would require the department to provide information on RBS training requirements on applications for, and renewals of, authorized licenses. The bill, beginning July 1, 2020, would require all authorized licensees to maintain, and provide upon request by the department, all records necessary to establish compliance with these provisions and would ~~make it a misdemeanor for an authorized licensee, or that licensee's agent or employee, to permit any alcoholic beverage to be consumed on the premises without possessing a valid training certificate or card. By creating a new~~ *provide that alcohol servers are subject to specified criminal and civil penalties. By expanding the scope of an existing crime*, this bill would impose a state-mandated local program.

The California Constitution requires the state to reimburse local agencies and school districts for certain costs mandated by the state. Statutory provisions establish procedures for making that reimbursement.

This bill would provide that no reimbursement is required by this act for a specified reason.

Vote: majority. Appropriation: no. Fiscal committee: yes.  
State-mandated local program: yes.

*The people of the State of California do enact as follows:*

SECTION 1. This act shall be known, and may be cited, as the Responsible Beverage Service Training Program Act of 2016.

SEC. 2. Article 4 (commencing with Section 25680) is added to Chapter 16 of Division 9 of the Business and Professions Code, to read:

Article 4. Responsible Beverage Service (RBS) Training  
Program Act of 2016

25680. For purposes of this article:

(a) *“Accredited training provider” means either of the following:*

(1) *A training provider accredited by the American National Standards Institute (ANSI) that meets ASTM International E2659-15 Standard Practice for Certificate Programs.*

(2) *A training provider accredited by an accreditation agency other than ANSI, provided the accreditation agency is authorized by the department to accredit training providers offering RBS training courses.*

~~(a)~~

(b) *“Alcohol server” means a person who sells or serves alcoholic beverages, beverages directly to consumers, or a person who manages or supervises a person who sells or serves alcoholic beverages, beverages directly to consumers, including the onsite establishment owner of a licensed facility, for consumption on the premises of a licensed facility that includes, but is not limited to, one-day events, fairs, festivals, sporting events, and other special events.*

~~(b)~~

(c) *“RBS training course” means a Responsible Beverage Service training course ~~certified by the department pursuant to that meets the requirements of subdivision (b) of Section 25682.~~*

~~(c)~~

(d) *“Self-training and assessment” means a process where the individual trains, and takes an assessment, without the presence or intervention of a trainer or ~~instructor~~, instructor and includes, but is not limited to, training and assessment through the use of a computer program or the Internet.*

1 25681. (a) Notwithstanding any laws to the contrary, beginning  
2 July 1, 2020, an alcohol server shall successfully complete—a  
3 ~~certified~~ *an RBS training course from an accredited training*  
4 *provider* within three months of employment and every three years  
5 thereafter.

6 (b) The licensee shall ensure that those persons required to  
7 successfully complete—a ~~certified~~ *an RBS training course* do so. A  
8 current certificate or card provided by any ~~approved training course~~  
9 *accredited training* provider shall be sufficient documentation of  
10 successful completion and shall be accepted throughout the state.

11 (c) A nonprofit organization that has obtained a temporary daily  
12 on-sale license or a temporary daily off-sale license from the  
13 department shall designate a person or persons to receive RBS  
14 training prior to the event and that designated person or those  
15 designated persons shall remain on site for the duration of the  
16 event.

17 (d) An alcohol server shall be subject to the provisions of  
18 subdivisions (b) and (c) of Section 25602.

19 25682. (a) On or before January 1, 2020, the department shall  
20 establish a list, published on the department's Internet Web site,  
21 of ~~certified~~ RBS training courses *offered by accredited training*  
22 *providers* that may be used to fulfill the requirements of Section  
23 25681.

24 (b) (1) ~~A certified~~ *An RBS training course* shall consist of at  
25 least four hours of instruction and include, but shall not be limited  
26 to, the following information:

27 (A) The social impact of alcohol.

28 (B) The impact of alcohol on the body.

29 (C) State laws and regulations relating to alcoholic beverage  
30 control, including laws and regulations related to driving under  
31 the influence.

32 (D) Intervention techniques to prevent the service or sale of  
33 alcoholic beverages to underage persons or intoxicated patrons.

34 (E) The development of management policies that support the  
35 prevention of service or sale of alcoholic beverages to underage  
36 persons or intoxicated patrons.

37 (F) The course shall provide basic, introductory instruction on  
38 the elements described in subparagraphs (A) to (E), inclusive.

39 (2) An RBS training course may be offered through a trainer-led  
40 class and assessment or self-training and assessment.

1 (3) An RBS certificate or card shall be issued only upon  
2 successful completion of ~~a certified~~ *an* RBS training course and  
3 assessment. A minimum score of 70 percent on the assessment  
4 shall be required to successfully complete the course.

5 (4) ~~A certified~~ *An* RBS training course shall issue a certificate  
6 or card to individuals who successfully complete a course. The  
7 certificate or card shall be valid for three years from the original  
8 date of issuance, regardless of whether the alcohol server changes  
9 employers during that period.

10 (5) The department may, by regulation, establish additional  
11 training standards and curricula to be included in ~~a certified~~ *an*  
12 RBS training course.

13 ~~(e) The department shall establish minimum standards and~~  
14 ~~promulgate regulations for the training and scope of practice by~~  
15 ~~January 1, 2018, for a person who sells or serves alcoholic~~  
16 ~~beverages.~~

17 ~~(d)~~

18 (c) At least one ~~certified~~ RBS training course shall cost a  
19 participant no more than fifteen dollars (\$15), inclusive of the  
20 certificate or card provided upon successful completion of the  
21 training course. At least one ~~certified~~ RBS training course shall  
22 be offered in Spanish. If no RBS training courses meet these  
23 requirements, Section 25681 shall not apply.

24 ~~(e) The department shall review a certified RBS training course~~  
25 ~~at least once every three years after the course is approved.~~

26 ~~(f) The department may collect fees as part of the certification~~  
27 ~~or recertification process to cover the reasonable costs associated~~  
28 ~~with the certification and recertification of RBS training courses.~~

29 (d) *The department may authorize an accreditation agency, in*  
30 *addition to ANSI, to accredit training providers to offer RBS*  
31 *training courses and may collect fees to cover the reasonable costs*  
32 *associated with the review and approval of that accreditation*  
33 *agency.*

34 25683. (a) Beginning January 1, 2019, the department shall  
35 include information on the RBS training course requirement  
36 pursuant to Section 25681, including information on documentation  
37 requirements, on the application for an authorized license and with  
38 the license renewal notices sent to authorized licensees.

1 (b) Beginning July 1, 2020, all authorized licensees shall  
2 maintain, and provide upon request by the department, all records  
3 necessary to establish compliance with this section.

4 (c) Beginning July 1, 2020, an authorized licensee, or agent or  
5 employee of such *that* licensee, who ~~permits any alcoholic beverage~~  
6 ~~to be consumed by any person on the premises without possessing~~  
7 ~~a valid training certificate or card is guilty of a misdemeanor.~~  
8 *knowingly and intentionally employs an alcohol server that has*  
9 *not completed an RBS training course shall only be subject to the*  
10 *civil and administrative penalties authorized by this division.*

11 SEC. 3. No reimbursement is required by this act pursuant to  
12 Section 6 of Article XIII B of the California Constitution because  
13 the only costs that may be incurred by a local agency or school  
14 district will be incurred because this act creates a new crime or  
15 infraction, eliminates a crime or infraction, or changes the penalty  
16 for a crime or infraction, within the meaning of Section 17556 of  
17 the Government Code, or changes the definition of a crime within  
18 the meaning of Section 6 of Article XIII B of the California  
19 Constitution.





**Contra Costa County Alcohol and Other Drugs Advisory Board**  
**1220 Morello Avenue, Suite 200**  
**Martinez, CA 94553**  
**(925) 335-3307; fax (925) 335-3318**

"The mission of the Contra Costa County Alcohol and Other Drugs Advisory Board is to assess family and community needs regarding prevention and treatment of alcohol and other drug-related problems. Resultant findings and recommendations are forwarded to the Health Services Department and the Board of Supervisors. The Board also serves as an advocate for these findings and recommendations to the communities that we serve."

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June 13, 2016

Contra Costa County Board of Supervisors  
 Legislation Committee  
 651 Pine Street  
 Martinez, CA 94553

**District 1**

Vacant  
 Katherine Webster  
 Antwon Cloird

**District 2**

Hayden Padgett  
 Guita Bahramipour  
 Catherine Taughinbaugh

**District 3**

Vacant  
 Jerry Lasky  
 Vacant

**District 4**

James Ryan  
 Vacant  
 Tom Aswad

**District 5**

Jill Chioino  
 Robin Houdashell  
 Vacant

**At-Large Member**

Shirley Cheney  
 Elizabeth Sutherland M.D.  
 Vacant

Dear Supervisors,

The Contra Costa County Alcohol and Other Drugs Advisory Board, during its scheduled March 23, 2016 meeting, voted to request a letter of support from the Board of Supervisors for AB 2121 (Gonzalez). This bill would require that starting in July 1, 2020, a person who is affiliated with selling or serving alcoholic beverages successfully complete an approved Responsible Interventions for Beverage Servers (RIBS) Training Course within 3 months of employment and every 3 years thereafter.

This RIBS Training Course will focus on teaching people who are affiliated with serving alcoholic beverages about how to develop policies within their establishments to discourage sales to minors or intoxicated patrons. Such requirements would help to ensure that all precautions are taken to make sure underage youth do not access alcohol, or people of age are not overserved.

The Advisory Board believes that this bill will benefit from the support of the Board of Supervisors. A letter of support sent to the author of the bill would be necessary to accomplish this goal.

We thank you for the opportunity to provide this recommendation on this important issue.

On behalf of the Alcohol and Other Drugs Advisory Board,

  
 \_\_\_\_\_  
 James Ryan, Chair

Attachment: language of AB 2121 (Gonzalez)

c: Fatima Matal Sol, Alcohol & Other Drugs Services



**Contra  
Costa  
County**

To: Board of Supervisors  
From: LEGISLATION COMMITTEE  
Date: August 2, 2016

Subject: Amending adopted 2016 Federal Platform - Support for Private Activity Bonds for Government Buildings

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**RECOMMENDATION(S):**

ADOPT an amendment to the County's adopted 2016 Federal Platform to include support for legislation that would create a new category of private activity bonds in the federal tax code for governments to join with private parties to help finance government buildings, as recommended by the Legislation Committee.

**FISCAL IMPACT:**

No immediate fiscal impact in adopting the amendment to the Federal Platform.

**BACKGROUND:**

At its July 11, 2016 meeting, the Legislation Committee considered the recommendation from the County Administrator's staff to amend the County's adopted 2016 Federal Platform to include support for legislation that would create a new category of private activity bonds for governments to join with private parties to help finance government buildings. An amendment to the Federal Platform would allow the County to support legislation such as H.R.5361 which was introduced in House on May 26, 2016 and would amend the Internal Revenue Code of 1986 to provide for the tax-exempt financing of certain government-owned buildings.

The Public Buildings Renewal Act (H.R. 5361), introduced by Rep. Mike Kelly, R-Pa., would create a new category of private activity bonds for governments to join with private parties to help finance schools, medical facilities, police stations and other social infrastructure. The recently introduced bill, which has nine co-sponsors, would amend the federal tax code to provide another layer of tax-exempt financing that would encourage the use of public-private partnerships. Section 142 of the federal tax code includes 15 categories of "qualified" PABs, one of which is qualified public educational facilities. Kelly's legislation would add a 16th category for qualified government buildings.

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☒ APPROVE

☐ OTHER

☐ RECOMMENDATION OF CNTY ADMINISTRATOR

☒ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: L. DeLaney,  
925-335-1097

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

By: , Deputy

cc:

H.R. 5361 defines qualified government buildings as an elementary or secondary school; public university buildings used for educational purposes; public libraries; courts; hospitals, health care facilities, laboratories and research buildings; public safety buildings including police and fire stations, medical facilities and jails; and government offices.

The bonds would be exempt from state volume cap restrictions generally applied to PABS, and instead would be subject to a new, national cap of \$5 billion. State and local governments would be required to submit a funding application to the Treasury Department that includes the amount requested; the governmental unit that will own the project; and a project description and timeline. Governments would also be required to provide anticipated funding sources and uses of funds for the project. Entities would be required to issue bonds in the amount allocated by Treasury within two years after the allocation date. If they fail to do so, the unused portion of the allocation would be revoked. The bill would exclude any retail food or beverage facilities or buildings used for recreation and entertainment, including private golf courses, country clubs, convention centers and sports arenas.

### BACKGROUND: (CONT'D)

Proposed policy amendment for the Contra Costa County's 2016 Federal Platform:

**Private Activity Bonds for Government Buildings** – The County will support legislation that would create a new category of private activity bonds for governments to join with private parties to help finance government buildings. The tax-exempt bonding mechanism would allow state and local governments to issue private activity bonds to finance the construction and upkeep of certain publicly owned buildings. The County will support amending the federal tax code to provide another layer of tax-exempt financing that would encourage the use of public-private partnerships.

Attachment A includes a redlined version of the the amended Federal Platform (Policy Positions excerpt).

Attachment B includes the text of H.R. 5361.

### CONSEQUENCE OF NEGATIVE ACTION:

Contra Costa County would not have a position on the issue.

### ATTACHMENTS

Attachment A: Adopted Federal Platform, redlined revision

Attachment B: H.R. 5361 bill text

providing federal resources to agencies in the Delta for economic development and environmental protection. *Contra Costa County supports the legislation and participated in a feasibility study for the NHA through our seat on the Delta Protection Commission, which completed the study in 2012.*

***Vasco Road-Byron Highway Connector*** – \$30 million for design, engineering and construction of an east-west connector road between two major arterials that link Contra Costa County with Alameda and San Joaquin Counties. The Vasco Road-Byron Highway Connector will improve traffic circulation and linkages in the southeastern portion of the County and will provide a new route for truck traffic that will remove a significant portion of truck trips which currently pass through the rural community of Byron. Vasco Road is designated as State Route 84, and Byron Highway is under study as the potential alignment for future State Route 239.

## **2016 FEDERAL LEGISLATIVE PLATFORM POLICY POSITIONS**

*The following support positions are listed in alphabetic order and do not reflect priority order. Please note that new and revised policy positions are highlighted.*

***Affordable Housing and Homeless Programs*** –For Housing and Urban Development (HUD)’s Homeless Assistance Grants, the County will support funding that does not include set-asides or other requirements that limit local communities’ ability to respond to the particular needs in their areas. For the Housing Assistance for People with AIDS (HOPWA) program, the County will support legislation to update the formula used to allocate HOPWA grants to reflect local housing costs as well as the number of AIDS cases.

The County supports full funding for HUD homeless assistance programs and funding for full implementation of the Homeless Emergency and Rapid Transition to Housing (HEARTH) Act of 2009.

The County supports funding the National Affordable Housing Trust Fund. Resources made available through the Trust Fund should be accessible to local housing and community development agencies, including public housing authorities. **The Housing Trust Fund should be used to complement and not supplant either the HOME or CDBG programs.**

***Agricultural Pest and Disease Control*** – Agriculture and native environments in Contra Costa County continue to be threatened by a variety of invasive/exotic pests, diseases and non-native weeds. The Federal government provides funding for research, regulation, pest exclusion activities, survey and detection, pest management, weed control, public education and outreach. The County will support funding in all these areas for protection of our agricultural industry and open space. Consistent with the policy position, the County will also support legislation which would authorize and direct the USDA to provide state and local funding for High Risk Prevention programs (also called Pest Detection Funding).

***Beneficial Use of Dredged Materials*** – As the beneficial reuse of dredged materials has a clear public benefit, particularly in the Delta, the County will continue to support beneficial reuse in

general and also continue to advocate for funding for a federal study to determine the feasibility of beneficial reuse, considering the benefits and impacts to water quality and water supply in the Delta, navigation, flood control damage, ecosystem restoration, and recreation. The study would include the feasibility of using Sherman Island as a rehandling site for the dredged material, for levee maintenance and/or ecosystem restoration. Language to authorize the study was included in the Water Resources and Development Act (WRDA) which was passed into law on November 8, 2007.

**Broadband** – Consistent with CSAC policy, Contra Costa County will support the expansion of broadband (high speed internet service) to drive economic development and job opportunities, support county service delivery, and improve health, education and public safety outcomes for residents. For communities to realize these full benefits of broadband it must be capable of supporting current technology.

Access and adoption are both necessary elements that should be supported in state and federal legislative or regulatory proposals. This entails the following:

- Establishing and maintaining reliable broadband in unserved or underserved communities;
- Promoting the knowledge, skills and behaviors that comprise digital literacy;
- Making broadband affordable for all households;
- Maximizing funding for infrastructure; and
- Reducing infrastructure deployment barriers.

**Child Care** – Research continues to show that quality, affordable childcare is a necessity to ensuring a family’s stability and economic success. Currently in Contra Costa County, there are over 10,000 low-income children eligible for affordable childcare services, yet only 29% of that need is met. Research also shows that in addition to a child’s long-term success with school and employment, investing in high-quality early care and education results in a higher than average return on investments in the areas of crime reduction and positive health, education and economic outcomes.

With regards to childcare, the County will support the President’s “Preschool for All” Initiative meant to close America’s school readiness gap and ensure all children have access to quality care by expanding high quality learning opportunities for children 0-5. This proposal includes:

- An increase of over 100,000 new childcare slots and \$12 billion over the next 10 years;
- A focus on children and their families who are at or below 200% of poverty;
- Financing through a new cost-sharing partnership with states, already a proven successful model with Head Start in Contra Costa County.

The County will also advocate for the following federal actions:

- Increase funding to support employment of low-income families through greater access to child care subsidies, and increase the access of children from eligible families to high-quality care that supports positive child development outcomes.

- Provide flexibility at the state and local levels so that quality care can be balanced with access and parental choice.

***Child Support*** –The County will advocate for the following federal actions:

- Eliminate the \$25 fee for non-IV-A families.
- Restore the incentive match payments that were prohibited in the Deficit Reduction Act.
- Allow the automatic use of cash medical support to reimburse Medicaid expenditures.
- Allow IV-D agencies to access Health Insurance records for the purposes of Medical Support.

***Child Welfare and Well-being*** –The County will advocate for the following federal actions:

- Provide states with financial incentives, as opposed to monetary penalties, under the Child and Family Services Reviews and minimize the significant administrative burden associated with the review process.
- End Title IV-E disallowances from federal audits that take away funds from an already resource-strapped child welfare system. Allow states to reinvest these funds in preventing child abuse and neglect.
- Increase prevention dollars to help maintain children safely in their own homes. Federal funding currently gives disproportional support to out-of-home care rather than to preventing children from coming into care.
- Any increase in Federal Medical Assistance Percentage should include an associated increase in the Title IV-E matching rate to help support children in foster care.

***Community Development Block Grant and HOME Programs*** – The County’s ability to continue funding to a variety of nonprofit agencies that provide critical safety net services to lower income residents, including financing the development of affordable housing is threatened by further cuts as part of the Budget Control Act (Act) passed by Congress in July 2011. The Act established mandatory spending caps on most federal programs through 2021, and arranged additional across-the-board annual spending cuts to federal defense and non-defense discretionary (NDD) programs over this same period.

Included in non-defense discretionary programs are critical local government oriented programs including the CDBG and HOME programs. These programs are successful and productive, leveraging significant funding from non-federal sources to help spur economic development. The County agrees that reducing the federal deficit is an important component of achieving long-term national economic stability, but targeting solely NDD programs like the CDBG and HOME programs will not achieve significant reductions and will hinder the County’s ability to provide



critical services to its most vulnerable populations. The County will continue to oppose any further reductions in the CDBG and HOME programs as part of the Budget Control Act or any other means.

***Cost Shifts to Local and State Government*** – Contra Costa County performs many of its services and programs pursuant to federal direction and funding. Other services and programs are performed at the behest of the state, which receives funding through the federal government. In the past, the Administration’s budget has contained significant cuts to entitlement programs and/or caps on entitlements. Such actions could shift cost of services from the federal government to the state and/or local governments (and to the extent that costs would shift to the state, it is highly likely that these would be passed on to the County). The County will oppose any actions that would result in cost shifts on federal entitlement programs or which would result in greater dependency on county funded programs. In addition, the County will support federal and state financial assistance to aid county and local government efforts to meet unfunded federal mandates, such as those contained in the National Response Plan (NRP), the National Infrastructure Protection Plan (NIPP), and the National Incident Management System.

***Criminal Debt Collection*** – Nonpayment of court-ordered victim restitution, fines and fees is a problem of epidemic proportions for all jurisdictions. Literally billions of dollars go uncollected each year across the country, resulting not only in financial suffering of victims, but also the loss of public revenue. Many states already allow for the offset of State Tax Refunds, and these programs are successful in achieving revenue recovery. Federal Tax Refunds are already being successfully offset to pay for delinquent child support. The County will support amendments to the Internal Revenue Code of 1986 to allow an offset against income tax refunds to pay for court-ordered debts that are past-due.

### ***Delta Water Platform***

To protect the Sacramento-San Joaquin Delta from various detrimental forces that are affecting its health and resources, it is the policy of Contra Costa County to support implementation of projects and actions that will help improve the Delta ecosystem and the economic conditions of the Delta. Contra Costa County has developed a Delta Water Platform to identify and promote activities and policy positions that support the creation of a healthy Sacramento-San Joaquin Delta. Contra Costa County will use this Platform to guide its own actions and advocacy in other public venues regarding the future of the Delta.

***Designation of Indian Tribal Lands and Indian Gaming*** – The Board of Supervisors has endorsed the California State Association of Counties’ (CSAC) policy documents regarding development on tribal land and prerequisites to Indian gaming. These policy statements address local government concerns for such issues as the federal government’s ability to take lands into trust and thus remove them from local land use jurisdiction, absent the consent of the state and the affected county; the need for tribes to be responsible for all off-reservation impacts of their actions; and assurance that local government will be able to continue to meet its governmental responsibilities for the health, safety, environment, infrastructure and general welfare of all members of its communities. The County will continue to advocate for federal legislation and regulation that supports the CSAC policy documents.

The County will also advocate for limitations on reservation shopping; tightening the definition of Class II gaming machines; assuring protection of the environment and public health and safety; and full mitigation of the off-reservation impacts of the trust land and its operations, including the increased cost of services and lost revenues to the County.

The County will also advocate for greater transparency, accountability and appeal opportunities for local government in the decision-making processes that permit the establishment of Indian gaming facilities. This includes sequencing the processes so that the Indian Lands Determination comes first, prior to initiation of a trust land request and associated environmental review.

The County will also consider support for federal action and/or legislation that allows Class III gaming at the existing gaming facility only if it can be shown that any change would result in a facility that would be unique in nature and the facility can demonstrate significant community benefits above and beyond the costs associated with mitigating community impacts.

***Economic Development Programs*** – Congress should fund all the complementary programs within HUD’s community and economic development toolkit, ensuring that HUD does not lose sight of the development component of its mission. To that end, the County will support continued funding for the Section 108 loan guarantee program, the Brownfields Economic Development Initiative and the Rural Housing and Economic Development program. Each of these programs plays a unique role in building stronger, more economically viable communities, while enabling communities to leverage external financing in a way the CDBG program alone cannot do.

***Federal “Statewideness” Requirements*** – For many federally funded programs, there is a “statewideness” requirement; i.e., all counties must operate the specific program under the same rules and regulations. This can hamper the County’s ability to meet local needs, to be cost effective and to leverage the funding of one program to reduce costs in another program. Contra Costa County cannot negotiate for federal waivers or do things differently because it is not a state, yet its population is greater than seven states. Recognizing this is a very long-term effort, the County will advocate for relaxation of the “statewideness” rule to allow individual counties or a consortium of counties to receive direct waivers from the federal government and/or adopt the rules and regulations currently in use in another state for specific programs.

***Habitat Conservation Planning*** – The County will advocate for elevating the profile of Habitat Conservation Plans (HCPs) such as the East Contra Costa County HCP within Congress and Administration so that these critical federal/state/local partnerships can receive necessary attention and support. HCPs are flagship programs for the federal government and supporting effective implementation of approved HCPs should be a top priority for the U.S. Department of the Interior and U.S. Fish and Wildlife Service and HCPs should be a key tool in any federal climate change or economic stimulus legislation.

***Health*** – The County will advocate for the following actions by the federal government: a) provide enhanced Medicaid FMAP (the "Federal Medical Assistance Percentage" for Medicaid).

It is the federal matching rate for state Medicaid expenditures.); b) suspend the Medicare “clawback” rule; c) suspend the “60-day rule” that requires states to repay the federal government overpayments identified by the state prior to collection, and even in instances where the state can never collect; d) ease the ability to cover those eligible for Medicaid by making documentation requirements less stringent; and e) prevent the implementation of the following seven federal regulations:

- Outpatient hospital
- Case Management
- School Based Administration & Transportation
- Public Provider Cost Limit
- Graduate Medical Education
- Rehabilitation Services Option
- Provider Tax

SUPPORT full funding of the Federal Medicaid program by the federal government. Medicaid provides access to health care for people whose income and resources are insufficient to pay for health care. It is jointly funded by Federal and State governments. The Patient Protection and Affordable Care Act (also known as the ACA) significantly expanded both eligibility for and federal funding of Medicaid. OPPOSE amendments to the ACA that would reduce support for Medicaid/Medi-Cal payments to providers.

***Levee Restoration and Repair*** – The County will support legislation such as H.R. 6484, the SAFE Levee Act (Garamendi) in 2012, which will authorize the U.S. Department of the Interior to invest in Delta levee repairs, for all levees that are publicly owned or publicly maintained. The bill also requires a cost-benefit analysis for the tunnel project being planned as part of the Bay-Delta Conservation Plan.

***Pension*** – The County will support legislation that would modify the Internal Revenue Code and corresponding regulations to permit public employees to make an irrevocable election between their current pension formula and a less rich pension formula.

In 2006, Contra Costa County and the Deputy Sheriff’s Association jointly obtained state legislation that would allow members of the Association to make a one-time irrevocable election between their current pension formula and a less rich pension formula, called Tier C. Orange County and its labor organizations obtained similar legislation in 2009. However, neither County has been able to implement this state legislation because such elections currently have negative tax consequences for employees and for retirement plans under federal tax law as interpreted by the Internal Revenue Service.

Like many local government entities nationwide, the County’s fiscal position would benefit greatly from reduced pension costs. Allowing local government entities to implement collective bargaining agreements and state legislation that permits employees to elect less rich pension formulas would be a significant step in reducing pension costs.

***Private Activity Bonds for Government Buildings*** – The County will support legislation that would create a new category of private activity bonds for governments to join with private parties to help finance government buildings. The tax-exempt bonding mechanism would allow state and local governments to issue private activity bonds to finance the construction and upkeep of certain publically owned buildings. The County will support amending the federal tax code to provide another layer of tax-exempt financing that would encourage the use of public-private partnerships.

***Public Housing Programs*** – The County will support legislation that results in the transformation of existing programs to improve their effectiveness and efficiency, in tandem with the design of new and innovative responses, both to build upon recent progress and address outstanding issues.

The County will support legislation to protect the nation's investment in Public Housing:

- Enact affordable housing industry proposal to allow public housing agencies (PHAs) to voluntarily convert public housing units to Section 8 project-based rental assistance in order to preserve this vital component of the national infrastructure.
- Oppose the Administration's proposal to impose a \$1 billion offset against the operating reserves of responsible, entrepreneurial PHAs.
- Support the revitalization of severely distressed public housing units.
- Address safety and security concerns connected to drug-related crime.

The County will support legislation to preserve vital community and economic development programs:

- Fully fund the Community Development Block Grant Program in order to create and save jobs, revitalize local economies, and support critical services for vulnerable populations.
- Maintain funding for HUD's cost-effective economic development tools.

The County will support legislation to strengthen and simplify the Section 8 Rental Assistance programs:

- Provide adequate funding for Housing Assistance Payment contract renewals and ongoing administrative fees.
- Enact the Section Eight Voucher Reform Act (SEVRA).
- Implement overdue regulatory and administrative revisions that ensure the efficient use of program funds.

The County will support legislation to expand Affordable Housing Opportunities and combat homelessness:

- Fully fund the Home Investment Partnerships Program and HUD's homeless assistance programs.
- Capitalize the Housing Trust Fund through a revenue-neutral approach.
- Preserve and strengthen the Low Income Housing Tax Credit Program.

The County will support legislation to foster innovation, increase efficiency, and streamline the regulatory environment:

- Promote reasonable and flexible federal oversight.
- Incentivize green building and increased Energy Efficiency.
- Support HUD's ongoing transformation efforts.
- Ensure that HUD releases and distributes federal funding in a timely manner.
- Eliminate statutory and regulatory barriers that prevent PHAs and redevelopment authorities from accessing federal programs they are qualified to administer.

***Rail Safety*** – Contra Costa County is home to a substantial oil refinery industry with four refineries located in the County. The County supports Senator Heitkamp's *Railroad Emergency Services Preparedness, Operational Needs, and Safety Evaluation (RESPONSE) Act, S. 2547*, which would establish a Federal Emergency Management Agency (FEMA) panel focused on railroad incident first responders. By bringing together under FEMA's National Advisory Council all relevant agencies, emergency responders, technical experts, and the private sector for a review of training, resources, best practices, and unmet needs related to emergency responders to railroad hazmat incidents, the RESPONSE Act will begin the process of addressing shortcomings in existing emergency response practices and procedures. It will also address the effectiveness of funding levels related to training local emergency responders for rail hazardous materials incidents.

The County also supports FEMA funding for the training of first responders, regulations that increase tank car safety standards for cars transporting crude oil and other hazardous materials, and regulations that require railroads to share data with state emergency managers and local responders.

***Retiree and Retiree Health Care Costs*** – The County operates many programs on behalf of the federal government. While federal funding is available for on-going program operations, including employee salaries, the allocation is usually capped, regardless of actual costs. For retiree and retiree health care, the County's ability to contain costs is extremely limited. The County will advocate for full federal financial participation in funding the County's retiree and retiree health obligations.

***State Criminal Alien Assistance Program (SCAAP)*** – On May 23, 2012, the Department of Justice (DOJ) announced a change in the State Criminal Alien Assistance Program (SCAAP) that

will prohibit SCAAP funds from being used to reimburse localities for foreign-born criminal aliens housed in jails that have been classified as “unknown inmates” by the Department of Homeland Security’s Immigration and Customs Enforcement (ICE) agency. This is a significant change to the SCAAP reimbursement formula and will heavily impact counties across the nation.

The County will support the rescinding of this decision and a reinstatement of the previous reimbursement practice, which would more equitably reimburse jurisdictions for the costs of housing undocumented individuals, including those inmates whose status may be unknown to the Department of Homeland Security.

***Second Chance Act*** – The County will support funding for the Second Chance Act, which helps counties address the growing population of individuals returning from prisons and jails. Despite massive increases in corrections spending in states and jails nationwide, recidivism rates remain high: half of all individuals released from state prison are re-incarcerated within three years. Here in California, unfortunately, the recidivism rate is even higher. Yet there is reason for hope: research shows that when individuals returning from prison or jail have access to key treatments, education, and housing services, recidivism rates go down and the families and communities they return to are stronger and safer.

The Second Chance Act ensures that the tax dollars on corrections are better spent, and provides a much-needed response to the "revolving door" of people entering and leaving prison and jail.

***SparkPoint, Service Integration*** – The County will support federal funding for the establishment and operation of SparkPoint and Service Integration models. SparkPoint Centers are one-stop, financial-education centers that help individuals and families who are struggling to make ends meet. SparkPoint helps clients address immediate financial crises, get them back on their feet, and build financial security. Each center brings together a full range of services at one convenient location, including job training, career development and financial coaching, as well as access to higher education and savings accounts. The Contra Costa County Service Integration Program co-locates county and non-profit agency service providers and community residents in neighborhood-based family service centers to provide accessible, coordinated public services tailored to meet the specific needs and goals of low-income families, while also engaging families in resident-driven efforts to revitalize their communities.

***Supplemental Nutrition Assistance Program (SNAP)*** – The County will advocate for the following federal actions:

- Increase SNAP benefits as a major and immediately available element of economic stimulus.
- Suspend the restrictions applying to ABAWDs. ("ABAWDs" stands for "Able-Bodied Adults without Dependents" and pertains to adults receiving food stamps who are considered employable.) They are subject to strict time limits on how long they can receive food stamps. It is difficult administratively to track this, and when unemployment is high, it can result in more adults going hungry.

- Remove the current federal barriers that prevent some nutrition programs from employing EBT technology.

***Streamlining Permitting for Critical Infrastructure, Economic Stimulus, and Alternative Energy Projects –“Green” Job Creation*** – Request that Congress and the Administration recognize the value of Habitat Conservation Plans (HCPs) as a reliable way of streamlining critical infrastructure, economic stimulus, and alternative energy project permitting in a manner that is consistent with federal environmental regulations. HCPs not only facilitate such projects through permit streamlining, but the planning, implementation, management, and monitoring needs associated with regional HCPs plans also create many quality “green” jobs.

***Telecommunications Act of 1996 Revisions*** – The Telecommunications Act of 1996 governs local government’s role in telecommunications, primarily broadband cable that uses the County’s right-of-way as well as consumer protections. As Congress works to update the Act, the County will continue to advocate for strengthening consumer protections and local government oversight of critical communications technologies; local access to affordable and reliable high speed broadband infrastructures to support the local economy; the right of local municipalities and communities to offer high-speed broadband access; coordination and integration of private communication resources for governmental emergency communication systems; preservation of local government’s franchise fees; preservation of the local community benefits, including but not limited to public, education and governmental (PEG) access channels; authority for provision of municipal telecommunication services; preservation of local police powers essential for health, safety and welfare of the citizenry; preservation of local government ownership and control of the local public rights-of-way; and support for ensuring that communication policy promotes affordable services for all Americans.

The Community Broadband Act of 2007, S.1853, encourages the deployment of high speed networks by preserving the authority of local governments to offer community broadband infrastructure and services. The County will oppose all bills that do not address the County’s concerns unless appropriately amended. In addition, the Federal Communications Commission (FCC) has proposed rule-making (FCC Second Report and Order Docket 05-311 “Franchising Rules for Incumbents”) that, in the opinion of local government, goes beyond the scope of their authority in this area. The County will oppose all such rule making efforts.

***Telecommunications Issues*** – Support the Community Access Preservation (CAP) Act introduced in 2009 by Wisconsin Congresswoman Tammy Baldwin. The CAP Act addresses the challenges faced by public, educational and government (PEG) TV channels and community access television stations. The CAP Act addresses four immediate issues facing PEG channels. The CAP Act would: Allow PEG fees to be used for any PEG-related purpose; require PEG channels to be carried in the same manner as local broadcast channels; require the FCC to study the effect state video franchise laws have had on PEG; require operators in states that adopted statewide franchising to provide support equal to the greater of the support required under the state law or the support historically provided for PEG; and make cable television-related laws and regulations applicable to all landline video providers.



In addition, the County should support the widespread deployment and adoption of broadband, especially as it serves to connect the educational community and libraries.

***Temporary Assistance for Needy Families*** – The County will advocate for the following federal actions:

- Relieve states of work participation rate and work verification plan penalties for fiscal years 2007, 2008, 2009 and 2010 in recognition of the serious downturn in the national economy and the succession of more “process-based” regulations issued in the last few years.
- Permanently withdraw the August 8, 2008, proposal that would have repealed the regulation that enables states to claim caseload reduction credit for excess MOE expenditures.
- Rescind the May 22, 2008, HHS guidance that effectively eliminated the ability of states to offer pre-assistance programs to new TANF applicants for up to four months.
- Rescind the final Deficit Reduction Act regulation restricting allowable state maintenance-of-effort expenditures under TANF purposes 3 and 4.
- End federal efforts to impose a national TANF error rate.

***Veterans Benefits*** – The County will support legislation to increase availability, accessibility, and utilization of Veterans Benefits.

Within Contra Costa County, Veterans’ health care is provided by the VA Martinez Clinic, a division of the VA Northern California Healthcare System. Currently, access to enrollment in the VA healthcare system is limited to Veterans with a Service Connected disability of greater than 10%, special eligibility criteria (Purple Heart, former POW, Iraq & Afghanistan Vets within 5 years of discharge, etc.), and to Veterans with an annual gross income less than a geographically based threshold. Currently, VA emergency services are not available after hours or during weekends. The nearest VA emergency room is nearly 34 miles away from the VA Martinez Clinic.

The County will support legislation that would expand enrollment eligibility (such as removing the income limit criteria) to all Veterans with an honorable discharge. Furthermore, the County will support legislation that would establish 24 hour VA emergency services at the VA Martinez clinic.

In addition, the County will support legislation that will improve the timeliness and quality of both VA benefits claim decisions and VA healthcare services. Specifically, legislation that works toward improving on the expedited processing of claims and administering of benefits to populations with unique needs, such as homeless Veterans, Women Veterans, and Veterans experiencing service related Posttraumatic Stress Disorder.

***Veterans Halls*** – The County will support legislation to provide America’s veterans organizations with resources to make necessary repairs to or replacement of their meeting halls and facilities.

Across America, the meeting halls and posts of Veterans Service Organizations such as the American Legion and Veterans of Foreign Wars serve as unofficial community centers. Unfortunately, many of these facilities are not compliant with Americans with Disabilities Act accessibility standards, are not earthquake retrofitted, or have deteriorated in recent years due to declining membership and reduced rental revenues as a result of the economic downturn.

The County will support legislation that would create a competitive grant program for veterans’ organizations, classified by the IRS as 501c19 non-profit organizations and comprised primarily of past or present members of the United States Armed Forces and their family members, to use for repairs and improvements to their existing facilities.

***Volume Pricing*** – The National Association of Counties supports greater access for local governments to General Services Administration (GSA) contract schedules. These schedules provide volume pricing for state and local governments and make public sector procurement more cost effective. However, current law does not provide full access to state and local governments for GSA schedules. The County will support legislation that gives local governments access to these schedules and provides the option of purchasing law enforcement, security, and other related items at favorable GSA reduced pricing.

***Water Quality, Quantity and Delta Outflow*** – Congress may consider legislation that could adversely affect water quality, quantity and flows in the Sacramento-San Joaquin Delta to the detriment of the County residents, economy and resources. The Board of Supervisors will rely on its adopted Delta Water Platform and its adopted resolution on Water, Ecosystem Health and other Issues Related to the San Francisco Bay and the Sacramento –San Joaquin River Delta (No. 2012-46) to determine the appropriate response to federal legislative issues brought to the Board’s attention.

***Workforce Development*** – Contra Costa County supports policies that meet the needs of serving businesses, workers, job seekers, and youth. The County further supports policies under the Workforce Innovation & Opportunity Act (WIOA) that preserve local decision-making relative to spending, direction of work, and other functions of local workforce boards. The County also supports policies that increase employment and the creation of jobs in both the public and private sector and that enhance business’ access to a qualified talent pool, and promote business growth through the development of a skilled workforce. The County also favors policies that provide increased funding to support job seeker services, as well as policies that make strategic investments to leverage existing funding in the workforce development arena.

114TH CONGRESS  
2D SESSION

# H. R. 5361

To amend the Internal Revenue Code of 1986 to provide for the tax-exempt financing of certain government-owned buildings.

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## IN THE HOUSE OF REPRESENTATIVES

MAY 26, 2016

Mr. KELLY of Pennsylvania (for himself, Mr. BLUMENAUER, Mr. NOILAN, Mr. HASTINGS, Mr. KIND, and Mr. ZELDIN) introduced the following bill; which was referred to the Committee on Ways and Means

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## A BILL

To amend the Internal Revenue Code of 1986 to provide for the tax-exempt financing of certain government-owned buildings.

1 *Be it enacted by the Senate and House of Representa-*  
2 *tives of the United States of America in Congress assembled,*

3 **SECTION 1. TAX-EXEMPT FINANCING OF QUALIFIED GOV-**  
4 **ERNMENT BUILDINGS.**

5 (a) IN GENERAL.—Section 142(a) of the Internal  
6 Revenue Code of 1986 is amended by striking “or” at the  
7 end of paragraph (14), by striking the period at the end  
8 of paragraph (15) and inserting “, or”, and by adding at  
9 the end the following new paragraph:

1 “(16) qualified government buildings.”.

2 (b) QUALIFIED GOVERNMENT BUILDINGS.—Section  
3 142 of such Code is amended by adding at the end the  
4 following new subsection:

5 “(n) QUALIFIED GOVERNMENTAL BUILDINGS.—

6 “(1) IN GENERAL.—For purposes of subsection  
7 (a)(16), the term ‘qualified governmental buildings’  
8 means any building or facility that consists of one  
9 or more of the following:

10 “(A) An elementary school or a secondary  
11 school (within the meanings given such terms  
12 by section 14101 of the Elementary and Sec-  
13 ondary Education Act of 1965 (20 U.S.C.  
14 8801), as in effect on the date of the enactment  
15 of this subsection).

16 “(B) Facilities of a State college or univer-  
17 sity used for educational purposes.

18 “(C) A library maintained for, and open  
19 to, the general public.

20 “(D) A Court of law.

21 “(E) A hospital, health care facilities, lab-  
22 oratory facilities or research facilities.

23 “(F) Public safety facilities (including po-  
24 lice, fire, enhanced 911, emergency or disaster  
25 management, and ambulance or emergency

1 medical service facilities and jails and correc-  
2 tional facilities).

3 “(G) Offices for employees of a govern-  
4 mental unit.

5 Such term shall include any equipment, functionally  
6 related and subordinate facility, or land (and any  
7 real property rights appurtenant thereto) with re-  
8 spect to any such building or facility.

9 “(2) SPECIFICALLY EXCLUDED FACILITIES.—  
10 Such term shall not include—

11 “(A) a building or facility the primary pur-  
12 pose of which is one of the following: retail food  
13 and beverage services, or the provision of recre-  
14 ation or entertainment, or

15 “(B) any building or facility that includes  
16 any of the following: any private or commercial  
17 golf course, country club, massage parlor, ten-  
18 nis club, skating facility (including roller skat-  
19 ing, skateboard, and ice skating), racquet  
20 sports facility (including any handball or  
21 racquetball court), hot tub facility, suntan facil-  
22 ity, racetrack, convention center, or sports sta-  
23 dium or arena.

1           “(3) NATIONAL LIMITATION ON AMOUNT OF  
2           TAX-EXEMPT FINANCING FOR QUALIFIED GOVERN-  
3           MENTAL BUILDING.—

4                   “(A) NATIONAL LIMITATION.—The aggre-  
5           gate amount allocated by the Secretary under  
6           subparagraph (C) shall not exceed  
7           \$5,000,000,000.

8                   “(B) ENFORCEMENT OF NATIONAL LIM-  
9           TATION.—An issue shall not be treated as an  
10          issue described in subsection (a)(16) if the ag-  
11          gregate face amount of bonds issued pursuant  
12          to such issue for any qualified governmental  
13          building (when added to the aggregate face  
14          amount of bonds previously so issued for such  
15          facility) exceeds the amount allocated to such  
16          qualified governmental building under subpara-  
17          graph (C).

18                  “(C) ALLOCATION BY THE SECRETARY.—  
19          The Secretary shall allocate a portion of the  
20          amount described in subparagraph (A) to a  
21          qualified governmental building if the Secretary  
22          determines that—

23                          “(i) the application for financing of  
24                          such qualified governmental building meets



1 the requirements set forth in subparagraph  
2 (D), and

3 “(ii) the amount of the allocation re-  
4 quested, if allocated by the Secretary,  
5 would not cause the national limitation set  
6 forth in subparagraph (A) to be exceeded.

7 “(D) APPLICATIONS FOR FINANCING.—An  
8 application for financing a qualified govern-  
9 mental building meets the requirements of this  
10 subparagraph if such application includes—

11 “(i) the amount of the allocation re-  
12 quested,

13 “(ii) the name of the governmental  
14 unit that will own the project, together  
15 with complete contact information,

16 “(iii) a description of the project as a  
17 whole and the proposed organizational and  
18 legal structure of the project,

19 “(iv) a timeline showing the estimated  
20 start and completion dates for each major  
21 phase or milestone of project development  
22 and an indication of the current status of  
23 milestones on this timeline, including all  
24 necessary permits and environmental ap-  
25 provals,



1                   “(v) a statement of anticipated  
2 sources and uses of funds for the project,  
3 and

4                   “(vi) the following declaration signed  
5 by an individual who has personal knowl-  
6 edge of the relevant facts and cir-  
7 cumstances: “Under penalties of perjury, I  
8 declare that I have examined this docu-  
9 ment and, to the best of my knowledge and  
10 belief, the document contains all the rel-  
11 evant facts relating to the document, and  
12 such facts are true, correct, and complete.”

13                   “(E) USE OF ALLOCATION IN A TIMELY  
14 MANNER.—If, following an allocation by the  
15 Secretary under subparagraph (C), bonds are  
16 not issued in the amount of such allocation  
17 after the date that is 2 years after the date of  
18 such allocation, then the unused portion of the  
19 allocation shall be withdrawn, unless the Sec-  
20 retary, upon a showing of good cause by the ap-  
21 plicant, grants an extension of such date.

22                   “(4) EXCEPTION FOR CURRENT REFUNDING  
23 BONDS.—Paragraph (4) shall not apply to any bond  
24 (or series of bonds) issued to refund a bond issued  
25 under subsection (a)(16) if—

1           “(A) the average maturity date of the issue  
2           of which the refunding bond is a part is not  
3           later than the average maturity date of the  
4           bonds to be refunded by such issue,

5           “(B) the amount of the refunding bond  
6           does not exceed the outstanding amount of the  
7           refunded bond, and

8           “(C) the refunded bond is redeemed not  
9           later than 90 days after the date of the  
10          issuance of the refunding bond.

11       For purposes of subparagraph (A), average maturity  
12       shall be determined in accordance with section  
13       147(b)(2)(A).

14       “(5) OFFICE SPACE.—Subsection (b)(2) shall  
15       not apply with respect to any qualified governmental  
16       building.

17       “(6) NO DEPRECIATION OR INVESTMENT CRED-  
18       IT.—No depreciation, amortization, or business cred-  
19       it under section 38 shall be allowed with respect to  
20       any facility described in subsection (a)(16) which  
21       has been financed by the net proceeds of the issue  
22       for so long as such bonds are outstanding.”.

23       (c) GOVERNMENTALLY OWNED REQUIREMENT.—  
24       Section 142(b)(1)(A) of such Code is amended by striking  
25       “or (12)” and inserting “(12), or (16)”.

1       (d) EXEMPTION FROM VOLUME CAP ON PRIVATE  
2   ACTIVITY BONDS.—Section 146(g)(3) of such Code is  
3   amended by striking “or (15)” and inserting “(15), or  
4   (16)”.

5       (e) EFFECTIVE DATE.—The amendments made by  
6   this section shall apply to bonds issued after the date of  
7   the enactment of this Act.

○



Contra  
Costa  
County

To: Board of Supervisors

From: LEGISLATION COMMITTEE

Date: August 2, 2016

Subject: Support position on Proposition 56 Cigarette Tax to Fund Healthcare, Tobacco Use Prevention, Research, and Law Enforcement

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**RECOMMENDATION(S):**

CONSIDER adopting a Support position on Proposition 56: Cigarette Tax to Fund Healthcare, Tobacco Use Prevention, Research, and Law Enforcement, an initiative which seeks to Increase cigarette tax by \$2 per pack, with equivalent increase on other tobacco products and electronic cigarettes containing nicotine, as recommended by the Legislation Committee.

**FISCAL IMPACT:**

No direct impact to the County from supporting the initiative. However, a successful initiative has an estimated fiscal impact on state and local government: Net increase in excise tax revenues in the range of \$1.1 billion to \$1.6 billion annually by 2017-18, with revenues decreasing slightly in subsequent years. The majority of funds would be used for payments to health care providers. The remaining funds would be used for a variety of specified purposes, including tobacco-related prevention and cessation programs, law enforcement programs, medical research on tobacco-related diseases, and early childhood development programs.

**BACKGROUND:**

Proposition 56 increases the cigarette tax by \$2.00 per pack, with equivalent increase on other tobacco products and electronic cigarettes containing nicotine. The initiative allocates revenues primarily to increase funding for existing healthcare programs; also for tobacco use prevention/control programs, tobacco-related disease research and law enforcement, University of California physician training, dental disease prevention programs, and administration. This excludes these revenues from Proposition 98 funding requirements. If the tax causes decreased tobacco consumption, this initiative transfers tax revenues to offset decreases to existing tobacco-funded programs and sales tax revenues.

☒ APPROVE

☐ OTHER

☐ RECOMMENDATION OF CNTY ADMINISTRATOR

☒ RECOMMENDATION OF BOARD  
COMMITTEE

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

Contact: L. DeLaney,  
925-335-1097

By: , Deputy

cc:



## BACKGROUND: (CONT'D)

### **BACKGROUND**

#### **Tobacco Products and Electronic Cigarettes**

Tobacco products are derived from tobacco plants, contain nicotine, and are intended for human consumption, such as cigarettes and smokeless tobacco. Electronic cigarettes are battery-operated products that are generally designed to deliver nicotine, flavor, and other chemicals. These devices turn chemicals, including nicotine, into an aerosol that is inhaled by the user. Some types of electronic cigarettes are sold together with those chemicals, while others are sold separately. (There are also some electronic cigarettes that produce aerosols that do not contain nicotine.)

#### **Tobacco and Electronic Cigarette Taxes**

Tobacco products are subject to state and federal excise taxes, and state and local sales and use taxes. In contrast, electronic cigarettes are currently not subject to state and federal excise taxes but are subject to state and local sales and use taxes.

***Existing State Excise Taxes on Tobacco Products.*** Current state law imposes excise taxes on the distribution of cigarettes and other tobacco products, such as cigars and chewing tobacco. Tobacco excise taxes are paid by distributors who supply cigarettes and other tobacco products to retail stores. These taxes are typically passed on to consumers as higher prices on cigarettes and other tobacco products.

The state's cigarette excise tax is currently 87 cents per pack. Figure 1 of Attachment B describes the different components of the per-pack tax. As the figure shows, two voter-approved measures—Proposition 99 in 1988 and Proposition 10 in 1998—are responsible for generating the vast majority of tobacco excise tax revenues. As the figure indicates, total state revenues from existing excise taxes on cigarettes and other tobacco products were just under \$840 million in 2014-15.

Revenues from existing excise taxes on other tobacco products support Proposition 10 and Proposition 99 purposes. Under current law, any increase in cigarette taxes automatically triggers an equivalent increase in excise taxes on other tobacco products, with the latter revenues going to support Proposition 99 purposes.

***Existing Federal Excise Tax on Tobacco Products.*** The federal government imposes an excise tax on cigarettes and other tobacco products. In 2009, this tax was increased by 62 cents per pack (to a total of \$1.01 per pack) to help fund the Children's Health Insurance Program, which provides subsidized health insurance coverage to children in low-income families.

***Existing State and Local Sales and Use Taxes on Tobacco Products and Electronic Cigarettes.*** Sales of cigarettes, other tobacco products, and electronic cigarettes are subject to state and local sales and use taxes. These taxes are imposed on the retail price of a product, which includes excise taxes that have generally been passed along from distributors. The average retail price of a pack of cigarettes in California currently is close to \$6. Roughly \$400 million in annual revenue from sales and use taxes on cigarettes and other tobacco products go to the state and local governments.

### **State and Local Health Programs**

***Department of Health Care Services (DHCS).*** The DHCS administers the Medicaid program, known as the California Medical Assistance Program (Medi-Cal) in California. Medi-Cal is a joint federal-state program that provides health care services to qualified low-income persons. Currently, Medi-Cal provides health care services to over 12 million people, with a General Fund budget estimated at \$18 billion for 2015-16. Federal law establishes some minimum requirements for state Medicaid programs regarding the types of services offered and who is eligible to receive them. Required services include hospital inpatient and outpatient care, skilled nursing care, and doctor visits. In addition, California offers an array of services considered optional under federal law, such as coverage of prescription drugs and durable medical equipment. While Medi-Cal is by far the largest healthcare program that DHCS administers in terms of both funding level and persons served, the department also

administers a few other programs that provide health care services.

***Department of Public Health (DPH).*** The DPH administers and oversees a wide variety of programs with the goal of optimizing the health and well-being of Californians. The department's programs address a broad range of health issues, including tobacco-related diseases, maternal and child health, cancer and other chronic diseases, communicable disease control, and inspection of health facilities. Many public health programs and services are delivered at the local level, while the state provides funding, oversight, and overall strategic leadership for improving population health. The state also centrally administers certain public health programs, such as licensing and certification of health facilities.

### **State Spending Limit**

The State Constitution contains various rules affecting the state budget, such as the state spending limit that has been in place since passage of Proposition 4 in 1979. The Constitution requires the state to issue taxpayer rebates if the state exceeds the spending limit.

See Attachment A for the full text of the measure and Attachment B for the full report by the Legislative Analyst's Office.

### **CONSEQUENCE OF NEGATIVE ACTION:**

There would be no record of the County's support for the ballot initiative.

### **ATTACHMENTS**

Attachment A: Proposition 56 Cigarette Tax to Fund Healthcare, Tobacco Use Prevention, Research, and Law Enforcement

Attachment B: Legislative Analyst's Office fiscal impact analysis



RECEIVED

NOV 12 2015

INITIATIVE COORDINATOR  
ATTORNEY GENERAL'S OFFICE

Law Offices of

OLSON

HAGEL &

FISHBURN

LLP

November 10, 2015

VIA MESSENGER

Office of the Attorney General  
Attention: Ashley Johansson, Initiative Coordinator  
1300 "I" Street  
Sacramento, CA 95814

**RE: Submission of Amendment to Statewide Initiative Measure -  
California Healthcare, Research and Prevention Tobacco Tax  
Act of 2016, No. 15-0081**

Dear Ms. Johansson:

As you know, I serve as counsel for the proponents of the proposed statewide initiative, "California Healthcare, Research and Prevention Tobacco Tax Act of 2016." The proponents of the proposed initiative are Dustin Corcoran, Laphonza Butler and Olivia J. (Gertz) Diaz-Lapham. On their behalf, I am enclosing the following documents:

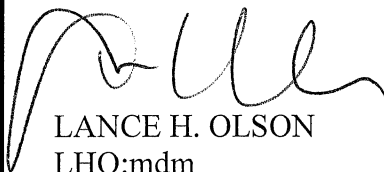
- The amended text of "California Healthcare, Research and Prevention Tobacco Tax Act of 2016"
- A red-line version showing the changes made in the amended text
- Signed authorizations from each of the proponents for the submission of the amended text together with their requests that the Attorney General's Office prepare a circulating title and summary using the amended text.

Please continue to direct all inquiries or correspondence relative to this proposed initiative to me at the address listed below:

Lance H. Olson  
Olson, Hagel & Fishburn LLP  
555 Capitol Mall, Suite 1425  
Sacramento, CA 95814

Very truly yours,

**OLSON HAGEL & FISHBURN LLP**



LANCE H. OLSON  
LHO:mdm

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Fax: (562) 427-2237

**VIA MESSENGER**

November 3, 2016

Office of the Attorney General  
1300 "I" Street  
Sacramento, CA 95814

Attention: Ashley Johansson, Initiative Coordinator

Re: Submission of Amendment to California Healthcare, Research and Prevention Tobacco Tax Act of 2016, No. 15-0081, and Request to Prepare Circulating Title and Summary

Dear Ms. Johansson:

On October 7, 2015, the proponents of a proposed statewide initiative titled "California Healthcare, Research and Prevention Tobacco Tax Act of 2016" ("Initiative") submitted a request that the Attorney General prepare a circulating title and summary pursuant to section 10(d) of Article II of the California Constitution. Pursuant to Elections Code section 9002(b), the proponents hereby submit timely amendments to the text of the Initiative. As one of the proponents of the Initiative, I approve the submission of the amended text to the Initiative and I declare that the amendment is reasonably germane to the theme, purpose, and subject of the Initiative. I request that the Attorney General prepare a circulating title and summary using the amended Initiative.

Sincerely,

A handwritten signature in black ink, appearing to read 'Dustin Corcoran', with a large, stylized initial 'D' and a long, sweeping horizontal line extending to the right.

Dustin Corcoran  
Chief Executive Officer, California Medical Association

**VIA MESSENGER**

November 3, 2016

Office of the Attorney General  
1300 "I" Street  
Sacramento, CA 95814

Attention: Ashley Johansson, Initiative Coordinator

Re: Submission of Amendment to California Healthcare, Research and Prevention Tobacco Tax Act of 2016, No. 15-0081, and Request to Prepare Circulating Title and Summary

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Sincerely,

A handwritten signature in black ink, appearing to read "Laphonza Butler", written over a horizontal line.

Laphonza Butler  
President, SEIU California State Council

**VIA MESSENGER**

November 3, 2016

Office of the Attorney General  
1300 "I" Street  
Sacramento, CA 95814

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Sincerely,

A handwritten signature in black ink, appearing to read "Olivia J. (Gertz) Diaz-Lapham", followed by a period.

Olivia J. (Gertz) Diaz-Lapham  
President and Chief Executive Officer  
American Lung Association in California

November 13, 2015

VIA PERSONAL DELIVERY

Ashley Johansson, Initiative Coordinator  
Office of the Attorney General  
1300 I Street, 17th Floor, P.O. Box 944255  
Sacramento, CA 95814

RECEIVED

NOV 17 2015

INITIATIVE COORDINATOR  
ATTORNEY GENERAL'S OFFICE

Re: Request for to Add Proponent to Proposed  
Initiative

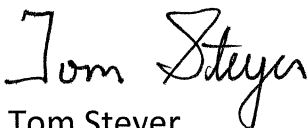
Dear Ms. Johansson:

Pursuant to Article II, Section 10(d) of the California Constitution, the attached proposed Initiative, entitled the "California Healthcare, Research and Prevention Tobacco Tax Act of 2016," was submitted to your office on October 7, 2015. I request to be added as a proponent of this measure. I also request that your office prepare a title and summary. Included with this submission is the required proponent affidavit pursuant to sections 9001 and 9608 of the California Elections Code.

All inquiries or correspondence relative to this initiative should be directed to Lance H. Olson at Olson, Hagel & Fishburn, LLP, 555 Capitol Mall, Suite 1415, Sacramento, CA 95814, (916) 442-2952.

Thank you for your assistance.

Sincerely,



Tom Steyer

Businessman and Philanthropist

November 3, 2015

VIA PERSONAL DELIVERY

Ashley Johansson, Initiative Coordinator  
Office of the Attorney General  
1300 I Street, 17th Floor, P.O. Box 944255  
Sacramento, CA 95814

Re: Request to Add Proponent to Proposed Initiative

Dear Ms. Johansson:

Pursuant to Article II, Section 10(d) of the California Constitution, the "California Healthcare, Research and Prevention Tobacco Tax Act of 2016" was submitted to your office on October 7, 2015. Tom Steyer has requested that his name be added as a proponent of this measure and is submitting the required proponent affidavit pursuant to sections 9001 and 9608 of the California Elections Code.

As a current proponent of this measure, I agree to the addition of Mr. Steyer as a proponent.

All inquiries or correspondence relative to this initiative should be directed to Lance H. Olson at Olson, Hagel & Fishburn, LLP, 555 Capitol Mall, Suite 1415, Sacramento, CA 95814, (916) 442-2952.

Thank you for your assistance.

Sincerely,

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Dustin Corcoran  
Chief Executive Officer  
California Medical Association

November 3, 2015

VIA PERSONAL DELIVERY

Ashley Johansson, Initiative Coordinator  
Office of the Attorney General  
1300 I Street, 17th Floor, P.O. Box 944255  
Sacramento, CA 95814

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Dear Ms. Johansson:

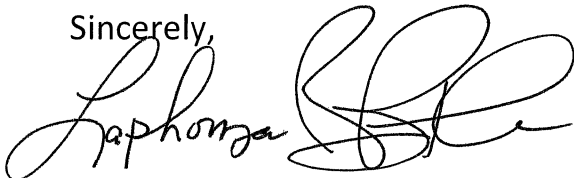
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Laphonza Butler  
President  
SEIU California State Council



November 3, 2015

VIA PERSONAL DELIVERY

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Office of the Attorney General  
1300 I Street, 17th Floor, P.O. Box 944255  
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Thank you for your assistance.

Sincerely,

A handwritten signature in black ink, appearing to read "Olivia J. (Gertz) Diaz-Lapham". The signature is fluid and cursive, with a large initial "O" and a long, sweeping underline.

Olivia J. (Gertz) Diaz-Lapham  
President and Chief Executive Officer  
American Lung Association in California

*The people of the State of California do enact as follows:*

**THE CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO  
TAX ACT OF 2016**

**SECTION 1. Findings and Declarations**

(a) Tobacco use is the single most preventable cause of death and disease in California, claiming the lives of more than 40,000 people every year. Each year thousands of Californians require medical and dental treatment as a result of tobacco use.

(b) Healthcare treatment of all types of cancer, cardiovascular and lung disease, oral disease and tobacco-related diseases continues to impose a significant financial burden upon California's overstressed healthcare system. Tobacco use costs Californians more than \$13.29 billion in healthcare expenses every year, of which \$3.5 billion is paid for by taxpayers through existing healthcare programs and services that provide healthcare, treatment, and services for Californians. The cost of lost productivity due to tobacco use adds an additional estimated \$10.35 billion to the annual economic consequences of smoking and tobacco use in California.

(c) An increase in the tobacco tax is an appropriate way to decrease tobacco use and mitigate the costs of healthcare treatment and improve existing programs providing for quality healthcare and access to healthcare services for families and children. It will save lives and save state and local government money in the future.

(d) An increase in funding for existing healthcare programs and services that treat all types of cancer, cardiovascular and lung disease, oral disease and tobacco-related diseases and conditions will expand the number of healthcare providers that treat patients with such diseases and conditions. Funds spent for this purpose can be used to match federal funds, with the federal government putting up as much as nine dollars for every dollar spent from this fund.

(e) Most electronic cigarettes contain nicotine, which is derived from tobacco and is a highly addictive drug. Electronic cigarettes are currently not subject to any tobacco taxation, making them cheaper and potentially more attractive, especially to young people.

(f) There are more than 470 electronic cigarette brands for sale today offered in over 7,700 flavors including candy-flavors that appeal to youth, such as Captain Crunch, gummy bear, cotton candy, Atomic Fireball, and fruit loops. The fastest growing age range for electronic cigarettes is middle school and high school students and according to the U.S. Centers for Disease Control and Prevention, electronic cigarette use among this group tripled from 2013 to 2014.

(g) Research into the causes, early detection, and effective treatment, care, prevention, and potential cures of all types of cancer, cardiovascular and lung disease, oral disease and tobacco-related diseases will ultimately save lives and save state and local government money in the future.

(h) There is an urgent need for research in California for new and effective treatments for all types of cancer, cardiovascular and lung disease, oral disease and tobacco-related diseases. Such research transforms scientific discoveries into clinical applications that reduce the incidence and mortality of such diseases and conditions.

(i) Funding prevention programs designed to discourage individuals, particularly youth, from taking up smoking and the use of other tobacco products through health education and health promotion programs will save lives and save state and local government money in the future.

(j) A reinvigorated tobacco control program will allow targeted public health efforts to combat the tobacco industry's predatory marketing to ethnic groups, driving down smoking rates and ultimately reducing cancer, cardiovascular and lung disease, oral disease and tobacco-related diseases in these California communities.

(k) Funding implementation and administrative programs to support law enforcement efforts to reduce illegal sales of tobacco products to minors,

cigarette smuggling, and tobacco tax evasion will save lives and save state and local government money in the future.

(l) California faces a shortage of physicians and dentists to meet the growing healthcare needs of its residents. As a result, access to primary and oral healthcare, treatment for tobacco-related diseases, regular check-ups and other urgent healthcare needs will suffer. California taxpayers support the education of thousands of medical and dental students every year, yet because of limits on the number of residency programs, many of those physicians and dentists are forced out of state to continue their training, leaving patients in California without access to care. Funding implementation and administrative programs that will help keep hundreds more doctors in California every year to improve the health of Californians will save lives and save state and local government money in the future.

(m) Medical studies have shown that the smoking of cigarettes and use of other tobacco products affects oral health by causing dental disease, including gum disease and bone loss, cancers of the mouth and throat, and severe tooth wear. Smoking causes half of the cases of gum disease, which results in increased tooth loss. Oral cancer risk for smokers is at least six times higher than for nonsmokers and 75% of all oral cancer in the United States is related to tobacco use. Oral cancer risk for smokeless tobacco increases 50-fold over nonsmokers. There is an association between maternal smoking during pregnancy and cleft lip development in fetuses. Tobacco cessation reduces the risk of mouth and throat cancer by 50%. Funding programs that educate, prevent and treat dental diseases, including those caused by use of tobacco, will improve the lives of Californians and save state and local government money in the future.

(n) Increasing the cost of cigarettes and tobacco products is widely recognized as the most effective way to reduce smoking across California, especially by young people. The 2000 U.S. Surgeon General's Report, *Reducing Tobacco Use*, found that raising tobacco-product prices decreases the prevalence of tobacco use, particularly among kids and young adults, and that tobacco tax increases produce "substantial long-term improvements in health." From its review of existing research, the report concluded that raising tobacco taxes is one of the most effective tobacco

prevention and control strategies. Reducing smoking saves lives and saves state and local government money in the future.

(o) Because increasing the tobacco tax will reduce smoking and the use of other tobacco products, it is important to protect existing tobacco tax funded programs from a decline in tax revenues.

(p) California currently taxes cigarettes at only \$0.87 per pack, and ranks 35th in tobacco tax rates, reflecting one of the lowest tobacco taxes in the United States. As of January, 2016, the national average will be \$1.60 per pack. Thirty-two states have cigarette tax rates of \$1 per pack or higher, and California is well below other western states (Washington: \$3.025; Oregon: \$1.31; Nevada: \$1.80; and Arizona: \$2). California last raised its tobacco tax in 1998.

## **SECTION 2. Statement of Purpose**

The purpose of this act is to increase the tax on tobacco and other tobacco products, including electronic cigarettes, in order to:

(a) Save the lives of Californians and save state and local government money in the future by reducing smoking and tobacco use among all Californians, but particularly youth.

(b) Provide funds to increase funding for existing healthcare programs and services that treat all types of cancer, cardiovascular and lung disease, oral disease and tobacco-related diseases, expand the number of healthcare providers, and maximize federal funding for these programs and services.

(c) Provide funds to support research into the causes of and cures for all types of cancer, cardiovascular and lung disease, oral disease and tobacco-related diseases, and to transform such scientific discoveries into clinical applications to reduce the incidence and mortality of such diseases and conditions.

(d) Provide funds to support prevention programs aimed at discouraging individuals from using cigarettes and other tobacco products, including

electronic cigarettes.

(e) Provide funds for implementation and administrative purposes to reduce cigarette smuggling, tobacco tax evasion, and illegal sales of tobacco products to minors, fund medical training for new doctors to treat diseases, including those caused by tobacco use, and fund programs to prevent and treat dental diseases including those caused by tobacco use.

(f) Protect existing tobacco tax funded programs, which currently save Californians millions of dollars in healthcare costs.

(g) Provide a full accounting of how funds raised are spent to further the purposes of this act without creating new bureaucracies.

### **SECTION 3. Definition of Tobacco Products**

Section 30121 of the Revenue and Taxation Code is amended to read:

30121. For purposes of this article:

(a) "Cigarettes" has the same meaning as in Section 30003, as it read on January 1, 1988.

(b) "Tobacco products" includes, but is not limited to, ~~all forms of cigars, smoking tobacco, chewing tobacco, snuff, and any other articles or products made of, or containing at least 50 percent, tobacco a~~ *product containing, made, or derived from tobacco or nicotine that is intended for human consumption, whether smoked, heated, chewed, absorbed, dissolved, inhaled, snorted, sniffed, or ingested by any other means, including, but not limited to, cigars, little cigars, chewing tobacco, pipe tobacco, or snuff, but does not include cigarettes. Tobacco products shall also include electronic cigarettes. Tobacco products shall not include any product that has been approved by the United States Food and Drug Administration for sale as a tobacco cessation product or for other therapeutic purposes where that product is marketed and sold solely for such approved use. Tobacco products does not include any food products as that term is defined pursuant to section 6359.*

(c) *"Electronic cigarettes" means any device or delivery system sold in combination with nicotine which can be used to deliver to a person nicotine in aerosolized or vaporized form , including, but not limited to, an e-cigarette, e-cigar, e-pipe, vape pen or e-hookah. Electronic cigarettes include any component, part or accessory of such a device that is used during the operation of the device when sold in combination with any liquid or substance containing nicotine. Electronic cigarettes also include any liquid or substance containing nicotine, whether sold separately or sold in combination with any device that could be used to deliver to a person nicotine in aerosolized or vaporized form. Electronic cigarettes do not include any device not sold in combination with any liquid or substance containing nicotine, or any battery, battery charger, carrying case or other accessory not used in the operation of the device if sold separately. Electronic cigarettes shall not include any product that has been approved by the United States Food and Drug Administration for sale as a tobacco cessation product or for other therapeutic purposes where that product is marketed and sold solely for such approved use. As used in this subdivision nicotine does not include any food products as that term is defined pursuant to section 6359.*

~~(c)~~(d) "Fund" means the Cigarette and Tobacco Products Surtax Fund created by Section 30122.

Section 30131.1 of the Revenue and Taxation Code is amended to read:

30131.1. The following definitions apply for purposes of this article:

(a) "Cigarette" has the same meaning as in Section 30003, as it read on January 1, 1997.

(b) ~~"Tobacco products" includes, but is not limited to, all forms of cigars, smoking tobacco, chewing tobacco, snuff, and any other articles or products made of, or containing at least 50 percent, tobacco, but does not include cigarettes~~ shall have the same meaning as in subdivision (b) of Section 30121, as amended by the California Healthcare, Research and Prevention Tobacco Tax Act of 2016.



#### **SECTION 4. The CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016**

Article 2.5 (commencing with Section 30130.50) is added to Chapter 2 of Part 13 of Division 2 of the Revenue and Taxation Code, to read:

##### *§ 30130.50. Definitions*

*For the purposes of this article:*

*(a) "Cigarette" has the same meaning as that in Section 30003 as it read on January 1, 2015.*

*(b) "Tobacco products" has the same meaning as that in subdivision (b) of Section 30121, as amended by this act.*

##### *§ 30130.51. CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Cigarette Distribution Tax*

*(a) In addition to any other taxes imposed upon the distribution of cigarettes under this part, there shall be imposed an additional tax upon every distributor of cigarettes at the rate of one hundred mills (\$0.100) for each cigarette distributed on or after the first day of the first calendar quarter commencing more than 90 days after the effective date of this act.*

*(b) The board shall adopt regulations providing for the implementation of an equivalent tax on electronic cigarettes as that term is defined in subdivision (c) of Section 30121, and the methods for collection of the tax. Such regulations shall include imposition of an equivalent tax on any device intended to be used to deliver aerosolized or vaporized nicotine to the person inhaling from the device when sold separately or as a package; any component, part, or accessory of such a device that is used during the operation of the device, whether sold separately or as a package with such device; and any liquid or substance containing nicotine, whether sold separately or as a package with any device that would allow it to be*

*inhaled. Such regulations may include, but are not limited to, defining who is a distributor of electronic cigarettes pursuant to Section 30011 and the licensing requirements of any such person.*

*(c) Notwithstanding any other provision of this part, all revenues resulting from the tax imposed by subdivision (a) of this section and all revenues resulting from the equivalent increase in the tax on tobacco products, including electronic cigarettes, imposed by subdivision (b) of Section 30123, shall be deposited into the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund created by Section 30130.53.*

**§ 30130.52. CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Cigarette Floor Taxes**

*(a) (1) In addition to any other tax, every dealer and wholesaler, for the privilege of holding or storing cigarettes for sale, use, or consumption, shall pay a floor stock tax for each cigarette in its possession or under its control in this state at 12:01 a.m. on the first day of the first calendar quarter commencing more than 90 days after the effective date of this act at the rate of one hundred mills (\$0.100) for each cigarette.*

*(2) Every dealer and wholesaler shall file a return with the board on or before the first day of the first calendar quarter commencing more than 180 days after the effective date of this act on a form prescribed by the board, showing the number of cigarettes in its possession or under its control in this state at 12:01 a.m. on the first day of the first calendar quarter commencing more than 90 days after the effective date of this act. The amount of tax shall be computed and shown on the return.*

*(b) (1) Every licensed cigarette distributor, for the privilege of distributing cigarettes and for holding or storing cigarettes for sale, use, or consumption, shall pay a cigarette indicia adjustment tax for each California cigarette tax stamp that is affixed to any package of cigarettes and for each unaffixed California cigarette tax stamp in its possession or under its control at 12:01 a.m. on the first day of the first calendar quarter commencing more than 90 days after the effective date of this act at the following rates:*

*(A) Two dollars and fifty cents (\$2.50) for each stamp bearing the designation "25."*

*(B) Two dollars (\$2) for each stamp bearing the designation "20."*

*(C) One dollar (\$1) for each stamp bearing the designation "10."*

*(2) Every licensed cigarette distributor shall file a return with the board on or before the first day of the first calendar quarter commencing 180 days after the effective date of this act on a form prescribed by the board, showing the number of stamps described in subparagraphs (A), (B), and (C) of paragraph (1). The amount of tax shall be computed and shown on the return.*

*(c) The taxes required to be paid by this section are due and payable on or before the first day of the first calendar quarter commencing 180 days after the effective date of this act. Payments shall be made by remittances payable to the board and the payments shall accompany the return and forms required to be filed by this section.*

*(d) Any amount required to be paid by this section that is not timely paid shall bear interest at the rate and by the method established pursuant to Section 30202 from the first day of the first calendar quarter commencing 180 days after the effective date of this act, until paid, and shall be subject to determination, and redetermination, and any penalties provided with respect to determinations and redeterminations.*

**§ 30130.53. CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund**

*(a) The CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund is hereby established in the State Treasury.*

*(b) All revenues raised pursuant to the taxes imposed by this article, less refunds made pursuant to Article 1 (commencing with Section 30361) of Chapter 6, shall be deposited into the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund.*

*(c) Notwithstanding any other law, the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund is a trust fund established solely to carry out the purposes of this act and all revenues deposited into the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund, together with interest earned by the fund, are hereby continuously appropriated for the purposes of this act without regard to fiscal year and shall be expended only in accordance with the provisions of this act and its purposes.*

*(d) Notwithstanding any other law, revenues deposited into the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund, including any interest earned by the fund, shall only be used for the specific purposes set forth in this act, and shall be appropriated and expended only for the purposes expressed in this act and shall not be subject to appropriation, reversion, or transfer by the Legislature, the Governor, the Director of Finance, or the Controller for any purpose other than those specified in this act, nor shall such revenues be loaned to the General Fund or any other fund of the state or any local government fund.*

**§ 30130.54. CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Effect on Tobacco Consumption and Tax Revenue**

*(a) The board shall determine within one year of the effective date of this act, and annually thereafter, the effect that the additional taxes imposed on cigarettes by this article, and the resulting increase in the tax on tobacco products required by subdivision (b) of Section 30123, have on the consumption of cigarettes and tobacco products in this state. To the extent that a decrease in consumption is determined by the board to be a direct result of the additional tax imposed on cigarettes by this article, and the resulting increase in the tax on tobacco products required by subdivision (b) of Section 30123, the board shall determine the fiscal effect the decrease in consumption has on the Cigarette and Tobacco Products Surtax Fund created by Section 30122 (Proposition 99 as approved by the voters at the November 8, 1988, statewide general election), the Breast Cancer Fund created by Section 30461.6, and the California Children and Families Trust Fund created by Section 30131 (Proposition 10 as approved by the voters at*

*the November 3, 1998, statewide general election), and the revenues derived from Section 30101.*

*(b) The Controller shall transfer from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund to those affected funds described in subdivision (a) the amount necessary to offset the revenue decrease directly resulting from the imposition of additional taxes by this article.*

*(c) The board shall determine within one year of the effective date of this act, and annually thereafter, the effect, if any, that the additional taxes imposed on cigarettes by this article, and the resulting increase in the tax on tobacco products required by subdivision (b) of Section 30123, have on the consumption of cigarettes and tobacco products in this state, including from the illegal sale of cigarettes and tobacco products. To the extent that there is a loss of state or local government sales and use tax revenues and such loss is determined by the board to be a direct result of the additional tax imposed on cigarettes by this article, and the resulting increase in the tax on tobacco products required by subdivision (b) of Section 30123, including from the illegal sale of cigarettes and tobacco products, the board shall determine the fiscal effect on state and local government sales and use tax revenues.*

*(d) The Controller shall transfer from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund to the general fund of the state and those affected local governments described in subdivision (c) the amount necessary to offset the state and local sales and use tax revenue decrease directly resulting from the imposition of additional taxes by this article, including from the illegal sale of cigarettes and tobacco products.*

*(e) Transfers under this section shall be made by the Controller at such times as the Controller determines necessary to further the intent of this section.*

**§ 30130.55. CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Distribution of Revenue**

*After deducting and transferring the necessary funds pursuant to Section 30130.54 and subdivisions (a), (b), (c), (d), and (e) of Section 30130.57, the Controller shall annually allocate and transfer the remaining funds in the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund as follows:*

*(a) Eighty-two percent (82%) shall be transferred to the Healthcare Treatment Fund, which is hereby created, and shall be used by the California Department of Health Care Services to increase funding for the existing healthcare programs and services described in Chapter 7 (commencing with Section 14000) to Chapter 8.9 (commencing with Section 14700), inclusive, of Part 3 of Division 9 of the Welfare and Institutions Code, including those that provide healthcare, treatment, and services for Californians with tobacco-related diseases and conditions, by providing improved payments, for all healthcare, treatment, and services described in Chapter 7 (commencing with Section 14000) to Chapter 8.9 (commencing with Section 14700), inclusive, of Part 3 of Division 9 of the Welfare and Institutions Code. To the extent possible given the limits of funding under this article, payments and support for the nonfederal share of payments for healthcare, services, and treatment shall be increased based on criteria developed and periodically updated as part of the annual state budget process, provided that these funds shall not be used to supplant existing state general funds for these same purposes. These criteria shall include, but not be limited to, ensuring timely access, limiting specific geographic shortages of services, or ensuring quality care. Consistent with federal law, the funding shall be used to draw down federal funds. The funding shall be used only for care provided by health care professionals, clinics, health facilities that are licensed pursuant to Health and Safety Code Section 1250, and to health plans contracting with the California Department of Health Care Services to provide health benefits pursuant to this section. The funding can be used for the nonfederal share of payments from governmental entities where applicable. The department shall, if required, seek any necessary federal approval for the implementation of this section.*

*(b) Thirteen percent (13%) shall be used for the purpose of funding comprehensive tobacco prevention and control programs; provided that these funds are not to be used to supplant existing state or local funds for these same purposes. These funds shall be apportioned in the following*

manner:

*(1) Eighty-five percent (85%) to the California Department of Public Health Tobacco Control Program to be used for the tobacco control programs described beginning at Section 104375 of the Health and Safety Code. The California Department of Public Health shall award funds to state and local governmental agencies, tribes, universities and colleges, community based organizations, and other qualified agencies for the implementation, evaluation, and dissemination of evidence-based health promotion and health communication activities in order to monitor, evaluate and reduce tobacco and nicotine use, tobacco-related disease rates, tobacco-related health disparities, and develop a stronger evidence-base of effective prevention programming with not less than fifteen percent (15%) of health promotion, health communication activities, and evaluation and tobacco use surveillance funds being awarded to accelerate and monitor the rate of decline in tobacco-related disparities with the goal of eliminating tobacco-related disparities.*

*(2) Fifteen percent (15%) to the California Department of Education to be used for school programs to prevent and reduce the use of tobacco and nicotine products by young people as described in Section 104420 of the Health and Safety Code with not less than fifteen percent (15%) of these funds being awarded to accelerate and monitor the rate of decline in tobacco-related disparities for the purpose of eliminating tobacco-related disparities.*

*(c) Five percent (5%) to the University of California for medical research of cancer, heart and lung tobacco-related diseases pursuant to Article 2 (commencing with Section 104500) of Chapter 1 of Part 3 of Division 103 of the Health and Safety Code to supplement the Cigarette and Tobacco Products Surtax Medical Research Program, provided that these funds be used under the following conditions:*

*(1) The funds shall be used for grants and contracts for basic, applied, and translational medical research in California into the prevention of, early detection of, treatments for, complementary treatments for, and potential cures for all types of cancer, cardiovascular and lung disease,*

*oral disease and tobacco-related diseases. Notwithstanding any other provision of law, the University of California, through the Tobacco Related Disease Research Program, shall have authority to expend funds received under this act for the purposes set forth in this subdivision.*

*(2) Any grants and contracts awarded shall be awarded using existing medical research program infrastructure and on the basis of scientific merit as determined by an open, competitive peer review process that assures objectivity, consistency, and high quality.*

*(3) Individuals or entities that receive the grants and contracts pursuant to this subdivision must reside or be located entirely within California.*

*(4) The research must be performed entirely within California.*

*(5) The funds shall not be used to supplant existing state or local funds for these same purposes.*

#### *§ 30130.56. Independent Audit and Disclosure*

*To provide full public accountability concerning the uses to which funds from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 are put, and to ensure full compliance with the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016:*

*(a) The nonpartisan California State Auditor shall conduct at least biennially an independent financial audit of the state and local agencies receiving funds pursuant to the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016. An audit conducted pursuant to this section shall include, but not be limited to, a review of the administrative costs expended by the state agencies that administer the fund.*

*(b) Based on the independent audit, the nonpartisan California State Auditor shall prepare a report detailing its review and include any recommendations for improvements. The report shall be made available to*



*the public.*

*(c) Each state agency and department receiving funds pursuant to this act shall, on an annual basis, publish on its respective Internet Web site an accounting of how much money was received from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund and how that money was spent. The annual accounting shall also be posted on any social media outlets the state agency or department deems appropriate.*

*(d) The use of the funds received by the California Department of Healthcare Services pursuant to subdivision (a) of Section 30130.55 shall be subject to the same restrictions, including, but not limited to audits and prevention of fraud, imposed by existing law.*

*(e) The use of the funds received by the California Department of Public Health, the California Department of Education and the University of California pursuant to subdivisions (b) and (c) of Section 30130.55 shall be subject to oversight by the Tobacco Education and Research Oversight Committee pursuant to Health and Safety Code Sections 104365 and 104370.*

*§ 30130.57. Implementation and Administrative Costs*

*(a) Moneys from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund shall be used to reimburse the board for expenses incurred in the administration, calculation, and collection of the tax imposed by this article and for expenses incurred in the calculation and distribution of funds and in the promulgation of regulations as required by this act; provided, however, that after deducting the necessary funds pursuant to subdivision (b) of Section 30130.54, not more than five percent (5%) annually of the funds remaining in the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund shall be used for such administrative costs.*

*(b) Moneys from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund shall be used to reimburse the independent nonpartisan California State Auditor up to four hundred*

*thousand dollars (\$400,000) annually for actual costs incurred to conduct each of the audits required by Section 30130.56 for the purpose of providing public transparency and ensuring that the revenues generated by this article are used for healthcare, tobacco use prevention and research.*

*(c) Moneys from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund in the amount of forty million dollars (\$40,000,000) annually shall be used to provide funding to the University of California for the purpose and goal of increasing the number of primary care and emergency physicians trained in California. This goal shall be achieved by providing this funding to the University of California to sustain, retain and expand graduate medical education programs to achieve the goal of increasing the number of primary care and emergency physicians in the State of California based on demonstrated workforce needs and priorities.*

*(1) For the purposes of this subdivision, "primary care" means Internal Medicine, Family Medicine, Obstetrics / Gynecology, and Pediatrics.*

*(2) Funding shall be prioritized for direct graduate medical education costs for programs serving medically underserved areas and populations.*

*(3) For the purposes of this subdivision, all allopathic and osteopathic residency programs accredited by federally recognized accrediting organizations and located in California shall be eligible to apply to receive funding to support resident education in California.*

*(4) The University of California shall annually review physician shortages by specialty across the state and by region. Based on this review, to the extent that there are demonstrated state or regional shortages of non-primary care physicians, funds may be used to expand graduate medical education programs that are intended to address such shortages.*

*(d) Moneys from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund in the amount of thirty million dollars (\$30,000,000) annually shall be used to provide funding to the State of California Department of Public Health State Dental Program for the purpose and goal of educating about, preventing and treating dental disease, including dental disease caused by use of cigarettes and other tobacco products. This goal shall be achieved by the program providing this funding to activities that support the State Dental Plan based on demonstrated oral health needs, prioritizing serving underserved areas and populations. Funded program activities shall include, but not be limited to, the following: education, disease prevention, disease treatment, surveillance, and case management.*

*The department shall have broad authority to fully implement and effectuate the purposes of this subdivision, including the determination of underserved communities, the development of program protocols, the authority to reimburse state-sponsored services related to the program, and the authority to contract with one or more individuals or public or private entities to provide program activities.*

*(e) Moneys from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund in the amount of forty eight million dollars (\$48,000,000) annually shall be used for the purpose of funding law enforcement efforts to reduce illegal sales of tobacco products, particularly illegal sales to minors; to reduce cigarette smuggling, tobacco tax evasion, the sale of tobacco products without a license and the sale of counterfeit tobacco products; to enforce tobacco-related laws, court judgments and legal settlements; and to conduct law enforcement training and technical assistance activities for tobacco-related statutes; provided that these funds are not to be used to supplant existing state or local funds for these same purposes. These funds shall be apportioned in the following manner:*

*(1) Thirty million dollars (\$30,000,000) annually to go to the California Department of Justice/Office of the Attorney General to be distributed to local law enforcement agencies to support and hire front-line law enforcement peace officers for programs, including, but not limited to, enforcement of state and local laws related to the illegal sales and*

*marketing of tobacco to minors, and increasing investigative activities and compliance checks to reduce illegal sales of cigarettes and tobacco products to minors and youth.*

*(2) Six million dollars (\$6,000,000) annually to the board to be used to enforce laws that regulate the distribution and retail sale of cigarettes and other tobacco products, such as laws that prohibit cigarette and tobacco product smuggling, counterfeiting, selling untaxed cigarettes and other tobacco products, and selling cigarettes and other tobacco products without a proper license.*

*(3) Six million dollars (\$6,000,000) annually to the California Department of Public Health to be used to support programs, including, but not limited to, providing grants and contracts to local law enforcement agencies to provide training and funding for the enforcement of state and local laws related to the illegal sales of tobacco to minors, increasing investigative activities, and compliance checks, and other appropriate activities to reduce illegal sales of tobacco products to minors including, but not limited to, the Stop Tobacco Access to Kids Enforcement (STAKE) Act, pursuant to Section 22952 of the Business and Professions Code.*

*(4) Six million dollars (\$6,000,000) annually to the California Attorney General to be used for activities including, but not limited to, enforcing laws that regulate the distribution and sale of cigarettes and other tobacco products, such as laws that prohibit cigarette smuggling, counterfeiting, selling untaxed tobacco, selling tobacco without a proper license and selling tobacco to minors, and enforcing tobacco-related laws, court judgments, and settlements.*

*(f) Not more than five percent (5%) of the funds received pursuant to this article shall be used by any state or local agency or department receiving such funds for administrative costs.*

*(g) The California State Auditor shall promulgate regulations pursuant to the rulemaking provisions of the Administrative Procedure Act (Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code) to define administrative costs for purposes of this article.*

*Such regulations shall take into account the differing nature of the agencies or departments receiving funds.*

*(h) The board shall determine beginning two years following the effective date of this act, and annually thereafter, any reduction in revenues, following the first year after the effective date of this act, resulting from a reduction in the consumption of cigarettes and tobacco products due to the additional taxes imposed on cigarettes by this article, and the increase in the tax on tobacco products required by subdivision (b) of Section 30123. If the board determines there has been a reduction in revenues, the amount of funds allocated pursuant to subdivisions (c), (d) and (e) of this section shall be reduced proportionately.*

#### **§ 30130.58. Statutory References**

*Unless otherwise stated, all references in this act refer to statutes as they existed on January 1, 2016.*

### **SECTION 5. Conforming Amendments to the Revenue and Taxation Code**

Section 30014 of the Revenue and Taxation Code is amended to read:

30014. (a) "Transporter" means any person transporting into or within this state any of the following:

(1) Cigarettes not contained in packages to which are affixed California cigarette tax stamps or meter impressions.

(2) Tobacco products upon which the tobacco products surtax imposed by Article 2 (commencing with Section 30121), *Article 2.5 (commencing with Section 30130.50)* and Article 3 (commencing with Section 30131) of Chapter 2 has not been paid.

(b) "Transporter" shall not include any of the following:

(1) A licensed distributor.

(2) A common carrier.

(3) A person transporting cigarettes and tobacco products under federal internal revenue bond or customs control that are non-tax-paid under Chapter 52 of the Internal Revenue Act of 1954 as amended.

Section 30104 of the Revenue and Taxation Code is amended to read:

30104. The taxes imposed by this part shall not apply to the sale of cigarettes or tobacco products by a distributor to a common carrier engaged in interstate or foreign passenger service or to a person authorized to sell cigarettes or tobacco products on the facilities of the carrier. Whenever cigarettes or tobacco products are sold by distributors to common carriers engaged in interstate or foreign passenger service for use or sale on facilities of the carriers, or to persons authorized to sell cigarettes or tobacco products on those facilities, the tax imposed ~~by Sections 30101, 30123, and 30131.2 under this part~~ shall not be levied with respect to the sales of the cigarettes or tobacco products by the distributors, but a tax is hereby levied upon the carriers or upon the persons authorized to sell cigarettes or tobacco products on the facilities of the carriers, as the case may be, for the privilege of making sales in California at the same rate as set forth in ~~Sections 30101, 30123, and 30131.2. under this part.~~ Those common carriers and authorized persons shall pay the tax imposed by this section and file reports with the board, as provided in Section 30186.

Section 30108 of the Revenue and Taxation Code is amended to read:

30108. (a) Every distributor engaged in business in this state and selling or accepting orders for cigarettes or tobacco products with respect to the sale of which the tax imposed ~~by Sections 30101, 30123, and 30131.2 under this part~~ is inapplicable shall, at the time of making the sale or accepting the order or, if the purchaser is not then obligated to pay the tax with respect to his or her distribution of the cigarettes or tobacco products, at the time the purchaser becomes so obligated, collect the tax from the purchaser, if the purchaser is other than a licensed distributor, and shall give to the purchaser a receipt therefor in the manner and

form prescribed by the board.

(b) Every person engaged in business in this state and making gifts of untaxed cigarettes or tobacco products as samples with respect to which the tax imposed by ~~Sections 30101, 30123, and 30131.2~~ *under this part* is inapplicable shall, at the time of making the gift or, if the donee is not then obligated to pay the tax with respect to his or her distribution of the cigarettes or tobacco products, at the time the donee becomes so obligated, collect the tax from the donee, if the donee is other than a licensed distributor, and shall give the donee a receipt therefor in the manner and form prescribed by the board. This section shall not apply to those distributions of cigarettes or tobacco products ~~which~~ *that* are exempt from tax under Section 30105.5.

(c) "Engaged in business in the state" means and includes any of the following:

(1) Maintaining, occupying, or using, permanently or temporarily, directly or indirectly, or through a subsidiary, or agent, by whatever name called, an office, place of distribution, sales or sample room or place, warehouse or storage place, or other place of business.

(2) Having any representative, agent, salesperson, canvasser or solicitor operating in this state under the authority of the distributor or its subsidiary for the purpose of selling, delivering, or the taking of orders for cigarettes or tobacco products.

(d) The taxes required to be collected by this section constitute debts owed by the distributor, or other person required to collect the taxes, to the state.

Section 30166 of the Revenue and Taxation Code is amended to read:

30166. Stamps and meter register settings shall be sold *to licensed distributors* at their denominated values less *a discount of 0.85 percent, which shall be capped at the first one dollar (\$1.00) in denominated value* ~~to licensed distributors~~. Payment for stamps or meter register settings shall

be made at the time of purchase, provided that a licensed distributor, subject to the conditions and provisions of this article, may be permitted to defer payments therefor.

Section 30181 of the Revenue and Taxation Code is amended to read:

30181. (a) ~~When~~ *If* any tax imposed upon cigarettes under ~~Article 1 (commencing with Section 30101), Article 2 (commencing with Section 30121), and Article 3 (commencing with Section 30131) of Chapter 2~~ *this part* is not paid through the use of stamps or meter impressions, the tax shall be due and payable monthly on or before the 25th day of the month following the calendar month in which a distribution of cigarettes occurs, or in the case of a sale of cigarettes on the facilities of a common carrier for which the tax is imposed pursuant to Section 30104, the tax shall be due and payable monthly on or before the 25th day of the month following the calendar month in which a sale of cigarettes on the facilities of the carrier occurs.

(b) Each distributor of tobacco products shall file a return in the form, as prescribed by the board, ~~which~~ *that* may include, but not be limited to, electronic media respecting the distributions of tobacco products and their wholesale cost during the preceding month, and any other information as the board may require to carry out this part. The return shall be filed with the board on or before the 25th day of the calendar month following the close of the monthly period for which it relates, together with a remittance payable to the board, of the amount of tax, if any, due under Article 2 (commencing with Section 30121) or Article 3 (commencing with Section 30131) of Chapter 2 for that period.

(c) To facilitate the administration of this part, the board may require the filing of the returns for longer than monthly periods.

(d) Returns shall be authenticated in a form or pursuant to methods as may be prescribed by the board.

~~(e) This section shall become operative on January 1, 2007.~~

## **SECTION 6. Conformity with State Constitution**



*Section 23 is added to Article XVI of the California Constitution, to read:*

*SEC. 23 The tax imposed by the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 and the revenue derived therefrom, including investment interest, shall not be considered General Fund revenues for purposes of Section 8 of Article XVI of the California Constitution and its implementing statutes, and shall not be considered "General Fund revenues," "state revenues," or "General Fund proceeds of taxes" for purposes of Section 8(a) and (b) of Article XVI of the California Constitution and its implementing statutes.*

*Section 14 is added to Article XIII B of the California Constitution, to read:*

*SEC. 14. "Appropriations subject to limitation" of each entity of government shall not include appropriations of revenue from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund created by the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Act of 2016. No adjustment in the appropriations limit of any entity of government shall be required pursuant to Section 3 as a result of revenue being deposited in or appropriated from the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 Fund.*

## **SECTION 7. Severability**

If the provisions of this act, or part thereof, are for any reason held to be invalid or unconstitutional, the remaining provisions shall not be affected, but shall remain in full force and effect and to this end the provisions of this act are severable.

## **SECTION 8. Conflicting Measures**

(a) It is the intent of the people that in the event that this measure and another measure relating to the taxation of tobacco shall appear on the same statewide election ballot, the provisions of the other measure or measures shall not be deemed to be in conflict with this measure, and if approved by the voters, this measure shall take effect notwithstanding

approval by the voters of another measure relating to the taxation of tobacco by a greater number of affirmative votes.

(b) If this measure is approved by the voters but superseded by law by any other conflicting ballot measure approved by the voters at the same election, and the conflicting measure is later held invalid, this measure shall be self-executing and given the full force of law.

## **SECTION 9. Amendments**

(a) Except as hereafter provided, this act may only be amended by the electors as provided in subdivision (c) of Section 10 of Article II of the California Constitution.

(b) The Legislature may amend subdivisions (a) and (c) of Section 30130.55 and Section 30130.57 of the Revenue and Taxation Code to further the purposes of the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 by a statute passed in each house by roll-call vote entered in the journal, two-thirds of the membership concurring.

(c) The Legislature may amend subdivision (b) of Section 30130.55 of the Revenue and Taxation Code to further the purposes of the CALIFORNIA HEALTHCARE, RESEARCH AND PREVENTION TOBACCO TAX ACT OF 2016 by a statute passed in each house by roll-call vote entered in the journal, four-fifths of the membership concurring.

## **SECTION 10. Effective Date**

This act shall become effective as provided in Section 10(a) of Article II of the California Constitution; provided, however, the amendment to section 30121 of the Revenue and Taxation Code shall become effective April 1, 2017.



November 30, 2015

Hon. Kamala D. Harris  
Attorney General  
1300 I Street, 17<sup>th</sup> Floor  
Sacramento, California 95814

Attention: Ms. Ashley Johansson  
Initiative Coordinator

Dear Attorney General Harris:

Pursuant to Elections Code Section 9005, we have reviewed the proposed constitutional and statutory initiative (A.G. File No. 15-0081, Amendment #1) that would increase the state's cigarette excise tax from 87 cents to \$2.87 per pack and apply the tobacco products excise tax to electronic cigarettes.

## BACKGROUND

### Tobacco Products and Electronic Cigarettes

Tobacco products are derived from tobacco plants, contain nicotine, and are intended for human consumption, such as cigarettes and smokeless tobacco. Electronic cigarettes are battery-operated products that are generally designed to deliver nicotine, flavor, and other chemicals. These devices turn chemicals, including nicotine, into an aerosol that is inhaled by the user. Some types of electronic cigarettes are sold together with those chemicals, while others are sold separately. (There are also some electronic cigarettes that produce aerosols that do not contain nicotine.)

### Tobacco and Electronic Cigarette Taxes

Tobacco products are subject to state and federal excise taxes, and state and local sales and use taxes. In contrast, electronic cigarettes are currently not subject to state and federal excise taxes but are subject to state and local sales and use taxes.

***Existing State Excise Taxes on Tobacco Products.*** Current state law imposes excise taxes on the distribution of cigarettes and other tobacco products, such as cigars and chewing tobacco. Tobacco excise taxes are paid by distributors who supply cigarettes and other tobacco products to retail stores. These taxes are typically passed on to consumers as higher prices on cigarettes and other tobacco products.

The state's cigarette excise tax is currently 87 cents per pack. Figure 1 describes the different components of the per-pack tax. As the figure shows, two voter-approved measures—

Proposition 99 in 1988 and Proposition 10 in 1998—are responsible for generating the vast majority of tobacco excise tax revenues. As the figure indicates, total state revenues from existing excise taxes on cigarettes and other tobacco products were just under \$840 million in 2014-15.

<b>Figure 1</b>		
<b>Existing State Tobacco Excise Taxes</b>		
<i>(Dollars in Millions)</i>		
<b>Description</b>	<b>Cents Per Pack of Cigarettes</b>	<b>Estimated 2014-15 Net Revenue<sup>a</sup></b>
<b>State General Fund:</b> Initially enacted by the Legislature in 1959 for general support of the state budget.	10¢	\$86
<b>Proposition 99:</b> Enacted by the voters in 1988 for the purposes of supporting tobacco education and prevention efforts, tobacco-related disease research programs, health care services for low-income persons, and environmental protection and recreational resources.	25	268 <sup>b</sup>
<b>Breast Cancer Fund:</b> Enacted by the Legislature in 1993 for the purposes of supporting breast cancer screening programs for uninsured women and research related to breast cancer.	2	21
<b>Proposition 10:</b> Enacted by the voters in 1998 for the purposes of supporting early childhood development programs.	50	461 <sup>b</sup>
<b>Totals</b>	<b>87¢</b>	<b>\$836<sup>c</sup></b>
<sup>a</sup> Accounts for payments from Proposition 10 to other funds in order to maintain pre-Proposition 10 revenue levels.		
<sup>b</sup> Total includes excise tax revenue from other types of tobacco products, such as cigars and chewing tobacco.		
<sup>c</sup> Does not total due to rounding.		

Revenues from existing excise taxes on other tobacco products support Proposition 10 and Proposition 99 purposes. Under current law, any increase in cigarette taxes automatically triggers an equivalent increase in excise taxes on other tobacco products, with the latter revenues going to support Proposition 99 purposes.

**Existing Federal Excise Tax on Tobacco Products.** The federal government imposes an excise tax on cigarettes and other tobacco products. In 2009, this tax was increased by 62 cents per pack (to a total of \$1.01 per pack) to help fund the Children’s Health Insurance Program, which provides subsidized health insurance coverage to children in low-income families.

**Existing State and Local Sales and Use Taxes on Tobacco Products and Electronic Cigarettes.** Sales of cigarettes, other tobacco products, and electronic cigarettes are subject to state and local sales and use taxes. These taxes are imposed on the retail price of a product, which includes excise taxes that have generally been passed along from distributors. The average retail price of a pack of cigarettes in California currently is close to \$6. Roughly \$400 million in annual revenue from sales and use taxes on cigarettes and other tobacco products go to the state and local governments.

## State and Local Health Programs

**Department of Health Care Services (DHCS).** The DHCS administers the Medicaid program, known as the California Medical Assistance Program (Medi-Cal) in California. Medi-Cal is a joint federal-state program that provides health care services to qualified low-income

persons. Currently, Medi-Cal provides health care services to over 12 million people, with a General Fund budget estimated at \$18 billion for 2015-16. Federal law establishes some minimum requirements for state Medicaid programs regarding the types of services offered and who is eligible to receive them. Required services include hospital inpatient and outpatient care, skilled nursing care, and doctor visits. In addition, California offers an array of services considered optional under federal law, such as coverage of prescription drugs and durable medical equipment. While Medi-Cal is by far the largest healthcare program that DHCS administers in terms of both funding level and persons served, the department also administers a few other programs that provide health care services.

***Department of Public Health (DPH).*** The DPH administers and oversees a wide variety of programs with the goal of optimizing the health and well-being of Californians. The department's programs address a broad range of health issues, including tobacco-related diseases, maternal and child health, cancer and other chronic diseases, communicable disease control, and inspection of health facilities. Many public health programs and services are delivered at the local level, while the state provides funding, oversight, and overall strategic leadership for improving population health. The state also centrally administers certain public health programs, such as licensing and certification of health facilities.

### **State Spending Limit**

The State Constitution contains various rules affecting the state budget, such as the state spending limit that has been in place since passage of Proposition 4 in 1979. The Constitution requires the state to issue taxpayer rebates if the state exceeds the spending limit.

## **PROPOSAL**

This measure increases excise taxes on the distribution of cigarettes and other tobacco products. It also applies, for the first time, the tobacco products excise tax (as amended by the measure) to certain types of electronic cigarettes. The additional revenues would be used to increase funding for existing healthcare programs and services, tobacco-related prevention and cessation programs, law enforcement programs, medical research on tobacco-related diseases, and for other specified purposes. The major provisions of the measure are described below.

### **New State Tobacco Taxes**

This measure increases—effective April 1, 2017—the existing state excise tax on cigarettes by \$2 per pack. The total state excise tax, therefore, would be \$2.87 per pack. This measure also creates a one-time “floor tax” on cigarettes that are stored by businesses at the time the new excise tax is levied. Floor taxes are typically used to prevent businesses from avoiding taxes by stockpiling products before a tax goes into effect.

As described above, any increase in cigarette taxes automatically triggers an equivalent increase in excise taxes on other tobacco products. As a result, the \$2 per pack cigarette tax increase would lead to an equivalent increase in the tax rate on other tobacco products, which is currently equivalent to a \$1.37 per pack tax on cigarettes. The new tax rate on other tobacco products would be equivalent to a \$3.37 per pack tax on cigarettes.

## **Tax on Electronic Cigarettes**

This measure also applies the tobacco products excise tax to electronic cigarettes that contain nicotine or are sold with liquid containing nicotine (hereafter referred to as “e-cigarettes”). As with other tobacco products, the tax rate would be equivalent to \$3.37 per pack of cigarettes. The equivalent of 87 cents per pack would support Proposition 99 purposes, the equivalent of 50 cents per pack would support Proposition 10 purposes and the equivalent of \$2 per pack would support the purposes of this measure.

## **How Revenues From New Tobacco and E-Cigarette Taxes Would Be Spent**

Revenues from the cigarette, other tobacco product, and e-cigarette excise taxes that are increased by this measure would be deposited directly into a new special fund, called the California Healthcare, Research and Prevention Tobacco Tax Act of 2016 Fund (hereafter referred to as the fund). Revenues deposited in the fund would only be used for purposes set forth in the measure and would not be subject to appropriation by the Legislature. Here we describe how the revenues would be spent in the order required by the measure. (Revenues from expanding the taxpaying base of existing taxes to include e-cigarettes would support Proposition 99 and Proposition 10 purposes as described in Figure 1.)

***Backfill of Existing Tobacco Tax Programs.*** This measure requires the transfer of some revenues raised by the new taxes to “backfill,” or offset, any revenue losses that occur to funds supported by existing state cigarette and tobacco taxes as a direct result of the imposition of the new taxes. These revenue losses would occur mainly because an increase in the price of cigarettes and other tobacco products generally reduces consumption and leads some consumers to acquire untaxed products instead of taxed ones. This, in turn, would reduce the amount of revenues collected through the existing state excise taxes described above. The amount of backfill payments needed to offset any loss of funding in these areas would be determined by the Board of Equalization (BOE).

***Backfill of State and Local Sales and Use Tax Revenue Losses.*** Similarly, the measure requires backfill payments to the state and affected local governments in respect of any revenue losses of state and local sales and use taxes resulting directly from the new taxes on cigarettes and tobacco products.

***BOE Would Receive Up to 5 Percent of Remaining Funds for Administrative Costs.*** The BOE would receive not more than 5 percent of the funds remaining after backfill of existing tobacco programs to cover administrative expenses resulting from the new tax. (The BOE would also receive additional funds for enforcement of the new tax as explained below.)

***Specified State Entities Would Receive Predetermined Amounts.*** After backfilling for specified revenue losses due to the imposition of the new taxes and providing funds to BOE for administrative costs, the University of California (UC), California Department of Justice (DOJ), Office of the Attorney General (OAG), BOE, and DPH would annually receive predetermined amounts of funding as follows:

- ***UC Would Receive \$40 Million for Physician Training.*** Forty million dollars would be used to provide funding to UC for the purpose of increasing the number of primary

care and emergency physicians trained in California. The UC provides instruction to about 8,000 graduate medical students at six of its campuses. In addition, the university operates five teaching hospitals that support clinical teaching programs.

- ***DPH Would Receive \$30 Million for Dental Program.*** Thirty million dollars would be provided to the DPH State Dental Program for the purpose of educating about, preventing, and treating dental disease. The funds shall be used for activities including, but not limited to, education, disease prevention, disease treatment, surveillance, and case management.
- ***DOJ and OAG Would Receive \$30 Million for Local Law Enforcement.*** Thirty million dollars would be provided to the DOJ and the OAG to, in turn, distribute to local law enforcement agencies. The funds would be used to support and hire law enforcement officers for programs including, but not limited to, enforcement of state and local laws related to the illegal sales and marketing of tobacco to minors, increasing investigative activities, and compliance checks to reduce illegal sales of tobacco products to minors and youth tobacco use.
- ***OAG Would Receive \$6 Million to Enforce Tobacco Laws.*** Six million dollars would be provided to the OAG for activities including, but not limited to, enforcing laws that regulate the distribution and sale of cigarettes and other tobacco products.
- ***DPH Would Receive \$6 Million for Tobacco Enforcement Programs.*** Six million dollars would be provided to DPH to support programs, including, but not limited to, providing grants and contracts to local law enforcement agencies to provide training and funding for the enforcement of state and local laws related to the illegal sales of tobacco to minors, increasing investigative activities and compliance checks, and other activities to reduce the illegal sales of tobacco to minors.
- ***BOE Would Receive \$6 Million for Enforcement.*** Six million dollars would be provided to the BOE for enforcement of laws that regulate the distribution and retail sale of cigarettes and other tobacco products. The BOE administers a variety of tax programs, including sales and use taxes, property taxes, and special taxes, such as those on cigarettes and other tobacco products.

***Predetermined Amounts Would Be Adjusted to Reflect Revenues.*** If the BOE determines that there has been a reduction in revenues resulting from a reduction in the consumption of cigarette and tobacco products due to the measure, the predetermined amounts of funding described above would be adjusted proportionately. The BOE would make such determinations annually beginning two years after the measure went into effect.

***Remaining Funds Go to State Health Programs.*** After backfilling for specified revenue losses, paying BOE administrative costs, and distributing predetermined amounts of funding to specified state entities, the following state agencies would receive the remaining funds for health programs:

- ***Medi-Cal in DHCS.*** Eighty-two percent of the remaining funds would be allocated to DHCS to provide funding to increase the level of payment for health care, services,

and treatment provided to Medi-Cal beneficiaries. Examples of health care, services, and treatment would include physician visits, hospital care, and prescription drugs. While this measure requires DHCS to use revenues from this measure to supplement, not supplant, existing state funding for Medi-Cal, it is unclear how this requirement would be interpreted and enforced.

- ***California Tobacco Control Program (CTCP) in DPH.*** About 11 percent of the remaining funds would fund tobacco prevention and control programs administered by CTCP. The DPH administers the CTCP with the aim of reducing illness and death from tobacco-related diseases. The CTCP, with a budget estimated at \$38 million in 2014-15, funds programs aimed at countering pro-tobacco messages, reducing secondhand smoke exposure, reducing access to tobacco products, and increasing smoking cessation services.
- ***California Department of Education (CDE).*** About 2 percent of the remaining funds would be provided to CDE for school programs to prevent and reduce the use of tobacco products by young people. The department administers various education programs, and allocates funding to various types of local education agencies, including county offices of education, school districts, and charter schools. The CDE's budget for tobacco education and prevention programs is estimated at \$16 million for 2014-15, with the funding for these programs coming from Proposition 99.
- ***Tobacco-Related Disease Research Program Administered by UC.*** Five percent of the remaining funds would be allocated to the Tobacco-Related Disease Research Program administered by UC for medical research into prevention, early detection, treatments, and potential cures of all types of cancer, cardiovascular and lung disease, and other tobacco-related diseases. Currently funded with Proposition 99 tobacco tax revenues, this research program supports research on the prevention and treatment of tobacco-related diseases in California by awarding grant funding to researchers at California public, private, and nonprofit entities, such as universities, hospitals, laboratories, local health departments, and managed care organizations.

***Administrative Costs Limited to 5 Percent.*** The measure would limit the amount of revenues raised by the measure that could be used to pay for administrative costs. Entities receiving funds would be allowed to use not more than 5 percent of the funds for administrative costs.

### **Other Major Provisions**

***California State Auditor.*** The California State Auditor would conduct audits of agencies receiving funds from the new taxes at least every other year. The Auditor would receive up to \$400,000 annually to cover costs incurred from conducting these audits. The Auditor provides independent and nonpartisan assessments of the California government's financial and operational activities in compliance with generally accepted government accounting standards.

***Revenues From Measure Would Be Exempt From State Spending Limit.*** The measure would amend the State Constitution to exempt the measure's revenues and spending from the



state's constitutional spending limit. (This constitutional exemption is similar to ones already in place for prior, voter-approved increases in tobacco taxes.)

## FISCAL EFFECTS

This measure would have a number of fiscal effects on state and local governments. The major impacts are discussed below.

### Impacts on State and Local Revenues

***Revenues Would Be Affected by Consumer Response.*** Our revenue estimates assume that the proposed excise tax increases would be passed along to consumers. In other words, we assume that the retail prices of cigarettes, other tobacco products, and e-cigarettes would be raised to include the excise tax increase. We expect consumers to respond to this price increase in two ways: by reducing their consumption of cigarettes, other tobacco products, and e-cigarettes and by changing the way they acquire cigarettes, other tobacco products, and e-cigarettes so that fewer transactions are taxed. For example, consumers could avoid paying the new tax on e-cigarettes by purchasing untaxed e-cigarettes from Internet vendors.

***Revenues From New Excise Taxes.*** We estimate that the new excise taxes on cigarettes and other tobacco products (including e-cigarettes) required by this measure would raise an estimated \$1.3 billion to \$1.6 billion in annual revenue. The range reflects the uncertainty of the magnitude of the consumer response to the proposed tax increase discussed above. Our estimate of the allocation of new excise tax revenues in 2017-18 (the first full-year impact) is shown in Figure 2. After backfilling losses in existing tax revenue (described in more detail below), the new cigarette excise tax would generate an estimated \$1 billion to \$1.4 billion in net revenue in 2017-18 for the purposes described in the measure. (These estimates do not include additional revenue from the provision of the measure that expands the taxpaying base of existing excise taxes to include e-cigarettes, which we discuss below. They also do not include revenue from the one-time floor stock tax.) The excise tax increases would generate somewhat lower amounts of revenue in subsequent years, based on our projections of continued declines in cigarette consumption.

***Effects on Revenues From Existing Excise Taxes.*** The classification of certain e-cigarettes as a tobacco product would expand the set of products subject to the existing excise tax on other tobacco products. As a result, it would generate additional revenue for the Proposition 99 and Proposition 10 purposes described earlier in Figure 1. In 2017-18, excise taxes on e-cigarettes could generate revenue ranging from tens of millions of dollars to over \$100 million for Proposition 99 purposes and an amount in the low-to-mid tens of millions of dollars for Proposition 10 purposes.

The decline in consumption of cigarettes and other tobacco products caused by this measure would reduce revenues from the existing excise taxes that go to support Proposition 99 and Proposition 10 purposes, the General Fund, and the Breast Cancer Fund. The measure provides for the backfill of these losses from revenues raised by the new excise taxes. We estimate that the amount of backfill funding needed to comply with this requirement would range from \$200 million to \$230 million in 2017-18.

**Figure 2****How Estimated Revenue From New Cigarette, Other Tobacco Product, and E-Cigarette Taxes Would Be Allocated<sup>a</sup>***(In Millions)*

	2017-18 Funding <sup>b</sup> (Full Year)	
	Low Estimate <sup>c</sup>	High Estimate <sup>c</sup>
<b>Estimated Revenue From New Excise Taxes</b>	\$1,270	\$1,620
Less backfill for specified revenue losses	230 <sup>d,e</sup>	200 <sup>d,e</sup>
<b>Estimated Net Revenue</b>	<b>\$1,040</b>	<b>\$1,420</b>
<b>Allocation of Estimated Net Revenue</b>		
Board of Equalization—administrative expenses	\$50	\$70
University of California	40	40
Department of Justice and Office of the Attorney General	30	30
Office of the Attorney General	6	6
Department of Public Health	36	36
Board of Equalization—enforcement	6	6
Medi-Cal	710	1,010
Tobacco Control Program	100	140
Department of Education	20	20
University of California Tobacco-Related Disease Program	40	60
Bureau of State Audits	0.4	0.4

<sup>a</sup> Numbers may not add due to rounding.

<sup>b</sup> The estimates do not include revenues from the one-time floor stock tax or new revenues for Proposition 99 and Proposition 10 as a result of expanding the definition of tobacco products to include e-cigarettes for purposes of existing excise taxes.

<sup>c</sup> The consumer response to the proposed tax increases is uncertain, so we present a range of plausible outcomes. The low-revenue estimate reflects a strong consumer response, while the high-revenue estimate reflects a weak consumer response.

<sup>d</sup> LAO estimate. Backfill amounts would be determined by the Board of Equalization.

<sup>e</sup> A strong consumer response would reduce estimated revenues from the new excise taxes but increase the amount needed to backfill for specified revenue losses.

**Effect on State and Local Sales and Use Tax Revenues.** Sales and use taxes are levied on a variety of products, including the retail price of cigarettes, other tobacco products, and e-cigarettes. The retail price usually includes the cost of all excise taxes. The excise tax increases under the measure would raise the retail price of taxable cigarettes, tobacco products, and e-cigarettes, and consumers would respond by buying fewer of those goods. As a result, the effect of the measure's tax increases on sales and use tax revenue from the sale of cigarettes, tobacco products, and e-cigarettes could be positive or negative, depending on the magnitude of the consumer response. For cigarettes and tobacco products, the measure provides for the backfill of sales and use tax revenue losses from revenues raised by the new excise taxes. We estimate this provision is not likely to be used.

**Effects on Excise Tax Collection.** As discussed above, the measure would allocate \$48 million to the DOJ, OAG, DPH, and BOE to support state law enforcement efforts. These funds would be used to support increased enforcement efforts to reduce tax evasion, counterfeiting, smuggling, and the unlicensed sales of cigarettes and other tobacco products. The funds would also be used to support efforts to reduce sales of tobacco products to minors. These activities could bring in more excise tax revenue, but the magnitude of this effect is uncertain.

### **Impact on State and Local Government Health Care Costs**

The state and local governments in California incur costs for providing (1) health care for low-income and uninsured persons and (2) health insurance coverage for state and local government employees and retirees. Consequently, changes in state law such as those made by this measure that affect the health of the general population—and low-income and uninsured persons and public employees in particular—would affect publicly funded health care costs.

For example, as discussed above, this measure would result in a decrease in the consumption of tobacco products as a result of the expected price increase of tobacco products. Further, this measure provides funding for tobacco prevention and cessation programs, and to the extent these programs are effective, this would further decrease consumption of tobacco products. The use of tobacco products has been linked to various adverse health effects by the federal health authorities and numerous scientific studies. Thus, this measure would reduce state and local government health care spending on tobacco-related diseases over the long term. This measure would have other fiscal effects that offset these cost savings. For example, health care and social services that otherwise would not have occurred as a result of individuals who avoid tobacco-related diseases living longer. Further, the impact of a tax on e-cigarettes on health and the associated costs over the long term is unknown, because e-cigarettes are relatively new devices and the health impacts of e-cigarettes are still being studied. Thus, the net long-term fiscal impact of this measure on state and local government costs is unknown.

***Potential Other Effects on State General Fund Resulting From Increases in Health Care Provider Reimbursement.*** As noted above, a portion of the funds from this measure are to be used to increase the level of payment for health care providers that provide services to individuals enrolled in Medi-Cal. Currently, certain types of Medi-Cal providers, such as managed care plans, typically receive rate increases that account for such things as medical inflation and changes in the amount and types of health care services provided to enrollees. These rate increases are partially funded with state General Fund monies. In addition, absent the measure, there may be some pressure for the state to increase payment to other types of Medi-Cal providers to ensure beneficiaries have adequate access to health care services. To the extent funds generated by the measure are used to increase provider payments that would otherwise have been covered by the General Fund, the measure would reduce state General Fund costs. On the other hand, higher provider payments created by the measure could establish an expectation that similar payment levels will be maintained in future years. The funds generated from this measure are expected to decline over time as cigarette consumption decreases and fewer cigarettes are purchased. To the extent the measure would create pressure to maintain the level of provider payments initially achieved by this measure, it could create pressure to use state General Fund monies to backfill the expected decline in funds available from this measure. The net fiscal effect of these two potential impacts of the measure cannot be estimated.

### **Summary of Fiscal Effects**

This measure would have the following major fiscal effects:

- Net increase in excise tax revenues in the range of \$1.1 billion to \$1.6 billion annually by 2017-18, with revenues decreasing slightly in subsequent years. The

majority of funds would be used for payments to health care providers. The remaining funds would be used for a variety of specified purposes, including tobacco-related prevention and cessation programs, law enforcement programs, medical research on tobacco-related diseases, and early childhood development programs.

Sincerely,

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Mac Taylor  
Legislative Analyst

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Michael Cohen  
Director of Finance



Contra  
Costa  
County

To: Board of Supervisors  
From: LEGISLATION COMMITTEE  
Date: August 2, 2016

Subject: Proposition 67 Referendum to Overturn Ban on Single-Use Plastic Bags

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**RECOMMENDATION(S):**

CONSIDER adopting an Support position on Proposition 67: Referendum to Overturn Ban on Single-Use Plastic Bags, which would be a position in favor of upholding or ratifying SB 270, the contested legislation banning single-use plastic bags, as recommended by the Legislation Committee.

**FISCAL IMPACT:**

No direct impact to the County from adopting a position on the initiative.

**BACKGROUND:**

The California Plastic Bag Ban Referendum will be on the November 8, 2016, ballot in California as a veto referendum. Summary: A majority of "no" votes on the referendum would **repeal** SB 270 (Chapter 850, Statutes of 2014), which prohibited certain stores from distributing lightweight, single-use plastic bags. SB 270 established requirements for reusable bags and prohibited stores from distributing reusable bags and recycled paper bags for less than \$0.10 per bag. A "yes" vote on Proposition 67 **is a vote in favor of upholding or ratifying the contested legislation banning plastic bags.**

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☒ APPROVE

☐ OTHER

☐ RECOMMENDATION OF CNTY ADMINISTRATOR

☒ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: L. DeLaney,  
925-335-1097

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

By: , Deputy

cc:

## BACKGROUND: (CONT'D)

### Background

#### Local ordinances

In 2007, San Francisco became the first jurisdiction in California to ban single-use plastic bags. Since then, 108 ordinances banning single-use plastic bags have been approved in the state, covering 137 county or local jurisdictions. Los Angeles, the largest city in California and second largest in the United States, banned single-use plastic bags and placed a 10 cent charge on paper bags. The city's ordinance went into effect on January 1, 2014, for large businesses and on July 1, 2014, for small businesses.

There were initiative attempts to overturn local single-use plastic bag bans in Walnut Creek, Huntington Creek and Campbell, California. All were unsuccessful in their signature drives. In January 2015, however, Huntington Beach's city council voted to repeal the city's bag ban. Councilman Mike Posey, who proposed the repeal, said repealing the ban was about "personal freedom and personal responsibility."

On September 30, 2014, Senate Bill 270 was signed into law by Governor Brown. The law prohibits specified stores from providing a single-use carryout bag to a customer and requires such stores to meet other requirements regarding providing recycled paper bags and compostable bags. The law requires a bag fee and creates a related fund and requires bags sold or provided to a store by a reusable grocery bag producer to meet specified requirements.

#### If the measure is approved by the state's voters, it would:

- Ratify Senate Bill 270 (2014).
- Prohibit large grocery stores and pharmacies from providing plastic single-use carryout bags and ban small grocery stores, convenience stores and liquor stores from doing so the following year.
- Allow single-use plastic bags for meat, bread, produce, bulk food and perishable items.
- Mandate stores to charge 10 cents for recycled, compostable and reusable grocery bags.
- Exempt consumers using a payment card or voucher issued by the California Special Supplemental Food Program from being charged for bags.
- Provide \$2 million to state plastic bag manufacturers for the purpose of helping them retain jobs and transition to making thicker, multi-use, recycled plastic bags.

Supporters of the plastic bag ban argue that the campaign fighting the ban is funded by out-of-state plastic companies who aren't invested in protecting California's environment. They say the ban will help protect the environment without hurting low-income consumers or decreasing job creation.

Critics of California's plastic bag ban primarily argue that the ban infringes on the rights of certain groups, is illustrative of government waste, and is the product of unions and other special interests.

*Pollution.* Although plastic represents a relatively small fraction of the overall waste stream in California, plastic waste is the predominate form of marine debris. Plastics are estimated to comprise 60% to 80% of all marine debris and 90% of all floating debris. According to the California Coastal Commission, the primary source of marine debris is urban runoff, of which lightweight plastic bags and plastic film are particularly susceptible. According to the Department of Resources, Recycling and Recovery (Cal Recycle), a large amount of this plastic is accumulating in waterways and landscapes around the world, including the Pacific Ocean's Gyre (also known as the Great Pacific Garbage Patch). In addition, cities and counties are responsible for reducing storm water pollution to the Maximum Extent Practicable (MEP) and eliminate discharge through a National Pollutant Discharge Elimination System (NPDES). Part of this includes removing trash, including plastic from our storm drains and gutters. Storm water permits are costly and because of Proposition 218, local governments are unable to raise their fees without a vote of the people.

*Legislative Efforts.* SB 270, by Senators Padilla, de León and Lara, was adopted by the Legislature and signed by the Governor in 2014. This bill established a statewide ban on the distribution of single-use plastic grocery bags at most stores. It was passed after several years of efforts, including numerous other legislative attempts and was ultimately supported by environmental groups, grocers, retailers, various local governments and labor. CSAC did not ultimately take a position on SB 270 due to amendments that directed the fee placed on reusable bags to remain with retail establishments rather than dedicated to environmental programs. CSAC did support previous bag ban bills, including AB 2829 (Davis, 2008), AB 68 (Brownley, 2009), AB 87 (Davis, 2009) & AB 158 (Levine, 2013-14). These previous legislative attempts to ban plastic bags would have dedicated proceeds from the sale of reusable bags for environmental mitigation purposes. SB 270 does preempt local governments from passing an ordinance that differs from the statewide ban, while grandfathering in existing ordinances passed prior to September 2014. There currently are over 140 local city and county ordinances banning single-use carry out bags in California.

*Proposition 26.* In November 2010, California voters passed Proposition 26 (Prop 26). Prop 26 redefines regulatory fees as taxes. This means that new regulatory fees must now be treated like taxes and must be approved by a legislative supermajority (at the state level) and a voter supermajority for local measures. In response to Prop 26, local governments have begun to restructure their local bag ordinances by having the proceeds from the charge on paper or reusable bags go to the retailer instead of the government. CSAC supported previous legislative attempts to ban plastic bags before the issue of Prop 26 required either a supermajority vote or proceeds of sales to remain with the retailer.

Specifically, SB 270 does the following:

- Prohibits stores from making single-use carryout bags available at the point of sale on the following timeline: On and after January 1, 2015, at either a grocery store or retailer with at least 10,000 square feet of retail space and a pharmacy.
- On and after July 1, 2016, at a convenience food store and food mart.
- Authorizes a store to make available a reusable grocery bag or recycled paper bag at the point of sale.
- Requires that these bags may not be sold to a consumer for less than \$0.10.
- Requires that all monies collected by stores pursuant to this bill be retained at the store and be used for costs associated with complying with this bill; actual costs of providing recycled paper bags and reusable grocery bags; and costs associated with a store's educational materials or educational campaign encouraging the use of reusable bags.
- Requires a store to provide a reusable bag or recycled paper bag at no charge to any customer using California Special Supplemental Food Program for Women, Infants and Children benefits, CalFresh benefits (federally known as Supplemental Nutrition Assistance Program [SNAP] benefits), California Food Assistance Program benefits, or cash aid benefits.
- Authorizes a city, county, city and county, or the state to impose civil liability of \$1,000 for the first violation of the proposed law, \$2,000 for the second violation, and \$5,000 for each subsequent violation. Collected penalties must be paid to whichever agency brought the action.
- Grandfathers in all local ordinances adopted before September 1, 2014, relating to reusable grocery bags, single-use carryout bags, or recycled paper bags.
- Preempts local ordinances adopted on or after September 1, 2014, relating to reusable grocery bags, single-use carryout bags, or recycled paper bags.
- Appropriated \$2 million from the Recycled Market Development Revolving Loan Subaccount for loans for the creation and retention of jobs and economic activity in the state for the manufacture and recycling of plastic reusable grocery bags that use recycled content.
- Required recipients of a loan to retain and retrain existing employees for the manufacturing of reusable grocery bags that meet the requirements of this bill.

SB 270 does grandfather in local ordinances prior to September 2014.

While CSAC supported previous attempts to ban plastic bags, they do not have specific policy related to the

direction of the fee on reusable bags.

**Support.** The following organizations are the main proponents of upholding the ban on plastic bags:

California League of Conservation Voters (CLCV)

Californians Against Waste (CAW)

Environment California

Heal the Bay

Natural Resources Defense Council (NRDC)

Sierra Club California

Surfrider Foundation

**Opposition.** The American Progressive Bag Alliance, an opponent of the measure, is leading the campaign to repeal SB 270. Other organizations in opposition include the Howard Jarvis Taxpayers Association and the California Manufacturer's and Technology Association.

**CONSEQUENCE OF NEGATIVE ACTION:**

There would be no record of the County's position for the ballot initiative.

**ATTACHMENTS**

Attachment A: Proposition 67: Referendum of SB 270



September 30, 2014

**VIA PERSONAL DELIVERY**

The Honorable Kamala D. Harris.  
Attorney General  
1300 I Street, 17<sup>th</sup> Floor, P.O. Box 944255  
Sacramento, CA 95814

**RECEIVED**

SEP 30 2014

INITIATIVE COORDINATOR  
ATTORNEY GENERAL'S OFFICE

Attention: Ashley Johansson, Initiative Coordinator

Re: Request for Title and Summary for Proposed Referendum

Dear Ms. Harris:

Pursuant to Article II, Section 10(d) of the California Constitution, I hereby submit the attached proposed statewide referendum of all portions of Senate Bill 270 (2013-2014 Regular Session of the California Legislature), except for subdivision (a) of Section 42288 of the Public Resources Code, to your office and request that you prepare a title and summary of the measure as provided by law. Included with this submission is the required proponent affidavit signed by the proponent of this measure pursuant to section 9608 of the California Elections Code. My address as a registered voter is attached to this letter, along with a check for \$200.00.

All inquires or correspondence relative to this initiative should be directed to Nielsen, Merksamer, Parrinello, Gross & Leoni, LLP, 1415 L Street, Suite 1200, Sacramento, CA 95814, (916) 446-6752, Attention: Kurt Oneto

Thank you for your assistance.

Sincerely,



Doyle L. Johnson, Proponent

Enclosure: Proposed Referendum Statute

**REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE**  
**NOTICE: CHAPTER 850, STATUTES OF 2014 (SB 270), IS BEING SUBMITTED FOR APPROVAL**  
**OR REJECTION BY THE VOTERS IN ITS ENTIRETY, EXCEPT FOR PUBLIC RESOURCES CODE §**  
**42288, SUBD. (a), AS INDICATED IN BOLD, ITALICIZED, 8-POINT TYPE BELOW**

CHAPTER 850

An act to add Chapter 5.3 (commencing with Section 42280) to Part 3 of Division 30 of the Public Resources Code, relating to solid waste, and making an appropriation therefor.

LEGISLATIVE COUNSEL'S DIGEST

SB 270, Padilla. Solid waste: single-use carryout bags.

(1) Existing law, until 2020, requires an operator of a store, as defined, to establish an at-store recycling program that provides to customers the opportunity to return clean plastic carryout bags to that store.

This bill, as of July 1, 2015, would prohibit stores that have a specified amount of sales in dollars or retail floor space from providing a single-use carryout bag to a customer, with specified exceptions. The bill would also prohibit those stores from selling or distributing a recycled paper bag at the point of sale unless the store makes that bag available for purchase for not less than \$0.10. The bill would also allow those stores, on or after July 1, 2015, to distribute compostable bags at the point of sale only in jurisdictions that meet specified requirements and at a cost of not less than \$0.10. The bill would require these stores to meet other specified requirements on and after July 1, 2015, regarding providing reusable grocery bags to customers, including distributing those bags only at a cost of not less than \$0.10. The bill would require all moneys collected pursuant to these provisions to be retained by the store and be used only for specified purposes.

The bill, on and after July 1, 2016, would additionally impose these prohibitions and requirements on convenience food stores, foodmarts, and entities engaged in the sale of a limited line of goods, or goods intended to be consumed off premises, and that hold a specified license with regard to alcoholic beverages.

The bill would allow a retail establishment to voluntarily comply with these requirements, if the retail establishment provides the department with irrevocable written notice. The bill would require the department to post on its Internet Web site, organized by county, the name and physical location of each retail establishment that has elected to comply with these requirements.

## **REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE**

The bill would require the operator of a store that has a specified amount of sales in dollars or retail floor space and a retail establishment that voluntarily complies with the requirements of this bill to comply with the existing at-store recycling program requirements.

The bill would require, on and after July 1, 2015, a reusable grocery bag sold by certain stores to a customer at the point of sale to be made by a certified reusable grocery bag producer and to meet specified requirements with regard to the bag's durability, material, labeling, heavy metal content, and, with regard to reusable grocery bags made from plastic film on and after January 1, 2016, recycled material content. The bill would impose these requirements as of July 1, 2016, on the stores that are otherwise subject to the bill's requirements.

The bill would prohibit a producer of reusable grocery bags made from plastic film from selling or distributing those bags on and after July 1, 2015, unless the producer is certified by a 3rd-party certification entity, as specified. The bill would require a reusable grocery bag producer to provide proof of certification to the department. The bill would require the department to provide a system to receive proofs of certification online.

The department would be required to publish on its Internet Web site a list of reusable grocery bag producers that have submitted the required certification and their reusable grocery bags. The bill would require the department to establish an administrative certification fee schedule, which would require a reusable grocery bag producer providing proof to the department of certification or recertification to pay a fee. The bill would require that all moneys submitted to the department pursuant to these fee provisions be deposited into the Reusable Grocery Bag Fund, which would be established by the bill, and continuously appropriated for purposes of implementing these proof of certification and Internet Web site provisions, thereby making an appropriation. The bill would also require a reusable grocery bag producer to submit applicable certified test results to the department. The bill would authorize a person to object to a certification of a reusable grocery bag producer by filing an action for review of that certification in the superior court of a county that has jurisdiction over the reusable grocery bag producer. The bill would require the court to determine if the reusable grocery bag producer is in compliance with the

## **REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE**

provisions of the bill and, based on the court's determination, would require the court to direct the department to either remove or retain the reusable grocery bag producer on its published Internet Web site list.

The bill would allow a city, county, or city and county, or the state to impose civil penalties on a person or entity that knows or reasonably should have known it is in violation of the bill's requirements. The bill would require these civil penalties to be paid to the office of the city attorney, city prosecutor, district attorney, or Attorney General, whichever office brought the action, and would allow the penalties collected by the Attorney General to be expended by the Attorney General, upon appropriation by the Legislature, to enforce the bill's provisions.

The bill would declare that it occupies the whole field of the regulation of reusable grocery bags, single-use carryout bags, and recycled paper bags provided by a store and would prohibit a local public agency from enforcing or implementing an ordinance, resolution, regulation, or rule, or any amendment thereto, adopted on or after September 1, 2014, relating to those bags, against a store, except as provided.

(2) The California Integrated Waste Management Act of 1989 creates the Recycling Market Development Revolving Loan Subaccount in the Integrated Waste Management Account and continuously appropriates the funds deposited in the subaccount to the department for making loans for the purposes of the Recycling Market Development Revolving Loan Program. Existing law makes the provisions regarding the loan program, the creation of the subaccount, and expenditures from the subaccount inoperative on July 1, 2021, and repeals them as of January 1, 2022.

This bill would appropriate \$2,000,000 from the Recycling Market Development Revolving Loan Subaccount in the Integrated Waste Management Account to the department for the purposes of providing loans for the creation and retention of jobs and economic activity in California for the manufacture and recycling of plastic reusable grocery bags that use recycled content. The bill would require a recipient of a loan to agree, as a condition of receiving the loan, to take specified actions.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

(3) The bill would require the department, no later than March 1, 2018, to provide a status report to the Legislature on the implementation of the bill's provisions.

Appropriation: yes.

*The people of the State of California do enact as follows:*

SECTION 1. Chapter 5.3 (commencing with Section 42280) is added to Part 3 of Division 30 of the Public Resources Code, to read:

### CHAPTER 5.3. SINGLE-USE CARRYOUT BAGS

#### Article 1. Definitions

42280. (a) "Department" means the Department of Resources Recycling and Recovery.

(b) "Postconsumer recycled material" means a material that would otherwise be destined for solid waste disposal, having completed its intended end use and product life cycle. Postconsumer recycled material does not include materials and byproducts generated from, and commonly reused within, an original manufacturing and fabrication process.

(c) "Recycled paper bag" means a paper carryout bag provided by a store to a customer at the point of sale that meets all of the following requirements:

(1) (A) Except as provided in subparagraph (B), contains a minimum of 40 percent postconsumer recycled materials.

(B) An eight pound or smaller recycled paper bag shall contain a minimum of 20 percent postconsumer recycled material.

(2) Is accepted for recycling in curbside programs in a majority of households that have access to curbside recycling programs in the state.

(3) Has printed on the bag the name of the manufacturer, the country where the bag was manufactured, and the minimum percentage of postconsumer content.

(d) "Reusable grocery bag" means a bag that is provided by a store to a customer at the point of sale that meets the requirements of Section 42281.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

(e) (1) "Reusable grocery bag producer" means a person or entity that does any of the following:

(A) Manufactures reusable grocery bags for sale or distribution to a store.

(B) Imports reusable grocery bags into this state, for sale or distribution to a store.

(C) Sells or distributes reusable bags to a store.

(2) "Reusable grocery bag producer" does not include a store, with regard to a reusable grocery bag for which there is a manufacturer or importer, as specified in subparagraph (A) or (B) of paragraph (1).

(f) (1) "Single-use carryout bag" means a bag made of plastic, paper, or other material that is provided by a store to a customer at the point of sale and that is not a recycled paper bag or a reusable grocery bag that meets the requirements of Section 42281.

(2) A single-use carryout bag does not include either of the following:

(A) A bag provided by a pharmacy pursuant to Chapter 9 (commencing with Section 4000) of Division 2 of the Business and Professions Code to a customer purchasing a prescription medication.

(B) A nonhandled bag used to protect a purchased item from damaging or contaminating other purchased items when placed in a recycled paper bag, a reusable grocery bag, or a compostable plastic bag.

(C) A bag provided to contain an unwrapped food item.

(D) A nonhandled bag that is designed to be placed over articles of clothing on a hanger.

(g) "Store" means a retail establishment that meets any of the following requirements:

(1) A full-line, self-service retail store with gross annual sales of two million dollars (\$2,000,000) or more that sells a line of dry groceries, canned goods, or nonfood items, and some perishable items.

(2) Has at least 10,000 square feet of retail space that generates sales or use tax pursuant to the Bradley-Burns Uniform Local Sales and Use Tax Law (Part 1.5 (commencing with Section 7200) of Division 2 of the Revenue and Taxation Code) and has a pharmacy licensed pursuant to Chapter 9 (commencing with Section 4000) of Division 2 of the Business and Professions Code.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

(3) Is a convenience food store, foodmart, or other entity that is engaged in the retail sale of a limited line of goods, generally including milk, bread, soda, and snack foods, and that holds a Type 20 or Type 21 license issued by the Department of Alcoholic Beverage Control.

(4) Is a convenience food store, foodmart, or other entity that is engaged in the retail sale of goods intended to be consumed off the premises, and that holds a Type 20 or Type 21 license issued by the Department of Alcoholic Beverage Control.

(5) Is not otherwise subject to paragraph (1), (2), (3), or (4), if the retail establishment voluntarily agrees to comply with the requirements imposed upon a store pursuant to this chapter, irrevocably notifies the department of its intent to comply with the requirements imposed upon a store pursuant to this chapter, and complies with the requirements established pursuant to Section 42284.

### Article 2. Reusable Grocery Bags

42281. (a) On and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, may sell or distribute a reusable grocery bag to a customer at the point of sale only if the reusable bag is made by a producer certified pursuant to this article to meet all of the following requirements:

(1) Has a handle and is designed for at least 125 uses, as provided in this article.

(2) Has a volume capacity of at least 15 liters.

(3) Is machine washable or made from a material that can be cleaned and disinfected.

(4) Has printed on the bag, or on a tag attached to the bag that is not intended to be removed, and in a manner visible to the consumer, all of the following information:

(A) The name of the manufacturer.

(B) The country where the bag was manufactured.

(C) A statement that the bag is a reusable bag and designed for at least 125 uses.

(D) If the bag is eligible for recycling in the state, instructions to return the bag to the store for recycling or to another appropriate recycling location. If recyclable in the state, the bag shall include the chasing arrows recycling symbol or the term "recyclable,"

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

consistent with the Federal Trade Commission guidelines use of that term, as updated.

(5) Does not contain lead, cadmium, or any other toxic material that may pose a threat to public health. A reusable bag manufacturer may demonstrate compliance with this requirement by obtaining a no objection letter from the federal Food and Drug Administration. This requirement shall not affect any authority of the Department of Toxic Substances Control pursuant to Article 14 (commencing with Section 25251) of Chapter 6.5 of Division 20 of the Health and Safety Code and, notwithstanding subdivision (c) of Section 25257.1 of the Health and Safety Code, the reusable grocery bag shall not be considered as a product category already regulated or subject to regulation.

(6) Complies with Section 260.12 of Part 260 of Title 16 of the Code of Federal Regulations related to recyclable claims if the reusable grocery bag producer makes a claim that the reusable grocery bag is recyclable.

(b) (1) In addition to the requirements in subdivision (a), a reusable grocery bag made from plastic film shall meet all of the following requirements:

(A) On and after January 1, 2016, it shall be made from a minimum of 20 percent postconsumer recycled material.

(B) On and after January 1, 2020, it shall be made from a minimum of 40 percent postconsumer recycled material.

(C) It shall be recyclable in this state, and accepted for return at stores subject to the at-store recycling program (Chapter 5.1 (commencing with Section 42250)) for recycling.

(D) It shall have, in addition to the information required to be printed on the bag or on a tag, pursuant to paragraph (4) of subdivision (a), a statement that the bag is made partly or wholly from postconsumer recycled material and stating the postconsumer recycled material content percentage, as applicable.

(E) It shall be capable of carrying 22 pounds over a distance of 175 feet for a minimum of 125 uses and be at least 2.25 mils thick, measured according to the American Society of Testing and Materials (ASTM) Standard D6988-13.

(2) A reusable grocery bag made from plastic film that meets the specifications of the American Society of Testing and Materials (ASTM) International Standard Specification for Compostable Plastics D6400, as updated, is not required to meet the requirements



## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

of subparagraph (A) or (B) of paragraph (1), but shall be labeled in accordance with the applicable state law regarding compostable plastics.

(c) In addition to the requirements of subdivision (a), a reusable grocery bag that is not made of plastic film and that is made from any other natural or synthetic fabric, including, but not limited to, woven or nonwoven nylon, polypropylene, polyethylene-terephthalate, or Tyvek, shall satisfy all of the following:

(1) It shall be sewn.

(2) It shall be capable of carrying 22 pounds over a distance of 175 feet for a minimum of 125 uses.

(3) It shall have a minimum fabric weight of at least 80 grams per square meter.

(d) On and after July 1, 2016, a store as defined in paragraph (3), (4), or (5) of subdivision (g) of Section 42280, shall comply with the requirements of this section.

42281.5. On and after July 1, 2015, a producer of reusable grocery bags made from plastic film shall not sell or distribute a reusable grocery bag in this state unless the producer is certified by a third-party certification entity pursuant to Section 42282. A producer shall provide proof of certification to the department demonstrating that the reusable grocery bags produced by the producer comply with the provisions of this article. The proof of certification shall include all of the following:

(a) Names, locations, and contact information of all sources of postconsumer recycled material and suppliers of postconsumer recycled material.

(b) Quantity and dates of postconsumer recycled material purchases by the reusable grocery bag producer.

(c) How the postconsumer recycled material is obtained.

(d) Information demonstrating that the postconsumer recycled material is cleaned using appropriate washing equipment.

42282. (a) Commencing on or before July 1, 2015, the department shall accept from a reusable grocery bag producer proof of certification conducted by a third-party certification entity, submitted under penalty of perjury, for each type of reusable grocery bag that is manufactured, imported, sold, or distributed in the state and provided to a store for sale or distribution, at the point of sale, that meets all the applicable requirements of this article.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

The proof of certification shall be accompanied by a certification fee, established pursuant to Section 42282.1.

(b) A reusable grocery bag producer shall resubmit to the department proof of certification as described in subdivision (a) on a biennial basis. A reusable grocery bag producer shall provide the department with an updated proof of certification conducted by a third-party certification entity if any modification that is not solely aesthetic is made to a previously certified reusable bag. Failure to comply with this subdivision shall result in removal of the relevant information posted on the department's Internet Web site pursuant to paragraphs (1) and (2) of subdivision (e) for each reusable bag that lacks an updated proof of certification conducted by a third-party certification entity.

(c) A third-party certification entity shall be an independent, accredited (ISO/IEC 17025) laboratory. A third-party certification entity shall certify that the producer's reusable grocery bags meet the requirements of Section 44281.

(d) The department shall provide a system to receive proofs of certification online.

(e) On and after July 1, 2015, the department shall publish a list on its Internet Web site that includes all of the following:

(1) The name, location, and appropriate contact information of certified reusable grocery bag producers.

(2) The reusable grocery bags of producers that have provided the required certification.

(f) A reusable grocery bag producer shall submit applicable certified test results to the department confirming that the reusable grocery bag meets the requirements of this article for each type of reusable grocery bag that is manufactured, imported, sold, or distributed in the state and provided to a store for sale or distribution.

(1) A person may object to the certification of a reusable grocery bag producer pursuant to this section by filing an action for review of that certification in the superior court of a county that has jurisdiction over the reusable grocery bag producer. The court shall determine if the reusable grocery bag producer is in compliance with the requirements of this article.

(2) A reusable grocery bag producer whose certification is being objected to pursuant to paragraph (1) shall be deemed in compliance with this article pending a determination by the court.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

(3) Based on its determination, the court shall direct the department to remove the reusable grocery bag producer from, or retain the reusable grocery bag producer on, its list published pursuant to subdivision (e).

(4) If the court directs the department to remove a reusable grocery bag producer from its published list, the reusable grocery bag producer shall remain off of the published list for a period of one year from the date of the court's determination.

42282.1. (a) A reusable grocery bag producer shall submit the fee established pursuant to subdivision (b) to the department when providing proof of certification or recertification pursuant to Sections 42281.5 and 42282.

(b) The department shall establish an administrative certification fee schedule that will generate fee revenues sufficient to cover, but not exceed, the department's reasonable costs to implement this article. The department shall deposit all moneys submitted pursuant to this section into the Reusable Grocery Bag Fund, which is hereby established in the State Treasury. Notwithstanding Section 11340 of the Government Code, moneys in the fund are continuously appropriated, without regard to fiscal year, to the department for the purpose of implementing this article.

### Article 3. Single-Use Carryout Bags

42283. (a) Except as provided in subdivision (e), on and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, shall not provide a single-use carryout bag to a customer at the point of sale.

(b) (1) On and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, shall not sell or distribute a reusable grocery bag at the point of sale except as provided in this subdivision.

(2) On and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, may make available for purchase at the point of sale a reusable grocery bag that meets the requirements of Section 42281.

(3) On and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, that makes reusable grocery bags available for purchase pursuant to paragraph (2) shall not sell the reusable grocery bag for less than ten cents (\$0.10) in

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

order to ensure that the cost of providing a reusable grocery bag is not subsidized by a customer who does not require that bag.

(c) (1) On and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, shall not sell or distribute a recycled paper bag except as provided in this subdivision.

(2) A store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, may make available for purchase a recycled paper bag. On and after July 1, 2015, the store shall not sell a recycled paper bag for less than ten cents (\$0.10) in order to ensure that the cost of providing a recycled paper bag is not subsidized by a consumer who does not require that bag.

(d) Notwithstanding any other law, on and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, that makes reusable grocery bags or recycled paper bags available for purchase at the point of sale shall provide a reusable grocery bag or a recycled paper bag at no cost at the point of sale to a customer using a payment card or voucher issued by the California Special Supplemental Food Program for Women, Infants, and Children pursuant to Article 2 (commencing with Section 123275) of Chapter 1 of Part 2 of Division 106 of the Health and Safety Code or an electronic benefit transfer card issued pursuant to Section 10072 of the Welfare and Institutions Code.

(e) On and after July 1, 2015, a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, may distribute a compostable bag at the point of sale, if the compostable bag is provided to the consumer at the cost specified pursuant to paragraph (2), the compostable bag, at a minimum, meets the American Society for Testing and Materials (ASTM) International Standard Specification for Compostable Plastics D6400, as updated, and in the jurisdiction where the compostable bag is sold and in the jurisdiction where the store is located, both of the following requirements are met:

(1) A majority of the residential households in the jurisdiction have access to curbside collection of foodwaste for composting.

(2) The governing authority for the jurisdiction has voted to allow stores in the jurisdiction to sell to consumers at the point of sale a compostable bag at a cost not less than the actual cost of the bag, which the Legislature hereby finds to be not less than ten cents (\$0.10) per bag.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

(f) A store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280, shall not require a customer to use, purchase, or accept a single-use carryout bag, recycled paper bag, compostable bag, or reusable grocery bag as a condition of sale of any product.

42283.5. On and after July 1, 2016, a store, as defined in paragraph (3), (4), or (5) of subdivision (g) of Section 42280, shall comply with the same requirements of Section 42283 that are imposed upon a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280.

42283.6. (a) The operator of a store, as defined in paragraph (1) or (2) of subdivision (g) of Section 42280 that makes recycled paper or reusable grocery bags available at the point of sale, shall be subject to the provisions of the at-store recycling program (Chapter 5.1 (commencing with Section 42250)).

(b) A store that voluntarily agrees to comply with the provisions of this article pursuant to subdivision (g) of Section 42280, shall also comply with the provisions of the at-store recycling program (Chapter 5.1 (commencing with Section 42250)).

42283.7. All moneys collected pursuant to this article shall be retained by the store and may be used only for the following purposes:

(a) Costs associated with complying with the requirements of this article.

(b) Actual costs of providing recycled paper bags or reusable grocery bags.

(c) Costs associated with a store's educational materials or educational campaign encouraging the use of reusable grocery bags.

42284. (a) A retail establishment not specifically required to comply with the requirements of this chapter is encouraged to reduce its distribution of single-use plastic carryout bags.

(b) Pursuant to the provisions of subdivision (g) of Section 42280, any retail establishment that is not a "store," that provides the department with the irrevocable written notice as specified in subdivision (c), shall be regulated as a "store" for the purposes of this chapter.

(c) The irrevocable written notice shall be dated and signed by an authorized representative of the retail establishment, and shall include the name and physical address of all retail locations covered

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

by the notice. The department shall acknowledge receipt of the notice in writing and shall specify the date the retail establishment will be regulated as a "store," which shall not be less than 30 days after the date of the department's acknowledgment. The department shall post on its Internet Web site, organized by county, the name and physical location or locations of each retail establishment that has elected to be regulated as a "store."

### Article 4. Enforcement

42285. (a) A city, a county, a city and county, or the state may impose civil liability on a person or entity that knowingly violated this chapter, or reasonably should have known that it violated this chapter, in the amount of one thousand dollars (\$1,000) per day for the first violation of this chapter, two thousand dollars (\$2,000) per day for the second violation, and five thousand dollars (\$5,000) per day for the third and subsequent violations.

(b) Any civil penalties collected pursuant to subdivision (a) shall be paid to the office of the city attorney, city prosecutor, district attorney, or Attorney General, whichever office brought the action. The penalties collected pursuant to this section by the Attorney General may be expended by the Attorney General, upon appropriation by the Legislature, to enforce this chapter.

### Article 5. Preemption

42287. (a) Except as provided in subdivision (c), this chapter is a matter of statewide interest and concern and is applicable uniformly throughout the state. Accordingly, this chapter occupies the whole field of regulation of reusable grocery bags, single-use carryout bags, and recycled paper bags, as defined in this chapter, provided by a store, as defined in this chapter.

(b) On and after January 1, 2015, a city, county, or other local public agency shall not enforce, or otherwise implement, an ordinance, resolution, regulation, or rule, or any amendment thereto, adopted on or after September 1, 2014, relating to reusable grocery bags, single-use carryout bags, or recycled paper bags, against a store, as defined in this chapter, unless expressly authorized by this chapter.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

(c) (1) A city, county, or other local public agency that has adopted, before September 1, 2014, an ordinance, resolution, regulation, or rule relating to reusable grocery bags, single-use carryout bags, or recycled paper bags may continue to enforce and implement that ordinance, resolution, regulation, or rule that was in effect before that date. Any amendments to that ordinance, resolution, regulation, or rule on or after January 1, 2015, shall be subject to subdivision (b), except the city, county, or other local public agency may adopt or amend an ordinance, resolution, regulation, or rule to increase the amount that a store shall charge with regard to a recycled paper bag, compostable bag, or reusable grocery bag to no less than the amount specified in Section 42283.

(2) A city, county, or other local public agency not covered by paragraph (1) that, before September 1, 2014, has passed a first reading of an ordinance or resolution expressing the intent to restrict single-use carryout bags and, before January 1, 2015, adopts an ordinance to restrict single-use carryout bags, may continue to enforce and implement the ordinance that was in effect before January 1, 2015.

### Article 6. Financial Provisions

*42288. (a) Notwithstanding Section 42023.2, the sum of two million dollars (\$2,000,000) is hereby appropriated from the Recycling Market Development Revolving Loan Subaccount in the Integrated Waste Management Account to the department for the purposes of providing loans for the creation and retention of jobs and economic activity in this state for the manufacture and recycling of plastic reusable grocery bags that use recycled content, including postconsumer recycled material.*

**NOT SUBJECT  
TO  
REFERENDUM**

(b) The department may expend, if there are applicants eligible for funding from the Recycling Market Development Revolving Loan Subaccount, the funds appropriated pursuant to this section to provide loans for both of the following:

(1) Development and conversion of machinery and facilities for the manufacture of single-use plastic bags into machinery and facilities for the manufacturer of durable reusable grocery bags that, at a minimum, meet the requirements of Section 42281.

## REFERENDUM AGAINST AN ACT PASSED BY THE LEGISLATURE

(2) Development of equipment for the manufacture of reusable grocery bags, that, at a minimum, meet the requirements of Section 42281.

(c) A recipient of a loan authorized by this section shall agree, as a condition of receiving the loan, to retain and retrain existing employees for the manufacturing of reusable grocery bags that, at a minimum, meet the requirements of Section 42281.

(d) Any moneys appropriated pursuant to this section not expended by the end of the 2015–16 fiscal year shall revert to the Recycling Market Development Revolving Loan Subaccount for expenditure pursuant to Article 3 (commencing with Section 42010) of Chapter 1.

(e) Applicants for funding under this section may also apply for funding or benefits from other economic development programs for which they may be eligible, including, but not limited to, both of the following:

(1) An income tax credit, as described in Sections 17059.2 and 23689 of the Revenue and Taxation Code.

(2) A tax exemption pursuant to Section 6377.1 of the Revenue and Taxation Code.

SEC. 2. No later than March 1, 2018, the department, as a part of its reporting requirement pursuant to Section 40507 of the Public Resources Code, shall provide a status report on the implementation of Chapter 5.3 (commencing with Section 42280) of Part 3 of Division 30 of the Public Resources Code.





Contra  
Costa  
County

To: Board of Supervisors  
From: LEGISLATION COMMITTEE  
Date: August 2, 2016

Subject: Support Proposition 54 Legislative Proceedings Initiative

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**RECOMMENDATION(S):**

CONSIDER adopting a Support position on Proposition 54 Legislative Proceedings Initiative, which seeks to prohibit the Legislature from passing any bill unless it has been in print and published on the Internet for at least 72 hours before the vote, except in cases of public emergency, as recommended by the Legislation Committee.

**FISCAL IMPACT:**

No direct impact to the County from supporting the initiative. However, if implemented, the measure would increase costs to state government of potentially \$1 million to \$2 million initially and about \$1 million annually for making additional legislative proceedings available in audiovisual form on the Internet.

**BACKGROUND:**

**Background**

**Legislative Rules.** The State Legislature has two houses: the State Assembly and the State Senate. The California Constitution governs the various ways in which the Legislature can pass bills. It does not include a requirement on the amount of time a bill needs to be available on the Internet before a vote by either house.

---

☒ APPROVE

☐ OTHER

☐ RECOMMENDATION OF CNTY ADMINISTRATOR

☒ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: L. DeLaney,  
925-335-1097

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

By: , Deputy

cc:

## BACKGROUND: (CONT'D)

**Public Proceedings.** The Constitution requires the proceedings of each house to be open and public, with some exceptions. These public proceedings include floor sessions and committee hearings, some of which occur outside of the State Capitol. Both the Senate and Assembly make audio or audiovisual recordings of most, but not all, of these proceedings available to the public online. The legislative branch spends around \$1 million annually on these activities. Current law prohibits Assembly recordings from being used for political and commercial purposes.

**Legislature's Budget.** Proposition 140 (1990) established a cap on annual spending by the Legislature. The cap is adjusted each year for changes in per capita personal income and population.

## Proposal

The measure makes three changes to Legislative rules and responsibilities.

- First, the measure requires the Legislature to ensure audiovisual recordings of all public proceedings are publicly accessible on the Internet within 24 hours and archived for at least 20 years thereafter.
- Second, the measure prohibits the Legislature from voting on a bill until it has been published online in its final form for at least 72 hours. This prohibition includes exceptions for emergencies, such as natural disasters.
- Third, the measure allows the recordings of public proceedings to be used for any legitimate purpose.

## Fiscal Effects

The measure's primary fiscal impact relates to the requirement that the Legislature provide audiovisual recordings of all proceedings. The amount of added costs would depend on how the Legislature implemented the measure. The state, however, could face: (1) one-time costs of \$1 million to \$2 million to purchase cameras and other equipment and (2) ongoing costs of about \$1 million annually for additional staff and storage for an archive of the recordings. The Legislature's costs of complying with the measure would come out of their annual spending allocation.

**Summary of Fiscal Effects.** The measure would have the following fiscal effect: Increased costs to state government of potentially \$1 million to \$2 million initially and about \$1 million annually for making additional legislative proceedings available in audiovisual form on the Internet.

See Attachment A for the full text of the measure and Attachment B for the full report by the Legislative Analyst's Office.

## CONSEQUENCE OF NEGATIVE ACTION:

There would be no record of the County's support for the ballot initiative.

## ATTACHMENTS

Attachment A: Proposition 54 Legislative Proceedings Initiative

Attachment B: Legislative Analyst's Office report

Attachment A

## Hold Politicians Accountable

November 16, 2015

Initiative Coordinator  
Office of the Attorney General  
State of California  
PO Box 994255  
Sacramento, CA 94244-25550

**RECEIVED**

NOV 16 2015

INITIATIVE COORDINATOR  
ATTORNEY GENERAL'S OFFICE

Re: Amendments: Proposed Initiative 15-0083

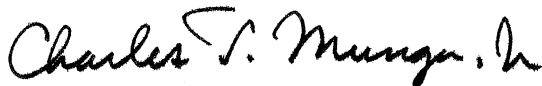
Dear Initiative Coordinator:

In accordance with subdivision (b) of Section 9002 of the Elections Code and in connection with the proposed statewide ballot measure ("California Legislature Transparency Act") filed with your office on October 12, 2015, the undersigned proponents submit the enclosed amended text.

Please proceed to prepare the Circulating Title and Summary, in light of these amendments.

Thank you for your time and attention to this important matter.

SUBMITTED BY:



CHARLES T. MUNGER, JR.

SAM BLAKESLEE

Enclosures

# Hold Politicians Accountable

November 16, 2015

Initiative Coordinator  
Office of the Attorney General  
State of California  
PO Box 994255  
Sacramento, CA 94244-25550

Re: Amendments: Proposed Initiative 15-0083

Dear Initiative Coordinator:

In accordance with subdivision (b) of Section 9002 of the Elections Code and in connection with the proposed statewide ballot measure ("California Legislature Transparency Act") filed with your office on October 12, 2015, the undersigned proponents submit the enclosed amended text.

Please proceed to prepare the Circulating Title and Summary, in light of these amendments.

Thank you for your time and attention to this important matter.

SUBMITTED BY:

CHARLES T. MUNGER, JR.

A handwritten signature in black ink, appearing to read 'Sam Blakeslee', with a long horizontal stroke extending to the right.

SAM BLAKESLEE

Enclosures

Initiative Measure to Be Submitted Directly to the Voters

**SECTION 1. Title.**

This act shall be known and may be cited as the California Legislature Transparency Act.

**SECTION 2. Findings and Declarations.**

The People of the State of California hereby find and declare that:

- a. It is essential to the maintenance of a democratic society that public business be performed in an open and public manner, and highly desirable that citizens be given the opportunity to fully review every bill and express their views regarding the bill's merits to their elected representatives, before it is passed.
- b. However, last-minute amendments to bills are frequently used to push through political favors without comment or with little advance notice.
- c. Moreover, complex bills are often passed before members of the Legislature have any realistic opportunity to review or debate them, resulting in ill-considered legislation.
- d. Further, although our Constitution currently provides that the proceedings of each house and the committees thereof shall be open and public, few citizens have the ability to attend legislative proceedings in person, and many legislative proceedings go completely unobserved by the public and press, often leaving no record of what was said.
- e. Yet, with the availability of modern recording technology and the Internet, there is no reason why public legislative proceedings should remain relatively inaccessible to the citizens that they serve.
- f. Accordingly, to foster disclosure, deliberation, debate, and decorum in our legislative proceedings, to keep our citizens fully informed, and to ensure that legislative proceedings are conducted fairly and openly, our Constitution should guarantee the right of all persons, including members of the press, to freely record legislative proceedings and to broadcast, post, or otherwise transmit those recordings.
- g. To supplement this right to record legislative proceedings, the Legislature itself should also be required to make and post audiovisual recordings of *all* public proceedings to the Internet *and* to maintain an archive of these recordings, which will be a valuable resource for the public, the press, and the academic community for generations to come.
- h. California should also follow the lead of other states that require a 72-hour advance notice period between the time a bill is printed and made available to the public and the time it is put to a vote, allowing an exception only in the case of a true emergency, such as a natural disaster.
- i. The opportunity for an orderly and detailed review of bills by the public, the press, and legislators will result in better bills while thwarting political favoritism and power grabs.
- j. These measures will have nominal cost to taxpayers, while promoting greater transparency in our legislative proceedings to benefit the People.

**SECTION 3. Statement of Purpose.**

In enacting this measure, the People of the State of California intend the following:

- a. To enable we, the People, to observe through the Internet what is happening and has happened in any and all of the Legislature's public proceedings so as to obtain the information necessary to participate in the political process and to hold our elected representatives accountable for their actions.

- b. To enable we, the People, to record and to post or otherwise transmit our own recordings of those legislative proceedings in order to encourage fairness in the proceedings, deliberation in our representatives' decision-making, and accountability.
- c. To give us, the People, and our representatives the necessary time to carefully evaluate the strengths and weaknesses of the final version of a bill before a vote by imposing a 72-hour public notice period between the time that the final version is made available to the Legislature and the public, and the time that a vote is taken, except in cases of a true emergency declared by the Governor.

#### **SECTION 4. Amendments to Article IV of the California Constitution.**

Section 4.1. Section 7 of Article IV of the Constitution is amended to read:

SEC. 7. (a) Each house shall choose its officers and adopt rules for its proceedings. A majority of the membership constitutes a quorum, but a smaller number may recess from day to day and compel the attendance of absent members.

(b) Each house shall keep and publish a journal of its proceedings. The rollcall vote of the members on a question shall be taken and entered in the journal at the request of 3 members present.

(c) (1) Except as provided in paragraph (3), the proceedings of each house and the committees thereof shall be open and public. The right to attend open and public proceedings includes the right of any person to record by audio or video means any and all parts of the proceedings and to broadcast or otherwise transmit them; provided that the Legislature may adopt reasonable rules pursuant to paragraph (5) regulating the placement and use of the equipment for recording or broadcasting the proceedings for the sole purpose of minimizing disruption of the proceedings. Any aggrieved party shall have standing to challenge said rules in an action for declaratory and injunctive relief, and the Legislature shall have the burden of demonstrating that the rule is reasonable.

(2) Commencing on January 1 of the second calendar year following the adoption of this paragraph, the Legislature shall also cause audiovisual recordings to be made of all proceedings subject to paragraph (1) in their entirety, shall make such recordings public through the Internet within 24 hours after the proceedings have been recessed or adjourned for the day, and shall maintain an archive of said recordings, which shall be accessible to the public through the Internet and downloadable for a period of no less than 20 years as specified by statute.

(3) Notwithstanding paragraphs (1) and (2) However, closed sessions may be held solely for any of the following purposes:

(A) To consider the appointment, employment, evaluation of performance, or dismissal of a public officer or employee, to consider or hear complaints or charges brought against a Member of the Legislature or other public officer or employee, or to establish the classification or compensation of an employee of the Legislature.

(B) To consider matters affecting the safety and security of Members of the Legislature or its employees or the safety and security of any buildings and grounds used by the Legislature.

(C) To confer with, or receive advice from, its legal counsel regarding pending or reasonably anticipated, or whether to initiate, litigation when discussion in open session would not protect the interests of the house or committee regarding the litigation.

(42) A caucus of the Members of the Senate, the Members of the Assembly, or the Members of both houses, which is composed of the members of the same political party, may meet in closed session.

(53) The Legislature shall implement this subdivision by concurrent resolution adopted by rollcall vote entered in the journal, two-thirds of the membership of each house concurring, or by statute, and ~~shall prescribe that, when~~ in the case of a closed session is held pursuant to paragraph (31), ~~shall prescribe that~~ reasonable notice of the closed session and the purpose of the closed session shall be provided to the public. If there is a conflict between a concurrent resolution and statute, the last adopted or enacted shall prevail.

(d) Neither house without the consent of the other may recess for more than 10 days or to any other place.

Section 4.2. Section 8 of Article IV of the Constitution is amended to read:

SEC. 8. (a) At regular sessions no bill other than the budget bill may be heard or acted on by committee or either house until the 31st day after the bill is introduced unless the house dispenses with this requirement by rollcall vote entered in the journal, three fourths of the membership concurring.

(b)(1) The Legislature may make no law except by statute and may enact no statute except by bill. No bill may be passed unless it is read by title on 3 days in each house except that the house may dispense with this requirement by rollcall vote entered in the journal, two thirds of the membership concurring.

(2) No bill may be passed or ultimately become a statute unless until the bill with any amendments has been printed, and distributed to the members, and published on the Internet, in its final form, for at least 72 hours before the vote, except that this notice period may be waived if the Governor has submitted to the Legislature a written statement that dispensing with this notice period for that bill is necessary to address a state of emergency, as defined in paragraph (2) of subdivision (c) of Section 3 of Article XIII B, that has been declared by the Governor, and the house considering the bill thereafter dispenses with the notice period for that bill by a separate rollcall vote entered in the journal, two thirds of the membership concurring, prior to the vote on the bill.

(3) No bill may be passed unless, by rollcall vote entered in the journal, a majority of the membership of each house concurs.

(c) (1) Except as provided in paragraphs (2) and (3) of this subdivision, a statute enacted at a regular session shall go into effect on January 1 next following a 90-day period from the date of enactment of the statute and a statute enacted at a special session shall go into effect on the 91st day after adjournment of the special session at which the bill was passed.

(2) A statute, other than a statute establishing or changing boundaries of any legislative, congressional, or other election district, enacted by a bill passed by the Legislature on or before the date the Legislature adjourns for a joint recess to reconvene in the second calendar year of the biennium of the legislative session, and in the possession of the Governor after that date, shall go into effect on January 1 next following the enactment date of the statute unless, before January 1, a copy of a referendum petition affecting the statute is submitted to the Attorney General pursuant to subdivision (d) of Section 10 of Article II, in which event the statute shall go into effect on the 91st day after the enactment date unless the petition has been presented to the Secretary of State pursuant to subdivision (b) of Section 9 of Article II.

(3) Statutes calling elections, statutes providing for tax levies or appropriations for the usual current expenses of the State, and urgency statutes shall go into effect immediately upon their enactment.

(d) Urgency statutes are those necessary for immediate preservation of the public peace, health, or safety. A statement of facts constituting the necessity shall be set forth in one section of the bill. In each house the section and the bill shall be passed separately, each by rollcall vote entered in the journal, two thirds of the membership concurring. An urgency statute may not create or abolish any office or change the salary, term, or duties of any office, or grant any franchise or special privilege, or create any vested right or interest.

## **SECTION 5. Amendments of the Government Code**

Section 5.1. Section 9026.5 of the Government Code is amended to read as follows:

9026.5. Televised or other audiovisual recordings of public proceedings~~Television signal of Assembly; prohibited use; violation~~

(a) Televised or other audiovisual recordings of the public proceedings of each house of the Legislature and the committees thereof may be used for any legitimate purpose and without the imposition of any fee due to the State or any public agency or public corporation thereof. No television signal generated by the Assembly shall be used for any political or commercial purpose, including, but not limited to, any campaign for elective public office or any campaign supporting or opposing a ballot proposition submitted to the electors.

~~As used in this section, "commercial purpose" does not include either of the following:~~

~~(1) The use of any television signal generated by the Assembly by an accredited news organization or any nonprofit organization for educational or public affairs programming.~~

~~(2) As authorized by the Assembly, the transmission by a third party to paid subscribers of an unedited video feed of the television signal generated by the Assembly.~~

(b) The Legislature's costs of complying with paragraph (2) of subdivision (c) of Section 7 and of paragraph (2) of subdivision (b) of Section 8 of Article IV of the California Constitution shall be included as part of the total aggregate expenditures allowed under Section 7.5 of Article IV of the California Constitution. ~~Any person or organization who violates this section is guilty of a misdemeanor.~~

Section 5.2. Section 10248 of the Government Code is amended to read as follows:

10248. Public computer network; required legislative information

(a) The Legislative Counsel shall, with the advice of the Assembly Committee on Rules and the Senate Committee on Rules, make all of the following information available to the public in electronic form:

(1) The legislative calendar, the schedule of legislative committee hearings, a list of matters pending on the floors of both houses of the Legislature, and a list of the committees of the Legislature and their members.

(2) The text of each bill introduced in each current legislative session, including each amended, enrolled, and chaptered form of each bill.

(3) The bill history of each bill introduced and amended in each current legislative session.

(4) The bill status of each bill introduced and amended in each current legislative session.



- (5) All bill analyses prepared by legislative committees in connection with each bill in each current legislative session.
- (6) All audiovisual recordings of legislative proceedings that have been caused to be made by the Legislature in accordance with paragraph (2) of subdivision (c) of Section 7 of Article IV. Each recording shall remain accessible to the public through the Internet and downloadable for a minimum period of 20 years following the date on which the recording was made and shall then be archived in a secure format.
- ~~(6)~~(7) All vote information concerning each bill in each current legislative session.
- ~~(7)~~(8) Any veto message concerning a bill in each current legislative session.
- ~~(8)~~(9) The California Codes.
- ~~(9)~~(10) The California Constitution.
- ~~(10)~~(11) All statutes enacted on or after January 1, 1993.
- (b) The information identified in subdivision (a) shall be made available to the public by means of access by way of the largest nonproprietary, nonprofit cooperative public computer network. The information shall be made available in one or more formats and by one or more means in order to provide the greatest feasible access to the general public in this state. Any person who accesses the information may access all or any part of the information. The information may also be made available by any other means of access that would facilitate public access to the information. The information that is maintained in the legislative information system that is operated and maintained by the Legislative Counsel shall be made available in the shortest feasible time after the information is available in the information system. The information that is not maintained in the information system shall be made available in the shortest feasible time after it is available to the Legislative Counsel.
- (c) Any documentation that describes the electronic digital formats of the information identified in subdivision (a) and is available to the public shall be made available by means of access by way of the computer network specified in subdivision (b).
- (d) Personal information concerning a person who accesses the information may be maintained only for the purpose of providing service to the person.
- (e) No fee or other charge may be imposed by the Legislative Counsel as a condition of accessing the information that is accessible by way of the computer network specified in subdivision (b).
- (f) The electronic public access provided by way of the computer network specified in subdivision (b) shall be in addition to other electronic or print distribution of the information.
- (g) No action taken pursuant to this section shall be deemed to alter or relinquish any copyright or other proprietary interest or entitlement of the State of California relating to any of the information made available pursuant to this section.

## **SECTION 6. Defense of Initiative Measure.**

Section 6.1. Section 12511.5 is added to the Government Code to read as follows:

### Section 12511.5. Defense of the California Legislature Transparency Act

If an action is brought challenging, in whole or in part, the validity of the California Legislature Transparency Act, the following shall apply:

- (a) The Legislature shall continue to comply with the act unless it is declared unconstitutional pursuant to a final judgment of an appellate court.

(b) Except as set forth in subdivision (c), the Attorney General shall defend against any action challenging, in whole or in part, the validity of the act, and shall have an unconditional right to intervene in any action addressing the validity of the act.

(c) If the Attorney General declines to defend the validity of the act in any action, the Attorney General shall nonetheless file an appeal from, or seek review of, any judgment of any court that determines that the act is invalid, in whole or in part, if necessary or appropriate to preserve the State's standing to defend the law in conformity with the Attorney General's constitutional duty to see that the laws of the State are adequately enforced.

(d) The official proponents of the act have an unconditional right to participate, either as interveners or real parties in interest, in any action affecting the validity or interpretation of the act. Where the Governor and Attorney General have declined to defend the validity of the act, the official proponents are also authorized to act on the State's behalf in asserting the State's interest in the validity of the act in any such action and to appeal from any judgment invalidating the act.

(e) Nothing in this section precludes other public officials from asserting the State's interest in the validity of the act.

#### **SECTION 7. Repeal of any Conflicting Statute Proposed at the Primary Election.**

If the Legislature places a measure on the ballot for the June 2016 primary election that is approved by a majority of votes thereon, any provision of that measure that is inconsistent with, or interferes in any way with, the purpose or provisions adopted by this initiative measure shall be rendered void and without legal effect.

#### **SECTION 8. Severability.**

The provisions of this act are severable. If any provision of this act or its application is held to be invalid, that invalidity shall not affect the other provisions or applications that can be given effect in the absence of the invalid provision or application. Without limiting in any way the generality of the foregoing, the voters declare (1) that the amendments to Section 7 of Article IV of the California Constitution are severable from the amendments to Section 8 of Article IV of the California Constitution, (2) that the Legislature's obligations to cause to be made, to make public, and to maintain audiovisual recordings of legislative proceedings are severable from the right of any person to record the proceedings and broadcast or otherwise transmit such recordings pursuant to the amendments to Section 7 of Article IV, (3) that the right to record proceedings is severable from the right to broadcast or otherwise transmit the recordings, and (4) that the statutory amendments of this initiative measure are severable from the constitutional amendments.

#### **SECTION 9. Amendments.**

The statutory provisions of this act shall not be amended except upon approval of the voters, except that the Legislature may amend Government Code section 10248, subdivision (a)(6) to extend the time that recordings shall remain accessible to the public through the Internet and downloadable by passing a statute by a rollcall vote entered in the journal, a majority of the membership of each house concurring.

**SECTION 10. Conflicting Ballot Propositions.**

(a) In the event that this initiative measure and any other measure or measures that relate to the transparency of the legislative process with respect to any of the matters addressed herein are approved by a majority of voters at the same election, and this initiative measure receives a greater number of affirmative votes than any other such measure or measures, this initiative measure shall control in its entirety and the other measure or measures shall be rendered void and without legal effect.

(b) If this initiative measure and a statutory measure placed on the ballot by the Legislature are approved by a majority of voters at the same election, the constitutional amendments in this initiative measure shall control over any statutory measure placed on the ballot by the Legislature to the extent that the statutory measure conflicts with, is inconsistent with, or interferes with the purpose, intent, or provisions of this initiative measure.

(c) If this initiative measure is approved by voters but is superseded in whole or in part by any other conflicting measure approved by the voters and receiving a greater number of affirmative votes at the same election, and the conflicting measure or superseding provisions thereof are subsequently held to be invalid, the formerly superseded provisions of this initiative measure, to the extent superseded by the subsequently invalidated provisions of the conflicting measure, shall be self-executing and given the full force of law.

December 1, 2015

Hon. Kamala D. Harris  
Attorney General  
1300 I Street, 17<sup>th</sup> Floor  
Sacramento, California 95814

Attention: Ms. Ashley Johansson  
Initiative Coordinator

Dear Attorney General Harris:

Pursuant to Elections Code Section 9005, we have reviewed the proposed statutory and constitutional initiative related to legislative rules and responsibilities (A.G. File No. 15-0083, Amendment No. 1).

## Background

**Legislative Rules.** The State Legislature has two houses: the State Assembly and the State Senate. The California Constitution governs the various ways in which the Legislature can pass bills. It does not include a requirement on the amount of time a bill needs to be available on the Internet before a vote by either house.

**Public Proceedings.** The Constitution requires the proceedings of each house to be open and public, with some exceptions. These public proceedings include floor sessions and committee hearings, some of which occur outside of the State Capitol. Both the Senate and Assembly make audio or audiovisual recordings of most, but not all, of these proceedings available to the public online. The legislative branch spends around \$1 million annually on these activities. Current law prohibits Assembly recordings from being used for political and commercial purposes.

**Legislature's Budget.** Proposition 140 (1990) established a cap on annual spending by the Legislature. The cap is adjusted each year for changes in per capita personal income and population.

## Proposal

The measure makes three changes to Legislative rules and responsibilities. First, the measure requires the Legislature to ensure audiovisual recordings of all public proceedings are publicly accessible on the Internet within 24 hours and archived for at least 20 years thereafter. Second, the measure prohibits the Legislature from voting on a bill until it has been published online in its final form for at least 72 hours. This prohibition includes exceptions for emergencies, such as natural disasters. Third, the measure allows the recordings of public proceedings to be used for any legitimate purpose.

**Fiscal Effects**

The measure's primary fiscal impact relates to the requirement that the Legislature provide audiovisual recordings of all proceedings. The amount of added costs would depend on how the Legislature implemented the measure. The state, however, could face: (1) one-time costs of \$1 million to \$2 million to purchase cameras and other equipment and (2) ongoing costs of about \$1 million annually for additional staff and storage for an archive of the recordings. The Legislature's costs of complying with the measure would come out of their annual spending allocation.

*Summary of Fiscal Effects.* The measure would have the following fiscal effect:

- Increased costs to state government of potentially \$1 million to \$2 million initially and about \$1 million annually for making additional legislative proceedings available in audiovisual form on the Internet.

Sincerely,

---

Mac Taylor  
Legislative Analyst

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Michael Cohen  
Director of Finance



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Kathy Gallagher, Employment & Human Services Director  
Date: August 2, 2016

Subject: Add one Social Casework Assistant and Cancel one Children Services Aide in EHSD

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**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21875 to add one (1) Social Casework Assistant (XDVB) (represented) position at Salary Plan and Grade 255 1434 (\$4,604--\$5,596) and cancel one (1) Children Services Aide (XDWB) (represented) vacant position #13576 at Salary Plan and Grade 2D5 0850 (\$2,582—\$3,138) in the Children and Families Services Bureau of the Employment and Human Services Department.

**FISCAL IMPACT:**

Upon approval of this position there is an additional annual cost of \$28,839. This position is funded with 42% Federal and 48% State revenue and 10% County Funds. The annual pension costs is approximately \$19,338.

**BACKGROUND:**

The Assembly Bill 938

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cheryl Morse (925)  
313-1558

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

By: , Deputy

cc: EHSD

#### BACKGROUND: (CONT'D)

- Chapter 261, Sections 309 and 628 of the Welfare and Institutions Code was amended to improve outcomes for children in foster care. Assembly Bill 938 requires when a child is removed from his or her parents the child's social worker or probation officer must identify and locate the child's relatives within 30 days. (Approved by Governor Brown, October 11, 2009). In addition, Assembly Bill 938 implements federal requirements that seek to ensure children who have been removed from their parents can still be cared for by relatives. The department has assessed that the job duties to be performed are within the Social Casework Assistant classification, and not the Children's Services Aide classification. Based on the job duties to be performed, the department's request to cancel a current vacant Children's Services Aide position and add one Social Casework Assistant position is appropriate. The Social Casework Assistant will be responsible for researching multiple databases for prospective adult relatives for notification and possible relative placement, coordinating with social workers, professionals and other parties related to the case in order to attempt to maintain the child with the child's family.

#### CONSEQUENCE OF NEGATIVE ACTION:

If the Social Casework Assistant position is not added, the Children and Family Services Bureau will not have sufficient staff to comply with Assembly Bill 938 requirements of contacting possible relatives for placement of children removed from their parents or temporary home.

#### CHILDREN'S IMPACT STATEMENT:

A Social Casework Assistant working with families who find themselves in the foster care system requires the ability to engage and assess the family, as well as the ability to deescalate situations. The outcomes supported are: (2) Children and Youth Healthy and Preparing for Productive Adulthood; (4) Families that are Safe, Stable and Nurturing; and (5) Communities that are Safe and Provide a High Quality of Life for Children and Families.

#### ATTACHMENTS

P300 No. 21875 EHSD

# POSITION ADJUSTMENT REQUEST

NO. 21875  
DATE 6/14/2016

Department Employment and Human Services

Department No./

Budget Unit No. 0502 Org No. 5216 Agency No. A19

Action Requested: Add one Social Casework Assistant (XDVB) position and cancel one Children's Services Aide (XDWB) position 13576 in Children and Family Services Bureau (AR38319)

Proposed Effective Date: 7/12/2016

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 \$28,839.00

Net County Cost \$2,884.00

Total this FY \$28,839.00

N.C.C. this FY \$2,884.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 42% Federal, 48% State and 10% County Cost

Department must initiate necessary adjustment and submit to CAO.  
Use additional sheet for further explanations or comments.

Anne Crisp 313-1527

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Kevin J. Corrigan

6/30/2016

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE 7/6/2016

Add one Social Casework Assistant (XDVB) (represented) position at Salary Plan and Grade 255 1434 (\$4,604--\$5,596) and cancel one vacant Children Services Aide (XDWB) (represented) position #13576 at Salary Plan and Grade 2D5 0850 (\$2,582--\$3,138)

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

Otilia Parra

7/6/2016

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE

7/25/2016

☒ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☐ Other: \_\_\_\_\_

Enid Mendoza

(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 7/25/2016

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: Mark Peterson, District Attorney  
Date: August 2, 2016

Subject: Add one Clerk - Senior Level position and one V/W Assist. Prog. Spec.

---

**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21886 to add one (1) Clerk – Senior Level (JWXC) (represented) position at salary plan and grade 3RX 1033 (\$3,210 - \$4,100) and one (1) Victim/Witness Assistance Program Specialist (65SA) (represented) position at salary plan and grade QV5 1191 (\$3,619 - \$4,399) in the District Attorney's office.

**FISCAL IMPACT:**

\$154,500, 100% State.

**BACKGROUND:**

The Victim/Witness Program provides constitutionally mandated direct services under Marsy's Law to victims and witnesses of crime, and establishes and maintains working relationships with law enforcement agencies and community based organizations. The Program Specialist would be assigned to a Family Justice Center. This funding allows the office to support its FJC partners at the level that was initially envisioned.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cherie Mathisen,  
925-957-2234

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

By: , Deputy

cc: Cherie Mathisen

BACKGROUND: (CONT'D)

The advocate will provide direct services to all victims of sexual assault, domestic violence, elder abuse and human trafficking, and support all agencies in the collaborative assistance of victims of crime and their families. As contemplated by the Victim/Witness Assistance Grant augmented funding, additional clerical support is needed to support the mission of the Program. The Program has grown from 5 advocates to 15 advocates in the past three years; numbers which do not include the staff in this request. A Senior Level Clerk will provide direct support to victims of crime with information and guidance pursuant to Marsy's Law, and also support the Program Manager, Lead Clerk and Program Specialists.

CONSEQUENCE OF NEGATIVE ACTION:

The California Governor's Office of Emergency Services Criminal Justice/Emergency Management and Victim Services Branch has provided additional grant funding that will allow the District Attorney's office to increase staffing to better serve the Contra Costa Community. If this action is not approved, the Victim Witness Program Manager would not have the necessary clerical support in the Victim / Witness Program unit and no Program Specialist support assigned to the Family Justice Center and partners.

CHILDREN'S IMPACT STATEMENT:

No Impact.

ATTACHMENTS

Position Adjustment Resolution No. 21886

# POSITION ADJUSTMENT REQUEST

NO. 21886  
DATE 3/1/2016

Department District Attorney

Department No./

Budget Unit No. 0242 Org No. 2841 Agency No. 42

Action Requested: ADD One (1) Victim/Witness Assistance Program Specialist (65SA) (represented) position at salary level QV5 1191 and one (1) Clerk - Senior Level (JWXC) (represented) at salary level 3RX 1033 to the District Attorney's office Victim/Witness Unit.

Proposed Effective Date: 7/13/2016

Classification Questionnaire attached: Yes ☐ No ☒ / Cost is within Department's budget: Yes ☒ No ☐

Total One-Time Costs (non-salary) associated with request: \_\_\_\_\_

Estimated total cost adjustment (salary / benefits / one time):

Total annual cost \$154,500.00

Net County Cost \$0.00

Total this FY \$141,625.00

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 100% Victim/Witness grant funds

Department must initiate necessary adjustment and submit to CAO.

Use additional sheet for further explanations or comments.

Mark A. Peterson

\_\_\_\_\_  
(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Timothy M. Ewell

7/15/2016

\_\_\_\_\_  
Deputy County Administrator

\_\_\_\_\_  
Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE 7/20/2016

Add one (1) Clerk – Senior Level (JWXC) (represented) position at salary plan and grade 3RX 1033 (\$3,210 - \$4,100) in the Victim/Witness Program and one (1) Victim/Witness Assistance Program Specialist (65SA) (represented) position at salary plan and grade QV5 1191 (\$3,619 - \$4,399).

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

Amanda Monson

7/20/2016

\_\_\_\_\_  
(for) Director of Human Resources

\_\_\_\_\_  
Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE

7/27/16

☒ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☐ Other: \_\_\_\_\_

Timothy M. Ewell (via Vana Tran)

\_\_\_\_\_  
(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 7/27/2016

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  
Date: August 2, 2016

Subject: ADD one (1) Mental Health Program Chief in the Health Services Department.

---

**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21888 to add one (1) Mental Health Program Chief (VQDN) position at salary plan and grade level ZA5 – 2029 (\$8,298 – \$10,087) in the Health Services Department. (Represented)

**FISCAL IMPACT:**

Upon approval, this action will have an annual cost of approximately \$192,092, including pension costs of \$42,971. Costs will be 100% funded by Hospital Enterprise Fund I.

**BACKGROUND:**

The Health Services Department is requesting to add a Mental Health Program Chief position for Mental Health Detention Services. The Mental Health Detention service areas have become more diverse and complex with the addition of PRIME projects such as 2.3 Complex Care for High Risk Patients, 2.2 Care Transitions for Post-Acute Care Coordination, and 1.1 Behavioral Health Integration. Additionally, the increase in volume of patients due to the ACA and the Medi-Cal expansion

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ APPROVED AS RECOMMENDED ☐ OTHER

Clerks Notes:

**VOTE OF SUPERVISORS**

Contact: Melissa Carofanello -  
melissa.carofanello@hsd.cccounty.us - 925-957-5248

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: August 2, 2016

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

By: , Deputy

cc:

BACKGROUND: (CONT'D)

has impacted these programs so that it is no longer feasible for one program chief to manage. Federal and state laws require the delivery of mental health services in detention. Not having a dedicated Mental Health Program Chief to ensure the delivery high quality mental health services in the detention setting can lead to inmates receiving substandard care.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, the Health Services Department will not be able to have the appropriate level of supervision for its Mental Health Detention.

CHILDREN'S IMPACT STATEMENT:

Not applicable.

ATTACHMENTS

P300 No. 21888 HSD

# POSITION ADJUSTMENT REQUEST

NO. 21888  
DATE 7/11/2016

Department HEALTH SERVICES Department No./  
Budget Unit No. 0301 Org No. 5710 Agency No. A18  
Action Requested: Add one Mental Health Program Chief (VQDN) position in the Health Services Department.

Proposed Effective Date: 8/3/2016

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 \$192,092.74

Net County Cost \$0.00

Total this FY \$176,085.01

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT Hospital Enterprise Fund I

Department must initiate necessary adjustment and submit to CAO.  
Use additional sheet for further explanations or comments.

Melissa Carofanello

\_\_\_\_\_  
(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

\_\_\_\_\_  
Deputy County Administrator

\_\_\_\_\_  
Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

\_\_\_\_\_  
(for) Director of Human Resources

\_\_\_\_\_  
Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE 7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

\_\_\_\_\_  
(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 7/25/2016

No. \_\_\_\_\_

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  
Date: August 2, 2016

Subject: Add two (2) full-time positions in the Health Services Department

---

**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21893 to add two (2) full-time Health Education Specialist (VMWD) positions at salary level and grade TC5-1207 (\$3,825-\$4,649) in the Health Services Department. (Represented)

**FISCAL IMPACT:**

Upon approval, this action will have an annual cost of approximately \$192,316 which includes \$39,607 in pension costs. The cost will be a 100% offset from Federally Qualified Health Care (FQHC) revenues.

**BACKGROUND:**

The Public Health Clinic Services of the Health Services Department provide a variety of low or no-cost services in our health centers, mobile clinics and at public schools. The two Health Education Specialists to be added will provide support in School Based Health Center clinics serving school-age students up to 19 years of age. The Health Education Specialists will assist in implementing educational and health promotion activities. The incumbents will also

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

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

By: , Deputy

cc:

BACKGROUND: (CONT'D)

assist in planning, conducting, and evaluating the health education and health prevention aspects of departmental programs. Duties include conferring with and advising staff on health education and preventative health principles and techniques of community organization. Undertaking health promotion activities will entail reviewing publications for educational suitability, maintaining and distributing health educational materials to the staff and the general public, and publicizing health programs and services through various media. In addition, the Health Education Specialists will conduct needs assessments and prepare reports on health education services and educational programs. Clinic Services will be expanding its School Based Health Center Services in Brentwood (two Middle Schools and two High Schools) under the Liberty Union High School District. Due to this expansion, the Department determined that adding the two Health Education Specialist positions is appropriate.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, program deliverables and requirements will not be accomplished due to staffing shortage.

CHILDREN'S IMPACT STATEMENT:

Not applicable

ATTACHMENTS

P300 No. 21893 HSD

# POSITION ADJUSTMENT REQUEST

NO. 21893  
DATE 7/18/2016

Department Health Services

Department No./

Budget Unit No. 0450 Org No. 5797 Agency No. A18

Action Requested: Add two (2) Health Education Specialist (VMWD) positions in the Health Services Department.

Proposed Effective Date: 8/3/2016

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 \$192,316.25

Net County Cost \$0.00

Total this FY \$128,210.83

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 100% Federally Qualified Health Care Revenues

Department must initiate necessary adjustment and submit to CAO.

Use additional sheet for further explanations or comments.

Arlene J. Lozada

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE 7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

(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 7/27/2016

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  
Date: August 2, 2016

Subject: Add and cancel positions in the Health Services Department

---

**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21889 to add one (1) full-time Public Health Program Specialist II (VBND) position at salary level ZA5-1711 (\$75,593-\$91,884) and cancel vacant Administrative Services Assistant II (APVA) position #16343 in the Health Services Department. (Both represented)

**FISCAL IMPACT:**

Upon approval, this action will have an annual cost of approximately \$28,145 which includes \$6,797 in pension costs. The cost will be funded by 65% Center for Disease Control funds and 35% Ryan White funds.

**BACKGROUND:**

The AIDS/STD Program of the Public Health Division fosters the development, implementation and coordination of programs to reduce the transmission of HIV, provide comprehensive services for people with HIV and enhance community awareness of AIDS to increase understanding and compassionate response. The Public Health Division has a vacant Administrative Services Assistant II position #16343.

Initially, it was decided to use this classification to handle the administrative duties in the AIDS/STD Program. However, due to complex regulatory and fiscal requirements in administering the AIDS/STD Program, the department determined that the Public Health Program Specialist II is the most appropriate classification

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

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

By: , Deputy

cc:

**BACKGROUND: (CONT'D)**

to use. Adding the higher paid Public Health Program Specialist II and cancelling the vacant lower paid Administrative Services Assistant II position, would result to an additional cost of \$28,145.80.

The Public Health Program Specialist II position incumbent will plan, organize and administer the AIDS/STD program. Majority of the incumbent's responsibilities will include providing staff direction, establishing and implementing policies, monitoring program activities including budget expenditures and evaluating the effectiveness of the overall program. Adding the Public Health Program Specialist II position will help accomplish program efficiencies and deliverables while meeting funding requirements.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this action is not approved, State mandated deadlines will not be accomplished due to staff shortage.

**CHILDREN'S IMPACT STATEMENT:**

Not applicable.

**ATTACHMENTS**

P300 No. 21889 HSD

# POSITION ADJUSTMENT REQUEST

NO. 21889  
DATE 7/18/2016

Department Health Services

Department No./

Budget Unit No. 0450 Org No. 5825 Agency No. A18

Action Requested: Add one (1) Public Health Program Specialist II (VBND) position and cancel one (1) full-time Administrative Assistant II position #16343 in the Health Services Department.

Proposed Effective Date: 8/3/2016

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 \$28,145.80

Net County Cost \$0.00

Total this FY \$6,797.12

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 65% Center for Disease Control & 35% Ryan White Funds

Department must initiate necessary adjustment and submit to CAO.  
Use additional sheet for further explanations or comments.

Arlene J. Lozada

\_\_\_\_\_  
(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

\_\_\_\_\_  
Deputy County Administrator

\_\_\_\_\_  
Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

\_\_\_\_\_  
(for) Director of Human Resources

\_\_\_\_\_  
Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE 7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

\_\_\_\_\_  
(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 7/25/2016

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  
Date: August 2, 2016

Subject: Add one (1) full-time position in the Health Services Department

---

**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21890 to add one (1) full-time Pre-Hospital Care Coordinator (VBSG) position at salary level ZB5-1766 (\$8,050 - \$8,972) in the Health Services Department. (Represented)

**FISCAL IMPACT:**

Upon approval, this action will have an annual cost of approximately \$172,423 which includes \$38,221 in pension costs. The cost will be 100% offset from Hospital Enterprise Fund I.

**BACKGROUND:**

The Emergency Medical Services (EMS) of the Health Services Department is a vital unit that is an integrated system of private and public providers rendering emergency medical care. It is a community-based health management model that provides acute illness, injury care and follow-up. It also contributes to treatment of chronic conditions and community health monitoring.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

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

By: , Deputy

cc:

**BACKGROUND: (CONT'D)**

The Emergency Medical Services needs to restructure its functions previously provided by contractors associated with the Hospital Preparedness Program. Given this change, it is necessary to add the Pre-Hospital Care Coordinator position and the incumbent will then be responsible for hospital preparedness, the Medical Reserve Corps and the Heartsafe Community Outreach. In addition, the Pre-Hospital Care Coordinator will plan and coordinate EMS activities, develop and implement EMS system policies procedures and programs, monitor and evaluate emergency medical care provided by EMS pre-hospital personnel and EMS provider agencies.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this action is not approved, EMS will not have a position assigned to perform the functions as a result of its restructuring efforts.

**CHILDREN'S IMPACT STATEMENT:**

Not applicable.

**ATTACHMENTS**

P300 No. 21890 HSD

# POSITION ADJUSTMENT REQUEST

NO. 21890  
DATE 7/18/2016

Department Health Services

Department No./

Budget Unit No. 0540 Org No. 6543 Agency No. A18

Action Requested: Add one (1) Pre-Hospital Care Coordinator (VBSG) position in the Health Services Department.

Proposed Effective Date: 8/3/2016

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 \$172,423.81

Net County Cost \$0.00

Total this FY \$114,949.21

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 100% Cost Offset from Hospital Enterprise Fund I

Department must initiate necessary adjustment and submit to CAO.

Use additional sheet for further explanations or comments.

Arlene J. Lozada

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE 7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

(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 7/25/2016

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  
Date: August 2, 2016

Subject: Add 18 positions in varied classifications in the Health Services Department

---

**RECOMMENDATION(S):**

ADOPT Position Adjustment No. 21891 to add the following represented positions in the Health Services Department:

- two (2) full-time Exempt Medical Staff Physician (VPW9) at salary level 1P5-2312 (\$11,052 - \$14,864);
- two (2) full-time Family Nurse Practitioner (VWSB) at salary level L35-1873 (\$9,249 - \$11,242);
- one (1) full-time Charge Nurse (VWTF) at salary level L35-1883 (\$9,341 - \$10,298);
- one (1) full-time Registered Nurse-Advanced Level (VWXE) at salary level L32-1878 (\$9,576 - \$9,815);
- three (3) full-time Licensed Vocational Nurse (VT7G) at salary level TAX-1287 (\$4,129 - \$5,273);
- three (3) full-time Certified Medical Assistant (VTWC) at salary level TA5-1088 (\$3,399 - \$4,132);
- two (2) full-time Clerk-Senior Level (JWXC) at salary level 3RX-1033 (\$3,210 - \$4,100);
- one (1) part-time 32/40 Clerk-Senior Level (JWXC) at salary level 3RX-1033 (\$3,210 - \$4,100);
- one (1) full-time Community Health Worker II (VKVB) at salary level TC5-1043 (\$3,251 - \$3,952);
- one (1) part-time 24/40 Laboratory Technician II (VJVA) at salary level TC5-1095 (\$3,423 - \$4,161);
- one (1) full-time Institutional Services Worker-Generalist (1KVD) at salary level TB5-0922 (\$2,884 - \$3,506)

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jo-Anne Linares,  
957-5240

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

By: , Deputy

cc:

FISCAL IMPACT:

Upon approval, this action has an annual cost of approximately \$2,416,931 which includes pension costs of \$517,288. The costs will be completely offset by Federally Qualified Health Care and third party revenues.

BACKGROUND:

The Health Services Department is requesting to add 18 positions as part of the expansion of services at the Antioch Health Center. Due to the increased volume and demand associated with the Affordable Care Act and the increased membership in the Contra Costa Health Plan (CCHP), these expanded services are necessary to provide additional ambulatory care clinic hours of Family Practice Medicine to the residents of East Contra Costa County.

The increased clinic services will allow a total of 1,386 patient visits per week with full capacity which is implemented in three phases. These 18 positions are included in Phase Two, and a subsequent request for the final Phase Three will be submitted at a later date.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, the Antioch Health Center will not have adequate staffing to provide increased patient care services for our CCHP members and residents in East Contra Costa County.

CHILDREN'S IMPACT STATEMENT:

Not applicable.

ATTACHMENTS

P300 No. 21891 HSD

P300 No. 21891 Attachment 1

# POSITION ADJUSTMENT REQUEST

NO. 21891  
DATE 7/18/2016

Department Health Services

Department No./

Budget Unit No. 0540 Org No. 6410 Agency No. A18

Action Requested: Add 18 permanent positions in the Health Services Department as specified in Attachment 1.

Proposed Effective Date: 8/3/2016

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 \$2,416,931.40

Net County Cost \$0.00

Total this FY \$2,014,109.50

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 100% FQHC and third party revenues

Department must initiate necessary adjustment and submit to CAO.

Use additional sheet for further explanations or comments.

Jo-Anne Linares

\_\_\_\_\_  
(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

\_\_\_\_\_  
Deputy County Administrator

\_\_\_\_\_  
Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

\_\_\_\_\_  
(for) Director of Human Resources

\_\_\_\_\_  
Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE 7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

\_\_\_\_\_  
(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 7/25/2016

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

**POSITION ADJUSTMENT RESOLUTION NO. 21891 - ATTACHMENT 1**  
**ANTIOCH HEALTH CENTER EXPANSION PHASE II – ADD 18 POSITIONS**

- Two (2) 40/40 - Exempt Medical Staff – Physicians (VPW9)
- Two (2) 40/40 – Family Nurse Practitioners (VWSB)
- One (1) 40/40 - Charge Nurse (VWTF)
- One (1) 40/40 - Registered Nurse - Advanced Level (VWXE)
- Three (3) 40/40 – Licensed Vocational Nurse (VT7G)
- Three (3) 40/40 – Certified Medical Assistant (VTWC)
- Two (2) 40/40 - Clerk – Senior Level (JWXC)
- One (1) (32/40) Clerk – Senior Level (JWXC)
- One (1) 40/40 - Community Health Worker II (VKVB)
- One (1) 24/40 - Laboratory Technician II (VJVA)
- One (1) 40/40 – Institutional Services Worker – Generalist (1KVD)



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services  
Date: August 2, 2016

Subject: Add 36 positions in varied classifications in the Health Services Department

---

**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21892 to add the following represented positions in the Health Services Department:

- five (5) full-time Exempt Medical Staff Physician (VPW9) at salary level 1P5-2312 (\$11,052 - \$14,864);
- four (4) full-time Family Nurse Practitioner (VWSB) at salary level L35-1873 (\$9,249 - \$11,242);
- one (1) full-time Registered Nurse-Experienced Level (VWXD) at salary level L3H-0400 (\$7,853 - \$8,753);
- seven (7) full-time Licensed Vocational Nurse (VT7G) at salary level TAX-1287 (\$4,129 - \$5,273);
- six (6) full-time Certified Medical Assistant (VTWC) at salary level TA5-1088 \$3,399 - \$4,132);
- two (2) full-time Clerk-Specialist Level (JWXD) at salary level 3RX-1156 (\$3,626 - \$4,631);
- seven (7) full-time Clerk-Senior Level (JWXC) at salary level 3RX-1033 (\$3,210 - \$4,100);
- one (1) full-time Senior Radiologic Technologist (V8VA) at salary level TC5-1737 (\$6,463 - \$7,856);
- one (1) full-time Community Health Worker II (VKVB) at salary level TC5-1043 (\$3,251 - \$3,951);
- one (1) full-time Laboratory Technician II (VJVA) at salary level TC5-1095 (\$3,423 - \$4,160);
- one (1) full-time Institutional Services Worker-Generalist (1KVD) at salary level TB5-0922 (\$2,884 - \$3,505)

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jo-Anne Linares,  
957-5240

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

By: , Deputy

cc:

FISCAL IMPACT:

Upon approval, this action has an annual cost of approximately \$4,671,895 which includes pension costs of \$1,014,493. The entire cost is completely offset by Federally Qualified Health Care revenues.

BACKGROUND:

The Health Services Department is requesting to add 36 varied positions allocated to the Pittsburg Health Center to meet the increased volume and patient demand associated with the Affordable Care Act and the resulting growth of membership in the Contra Costa Health Plan. Data shows the majority of members resides in East Contra Costa County and to accommodate this growth, the Department is expanding its ambulatory care patient services in Antioch, Brentwood and Pittsburg Health Centers. The Department is submitting separate requests per health center in several phases.

The Pittsburg Health Center is being renovated to add 16 examination rooms for Family Practice Medicine in addition to one room dedicated to patient group sessions. The increase in capacity will allow approximately 612 additional weekly hours of ambulatory care visits at full capacity. These expanded services will be implemented in three phases with the initial 36 positions added in Phase I. Subsequent requests for Phase II and Phase III will be submitted at a later time.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, the Pittsburg Health Center will not have adequate staffing to meet the increased demand and volume of patient care services for our CCHP members and residents of East Contra Costa County.

CHILDREN'S IMPACT STATEMENT:

Not applicable

ATTACHMENTS

P300 No. 21892 HSD

P300 No. 21892 Attachment 1

# POSITION ADJUSTMENT REQUEST

NO. 21892  
DATE 7/20/2016

Department Health Services

Department No./

Budget Unit No. 0540 Org No. 6388 Agency No. A18

Action Requested: Add 36 permanent positions in the Health Services Department as specified in Attachment 1.

Proposed Effective Date: 8/3/2016

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 \$4,686,772.02

Net County Cost \$0.00

Total this FY \$3,905,643.30

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 100% FQHC Revenues

Department must initiate necessary adjustment and submit to CAO.

Use additional sheet for further explanations or comments.

Jo-Anne Linares

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE

7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

(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 7/25/2016

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

**POSITION ADJUSTMENT RESOLUTION NO. 21892 ATTACHMENT 1  
PITTSBURG HEALTH CENTER EXPANSION PHASE I – ADD 36 POSITIONS**

- five (5) 40/40 - Exempt Medical Staff – Physicians (VPW9)
- four (4) 40/40 – Family Nurse Practitioners (VWSB)
- one (1) 40/40 - Registered Nurse - Experienced Level (VWXD)
- seven (7) 40/40 – Licensed Vocational Nurse (VT7G)
- six (6) 40/40 – Certified Medical Assistant (VTWC)
- two (2) 40/40 - Clerk – Specialist (JWXD)
- seven (7) 40/40 - Clerk – Senior Level (JWXC)
- one (1) 4040 – Senior Radiologic Technologist (V8VA)
- one (1) 40/40 - Community Health Worker II (VKVB)
- one (1) 40/40 - Laboratory Technician II (VJVA)
- one (1) 40/40 – Institutional Services Worker – Generalist (1KVD)



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services  
Date: August 2, 2016

Subject: Add one (1) full-time position and cancel one (1) full-time and one (1) part-time positions in the Health Services Department

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**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21894 to add one (1) full-time Public Health Program Specialist I (VBSD) position at salary level ZA5-1602 (\$5,655-\$6,874) and cancel a vacant part-time Community Health Worker II (VKVB) position #16431 and a vacant full-time Clerk-Specialist Level (JWXD) position #8486 in the Health Services Department. (All represented)

**FISCAL IMPACT:**

Upon approval, this action will result in approximate annual cost savings of \$9,459.

**BACKGROUND:**

The Women, Infants and Children (WIC) Program is a federally funded health and nutrition program that helps pregnant and postpartum women, infants and children under 5 years old. Under this program, they are encouraged to eat healthy foods and live a healthy and active life. Women, infants and children who qualify, are able to take advantage of various services such as breastfeeding support, nutrition and health education classes, checks to buy healthy foods, and referrals for health care and community services.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

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

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

By: , Deputy

cc:



**BACKGROUND: (CONT'D)**

The WIC Program at the Concord Site has 13 staff members which include Clerks, Community Health Workers, Home Economists, Public Health Nutritionist, Senior Public Health Nutritionist and an Administrative Intern. The Public Health Program Specialist I will be assigned to provide immediate staff direction to these 13 employees. The Public Health Division has determined that adding one full-time Public Health Program Specialist I position will better serve its current operational needs. The incumbent will ensure that services and program efficiencies are administered and delivered to the clients it serves. The Community Health Worker II position #16431 and Clerk-Specialist Level position #8486 are currently vacant. Cancelling both positions and adding the Public Health Program Specialist I position is deemed appropriate.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this action is not approved, program operational needs will not be fully achieved due to staffing shortage in a supervisory level.

**CHILDREN'S IMPACT STATEMENT:**

Not applicable.

**ATTACHMENTS**

P300 No. 21894 HSD

# POSITION ADJUSTMENT REQUEST

NO. 21894  
DATE 7/18/2016

Department Health Services

Department No./

Budget Unit No. 0450 Org No. 5828 Agency No. A18

Action Requested: Add one (1) Public Health Program Specialist I (VBSD) position and cancel one (1) part-time Community Health Worker II (VKVB) position #16431 and one (1) full time Clerk-Specialist Level (JW XD) position #8486 in the Health Services Department.

Proposed Effective Date: 8/3/2016

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 (\$9,459.33)

Net County Cost \$0.00

Total this FY (\$8,671.05)

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT Cost Savings

Department must initiate necessary adjustment and submit to CAO.  
Use additional sheet for further explanations or comments.

Arlene J. Lozada

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE

7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

(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 7/27/2016

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: August 2, 2016

Subject: Reallocate the classification of Pharmacist I and II, Clinical/Drug Information Coordinator, and Pharmacy Technician on the Salary Schedule

**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21887 to reallocate the classifications of the Pharmacist I (VYWA) (represented) position from Salary Plan and Grade TC5 1998 (\$8,369 - \$9,689) to Salary Plan and Grade TC5 1998 (\$10,043 - \$11,626), Pharmacist II (VYTA) (represented) position from Salary Plan and Grade TC5 1964 (\$8,092 - \$10,328) to Salary Plan and Grade TC5 1964 (\$9,711 - \$12,394), Pharmacy Technician (VY9B) (represented) position from Salary Plan and Grade TC5 1065 (\$3,322 - \$4,039) to Salary Plan and Grade TC5 1065 (\$3,987 - \$4,846), and the Clinical/Drug Information Coordinator (VYSD) (represented) position from Salary Plan and Grade TC5 1923 (\$7,770 - \$9,917) to Salary Plan and Grade TC5 1923 (\$9,324 - \$11,900) on the Salary Schedule in the Health Services Department.

**FISCAL IMPACT:**

Upon approval, this action has an annual cost of approximately \$1,105,572.89 with pension costs of \$266,992.09 already included. The cost is completely offset by Enterprise Fund I.

**BACKGROUND:**

The Health Services Department is requesting the salary reallocations due to recruitment and retention issues as a result of the base salaries of Pharmacy classifications not being competitive. There are 25 permanent-full

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jo-Anne Linares, (925)  
957-5240

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

By: , Deputy

cc: Jo-Anne Linares, Lisa Lopez, Assistant Director of Human Resources, Harjit S. Nahal, Assistant County Auditor

BACKGROUND: (CONT'D)

time Pharmacist positions, and although the recruitment is open on a continuous basis, 12 positions remain vacant. Since 2014, the Department has experienced voluntary resignations from eight (8) Pharmacists in addition to two (2) retirements. Consequently, this staffing shortage forced the Department to rearrange staff schedules to meet core hours of operation.

A recent salary survey of Bay Area counties indicated the County's compensation in the pharmaceutical field is significantly below market. In order to attract and retain employees, it becomes necessary to reallocate the salaries to compete with surrounding Bay Area counties. The Meet and Confer process has been completed.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, the Department is in jeopardy of maintaining critical staffing levels required to provide pharmaceutical services to the patients of Contra Costa Regional Medical Center and its Health Centers, and members of the Contra Costa Health Plan.

ATTACHMENTS

AIR 26529 P300 21887 Salary Reallocation

AIR 26529 P300 21887 Recommendation Attachment

# POSITION ADJUSTMENT REQUEST

NO. 21887  
DATE 7/21/2016

Department Health Services

Department No./

Budget Unit No. 0540 Org No. 6345 Agency No. A18

Action Requested: Reallocate the salaries of Pharmacist I (VYWA) and II (VYTA), Pharmacy Technician (VY9B) and Clinical/Drug Coordination Information (VYSD) in the Health Services Department. (See Attachment 1)

Proposed Effective Date: \_\_\_\_\_

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 \$1,105,572.89

Net County Cost \$0.00

Total this FY \$921,310.66

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT Enterprise Fund 1

Department must initiate necessary adjustment and submit to CAO.  
Use additional sheet for further explanations or comments.

Jo-Anne Linares

\_\_\_\_\_  
(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Kevin J. Corrigan

7/21/2016

\_\_\_\_\_  
Deputy County Administrator

\_\_\_\_\_  
Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE 7/27/2016

See Attached

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

Gladys Scott Reid

7/27/2016

\_\_\_\_\_  
(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 7/27/2016

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

**AIR 26529 P300 21887**

Reallocate the classifications of the Pharmacist I (VYWA) (represented) position from Salary Plan and Grade TC5 1998 (\$8,369 - \$9,689) to Salary Plan and Grade TC5 1998 (\$10,043 - \$11,626), Pharmacist II (VYTA) (represented) position from Salary Plan and Grade TC5 1964 (\$8,092 - \$10,328) to Salary Plan and Grade TC5 1964 (\$9,711 - \$12,394), Pharmacy Technician (VY9B) (represented) position from Salary Plan and Grade TC5 1065 (\$3,322 - \$4,039) to Salary Plan and Grade TC5 1065 (\$3,987 - \$4,846), and the Clinical/Drug Information Coordinator (VYSD) (represented) position from Salary Plan and Grade TC5 1923 (\$7,770 - \$9,917) to Salary Plan and Grade TC5 1923 (\$9,324 - \$11,900) on the Salary Schedule





Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services  
Date: August 2, 2016

Subject: Add 35 permanent positions in the Health Services Department

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**RECOMMENDATION(S):**

ADOPT Position Adjustment Resolution No. 21895 to add the following represented positions in the Health Services Department:

- four (4) full-time Exempt Medical Staff Physician (VPW9) at salary level 1P5-2312 (\$11,052 - \$14,856);
- three (3) full-time Family Nurse Practitioner (VWSB) at salary level L35-1873 (\$9,249 - \$11,242);
- one (1) full-time Charge Nurse (VWTF) at salary level L35-1883 (\$9,341 - \$10,298);
- two (2) full-time Registered Nurse-Experienced Level (VWXD) at salary level L3H-0400 (\$7,853 - \$8,753);
- eight (8) full-time Licensed Vocational Nurse (VT7G) at salary level TAX-1287 (\$4,129 - \$5,273);
- six (6) full-time Certified Medical Assistant (VTWC) at salary level TA5-1088 (\$3,399 - \$4,132);
- one (1) full-time Clerk-Specialist Level (JWXD) at salary level 3RX-1156 (\$3,626 - \$4,631);
- eight (8) full-time Clerk-Senior Level (JWXC) at salary level 3RX-1033 (\$3,210 - \$4,100);
- one (1) full-time Laboratory Technician II (VJVA) at salary level TC5-1095 (\$3,423 - \$4,160);
- one (1) full-time Institutional Services Worker-Generalist (1KVD) at salary level TB5-0922 (\$2,884 - \$3,505)

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jo-Anne Linares,  
957-5240

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

By: , Deputy

cc:

FISCAL IMPACT:

Upon approval, this action will have an approximate annual cost of \$4,604,219 with pension costs of \$994,730 already included. The costs will be entirely offset with Federally Qualified Health Care revenues.

BACKGROUND:

The Health Services Department is requesting to add 35 positions allocated to the Brentwood Health Center to meet the increased volume and patient care demand associated with the Affordable Care Act and the resulting growth of membership in the Contra Costa Health Plan. Data shows the majority of members reside in East Contra Costa County, and to accommodate this growth, the Department is expanding its ambulatory care patient services in Antioch, Pittsburg, and Brentwood Health Centers. The Department is submitting individual position adjustment resolutions for each health center expansion in several phases.

The Brentwood Health Center is currently undergoing construction to add 12 examination rooms for Family Practice Medicine. Family Practice Clinics will increase its weekly hours from 200 to 608 with full capacity and serve a weekly average of 1,520 patient visits. These expanded services will be implemented in three phases with the initial 35 positions added in Phase I. Subsequent requests will be submitted at a later date.

CONSEQUENCE OF NEGATIVE ACTION:

If this action is not approved, the Brentwood Health Center will not have adequate staffing to meet increased demand and volume of patient care services for our CCHP members and residents of East Contra Costa County.

CHILDREN'S IMPACT STATEMENT:

Not applicable.

ATTACHMENTS

P300 No. 21895 HSD

P300 No. 21895 Attachment 1

# POSITION ADJUSTMENT REQUEST

NO. 21895  
DATE 7/21/2016

Department Health Services

Department No./

Budget Unit No. 0540 Org No. 6390 Agency No. A18

Action Requested: Add 35 permanent positions in the Health Services Department as specified in Attachment 1.

Proposed Effective Date: 8/3/2016

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 \$4,604,219.72

Net County Cost \$0.00

Total this FY \$3,836,849.70

N.C.C. this FY \$0.00

SOURCE OF FUNDING TO OFFSET ADJUSTMENT 100% FQHC Revenues

Department must initiate necessary adjustment and submit to CAO.

Use additional sheet for further explanations or comments.

Jo-Anne Linares

(for) Department Head

REVIEWED BY CAO AND RELEASED TO HUMAN RESOURCES DEPARTMENT

Enid Mendoza

7/25/2016

Deputy County Administrator

Date

HUMAN RESOURCES DEPARTMENT RECOMMENDATIONS

DATE \_\_\_\_\_

Exempt from Human Resources review under delegated authority.

Amend Resolution 71/17 establishing positions and resolutions allocating classes to the Basic / Exempt salary schedule.

Effective: ☒ Day following Board Action.

☐ \_\_\_\_\_(Date)

(for) Director of Human Resources

Date

COUNTY ADMINISTRATOR RECOMMENDATION:

DATE 7/25/2016

☐ Approve Recommendation of Director of Human Resources

☐ Disapprove Recommendation of Director of Human Resources

☒ Other: Approve as recommended by the department.

Enid Mendoza

(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 7/27/2016

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

**POSITION ADJUSTMENT RESOLUTION NO. 21895 ATTACHMENT 1**  
**BRENTWOOD HEALTH CENTER EXPANSION**  
**PHASE I – ADD 35 POSITIONS**

- four (4) 40/40 - Exempt Medical Staff – Physicians (VPW9)
- three (3) 40/40 – Family Nurse Practitioners (VWSB)
- one (1) 40/40 – Charge Nurse (VWTF)
- two (2) 40/40 - Registered Nurse - Experienced Level (VWXD)
- eight (8) 40/40 – Licensed Vocational Nurse (VT7G)
- six (6) 40/40 – Certified Medical Assistant (VTWC)
- one (1) 40/40 - Clerk – Specialist (JWXD)
- eight (8) 40/40 - Clerk – Senior Level (JWXC)
- one (1) 40/40 - Laboratory Technician II (VJVA)
- one (1) 40/40 – Institutional Services Worker – Generalist (1KVD)



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Kathy Gallagher, Employment & Human Services Director  
Date: August 2, 2016

Subject: Community Development Block Grant Consortium funds

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**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, on behalf of the Workforce Development Board Bureau Small Business Development Center, to apply for and accept Community Services Block Grant funding for an amount not to exceed \$115,000 from the Community Development Block Grant (CDBG) Consortium, composed of Urban County (\$50,000); Concord (\$30,000); Pittsburg (\$20,000; and, Walnut Creek (\$15,000), for individualized business advice and group training to low-to-moderate income residents of the County for the period July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

County to receive an amount not to exceed \$115,000; Community Development Block Grant Consortium funding. (No County match)

**BACKGROUND:**

The Small Business Development Center (SBDC) delivers group training and individualized advising to support low-to-moderate income individuals achieve self sufficiency by starting and/or growing micro-enterprises. The project utilizes matching Small Business Administration funds to supports the creation of additional employment opportunities by delivering services focused on accessing capital, securing certifications & procurement contracts, and exporting & increasing sales. The Contra Costa Department of Conservation and Development will make funding available funding to provide these services to low income residents of the County.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Elaine Burres,  
313-1717

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

By: , Deputy

cc:

CONSEQUENCE OF NEGATIVE ACTION:

Without funding, services to low-to-moderate income individuals and micro-enterprises in Contra Costa County could not be designed and implemented by the Small Business Development Center.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Interagency Agreement #29-513-19 with Mount Diablo Unified School District

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**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Interagency Agreement #29-513-19 with Mount Diablo Unified School District, a government agency, to pay the County an amount not to exceed \$533,891, to provide professional school-based mental health services, crisis intervention, and day treatment for certain Special Education and regular students, for the period from July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

Approval of this Interagency Agreement will result in an amount not to exceed \$533,891 from Mount Diablo Unified School District. No County match required.

**BACKGROUND:**

Fred Finch Youth Center, Families First, and Seneca Residential & Day Treatment Center for Children work collaboratively with the County and school district personnel in developing program services and policies. The primary goal of the Early and Periodic Screening, Diagnosis and Treatment (EPSDT) Program and non-Medi-Cal mental health programs, are to continue to

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cynthia Belon,  
957-5201

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

By: , Deputy

cc: D Morgan, M Wilhelm



**BACKGROUND: (CONT'D)**

provide seriously emotionally disturbed children with the services and the support they need to function effectively in school, at home, and in the community.

Approval of Interagency Agreement #29-513-19 will allow Mount Diablo Unified School District to continue to pay the County for the provision of professional mental health services through June 30, 2017.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this agreement is not approved, special education and regular students will not receive school-based mental health services and crisis intervention services.

**CHILDREN'S IMPACT STATEMENT:**

This program supports the following Board of Supervisors' community outcomes: "Children Ready For and Succeeding in School"; "Families that are Safe, Stable, and Nurturing"; and "Communities that are Safe and Provide a High Quality of Life for Children and Families". Expected program outcomes include an increase in positive social and emotional development as measured by the Child and Adolescent Functional Assessment Scale (CAFAS).



Contra  
Costa  
County

To: Board of Supervisors  
From: Kathy Gallagher, Employment & Human Services Director  
Date: August 2, 2016

Subject: Senior Service America, Inc. grant funding

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**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to apply for and accept Senior Service America, Inc. grant funding in an amount not to exceed \$271,704 for the Senior Community Service Employment Program for the period July 1, 2016 through December 31, 2016.

**FISCAL IMPACT:**

County to receive an amount not to exceed \$271,704. (100% Federal) (County match \$35,250)

**BACKGROUND:**

The Senior Community Service Employment Program provides employment-related services to low income seniors with the most-in-need characteristics. Most-in-need characteristics include veteran status, homelessness or at risk of homelessness, disability, English as a second language, limited literacy, frailty, and low employment prospects. Program participants may be placed in subsidized employment while they gain the necessary training and skills to become "job ready" for unsubsidized placement.

**CONSEQUENCE OF NEGATIVE ACTION:**

Without funding, employment training services to low income seniors would be curtailed.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Elaine Burres,  
313-1717

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

By: , Deputy

cc:

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra  
Costa  
County

To: Board of Supervisors  
From: David O. Livingston, Sheriff-Coroner  
Date: August 2, 2016

Subject: Board of State & Community Corrections Grant

---

**RECOMMENDATION(S):**

ADOPT Resolution No. 2016/469 authorizing the Sheriff-Coroner, or designee, to apply and accept the Board of State & Community Corrections, FY 2016-2018 Strengthening Law Enforcement and Community Corrections Grant in an initial amount of \$600,000 for support of a proposed two-year program designed to collaborate with non-profit organizations and community members to develop strategies in neighborhoods disproportionately affected by poverty, crime, at-risk or vulnerable populations, and general quality of life issues. This action supersedes action by the Board of Supervisors on March 29, 2016, item number C.84 in which a resolution was not attached.

**FISCAL IMPACT:**

\$600,000, 100% State funds, 20% County match, 30% pass through to community partner(s), and required set-aside funds of 5% or not less than \$20,000 allotted for Local Evaluation Plan and related data collection.

**BACKGROUND:**

The Strengthening Law Enforcement and Community Relations Grant is intended to fund collaborative law enforcement-community partnerships that aim to improve, strengthen,

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Sandra Brown  
925-335-1553

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

By: , Deputy

cc:

#### BACKGROUND: (CONT'D)

establish or reestablish positive and meaningful relationships between law enforcement and the communities they serve. The Office of the Sheriff is proposing to work in partnership with the YMCA of the USA, Housing Authority of Contra Costa County, the Head Start Program, LifeLong Medical, John Swett Unified School District, and the Bayo Vista Resident Council to address current and emerging issues impacting at-risk youth in the Bayo Vista Housing Development in the city of Rodeo. The main goal of our proposal is to promote public trust and reaffirm our guardianship role within the Bayo Vista community. A heightened focus will be placed on the issues of poverty, education, delinquency, health, and public safety and facilitating an achievable path for betterment through collaboration, positive interaction, creative programming, and successful resource allocation. The grant period for these funds is July 1, 2016 through the end of the grant funding and grantees have two years to spend funds. The maximum allowable grant amount is \$600,000 for individual agencies with a 20% local match, 30% pass-through to designated partners and 5% allocation for data collection and evaluation. The local match obligation can be met through cash or in-kind matching funds, or combination of both. The Office of the Sheriff is seeking \$600,000 in funding to assign a full-time deputy to the Bayo Vista Housing Development for the first year and a half-time funded deputy for the second year to oversee and coordinate the program. Additional funding (30%) will be provided to our non-profit counterparts, and remaining funding used for associated resources/materials specific to the program.

#### CONSEQUENCE OF NEGATIVE ACTION:

A decision not to pursue grant funding would preclude the Office of the Sheriff's efforts to develop a more comprehensive service delivery model and enhanced outreach to the Bayo Vista community.

#### CHILDREN'S IMPACT STATEMENT:

The loss of needed services for at-risk youth residing in the Bayo Vista Housing Development.

#### ATTACHMENTS

Resolution No. 2016/469

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
**and for Special Districts, Agencies and Authorities Governed by the Board**

Adopted this Resolution on 08/02/2016 by the following vote:

**AYE:** ☐  
**NO:** ☐  
**ABSENT:** ☐  
**ABSTAIN:** ☐  
**RECUSE:** ☐



**Resolution No. 2016/469**

IN THE MATTER OF: Applying for and Accepting the FY 2016/2018 State of California Board of State and Community Corrections Strengthening Law Enforcement and Community Relations Grant.

WHEREAS the County of Contra Costa is seeking funds available through the State of California Board of State and Community Corrections;

Now, THEREFORE, BE IT RESOLVED that the Board of Supervisors: Authorizes the Sheriff-Coroner, Undersheriff or the Sheriff's Chief of Management Services, to execute for and on behalf of the County of Contra Costa, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining State financial assistance provided by the State of California.

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: August 2, 2016**

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

**Contact: Sandra Brown 925-335-1553**

By: , Deputy

**cc:**



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #23-429-3 with John Muir Health (dba John Muir Medical Center, Concord Campus)

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Contract #23-429-3 with John Muir Health (dba John Muir Medical Center), Concord Campus, a non-profit corporation, to act as a designated center to assist patients who have been assessed by ambulance personnel with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019.

**FISCAL IMPACT:**

Contractor will pay County a \$5,000 fee to offset the costs of County's oversight activities. There is no general fund impact.

**BACKGROUND:**

In collaboration with hospitals, first-responders, and transport agencies, Contra Costa's Emergency Medical Services (EMS) Agency has been working towards implementing a program designating hospitals as ST Elevation Myocardial Infarction (STEMI) receiving centers. The designated centers will provide the most advanced and rapid care for patients with heart attacks known as STEMI by unblocking arteries in the heart in a rapid fashion.

Heart attacks represent a major cause of death and disability in the United States, affecting over 400,000 persons annually. This kind of heart attack occurs among 2.5% to 5% of patients with chest pain or other cardiac symptoms. The number of STEMI affected patients identified by Contra Costa EMS providers are estimated to be in the range of 100-150 patients per year. On September 17, 2013, the Board of Supervisors approved Contract #23-429-2, with John Muir Health (dba John Muir Medical Center), Concord Campus, to act as a designated STEMI receiving center

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Patricia Frost,  
313-9560

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

By: , Deputy

cc: T Scott , M Wilhelm

to provide specialized treatment for STEMI patients with a cardiac condition for the period from September 1, 2013 through August 31, 2016.



**BACKGROUND: (CONT'D)**

Approval of Contract #23-429-3 will allow Contractor to continue providing services through August 31, 2019, including mutual indemnification.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, this designated STEMI receiving center would be disrupted and patients with life threatening cardiac conditions could experience delays in definitive care increasing the risk of permanent disability or death.

**CHILDREN'S IMPACT STATEMENT:**

Not Applicable



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #23-430-3 with John Muir Health, Inc. (dba John Muir Health Walnut Creek Campus)

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Contract #23-430-3 with John Muir Health Inc. (dba John Muir Health) Walnut Creek Campus, a non-profit corporation, to act as a designated center to assist patients who have been assessed by ambulance personnel with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019.

**FISCAL IMPACT:**

Contractor will pay County a fee of \$5,000 per year to offset the costs of County's oversight activities. There is no general fund impact.

**BACKGROUND:**

In collaboration with hospitals, first-responders, and transport agencies, Contra Costa's Emergency Medical Services (EMS) Agency has been working towards implementing a program designating hospitals as ST Elevation Myocardial Infarction (STEMI) receiving centers. The designated centers will provide the most advanced and rapid care for patients with heart attacks known as STEMI by unblocking arteries in the heart in a rapid fashion.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Patricia Frost,  
313-9560

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

By: , Deputy

cc: T Scott , M Wilhelm

#### BACKGROUND: (CONT'D)

Heart attacks represent a major cause of death and disability in the United States, affecting over 400,000 persons annually. This kind of heart attack occurs among 2.5% to 5% of patients with chest pain or other cardiac symptoms. The number of STEMI patients identified by Contra Costa EMS providers are estimated to be in the range of 100-150 patients per year. On September 17, 2013, the Board of Supervisors approved Contract #23-430-2 with John Muir Health, Inc (dba John Muir Medical Center Walnut Creek Campus), to act as a designated STEMI receiving center to provide specialized treatment for STEMI patients with a cardiac condition, for the period from September 1, 2013 through August 31, 2016.

Approval of Contract #23-430-3 will allow John Muir Health, Inc to continue providing services through August 31, 2019, including mutual indemnification.

#### CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, this designated STEMI receiving center would be disrupted and patients with life threatening cardiac conditions could experience delays in definitive care increasing the risk of permanent disability or death.

#### CHILDREN'S IMPACT STATEMENT:

Not Applicable



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #23-437-3 with San Ramon Regional Medical Center

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Contract #23-437-3 with San Ramon Regional Medical Center, a non-profit corporation, to act as a designated center to assist patients who have been assessed by ambulance personnel with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019.

**FISCAL IMPACT:**

Contractor will pay County a fee of \$5,000 per year to offset the costs of County's oversight activities. There is no general fund impact.

**BACKGROUND:**

In collaboration with hospitals, first-responders, and transport agencies, Contra Costa's Emergency Medical Services (EMS) Agency has been working towards implementing a program designating hospitals as ST Elevation Myocardial Infarction (STEMI) receiving centers. The designated centers will provide the most advanced and rapid care for patients with heart attacks known as STEMI by unblocking arteries in the heart in a rapid fashion.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Patricia Frost,  
313-9560

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

By: , Deputy

cc: T Scott , M Wilhelm

BACKGROUND: (CONT'D)

Heart attacks represent a major cause of death and disability in the United States, affecting over 400,000 persons annually. This kind of heart attack occurs among 2.5% to 5% of patients with chest pain or other cardiac symptoms. The number of STEMI patients identified by Contra Costa EMS providers are estimated to be in the range of 100-150 patients per year. On September 10, 2013, the Board of Supervisors approved Contract #23-437-2 with San Ramon Regional Medical Center to act as a designated STEMI receiving center to provide specialized treatment for STEMI patients with cardiac conditions, for the period from September 1, 2013 through August 31, 2016.

Approval of Contract #23-437-3 will allow the Contractor to continue providing services through August 31, 2019, including mutual indemnification.

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, Contractor will not act as a designated STEMI receiving center for patients with cardiac conditions.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #23-434-3 with Kaiser Foundation Hospitals - Walnut Creek Medical Center

---

**RECOMMENDATION(S):**

Approve and authorize the Health Services Director, or his designee, to execute, on behalf of the County, Contract #23-434-3 with Kaiser Foundation Hospitals - Walnut Creek Medical Center, a non-profit corporation, to act as a designated center to assist patients who have been assessed by ambulance personnel with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019.

**FISCAL IMPACT:**

Contractor will pay County a fee of \$5,000 per year to offset the costs of County's oversight activities. There is no general fund impact.

**BACKGROUND:**

In collaboration with hospitals, first-responders, and transport agencies, Contra Costa's Emergency Medical Services (EMS) Agency has been working towards implementing a program designating hospitals as ST Elevation Myocardial Infarction (STEMI) receiving centers. The designated centers will provide the most advanced and rapid care for patients with heart attacks known as STEMI by unblocking arteries in the heart in a rapid fashion.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Patricia Frost,  
313-9560

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

By: , Deputy

cc: T Scott, M Wilhelm

BACKGROUND: (CONT'D)

Heart attacks represent a major cause of death and disability in the United States, affecting over 400,000 persons annually. This kind of heart attack occurs among 2.5% to 5% of patients with chest pain or other cardiac symptoms. The number of STEMI patients identified by Contra Costa EMS providers are estimated to be in the range of 100-150 patients per year. On September 17, 2013, the Board of Supervisors approved Contract #23-434-3 with Kaiser Foundation Hospitals, Walnut Creek to act as a designated STEMI receiving center to provide specialized treatment for STEMI patients with a cardiac condition, through August 31, 2016.

Approval of Contract #23-434-3 will allow the Contractor to continue providing services through August 31, 2019, including mutual indemnification.

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, this designated STEMI receiving center would be disrupted and patients with life threatening cardiac conditions could experience delays in definitive care increasing the risk of permanent disability or death.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #23-442-3 with Sutter East Bay Hospitals (dba Sutter Delta Medical Center)

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Contract #23-442-3 with Sutter East Bay Hospitals (dba Sutter Delta Medical Center), a non-profit corporation, to act as a designated center to assist patients who have been assessed by ambulance personnel with a cardiac condition known as ST Elevation Myocardial Infarction (STEMI), for the period from September 1, 2016 through August 31, 2019.

**FISCAL IMPACT:**

Contractor will pay County a fee of \$5,000 per year to offset the costs of County's oversight activities. There is no general fund impact.

**BACKGROUND:**

In collaboration with hospitals, first-responders, and transport agencies, Contra Costa's Emergency Medical Services (EMS) Agency has been working towards implementing a program designating hospitals as ST Elevation Myocardial Infarction (STEMI) receiving centers. The designated centers will provide the most advanced and rapid care for patients with heart attacks known as STEMI by unblocking arteries in the heart in a rapid fashion.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Patricia Frost,  
313-9560

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

By: , Deputy

cc: T Scott, M Wilhelm



BACKGROUND: (CONT'D)

Heart attacks represent a major cause of death and disability in the United States, affecting over 400,000 persons annually. This kind of heart attack occurs among 2.5% to 5% of patients with chest pain or other cardiac symptoms. The number of STEMI patients identified by Contra Costa EMS providers are estimated to be in the range of 100-150 patients per year. On September 24, 2013, the Board of Supervisors approved Contract #23-442-2 with Sutter East Bay Hospitals (dba Sutter Delta Medical Center), to act as a designated STEMI receiving center to provide specialized treatment for STEMI patients with a cardiac condition, for the period from September 1, 2013 through August 31, 2016.

Approval of this Contract #23-442-3 will allow Contractor to continue to provide services through August 31, 2019, including mutual indemnification.

CONSEQUENCE OF NEGATIVE ACTION:

If this contract is not approved, Contractor will not act as a designated STEMI receiving center for patients with cardiac conditions.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



**Contra  
Costa  
County**

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: State-Local Partnership Grant from the California Arts Council

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**RECOMMENDATION(S):**

Approve and Authorize the County Administrator, or designee, to apply for and accept a grant in an amount not to exceed \$30,000 from the State of California, California Arts Council, for the County to provide advocacy for the advancement of the arts in Contra Costa County for the term of October 1, 2016 through September 30, 2017.

**FISCAL IMPACT:**

The grant requires a 1:1 County match of the awarded amount of which 50% can be in-kind contributions. The County match is budgeted.

**BACKGROUND:**

Established by the Board of Supervisors in December 1996 as an official County commission and the authorized County partner with the California Arts Council, the Arts and Culture Commission (AC5) first applied for and received funding from the State-Local Partnership Program in July 1995 for fiscal year 1995-1996. Since that time, the Board of Supervisors has designated and reaffirmed the Arts and Culture Commission as the authorized partner of the State-Local Partnership Program of the California Arts Council. This

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: Enid Mendoza, (925)  
335-1039

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

By: , Deputy

cc:

BACKGROUND: (CONT'D)

designation allows the County to apply for and accept funding from the State to enhance art and culture programs in the county.

The State-Local Partnership Program fosters community development through the arts at the county level via partnerships between the California Arts Council and a local arts agency. Partners benefit from funding, technical assistance and coordinated activities that support their efforts that enrich the lives of the members of their communities through the arts.

CONSEQUENCE OF NEGATIVE ACTION:

The County will not receive available grant funds.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra  
Costa  
County

To: Board of Supervisors  
From: David O. Livingston, Sheriff-Coroner  
Date: August 2, 2016

Subject: Educational Courses for the Law Enforcement Training Center

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Sheriff-Coroner, or designee, to execute a contract with the Contra Costa Community College District in an amount not to exceed \$631,125 to provide educational courses at the Law Enforcement Training Center for the period July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

No County costs. \$631,125 revenue. The College District will pay the Office of the Sheriff \$3.75 per student instructional hour that is eligible for state general apportionment less guest lecturer costs and standard student enrollment fees.

**BACKGROUND:**

The Contra Costa Community College District provides educational courses through its various programs to meet the needs of the Office of the Sheriff's Training Program. The Contra Costa Community College District will transcript all acceptable coursework for the Office of the Sheriff's Law Enforcement Training Center students.

**CONSEQUENCE OF NEGATIVE ACTION:**

The Office of the Sheriff will not be able to transcript certain classes taken by students of the Law Enforcement Training Center (LETC). In addition, \$3.75 per student instructional hour will not be claimable, resulting in a budget shortfall of \$631,125 in the LETC Enterprise Fund for fiscal year 2016/17.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: Sandra Brown,  
335-1553

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

By: , Deputy

cc:

CHILDREN'S IMPACT STATEMENT:

None.



**Contra  
Costa  
County**

To: Board of Supervisors

From: Julia R. Bueren, Public Works Director/Chief Engineer

Date: August 2, 2016

Subject: Adopt Resolution of Acceptance and Notice of Completion for the Roof Replacement at 2099 Arnold Industrial Way, Concord Project (WH286B)

---

**RECOMMENDATION(S):**

(1) ADOPT Resolution No. 2016/154 accepting as complete the construction contract work performed by Roofing Constructors Inc. d/b/a Western Roofing Service for the Roof Replacement at 2099 Arnold Industrial Way, Concord project.

(2) DIRECT the Clerk of the Board to file with the County Recorder a certified copy of Resolution No. 2016/154 and the attached Notice of Completion no later than fifteen (15) days after adoption.

**FISCAL IMPACT:**

There is no direct fiscal impact resulting from the adoption of the Resolution of Acceptance and Notice of Completion, but the adoption and recording will limit the period for filing stop payment notices and bond claims on this contract.

**BACKGROUND:**

The roof at the facility was identified in the Facilities Life-Cycle Investment Program report as being in poor condition and in need of replacement. The roof had

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Ramesh Kanzaria, (925)  
313-2000

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

By: , Deputy

cc: PW Accounting, PW CPM Division Manager, PW CPM Project Manager, PW CPM Clerical, Auditor's Office, Auditor's Office, County Counsel's Office, County Administrator's Office, County Administrator's Office

BACKGROUND: (CONT'D)

begun leaking in a few spots. The project scope included the removal and replacement of existing roofing, flashing, drains and skylights.

On August 18, 2015, the County entered into a construction contract with Roofing Constructors Inc. d/b/a Western Roofing Service for the subject project. The above contract has been completed in accordance with the approved plans and specifications. It is recommended that the work covered by the contract be accepted by adopting a Resolution of Acceptance and Notice of Completion (Resolution No. 2016/154).

CONSEQUENCE OF NEGATIVE ACTION:

Accepting a contract as complete is standard procedure and allows for proper closeout of the contract. If the above contract is not accepted as complete, the period for filing stop payment notices and bond claims may be extended.

ATTACHMENTS

Resolution No. 2016/154

Notice of Completion

Recorded at the request of: Clerk of the Board of Supervisors

Return To: Capital Projects Management Division, 255 Glacier Drive, Martinez, CA 94553

**THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA**  
and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 08/02/2016 by the following vote:

AYE: ☐

NO: ☐

ABSENT: ☐

ABSTAIN: ☐

RECUSE: ☐

Resolution No. 2016/154

IN THE MATTER OF: Accepting and Giving Notice of Completion of Contract with Roofing Constructors Inc. d/b/a Western Roofing Service for the Roof Replacement at 2099 Arnold Industrial Way, Concord project, Authorization No. WH286B

WHEREAS, on August 18, 2015, the County (Owner) contracted with Roofing Constructors Inc. d/b/a Western Roofing Service (General Contractor), for the above construction project, with XL Specialty Insurance Company as Surety, for work performed on Owner's property located at 2099 Arnold Industrial Way, Concord, and

WHEREAS, the Director of Public Works reports that said work has been inspected and complies with the approved plans and specifications, and recommends it acceptance as of August 2, 2016.

NOW, THEREFORE, BE IT RESOLVED that:

1. The contract work for the above project is accepted as recommended above; and
2. Within fifteen (15) days after adoption of this Resolution, the Clerk of the Board shall file with the County Recorder a certified copy of this Resolution of Acceptance and the attached Notice of Completion.

Contact: Ramesh Kanzaria, (925) 313-2000

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: August 2, 2016

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

By: , Deputy

cc: PW Accounting, PW CPM Division Manager, PW CPM Project Manager, PW CPM Clerical, Auditor's Office, Auditor's Office, County Counsel's Office, County Administrator's Office, County Administrator's Office



Recorded at the request of:

Contra Costa County Public Works Dept.  
Capital Projects Management Div.

When recorded, return to:

Contra Costa County Public Works Dept.  
Capital Projects Management Div.  
255 Glacier Drive  
Martinez, CA 94553

### **NOTICE OF COMPLETION**

(Civil Code Section 9204)

NOTICE IS GIVEN of completion of the following public work of improvement:

- (1) Project name: Roof Replacement at 2099 Arnold Industrial Way, Concord
- (2) Date of completion: August 2, 2016
- (3) Name and address of Owner: Contra Costa County, c/o Contra Costa County Public Works Department, Capital Projects Management Division, 255 Glacier Drive, Martinez, CA 94553
- (4) Name and address of Direct Contractor: Roofing Constructors, Inc., 15002 Wicks Boulevard, San Leandro, CA 94577
- (5) Name and address of Construction Lender: None
- (6) Description of site: 2099 Arnold Industrial Way, Concord

I, the undersigned, declare under penalty of perjury under the laws of the State of California that I am the agent of the Owner named above, that I have read this Notice, that I know and understand the contents, and that the facts stated in the Notice are true and correct.

Dated: August 2, 2016

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Ramesh Kanzaria  
Contra Costa County Public Works Dept.  
Capital Projects Management Div.



# Contra Costa County

To: Board of Supervisors  
From: Ed Woo, Chief Information Officer  
Date: August 2, 2016

Subject: Purchase Order with Dell for New GIS Servers and Storage Vault

---

## **RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Purchasing Agent or designee to execute, on behalf of the Chief Information Officer, a purchase order with Dell Marketing, L.P., in an amount not to exceed \$174,212 for the purchase of Dell servers, storage equipment and support to replace the existing aged Geographic Information System (GIS) servers.

## **FISCAL IMPACT:**

100% County General Fund. The Enterprise GIS servers for the Contra Costa County GIS program will be funded from the GIS budget.

## **BACKGROUND:**

The new Enterprise level Geographic Information System (GIS) servers will replace the County's legacy GIS servers that are currently 10+ years old. Maintenance agreements from vendors do not exist for the obsolete GIS servers at their end-of-use life cycle. The Enterprise GIS has become an important and vital tool for a wide variety of departments and applications within Contra Costa County. Since the inception of the GIS program, there has been a reduction in redundancy across departments, improved efficiency with staff, increased availability of information within the County and to the public. At its core, GIS is the combination of graphical maps with tabular information (such as databases). It provides a tool to assist with solving real-world problems. This tool allows visualization and analysis of spatial information in ways not previously possible.

The County is purchasing the servers and support from Dell through its Dell National Association of State Procurement Officials (NASPO) Master Agreement and Participating Addendum between Dell Marketing, L.P.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Ed Woo (925)  
383-2688

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

By: , Deputy

cc:

**BACKGROUND: (CONT'D)**

and the State of California. Dell sells products and services like the GIS servers and support by using its NASPO Master Agreement and Addendum pricing and terms and conditions. The County, as a political subdivision of the State of California, is a permitted user of the Dell NASPO Master Agreement and Addendum for pricing and terms and conditions.

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 and recommends approval.

**CONSEQUENCE OF NEGATIVE ACTION:**

This equipment order will replace the current server hardware, which is at the end of factory support. Any hardware failures will not be repaired and, therefore, may negatively impact the GIS application availability.



Contra  
Costa  
County

To: Board of Supervisors  
From: Sharon Offord Hymes, Risk Manager  
Date: August 2, 2016

Subject: Contract with TCS Risk Management Services

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Director of Risk Management to execute a contract with TCS Risk Management Services to administer a county-wide ergonomic program effective July 1, 2016 through June 30, 2019 in an amount not to exceed \$591,000.

**FISCAL IMPACT:**

Costs for preventative evaluations and equipment will be charged directly to the Departments. Costs for administration of the ergonomic program will be paid from the Workers' Compensation Internal Service Fund.

**BACKGROUND:**

TCS Risk Management Services provides review and administration of ergonomic programs; employee ergonomic evaluations; installation of ergonomic equipment; discount pricing for equipment; training and coordination with departments; timely delivery of ergonomic evaluations and equipment to prevent or reduce the level of injuries sustained by employees. The results are savings in workers' compensation claims.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Sharon Hymes-Offord  
925.335.1453

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

By: , Deputy

cc:

CONSEQUENCE OF NEGATIVE ACTION:

This program, including the ergonomics laboratory and equipment, will not be available to meet the County's needs and satisfy current regulations.



Contra  
Costa  
County

To: Board of Supervisors  
From: John Kopchik, Director, Conservation & Development Department  
Date: August 2, 2016

Subject: Tassajara Parks EIR Contract Amendment

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Conservation and Development Department Director, or designee, to execute a contract amendment with First Carbon Solutions, to increase the payment limit by \$24,200 to a new payment limit of \$333,039 with no change to the original term of September 10, 2014 through September 9, 2018, for services required to prepare the Environmental Impact Report (EIR) for the Tassajara Parks Project in the Tassajara Valley (San Ramon area).

**FISCAL IMPACT:**

No impact to the General Fund. The applicant is responsible for the payment of additional services.

**BACKGROUND:**

The Department of Conservation and Development contracted with First Carbon Solutions in September of 2014 to prepare an EIR for the Tassajara Parks project. The project involves a 125 unit residential subdivision and includes substantial dedication of park land in the Tassajara Valley / San Ramon area. The project requires approval of a General Plan Amendment, Rezoning, Subdivision and Development Plan applications. First Carbon Solutions has been working on the EIR and identified additional analysis necessary to complete the Draft EIR. Staff concurred that it was necessary to evaluate additional water supply options for the project as well as to provide additional traffic impact analysis. As a result, the level of effort changed to include additional analysis of a recycled water pipeline and traffic impacts in order to complete the Draft EIR. The increased payment limit is necessary to cover the additional work. This is the third budget amendment; the second budget amendment was approved by the Board on January 5, 2016. There is no change to the term of the contract which is valid until September 9, 2018.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: John Osborne  
925-674-7793

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

By: , Deputy

cc:

CONSEQUENCE OF NEGATIVE ACTION:

If the Board does not authorize the EIR contract amendment, there would not be enough funds for First Carbon Solutions to complete the EIR.

ATTACHMENTS



Contra  
Costa  
County

To: Board of Supervisors  
From: Beth Ward, Animal Services Director  
Date: August 2, 2016

Subject: Approve and Authorize a contract amendment with MWI Animal Health

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Animal Services Department Director or designee, to execute a contract amendment with MWI Animal Health to increase the payment limit by \$250,000 to a new payment limit of \$700,000 for veterinary medical supplies and extend the term from September 30, 2016 through December 31, 2016. (37% User Fees, 54% City Revenue, 9% County General Fund)

**FISCAL IMPACT:**

\$700,00: 37% User Fees, 54% City Revenue, 9% County General Fund

**BACKGROUND:**

MWI Animal Health is responsible for providing all of the Animal Services Department's medical and shelter supplies. The proposed amendment will provide the revenue necessary to continue to supplies necessary for the shelter animals veterinary needs.

**CONSEQUENCE OF NEGATIVE ACTION:**

Contra Costa's Animal shelter will be unable to purchase the supplies necessary to provide for the animal's needs.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

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

Contact: (925)  
335-8370

By: , Deputy

cc:



CHILDREN'S IMPACT STATEMENT:

None



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Novation Contract #24-778-25 with Uplift Family Services

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**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Novation Contract #24-778-25 with Uplift Family Services., a non-profit corporation, in an amount not to exceed \$462,382, to provide mental health services to Seriously Emotionally Disturbed (SED) children, including school- and community-based services, and Therapeutic Behavioral Services (TBS) for the period from July 1, 2016 through June 30, 2017. This Contract includes a six-month automatic extension through December 31, 2017, in an amount not to exceed \$228,691.

**FISCAL IMPACT:**

This Contract is funded 49% Federal Financial Participation 50% County Mental Health Realignment and 1% by Mt. Diablo Unified School District. (No rate increase)

**BACKGROUND:**

This Contract meets the social needs of the County's population by providing a variety of mental health services to SED children at schools located within Mt. Diablo Unified School District as well TBS for County-referred children in need of short-term behavioral

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cynthia Belon,  
957-5201

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

By: , Deputy

cc: D Morgan, M Wilhelm

**BACKGROUND: (CONT'D)**

intervention.

On November 17, 2015, the Board of Supervisors approved Novation Contract #24-778-24 with FamiliesFirst, Inc., now known as Uplift Family Services, for the period from July 1, 2015 through June 30, 2016, which included a six-month automatic extension through December 31, 2016, for the provision of mental health services to SED children including school- and community-based services, day treatment and TBS.

Approval of Novation Contract #24-778-25 replaces the automatic extension under the prior Contract and allows Uplift Family Services to provide services through June 30, 2017.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, SED children will not receive the mental health services as needed and will experience out of County and out of State placement.

**CHILDREN'S IMPACT STATEMENT:**

This program supports the following Board of Supervisors' community outcomes: "Children Ready For and Succeeding in School"; "Families that are Safe, Stable, and Nurturing"; and "Communities that are Safe and Provide a High Quality of Life for Children and Families". Expected program outcomes include an increase in positive social and emotional development as measured by the Child and Adolescent Functional Assessment Scale (CAFAS).



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Kathy Gallagher, Employment & Human Services Director  
Date: August 2, 2016

Subject: Contract with Bay Area Community Resources, Inc.

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**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Employment and Human Services Director, or designee, to execute a contract with Bay Area Community Resources, Inc., in an amount not to exceed \$621,000 for Workforce Innovation and Opportunity Act Out-of-School Youth Services for the period of July 1, 2016 through June 30, 2017. (100% Federal)

**FISCAL IMPACT:**

\$621,000.00: 100% Federal (Workforce Innovation and Opportunity Act)

**BACKGROUND:**

This contract was awarded through Request for Proposal (RFP) 1134 for provision of comprehensive Workforce Innovation & Opportunity Act (WIOA) youth development services to eligible out-of-school youth ages 16-24 in West and East Contra Costa County. WIOA defines the nation's job training system and provides guidance for local workforce investment systems designed to increase the employment, retention and earnings of participants, and increase occupational skill attainment by participants.

BACR will provide comprehensive workforce training, placement and wraparound services to 105 out-of-school

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Gina Chenoweth  
3-1648

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

By: , Deputy

cc:

BACKGROUND: (CONT'D)

youth in East and West County. BACR will provide both educational and workforce development strategies that assist youth in returning to and completing high school, and prepare disconnected youth for ongoing education and training, long-term careers and entry into the workplace. BACR will connect with partners from postsecondary institutions to provide pathways to postsecondary education and training, enabling youth to earn a degree and/or an industry-recognized certification or credential in a high growth occupation. (18-357-2)

CONSEQUENCE OF NEGATIVE ACTION:

Out-of-school youth in East and West Contra Costa County will not receive valuable assistance in overcoming barriers to employment, job readiness, educational programs, or career training.

CHILDREN'S IMPACT STATEMENT:

The services provided under this contract support all five of Contra Costa County's community outcomes: (1) "Children Ready for and Succeeding in School"; (2) "Children and Youth Healthy and Preparing for Productive Adulthood"; (3) "Families that are Economically Self-Sufficient"; (4) "Families that are Safe, Stable and Nurturing"; and (5) "Communities that are Safe and Provide a High Quality of Life for Children and Families" by training and providing employment opportunities for youth.



Contra  
Costa  
County

To: Board of Supervisors  
From: Todd Billeci, Interim County Probation Officer  
Date: August 2, 2016

Subject: Contract with STAND! for Families Free of Violence

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Interim County Probation Officer, or designee, to execute a contract with STAND! For Families Free of Violence in the amount of \$107,238 to provide parenting training for participants ages 14-25 who are involved with the criminal justice system, for the period of July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

\$107,238; 100% State Proud Parenting Grant Program. Funding for Parenting Training is received from the Proud Parenting Grant awarded by the Board of State and Community Corrections and will not require any General Funds.

**BACKGROUND:**

In June 2016 the Contra Costa County Probation Department applied to the Board of State and Community Corrections for funds to continue facilitation of Proud Parenting Programs for young fathers and mothers involved in the criminal justice system, for the period July 1, 2016 through June 30, 2017. The Department was successful in its application and will now enter into a contract with STAND! to continue services for youth ages 14-25 involved in the criminal justice system.

**CONSEQUENCE OF NEGATIVE ACTION:**

The Probation Department will be unable to contract with STAND! For Families Free of Violence for Proud Parenting services.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Danielle Fokkema,  
925-313-4195

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

By: , Deputy

cc:

**CHILDREN'S IMPACT STATEMENT:**

Services provided will improve the quality of life for youth in the juvenile justice system and their children and provide a service to which they might not otherwise have access.



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #26-958-12 with Muir Orthopaedic Specialists

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, on behalf of the County, Contract #26-958-12 with Muir Orthopaedic Specialists, a Medical Group, Inc., a corporation, in an amount not to exceed \$225,000 for the provision of orthopaedic services for patients at Contra Costa Regional Medical Center and Contra Costa Health Centers (CCRMC), for the period from August 1, 2016 through July 31, 2019.

**FISCAL IMPACT:**

Funded 100% Hospital Enterprise I Funds. (No rate increase)

**BACKGROUND:**

On August 6, 2013, the Board of Supervisors approved Contract #26-958-11, Muir Orthopaedic Specialists, a Medical Group, Inc. to provide orthopaedic services for CCRMC including but not limited to; clinic coverage, on-call, consultation, training, and surgical procedures for the period from August 1, 2013 through July 31, 2016.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Samir Shah, M.D.,  
370-5525

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

By: , Deputy

cc: K Cyr, M Wilhelm



**BACKGROUND: (CONT'D)**

Approval of Contract #26-958-12 will allow Contractor to continue to provide orthopaedic services through July 31, 2019.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, patients requiring orthopaedic 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: August 2, 2016

Subject: Approve Novation Contract #74-375-7 with Rainbow Community Center of Contra Costa County

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, on behalf of the County, Novation Contract #74-375-7 with Rainbow Community Center of Contra Costa County, a non-profit corporation, in an amount not to exceed \$227,120, to provide Mental Health Services Act (MHSA) Prevention and Early Intervention (PEI) services for the period from July 1, 2016 through June 30, 2017. This Contract includes a six-month automatic extension through December 31, 2017, in an amount not to exceed \$113,560.

**FISCAL IMPACT:**

This Contract is funded 100% Mental Health Services Act. (Rate increase) (3% Cost of Living Adjustment [COLA]).

**BACKGROUND:**

This Contract meets the social needs of County's population by providing a community-based social support program designed to decrease isolation, depression and suicidal ideation among members of the Lesbian, Gay, Bisexual, Transgender and Questioning (LGBTQ) community residing in Contra Costa County. On July 7, 2015, the Board of Supervisors approved Contract #74-375-6

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cynthia Belon,  
957-5201

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

By: , Deputy

cc: K Cyr, M Wilhelm

**BACKGROUND: (CONT'D)**

with Rainbow Community Center of Contra Costa County, located in Concord, for the period from July 1, 2015 through June 30, 2016, which included a six-month automatic extension through December 31, 2016, for the provision of MHSA PEI services.

Approval of Novation Contract #74-375-7 replaces the automatic extension under the prior Contract, and allows Contractor to continue providing services through June 30, 2017.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, Contractor will not provide outreach and community engagement events, support groups, in-services, and counseling to the LGBTQ community and their families.

**CHILDREN'S IMPACT STATEMENT:**

This program supports the following Board of Supervisors' community outcomes: "Children Ready For and Succeeding in School"; "Families that are Safe, Stable, and Nurturing"; and "Communities that are Safe and Provide a High Quality of Life for Children and Families". Expected program outcomes include an increase in positive social and emotional development as measured by the Child and Adolescent Functional Assessment Scale (CAFAS).



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Julia R. Bueren, Public Works Director/Chief Engineer  
Date: August 2, 2016

Subject: Approve a Change Order for Xerox Corporation to increase the maximum payment limit.

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Purchasing Agent, or designee, to execute, on behalf of the Public Works Director, a Change Order to Purchase Order No. 49916 with Xerox Corporation, to increase the payment limit by \$450,000, to a new payment limit of \$829,039, for monthly equipment maintenance, for the remainder of the lease which expires on December 14, 2018, Countywide. (100% Department User Fees)

**FISCAL IMPACT:**

100% Department User Fees.

**BACKGROUND:**

Print and Mail Services provides high-speed copying and printing for departments. The maintenance charges of the lease on PO 49916 increased from \$2472.24 a month to \$2515.84 a month. The black copy impressions increased from \$.039 to \$.041 each; Large black copies from \$.006 to \$.0064 each and color copy impressions increased from \$.0099 to \$.0104 each on July 11, 2015. The amount of impressions produced increased significantly almost six months after the start of the contract which is the main contributor for the shortage on the value for the term of the contract.

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☒ APPROVE

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☒ RECOMMENDATION OF CNTY ADMINISTRATOR

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COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Dale Morseman  
925-646-5515

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

By: , Deputy

cc:

CONSEQUENCE OF NEGATIVE ACTION:

If this request is not approved, Xerox could repossess the equipment for failure to fulfill the term of the contract, leaving Print and Mail Services without the necessary equipment to provide the departments with lower cost color copies.



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Novation Contract #74-414-6 with Young Men's Business Association of the East Bay

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, on behalf of the County, Novation Contract #74-414-6 with Young Men's Business Association of the East Bay, a non-profit corporation, in an amount not to exceed \$97,000, to provide Mental Health Services Act (MHSA) Prevention and Early Intervention (PEI) services to multi-cultural youth through the James Morehouse Project for the period from July 1, 2016 through June 30, 2017. This Contract includes a six-month automatic extension through December 31, 2017, in an amount not to exceed \$48,500.

**FISCAL IMPACT:**

This Contract is funded 100% Mental Health Services Act (MHSA). (3% Cost of Living Adjustment [COLA]) (Rate increase)

**BACKGROUND:**

This Contract meets the social needs of the County's population by providing improved access to health care, education, mental health and suicide prevention to multi-cultural youth from diverse households in the Iron Triangle neighborhood of Richmond.

On July 7, 2015, the Board of Supervisors approved Contract #74-414-5 with Young Men's Christian Association of the East Bay, for the period from July 1, 2015 through June 30, 2016, which included a six-month automatic extension through December 31, 2016, for the provision of MHSA PEI services.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cynthia Belon,  
957-5201

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

By: , Deputy

cc: E Suisala, M Wilhelm

**BACKGROUND: (CONT'D)**

Approval of Novation Contract #74-414-6 replaces the automatic extension under the prior Contract and allows Contractor to continue providing services through June 30, 2017, including modifications to County's standard indemnification provision.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, Residents of Richmond's Iron Triangle will not receive the PEI services to influence factors that bear upon the healthy development and education of children from the community and improve community participation in education and health promotion, health protection, and violence prevention efforts.

**CHILDREN'S IMPACT STATEMENT:**

This MHSA-PEI program supports the following Board of Supervisors' community outcomes: "Families that are Safe, Stable, and Nurturing"; and "Communities that are Safe and Provide a High Quality of Life for Children and Families". Expected program outcomes include increases in social connectedness, communication skills, parenting skills, and knowledge of the human service system in Contra Costa County.



Contra  
Costa  
County

To: Board of Supervisors  
From: David O. Livingston, Sheriff-Coroner  
Date: August 2, 2016  
Subject: Vislink, Inc. contract

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Sheriff-Coroner, or designee, to execute a contract with Vislink, Inc. in an amount not to exceed \$245,000 for the purchase of equipment, installation and support for a downlink system for the Sheriff's helicopters for the period August 1, 2016 through July 31, 2017.

**FISCAL IMPACT:**

\$238,531, of which will be obtained from the FY2015 Urban Area Security Initiative(UASI)funds granted by the Department of Homeland Security through the California Governor's Office of Emergency Services. No required match.

**BACKGROUND:**

The Sheriff's Office intends to use the funds awarded by the Urban Areas Security Initiative (UASI) FY 2015 grant project to execute a contract with Vislink, Inc. for the purchase of airborne digital downlink equipment and installation services for one of the Sheriff's Office helicopters (STARR 3). The downlink equipment will be able to send digital video and images from the aircraft to additional fixed antenna receiving site(s) strategically placed throughout the county to provide a highly reliable video downlink transmit, receive, and distribution solution compatible with existing equipment already installed in Sheriff's Office assets (Mobile Command Vehicle and STARR 1).

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☒ APPROVE

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COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Sandra Brown  
925-335-1553

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

By: , Deputy

cc:



CONSEQUENCE OF NEGATIVE ACTION:

A negative action on this agenda item will cause the Office of the Sheriff to lose the grant funding and not be able to enhance on the already installed equipment on the Sheriff's Office assets.

CHILDREN'S IMPACT STATEMENT:

None.



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #74-495-1 with Berkeley Youth Alternatives

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Contract #74-495-1 with Berkeley Youth Alternatives, a non-profit corporation, in an amount not to exceed \$100,066, to provide school-based mental health services to seriously emotionally disturbed children, for the period from July 1, 2016 through June 30, 2017. This Contract includes a six-month automatic extension through December 31, 2017, in an amount not to exceed \$50,033.

**FISCAL IMPACT:**

This Contract is funded 50% Federal Financial Participation and 50% County Realignment. (Rate Increase) (3% Cost of Living Adjustment [COLA])

**BACKGROUND:**

This Contract meets the social needs of County's population by providing state-mandated school-based mental health services to seriously emotionally disturbed students, and their families. On July 28, 2015 the Board of Supervisors approved Contract #74-495 with Berkeley Youth Alternatives for the provision of school-based mental health services for seriously emotionally disturbed students in Alameda County, who reside in Contra Costa County, for the period from

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cynthia Belon,  
957-5201

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

By: , Deputy

cc: K Cyr, M Wilhelm

**BACKGROUND: (CONT'D)**

July 1, 2015 through June 30, 2016, which includes a six-month automatic extension through December 31, 2016.

Approval of Contract #74-495-1 replaces the automatic extension under the prior contract and will allow the Contractor to continue to provide school-based mental health services for seriously emotionally disturbed students through June 30, 2017.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, County residents will not receive services provided by this Contractor.

**CHILDREN'S IMPACT STATEMENT:**

This program supports the following Board of Supervisors' community outcomes: "Children Ready For and Succeeding in School"; "Families that are Safe, Stable, and Nurturing"; and "Communities that are Safe and Provide a High Quality of Life for Children and Families". Expected program outcomes include an increase in positive social and emotional development as measured by the Child and Adolescent Functional Assessment Scale (CAFAS).



**Contra  
Costa  
County**

To: Board of Supervisors

From: Julia R. Bueren, Public Works Director/Chief Engineer

Date: August 2, 2016

Subject: APPROVE and AUTHORIZE Amendment No. 2 to Consulting Services Agreement with The Ratcliff Architects for As-Needed Architectural Services

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Public Works Director, or designee, to execute a contract amendment with The Ratcliff Architects, effective August 2, 2016, to increase the payment limit by \$400,000 to a new payment limit of \$1,300,000, for as-needed architectural services, with no change to the original term, Countywide.

**FISCAL IMPACT:**

100% various funds. Projects will be assigned to Ratcliff Architects when there is an approved project and funding.

**BACKGROUND:**

On September 10, 2013, the Board of Supervisors approved an as-needed Consulting Services Agreement with The Ratcliff Architects ("Ratcliff") an amount of \$400,000. On December 15, 2015, the Board of Supervisors approved Amendment No. 1 in the amount of \$500,000.

Ratcliff is the architect that has been assigned the Family Practice Clinic Expansion on the 2nd floor at 2311 Loveridge Road in Pittsburg since the beginning of the project. This project has just been awarded and still requires construction administration. Ratcliff is also currently working on construction documents

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Ramesh Kanzaria, (925)  
313-2000

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

By: , Deputy

cc: PW Accounting, PW CPM Division Manager, PW CPM Clerical, Auditor's Office, County Counsel's Office, County Administrator's Office, County Administrator's Office

BACKGROUND: (CONT'D)

for the Tenant Improvements on the 1st floor of the Pittsburg Health Center.

In addition, Ratcliff is under contract working on several other health care facilities projects, mainly at the Contra Costa Regional Medical Center in Martinez, and on a smaller Facilities Life-Cycle Investment Program (FLIP) project at the Martinez Detention Facility.

The contract limit of \$900,000 has nearly been reached. Amendment No. 2 is necessary to provide for the additional costs associated with the completion of design services, including bidding and permit phases, complying with the Office of Statewide Health Planning and Development and/or County Building Inspection requirements, and construction administration for these ongoing projects.

Ratcliff is familiar with these active projects, and the design and construction of health care facilities; therefore, it is recommended that the contract amendment be awarded at this time.

Additional fees will be used for additional projects which include remodels, tenant improvements, additions, modernization, mechanical, electrical, and plumbing upgrades, and code-related improvements. Projects may also include investigations, studies, and reports. Some of the anticipated projects include those identified in the County's FLIP projects under the recent budget allocation for capital projects and deferred maintenance. Having this as-needed agreement in place will allow the design phase to commence sooner and provide for a shorter project completion schedule.

CONSEQUENCE OF NEGATIVE ACTION:

If this amendment is not approved, projects currently in process will be delayed, which will ultimately result in higher project costs.



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Payments for Services Provided by California Ambulance

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Auditor-Controller, or his designee, to pay \$126,881.26 to California Ambulance for non-emergency transportation services rendered to patients of the Contra Costa Regional Medical Center and Health Centers during the period January 9, 2012 through June 30, 2016.

**FISCAL IMPACT:**

100% funding is included in the Hospital Enterprise Fund I budget.

**BACKGROUND:**

California Ambulance provides non-emergency transportation services to patients of the Contra Costa Regional Medical Center (CCRMC). On December 15, 2015, the Board of Supervisors approved payment in the amount of \$90,669.92 to California Ambulance for non-emergency transportation services rendered to patients of the Contra Costa Regional Medical Center and Health Centers during the period October 1, 2013 through June 30, 2015. This was done with the understanding that an additional payment request would be submitted to the Board for the period January 9, 2012 through September 30, 2013 once an internal review of the claims received for services rendered during

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Anna Roth,  
370-5101

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

By: , Deputy

cc: Tasha Scott, M Wilhelm

BACKGROUND: (CONT'D)

this time period was completed.

Prior to completing our internal review of these older claims, Contra Costa Emergency Medical Services reported that a former employee of California Ambulance was listed on the Medi-Cal Suspended and Ineligible Provider List (S&I List) published by the California Department of Health Care Services (DHCS).

On March 10, 2016, the Compliance Office notified California Ambulance that any future payments would be placed on hold until the County determined the amount California Ambulance had charged for the services provided by the suspended and ineligible provider.

Our review indicates that there are outstanding invoices from California Ambulance in the amount of \$165,868. The Compliance Office has determined that the amount paid California Ambulance for services provided by the suspended, ineligible provider is \$38,986.74, leaving a balance due of \$126,881.26.

CONSEQUENCE OF NEGATIVE ACTION:

If payment is not authorized, California Ambulance will not be paid for the non-emergency transportation services rendered to patients of the Contra Costa Regional Medical Center and Health Centers.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra  
Costa  
County

To: Board of Supervisors  
From: Sharon Offord Hymes, Risk Manager  
Date: August 2, 2016

Subject: Contract with BSI EHS Services and Solutions

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Director of Risk Management to execute an agreement with BSI EHS Services and Solutions for on-site environmental health and safety and sustainability consulting support effective July 1, 2016 through June 30, 2017 in an amount not to exceed \$1,202,600.

**FISCAL IMPACT:**

Costs will be funded through the Workers' Compensation Internal Service Fund and through direct charges to user departments.

**BACKGROUND:**

BSI EHS Services and Solutions (BSI) consists of staff possessing specialized technical skills in areas such as indoor air quality, infectious disease control, industrial hygiene, as well as general and environmental compliance. Consulting services also assist in dealing with Occupational Safety Health Administration (OSHA) compliance inspections and responses on behalf of County departments. BSI safety specialists assist with facility and program assessments requested by Departments, ergonomic and air quality investigations, development and distribution of federal and state required safety and training tools,

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☒ APPROVE

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☒ RECOMMENDATION OF CNTY ADMINISTRATOR

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Sharon Hymes-Offord  
925.335.1450

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

By: , Deputy

cc:



**BACKGROUND: (CONT'D)**

continuous training of loss control coordinators, implementation of safety/loss control programs for Departments, responses to requests for research and interpretation of federal, state and local health and safety regulations and on-site First AID/CPR/AED Training.

**CONSEQUENCE OF NEGATIVE ACTION:**

The County will not be able to ensure that it meets Cal-OSHA regulatory requirements.



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract Amendment Agreement #22-939-27 with the Food Bank of Contra Costa County

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, on behalf of the County, Contract Amendment Agreement #22-939-27 with the Food Bank of Contra Costa and Solano, a non-profit corporation, effective July 1, 2016, to amend Contract #22-939-26, to increase the payment limit by \$62,986, from \$61,823 to a new payment limit of \$124,809, with no change in the original term from March 1, 2016 through February 28, 2017.

**FISCAL IMPACT:**

This amendment is funded 100% Ryan White HIV Treatment Modernization Act. (No Rate increase)

**BACKGROUND:**

In May, 2015, the County Administrator approved and Purchasing Manager executed Contract #22-939-26 with Food Bank of Contra Costa County and Solano for the period from March 1, 2016 through February 28, 2017, for the coordination of food services for County residents diagnosed with HIV and their families.

Approval of Contract #22-939-27 will allow the Contractor to provide additional coordination of food services to County residents with HIV, through February 28, 2017.

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☒ APPROVE

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☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Dan Peddycord,  
313-6712

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 amendment is not approved, Contractor will not be able to provide sufficient protein and fresh produce to the existing caseload of County residents who are diagnosed with HIV.

CHILDREN'S IMPACT STATEMENT:

Not applicable.



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Novation Contract #22-219-58 with Compass Group USA, Inc. (dba Bateman Community Living)

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Novation Contract #22-219-58 with Compass Group USA, Inc. (dba Bateman Community Living), a corporation, in an amount not to exceed \$2,704,537, to provide meal services for the County's Senior Nutrition Program for the period from July 1, 2016 through June 30, 2017. Approval of Novation Contract #22-219-58 replaces the automatic extension under the prior contract and will allow the Contractor to continue providing services through June 30, 2017. This Contract includes modifications to County's standard indemnification clause and General Conditions.

**FISCAL IMPACT:**

This Contract is 100% federally funded, under Title III C 1 and Title III C 2 of the Federal Older Americans Act of 1965. No County funds are required. (Rate Increase)

**BACKGROUND:**

This Contractor was selected to provide meals for the Senior Nutrition

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Daniel Peddycord,  
313-6712

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

By: , Deputy

cc: A Floyd , M Wilhelm

**BACKGROUND: (CONT'D)**

Program through a competitive bid process conducted by the County's Public Works Department (Purchasing). This Contract meets the social needs of the County's population. Contractor will provide prepackaged, frozen meals, on 249 County-designated serving days, for elderly, disabled, and AIDS/HIV diagnosed citizens of Contra Costa County. On July 21, 2015, the Board of Supervisors approved Contract #22-219-56 (as amended by Contract Amendment #22-219-57) with Compass Group USA, Inc. (dba Compass Group Foodservice), now known as Compass Group USA, Inc. (dba Bateman Community Living), for the period from July 1, 2015 through June 30, 2016, with a three-month automatic extension through September 30, 2016, for the provision of meal services for the County's Senior Nutrition Program.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, the elderly, disabled, and AIDS/HIV diagnosed citizens of Contra Costa County participating in the Senior Nutrition Program may not receive the appropriate meals or nutrition.

**CHILDREN'S IMPACT STATEMENT:**

Not Applicable



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Purchase Order with Office of the Statewide Health Planning and Development

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Purchasing Agent, on behalf of the Health Services Department, to execute a purchase order with the Office of the Statewide Health Planning and Development in the amount of \$136,639 for the payment of the Hospital/Long Term Care Special Assessment Fee for FY 2016/2017, for the Contra Costa Regional Medical Center (CCRMC). The Special Fee is Based on the Annual Disclosure Report.

**FISCAL IMPACT:**

100% funding is included in the Hospital Enterprise Fund I budget.

**BACKGROUND:**

Health and Safety Code Section 127280 requires health facilities to pay the annual special fee assessment to the Office of the Statewide Health Planning and Development. The fee provides funding for the Office's health planning functions and health facility data collection and disclosure activities. The assessment rate for the Hospital for the 2016/2017 fiscal year is .027 %.

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Jose Reyes,  
957-5414

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

By: , Deputy

cc: T Scott, M Wilhelm, J Reyes

CONSEQUENCE OF NEGATIVE ACTION:

If this Purchase Order is not approved, it could result in the withholding of the CCRMC's license as provided by Health and Safety Code Section 127280 (i) (2).

CHILDREN'S IMPACT STATEMENT:

No impact

ATTACHMENTS

Office of the Statewide

**OFFICE OF STATEWIDE HEALTH PLANNING  
AND DEVELOPMENT**

400 R Street, Suite 359  
Sacramento, CA 95811-6213  
(916) 326-3243 FAX (916) 322-2527

INVOICE

A16-0029

June 1, 2016

OSHPD FY 2016/2017  
Hospital / Long Term Care  
Special Assessment Bill  
Due:  
Delinquent:

July 1, 2016

July 31, 2016

ADMINISTRATOR  
CONTRA COSTA REGIONAL MEDICAL CTR  
50 DOUGLAS DRIVE  
MARTINEZ, CA 94533

Telephone: (925) 370-4222

OSHPD # 106070924

Make all remittance to: Office of Statewide Health Planning and Development  
Attention: Accounting Services  
400 R Street, Suite 359  
Sacramento, CA 95811-6213

**2016-2017 SPECIAL FEE**

Office Of Statewide Health Planning & Development (Per Section 12780, California Health and Safety Code)

2016-2017 Special Fee is Based on the Annual Disclosure Report for the report period 07/01/2014 thru 06/30/2015 as follows:

Total Operating Expenses as Reported	\$	506,071,962.00
Total Operating Expenses Adjusted to 12 Months	\$	506,071,962.00
Special Assessment Rate	x	0.00027
Special Fee	\$	136,639.00
Fees Paid to Date	\$	.00

Failure to pay this amount by **July 31, 2016** could result in withholding of  
your facility's license as provided by **Health and Safety Code Section 127280 (i)(2)**

**ACCOUNTING USE ONLY**  
Hospital Assessment

CALSTARS FFY: 2016 Type: 1

Index: 0050 PCA: 80143 Source: 125600-21

☐ Visa ☐ MasterCard ☐ Discover/Novus ☐ American Express  
☐ Check and/or Money Order

Account Number (Please print clearly)

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Expiration Date (MM/YY)

Cardholder Name

Cardholder Signature

Amount

Billing Address

City

State

Zip

Phone Number:

( ) -

**RETAIN THIS COPY**





**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #27-456-10 with La Clinica De La Raza

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, on behalf of the County, Contract #27-456-10 with La Clinica De La Raza, a non-profit corporation, in an amount not to exceed \$1,500,000, to provide Primary Care and Ophthalmology Services to Contra Costa Health Plan (CCHP) members for the period from July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

This Contract is funded 100% Contra Costa Health Plan Enterprise Fund II. (No rate increase)

**BACKGROUND:**

On June 9, 2015, the Board of Supervisors approved Contract #27-456-8 with La Clinica De La Raza for the provision of Primary Care and Ophthalmology services, for the period from July 1, 2015 through June 30, 2016. Approval of Contract #27-456-10 will allow Contractor to continue providing Primary Care and Ophthalmology services through June 30, 2017.

This contract includes modification to the County's Standard General Conditions Paragraph 1. (Compliance with Law), Paragraph 2. (Inspections), Paragraph 19, (Insurance) and Paragraph 5. (Termination and Cancellation).

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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 contract is not approved, certain specialized professional health care services for its members under the terms of their Individual and Group Health Plan membership contract with the County will not be provided.

CHILDREN'S IMPACT STATEMENT:

NOT APPLICABLE



Contra  
Costa  
County

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Contract #26-891-1 with Pro Transport-1, LLC

---

**RECOMMENDATION(S):**

APPROVE AND AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Contract #26-891-1 with Pro Transport-1 LLC, a limited liability company, in an amount not to exceed \$225,000, to provide non-emergency patient transportation services for Contra Costa Regional Medical Center (CCRMC) and Health Centers for the period from June 1, 2016 through May 31, 2017.

**FISCAL IMPACT:**

This Contract is funded 100% Hospital Enterprise I. (rate increase)

**BACKGROUND:**

This Contractor provides non-emergency ambulance transportation services, for patients of Contra Costa Regional Medical Center, twenty-four hours a day, seven days a week, including all holidays. The patients are transported to County-specified destinations.

On December 5, 2015, the Board of Supervisors approved Contract #26-891 with Pro Transport-1 LLC, a limited liability company, to provide non-emergency patient transportation services for Contra Costa Regional Medical Center (CCRMC) and Health

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Anna Roth,  
370-5101

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

By: , Deputy

cc: J Pigg, M Wilhelm

**BACKGROUND: (CONT'D)**

Centers for the period from July 1, 2015 through May 31, 2016.

Approval of Contract #26-891-1, will allow the Contractor to continue to provide non-emergency ambulance transportation services for patients at CCRMC and Health Centers, through May 31, 2017. This Contract includes changes to the County's Standard General Conditions, Paragraphs 16, Confidentiality of Information and 19, Insurance.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, County patients will not receive transportation services 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: August 2, 2016

Subject: Approve Novation Contract #74-218-14 with Desarrollo Familiar, Inc.

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Novation Contract #74-218-14 with Desarrollo Familiar, Inc., a non-profit corporation, in an amount not to exceed \$365,342, to provide school and community based mental health services for Latino children and their families, for the period from July 1, 2016 through June 30, 2017. This Contract includes a six-month automatic extension through December 31, 2017, in an amount not to exceed \$182,671.

**FISCAL IMPACT:**

This Contract is funded 50% Federal Financial Participation; 50% State Early Periodic Screening, Diagnosis and Treatment (EPSDT)(3% Cost of Living Adjustment [COLA]) (Rate increase)

**BACKGROUND:**

This Contract meets the social needs of the County's population by providing school and community-based mental health services, including assessments, individual, group, and family counseling, medication support, case management, outreach and crisis intervention services to an underserved Latino population in West Contra Costa County, which will result in greater home, community, and school success.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Cynthia Belon,  
957-5201

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

By: , Deputy

cc: E Suisala, M Wilhelm

**BACKGROUND: (CONT'D)**

In October 2015, the Board of Supervisors approved Novation Contract #74-218-13 with Desarrollo Familiar, Inc. for the period from July 1, 2015 through June 30, 2016, which included a six-month automatic extension through December 31, 2016, for the provision of school and community based mental health services for Latino children and their families.

Approval of Novation Contract #74-218-14 replaces the automatic extension under the prior Contract and allows the Contractor to continue providing services through June 30, 2017.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this contract is not approved, Spanish-speaking children in West Contra Costa County will have reduced access to school and community-based mental health services and may require higher levels of service.

**CHILDREN'S IMPACT STATEMENT:**

This program supports the following Board of Supervisors' community outcomes: "Children Ready For and Succeeding in School"; "Families that are Safe, Stable, and Nurturing"; and "Communities that are Safe and Provide a High Quality of Life for Children and Families". Expected program outcomes include an increase in positive social and emotional development as measured by the Child and Adolescent Functional Assessment Scale (CAFAS).



**Contra  
Costa  
County**

To: Board of Supervisors  
From: Kathy Gallagher, Employment & Human Services Director  
Date: August 2, 2016

Subject: 2016-17 We Care Services for Children State Preschool services contract

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Employment and Human Services Department Director, or designee, to execute a contract, including modified indemnification language, with We Care Services for Children, in an amount not to exceed \$221,357, to provide State Preschool services for the term July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

100% State funds from the California Department of Education  
No County match

**BACKGROUND:**

Contra Costa County receives funds California Department of Education (CDE) to provide State Preschool and Pre-kindergarten Family Literacy services to program eligible County residents. The State requires an indemnification clause with County subcontractors wherein the subcontractor holds harmless the State and its officers for any losses.

In order to provide a wider distribution of services to County residents, the Department contracts with a number of community-based organizations. Approval of

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: CSB (925)  
681-6346

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

By: , Deputy

cc: Ericka Ramirez, Ressie Dayco, Cassandra Youngblood

**BACKGROUND: (CONT'D)**

this contract will allow the provision of State Preschool services to 56 program-eligible children and families in the Central Contra Costa County area.

**CONSEQUENCE OF NEGATIVE ACTION:**

If not approved, County will not be able to more widely distribute childcare availability through partnership with community based agencies.

**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: August 2, 2016

Subject: 2016-17 Richmond Elementary School, Inc. State Preschool childcare services contract

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Employment and Human Services Department Director, or designee, to execute a contract with Richmond Elementary School, Inc. including modified indemnification language, in an amount not to exceed \$210,816 to provide State Preschool services for the term July 1, 2016 through June 30, 2017.

**FISCAL IMPACT:**

100% State funds  
California Department of Education

**BACKGROUND:**

Contra Costa County receives funds from California Department of Education to provide State Preschool services to program eligible County residents. In order to provide a wider distribution of services to County residents, the Department contracts with a number of community-based organizations. The State requires an indemnification clause with County subcontractors wherein the subcontractor holds harmless the State and its officers for any losses.

Approval of this contract will allow the provision

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: CSB (925)  
681-6346

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

By: , Deputy

cc: Ericka Ramirez, Ressie Dayco, Cassandra Youngblood

**BACKGROUND: (CONT'D)**

of childcare services for 48 children enrolled in Richmond College Prep preschool programs.

**CONSEQUENCE OF NEGATIVE ACTION:**

If not approved, County will not be able to more widely distribute childcare availability through partnership with community based agencies.

**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: David O. Livingston, Sheriff-Coroner  
Date: August 2, 2016

Subject: Redwood Toxicology Laboratory, Inc. - Toxicology Screening

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Sheriff-Coroner, or designee, to execute a contract with Redwood Toxicology Laboratory, Inc., in an amount not to exceed \$200,000 to provide toxicology screening services for the period of September 1, 2016 through August 31, 2018.

**FISCAL IMPACT:**

\$200,000. Offset by client fees. Budgeted.

**BACKGROUND:**

Contra Costa County provides through its Office of the Sheriff, Custody Alternative Program, an alternative to jail time if the offender qualifies. Redwood Toxicology Laboratory, Inc., provides drug, alcohol and other toxicology screening services for the County to determine if the offenders meet the program qualifications and can remain in the program once admitted to it.

**CONSEQUENCE OF NEGATIVE ACTION:**

The Sheriff's Office will not have access to a third party vendor for the provision of drug, alcohol and other toxicology screening services on an as needed basis.

**CHILDREN'S IMPACT STATEMENT:**

No impact.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: Sandra Brown,  
925-335-1553

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

By: , Deputy

cc:



**Contra  
Costa  
County**

To: Board of Supervisors  
From: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve Unpaid Student Training Agreement #22-964-3 with San Jose State University

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, on behalf of the County, Unpaid Student Training Agreement #22-964-3 with San Jose State University, an educational institution, to provide supervised field instruction in the County's Public Health Division to occupational therapy students, for the period from September 1, 2016 through August 31, 2021.

**FISCAL IMPACT:**

None

**BACKGROUND:**

The purpose of this agreement is to provide occupational therapy students from San Jose State University with the opportunity to integrate academic knowledge with applied skills at progressively higher levels of performance and responsibility. Supervised fieldwork experience for students is considered to be an integral part of both educational and professional preparation. The Health Services Department can provide the requisite field education, while at the same time, benefit from the students' services to patients.

On September 10, 2013, the Board

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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

**BACKGROUND: (CONT'D)**

of Supervisors approved Contract #22-964-2 with San Jose State University for the provision of supervised fieldwork instruction experience with Health Services, for the period from September 1, 2013 through August 31, 2016.

Approval of Unpaid Student Training Agreement #22-964-3, will allow San Jose State University students to receive supervised fieldwork instruction experience, in the County's Public Health Division, through August 31, 2021.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this agreement is not approved, the students will not receive supervised fieldwork instruction experience in County's Public Health Division.

**CHILDREN'S IMPACT STATEMENT:**

Not applicable.



**Contra  
Costa  
County**

To: Board of Supervisors

From: William Walker, M.D., Health Services Director

Date: August 2, 2016

Subject: Approve Unpaid Student Training Agreement #22-471-6 with Board of Trustees of California State University

---

**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or his designee, to execute, on behalf of the County, Unpaid Student Training Agreement #22-471-6 with Board of Trustees of California State University on behalf of California State University, East Bay, an educational institution, to provide supervised field instruction in County's Public Health Division to community engagement, health care administration, nursing & health science, recreation, social work, speech-language/audiology & hearing students, for the period from August 1, 2016 through July 31, 2019.

**FISCAL IMPACT:**

None

**BACKGROUND:**

The purpose of this agreement is to provide Board of Trustees of California State University on behalf of California State University, East Bay, community engagement, health care administration, nursing & health science, recreation, social work, speech-language/audiology & hearing students with the opportunity to integrate academic knowledge with applied skills at progressively higher levels of performance and responsibility. Supervised fieldwork experience

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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)

for students is considered to be an integral part of both educational and professional preparation. The Health Services Department can provide the requisite field education, while at the same time, benefitting from the students' services to patients.

On February 26, 2013, the Board of Supervisors approved Contract #22-471-5 with Board of Trustees of California State University on behalf of California State University, East Bay for the provision of supervised fieldwork instruction experience with Health Services, for the period from August 1, 2013 through July 31, 2016.

Approval of Unpaid Student Training Agreement #22-471-6, will allow Board of Trustees of California State University on behalf of California State University, East Bay students to receive supervised fieldwork instruction experience in the County's Public Health Division through July 31, 2019.

CONSEQUENCE OF NEGATIVE ACTION:

If this agreement is not approved, the students will not receive supervised fieldwork instruction experience in the County's Public Health Division.

CHILDREN'S IMPACT STATEMENT:

Not Applicable



Contra  
Costa  
County

To: Board of Supervisors  
From: Russell Watts, Treasurer-Tax Collector  
Date: August 2, 2016

Subject: Treasurer's Investment Policy for the Fiscal Year 2016-2017

---

**RECOMMENDATION(S):**

ACCEPT the Treasurer's Investment Policy for the Fiscal Year 2016-2017 as revised and adopted on May 17, 2016 by the Treasury Oversight Committee.

**FISCAL IMPACT:**

None

**BACKGROUND:**

Pursuant to Government Code Section 27133, at the May 17, 2016 Treasury Oversight Committee meeting, the Committee approved and recommended the acceptance of the attached revised policy. The policy incorporates greater detail of cash management and investment guidelines of surplus funds delegated for investing and reinvesting by the County Treasurer. Copies of the Treasurer's Investment Policy dated June 2016 are submitted to the Board of Supervisors for review and acceptance

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Brice Bins, (925)  
957-2848

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

By: , Deputy

cc:



## ATTACHMENTS

TreasInvestPolicy2016



# **CONTRA COSTA COUNTY TREASURER'S ANNUAL INVESTMENT POLICY**

**FISCAL YEAR 2016-2017**

APPROVED BY THE BOARD OF SUPERVISORS  
IN JUNE 2016

The Contra Costa County Treasurer will annually present to both the Board of Supervisors (Board) and the Treasury Oversight Committee (Committee) a statement of investment policy, which the Board shall review and approve at a public meeting. Any changes in the policy shall also be reviewed and approved by the Board at a public meeting (Gov't Code §53646(a)(1)).

**OFFICE OF COUNTY TREASURER-TAX COLLECTOR**  
625 COURTS STREET, ROOM 100  
MARTINEZ, CALIFORNIA 94553

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# CONTRA COSTA COUNTY

## TREASURER'S ANNUAL INVESTMENT POLICY

### 1.0 PURPOSE

The purpose of this Investment Policy (Policy) is to establish cash management and investment guidelines of surplus funds entrusted to the care of the Contra Costa County Treasurer's Office (Treasurer's Office) in accordance with applicable sections of California Government Code. All portfolio activities will be judged by the standards of the Policy and its ranking of investment objectives.

### 2.0 SCOPE

This Policy applies to all funds over which the Treasurer's Office has been granted fiduciary responsibility and direct control for their management.

### 3.0 PARTICIPANTS

This Policy restricts deposits to those agencies mandated by California Government Code as treasury deposits. However, subject to the consent of the Treasurer's Office and in accordance with section 53684, exemptions may be granted to non-mandatory depositing agencies, if it is determined that the additional deposit provides a benefit to the investment pool as a whole while not creating unmanageable liquidity risk.

### 4.0 IMPLEMENTATION

In order to provide direction to those responsible for management of surplus funds, the County Treasurer has established this Policy and presented it to the Treasury Oversight Committee and the Board of Supervisors, and has made it available to the legislative body of local agencies that participates in the County Treasurer's investment program.

The Policy explains investable funds; authorized instruments; credit quality required; maximum maturities and concentrations; collateral requirements; qualifications of broker-dealers and financial institutions doing business with, or on behalf of, the County; limits on gifts and honoraria; the reporting requirements; the Treasury Oversight Committee; the manner of apportioning interest earnings and appropriating investment costs; and the criteria to request withdrawal of funds.

### 5.0 OBJECTIVES

**Gov't Code §53600.5:** When investing, reinvesting, purchasing, acquiring, exchanging, selling or managing public funds, the primary objective of a trustee shall be to safeguard the principal of the funds under its control. The secondary objective shall be to meet the liquidity needs of the depositor. The third objective shall be to achieve a return on the funds under its controls.

**5.1 Safety** of principal is the foremost objective of the investment program. Investments shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio. The objective will be to mitigate credit risk and market risk.

**5.1.a** *Credit Risk*

The Treasurer will minimize credit risk, the risk of loss due to the failure of the security issuer or backer, by:

1. Limiting investments to the safest type of securities

2. Pre-qualifying the financial institutions, broker/dealers, intermediaries, and advisers with which the Treasurer's Office will do business
3. Diversifying the investment portfolio so that potential losses on individual securities will be minimized.

**5.1.b Market Risk**

The Treasurer's Office will minimize the risk that the market value of securities in the portfolio will fall due to changes in general interest rates, by:

1. Structuring the investment portfolio so that securities mature to meet cash requirements for ongoing operations, thereby avoiding the need to sell securities on the open market prior to maturity
2. Investing operating funds primarily in shorter-term securities, money market mutual funds, or similar investment pools.

**5.2 Liquidity:** The investment portfolio shall remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated. This is accomplished by structuring the portfolio so that securities mature concurrent with cash needs to meet anticipated demands. Furthermore, since all possible cash demands cannot be anticipated, the portfolio should consist largely of securities with active secondary or resale markets. A portion of the portfolio also may be placed in money market mutual funds or local government investment pools which offer same-day liquidity for short-term funds.

**5.3 Yield:** The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account the investment risk constraints and liquidity needs. Return on investment is of secondary importance compared to the safety and liquidity objectives described above. The core of investments is limited to relatively low risk securities in anticipation of earning a fair return relative to the risk being assumed. Securities may be sold prior to maturity when deemed prudent and necessary. Reasons of selling include but are not limited to:

1. **A security with declining credit may be sold early to minimize loss of principal.**
2. **A security swap would improve the quality, yield, or target duration in the portfolio.**
3. **Liquidity needs of the portfolio require that the security be sold.**
4. **Portfolio rebalancing would bring the portfolio back into compliance.**

Investments will be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

**5.4 Public Trust:** All investments will be in conformance with state law and county ordinances and policies. The investment of public funds is a task that must maintain the public trust.

## **6.0 GENERAL STRATEGY**

**6.1 Buy and Hold:** The Treasurer will generally use the passive investment strategy known as BUY AND HOLD whereas securities are purchased with the intent of holding them to maturity. Interest income and the reinvestment of interest income usually are the only sources of return in the portfolio.

The investment program will focus on purchasing securities that will limit or reduce the potential default risk and ensure the reliability of cash flows from interest income. Generally, purchases will be laddered throughout the portfolio in order to minimize the number and cost of investment transactions.

**6.2 Directed Investment:** Local agencies may direct the investment, exchange, liquidation and reinvestment of their assets, but must meet the provisions of the investment objectives of this policy. The withdrawal of funds in the Treasury shall coincide with investment maturities or authorized sales of securities by the local agency's legislative or governing body.

## **7.0 STANDARD OF CARE**

The following policies are designed in accordance with Government Code to provide transparency to the investment program while enhancing portfolio controls:

**7.1 Prudent Investor Standard:** "Governing bodies of local agencies or persons authorized to make investment decisions on behalf of those local agencies investing public funds are trustees and therefore fiduciaries subject to the prudent investor standard. When investing, reinvesting, purchasing, acquiring, exchanging, selling or managing public funds, a trustee shall act with care, skill, prudence and diligence under the circumstances then prevailing, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the agency. Within the limitations of this section and considering individual investments as part to an overall strategy, investments may be acquired as authorized by law." (Gov't Code §53600.3.1)

### **7.2 Limits on Honoraria, Gifts, and Gratuities**

In accordance with California Government Code Section 27133(d), this Policy establishes limits for the Director of Finance; individuals responsible for management of the portfolios; and members of the Investment Group and Review Group who direct individual investment decisions, select individual investment advisors and broker/dealers, and conduct day-to-day investment trading activity. The limits also apply to members of the Oversight Committee. Any individual who receives an aggregate total of gifts, honoraria and gratuities in excess of \$50 in a calendar year from a broker/dealer, bank or service provider to the Pooled Investment Fund must report the gifts, dates and firms to the designated filing official and complete the appropriate State forms.

No individual may receive aggregate gifts, honoraria, and gratuities in a calendar year in excess of the amount specified in Section 18940.2(a) of Title 2, Division 6 of the California Code of Regulations. This limitation is \$460 for the period January 1, 2015, to December 31, 2016. Any violation must be reported to the State Fair Political Practices Commission.

*Please refer to the Contra Costa County Treasurer-Tax Collector's Conflict of Interest Code for further explanation of the prohibited activities, and their enforcements and exceptions.*

### **7.3 Delegation of Authority**

**7.4.a** Subject to Section 53607, the board of supervisors may, by ordinance, delegate to the county treasurer the authority to invest or reinvest the funds of the county and the funds of other depositors in the county treasury, pursuant to Chapter 4 (commencing with Section 53600) of Part 1 of Division 2 of Title 5. The county treasurer shall thereafter assume full responsibility for those transactions until the board of supervisors either revokes its delegation of authority, by ordinance, or decides not to renew the annual delegation, as provided in Section 53607 (Gov't Code §27000.1).

**7.4.b** The authority of the legislative body to invest or to reinvest funds of a local agency, or to sell or exchange securities so purchased, may be delegated for a one-year period by the legislative body to the treasurer of the local agency, who shall thereafter assume full responsibility for those transactions until the delegation of authority is revoked or

expires, and shall make a monthly report of those transactions to the legislative body. Subject to review, the legislative body may renew the delegation of authority pursuant to this section each year (Gov't Code §53607).

**7.4.c** Responsibility for the operation of the investment program is hereby delegated to the County Treasurer, who shall act in accordance with established written procedures and internal controls for the operation of the investment program consistent with this investment policy. Procedures include references to: safekeeping, delivery vs. payment, investment accounting, repurchase agreements, wire transfer agreements, and collateral/depository agreements. No person may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the County Treasurer.

**7.5 Treasury Oversight Committee:** In compliance with a Board Order of the Contra Costa County Board of Supervisors, the County Contra Costa County Treasury Oversight Committee was established in November 6 of 1995. The intent of the Committee is to allow local agencies, including school districts, as well as the public, to participate in reviewing the policies that guide the investment of public funds. The mandate for the existence of the Committee was suspended in 2004 by the State of California; however, the Committee serves an important function and the Treasurer's Office has elected to continue the program.

**7.5.a** The Committee shall annually review and monitor the County's Investment Policy.

**7.5.b** The Committee shall cause an annual audit to determine the County Treasurer's compliance with the Investment Policy and all investment funds in the county Treasury.

## **8.0 SAFEKEEPING AND CUSTODY**

**8.1 Delivery vs. Payment:** All trades of marketable securities will be executed (cleared and settled) on a delivery vs. payment (DVP) basis to ensure that securities are deposited in the County Treasurer's safekeeping institution prior to the release of funds.

**8.2 Third-party Safekeeping:** Securities will be held by an independent third-party safekeeping institution selected by the County Treasurer. All securities will be evidenced by safekeeping receipts in the County's name or in a name designated by the County Treasurer. The safekeeping institution shall annually provide a copy of its most recent report on internal controls - Service Organization Control Reports (formerly 70, or SAS 70) prepared in accordance with the Statement on Standards for Attestation Engagements (SSAE) No. 16 (effective June 15, 2011.)

**8.2.a** A local agency purchasing or obtaining any securities prescribed in this section, in a negotiable, bearer, registered or non-registered format, shall require delivery of the securities to the local agency, including those purchased for the agency by financial advisors, consultants or managers using the agency's funds, by book entry, physical delivery or by third-party custodial agreement. The transfer of securities to the counterparty bank's customer book-entry account may be used for book-entry delivery. For purposes of this section, "counterparty" means the other party to the transaction. A counterparty bank's trust department or separate safekeeping department may be used for the physical delivery of the security if the security is held in the name of the local agency. Where this section specifies a percentage limitation for a particular category of investment, that percentage is applicable only at the date of purchase. Where this section does not specify a limitation on the term of remaining maturity at the time of



the investment, no investment shall be made in any security other than a security underlying a repurchase or reverse repurchase agreement authorized by this section.

**8.2.b** In compliance with this section, the securities of Contra Costa County and its agencies shall be in safekeeping at The Bank of New York Trust Company, N. A., a counterparty bank's trust department or as defined in the debt indenture and contract.

**8.3 Internal Controls:** The County Treasurer is responsible for establishing and maintaining an internal control structure designed to ensure that the assets of the Treasurer are protected from loss, theft or misuse. Specifics for the internal controls shall be documented in an investment procedures manual that shall be reviewed and updated periodically by the County Treasurer.

The internal control structure shall be designed to provide reasonable assurance that these objectives are met. The concept of reasonable assurance recognizes that (1) the cost of control should not exceed the benefits likely to be derived and (2) the valuation of costs and benefits requires estimates and judgments by management.

## **9.0 AUTHORIZED BROKERS/DEALERS AND FINANCIAL INSTITUTIONS**

**9.1** All transactions initiated on behalf of the Pooled Investment Fund and Contra Costa County shall be executed only through one of the following:

1. Government security dealers reporting as primary dealers to the Market Reports Division of the Federal Reserve Bank of New York;
2. Banks and financial institutions that directly issue their own securities which have been placed on the Approved List of Broker/Dealers and Financial Institutions;
3. Brokers/dealers in the State of California approved by the County Treasurer based on the reputation and expertise of the company and individuals employed.

**Broker/dealers and financial institutions which have exceeded the political contribution limits as contained in Rule G-37 of the Municipal Securities Rulemaking Board within a four year period to the County Treasurer or a member of the governing board of a local agency or any candidate for those offices, are prohibited from the Approval List of Broker/Dealers and Financial Institutions.**

**9.2 Qualifications:** All financial institutions and broker/dealers who desire to become qualified for investment transactions must complete Contra Costa County Treasurer's Office Broker/Dealer Due Diligence Questionnaire which can be obtained at [www.cctax.us](http://www.cctax.us). An annual review of the financial condition and registration of qualified financial institutions and broker/dealers will be conducted by the Treasurer's Office.

### **9.3 List of Approved Financial Institutions, Security Brokers and Dealers**

A list will be maintained of financial institutions authorized to provide investment services. In addition, a list also will be maintained of approved security broker/dealers selected for creditworthiness and qualifications stated in section 9.2. However, the County Treasury will not be limited to the financial institutions and brokers/dealers on the list. Others will be included as long as conditions for authorized financial institutions and brokers/dealers set forth in this Policy are met. Additionally, deletions and additions are based on the maintenance of required credit quality as rated by a nationally recognized statistical-rating organization (NRSRO) or reliable financial sources.

## **10.0 SUITABLE AND AUTHORIZED INVESTMENTS**

**10.1 Authorized Investment Types:** (Gov't Code §53601 et seq.) The legislative body of a local agency having moneys in a sinking fund or moneys in its treasury not required for the immediate

needs of the local agency may invest any portion of the moneys that it deems wise or expedient in the investments set forth below. A local agency purchasing or obtaining any securities prescribed in this section, in a negotiable, bearer, registered, or nonregistered format, shall require delivery of the securities to the local agency, including those purchased for the agency by financial advisers, consultants, or managers using the agency's funds, by book entry, physical delivery, or by third-party custodial agreement. The transfer of securities to the counterparty bank's customer book entry account may be used for book entry delivery.

For purposes of this section, "counterparty" means the other party to the transaction. A counterparty bank's trust department or separate safekeeping department may be used for the physical delivery of the security if the security is held in the name of the local agency. Where this section specifies a percentage and/or rating limitation for a particular category of investment, that percentage and/or rating are applicable only at the date of purchase. Where this section does not specify a limitation on the term or remaining maturity at the time of the investment, no investment shall be made in any security, other than a security underlying a repurchase or reverse repurchase agreement or securities lending agreement authorized by this section, that at the time of the investment has a term remaining to maturity in excess of five years, unless the legislative body has granted express authority to make that investment either specifically or as a part of an investment program approved by the legislative body no less than three months prior to the investment:

- 10.1.a Bonds issued by the local agencies**, including bonds payable solely out of the revenues from a revenue-producing property, owned, controlled, or operated by the local agency or by a department, board, agency or authority of the local agency.
- 10.1.b United States Treasury notes, bonds, bills or certificates of indebtedness**, or those for which the faith and credit of the United States are pledged for the payment of principal and interest.
- 10.1.c Registered state warrants or treasury notes or bonds of this state**, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the state or by a department, board, agency or authority of the state.
- 10.1.d Registered treasury notes or bonds of any of the other 49 states** in addition to California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by a state or by a department, board, agency, or authority of any of the other 49 states, in addition to California.
- 10.1.e Bonds, notes, warrants or other evidences of indebtedness of any local agency within this state**, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled or operated by the local agency, or by a department, board, agency or authority of the local agency.
- 10.1.f Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments**, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government-sponsored enterprises.
- 10.1.g Banker's acceptances otherwise known as bills of exchange or time drafts** drawn on and accepted by a commercial bank. Purchases of banker's acceptances may not exceed 180 days' maturity or 40 percent of the agency's money that may be invested pursuant to this section. However, no more than 30 percent of the agency's money may be invested in banker's acceptances of any one commercial bank pursuant to this section. This subdivision does not preclude a municipal utility district from investing any money

in its treasury in any manner authorized by the Municipal Utility District Act (Division 6, commencing with Section 11501, of the Public Utilities Code).

**10.1.h Commercial paper** of “prime” quality of the highest ranking or of the highest letter and number rating as provided for by a nationally recognized statistical-rating organization (NRSRO). The entity that issues the commercial paper shall meet all of the following conditions in either paragraph (1) or paragraph (2):

1. The entity meets the following criteria:
  - A. Is organized and operating in the United States as a general corporation.
  - B. Has total assets in excess of five hundred million dollars (\$500,000,000).
  - C. Has debt other than commercial paper, if any, that is rated “A” or higher by a nationally recognized statistical-rating organization (NRSRO).
2. The entity meets the following criteria:
  - A. Is organized within the United States as a special purpose corporation, trust, or limited liability company.
  - B. Has program-wide credit enhancements including, but not limited to, over collateralization, letters of credit, or surety bond.
  - C. Has commercial paper that is rated “A-1” or higher, or the equivalent, by a nationally recognized statistical-rating organization (NRSRO).

Eligible commercial paper shall have a maximum maturity of 270 days or less. Local agencies, other than counties or a city and county, may invest no more than 25 percent of their moneys in eligible commercial paper. Local agencies, other than counties or a city and county, may purchase no more than 10 percent of the outstanding commercial paper of any single issuer. Counties or a city and county may invest in commercial paper pursuant to the concentration limits in subdivision (a) of Section 53635:

- i. Not more than 40 percent of the local agency’s money may be invested in eligible commercial paper.
- ii. Not more than 10 percent of the total assets of the investments held by a local agency may be invested in any one issuer’s commercial paper.

**10.1.i Negotiable certificates of deposit** issued by a nationally- or state-chartered bank or a savings association or federal association (as defined by Section 5102 of the Financial Code), a state or federal credit union, or by a state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit may not exceed 30 percent of the agency’s money that may be invested pursuant to this section. For purposes of this section, negotiable certificates of deposits do not come within Article 2 (commencing with Section 53630), except that the amount so invested shall be subject to the limitations of Section 53638. The legislative body of a local agency and the treasurer or other official of the local agency having legal custody of the money are prohibited from investing local agency funds, or funds in the custody of the local agency, in negotiable certificates of deposit issued by a state or federal credit union if a member of the legislative body of the local agency, or any person with investment decision making authority in the administrative office, manager’s office, budget office, auditor-controller’s office, or treasurer’s office of the local agency also serves on the board of directors, or any committee appointed by the board of directors, or the credit committee or the supervisory committee of the state or federal credit union issuing the negotiable certificates of deposit.

**10.1.j Repurchase and reverse repurchase agreements**

1. Investments in *repurchase agreements* or *reverse repurchase agreements* of any securities authorized by this section, provided that the agreements are subject to this subdivision, including the delivery requirements specified in this section, and that a signed Master Repurchase Agreement is on file in the Treasurer's Office for all financial institutions that enter into a repurchase agreement with Contra Costa County.
2. Investments in repurchase agreements may be made on any investment authorized in this section when the term of the agreement does not exceed one year. The market value of securities that underlay a repurchase agreement shall be valued at 102 percent or greater of the funds borrowed against those securities and the value shall be adjusted no less than quarterly. Since the market value of the underlying securities is subject to daily market fluctuations, the investments in repurchase agreements shall be in compliance if the value of the underlying securities is brought back up to 102 percent no later than the next business day.
3. Reverse repurchase agreements or securities lending agreements may be utilized only when all of the following conditions are met:
  - A. The security to be sold using a reverse repurchase agreement or securities lending agreement has been owned and fully paid for by the local agency for a minimum of 30 days prior to sale.
  - B. The total of all reverse repurchase agreements and securities lending agreements on investments owned by the local agency does not exceed 20 percent of the base value of the portfolio.
  - C. The agreement does not exceed a term of 92 days, unless the agreement includes a written codicil guaranteeing a minimum earning or spread for the entire period between the sale of a security using a reverse repurchase agreement or securities lending agreement and the final maturity date of the same security.
  - D. Funds obtained or funds within the pool of an equivalent amount to that obtained from selling a security to a counterparty using a reverse repurchase agreement or securities lending agreement shall not be used to purchase another security with a maturity longer than 92 days from the initial settlement date of the reverse repurchase agreement or securities lending agreement, unless the reverse repurchase agreement or securities lending agreement includes a written codicil guaranteeing a minimum earning or spread for the entire period between the sale of a security using a reverse repurchase agreement or securities lending agreement and the final maturity date of the same security.
4. Prior approval of the governing body; only with primary dealers:
  - A. Investments in reverse repurchase agreements, securities lending agreements, or similar investments in which the local agency sells securities prior to purchase with a simultaneous agreement to repurchase the security may be made only upon prior approval of the governing body of the local agency and shall be made only with primary dealers of the Federal Reserve Bank of New York or with a nationally or state-chartered bank that has or has had a significant banking relationship with a local agency.
  - B. For purposes of this policy, "significant banking relationship" means any of the following activities of a bank:

- i. Involvement in the creation, sale, purchase, or retirement of a local agency's bonds, warrants, notes, or other evidence of indebtedness.
- ii. Financing of a local agency's activities.
- iii. Acceptance of a local agency's securities or funds as deposits.

**5. Definitions and terms of repos, securities and securities lending:**

- A. "Repurchase agreement" means a purchase of securities by the local agency pursuant to an agreement by which the counterparty seller will repurchase the securities on or before a specified date and for a specified amount and the counterparty will deliver the underlying securities to the local agency by book entry, physical delivery, or by third-party custodial agreement. The transfer of underlying securities to the counterparty bank's customer book-entry account may be used for book-entry delivery.
- B. "Securities," for purposes of repurchase under this subdivision, means securities of the same issuer, description, issue date, and maturity.
- C. "Reverse repurchase agreement" means a sale of securities by the local agency pursuant to an agreement by which the local agency will repurchase the securities on or before a specified date and includes other comparable agreements.
- D. "Securities lending agreement" means an agreement under which a local agency agrees to transfer securities to a borrower who, in turn, agrees to provide collateral to the local agency. During the term of the agreement, both the securities and the collateral are held by a third party. At the conclusion of the agreement, the securities are transferred back to the local agency in return for the collateral.
- E. For purposes of this section, the base value of the local agency's pool portfolio shall be that dollar amount obtained by totaling all cash balances placed in the pool by all pool participants, excluding any amounts obtained through selling securities by way of reverse repurchase agreements, securities lending agreements, or other similar borrowing methods.
- F. For purposes of this section, the spread is the difference between the cost of funds obtained using the reverse repurchase agreement and the earnings obtained on the reinvestment of the funds.

**10.1.k Medium-term notes**, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States. Notes eligible for investment under this subdivision shall be rated "A" or better by an NRSRO. Purchases of medium-term notes shall not include other instruments authorized by this section and may not exceed 30 percent of the agency's moneys that may be invested pursuant to this section.

**10.1.l Shares of beneficial interest**

- 1. Shares of beneficial interest issued by diversified management companies that invest in the securities and obligations as authorized by subdivisions (a) to (k), inclusive, and subdivisions (m) to (o), inclusive, and that comply with the investment restrictions of this article and Article 2 (commencing with Section 53630). However, notwithstanding these restrictions, a counterparty to a reverse repurchase

agreement or securities lending agreement is not required to be a primary dealer of the Federal Reserve Bank of New York if the company's board of directors finds that the counterparty presents a minimal risk of default, and the value of the securities underlying a repurchase agreement or securities lending agreement may be 100 percent of the sales price if the securities are marked to market daily.

2. Shares of beneficial interest issued by diversified management companies that are money market funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. Sec. 80a-1 et seq.).
3. If investment is in shares issued pursuant to paragraph (1), the company shall have met either of the following criteria:
  - A. Attained the highest ranking or the highest letter and numerical rating provided by not less than two NRSROs.
  - B. Retained an investment adviser registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience investing in the securities and obligations authorized by subdivisions (a) to (k), inclusive, and subdivisions (m) to (o), inclusive, and with assets under management in excess of five hundred million dollars (\$500,000,000).
4. If investment is in shares issued pursuant to paragraph (2), the company shall have met the following criteria:
  - A. Attained the highest ranking or the highest letter and numerical rating provided by not less than two nationally recognized statistical rating organizations.
  - B. Retained an investment adviser registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience investing in the securities and obligations authorized by subdivisions (a) to (k), inclusive, and subdivisions (m) to (o), inclusive, and with assets under management in excess of five hundred million dollars (\$500,000,000).
5. The purchase price of shares of beneficial interest purchased pursuant to this subdivision shall not include any commission that the companies may charge and shall not exceed 20 percent of the agency's money that may be invested pursuant to this section. However, no more than 10 percent of the agency's funds may be invested in shares of beneficial interest of any one mutual fund pursuant to paragraph (1).

**10.1.m Moneys held by a trustee or fiscal agent** and pledged to the payment of security of bonds or other indebtedness, or obligations under a lease, installment sale, or other agreement of a local agency, or certificates of participation in those bonds, indebtedness, or lease installment sale, or other agreements, may be invested in accordance with the statutory provisions governing the issuance of those bonds, indebtedness, or lease installment sale, or other agreement, or to the extent not inconsistent therewith or if there are not specific statutory provision, in accordance with the ordinance, resolution, indenture, or agreement of the local agency providing for the issuance.

**10.1.n Notes, bonds, or other obligations that are at all times secured by a valid first-priority security interest** in securities of the types listed by Section 53651 as eligible securities for the purpose of securing local agency deposits having a market value at least equal to that required by Section 53652 for the purpose of securing local agency deposits. The securities serving as collateral shall be placed by delivery or book entry into the custody of a trust company or the trust department of a bank that is not affiliated with the issuer



of the secured obligation, and the security interest shall be perfected in accordance with the requirements of the Uniform Commercial Code or federal regulations applicable to the types of securities in which the security interest is granted.

**10.1.o Any mortgage pass-through security, collateralized mortgage obligation, mortgage-backed or other pay-through bond, equipment lease-backed certificate, consumer receivable pass-through certificate, or consumer receivable-backed bond** of a maximum of five years' maturity. Securities eligible for investment under this subdivision shall be issued by an issuer having an "A" or higher rating for the issuer's debt as provided by a nationally recognized rating service and rated in a rating category of "AA" or its equivalent or better by a nationally recognized rating service. Purchase of securities authorized by this subdivision may not exceed 20 percent of the agency's surplus money that may be invested pursuant to this section.

**10.1.p Shares of beneficial interest issued by a joint power authority** organized pursuant to Section 6509.7 that invests in the securities and obligations authorized in subdivisions (a) to (n), inclusive. Each share shall represent an equal proportional interest in the underlying pool of securities owned by the joint powers authority. To be eligible under this section, the joint powers authority issuing shares shall have retained an investment adviser that meets all of the following criteria:

1. The adviser is registered or exempt from registration with the Securities and Exchange Commission.
2. The adviser has not less than five years of experience investing in the securities and obligations authorized in subdivisions (a) to (n) inclusive.
3. The adviser has assets under management in excess of five hundred million dollars (\$500,000,000).

**10.1.q United States dollars denominated senior unsecured unsubordinated obligations** issued or unconditionally guaranteed by the International Bank for Reconstruction and Development, International Finance Corporation, or Inter-American Development Bank, with a maximum remaining maturity of five years or less, and eligible for purchase and sale within the United States. Investments under this subdivision shall be rated "AA" or better by an NRSRO and shall not exceed 30 percent of the agency's moneys that may be invested pursuant to this section.

## **11.0 RESTRICTIONS AND PROHIBITIONS**

### **11.1 Restrictions set by the Treasurer**

**11.1.a** All investments purchased by the Treasurer's Office shall be of investment grade. The minimum credit rating of purchased investments shall be as defined by Government Code 53600 et. seq.

**11.1.b** All legal securities issued by a tobacco-related company are prohibited. A tobacco-related company is defined as 1) an entity that makes smoking products from tobacco used in cigarettes, cigars and/or snuff, or for smoking in pipes or 2) a company that has total revenues of 15 percent or more from the sale of such tobacco products. The tobacco-related issuers restricted from any investment are Alliance One, Altria Group, Inc., Auri Inc., British American Tobacco PLC, Imperial Tobacco Group PLC, Kirin International Holding Inc., Lorillard, Philip Morris International, Reynolds American, Inc., Schweitzer-Mauduit International Inc., Smokefree Innotec Inc., Star Scientific Inc., Universal Corp., and Vector Group, Ltd. The Treasury staff will update the list of tobacco-related companies when necessary.

- 11.1.c** Financial futures or financial option contracts will each be approved on a per trade basis by the County Treasurer.
- 11.1.d** Reverse repurchase agreements will be used strictly for the purpose of supplementing income with a limit of 10 percent of the total portfolio with prior approval of the Treasurer.
- 11.1.e** SBA loans require prior approval of the Treasurer in every transaction.
- 11.1.f** Securities purchased through brokers will be held in safekeeping at The Bank of New York Trust Company, N.A. or as designated by the specific contract(s) for government securities and tri-party repurchase agreements.
- 11.1.g** Swaps and Trades will each be approved on a per-trade basis by Treasurer or Assistant Treasurer.
- 11.1.h** Bank CDs or non-negotiable CDs will be collateralized at 110 percent by government securities or 150 percent by current mortgages. There will be no waiver of the first \$100,000 collateral except by special arrangement with the Treasurer.

## **11.2 Prohibitions by Government Code (§53601.6)**

- 11.2.a** A local agency shall not invest any funds pursuant to this Article or pursuant to Article 2 (commencing with Section 53630) in inverse floaters, range notes or interest-only strips that are derived from a pool of mortgages.
- 11.2.b** A local agency shall not invest any funds pursuant to this article or pursuant to Article 2 (commencing with Section 53630) in any security that could result in zero interest accrual if held to maturity. However, a local agency may hold prohibited instruments until their maturity dates. The limitation in this subdivision shall not apply to local agency investments in shares of beneficial interest issued by diversified management companies registered under the Investment Company Act of 1940 (15 U.S.C. Sec. 80a-1,et seq.) that are authorized for investment pursuant to subdivision (I) of Section 53601.

## **12.0 INVESTMENT PARAMETERS**

- 12.1 Diversification:** Investments shall be diversified so as to minimize the risk of loss and to maximize the rate of return by:
  1. Limiting investment to avoid overconcentration in securities from a specific issuer or business sector (excluding U.S. Treasury securities),
  2. Limiting investment in securities that have higher credit risks,
  3. Investing in securities with varying maturities, and
  4. Continuously investing a portion of the portfolio in readily available funds such as investment pools, money market funds or overnight repurchase agreements to ensure that appropriate liquidity is maintained in order to meet ongoing obligations.
- 12.2 Maximum Maturities:** To the extent possible, the County Treasurer shall attempt to match its investments with anticipated cash flow requirements. Unless matched to a specific cash flow, the Treasurer will not directly invest in securities maturing more than five (5) years from the date of purchase or in accordance with state and local statutes and ordinances. The Treasurer shall adopt weighted average maturity limitations (which often range from 90 days to 3 years), consistent with the investment objectives.

Because of inherent difficulties in accurately forecasting cash flow requirements, a portion of the portfolio should be continuously invested in readily available funds such as LAIF,



money market funds, or overnight repurchase agreements to ensure that appropriate liquidity is maintained to meet ongoing obligations.

**12.3 Exception to Maximum Maturity:** In accordance with Government Code §53601 the County Treasurer retains the right to petition the Board of Supervisors for approval to invest in securities with a final maturity in excess of five years. The Board of Supervisors adoption of any resolution allowing maturities beyond five years shall be considered an allowed modification to this policy and any investments made in accordance with the modification shall be allowable under this policy.

**12.4 Investment Criteria<sup>1</sup>:** All limitations set forth in this Policy are applicable only at the time of purchase. The County Treasurer has the full discretion to rebalance the portfolio when it is out of compliance owing to various reasons, such as market fluctuation.

INVESTMENT TYPE	MAXIMUM % of PORTFOLIO	MAXIMUM MATURITY	MAXIMUM % of ISSUE	OTHER RESTRICTIONS
Bonds issued by local agencies, §53601 (a)	100%	5 years	100%	
U.S. Treasury Obligations, §53601 (b)	100%	5 years	100%	
Registered State Warrants, and CA Treasury Notes and bonds, §53601 (c)	100%	5 years	100%	
Registered Treasury Notes or Bonds of any of the other 49 state in addition to CA, §53601 (d)	100%	5 years	100%	
Bonds and Notes issued by other local agencies in California, §53601 (e)	100%	5 years	100%	
Obligations of U.S. Agencies or government sponsored enterprises, §53601 (f)	100%	5 years	100%	
U.S. Agencies Callables	100%	5 years	25%	
Bankers Acceptances), §53601 (g)			30% Aggregate	
Domestic: (\$5B min. assets)	40%	180 days		
Foreign: (\$5B min. assets)	40%	180 days	5% Aggregate	
Commercial paper, §53601 (h) and §53635 (a)	40%	270 days or less	10% Aggregate	No more than 10 % of the local agency's money may be invested in the outstanding commercial paper of any single issuer.
Negotiable Certificates of Deposit (\$5 billion minimum assets), §53601 (i)	30%	5 years	10% Aggregate	
Repurchase Agreements secured by U.S. Treasury or agency obligation (102% collateral), §53601 (j)	100%	1 year	See limitations for Treasuries and Agencies above	Generally limited to Wells Fargo Bank, Bank of America or other institutions with whom the County treasury has executed tri-party agreements. Collateral will be held by a third party to the transaction that may include the trust department of particular banks. Collateral will be only securities that comply with Government Code 53601.
Reverse Repurchase Agreements and Securities Lending Agreements, §53601 (j)	20%	92 days	See limitations for Treasuries and Agencies above	

<sup>1</sup> The rating requirement for each investment type is referenced in the relevant sections of California Government Code.

INVESTMENT TYPE	MAXIMUM % of PORTFOLIO	MAXIMUM MATURITY	MAXIMUM % of ISSUE	OTHER RESTRICTIONS
Corporate bonds, Medium Term Notes & Covered, §53601 (k)	30%	5 years	5% Aggregate	
Shares of beneficial interest issued by diversified mgt. companies §53601 (l)	20%	N/A	10% Aggregate	
Moneys held by a trustee or fiscal agent, §53601 (m)	20%	N/A		
Collateralized Notes, Bonds, Time Deposits, or other obligations, §53601 (n)	15%	5 years	5% Aggregate	Collateralized by the eligible securities at a percentage specified in Government Code 53652.
Mrtg Backed Securities/CMO's:	20%	5 Years	5% Aggregate	<u>No</u> Inverse Floaters
Asset Backed Securities §53601 (o)	20%	5 Years	5% Aggregate	<u>No</u> Range Notes <u>No</u> Interest only strips derived from a pool of mortgages
Joint Powers Authority, CalTRUST, §53601 (p)	As limited by CalTRUST	N/A	As limited by CalTRUST	
Supranational obligations §53601 (q)	30%	5 Years	100%	Rated "AA" or better by an NRSRO
Local Agency Investment Fund (LAIF), §16429.1	As Limited by LAIF	N/A	As limited by LAIF	

### 13.0 CALIFORNIA LOCAL AGENCY INVESTMENT FUND (LAIF)

#### 13.1 General Information (Gov't Code §16305.9).

**13.1.a** All money in the Local Agency Investment Fund shall be held in trust in the custody of the State Treasurer.

**13.1.b** All money in the Local Agency Investment Fund is nonstate money. That money shall be held in a trust account or accounts. The Controller shall be responsible for maintaining those accounts to record the Treasurer's accountability, and shall maintain a separate account for each trust deposit in the Local Agency Investment Fund.

**13.1.c** That money shall be subject to audit by the Department of Finance and to cash count as provided for in Sections 13297, 13298, and 13299. It may be withdrawn only upon the order of the depositing entity or its disbursing officers. The system that the Director of Finance has established for the handling, receiving, holding, and disbursing of state agency money shall also be used for the money in the Local Agency Investment Fund.

**13.1.d** All money in the Local Agency Investment Fund shall be deposited, invested, and reinvested in the same manner and to the same extent as if it were state money in the State Treasury.

#### 13.2 Investment and Distribution of Deposits (§16429.1).

**13.2.a** There is in trust in the custody of the Treasurer the Local Agency Investment Fund, which fund is hereby created. The Controller shall maintain a separate account for each governmental unit having deposits in this fund.

**13.2.b** Notwithstanding any other provisions of law, a local governmental official, with the consent of the governing body of that agency, having money in its treasury not required for immediate needs, may remit the money to the Treasurer for deposit in the Local Agency Investment Fund for the purpose of investment.

- 13.2.c** Notwithstanding any other provisions of law, an officer of any nonprofit corporation whose membership is confined to public agencies or public officials, or an officer of a qualified quasi-governmental agency, with the consent of the governing body of that agency, having money in its treasury not required for immediate needs, may remit the money to the Treasurer for deposit in the Local Agency Investment Fund for the purpose of investment.
- 13.2.d** Notwithstanding any other provision of law or of this section, a local agency, with the approval of its governing body, may deposit in the Local Agency Investment Fund proceeds of the issuance of bonds, notes, certificates of participation, or other evidences of indebtedness of the agency pending expenditure of the proceeds for the authorized purpose of their issuance. In connection with these deposits of proceeds, the Local Agency Investment Fund is authorized to receive and disburse moneys, and to provide information, directly with or to an authorized officer of a trustee or fiscal agency engaged by the local agency, the Local Agency Investment Fund is authorized to hold investments in the name and for the account of that trustee or fiscal agent, and the Controller shall maintain a separate account for each deposit of proceeds.
- 13.2.e** The local governmental unit, the nonprofit corporation, or the quasi-governmental agency has the exclusive determination of the length of time its money will be on deposit with the Treasurer.
- 13.2.f** The trustee or fiscal agent of the local governmental unit has the exclusive determination of the length of time proceeds from the issuance of bonds will be on deposit with the Treasurer.
- 13.2.g** The Local Investment Advisory Board shall determine those quasi-governmental agencies which qualify to participate in the Local Agency Investment Fund.
- 13.2.h** The Treasurer may refuse to accept deposits into the fund if, in the judgment of the Treasurer, the deposit would adversely affect the state's portfolio.
- 13.2.i** The Treasurer may invest the money of the fund in securities prescribed in Section 16430. The Treasurer may elect to have the money of the fund invested through the Surplus Money Investment Fund as provided in Article 4 (commencing with Section 16470) of Chapter 3 of Part 2 of Division 4 of Title 2.
- 13.2.j** Money in the fund shall be invested to achieve the objective of the fund, that is to realize the maximum return consistent with safe and prudent treasury management.
- 13.2.k** All instruments of title of all investments of the fund shall remain in the Treasurer's vault or be held in safekeeping under control of the Treasurer in any federal reserve bank, or any branch thereof, or the Federal Home Loan Bank of San Francisco, with any trust company, or the trust department of any state or national bank.
- 13.2.l** Immediately at the conclusion of each calendar quarter, all interest earned and other increment derived from investments shall be distributed by the Controller to the contributing governmental units or trustees or fiscal agents, nonprofit corporations, and quasi-governmental agencies in amounts directly proportionate to the respective amounts deposited in the Local Agency Investment fund and the length of time the amounts remained therein. An amount equal to the reasonable costs incurred in carrying out the provisions of this section, not to exceed a maximum of one-half of one percent of the earnings of this fund, shall be deducted from the earnings prior to distribution. The amount of this deduction shall be

credited as reimbursements to the state agencies having incurred costs in carrying out the provisions of this section.

**13.2.m** The Treasurer shall prepare for distribution a monthly report of investments made during the preceding month.

#### **14.0 PORTFOLIO MANAGEMENT ACTIVITY**

##### **14.1 Passive Portfolio Management:**

(See Section 6.0., General Strategy)

##### **14.2 Competitive Bidding:**

Investments will be purchased in the most cost effective and efficient manner by using a competitive bidding process for the purchase of securities. Competitive bidding is required from a pre-approved list of broker/dealers on all investment transactions except for new issue securities.

##### **14.3 Reviewing and Monitoring of the Portfolio:**

Monthly reports will review portfolio investments to ensure they are kept track of in a timely manner. The reports will also monitor the County Treasurer's investment practices and the results of such practices.

##### **14.4 Portfolio Adjustments:**

Certain actions may be taken if the portfolio becomes out of compliance. For instance, should a concentration limitation be exceeded due to an incident such as a fluctuation in portfolio size, the affected securities may be held to maturity to avoid losses; however, the County Treasurer may choose to rebalance the portfolio earlier to bring it back into compliance if the portfolio will not suffer any losses for selling the investment prior to maturity.

##### **14.5 Performance Standards:**

The investment portfolio will be managed in accordance with the parameters specified within this Policy. The portfolio should obtain a market average rate of return during a market/economic environment of stable interest rates. A series of appropriate benchmarks shall be established against which portfolio performance shall be compared on a regular basis.

#### **15.0 REPORTING**

**15.1 Methodology:** The County Treasurer shall prepare an investment report at least quarterly, including a management summary that provides an analysis of the status of the current investment portfolio and transactions made over the last quarter. This management summary will be prepared in a manner which will allow the County Treasurer to ascertain whether investment activities during the reporting period have conformed to the investment policy. The report shall be provided to the Chief Administrative Officer, the County Auditor, the Board of Supervisors, Treasury Oversight Committee and any pool participants [Government Code 27133(e), and 53646(b)]. The report will include the following:

1. The type of investment, issuer, date of maturity, par and dollar amount invested on all securities, investments and moneys held by the County Treasurer
2. A description of any of the local agency's funds, investments, or programs that are under the management of contracted parties, including lending programs.

3. A current market value as of the date of the report of all securities held by the local agency, and under management of any outside party that is not also a local agency or the State of California Local Agency Investment Fund, and the source of this same valuation.
  4. A statement that the portfolio is in compliance with the investment policy, or the manner in which the portfolio is not in compliance.
  5. A statement denoting the ability of the County Treasurer to meet its pool's expenditure requirements for the next six months, or an explanation as to why sufficient money may not be available.
  6. Listing of individual securities by type and maturity date held at the end of the reporting period.
    - A. PLEDGE REPORT: Any securities that are pledged or loaned for any purpose shall be reported in the Quarterly Investment Report. The transaction detail will be provided, including purpose, beginning and termination dates and all parties to the contract. The security descriptions as to type, name, maturity date, coupon rate, CUSIP and other material information will be included.
    - B. REVERSE REPURCHASE AGREEMENTS REPORT: All reverse repurchase agreements entered into, whether active or inactive by the end of each quarter, shall be reported in the Treasurer's Quarterly Investment Report.
  7. Realized and unrealized gains or losses resulting from appreciation or depreciation by listing the cost and market value of securities over one-year duration that are not intended to be held until maturity.
  8. Average maturity and duration of portfolio on investments as well as the yield to maturity of the portfolio as compared to applicable benchmarks.
  9. Percentage of the total portfolio which each type of investment represents.
  10. Whatever additional information or data may be required by the legislative body of the local agency.
- 15.2 Marking to Market:** The market value of the portfolio shall be calculated at least quarterly and a statement of the market value of the portfolio shall be issued at least quarterly. This will ensure that review of the investment portfolio, in terms of value and price volatility, has been performed on a regular basis.

## **16.0 COMPENSATION**

In accordance with Government Code §§27013 and 53684, the County Treasurer will charge all pool participants for administrative and overhead costs. Costs include, but are not limited to, employee salaries and benefits, portfolio management, bank and custodial fees, software maintenance fees and other indirect costs incurred from handling and managing funds. In addition, when applicable, the costs associated with the Treasury Oversight provisions of Government Code §§ 27130-27137 shall be included as administrative costs. Costs will be deducted from interest earnings on the pool prior to apportioning and payment of interest. The County Treasurer shall annually prepare a proposed budget providing a detailed itemization of all estimated costs which comprise the administrative fee charged in accordance with Government Code §27013. The administrative fee will be subject to change. Fees will be deducted from interest earnings.

- 16.1 Deduction of Costs:** At the discretion of the County Treasurer, the County Treasurer may deduct actual administrative costs and may make any adjustments from the interest

earnings and apportions the remaining earnings to all participants based on the positive average daily balance (Government Code 53684(b)).

- 16.2 Directed Investments Costs:** At the discretion of the County Treasurer, the County Treasurer may deduct from interest earnings the actual administrative costs of such directed investments (Government Code §27013).

## **17.0 CALCULATING AND APPORTIONING POOL EARNINGS**

The Investment Pool Fund is comprised of monies from multiple units of the County, agencies, school districts and special districts. Each entity has unique cash flow demands, which dictate the type of investments the Treasurer's Office may purchase. To ensure parity among the pool members when apportioning interest earnings, the following procedures have been developed:

1. Interest is apportioned on at least a quarterly basis in accordance with Government Code §53684.
2. Interest is apportioned to pool participants based on the participant's average daily fund balance and the total average daily balance of deposits in the investment pool.
3. Interest is calculated on a cash basis for all investments in the County Treasurer's investment pool and reported to the Auditor-Controller for distribution into the funds of the participants.
4. Interest earned on the directed investments is credited to pool participants on a cash basis. Administrative costs are determined annually by the County Treasurer based on actual administrative and overhead costs incurred in the previous year.
5. Negative average daily fund balance will be charged interest at the rate of interest that is being apportioned.

## **18.0 DEPOSITS AND WITHDRAWALS IN THE TREASURY**

### **18.1 Deposit by Voluntary Participants**

Following are the terms and conditions for deposit of funds for investment purposes by voluntary participants, i.e. entities that are not legally required to deposit their funds in the County Treasury.

- 18.1.a** Resolution by the County Board of Supervisors authorizing the acceptance of outside participants by the County Treasury.
- 18.1.b** Resolution by the legislative or governing body of the local agency (voluntary participant) authorizing the investment of funds pursuant to Government Code 53684.
- 18.1.c** Treasury investments will be directed transactions. For each transaction, the local agency (voluntary participant) must indicate the fund source, the amount to be invested and the duration of the investment.

### **18.2 Withdrawal Request**

The Treasurer's Office has established the Withdrawal of Funds Policy for all Treasury Investment Pool participants who seek to withdraw funds from the County Treasury Investment Pool for various purposes. In accordance with California State Government Code Section 27136, all participants having funds on deposit in the Pool and seeking to withdraw their funds, shall first submit a formal written request to the County Treasurer. The County Treasurer shall evaluate the withdrawal proposals of all Pool participants upon receipt of the written requests. The evaluation process may take up to 30 days. The County Treasurer reserves the right to reject any request for withdrawal if it is in the Treasurer's opinion after thorough evaluation, that the

withdrawal will violate applicable laws and/or governing documents, compromise Treasurer's fiduciary responsibility, adversely impact the stability of the Pool, or harm the interests of any Pool Participant. Such rejection shall prevent the withdrawal of the funds.

Typically, participants make withdrawals for the following two reasons: a) regular operations and b) investing or depositing funds outside the Pool in accordance with California State Government Code Section 27136 (a). The County Treasurer seeks to honor all written withdrawal requests for regular operating purposes that are approved by the County Auditor-Controller's Office in a timely fashion. However, the County Treasurer recognizes that occasionally the Pool participants may request large amounts in withdrawals to cover unexpected operational needs. To accommodate such withdrawals and allow for adequate time for adjustments to the liquidity position of the Pool, the County Treasurer expects all Pool Participants to submit their written requests within the following timeframes:

- i) Withdrawals of Up to \$1 million – prior to 8:00 a.m. for same day disbursement
- ii) Withdrawals of between \$1 million to \$10 million – 1 business day in advance of disbursement
- iii) Withdrawals of more than \$10 million – 3 business day in advance of disbursement

Withdrawals of investment deposits from the County Treasury Investment Pool by any Pool participant shall coincide with investment maturities and/or authorized sale of securities by authorized personnel of the Pool Participant. Except for funds in the California State Local Agency Investment Fund, a five-business-days notification may be required when authorized sale of securities is involved. In the event that the Treasurer must liquidate investments in order to honor the withdrawal request, the Participant who requests the withdrawal shall be subject to all expenses associated with the liquidation, including, but not limited to loss of principal and interest income, withdrawal penalties, and associated fees.

To maintain full fiduciary responsibility for investment and administration of the Pool, the County Treasurer shall NOT permit statutory participants to withdraw funds from and subsequently deposit the funds outside the Pool for the purpose of investments without prior approval of the County Treasurer. As permitted by the Government Code Section 53635, upon request the County Treasurer may enter into an investment agreement with a third party investment manager on behalf of statutory participants. However, the funds shall remain in the Pool during the entire agreement period under the care of the custodian bank retained by the County Treasurer.

Voluntary participants may withdraw funds from and subsequently deposit the funds outside the Pool for investment purposes upon the County Treasurer's approval. However, such withdrawals shall be made for the entire amount of the participant's funds deposited in the Pool. Upon completion of such withdrawals, the voluntary participants will no longer be able to participate in the Pool or receive further services from the County Treasurer's Office. NO partial withdrawals from the Pool for investment purposes are permitted.

Please refer to Withdrawal of Funds Policy, which is maintained as a separate document, for detailed guidelines and procedures.

## **19.0 TEMPORARY BORROWING OF POOL FUNDS**

Section 6 of Article XVI of the California Constitution provides in part that "the treasurer of any city, county, or city and county shall have power and the duty to make such temporary transfers from the funds in custody as may be necessary to provide funds for meeting the obligations incurred for maintenance purposes by city, county, city and county, district, or other political subdivision whose funds are in custody and are paid out solely through the treasurer's office."



The County Auditor-Controller and the County Treasurer shall make a temporary transfer of funds to the requesting agency, not to exceed 85% of the amount of money which will accrue to the agency during the fiscal year, provided that the amount of such transfer has been determined by the County Auditor-Controller to be transferable under the constitutional and statutory provisions cited in Article XVI and has been certified by the County Treasurer-Tax Collector to be available. Such temporary transfer of funds shall not be made prior to the first day of the fiscal year nor after the last Monday in April of the current fiscal year.

## **20.0 INVESTMENT OF BOND PROCEEDS**

The County Treasurer shall invest bond proceeds using the standards of this Investment Policy. The bond proceeds will be invested in securities permitted by the bond documents. If the bond documents are silent, the bond proceeds will be invested in securities permitted by this Policy.

## **21.0 DISASTER RECOVERY PLAN**

The Contra Costa County Treasurer's Disaster Recovery Plan includes critical phone numbers and addresses of key personnel as well as active bankers and brokers/dealers. Laptops, tablets, smart phones, and other equivalent electronic devices shall be issued to key personnel for communicating between staff, bank and broker/dealers. Copies of the plan shall be distributed to the investment staff: Assistant County Treasurer, the Treasurer's Investment Officer, and the Investment Operations Analyst. The investment staff shall interact with one another by home phone, cell phone, or e-mail to decide an alternate location from which to conduct daily operations.

In the event investment staff is unable to conduct normal business operations, the custodial bank will automatically sweep all uninvested cash into an interest bearing account at the end of the business day. Until normal business operations have been restored, the limitations on the size of an individual issuer and the percentage restrictions by investment type would be allowed to exceed those approved in this investment policy.

## **22.0 POLICY CONSIDERATIONS**

### **22.1 Exemption**

Any investment currently held that does not meet the guidelines of this policy shall be exempted from the requirements of this policy. At maturity or liquidation, such monies shall be reinvested only as provided by this policy.

### **22.2 Amendments**

This policy shall be reviewed on an annual basis. Any changes must be approved by the County Treasurer and any other appropriate authority.



# AUTHORIZATION FOR LAIF INVESTMENTS

C.67

## THE BOARD OF SUPERVISORS OF CONTRA COSTA COUNTY, CALIFORNIA

and for Special Districts, Agencies and Authorities Governed by the Board

Adopted this Resolution on 04/03/2012 by the following vote:

AYES: ☒ 4 John Gioia  
Mary N. Piepho  
Karen Mitchoff  
Federal D. Glover  
NOES: ☐  
ABSENT: ☒ 1 Gayle B. Uilkema  
ABSTAIN: ☐  
RECUSE: ☐



### Resolution No. 2012/129

Resolution of Contra Costa County an in accordance with California Government Code Section 16429.1 Authorizing Investment of Monies in the Local Agency Investment Fund (Account #99-07-000)

WHEREAS, Pursuant to Chapter 730 of the statutes of 1976 Section 16429.1 was added to the California Government Code to create a Local Agency Investment Fund in the State Treasury for the deposit of money of a local agency for purposes of investment by the State Treasurer; and

WHEREAS, the Board of Supervisors does hereby find that the deposit and withdrawal of money in the Local Agency Investment Fund in accordance with the provisions of Section 16429.1 of the Government Code for the purpose of investment as stated therein as in the best interests of the CONTRA COSTA COUNTY.

NOW THEREFORE, BE IT RESOLVED, that the Board of Supervisors does hereby authorize the deposit and withdrawal of CONTRA COSTA COUNTY monies in the Local Agency Investment Fund in the State Treasury in accordance with the provisions of Section 16429.1 of the Government Code for the purpose of investment as stated therein, and verification by the State Treasurer's Office of all banking information provided in that regard.

BE IT FURTHER RESOLVED, that the following CONTRA COSTA COUNTY officers or their successors in office shall be authorized to order the deposit or withdrawal of monies in the Local Agency Investment Fund:

Russell V. Watts,  
Treasurer-Tax Collector

(SIGNATURE)

Brice Bins,  
Chief Deputy Treasurer-Tax Collector

(SIGNATURE)

Belinda Zhu,  
Assistant Treasurer

(SIGNATURE)

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: Brice Bins, 925-957-2848

ATTESTED: April 3, 2012

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

By:   
David J. Twa, Deputy

cc:

## APPROVED BROKERS

ABN AMRO, Incorporated  
Alamo Capital  
Bank of America Merrill Lynch  
Bank of the West  
Barclays Capital, Incorporated  
California Arbitrage Management Program  
Citigroup Global Markets  
Credit Suisse  
Daiwa Capital Markets America Inc.  
Goldman, Sachs & Company  
Government Perspectives  
JP Morgan Securities LLC  
Penserra Securities LLC  
Prudential Securities, Incorporated  
Public Financial Management, Incorporated  
RBC Capital Markets, LLC  
UBS Financial Services, Inc.  
UnionBanc Investment Services  
Wells Fargo Securities

**Note:** The County Treasury will not be limited to the above list. Others will be included as long as all conditions for authorized brokers and/or dealers set forth in this policy are met. Additionally, deletions and additions are based on many factors including the maintenance of required credit quality as rated by Standard and Poor's, Moody's and other recognized rating services and reliable financial sources.

## APPROVED ISSUERS

Abbey National NA	PepsiCo, Inc.
American Honda Finance	PNC Bank NA
Australia & New Zealand Banking Group	Prudential
Bank of Montreal	Procter & Gamble Company
Bank of Nova Scotia	Rabobank Nederland New York
BNP Paribas	Royal Bank of Canada
Chevron	Societe Generale North America
Coca-Cola Co	Standard Chartered Bank
Commonwealth Bank of Australia	State Street Bank & Trust Co
Credit Agricole SA	Svenska Handelsbanken AB
Deere & Company	Toronto-Dominion Bank
Deutsche Bank Financial LLC	Toyota Motor Credit Corp
Exxon Mobil	UBS Financial
General Electric Capital Corp	Union Bank
General Electric Co	US Bankcorp
JPMorgan Chase & Co	Walmart
John Deere Capital Corporation	Walt Disney Company
Johnson & Johnson	Wells Fargo Bank NA
McDonald's Corporation	Westpac Banking Corp
National Australia Bank	Westamerica Bank
Nestle Capital Corp	
Nordea Bank AB	

**Note:** The County Treasury will not be limited to the above list in making investments. Other issuers may be considered as the County Treasury will perform additional due diligence on each investment decision. The list does not reflect the actual portfolio holdings managed by the County Treasury.

## APPROVED PRIMARY DEALERS

Bank of Nova Scotia, New York Agency  
BMO Capital Markets Corp.  
BNP Paribas Securities Corp.  
Barclays Capital Inc.  
Cantor Fitzgerald & Co.  
Citigroup Global Markets, Inc.  
Credit Suisse Securities (USA) LLC  
Daiwa Capital Markets America Inc.  
Deutsche Bank Securities Inc.  
Goldman, Sachs & Co.  
HSBC Securities (USA) Inc.  
Jefferies & Company, Inc.  
J.P. Morgan Securities, Inc.  
Merrill Lynch, Pierce, Fenner & Smith Incorporated  
Mizuho Securities USA Inc.  
Morgan Stanley & Co. Incorporated  
Nomura Securities Inc.  
RBC Capital Markets, LLC  
RBS Securities Inc.  
Societe Generale, New York Branch  
TD Securities (USA) LLC  
UBS Securities LLC.  
Wells Fargo Securities, LLC

**Note:** The above list consists of primary dealers that serve as trading counterparties of the Federal Reserve Bank of New York in its implementation of monetary policy. These primary dealers are required to participate in all auctions of U.S. government debt. Treasury Staff will perform additional due diligence on each investment decision, and hence, may or may not use the primary dealers listed above.

# **CONFLICT OF INTEREST CODE**

## **For the**

## **TREASURER-TAX COLLECTOR'S OFFICE**

This Conflict of Interest Code is promulgated under the authority of the Political Reform Act, Government Code §81000, et seq., which requires all state and local government agencies to adopt and promulgate conflict of interest codes. Section 18730 of Title 2, Division 6 of the California Code of Regulations, as adopted by the Fair Political Practices Commission (FPPC) contains the terms of a standard conflict of interest code, which may be incorporated by reference and may be amended by the FPPC after public notice and hearings to conform to amendments in the Political Reform Act.

Therefore, the terms of Section 18730 of Title 2, Division 6 of the California Code of Regulations and any amendments to it duly adopted by the FPPC are hereby incorporated by reference and, along with the below stated Disclosure Categories, constitute the Conflict of Interest Code of the Treasurer-Tax Collector's Office of Contra Costa County.

Employees in designated categories below shall file a Statement of Economic Interest (Form 700) with the filing officer, who will make the statements available for public inspection and reproduction. (California Government Code §81008)

### **DESIGNATED POSITIONS**

<b>CLASS/JOB CODE TITLE</b>	<b>ASSIGNED CATEGORY</b>
County Treasurer-Tax Collector	1
Assistant County Treasurer	1
Chief Deputy Treasurer-Tax Collector	1
Treasurer's Investment Officer	1
Treasurer' Investment Operations Analyst	1
Tax Operations Supervisor	1
Treasurer Oversight Committee members	2

### **DISCLOSURE CATEGORIES**

#### **General Rule**

An investment, interest in real property, or income is reportable if the business entity in which the investment is held, the interest in real property, or the income or source of income may foreseeably be affected materially by any decision made or participated in by the designated employee by virtue of the employee's position.

1. Designated Employees in Category "1" must report:
  - a. All investments, interests in real property, and income, and any business entity in which the employee is a director, officer, partner, trustee, employee, or hold any position in management. Financial interests are reportable only if located within Contra Costa County or if the business entity is doing business or planning to do business in the County (and such plans are known by the designated employee) or 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, and income from any source and status as a director, officer, partner, trustee, employee, or hold of a position of management in any business entity, which has within the last two years contracted or foreseeably may contract with Contra Costa County, or with any special district or other public agency within the County, to provide services, supplies, materials, machinery or equipment to such County, district, or public agency.
2. Designated Employees in Category "2" must report:

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, which has within the last two years contracted, or foreseeably may contract, with Contra Costa County to provide services, supplies, materials, machinery or equipment to the Office the Treasurer-Tax Collector.

## GLOSSARY OF TERMS

**ACCRUED INTEREST** The accumulated interest due on a bond as of the last interest payment made by the issuer.

**AGENCY** A debt security issued by a federal or federally sponsored agency. Federal agencies are backed by the full faith and credit of the U.S. Government. Federally sponsored agencies (FSAs) are backed by each particular agency with a market perception that there is an implicit government guarantee. An example of federal agency is the Government National mortgage Association (GNMA). An example of a FSA is the Federal National Mortgage Association (FNMA).

**AMORTIZATION** The systematic reduction of the amount owed on a debt issue through periodic payments of principal.

**AVERAGE LIFE** The average length of time that an issue of serial bonds and/or term bonds with a mandatory sinking fund feature is expected to be outstanding.

**BANKERS ACCEPTANCES** A time bill of exchange drawn on and accepted by a commercial bank to finance the exchange of goods. When a bank “accepts” such a bill, the time draft becomes, in effect, a predated, certified check payable to the bearer at some future specified date. The commercial bank assumes primary liability once the draft is accepted.

**BASIS POINT** A unit of measurement used in the valuation of fixed-income securities equal to 1/100 of one percent of yield. For example, if interest rates increase from 8.25% to 8.50%, the difference is referred to as a 25-basis-point increase.

**BENCHMARK** A comparative base for measuring the performance or risk tolerance of the investment portfolio. A benchmark should represent a close correlation to the level of risk and the average duration of the portfolio’s investment.

**BID** The indicated price at which a buyer is willing to purchase a security or commodity.

**BLUE SKY LAWS** Common term for state securities law, which vary from state to state. Generally refers to provision related to prohibitions against fraud, dealer and broker regulations and securities registration.

**BOND** A bond is essentially a loan made by an investor to a division of the government, a government agency or a corporation. The bond is a promissory note to repay the loan in full at the end of a fixed time period. The date on which the principal must be repaid is called the maturity date or maturity. In addition, the issuer of the bond, that is the agency or corporation receiving the loan proceeds and issuing the promissory note, agrees to make regular payments of interest at a rate initially stated on the bond. Bonds are rated according to many factors, including cost, degree of risk and rate of income.

**BOOK VALUE** Refers to value of a held security as carried in the records of an investor. May differ from current market value of the security.

**BROKER/DEALER** Any person engaged in the business of effecting transaction in securities in this state for the account of others or for her/his own account. Broker/dealer also includes a person engaged in the regular business of issuing or guaranteeing options with regard to securities not of her/his own issue.

**CALLABLE BOND** A bond issue in which all or part of its outstanding principal amount may be redeemed before maturity by the issuer under specified conditions.

**CALL PRICE** The price at which an issuer may redeem a bond prior to maturity. The price is usually at a slight premium to the bond's original issue price to compensate the holder for the loss of income and ownership.

**CALL RISK** The risk to the bondholder that a bond may be redeemed prior to maturity.

**CASH SALE/PURCHASE** A transaction which calls for delivery and payment of securities on the same day that the transaction is initiated.

**CERTIFICATES OF DEPOSIT (CD)** Certificates issued against funds deposited in a commercial bank for a definite period of time and earning a specified rate of return. They are issued in two forms, negotiable and non-negotiable.

**CLEAN UP CALL** An action of a debt instrument issuer requiring early redemption of the instrument to reduce its own administrative expenses. This normally occurs when the principal outstanding is significantly reduced to a small amount, e.g., less than 10% of the original issue.

**COLLATERALIZATION** Process by which a borrower pledges securities, property, or other deposits for the purpose of securing the repayment of a loan and/or security.

**COMMERCIAL PAPER** Short-term, unsecured promissory notes issued in either registered or bearer form and usually backed by a line of credit with a bank. Maturities do not exceed 270 days and generally average 30-45 days.

**CONVEXITY** A measure of a bond's price sensitivity to changing interest rates. A high convexity indicates greater sensitivity of a bond's price to interest rate changes.

**COUPON RATE** The annual rate of interest received by an investor from the issuer of certain types of fixed-income securities. Also known as the "interest rate."

**CREDIT QUALITY** The measurement of the financial strength of a bond issuer. This measurement helps an investor to understand an issuer's ability to make timely interest payments and repay the loan principal upon maturity. Generally, the higher the credit quality of a bond issuer, the lower the interest rate paid by the issuer because the risk of default is lower. Credit quality ratings are provided by nationally recognized rating agencies.

**CREDIT RISK** The risk to an investor that an issuer will default in the payment of interest and/or principal on a security.

**CURRENT YIELD (CURRENT RETURN)** A yield calculation determined by dividing the annual interest received on a security by the current market price of that security.



**CUSIP NUMBERS** CUSIP is an acronym for Committee on Uniform Security Identification Procedures. CUSIP numbers are identification numbers assigned each maturity of a security issue and usually printed on the face of each individual security in the issue. The CUSIP numbers are intended to facilitate identification and clearance of securities.

**DELIVERY VERSUS PAYMENT (DVP)** A type of securities transaction in which the purchaser pays for the securities when they are delivered either to the purchaser or his/her custodian.

**DERIVATIVE SECURITY** Financial instrument created from, or whose value depends upon, one or more underlying assets or indexes of asset values.

**DISCOUNT** The amount by which the par value of a security exceeds the price paid for the security.

**DIVERSIFICATION** A process of investing assets among a range of security types by sector, maturity, and quality rating.

**DURATION** A measure of the timing of the cash flows, such as the interest payments and the principal repayment, to be received from a given fixed-income security. This calculation is based on three variables: term to maturity, coupon rate, and yield to maturity. The duration of a security is a useful indicator of its price volatility for given changes in interest rates.

**EARNINGS APPORTIONMENT** The quarterly interest distribution of the Pool Participants where the actual investment costs incurred by the Treasurer are deducted from the interest earnings of the Pool

**FAIR VALUE** The amount at which an investment could be exchanged in a current transaction between willing parties, other than in a forced or liquidation sale.

**FEDERAL FUNDS (FED FUNDS)** Funds placed in Federal Reserve banks by depository institutions in excess of current reserve requirements. These depository institutions may lend fed funds to each other overnight or on a longer basis. They may also transfer funds among each other on a same-day basis through the Federal Reserve banking system. Fed funds are considered to be immediately available funds.

**FEDERAL FUNDS RATE** Interest rate charged by one institution lending federal funds to the other.

**FEDERAL OPEN MARKET COMMITTEE (FOMC)** This committee sets Federal Reserve guidelines regarding purchases and sales of government securities in the open market as a means of influencing the volume of bank credit and money.

**FIDUCIARY** An individual who holds something in trust for another and bears liability for its safekeeping.

**FLOATING RATE NOTE** A debt security whose interest rate is reset periodically (monthly, quarterly, annually) and is based on a market index (e.g., Treasury bills, LIBOR, etc.).

**FUTURES** Commodities and other investments sold to be delivered at a future date.

**GOVERNMENT SECURITIES** An obligation of the U.S. government, backed by the full faith and credit of the government. These securities are regarded as the highest quality of investment securities available in the U.S. securities market. See "Treasury Bills, Notes and Bonds."

**INTEREST RATE** See “Coupon Rate.”

**INTERNAL CONTROLS** An internal control structure is designed to ensure that the assets of the Treasurer’s Investment Pool are protected from loss, theft, or misuse, and to provide reasonable assurance that this objective is met. The concept of reasonable assurance recognizes that (1) the cost of a control should not exceed the benefits likely to be derived and (2) the valuation of costs and benefits requires estimates and judgments by management.

Internal controls should address the following points:

1. Control of collusion—Collusion is a situation where two or more employees are working in conjunction to defraud their employer.
2. Separation of transaction authority from accounting and record keeping—By separating the person who authorizes or performs the transaction from the people who record or otherwise account for the transaction, a separation of duties is achieved.
3. Custodial safekeeping—Securities purchased from a bank or dealer including appropriate collateral (as defined by state law) shall be placed with an independent third party for custodial safekeeping.
4. Avoidance of physical delivery securities—Book-entry securities are much easier to transfer and account for since actual delivery of a document never takes place. Delivered securities must be properly safeguarded against loss or destruction. The potential for fraud and loss increases with physically delivered securities.
5. Clear delegation of authority to subordinate staff members—Subordinate staff members must have a clear understanding of their authority and responsibilities to avoid improper actions. Clear delegation of authority also preserves the internal control structure that is contingent on the various staff positions and their respective responsibilities.
6. Written confirmation of transactions for investments and wire transfers—Due to the potential for error and improprieties arising from telephone and electronic transactions, all transactions should be supported by written communications and approved by the appropriate person. Written communications may be via fax if on letterhead and if the safekeeping institution has a list of authorized signatures.
7. Development of a wire transfer agreement with the lead bank and third-party custodian—The designated official should ensure that an agreement will be entered into and will address the following points: controls, security provisions, and responsibilities of each party making and receiving wire transfers.

**INVERSE FLOATERS** An adjustable interest rate note keyed to various indices such as LIBOR, commercial paper, federal funds, treasuries and derivative structures. The defined interest rate formula is the opposite or inverse of these indices. Interest rates and pay dates may reset daily, weekly, monthly, quarterly, semi-annually or annually.

**INVERTED YIELD CURVE** A chart formation that illustrates long-term securities having lower yields than short-term securities. This configuration usually occurs during periods of high inflation coupled with low levels of confidence in the economy and a restrictive monetary policy.

**INVESTMENT COMPANY ACT OF 1940** Federal legislation which sets the standards by which investment companies, such as mutual funds, are regulated in the areas of advertising, promotion, performance reporting requirements, and securities valuations.

**INVESTMENT POLICY** A concise and clear statement of the objectives and parameters formulated by the investor or investment manager for a portfolio of investment securities.

**INVESTMENT-GRADE OBLIGATIONS** An investment instrument suitable for purchase by institutional investors under the prudent person rule. Investment-grade is restricted to those obligations rated BBB or higher by a rating agency.

**LIQUIDITY** Usually refers to the ability to convert assets (such as investments) into cash.

**LOCAL AGENCY INVESTMENT FUND (LAIF)** The State of California investment pool in which money of local agencies is pooled as a method for managing and investing local funds.

**MAKE WHOLE CALL** A type of call provision on a bond allowing the borrower to pay off remaining debt early. The borrower has to make a lump sum payment derived from a formula based on the net present value of future coupon payments that will not be paid because of the call.

**MARK TO MARKET** Valuing the inventory of held securities at its current market value.

**MARKET RISK** The risk that the value of a security will rise or decline as a result of changes in market conditions.

**MARKET VALUE** Price at which a security can be traded in the current market.

**MASTER REPURCHASE AGREEMENT** A written contract covering all future transactions between the parties to repurchase-reverse repurchase agreements that establishes each party's rights in the transaction. A master agreement will often specify, among other things, the right of the buyer-lender to liquidate the underlying securities in the event of default by the seller-borrower.

**MATURITY** The date upon which the principal of a security becomes due and payable to the holder.

**MEDIUM-TERM NOTES (MTNS)** Corporate debt obligations continuously offered in a broad range of maturities. MTNs were created to bridge the gap between commercial paper and corporate bonds. The key characteristic of MTNs is that they are issued on a continuous basis.

**MONEY MARKET INSTRUMENTS** Private and government obligations of one year or less.

**MONEY MARKET MUTUAL FUNDS** Mutual funds that invest solely in money market instruments (short-term debt instruments, such as Treasury bills, commercial paper, banker's acceptances, repos and federal funds).

**MUTUAL FUND** An investment company that pools money and can invest in a variety of securities, including fixed-income securities and money market instruments. Mutual funds are regulated by the Investment Company Act of 1940 and must abide by the following Securities and Exchange Commission (SEC) disclosure guidelines:

1. Report standardized performance calculations.
2. Disseminate timely and accurate information regarding the fund's holdings, performance, management and general investment policy.
3. Have the fund's investment policies and activities supervised by a board of trustees, which are independent of the adviser, administrator or other vendor of the fund.

4. Maintain the daily liquidity of the fund's shares.
5. Value their portfolios on a daily basis.
6. Have all individuals who sell SEC-registered products licensed with a self-regulating organization (SRO) such as the National Association of Securities Dealers (NASD).
7. Have an investment policy governed by a prospectus which is updated and filed by the SEC annually.

**MUTUAL FUND STATISTICAL SERVICES** Companies that track and rate mutual funds, e.g., IBC/Donoghue, Lipper Analytical Services and Morningstar.

**NATIONAL ASSOCIATION OF SECURITIES DEALERS (NASD)** A self-regulatory organization (SRO) of brokers and dealers in the over-the counter securities business. Its regulatory mandate includes authority over firms that distribute mutual fund shares as well as other securities.

**NEGOTIABLE CERTIFICATES OF DEPOSIT** May be sold by one holder to another prior to maturity. This is possible because the issuing bank agrees to pay the amount of the deposit plus interest earned to the bearer of the certificate at maturity.

**NET ASSET VALUE** The market value of one share of an investment company, such as a mutual fund. This figure is calculated by totaling a fund's assets which includes securities, cash, and any accrued earnings, subtracting this from the fund's liabilities and dividing this total by the number of shares outstanding. This is calculated once a day based on the closing price for each security in the fund's portfolio. (See below)

$$[(\text{Total assets}) - (\text{Liabilities})] / (\text{Number of shares outstanding})$$

**NO LOAD FUND** A mutual fund which does not levy a sales charge on the purchase of its shares.

**NOMINAL YIELD** The stated rate of interest that a bond pays its current owner, based on par value of the security. It is also known as the "coupon," "coupon rate," or "interest rate."

**NON-NEGOTIABLE CERTIFICATES OF DEPOSIT** For public funds, these certificates are collateralized and are not money market instruments since they cannot be traded in the secondary market. They are issued on a fixed-maturity basis and often pay higher interest rates than are permissible on other savings or time-deposit accounts.

**OFFER** The price of a security at which a person is willing to sell.

**OPTION** A contract that provides the right, but not the obligation, to buy or to sell a specific amount of a specific security within a predetermined time period. A call option provides the right to buy the underlying security. A put option provides the right to sell the underlying security. The seller of the contracts is called the writer.

**PAR** Face value of principal value of a bond, typically \$1,000 per bond.

**PAR VALUE** The stated or face value of a security expressed as a specific dollar amount marked on the face of the security; the amount of money due at maturity. Par value should not be confused with market value.

**POSITIVE YIELD CURVE** A chart formation that illustrates short-term securities having lower yields than long-term securities.

**PREMIUM** The amount by which the price paid for a security exceeds par value, generally representing the difference between the nominal interest rate and the actual or effective return to the investor.

**PRIME RATE** A preferred interest rate charged by commercial banks to their most creditworthy customers. Many interest rates are keyed to this rate.

**PRINCIPAL** The face value or par value of a debt instrument. Also may refer to the amount of capital invested in a given security.

**PROSPECTUS** A legal document that must be provided to any prospective purchaser of a new securities offering registered with the SEC. This can include information on the issuer, the issuer's business, the proposed use of proceeds, the experience of the issuer's management, and certain certified financial statements.

**PRUDENT PERSON RULE** An investment standard outlining the fiduciary responsibilities of public funds investors relating to investment practices.

**RANGE NOTES** A security whose rate of return is pegged to an index. The note defines the interest rate minimum or floor and the interest rate maximum or cap. An example of an index may be federal funds. The adjustable rate of interest is determined within the defined range of the funds.

**RATE OF RETURN** The yield obtainable on a security based on its purchase price or its current market price. This may be the amortized yield to maturity on a bond and the current income return.

**REINVESTMENT RISK** The risk that a fixed-income investor will be unable to reinvest income proceeds from a security holding at the same rate of return currently generated by that holding.

**REPURCHASE AGREEMENT OR RP OR REPO** An agreement consisting of two simultaneous transactions whereby the investor purchases securities from a bank or dealer and the bank or dealer agrees to repurchase the securities at the same price on a certain future date. The interest rate on a RP is that which the dealer pays the investor for the use of his funds. Reverse repurchase agreements are the mirror image of the RPs when the bank or dealer purchases securities from the investor under an agreement to sell them back to the investor.

**REVERSE REPURCHASE AGREEMENT (REVERSE REPO)** An agreement of one party to sell securities at a specified price to a second party and a simultaneous agreement of the first party to repurchase the securities at a specified price or at a specified later date.

**RULE 2A-7 OF THE INVESTMENT COMPANY ACT** Applies to all money market mutual funds and mandates such funds to maintain certain standards, including a 13-month maturity limit and a 90-day average maturity on investments, to help maintain a constant net asset value of one dollar (\$1.00).

**SAFEKEEPING** Holding of assets (e.g., securities) by a financial institution.

**SECURITIES LENDING** A transaction wherein the Treasurer's Pool transfers its securities to a broker/dealer or other entities for collateral which may be cash or securities and simultaneously agrees to return the collateral for the same securities in the future.

**SERIAL BOND** A bond issue, usually of a municipality, with various maturity dates scheduled at regular intervals until the entire issue is retired.

**SETTLEMENT DATE** The date used in price and interest computations, usually the date of delivery.

**SINKING FUND** Money accumulated on a regular basis in a separate custodial account that is used to redeem debt securities or preferred stock issues.

**SLUGS** An acronym for State and Local Government Series. SLUGS are special United States Government securities sold by the Secretary of the Treasury to states, municipalities and other local government bodies through individual subscription agreements. The interest rates and maturities of SLUGS are arranged to comply with arbitrage restrictions imposed under Section 103 of the Internal Revenue Code. SLUGS are most commonly used for deposit in escrow in connection with the issuance of refunding bonds.

**STRIPS** US Treasury acronym for "separate trading of registered interest and principal of securities." Certain registered Treasury securities can be divided into separate interest and principal components, which may then be traded as separate entities.

**SUPRANATIONAL** Supranational is an international organization, or union, whereby member states transcend national boundaries or interests to share in the decision-making and vote on issues pertaining to the wider grouping. Examples of supranational are International Bank for Reconstruction and Development, International Finance Corporation, European Union, and World Trade Organization.

**SWAP** Generally refers to an exchange of securities, with essentially the same par value, but may vary in coupon rate, type of instrument, name of issuer and number of days to maturity. The purpose of the SWAP may be to enhance yield, to shorten the maturity or any benefit deemed by the contracting parties.

**TERM BONDS** Bonds comprising a large part or all of a particular issue which come due in a single maturity. The issuer usually agrees to make periodic payments into a sinking fund for mandatory redemption of term bonds before maturity.

**TOTAL RETURN** The sum of all investment income plus changes in the capital value of the portfolio. For mutual funds, return on an investment is composed of share price appreciation plus any realized dividends or capital gains. This is calculated by taking the following components during a certain time period: (Price Appreciation) + (Dividends paid) + (Capital gains) = Total Return

**TREASURY SECURITIES** Debt obligations of the United States Government sold by the Treasury Department in the form of bills, notes and bonds:

1. **Bills** Short-term obligations that mature in one year or less and are sold at a discount in lieu of paying periodic interest.
2. **Notes** Interest-bearing obligations that mature between one year and 10 years.
3. **Bonds** Interest-bearing long-term obligations that generally mature in 10 years or more.

**UNIFORM NET CAPITAL RULE** SEC Rule 15C3-1 outlining capital requirements for broker/dealers.

**U.S. AGENCY OBLIGATIONS** Federal agency or United States government-sponsored enterprise obligations, participants, or other instruments. The obligations are issued by or fully guaranteed as to principal and interest by federal agencies or United States government-sponsored enterprises.

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

**VOLATILITY** A degree of fluctuation in the price and valuation of securities.

**“VOLATILITY RISK” RATING** A rating system to clearly indicate the level of volatility and other non-credit risks associated with securities and certain bond funds. The ratings for bond funds range from those that have extremely low sensitivity to changing market conditions and offer the greatest stability of the returns (“S1+” by S&P) to those that are highly sensitive with currently identifiable market volatility risk (“S6” by S&P).

**WEIGHTED AVERAGE MATURITY (WAM)** The average maturity of all the securities that comprise a portfolio. According to SEC rule 2a-7, the WAM for SEC registered money market mutual funds may not exceed 90 days and no one security may have a maturity that exceeds 397 days.

**WHEN ISSUED (WI)** A conditional transaction in which an authorized new security has not been issued. All “when issued” transactions are settled when the actual security is issued.

**YIELD** The current rate of return on an investment security generally expressed as a percentage of the security’s current price.

**YIELD-TO-CALL (YTC)** The rate of return an investor earns from a bond assuming the bond is redeemed (called) prior to its nominal maturity date.

**YIELD CURVE** A graphic representation that depicts the relationship at a given point in time between yields and maturity for bonds that are identical in every way except maturity. A normal yield curve may be alternatively referred to as a positive yield curve.

**YIELD-TO-MATURITY** The rate of return yielded by a debt security held to maturity when both interest payments and the investor’s potential capital gain or loss are included in the calculation of return.

**ZERO-COUPON SECURITY** A security that makes no periodic interest payments but instead is sold at a discount from its face value.



Contra  
Costa  
County

To: Board of Supervisors  
From: Russell Watts, Treasurer-Tax Collector  
Date: August 2, 2016

Subject: Treasurer's Quarterly Investment Report as of March 31, 2016

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**RECOMMENDATION(S):**

ACCEPT the Treasurer's Quarterly Investment Report as of March 31, 2016, 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 January 1, 2016 through March 31, 2016.

As of March 31, 2016, the par value, cost, and market value of Contra Costa County Investment Pool were \$3,288,022,252.07, \$3,287,003,654.96, and \$3,292,381,060.95, respectively. The weighted yield to maturity was 0.77% and the weighted average days to maturity were 225 days.

As of March 31, 2016, 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.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Brice Bins, (925)  
957-2848

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

By: , Deputy

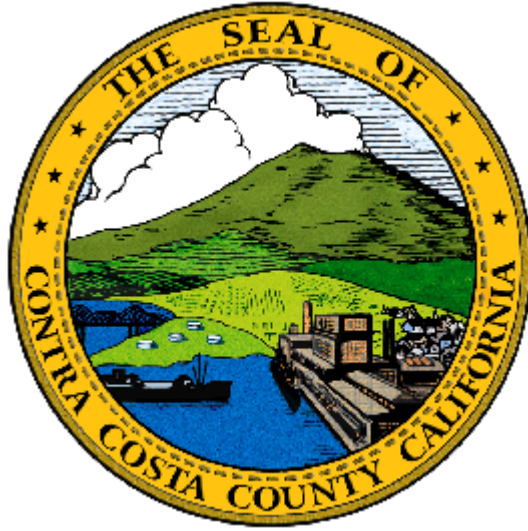
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## ATTACHMENTS

Quarterly Report

3/31/2016



CONTRA COSTA COUNTY  
TREASURER'S QUARTERLY INVESTMENT REPORT  
AS OF MARCH 31, 2016

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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 3/31/16, the fair value of the Treasurer's investment portfolio was 100.16% of the cost. More than 79 percent of the portfolio or over \$2.60 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	\$3,288,022,252.07
Cost	\$3,287,003,654.96
Market Value	\$3,292,381,060.95
Weighted Yield to Maturity	0.77%
Weighted Average Days to Maturity	225 days
Weighted Duration	0.62 year

**CONTRA COSTA COUNTY INVESTMENT POOL**  
**As of March 31, 2016**

<u>TYPE</u>	<u>PAR VALUE</u>	<u>COST</u>	<u>FAIR VALUE</u>	<u>PERCENT OF TOTAL COST</u>
<b>A. Investments Managed by Treasurer's Office</b>				
1. U.S. Treasuries (STRIPS, Bills, Notes)	\$33,425,000.00	\$33,553,790.46	\$33,711,450.60	1.02%
2. U.S. Agencies				
Federal Home Loan Banks	240,490,000.00	241,204,325.09	241,505,312.52	7.34%
Federal National Mortgage Association	93,836,000.00	94,299,736.93	94,612,810.15	2.87%
Federal Farm Credit Banks	181,305,000.00	181,109,502.09	181,840,842.68	5.51%
Federal Home Loan Mortgage Corporation	134,219,000.00	134,442,435.25	134,728,943.20	4.09%
Municipal Bonds	3,645,000.00	3,777,157.78 <sup>1</sup>	3,777,157.78 <sup>1</sup>	0.11%
Subtotal	653,495,000.00	654,833,157.14	656,465,066.33	19.92%
3. Supranationals - International Government	15,000,000.00	14,981,491.67	15,002,150.00	0.46%
4. Money Market Instruments				
Commercial Paper	1,021,430,000.00	1,018,109,635.92	1,020,277,944.26	30.97%
Negotiable Certificates of Deposit	830,915,000.00	830,912,285.49	831,660,238.36	25.28%
Medium Term Certificates of Deposit	2,175,000.00	2,175,000.00 <sup>1</sup>	2,175,000.00 <sup>1</sup>	0.07%
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	1,855,088,654.09	1,851,765,575.50	1,854,681,836.71	56.34%
5. Asset Backed Securities/Mortgage Backed Securities	5,140,142.14	5,149,021.35 <sup>1</sup>	5,149,021.35 <sup>1</sup>	0.16%
6. Corporate Notes	140,882,000.00	141,467,496.42	142,075,630.23	4.30%
<b>TOTAL (Section A.)</b>	<b>2,703,030,796.23</b>	<b>2,701,750,532.54</b>	<b>2,707,085,155.22</b>	<b>82.19%</b>
<b>B. Investments Managed by Outside Contractors</b>				
1. Local Agency Investment Fund	194,240,588.39	194,240,588.39	194,283,527.21 <sup>2</sup>	5.91%
2. Other				
a. EBRCS Bond	2,232,756.90	2,232,756.90	2,232,756.90	0.07%
b. Wells Capital Management	44,251,467.61	44,513,134.19	44,512,978.68 <sup>3</sup>	1.35%
c. CalTRUST (Short-Term Fund)	133,610,734.91	133,610,734.91	133,610,734.91	4.06%
Subtotal	180,094,959.42	180,356,626.00	180,356,470.49	5.49%
<b>TOTAL (Section B.)</b>	<b>374,335,547.81</b>	<b>374,597,214.39</b>	<b>374,639,997.70</b>	<b>11.40%</b>
<b>C. Cash</b>	<b>210,655,908.03</b>	<b>210,655,908.03</b>	<b>210,655,908.03</b>	<b>6.41%</b>
<b><sup>4</sup>GRAND TOTAL (FOR A , B, &amp; C)</b>	<b>\$3,288,022,252.07</b>	<b>\$3,287,003,654.96</b>	<b>\$3,292,381,060.95</b>	<b>100.00%</b>

Notes:

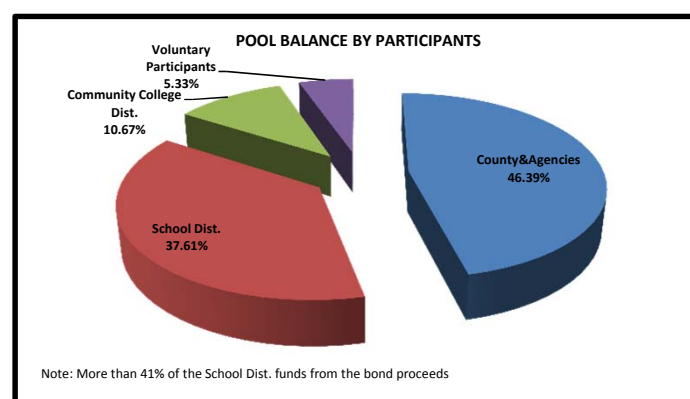
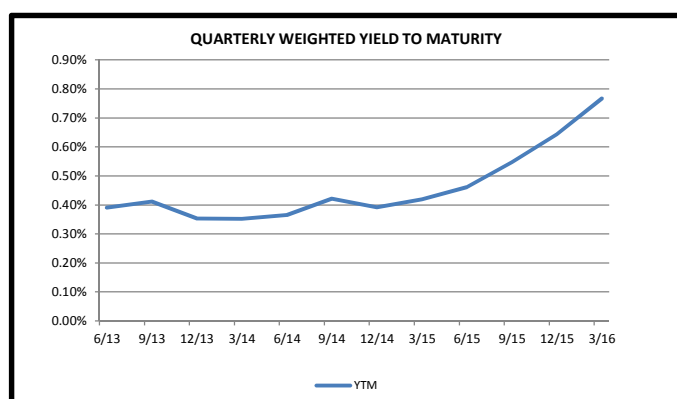
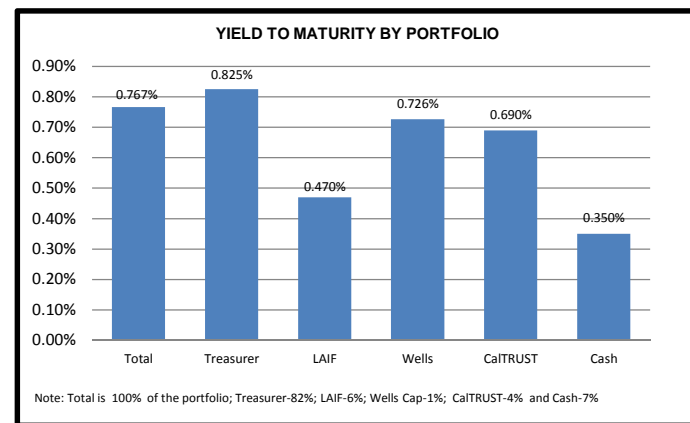
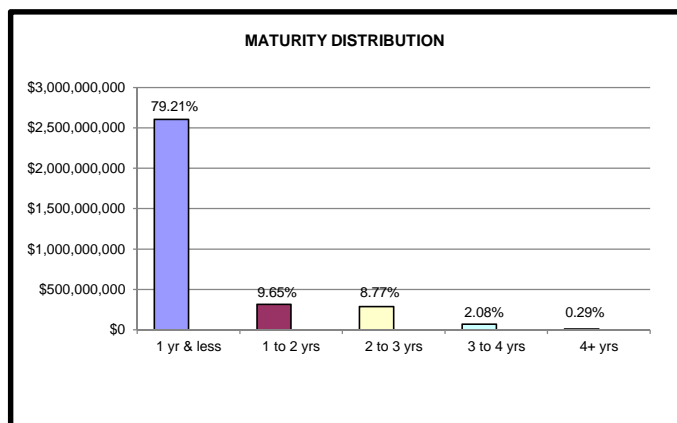
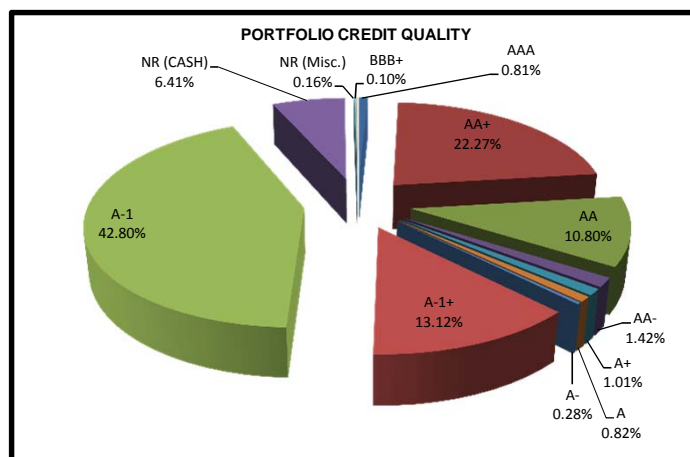
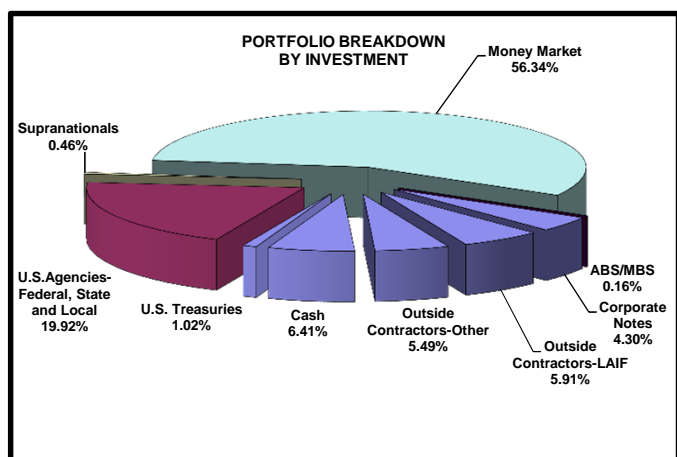
1. Fair Value equals Cost less Purchase Interest

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 MARCH 31, 2016*

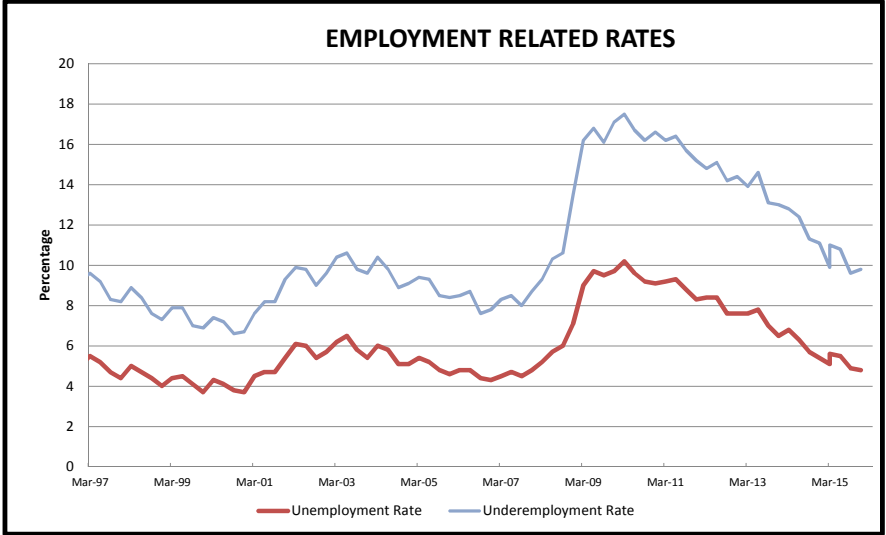
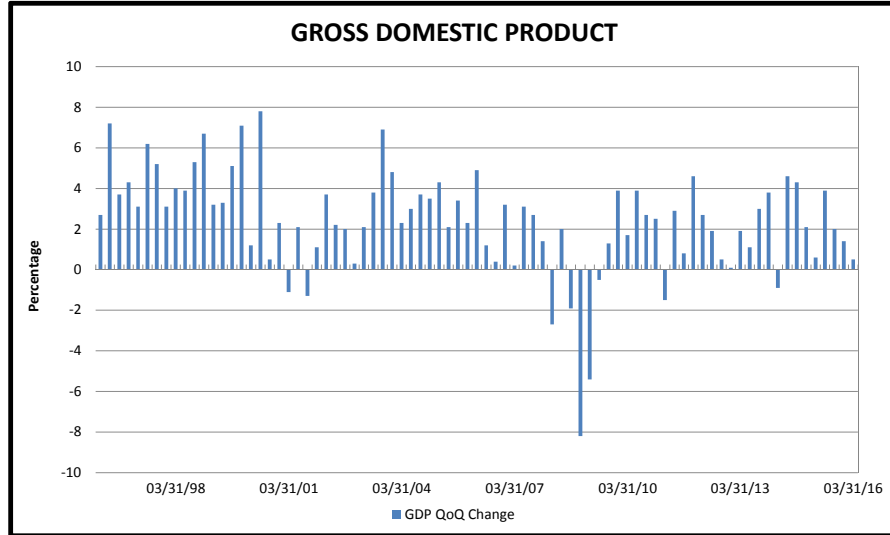
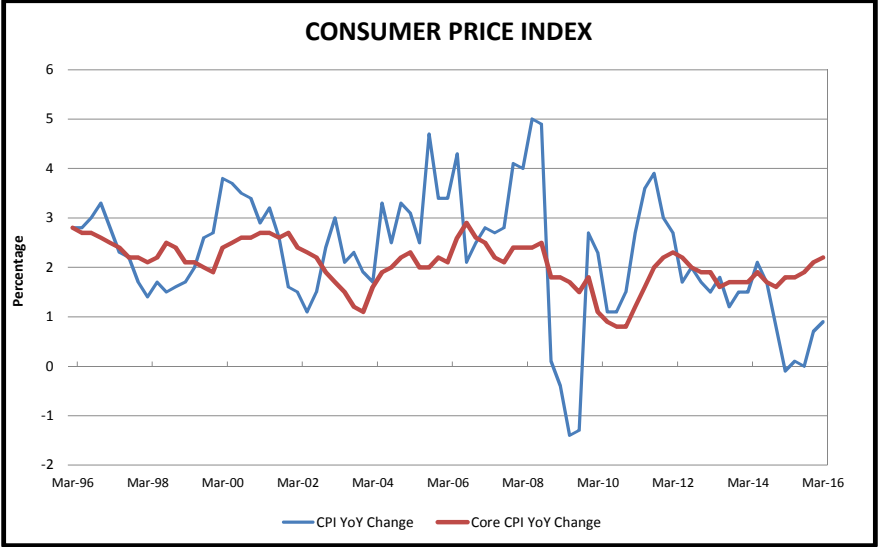
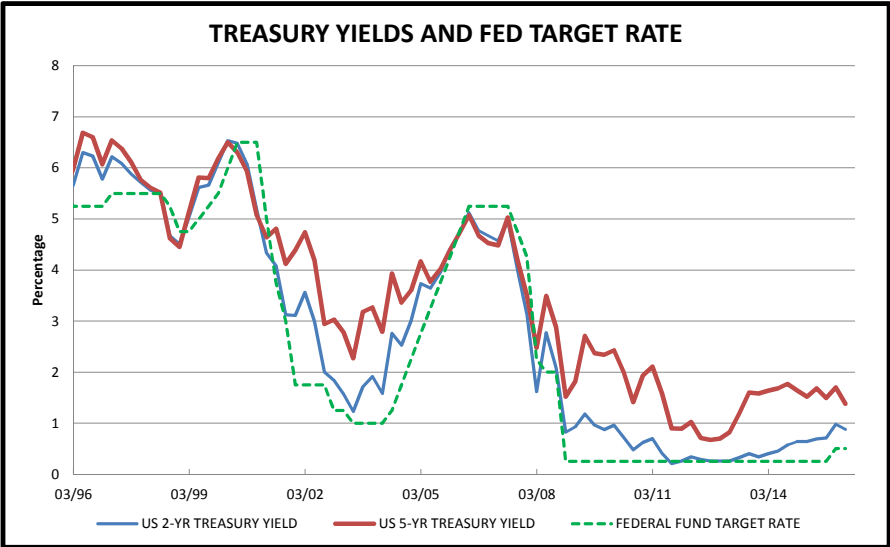


**NOTES TO INVESTMENT PORTFOLIO SUMMARY AND AT A GLANCE AS OF MARCH 31, 2016**

1. All report information is unaudited but due diligence was utilized in its preparation.
2. 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.
3. All securities and amounts included in the portfolio are denominated in United States Dollars.
4. 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.
5. 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 79% of the portfolio will mature in less than a year with a weighted average maturity of 225 days.

MAJOR MARKET AND ECONOMIC DATA

AS OF MARCH 31, 2016



Note:  
All data provided by Bloomberg

## **SECTION III**

### **APPENDIX**

#### **A. INVESTMENT PORTFOLIO DETAIL - MANAGED BY TREASURER'S OFFICE**





# Inventory by Market Value

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As Of Date: 03/31/2016

Date Basis: Settlement

Run: 04/07/2016 04:13:51 PM

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
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### Inv Type: 1 SUPRANATIONALS

<b>Subtotal</b>	1.123304	15,000,000.00	15,002,150.00	34,493.06	27,950.00
	1.188840	14,981,491.67	100.014333		0.00

### Inv Type: 12 TREASURY NOTES

<b>Subtotal</b>	1.140685	33,425,000.00	33,711,450.60	78,896.37	172,775.62
	1.033813	33,553,790.46	100.856995		-5,312.86

### Inv Type: 22 FEDERAL HOME LOAN BANKS

<b>Subtotal</b>	1.035377	238,495,000.00	239,510,988.05	660,013.96	906,386.95
	.901655	239,210,457.53	100.426000		-581,071.70

### Inv Type: 23 FEDERAL NATIONAL MORTGAGE ASSO

<b>Subtotal</b>	1.264545	93,541,000.00	94,318,255.60	234,530.88	536,945.97
	1.094691	94,005,848.10	100.830925		-206,204.03

### Inv Type: 26 AGENCY ABS FXD-M 30/360

<b>Subtotal</b>	1.616771	1,005,000.00	1,015,046.90	1,354.09	0.00
	1.286552	1,015,046.90	100.999692		0.00

### Inv Type: 27 FEDERAL FARM CREDIT BANKS

<b>Subtotal</b>	1.057598	179,835,000.00	180,373,875.29	497,333.82	750,172.70
	1.096207	179,646,448.34	100.299650		-13,418.33

### Inv Type: 28 FHLMC DISCOUNT NOTES

<b>Subtotal</b>	.476060	1,249,000.00	1,244,960.00	1,365.40	284.58
	.478368	1,243,310.02	99.676541		0.00



# Inventory by Market Value

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As Of Date: 03/31/2016

Date Basis: Settlement

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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
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### Inv Type: 29 FHLMC NOTES

<b>Subtotal</b>	1.044983	132,970,000.00	133,483,983.20	216,634.39	438,724.07
	.965055	133,199,125.23	100.386541		-143,431.20

### Inv Type: 31 MUNICIPAL BONDS

<b>Subtotal</b>	2.073550	3,645,000.00	3,777,157.78	21,213.39	0.00
	1.186956	3,777,157.78	103.625728		0.00

### Inv Type: 41 FNMA DISCOUNT NOTES

<b>Subtotal</b>	.400000	295,000.00	294,554.55	665.39	0.33
	.401514	293,888.83	99.849000		0.00

### Inv Type: 42 FARM CREDIT DISCOUNT NOTES

<b>Subtotal</b>	.472739	1,470,000.00	1,466,967.39	3,511.50	402.14
	.475034	1,463,053.75	99.793700		0.00

### Inv Type: 43 FHLB DISCOUNT NOTES

<b>Subtotal</b>	.305000	1,995,000.00	1,994,324.47	236.63	220.28
	.305173	1,993,867.56	99.966139		0.00

### Inv Type: 50 AUTO ABS FXD-M 30/360

<b>Subtotal</b>	1.165369	3,535,142.14	3,534,794.76	1,891.47	0.00
	1.169942	3,534,794.76	99.990174		0.00

### Inv Type: 53 CREDIT ABS FXD-SA 30/360

<b>Subtotal</b>	1.020000	600,000.00	599,179.69	663.00	0.00
	1.083588	599,179.69	99.863282		0.00



# Inventory by Market Value

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As Of Date: 03/31/2016

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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
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### Inv Type: 71 COMMERCIAL PAPER DISCOUNT

<b>Subtotal</b>	.686354	1,021,430,000.00	1,020,277,944.26	1,586,442.98	581,962.58
	.688715	1,018,109,635.92	99.887211		-97.22

### Inv Type: 72 NEGOTIABLE CERT OF DEPOSIT

<b>Subtotal</b>	.736193	818,800,000.00	819,548,458.36	1,385,638.35	747,952.87
	.736041	818,800,505.49	100.091409		0.00

### Inv Type: 74 CERT OF DEPOSIT MEDIUM TERM

<b>Subtotal</b>	1.000000	2,175,000.00	2,175,000.00	9,727.08	0.00
	1.000000	2,175,000.00	100.000000		0.00

### Inv Type: 75 CORPORATE NOTES

<b>Subtotal</b>	1.640603	140,882,000.00	142,075,630.23	508,500.78	887,432.91
	1.412982	141,467,496.42	100.847255		-262,638.80

### Inv Type: 79 YCD/NCD 30/360

<b>Subtotal</b>	1.265482	8,600,000.00	8,596,780.00	36,670.44	0.00
	1.278261	8,596,780.00	99.962558		0.00

### Inv Type: 80 YCD / NCD QTR FLTR

<b>Subtotal</b>	.907591	3,515,000.00	3,515,000.00	3,682.31	0.00
	.907591	3,515,000.00	100.000000		0.00

### Inv Type: 99 MONEY MARKET ACCOUNTS

<b>Subtotal</b>	.000000	565,318.32	565,318.32	0.00	0.00
	.000000	565,318.32	100.000000		0.00



## Inventory by Market Value

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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
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#### Inv Type: 1000 TD WITH CALC CODE OF CSC-00

<b>Subtotal</b>			.600000		3,335.77	3,335.77	37.69	0.00
			.600000		3,335.77	100.000000		0.00
Grand Total			Count 415	.857579	2,703,030,796.23	2,707,085,155.22	5,283,502.98	5,051,211.00
				.825117	2,701,750,532.54	100.149993		-1,212,174.14



# Inventory by Market Value

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As Of Date: 03/31/2016

Date Basis: Settlement

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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
<b>Inv Type: 1 SUPRANATIONALS</b>								
82880	SUP INTL BK RECON &	45905UUM4	01/06/2016	1.060000	10,000,000.00	9,990,000.00	23,555.56	0.00
			01/11/2018	1.110364	9,990,000.00	99.900000	BOOK	0.00
82978	SUP INTL BK RECON &	459058EV1	03/10/2016	1.250000	5,000,000.00	5,012,150.00	10,937.50	27,950.00
			07/26/2019	1.345903	4,991,491.67	100.243000	SUNGARD	0.00
	<b>Subtotal</b>			1.123304	15,000,000.00	15,002,150.00	34,493.06	27,950.00
				1.188840	14,981,491.67	100.014333		0.00

## Inv Type: 12 TREASURY NOTES

81994	CCCCD GOV US TREASU	912828PK0	05/09/2014	2.250000	100,000.00	102,496.00	756.15	566.32
			11/30/2017	1.165963	101,929.68	102.496000	SUNGARD	0.00
82003	CCCSIG GOV US TREAS	912828SY7	06/05/2014	.625000	365,000.00	364,784.65	766.65	1,209.93
			05/31/2017	.818703	363,574.72	99.941000	SUNGARD	0.00
82056	CCCCD GOV US TREAS	912828VQ0	07/31/2014	1.375000	270,000.00	273,607.20	622.17	4,131.02
			07/31/2018	1.446611	269,476.18	101.336000	SUNGARD	0.00
82182	CCCSIG GOV US TREAS	912828TB6	11/03/2014	.750000	2,860,000.00	2,862,688.40	5,421.43	5,107.97
			06/30/2017	.788660	2,857,580.43	100.094000	SUNGARD	0.00
82377	CCCCD GOV US TREASU	912828VQ0	02/04/2015	1.375000	85,000.00	86,135.60	195.84	0.00
			07/31/2018	.916641	86,195.31	101.336000	SUNGARD	-59.71
82460	CCCSIG GOV US TREAS	912828F39	03/27/2015	1.750000	360,000.00	369,352.80	17.21	3,924.67
			09/30/2019	1.403864	365,428.13	102.598000	SUNGARD	0.00
82512	RM GOV US TREASURY	912828ST8	04/15/2015	1.250000	5,000,000.00	5,053,700.00	26,270.60	31,825.00
			04/30/2019	1.138894	5,021,875.00	101.074000	SUNGARD	0.00
82577	CCCCD GOV US TREAS	912828ND8	05/29/2015	3.500000	240,000.00	262,903.20	3,184.62	75.07
			05/15/2020	1.503393	262,828.13	109.543000	SUNGARD	0.00
82597	CCCSIG GOV US TREAS	912828QY9	07/06/2015	2.250000	945,000.00	976,600.80	3,563.22	151.30
			07/31/2018	1.111402	976,449.50	103.344000	SUNGARD	0.00
82670	CCCSIG GOV US TREAS	912828K25	08/21/2015	.750000	2,690,000.00	2,689,058.50	9,315.78	8,558.41
			04/15/2018	.921899	2,680,500.09	99.965000	SUNGARD	0.00
82679	CCCCD GOV US TREASU	912828VJ6	09/03/2015	1.875000	195,000.00	200,965.05	924.11	2,575.40
			06/30/2020	1.499897	198,389.65	103.059000	SUNGARD	0.00
82710	CCCCD GOV US TREASU	912828UU2	09/29/2015	.750000	1,700,000.00	1,699,864.00	34.83	4,512.44
			03/31/2018	.860670	1,695,351.56	99.992000	SUNGARD	0.00
82711	CCCCD GOV US TREASU	912828SM3	09/29/2015	1.000000	1,680,000.00	1,686,165.60	45.90	0.00
			03/31/2017	.545225	1,691,418.75	100.367000	SUNGARD	-5,253.15



# Inventory by Market Value

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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
82754	CCCSIG GOV US TREAS	912828RH5	10/14/2015	1.375000	3,920,000.00	3,975,428.80	147.27	5,816.30
			09/30/2018	.940653	3,969,612.50	101.414000	SUNGARD	0.00
82755	CCCCD GOV US TREASU	912828F39	10/14/2015	1.750000	185,000.00	189,806.30	8.85	1,099.07
			09/30/2019	1.230157	188,707.23	102.598000	SUNGARD	0.00
82786	CCCCD GOV US TREAS	912828UQ1	11/09/2015	1.250000	120,000.00	120,782.40	130.43	2,282.40
			02/29/2020	1.550966	118,500.00	100.652000	SUNGARD	0.00
82789	CCCSIG GOV US TREAS	912828WD8	11/09/2015	1.250000	1,740,000.00	1,758,896.40	9,142.17	14,405.58
			10/31/2018	1.148190	1,745,028.59	101.086000	SUNGARD	0.00
82819	CCCSIG GOV US TREAS	912828L40	12/04/2015	1.000000	6,250,000.00	6,279,812.50	2,887.23	55,691.41
			09/15/2018	1.151627	6,224,121.09	100.477000	SUNGARD	0.00
82820	CCCCD GOV US TREASU	912828VF4	12/04/2015	1.375000	195,000.00	196,957.80	901.07	3,519.32
			05/31/2020	1.560386	193,467.78	101.004000	SUNGARD	0.00
82900	CCCSIG GOV US TREAS	912828XK1	01/11/2016	.875000	1,490,000.00	1,492,741.60	2,757.93	14,440.43
			07/15/2018	1.193332	1,478,301.17	100.184000	SUNGARD	0.00
82901	CCCCD GOV US TREASU	912828WC0	01/11/2016	1.750000	150,000.00	153,685.50	1,103.36	3,222.61
			10/31/2020	1.682647	150,982.12	102.457000	SUNGARD	0.00
82902	CCCSIG GOV US TREAS	912828SY7	01/11/2016	.625000	370,000.00	369,781.70	777.15	1,154.75
			05/31/2017	.895064	368,892.32	99.941000	SUNGARD	0.00
82932	CCCSIG GOV US TREAS	912828TH3	02/03/2016	.875000	600,000.00	598,572.00	879.81	3,255.12
			07/31/2019	1.107137	595,360.15	99.762000	SUNGARD	0.00
82933	CCCCD GOV US TREASU	912828K58	02/03/2016	1.375000	205,000.00	207,121.75	1,184.80	1,040.70
			04/30/2020	1.246765	206,816.71	101.035000	SUNGARD	0.00
82968	CCCCD GOV US TREASU	912828H52	03/04/2016	1.250000	125,000.00	125,860.00	261.85	791.64
			01/31/2020	1.235552	125,210.02	100.688000	SUNGARD	0.00
83009	CCCSIG GOV US TREAS	912828WL0	03/31/2016	1.500000	1,415,000.00	1,440,314.35	7,132.99	2,873.33
			05/31/2019	.989916	1,444,516.02	101.789000	SUNGARD	0.00
83010	CCCCD GOV US TREAS	912828XM7	03/31/2016	1.625000	170,000.00	173,367.70	462.95	545.43
			07/31/2020	1.230437	173,277.63	101.981000	SUNGARD	0.00
<b>Subtotal</b>				1.140685	33,425,000.00	33,711,450.60	78,896.37	172,775.62
				1.033813	33,553,790.46	100.856995		-5,312.86

### Inv Type: 22 FEDERAL HOME LOAN BANKS

80648	RM GOV FHLB NOTES	313373SZ6	06/11/2012	2.125000	1,895,000.00	1,901,082.95	12,416.20	0.00
			06/10/2016	.760030	1,996,647.80	100.321000	SUNGARD	-95,564.85
80662	RM GOV FHLB NOTES	313373SZ6	06/20/2012	2.125000	2,840,000.00	2,849,116.40	18,607.92	0.00
			06/10/2016	.745089	2,993,104.40	100.321000	SUNGARD	-143,988.00



## Inventory by Market Value

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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
80907	WT GOV FHLB NOTES	313380EC7	10/10/2012	.750000	170,000.00	169,911.60	81.47	239.70
			09/08/2017	.790076	169,671.90	99.948000	SUNGARD	0.00
82000	RM GOV FHLB NOTES	313379VE6	06/02/2014	1.010000	2,875,000.00	2,885,867.50	8,227.29	0.00
			06/19/2017	.850065	2,888,800.00	100.378000	SUNGARD	-2,932.50
82012	RM GOV FEDERAL HOME	3130A2C61	06/13/2014	.375000	2,500,000.00	2,499,900.00	2,890.62	4,850.17
			06/10/2016	.475000	2,495,049.83	99.996000	SUNGARD	0.00
82038	RM GOV FHLB NOTES	313379DT3	07/15/2014	1.250000	6,205,000.00	6,256,563.55	24,346.01	84,450.05
			06/08/2018	1.390090	6,172,113.50	100.831000	SUNGARD	0.00
82053	RM GOV FHLB NOTES	313379DT3	07/28/2014	1.250000	3,000,000.00	3,024,930.00	11,770.83	42,930.00
			06/08/2018	1.410094	2,982,000.00	100.831000	SUNGARD	0.00
82122	GOV FHLB NOTES	3130A33J1	09/19/2014	1.200000	5,000,000.00	5,036,850.00	2,000.00	36,850.00
			09/19/2017	1.200000	5,000,000.00	100.737000	SUNGARD	0.00
82187	GOV FHLB NOTES	3130A3CE2	11/05/2014	.625000	10,000,000.00	10,006,900.00	28,993.06	0.00
			10/14/2016	.572077	10,010,200.00	100.069000	SUNGARD	-3,300.00
82189	RM GOV FHLB NOTES	3130A3EW0	11/07/2014	.500000	2,500,000.00	2,498,375.00	3,645.82	4,650.00
			12/16/2016	.620043	2,493,725.00	99.935000	SUNGARD	0.00
82255	GOV FHLB NOTES	3130A3PC2	12/12/2014	.650000	5,000,000.00	5,000,850.00	9,840.28	7,800.00
			12/12/2016	.720127	4,993,050.00	100.017000	SUNGARD	0.00
82256	RM GOV FHLB NOTES	3130A3Q64	12/12/2014	.700000	3,500,000.00	3,504,970.00	7,418.06	2,905.00
			12/12/2016	.670252	3,502,065.00	100.142000	SUNGARD	0.00
82271	GOV FHLB NOTES	3130A3Q64	12/23/2014	.700000	5,000,000.00	5,007,100.00	10,597.22	13,950.00
			12/12/2016	.770206	4,993,150.00	100.142000	SUNGARD	0.00
82275	GOV FHLB NOTES	3130A3TA2	12/30/2014	1.000000	10,000,000.00	10,041,600.00	12,777.78	41,600.00
			08/15/2017	1.000000	10,000,000.00	100.416000	SUNGARD	0.00
82280	RM GOV FHLB NOTES	3130A3HF4	12/29/2014	1.125000	4,500,000.00	4,525,650.00	15,890.64	32,850.00
			12/08/2017	1.180284	4,492,800.00	100.570000	SUNGARD	0.00
82281	GOV FHLB NOTES	3130A3UR3	01/06/2015	.750000	10,000,000.00	10,011,300.00	17,708.33	11,300.00
			01/06/2017	.750000	10,000,000.00	100.113000	SUNGARD	0.00
82315	CCCCD GOV FHLB NOTE	313371PV2	01/21/2015	1.625000	6,165,000.00	6,207,291.90	31,167.49	0.00
			12/09/2016	.571735	6,286,450.50	100.686000	SUNGARD	-79,158.60
82316	CCCCD GOV FHLB NOTE	3130A2T97	01/21/2015	.500000	765,000.00	764,961.75	31.88	0.00
			09/28/2016	.470201	765,382.50	99.995000	SUNGARD	-420.75
82321	CCCCD GOV FHLB NOTE	3130A2T97	01/21/2015	.500000	11,470,000.00	11,469,426.50	477.92	0.00
			09/28/2016	.470153	11,475,735.00	99.995000	SUNGARD	-6,308.50
82322	CCCCD GOV FHLB NOTE	313371PV2	01/21/2015	1.625000	19,275,000.00	19,407,226.50	97,445.85	0.00
			12/09/2016	.571735	19,654,717.50	100.686000	SUNGARD	-247,491.00
82400	RM GOV FHLB NOTES	3133782M2	02/25/2015	1.500000	5,000,000.00	5,082,800.00	4,791.67	66,200.00



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			03/08/2019	1.415035	5,016,600.00	101.656000	SUNGARD	0.00
82408	GOV FHLB NOTES	3130A4GJ5	03/04/2015	1.125000	10,000,000.00	10,075,800.00	48,750.00	85,100.00
			04/25/2018	1.155323	9,990,700.00	100.758000	SUNGARD	0.00
82419	GOV FHLB NOTES	3130A4K27	03/09/2015	.720000	10,000,000.00	10,004,200.00	5,000.00	20,500.00
			03/06/2017	.802655	9,983,700.00	100.042000	SUNGARD	0.00
82437	RM GOV FHLB NOTES	3133782N0	03/16/2015	.875000	3,000,000.00	3,006,210.00	1,531.25	0.00
			03/10/2017	.739127	3,008,010.00	100.207000	SUNGARD	-1,800.00
82503	PW GOV FHLB NOTES	3130A4ZY1	04/21/2015	.250000	1,610,000.00	1,610,080.50	1,800.07	885.50
			04/20/2016	.300251	1,609,195.00	100.005000	SUNGARD	0.00
82550	GOV FHLB NOTES	3130A57K9	05/04/2015	1.000000	10,000,000.00	9,996,400.00	40,833.33	11,200.00
			05/04/2018	1.050244	9,985,200.00	99.964000	SUNGARD	0.00
82552	GOV FHLB NOTES	3130A5DD8	05/07/2015	.720000	10,000,000.00	10,022,300.00	25,000.00	22,300.00
			05/26/2017	.720000	10,000,000.00	100.223000	SUNGARD	0.00
82561	CCCSIG GOV FHLB	3130A5EP0	05/15/2015	.625000	1,430,000.00	1,429,099.10	3,003.99	286.00
			05/30/2017	.666017	1,428,813.10	99.937000	SUNGARD	0.00
82579	GOV FHLB NOTES	3130A5HF9	06/01/2015	.730000	10,000,000.00	10,015,500.00	18,452.74	15,500.00
			06/30/2017	.730000	10,000,000.00	100.155000	SUNGARD	0.00
82582	RM GOV FHLB NOTES	313379EE5	06/08/2015	1.625000	2,500,000.00	2,549,700.00	12,074.65	43,700.00
			06/14/2019	1.563094	2,506,000.00	101.988000	SUNGARD	0.00
82583	GOV FHLB NOTES	3130A5NC9	06/11/2015	1.300000	5,000,000.00	5,040,300.00	27,263.91	40,300.00
			10/30/2018	1.300000	5,000,000.00	100.806000	SUNGARD	0.00
82590	GOV FHLB NOTES	3130A5JD2	06/29/2015	1.100000	10,000,000.00	10,037,600.00	28,111.11	37,600.00
			06/29/2018	1.100000	10,000,000.00	100.376000	SUNGARD	0.00
82619	CLT GOV FHLB NOTES	3133834R9	07/10/2015	.375000	250,000.00	249,997.50	252.60	0.00
			06/24/2016	.330927	250,105.00	99.999000	SUNGARD	-107.50
82637	CCCSIG GOV FHLB	3130A62S5	07/24/2015	.750000	295,000.00	295,129.80	202.83	690.53
			08/28/2017	.858202	294,439.27	100.044000	SUNGARD	0.00
82664	GOV FHLB NOTES	3130A6B63	08/14/2015	1.200000	10,000,000.00	10,080,100.00	15,666.67	80,100.00
			08/14/2018	1.200000	10,000,000.00	100.801000	SUNGARD	0.00
82694	RM GOV FHLB NOTES	313380FB8	09/21/2015	1.375000	2,500,000.00	2,524,775.00	1,718.75	27,200.00
			09/13/2019	1.400130	2,497,575.00	100.991000	SUNGARD	0.00
82781	GOV FHLB NOTES	3130A6RC3	11/04/2015	1.150000	5,000,000.00	5,041,150.00	23,479.17	41,150.00
			11/02/2018	1.150000	5,000,000.00	100.823000	SUNGARD	0.00
82848	GOV FHLB NOTES	3130A6SW8	12/21/2015	1.000000	10,000,000.00	10,038,400.00	28,333.34	45,300.00
			12/19/2017	1.035037	9,993,655.56	100.384000	SUNGARD	0.00
82875	GOV FHLB NOTES	3130A3HF4	12/30/2015	1.125000	10,000,000.00	10,057,000.00	35,312.50	61,800.00
			12/08/2017	1.150014	10,002,075.00	100.570000	SUNGARD	0.00





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82928	KFPD GOV FHLB NOTES	3130A6UJ4	01/26/2016	1.250000	250,000.00	251,045.00	1,024.31	0.00
			11/30/2018	1.100200	251,505.07	100.418000	BOOK	0.00
82929	KFPD GOV FHLB NOTES	313381CA1	01/27/2016	1.375000	250,000.00	249,715.00	1,050.35	1,337.50
			12/11/2020	1.513574	248,816.74	99.886000	SUNGARD	0.00
82930	KFPD GOV FHLB NOTES	313381C94	01/27/2016	1.250000	250,000.00	250,445.00	937.50	1,162.50
			12/13/2019	1.326075	249,664.44	100.178000	SUNGARD	0.00
82931	KFPD GOV FHLB NOTES	3130A3UQ5	01/25/2016	1.875000	250,000.00	256,502.50	1,432.30	2,937.50
			12/11/2020	1.570027	254,137.92	102.601000	SUNGARD	0.00
82949	CCCSIG GOV FHLB	3130A7CX1	02/18/2016	.875000	2,250,000.00	2,253,825.00	656.25	4,522.50
			03/19/2018	.890099	2,249,302.50	100.170000	SUNGARD	0.00
82994	CCCCD GOV FHLB NOTE	3130A6SW8	03/22/2016	1.000000	6,000,000.00	6,023,040.00	17,000.00	12,240.00
			12/19/2017	.895450	6,026,300.00	100.384000	SUNGARD	0.00
			<b>Subtotal</b>	1.035377	238,495,000.00	239,510,988.05	660,013.96	906,386.95
				.901655	239,210,457.53	100.426000		-581,071.70

## Inv Type: 23 FEDERAL NATIONAL MORTGAGE ASSO

80020	WT GOV FNMA NOTES	3135G0CM3	11/09/2011	1.250000	173,000.00	173,615.88	18.02	0.00
			09/28/2016	1.160000	173,736.98	100.356000	SUNGARD	-121.10
80833	RM GOV FNMA NOTES	3135G0CM3	09/14/2012	1.250000	4,703,000.00	4,719,742.68	489.90	0.00
			09/28/2016	.615791	4,821,797.78	100.356000	SUNGARD	-102,055.10
81230	WT GOV FNMA NOTES	3135G0TG8	02/21/2013	.875000	165,000.00	165,379.50	212.55	1,137.48
			02/08/2018	.970000	164,242.02	100.230000	SUNGARD	0.00
81361	RM GOV FEDERAL NATL	3135G0JA2	04/15/2013	1.125000	3,900,000.00	3,918,291.00	18,768.76	0.00
			04/27/2017	.600233	3,981,432.00	100.469000	SUNGARD	-63,141.00
81449	GOV FNMA CALLABLE M	3136G1M63	05/22/2013	.750000	10,000,000.00	10,006,500.00	26,875.00	6,500.00
			05/22/2018	.750000	10,000,000.00	100.065000	SUNGARD	0.00
81478	AUHSO GOV FNMA NOTE	3135G0WJ8	06/07/2013	.875000	200,000.00	200,246.00	631.94	3,270.00
			05/21/2018	1.190082	196,976.00	100.123000	SUNGARD	0.00
81538	WT GOV FNMA NOTES	3135G0WJ8	07/17/2013	.875000	164,000.00	164,201.72	518.19	4,672.36
			05/21/2018	1.459815	159,529.36	100.123000	SUNGARD	0.00
81889	AUHSO GOV FNMA NOTE	3135G0ZA4	04/01/2014	1.875000	377,000.00	387,209.16	824.69	8,810.49
			02/19/2019	1.795148	378,398.67	102.708000	SUNGARD	0.00
81890	AUHSO GOV FNMA NOTE	3135G0ZA4	04/01/2014	1.875000	6,959,000.00	7,147,449.72	15,222.84	162,631.83
			02/19/2019	1.795148	6,984,817.89	102.708000	SUNGARD	0.00
81941	GOV FNMA NOTE	3135G0MZ3	04/17/2014	.875000	10,000,000.00	10,022,500.00	8,020.83	81,700.00
			08/28/2017	1.054521	9,940,800.00	100.225000	SUNGARD	0.00



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81999	MDUSD GOV FNMA NOTE	3135G0ZB2	05/21/2014	.750000	49,000.00	49,018.13	164.35	4.41
			04/20/2017	.740235	49,013.72	100.037000	SUNGARD	0.00
82005	CCCCD GOV FNMA	3135G0YT4	06/05/2014	1.625000	115,000.00	117,280.45	643.68	1,607.70
			11/27/2018	1.489435	115,672.75	101.983000	SUNGARD	0.00
82119	WT GOV FNMA NOTES	3135G0ZG1	09/12/2014	1.750000	166,000.00	170,118.46	153.32	5,220.70
			09/12/2019	1.889799	164,897.76	102.481000	SUNGARD	0.00
82156	CCCCD GOV FNMA	3135G0YT4	10/23/2014	1.625000	125,000.00	127,478.75	699.66	1,291.25
			11/27/2018	1.385424	126,187.50	101.983000	SUNGARD	0.00
82236	CCCCD GOV FNMA BENC	3135G0ZY2	12/03/2014	1.750000	100,000.00	102,323.00	607.64	1,670.00
			11/26/2019	1.612998	100,653.00	102.323000	SUNGARD	0.00
82257	RM GOV FNMA NOTES	3135G0YT4	12/12/2014	1.625000	6,010,000.00	6,129,178.30	33,639.32	62,684.30
			11/27/2018	1.380107	6,066,494.00	101.983000	SUNGARD	0.00
82314	CCCCD GOV FNMA	3135G0XP3	01/21/2015	.375000	2,635,000.00	2,634,314.90	2,360.52	0.00
			07/05/2016	.397750	2,634,818.23	99.974000	SUNGARD	-503.33
82381	RM GOV FNMA NOTES	3136FTS67	02/09/2015	1.700000	6,000,000.00	6,119,340.00	9,633.33	32,160.00
			02/27/2019	1.329281	6,087,180.00	101.989000	SUNGARD	0.00
82436	WT GOV FNMA NOTES	3135G0A78	03/16/2015	1.625000	170,000.00	172,917.20	537.15	2,939.30
			01/21/2020	1.627650	169,977.90	101.716000	SUNGARD	0.00
82570	GOV FNMA NOTES CALL	3136G2K71	05/27/2015	1.250000	10,000,000.00	10,011,300.00	43,749.96	11,300.00
			05/25/2018	1.250000	10,000,000.00	100.113000	SUNGARD	0.00
82678	CCCCD GOV FNMA BENC	3135G0E58	09/01/2015	1.125000	130,000.00	130,906.10	658.13	1,116.70
			10/19/2018	1.177919	129,789.40	100.697000	SUNGARD	0.00
82707	CCCCD GOV FNMA	3135G0RT2	09/29/2015	.875000	1,700,000.00	1,702,686.00	4,173.27	0.00
			12/20/2017	.793128	1,703,060.00	100.158000	SUNGARD	-374.00
82708	CCCCD GOV FNMA	3135G0ZL0	09/29/2015	1.000000	1,680,000.00	1,686,333.60	186.67	0.00
			09/27/2017	.723255	1,689,189.60	100.377000	SUNGARD	-2,856.00
82709	CCCCD GOV FNMA	31398ADM1	09/29/2015	5.375000	1,550,000.00	1,636,862.00	25,225.17	0.00
			06/12/2017	.642309	1,674,015.50	105.604000	SUNGARD	-37,153.50
82909	CCCCD GOV FNMA BENC	3135G0H63	01/13/2016	1.375000	6,660,000.00	6,746,779.80	16,025.62	73,726.20
			01/28/2019	1.309114	6,673,053.60	101.303000	SUNGARD	0.00
82951	CCCSIG GOV FNMA BEN	3135G0J53	02/23/2016	1.000000	2,000,000.00	2,004,420.00	1,944.45	9,140.00
			02/26/2019	1.079949	1,995,280.00	100.221000	SUNGARD	0.00
82952	CCCCD GOV FNMA BENC	3135G0J53	02/23/2016	1.000000	125,000.00	125,276.25	121.53	571.25
			02/26/2019	1.079949	124,705.00	100.221000	SUNGARD	0.00
82966	CCCSIG GOV FNMA BEN	3135G0J61	03/04/2016	.875000	2,585,000.00	2,579,830.00	188.49	0.00
			03/28/2018	.973722	2,579,830.00	99.800000	BOOK	0.00
82967	CCCSIG GOV FNMA NOT	3135G0G72	03/04/2016	1.125000	1,100,000.00	1,106,897.00	3,678.13	5,632.00



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			12/14/2018	1.082725	1,104,015.00	100.627000	SUNGARD	0.00
82997	GOV FNMA NOTES	3135G0J53	03/22/2016	1.000000	10,000,000.00	10,022,100.00	9,722.22	41,400.00
			02/26/2019	1.067074	9,987,922.22	100.221000	SUNGARD	0.00
83000	RM GOV FNMA NOTES	3136G1C98	03/28/2016	1.420000	4,000,000.00	4,037,760.00	8,835.55	17,760.00
			02/05/2020	1.286438	4,028,362.22	100.944000	SUNGARD	0.00
			<b>Subtotal</b>	1.264545	93,541,000.00	94,318,255.60	234,530.88	536,945.97
				1.094691	94,005,848.10	100.830925		-206,204.03

#### 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	497.33	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
			<b>Subtotal</b>	1.616771	1,005,000.00	1,015,046.90	1,354.09	0.00
				1.286552	1,015,046.90	100.999692		0.00

#### Inv Type: 27 FEDERAL FARM CREDIT BANKS

80718	RM GOV FFCB NOTES	3133EAXG8	07/23/2012	.650000	2,494,000.00	2,496,444.12	3,557.41	0.00
			07/12/2016	.600206	2,498,863.30	100.098000	SUNGARD	-2,419.18
81479	AUHS D GOV FFCB NOTE	3133ECTP5	06/07/2013	.650000	200,000.00	199,910.00	483.89	996.00
			05/17/2017	.790074	198,914.00	99.955000	SUNGARD	0.00
81579	RM GOV FFCB NOTES	3133ECWV2	08/20/2013	.875000	2,505,000.00	2,508,907.80	6,940.93	11,773.50
			12/07/2016	.972048	2,497,134.30	100.156000	SUNGARD	0.00
81958	GOV FEDERAL FARM CR	3133EDKJ0	05/01/2014	.700000	5,000,000.00	5,001,650.00	14,583.33	1,650.00
			11/01/2016	.700000	5,000,000.00	100.033000	SUNGARD	0.00
82137	GOV FFCB NOTES	3133EDXA5	10/10/2014	1.150000	10,000,000.00	10,055,600.00	54,625.00	57,600.00
			10/10/2017	1.156802	9,998,000.00	100.556000	SUNGARD	0.00
82185	RM GOV FFCB NOTES	3133EDYB2	11/04/2014	1.500000	2,000,000.00	2,021,840.00	6,250.00	31,540.00
			01/16/2019	1.620035	1,990,300.00	101.092000	SUNGARD	0.00
82195	GOV FFCB NOTES	3133EEBU3	11/18/2014	.600000	10,000,000.00	9,989,300.00	22,833.33	0.00
			11/14/2016	.600000	10,000,000.00	99.893000	SUNGARD	-10,700.00



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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
82218	GOV FFCB NOTES	3133EEDQ0	12/01/2014	.580000	5,000,000.00	5,004,550.00	9,666.67	5,550.00
			12/01/2016	.590074	4,999,000.00	100.091000	SUNGARD	0.00
82259	GOV FFCB NOTES	3133EEFA3	12/15/2014	.720000	10,000,000.00	10,003,200.00	21,200.00	3,200.00
			12/15/2016	.720000	10,000,000.00	100.032000	SUNGARD	0.00
82380	GOV FFCB NOTES	3133EEKB5	02/09/2015	1.000000	10,000,000.00	10,026,800.00	19,166.67	54,900.00
			01/22/2018	1.096935	9,971,900.00	100.268000	SUNGARD	0.00
82382	RM GOV FFCB NOTES	3133EELZ1	02/09/2015	1.000000	5,000,000.00	5,011,100.00	277.76	31,100.00
			03/29/2018	1.130145	4,980,000.00	100.222000	SUNGARD	0.00
82472	GOV FFCB NOTES	3133EEWH9	04/02/2015	1.000000	10,000,000.00	10,036,200.00	49,722.22	36,200.00
			04/02/2018	1.000000	10,000,000.00	100.362000	SUNGARD	0.00
82671	RM GOV FFCB NOTES	3133EE5S5	08/25/2015	1.500000	1,000,000.00	1,012,460.00	2,333.33	6,720.00
			08/05/2019	1.350014	1,005,740.00	101.246000	SUNGARD	0.00
82672	RM GOV FFCB NOTES	3133EE5S5	08/25/2015	1.500000	3,000,000.00	3,037,380.00	7,000.00	20,160.00
			08/05/2019	1.350014	3,017,220.00	101.246000	SUNGARD	0.00
82683	WT GOV FFCB NOTES	3133EE5Z9	09/11/2015	1.750000	170,000.00	173,039.60	471.04	2,883.20
			08/04/2020	1.730194	170,156.40	101.788000	SUNGARD	0.00
82691	GOV FFCB NOTES	3133EFCY1	09/14/2015	.780000	5,000,000.00	5,008,050.00	1,841.67	11,050.00
			09/14/2017	.810304	4,997,000.00	100.161000	SUNGARD	0.00
82692	GOV FFCB NOTES	3133EFCY1	09/16/2015	.780000	5,000,000.00	5,008,050.00	1,841.67	15,950.00
			09/14/2017	.860067	4,992,100.00	100.161000	SUNGARD	0.00
82785	GOV FFCB NOTES	3133EFNF0	11/06/2015	1.080000	5,000,000.00	4,996,450.00	21,750.00	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	10,028,000.00	34,616.67	28,000.00
			11/17/2017	.930000	10,000,000.00	100.280000	SUNGARD	0.00
82817	GOV FFCB NOTES	3133EFRQ2	12/03/2015	1.300000	10,000,000.00	10,000,000.00	42,611.11	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	42,611.11	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	20,203,800.00	77,277.78	271,000.00
			12/14/2018	1.415191	19,935,688.89	101.019000	SUNGARD	0.00
82847	GOV FFCB NOTES	3133EFSH1	12/18/2015	1.170000	10,000,000.00	10,036,900.00	34,775.00	57,700.00
			06/14/2018	1.255129	9,980,500.00	100.369000	SUNGARD	0.00
82926	KFPD GOV FFCB NOTES	3133EFVQ7	01/27/2016	1.250000	250,000.00	252,207.50	598.96	1,300.00
			01/22/2019	1.126024	250,950.90	100.883000	SUNGARD	0.00
82946	WT GOV FFCB NOTES	3133EC6Z2	02/12/2016	1.400000	155,000.00	155,279.00	644.97	0.00
			12/14/2020	1.320066	155,927.76	100.180000	SUNGARD	-299.15
82963	GOV FFCB CALLABLE N	3133EFYS0	03/02/2016	1.150000	10,000,000.00	10,012,700.00	12,458.33	32,300.00



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			02/22/2019	1.217313	9,983,594.44	100.127000	SUNGARD	0.00
82986	RM GOV FFCB NOTES	3133EFK63	03/15/2016	1.250000	4,061,000.00	4,032,857.27	3,807.19	0.00
			03/04/2020	1.430176	4,034,408.35	99.307000	BOOK	0.00
82992	GOV FFCB NOTES	3133EFQ67	03/21/2016	1.160000	10,000,000.00	10,062,300.00	3,222.22	68,200.00
			03/21/2019	1.180075	9,994,100.00	100.623000	SUNGARD	0.00
83007	RM GOV FFCB NOTES	3133EFV20	03/30/2016	1.490000	4,000,000.00	4,000,400.00	165.56	400.00
			03/30/2020	1.490000	4,000,000.00	100.010000	SUNGARD	0.00
		<b>Subtotal</b>		1.057598	179,835,000.00	180,373,875.29	497,333.82	750,172.70
				1.096207	179,646,448.34	100.299650		-13,418.33

#### Inv Type: 28 FHLMC DISCOUNT NOTES

82483	RM GOV FHLMC DISC N	313396VA8	04/10/2015	.240000	249,000.00	249,000.00	592.62	0.00
			04/01/2016	.240573	248,407.38	100.000000	SUNGARD	0.00
82941	RM GOV FHLMC DISCOU	313397AS0	02/09/2016	.535000	1,000,000.00	995,960.00	772.78	284.58
			01/17/2017	.537741	994,902.64	99.596000	SUNGARD	0.00
		<b>Subtotal</b>		.476060	1,249,000.00	1,244,960.00	1,365.40	284.58
				.478368	1,243,310.02	99.676541		0.00

#### Inv Type: 29 FHLMC NOTES

80411	WT GOV FHLMC NOT	3137EADC0	03/12/2012	1.000000	170,000.00	170,520.20	108.61	1,507.90
			03/08/2017	1.120062	169,012.30	100.306000	SUNGARD	0.00
81847	RM GOV FHLMC NOTE3S	3137EADC0	02/25/2014	1.000000	3,870,000.00	3,881,842.20	2,472.50	0.00
			03/08/2017	.780254	3,895,464.60	100.306000	SUNGARD	-13,622.40
81869	RM GOV FEDERAL HOME	3137EADP1	03/14/2014	.875000	7,061,000.00	7,071,520.89	4,118.94	113,046.61
			03/07/2018	1.250049	6,958,474.28	100.149000	SUNGARD	0.00
81870	WT GOV FEDERAL HOME	3137EADP1	03/12/2014	.875000	157,000.00	157,233.93	91.58	2,695.69
			03/07/2018	1.279731	154,538.24	100.149000	SUNGARD	0.00
82009	RM GOV FHLMC	3137EADH9	06/13/2014	1.000000	2,484,000.00	2,491,402.32	6,348.00	3,314.15
			06/29/2017	.945000	2,488,088.17	100.298000	SUNGARD	0.00
82026	GOV FHLMC NOTES	3137EADL0	07/03/2014	1.000000	10,000,000.00	10,036,400.00	555.56	58,700.00
			09/29/2017	1.070130	9,977,700.00	100.364000	SUNGARD	0.00
82076	CCCCD GOV FHLMC	3137EADJ5	08/14/2014	1.000000	75,000.00	75,270.75	131.25	274.95
			07/28/2017	1.001893	74,995.80	100.361000	SUNGARD	0.00
82077	CCCCD GOV FHLMC	3137EADJ5	08/14/2014	1.000000	40,000.00	40,144.40	70.00	146.63
			07/28/2017	1.002272	39,997.77	100.361000	SUNGARD	0.00



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82078	GOV FHLMC NOTES	3137EADL0	08/11/2014	1.000000	5,000,000.00	5,018,200.00	277.78	23,300.00
			09/29/2017	1.033085	4,994,900.00	100.364000	SUNGARD	0.00
82080	CCCSIG GOV FHLMC	3137EADJ5	08/14/2014	1.000000	810,000.00	812,924.10	1,417.50	2,969.46
			07/28/2017	1.001893	809,954.64	100.361000	SUNGARD	0.00
82081	CCCSIG GOV FHLMC	3137EADJ5	08/14/2014	1.000000	465,000.00	466,678.65	813.75	1,704.61
			07/28/2017	1.002272	464,974.04	100.361000	SUNGARD	0.00
82312	AUHSO GOV FHLMC NOT	3134G3ZW3	01/21/2015	1.200000	2,486,000.00	2,501,388.34	4,391.93	15,388.34
			08/08/2018	1.200000	2,486,000.00	100.619000	SUNGARD	0.00
82313	AUHSO GOV FHLMC NOT	3134G3ZW3	01/21/2015	1.200000	110,000.00	110,680.90	194.33	680.90
			08/08/2018	1.200000	110,000.00	100.619000	SUNGARD	0.00
82317	CCCCD GOV FREDDIE M	3137EADC0	01/21/2015	1.000000	19,555,000.00	19,614,838.30	12,493.47	0.00
			03/08/2017	.643501	19,702,249.15	100.306000	SUNGARD	-87,410.85
82319	CCCCD GOV FHLMC	3137EADC0	01/21/2015	1.000000	9,485,000.00	9,514,024.10	6,059.86	0.00
			03/08/2017	.643501	9,556,422.05	100.306000	SUNGARD	-42,397.95
82446	CCCCD GOV FHLMC	3137EADJ5	03/20/2015	1.000000	95,000.00	95,342.95	166.25	19.95
			07/28/2017	.853802	95,323.00	100.361000	SUNGARD	0.00
82447	CCCSIG GOV FHLMC	3137EADJ5	03/20/2015	1.000000	4,305,000.00	4,320,541.05	7,533.75	904.05
			07/28/2017	.853802	4,319,637.00	100.361000	SUNGARD	0.00
82549	GOV FHLMC NOTES	3134G6YC1	05/01/2015	.670000	10,000,000.00	10,003,600.00	22,519.40	11,900.00
			05/30/2017	.710296	9,991,700.00	100.036000	SUNGARD	0.00
82571	RM GOV FHLMC NOTES	3137EADG1	05/27/2015	1.750000	3,000,000.00	3,071,880.00	17,645.83	28,740.00
			05/30/2019	1.379985	3,043,140.00	102.396000	SUNGARD	0.00
82635	CCCCD GOV FHLMC NOT	3137EADG1	07/22/2015	1.750000	100,000.00	102,396.00	588.19	1,389.00
			05/30/2019	1.480153	101,007.00	102.396000	SUNGARD	0.00
82762	RM GOV FHLMC NOTES	3137EADM8	10/26/2015	1.250000	6,000,000.00	6,025,860.00	37,291.67	39,660.00
			10/02/2019	1.310124	5,991,200.00	100.431000	SUNGARD	0.00
82807	GOV FHLMC NOTES	3134G3S50	11/23/2015	.625000	5,000,000.00	5,001,700.00	13,020.83	1,700.00
			11/01/2016	.625000	5,001,909.72	100.034000	SUNGARD	0.00
82837	GOV FHLMC NOTES	3137EADX4	12/11/2015	1.000000	10,000,000.00	10,039,200.00	30,555.56	50,520.00
			12/15/2017	1.057021	9,988,680.00	100.392000	SUNGARD	0.00
82838	GOV FHLMC NOTES	3137EADX4	12/15/2015	1.000000	10,000,000.00	10,039,200.00	30,555.55	51,050.00
			12/15/2017	1.060007	9,989,261.11	100.392000	SUNGARD	0.00
82876	GOV FHLMC NOTES	3134G64W0	12/30/2015	.900000	5,007,000.00	5,019,317.22	12,267.16	22,231.08
			06/23/2017	1.035077	4,997,962.37	100.246000	SUNGARD	0.00
82927	KFPD GOV FHLMC NOTE	3137EADM8	01/25/2016	1.250000	250,000.00	251,077.50	1,553.82	1,797.50
			10/02/2019	1.330187	250,260.90	100.431000	SUNGARD	0.00
82947	CCCCD GOV FHLMC NOT	3137EADG1	02/16/2016	1.750000	100,000.00	102,396.00	588.19	98.00



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			05/30/2019	1.037316	102,667.44	102.396000	SUNGARD	0.00
82965	CCCSIG GOV FHLMC NO	3137EACA5	03/04/2016	3.750000	1,275,000.00	1,379,626.50	531.25	4,985.25
			03/27/2019	1.146745	1,374,641.25	108.206000	SUNGARD	0.00
82993	CCCCD GOV FHLMC NOT	3137EADZ9	03/21/2016	1.125000	70,000.00	69,976.90	21.88	0.00
			04/15/2019	1.135900	69,976.90	99.967000	BOOK	0.00
82996	CCCCD GOV FHLMC NOT	3137EADZ9	03/22/2016	1.125000	6,000,000.00	5,998,800.00	1,875.00	0.00
			04/15/2019	1.131578	5,998,987.50	99.980000	BOOK	0.00
83006	GOV FHLMC STEP-UP C	3134G8PD5	03/30/2016	1.350000	10,000,000.00	10,000,000.00	375.00	0.00
			09/30/2019	1.350000	10,000,000.00	100.000000	BOOK	0.00
			<b>Subtotal</b>	1.044983	132,970,000.00	133,483,983.20	216,634.39	438,724.07
				.965055	133,199,125.23	100.386541		-143,431.20

### 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	1,028.13	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	3,087.05	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	638.63	0.00
			05/15/2017	.966000	175,000.00	100.000000	BOOK	0.00
81510	AUHSD MUNI WASHINGT	93974B3K6	06/27/2013	5.000000	600,000.00	696,925.06	7,500.00	0.00
			01/01/2018	1.301222	696,925.06	116.154177	BOOK	0.00
81514	AUHSD MUNI WICOMICO	967545R89	06/27/2013	3.500000	390,000.00	427,550.12	4,550.00	0.00
			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	1,421.97	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	1,513.11	0.00
			05/15/2018	2.054000	195,000.00	100.000000	BOOK	0.00
82387	CCCSIG MUNI MS ST T	605581FX0	02/18/2015	1.090000	110,000.00	110,000.00	599.50	0.00
			10/01/2017	1.090000	110,000.00	100.000000	BOOK	0.00
82956	AUHSD MUNI CITY CHI	167486YX1	01/01/2016	5.000000	70,000.00	70,229.60	875.00	0.00
			01/01/2017	4.660491	70,229.60	100.328000	BOOK	0.00
			<b>Subtotal</b>	2.073550	3,645,000.00	3,777,157.78	21,213.39	0.00
				1.186956	3,777,157.78	103.625728		0.00



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### Inv Type: 41 FNMA DISCOUNT NOTES

82684	RM GOV FNMA DISC	313588C29	09/11/2015	.400000	295,000.00	294,554.55	665.39	0.33
			08/15/2016	.401514	293,888.83	99.849000	SUNGARD	0.00
			<b>Subtotal</b>	.400000	295,000.00	294,554.55	665.39	0.33
				.401514	293,888.83	99.849000		0.00

### Inv Type: 42 FARM CREDIT DISCOUNT NOTES

82680	DCD GOV FFCB DISCOU	313312E30	09/04/2015	.430000	1,100,000.00	1,098,083.25	2,759.17	93.50
			09/01/2016	.431873	1,095,230.58	99.825750	SUNGARD	0.00
82813	RM GOV FFCB DISC	313312P95	12/01/2015	.600000	370,000.00	368,884.14	752.33	308.64
			11/18/2016	.603550	367,823.17	99.698417	SUNGARD	0.00
			<b>Subtotal</b>	.472739	1,470,000.00	1,466,967.39	3,511.50	402.14
				.475034	1,463,053.75	99.793700		0.00

### Inv Type: 43 FHLB DISCOUNT NOTES

82990	RM GOV FHLB DISCOUN	313384XF1	03/18/2016	.305000	1,995,000.00	1,994,324.47	236.63	220.28
			05/24/2016	.305173	1,993,867.56	99.966139	SUNGARD	0.00
			<b>Subtotal</b>	.305000	1,995,000.00	1,994,324.47	236.63	220.28
				.305173	1,993,867.56	99.966139		0.00

### Inv Type: 50 AUTO ABS FXD-M 30/360

82341	CCCSIG CORP HONDA A	43814KAB7	01/28/2015	.700000	199,923.47	199,913.04	62.20	0.00
			06/15/2017	.704310	199,913.04	99.994783	BOOK	0.00
82409	CCCSIG AB TOYOTA AU	89236WAB4	03/04/2015	.710000	340,218.67	340,215.44	107.37	0.00
			07/17/2017	.710792	340,215.44	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
82964	CCCSIG ABS TOYOTA C	89237KAD5	03/02/2016	1.250000	615,000.00	614,965.13	619.27	0.00
			03/16/2020	1.252803	614,965.13	99.994330	BOOK	0.00





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83008	CCCSIG ABS HYUNDAI	44930UAD8	03/30/2016	1.560000	260,000.00	259,949.56	11.27	0.00
			09/15/2020	1.568722	259,949.56	99.980600	BOOK	0.00
			<b>Subtotal</b>	1.165369	3,535,142.14	3,534,794.76	1,891.47	0.00
				1.169942	3,534,794.76	99.990174		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	663.00	0.00
			02/22/2019	1.083588	599,179.69	99.863282	BOOK	0.00
			<b>Subtotal</b>	1.020000	600,000.00	599,179.69	663.00	0.00
				1.083588	599,179.69	99.863282		0.00

#### **Inv Type: 71 COMMERCIAL PAPER DISCOUNT**

82695	CCCCD CP JPMSCC	46640PFH1	09/22/2015	.650000	3,950,000.00	3,946,367.10	13,693.32	1,858.69
			06/17/2016	.653172	3,930,815.09	99.908028	SUNGARD	0.00
82698	CCCCD CP JPMSCC	46640PFH1	09/22/2015	.650000	1,995,000.00	1,993,165.15	6,916.00	938.75
			06/17/2016	.653172	1,985,310.40	99.908028	SUNGARD	0.00
82767	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	499,226.67	1,347.50	241.67
			07/26/2016	.632991	497,637.50	99.845333	SUNGARD	0.00
82768	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	6,600,000.00	6,589,792.00	17,787.00	3,190.00
			07/26/2016	.632991	6,568,815.00	99.845333	SUNGARD	0.00
82769	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	499,226.67	1,347.50	241.67
			07/26/2016	.632991	497,637.50	99.845333	SUNGARD	0.00
82770	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	499,226.67	1,347.50	241.67
			07/26/2016	.632991	497,637.50	99.845333	SUNGARD	0.00
82771	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,613.33	673.75	120.83
			07/26/2016	.632991	248,818.75	99.845333	SUNGARD	0.00
82772	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	500,000.00	499,226.67	1,347.50	241.67
			07/26/2016	.632991	497,637.50	99.845333	SUNGARD	0.00
82773	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,613.33	673.75	120.83
			07/26/2016	.632991	248,818.75	99.845333	SUNGARD	0.00
82774	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	150,000.00	149,768.00	404.25	72.50
			07/26/2016	.632991	149,291.25	99.845333	SUNGARD	0.00
82775	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,613.33	673.75	120.83
			07/26/2016	.632991	248,818.75	99.845333	SUNGARD	0.00
82776	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,613.33	673.75	120.83



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			07/26/2016	.632991	248,818.75	99.845333	SUNGARD	0.00
82777	PW CP TOYOTA MOTOR	89233GGS9	10/30/2015	.630000	250,000.00	249,613.33	673.75	120.83
			07/26/2016	.632991	248,818.75	99.845333	SUNGARD	0.00
82790	PW CP TOYOTA MOTOR	89233GE93	11/10/2015	.520000	1,625,000.00	1,624,313.89	3,356.53	205.83
			05/09/2016	.521363	1,620,751.53	99.957778	SUNGARD	0.00
82794	CP ABBEY NATIONAL T	00280NDB3	11/13/2015	.500000	20,000,000.00	19,997,777.78	38,888.89	555.56
			04/11/2016	.501044	19,958,333.33	99.988889	SUNGARD	0.00
82795	CP SOCIETE GENERALE	83369BDF0	11/16/2015	.390000	25,000,000.00	24,996,111.11	37,104.16	0.00
			04/15/2016	.390639	24,959,104.17	99.984444	SUNGARD	-97.22
82797	CP STANDARD CHARTER	85324TDF0	11/17/2015	.480000	25,000,000.00	24,996,111.11	45,333.33	777.78
			04/15/2016	.480962	24,950,000.00	99.984444	SUNGARD	0.00
82799	CP STANDARD CHARTER	85324TDF0	11/18/2015	.530000	25,000,000.00	24,996,111.11	49,687.47	1,263.89
			04/15/2016	.531165	24,945,159.75	99.984444	SUNGARD	0.00
82809	CP STANDARD CHARTER	85324TDU7	11/30/2015	.590000	30,000,000.00	29,991,000.00	60,475.00	4,275.00
			04/28/2016	.591454	29,926,250.00	99.970000	SUNGARD	0.00
82810	CP CREDIT AGRICOLE	22533TDR4	11/25/2015	.490000	25,000,000.00	24,993,333.33	43,555.55	1,500.00
			04/25/2016	.491016	24,948,277.78	99.973333	SUNGARD	0.00
82811	CP ABBEY NATIONAL	00280NDF4	11/25/2015	.460000	25,000,000.00	24,996,111.11	40,888.89	583.33
			04/15/2016	.460836	24,954,638.89	99.984444	SUNGARD	0.00
82815	CP ABBEY NATIONAL	00280NDE7	12/02/2015	.460000	25,000,000.00	24,996,388.89	38,652.78	541.67
			04/14/2016	.460789	24,957,194.44	99.985556	SUNGARD	0.00
82816	CP CREDIT SUISSE NY	2254EADF7	12/02/2015	.500000	25,000,000.00	24,996,111.11	42,013.89	972.22
			04/15/2016	.500939	24,953,125.00	99.984444	SUNGARD	0.00
82823	CP CREDIT AGRICOLE	22533TDT0	12/07/2015	.520000	25,000,000.00	24,992,777.78	41,888.89	2,166.67
			04/27/2016	.521069	24,948,722.22	99.971111	SUNGARD	0.00
82824	CP STANDARD CHARTER	85324TEB8	12/07/2015	.640000	20,000,000.00	19,991,111.11	41,244.45	5,333.33
			05/11/2016	.641780	19,944,533.33	99.955556	SUNGARD	0.00
82825	CP CREDIT SUISSE NY	2254EAEA7	12/07/2015	.580000	25,000,000.00	24,989,166.67	46,722.23	4,875.00
			05/10/2016	.581452	24,937,569.44	99.956667	SUNGARD	0.00
82826	CP NORDEA BANK AB	65558FED3	12/08/2015	.590000	30,000,000.00	29,986,000.00	56,541.67	6,650.00
			05/13/2016	.591522	29,922,808.33	99.953333	SUNGARD	0.00
82831	CP CREDIT AGRICOLE	22533TEG7	12/09/2015	.650000	25,000,000.00	24,987,500.00	51,458.33	7,812.50
			05/16/2016	.651871	24,928,229.17	99.950000	SUNGARD	0.00
82832	CP TOYOTA MOTOR CRE	89233GER3	12/10/2015	.670000	25,000,000.00	24,985,000.00	52,576.39	10,125.00
			05/25/2016	.672089	24,922,298.61	99.940000	SUNGARD	0.00
82834	CP BK OF NOVA SCOTI	06417JET5	12/10/2015	.690000	30,000,000.00	29,981,333.33	64,975.00	13,533.33
			05/27/2016	.692242	29,902,825.00	99.937778	SUNGARD	0.00



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82835	CP BNP PARIBAS	09659BEX4	12/11/2015	.710000	30,000,000.00	29,978,500.00	66,266.67	14,000.00
			05/31/2016	.712417	29,898,233.33	99.928333	SUNGARD	0.00
82836	CP BANK OF NOVA SCO	06417JEX6	12/11/2015	.660000	30,000,000.00	29,978,500.00	61,600.00	11,500.00
			05/31/2016	.662088	29,905,400.00	99.928333	SUNGARD	0.00
82839	CP BNP PARIBAS	09659BFQ8	12/16/2015	.790000	25,000,000.00	24,974,916.67	58,701.39	21,000.00
			06/24/2016	.793325	24,895,215.28	99.899667	SUNGARD	0.00
82840	CP BNP PARIBAS	09659BFD7	12/16/2015	.790000	20,000,000.00	19,982,561.11	46,961.11	14,600.00
			06/13/2016	.793133	19,921,000.00	99.912806	SUNGARD	0.00
82844	CP TOYOTA MOTOR CRE	89233GFP6	12/17/2015	.790000	10,000,000.00	9,990,086.11	23,261.11	8,300.00
			06/23/2016	.793290	9,958,525.00	99.900861	SUNGARD	0.00
82849	CCCCD CP BNP PARIBA	09659BFM7	12/21/2015	.820000	3,950,000.00	3,946,178.38	9,177.17	3,466.13
			06/21/2016	.823433	3,933,535.08	99.903250	SUNGARD	0.00
82850	CCCCD CP BNP PARIBA	09659BFM7	12/21/2015	.820000	1,995,000.00	1,993,069.84	4,635.05	1,750.61
			06/21/2016	.823432	1,986,684.18	99.903250	SUNGARD	0.00
82851	CCCSD CP ABBEY NATI	00280NGN4	12/21/2015	.740000	4,000,000.00	3,994,026.67	8,386.67	3,235.56
			07/22/2016	.743270	3,982,404.44	99.850667	SUNGARD	0.00
82853	CCCSD CP TOYOTA MOT	89233GGN0	12/21/2015	.840000	5,000,000.00	4,992,533.33	11,900.00	5,600.00
			07/22/2016	.844216	4,975,033.33	99.850667	SUNGARD	0.00
82872	CP SOCIETE GENERALE	83369BGN0	12/30/2015	.770000	25,000,000.00	24,962,666.67	49,729.17	22,555.56
			07/22/2016	.773391	24,890,381.94	99.850667	SUNGARD	0.00
82873	CP RABOBANK NEDERLA	21687AFW8	12/30/2015	.810000	30,000,000.00	29,964,000.00	62,775.00	24,750.00
			06/30/2016	.813349	29,876,475.00	99.880000	SUNGARD	0.00
82874	CP NORDEA BANK AB	65558FFW0	12/30/2015	.770000	30,000,000.00	29,964,000.00	59,675.00	21,750.00
			06/30/2016	.773026	29,882,575.00	99.880000	SUNGARD	0.00
82879	CP RABOBANK NEDERLA	21687AGR8	01/05/2016	.800000	25,000,000.00	24,961,666.67	48,333.33	25,555.56
			07/25/2016	.803607	24,887,777.78	99.846667	SUNGARD	0.00
82896	CP UBS FINANCE DE	90262CGM3	01/07/2016	.880000	25,000,000.00	24,963,000.00	51,944.45	30,833.33
			07/21/2016	.884236	24,880,222.22	99.852000	SUNGARD	0.00
82897	CP UBS FINANCE DE	90262CGN1	01/07/2016	.880000	25,000,000.00	24,962,666.67	51,944.44	31,111.12
			07/22/2016	.884258	24,879,611.11	99.850667	SUNGARD	0.00
82903	CCCCD CP UBS FINANC	90262CF93	01/11/2016	.730000	4,750,000.00	4,746,085.21	7,801.88	2,731.25
			06/09/2016	.732227	4,735,552.08	99.917583	SUNGARD	0.00
82904	CCCCD CP UBS FINANC	90262CF93	01/11/2016	.730000	1,590,000.00	1,588,689.58	2,611.58	914.25
			06/09/2016	.732227	1,585,163.75	99.917583	SUNGARD	0.00
82905	PW CP TOYOTA MOTOR	89233GGB6	01/13/2016	.790000	4,300,000.00	4,294,209.33	7,454.53	3,739.80
			07/11/2016	.793133	4,283,015.00	99.865333	SUNGARD	0.00
82906	PW CP TOYOTA MOTOR	89233GGB6	01/13/2016	.790000	1,100,000.00	1,098,518.67	1,906.97	956.70



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			07/11/2016	.793133	1,095,655.00	99.865333	SUNGARD	0.00
82907	PW CP TOYOTA MOTOR	89233GGB6	01/13/2016	.790000	2,000,000.00	1,997,306.67	3,467.22	1,739.45
			07/11/2016	.793133	1,992,100.00	99.865333	SUNGARD	0.00
82913	CCCCD CP TOYOTA MOT	89233GFF8	01/19/2016	.670000	1,580,000.00	1,578,584.58	2,146.60	790.00
			06/15/2016	.671850	1,575,647.98	99.910417	SUNGARD	0.00
82916	CP CREDIT AGRICOLE	22533TGM2	01/20/2016	.850000	25,000,000.00	24,963,000.00	42,500.00	28,520.83
			07/21/2016	.853689	24,891,979.17	99.852000	SUNGARD	0.00
82919	CP CREDIT SUISSE NY	2254EAGV9	01/29/2016	.890000	25,000,000.00	24,960,333.33	38,937.50	33,881.94
			07/29/2016	.894023	24,887,513.89	99.841333	SUNGARD	0.00
82948	PW CP BNP PARIBAS	09659BHF0	02/17/2016	.840000	500,000.00	498,942.22	513.33	528.89
			08/15/2016	.843543	497,900.00	99.788444	SUNGARD	0.00
82954	CP RABOBANK NEDERLA	21687AGS6	02/25/2016	.700000	25,000,000.00	24,961,333.33	17,500.00	17,722.22
			07/26/2016	.702075	24,926,111.11	99.845333	SUNGARD	0.00
82961	PW CP UBS FINANCE D	90262CJ99	03/01/2016	.850000	1,100,000.00	1,097,245.11	805.14	1,426.64
			09/09/2016	.853871	1,095,013.33	99.749556	SUNGARD	0.00
82979	CP TOYOTA MOTOR CRE	89233GGV2	03/10/2016	.650000	30,000,000.00	29,952,400.00	11,916.67	16,858.33
			07/29/2016	.651659	29,923,625.00	99.841333	SUNGARD	0.00
82987	CP CREDIT SUISSE NY	2254EAHB2	03/17/2016	.820000	25,000,000.00	24,948,666.67	8,541.67	23,833.33
			08/11/2016	.822755	24,916,291.67	99.794667	SUNGARD	0.00
82989	CP TOYOTA MOTOR CRE	89233GHR0	03/18/2016	.700000	25,000,000.00	24,943,222.22	6,805.56	14,194.44
			08/25/2016	.702185	24,922,222.22	99.772889	SUNGARD	0.00
82991	CP CREDIT AGRICOLE	22533THV1	03/21/2016	.760000	30,000,000.00	29,930,000.00	6,966.67	25,000.00
			08/29/2016	.762592	29,898,033.33	99.766667	SUNGARD	0.00
82995	CCCCD CP BTMUFJ	06538BJN4	03/22/2016	.880000	1,995,000.00	1,989,600.20	487.67	3,085.60
			09/22/2016	.883976	1,986,026.93	99.729333	SUNGARD	0.00
82999	CP BNP PARIBAS	09659BHS2	03/25/2016	.750000	25,000,000.00	24,942,833.33	3,645.83	19,395.83
			08/26/2016	.752414	24,919,791.67	99.771333	SUNGARD	0.00
83001	CP BNP PARIBAS	09659BJ92	03/29/2016	.790000	25,000,000.00	24,937,388.89	1,645.83	25,715.28
			09/09/2016	.792853	24,910,027.78	99.749556	SUNGARD	0.00
83004	CP CREDIT SUISSE NY	2254EAJU8	03/30/2016	.920000	30,000,000.00	29,890,500.00	1,533.33	28,500.00
			09/28/2016	.924299	29,860,466.67	99.635000	SUNGARD	0.00
83005	CP TOYOTA MOTOR CRE	89233GJT4	03/30/2016	.750000	25,000,000.00	24,930,388.89	1,041.67	23,618.05
			09/27/2016	.752839	24,905,729.17	99.721556	SUNGARD	0.00
<b>Subtotal</b>				.686354	1,021,430,000.00	1,020,277,944.26	1,586,442.98	581,962.58
				.688715	1,018,109,635.92	99.887211		-97.22



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<b>Inv Type: 72 NEGOTIABLE CERT OF DEPOSIT</b>								
82562	PW YCD BNP PARIBAS	05572NYH3	05/20/2015	.730000	2,000,000.00	2,001,272.49	12,856.11	1,272.49
			05/20/2016	.730000	2,000,000.00	100.063625	SUNGARD	0.00
82563	RM YCD BNP PARIBAS	05572NYL4	05/26/2015	.730000	1,007,000.00	1,007,717.60	6,350.53	717.60
			05/26/2016	.730000	1,007,000.00	100.071262	SUNGARD	0.00
82576	CCCSIG YCD NORDEA B	65558LFA5	05/29/2015	1.150000	1,950,000.00	1,950,000.00	7,848.75	0.00
			05/26/2017	1.150000	1,950,000.00	100.000000	BOOK	0.00
82744	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	1,000,000.00	1,000,027.36	1,710.00	27.36
			04/11/2016	.360000	1,000,000.00	100.002736	SUNGARD	0.00
82745	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	5,100,000.00	5,100,139.52	8,721.00	139.52
			04/11/2016	.360000	5,100,000.00	100.002736	SUNGARD	0.00
82746	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	400,000.00	400,010.94	684.00	10.94
			04/11/2016	.360000	400,000.00	100.002736	SUNGARD	0.00
82747	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	100,000.00	100,002.74	171.00	2.74
			04/11/2016	.360000	100,000.00	100.002736	SUNGARD	0.00
82748	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	1,000,000.00	1,000,027.36	1,710.00	27.36
			04/11/2016	.360000	1,000,000.00	100.002736	SUNGARD	0.00
82749	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	1,000,000.00	1,000,027.36	1,710.00	27.36
			04/11/2016	.360000	1,000,000.00	100.002736	SUNGARD	0.00
82750	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	500,000.00	500,013.68	855.00	13.68
			04/11/2016	.360000	500,000.00	100.002736	SUNGARD	0.00
82751	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	3,000,000.00	3,000,082.07	5,130.00	82.07
			04/11/2016	.360000	3,000,000.00	100.002736	SUNGARD	0.00
82752	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	500,000.00	500,013.68	855.00	13.68
			04/11/2016	.360000	500,000.00	100.002736	SUNGARD	0.00
82753	PW NCD UNION BANK O	62478TKL2	10/13/2015	.360000	400,000.00	400,010.94	684.00	10.94
			04/11/2016	.360000	400,000.00	100.002736	SUNGARD	0.00
82798	CCCSIG YCD SKANDINA	83050FBG5	11/17/2015	1.480000	2,175,000.00	2,175,000.00	12,160.67	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	25,001,245.99	34,666.67	1,245.99
			04/15/2016	.390000	25,000,000.00	100.004984	SUNGARD	0.00
82821	YCD BNP PARIBAS	05572NG34	12/04/2015	.550000	30,000,000.00	30,003,260.65	54,541.67	3,260.65
			04/14/2016	.550000	30,000,000.00	100.010869	SUNGARD	0.00
82822	YCD NORDEA BANK FIN	65558LLN0	12/04/2015	.510000	25,000,000.00	25,002,328.70	42,145.83	2,328.70
			04/14/2016	.510000	25,000,000.00	100.009315	SUNGARD	0.00
82827	NCD WELLS FARGO BAN	94988EMK1	12/08/2015	.700000	25,000,000.00	25,020,266.96	55,902.78	20,266.96



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			06/07/2016	.700000	25,000,000.00	100.081068	SUNGARD	0.00
82830	YCD CREDIT SUISSE	22549VLL5	12/09/2015	.700000	25,000,000.00	25,013,712.43	55,416.67	13,712.43
			05/16/2016	.700000	25,000,000.00	100.054850	SUNGARD	0.00
82833	YCD ROYAL BANK OF C	78009NXU5	12/10/2015	.680000	25,000,000.00	25,015,915.55	53,361.11	15,915.55
			05/26/2016	.680000	25,000,000.00	100.063662	SUNGARD	0.00
82841	YCD BNP PARIBAS	05572NG67	12/17/2015	.830000	30,000,000.00	30,041,457.18	73,316.67	41,457.18
			06/28/2016	.830000	30,000,000.00	100.138191	SUNGARD	0.00
82842	YCD ROYAL BANK OF C	78009NYK6	12/17/2015	.805000	25,000,000.00	25,031,151.73	59,256.94	31,151.73
			06/23/2016	.805000	25,000,000.00	100.124607	SUNGARD	0.00
82843	YCD CREDIT AGRICOLE	22534HBK6	12/17/2015	.790000	25,000,000.00	25,031,718.82	58,152.78	31,718.82
			06/27/2016	.790000	25,000,000.00	100.126875	SUNGARD	0.00
82845	YCD STANDARD CHARTE	85325TEV3	12/18/2015	.820000	30,000,000.00	30,029,465.73	71,750.00	29,465.73
			06/30/2016	.820000	30,000,000.00	100.098219	SUNGARD	0.00
82852	CCCSN NCD MUFG UNIO	62478TMC0	12/21/2015	.640000	5,000,000.00	5,003,279.29	9,066.67	3,279.29
			07/22/2016	.640000	5,000,000.00	100.065586	SUNGARD	0.00
82854	PW NCD UNION BANK O	62478TMF3	12/22/2015	.820000	500,000.00	500,582.72	1,150.28	582.72
			12/22/2016	.820000	500,000.00	100.116543	SUNGARD	0.00
82855	YCD STANDARD CHARTE	85325TEY7	12/23/2015	.870000	25,000,000.00	25,034,400.62	60,416.67	34,400.62
			07/22/2016	.870000	25,000,000.00	100.137602	SUNGARD	0.00
82856	YCD NORDEA BANK FIN	65558LMA7	12/23/2015	.840000	25,000,000.00	25,032,052.40	58,333.33	32,052.40
			07/22/2016	.840000	25,000,000.00	100.128210	SUNGARD	0.00
82857	YCD SOCIETE GENERAL	83369TR66	12/23/2015	.850000	25,000,000.00	25,028,771.87	59,027.78	28,771.87
			07/08/2016	.850000	25,000,000.00	100.115087	SUNGARD	0.00
82858	YCD RABOBANK NEDERL	21685VKX6	12/23/2015	.830000	25,000,000.00	25,031,269.67	57,638.89	31,269.67
			07/22/2016	.830000	25,000,000.00	100.125079	SUNGARD	0.00
82859	YCD ABBEY NATL TREA	00279JBF8	12/23/2015	.800000	20,000,000.00	20,020,887.61	44,444.44	20,887.61
			07/11/2016	.800000	20,000,000.00	100.104438	SUNGARD	0.00
82860	YCD NORDEA BANK FIN	65558LMA7	12/23/2015	.840000	25,000,000.00	25,032,052.40	58,333.33	32,052.40
			07/22/2016	.840000	25,000,000.00	100.128210	SUNGARD	0.00
82878	YCD CREDIT AGRICOLE	22534HCH2	01/04/2016	.820000	30,000,000.00	30,038,212.35	60,133.33	38,212.35
			07/27/2016	.820000	30,000,000.00	100.127375	SUNGARD	0.00
82881	PW YCD ABBEY NATION	00279JB0	01/06/2016	.610000	5,170,000.00	5,170,195.08	7,533.84	195.08
			04/04/2016	.610000	5,170,000.00	100.003773	SUNGARD	0.00
82882	PW YCD ABBEY NATION	00279JB0	01/06/2016	.610000	1,080,000.00	1,080,040.75	1,573.80	40.75
			04/04/2016	.610000	1,080,000.00	100.003773	SUNGARD	0.00
82883	PW YCD ABBEY NATION	00279JB0	01/06/2016	.610000	2,100,000.00	2,100,079.24	3,060.17	79.24
			04/04/2016	.610000	2,100,000.00	100.003773	SUNGARD	0.00



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82884	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	2,800,000.00	2,800,105.65	4,080.22	105.65
			04/04/2016	.610000	2,800,000.00	100.003773	SUNGARD	0.00
82885	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	3,100,000.00	3,100,116.97	4,517.39	116.97
			04/04/2016	.610000	3,100,000.00	100.003773	SUNGARD	0.00
82886	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	3,000,000.00	3,000,113.20	4,371.67	113.20
			04/04/2016	.610000	3,000,000.00	100.003773	SUNGARD	0.00
82887	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	875,000.00	875,033.02	1,275.07	33.02
			04/04/2016	.610000	875,000.00	100.003773	SUNGARD	0.00
82888	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	21,800,000.00	21,800,822.59	31,767.44	822.59
			04/04/2016	.610000	21,800,000.00	100.003773	SUNGARD	0.00
82889	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	5,600,000.00	5,600,211.31	8,160.44	211.31
			04/04/2016	.610000	5,600,000.00	100.003773	SUNGARD	0.00
82890	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	440,000.00	440,016.60	641.18	16.60
			04/04/2016	.610000	440,000.00	100.003773	SUNGARD	0.00
82891	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	2,000,000.00	2,000,075.47	2,914.44	75.47
			04/04/2016	.610000	2,000,000.00	100.003773	SUNGARD	0.00
82892	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	500,000.00	500,018.87	728.61	18.87
			04/04/2016	.610000	500,000.00	100.003773	SUNGARD	0.00
82893	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	3,700,000.00	3,700,139.61	5,391.72	139.61
			04/04/2016	.610000	3,700,000.00	100.003773	SUNGARD	0.00
82894	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	5,900,000.00	5,900,222.63	8,597.61	222.63
			04/04/2016	.610000	5,900,000.00	100.003773	SUNGARD	0.00
82895	PW YCD ABBEY NATION	00279JBJO	01/06/2016	.610000	4,550,000.00	4,550,171.69	6,630.36	171.69
			04/04/2016	.610000	4,550,000.00	100.003773	SUNGARD	0.00
82898	NCD WELLS FARGO BAN	94988EN79	01/08/2016	.830000	25,000,000.00	25,029,070.21	48,416.67	29,070.21
			07/14/2016	.830000	25,000,000.00	100.116281	SUNGARD	0.00
82911	AUHS D YCD BNP PARIB	05572NH58	01/15/2016	1.140000	1,600,000.00	1,604,299.84	3,901.33	4,299.84
			01/13/2017	1.140000	1,600,000.00	100.268740	SUNGARD	0.00
82912	YCD BNP PARIBAS	05572NH41	01/15/2016	.840000	25,000,000.00	25,031,787.06	44,916.67	31,787.06
			07/21/2016	.840000	25,000,000.00	100.127148	SUNGARD	0.00
82915	AUHS D YCD BNP PARIB	05572NH58	01/15/2016	1.140000	110,000.00	110,295.61	268.22	295.61
			01/13/2017	1.140000	110,000.00	100.268740	SUNGARD	0.00
82918	NCD WELLS FARGO BAN	94988EPM4	01/22/2016	.830000	25,000,000.00	25,031,016.41	40,347.22	31,016.41
			07/21/2016	.830000	25,000,000.00	100.124066	SUNGARD	0.00
82920	KFPD YCD BNP PARIBA	05572NJ31	01/25/2016	1.120000	250,000.00	250,658.85	521.11	658.85
			01/25/2017	1.120000	250,000.00	100.263541	SUNGARD	0.00
82921	KFPD YCD BNP PARIBA	05572NJ64	01/27/2016	1.120000	250,000.00	250,663.32	505.56	663.32



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			01/27/2017	1.120000	250,000.00	100.265328	SUNGARD	0.00
82922	YCD SOCIETE GENERAL	83369TU96	01/28/2016	.830000	25,000,000.00	25,032,957.10	36,888.89	32,957.10
			07/28/2016	.830000	25,000,000.00	100.131828	SUNGARD	0.00
82923	YCD ROYAL BANK OF C	78009NZK5	01/28/2016	.850000	25,000,000.00	25,034,025.48	37,777.78	34,025.48
			07/26/2016	.850000	25,000,000.00	100.136102	SUNGARD	0.00
82942	PW YCD BNP PARIBAS	05572NK62	02/10/2016	1.120000	500,000.00	501,389.23	793.33	1,389.23
			02/10/2017	1.120000	500,000.00	100.277845	SUNGARD	0.00
82943	PW YCD BNP PARIBAS	05572NK54	02/10/2016	.840000	500,000.00	500,738.23	595.00	738.23
			08/08/2016	.840000	500,000.00	100.147645	SUNGARD	0.00
82953	YCD SOCIETE GENERAL	83369TZ59	02/24/2016	.760000	25,000,000.00	25,027,433.45	19,527.78	27,433.45
			07/29/2016	.760000	25,000,000.00	100.109734	SUNGARD	0.00
82957	YCD BNP PARIBAS	05572NK88	02/29/2016	.480000	3,001,000.00	3,001,507.29	1,280.43	507.29
			04/29/2016	.480000	3,001,000.00	100.016904	SUNGARD	0.00
82958	YCD BNP PARIBAS	05572NK88	02/29/2016	.480000	2,644,000.00	2,644,446.94	1,128.11	446.94
			04/29/2016	.480000	2,644,000.00	100.016904	SUNGARD	0.00
82959	YCD BNP PARIBAS	05572NK88	02/29/2016	.480000	5,801,000.00	5,801,980.60	2,475.09	980.60
			04/29/2016	.480000	5,801,000.00	100.016904	SUNGARD	0.00
82969	SO NCD UNION BANK O	62478TNX3	03/04/2016	.400000	2,200,000.00	2,200,087.33	684.44	87.33
			04/11/2016	.400000	2,200,000.00	100.003969	SUNGARD	0.00
82970	SO NCD UNION BANK O	62478TNX3	03/04/2016	.400000	1,300,000.00	1,300,051.60	404.44	51.60
			04/11/2016	.400000	1,300,000.00	100.003969	SUNGARD	0.00
82971	SO NCD UNION BANK O	62478TNX3	03/04/2016	.400000	1,200,000.00	1,200,047.63	373.33	47.63
			04/11/2016	.400000	1,200,000.00	100.003969	SUNGARD	0.00
82972	SO NCD UNION BANK O	62478TNX3	03/04/2016	.400000	4,300,000.00	4,300,170.69	1,337.78	170.69
			04/11/2016	.400000	4,300,000.00	100.003969	SUNGARD	0.00
82973	SO NCD UNION BANK O	62478TNX3	03/04/2016	.400000	8,000,000.00	8,000,317.55	2,488.89	317.55
			04/11/2016	.400000	8,000,000.00	100.003969	SUNGARD	0.00
82974	SO NCD UNION BANK O	62478TNX3	03/04/2016	.400000	3,900,000.00	3,900,154.81	1,213.33	154.81
			04/11/2016	.400000	3,900,000.00	100.003969	SUNGARD	0.00
82977	YCD BNP PARIBAS	05572NL20	03/10/2016	.670000	10,000,000.00	10,007,982.96	4,094.44	7,982.96
			07/29/2016	.670000	10,000,000.00	100.079830	SUNGARD	0.00
82980	PW YCD BNP PARIBAS	05572NL38	03/11/2016	.410000	767,000.00	767,032.79	183.44	32.79
			04/11/2016	.410000	767,000.00	100.004276	SUNGARD	0.00
82981	PW YCD BNP PARIBAS	05572NL38	03/11/2016	.410000	900,000.00	900,038.48	215.25	38.48
			04/11/2016	.410000	900,000.00	100.004276	SUNGARD	0.00
82982	CCCSIG YCD ROYAL BA	78009NZZ2	03/15/2016	1.700000	1,305,000.00	1,305,000.00	1,047.63	0.00
			03/09/2018	1.700000	1,305,000.00	100.000000	BOOK	0.00





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82983	CCCSIG YCD TORONTO	89113E5E2	03/16/2016	1.720000	2,025,000.00	2,025,000.00	1,548.00	0.00
			03/14/2018	1.720000	2,025,000.00	100.000000	BOOK	0.00
82988	YCD SVENSKA HANDELS	86958DY89	03/17/2016	.710000	25,000,000.00	25,025,615.40	7,395.83	25,109.91
			08/10/2016	.705000	25,000,505.49	100.102462	SUNGARD	0.00
82998	NCD UNION BANK OF C	62478TPK9	03/23/2016	.550000	15,000,000.00	15,004,592.94	2,062.50	4,592.94
			07/01/2016	.550000	15,000,000.00	100.030620	SUNGARD	0.00
83002	YCD CREDIT SUISSE N	22549VD42	03/29/2016	.910000	25,000,000.00	25,054,889.33	1,895.83	54,889.33
			09/12/2016	.910000	25,000,000.00	100.219557	SUNGARD	0.00
83003	NCD UNION BANK OF C	62478TPP8	03/29/2016	.770000	25,000,000.00	25,041,466.14	1,604.17	41,466.14
			09/23/2016	.770000	25,000,000.00	100.165865	SUNGARD	0.00
	<b>Subtotal</b>			.736193	818,800,000.00	819,548,458.36	1,385,638.35	747,952.87
				.736041	818,800,505.49	100.091409		0.00

#### Inv Type: 74 CERT OF DEPOSIT MEDIUM TERM

82760	CCCSIG MTN BMO HARR	05574BFW5	10/23/2015	1.000000	2,175,000.00	2,175,000.00	9,727.08	0.00
			04/24/2017	1.000000	2,175,000.00	100.000000	BOOK	0.00
	<b>Subtotal</b>			1.000000	2,175,000.00	2,175,000.00	9,727.08	0.00
				1.000000	2,175,000.00	100.000000		0.00

#### Inv Type: 75 CORPORATE NOTES

80653	CCCCD CORP WALT DIS	25468PCS3	06/14/2012	1.125000	135,000.00	135,441.45	194.06	692.55
			02/15/2017	1.165961	134,748.90	100.327000	SUNGARD	0.00
80654	CCCCD CORP WALT DIS	25468PCS3	06/14/2012	1.125000	90,000.00	90,294.30	129.38	370.98
			02/15/2017	1.203989	89,923.32	100.327000	SUNGARD	0.00
81054	CCCCD CORP CHEVRON	166764AA8	12/05/2012	1.104000	105,000.00	104,818.35	373.52	0.00
			12/05/2017	1.104000	105,000.00	99.827000	SUNGARD	-181.65
81217	CCCCD CORP BERKSHIR	084670BH0	02/11/2013	1.550000	245,000.00	247,280.95	548.53	2,621.50
			02/09/2018	1.579059	244,659.45	100.931000	SUNGARD	0.00
81413	CCCCD CORP APPLE IN	037833AJ9	05/03/2013	1.000000	175,000.00	175,360.50	719.44	1,006.25
			05/03/2018	1.076001	174,354.25	100.206000	SUNGARD	0.00
81703	CORP TOYOTA MTR CRD	89233P6S0	11/15/2013	1.250000	5,000,000.00	5,008,650.00	30,555.56	64,150.00
			10/05/2017	1.545080	4,944,500.00	100.173000	SUNGARD	0.00
81789	CORP MICROSOFT CORP	594918AV6	01/10/2014	1.625000	6,406,000.00	6,527,778.06	33,253.37	159,317.22
			12/06/2018	1.750063	6,368,460.84	101.901000	SUNGARD	0.00
81813	CORP INTEL STRUCTUR	458140AL4	01/27/2014	1.350000	5,211,000.00	5,253,313.32	20,713.74	73,683.54



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			12/15/2017	1.510075	5,179,629.78	100.812000	SUNGARD	0.00
81899	CORP WELLS FARGO &	94974BFG0	04/07/2014	1.500000	5,000,000.00	5,029,350.00	15,625.00	69,450.00
			01/16/2018	1.720116	4,959,900.00	100.587000	SUNGARD	0.00
81991	CCCSIG CORP APPLE I	037833AM2	05/06/2014	1.050000	1,500,000.00	1,505,685.00	6,343.75	6,480.00
			05/05/2017	1.067075	1,499,205.00	100.379000	SUNGARD	0.00
82116	CCCSIG CORP WELLS F	94974BGB0	09/09/2014	1.400000	810,000.00	811,441.80	724.50	2,243.70
			09/08/2017	1.433868	809,198.10	100.178000	SUNGARD	0.00
82197	CCCSIG CORP CHEVRON	166764AL4	11/18/2014	1.345000	350,000.00	352,107.00	1,778.39	2,107.00
			11/15/2017	1.345000	350,000.00	100.602000	SUNGARD	0.00
82258	CORP CHEVRON CORP	166764AA8	12/15/2014	1.104000	10,000,000.00	9,982,700.00	35,573.33	25,190.00
			12/05/2017	1.250044	9,957,510.00	99.827000	SUNGARD	0.00
82290	CCCSIG CORP TOYOTA	89236TCA1	01/12/2015	1.450000	220,000.00	221,119.80	700.03	1,421.20
			01/12/2018	1.496870	219,698.60	100.509000	SUNGARD	0.00
82346	CCCCD CORP MERCK &	58933YAD7	01/23/2015	.700000	1,590,000.00	1,590,302.10	4,111.92	0.00
			05/18/2016	.435141	1,595,533.20	100.019000	SUNGARD	-5,231.10
82348	CCCCD CORP JOHN DEE	24422ERF8	01/23/2015	1.850000	1,560,000.00	1,567,222.80	1,282.67	0.00
			09/15/2016	.616979	1,591,418.40	100.463000	SUNGARD	-24,195.60
82349	CCCCD CORP IBM CORP	459200GX3	01/23/2015	1.950000	1,565,000.00	1,571,776.45	5,849.19	0.00
			07/22/2016	.490189	1,599,038.75	100.433000	SUNGARD	-27,262.30
82351	CCCCD CORP AMERICAN	0258M0DC0	01/23/2015	2.800000	1,525,000.00	1,537,977.75	1,423.33	0.00
			09/19/2016	.840060	1,574,028.75	100.851000	SUNGARD	-36,051.00
82352	CCCCD CORP WELLS FA	94974BFL9	01/23/2015	1.250000	1,590,000.00	1,592,814.30	3,919.80	0.00
			07/20/2016	.787164	1,600,891.50	100.177000	SUNGARD	-8,077.20
82353	CCCCD CORP US BANK	90331HMC4	01/23/2015	1.100000	1,585,000.00	1,588,518.70	2,954.26	0.00
			01/30/2017	.828281	1,593,606.55	100.222000	SUNGARD	-5,087.85
82366	CCCCD CORP WELLS FA	94974BFL9	01/23/2015	1.250000	1,985,000.00	1,988,513.45	4,893.58	0.00
			07/20/2016	.787164	1,998,597.25	100.177000	SUNGARD	-10,083.80
82367	CCCCD CORP IBM CORP	459200GX3	01/23/2015	1.950000	1,960,000.00	1,968,486.80	7,325.50	0.00
			07/22/2016	.490189	2,002,630.00	100.433000	SUNGARD	-34,143.20
82368	CCCCD CORP JOHN DEE	24422ERF8	01/23/2015	1.850000	1,950,000.00	1,959,028.50	1,603.33	0.00
			09/15/2016	.616979	1,989,273.00	100.463000	SUNGARD	-30,244.50
82369	CCCCD CORP MERCK &	58933YAD7	01/23/2015	.700000	1,990,000.00	1,990,378.10	5,146.36	0.00
			05/18/2016	.435141	1,996,925.20	100.019000	SUNGARD	-6,547.10
82370	CCCCD CORP AMERICAN	0258M0DC0	01/23/2015	2.800000	1,905,000.00	1,921,211.55	1,777.99	0.00
			09/19/2016	.840060	1,966,245.75	100.851000	SUNGARD	-45,034.20
82371	CCCCD CORP US BANK	90331HMC4	01/23/2015	1.100000	1,980,000.00	1,984,395.60	3,690.50	0.00
			01/30/2017	.828281	1,990,751.40	100.222000	SUNGARD	-6,355.80



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### 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
82375	CCCSIG CORP IBM COR	459200HZ7	02/06/2015	1.125000	1,880,000.00	1,883,402.80	3,231.25	9,136.80
			02/06/2018	1.228864	1,874,266.00	100.181000	SUNGARD	0.00
82376	CCCCD CORP IBM CORP	459200HZ7	02/06/2015	1.125000	160,000.00	160,289.60	275.00	777.60
			02/06/2018	1.228864	159,512.00	100.181000	SUNGARD	0.00
82386	CORP IBM CORP	459200HZ7	02/11/2015	1.125000	5,000,000.00	5,009,050.00	8,593.75	30,950.00
			02/06/2018	1.274939	4,978,100.00	100.181000	SUNGARD	0.00
82404	CCCSIG CORP CHEVRON	166764AV2	03/03/2015	1.365000	1,065,000.00	1,068,791.40	1,171.06	3,791.40
			03/02/2018	1.365000	1,065,000.00	100.356000	SUNGARD	0.00
82416	CCCSIG CORP EXXON M	30231GAL6	03/06/2015	1.305000	1,565,000.00	1,572,026.85	1,418.29	7,026.85
			03/06/2018	1.305000	1,565,000.00	100.449000	SUNGARD	0.00
82417	CCCCD CORP EXXON MO	30231GAL6	03/06/2015	1.305000	125,000.00	125,561.25	113.28	561.25
			03/06/2018	1.305000	125,000.00	100.449000	SUNGARD	0.00
82418	CORP CHEVRON CORP	166764AV2	03/09/2015	1.365000	5,000,000.00	5,017,800.00	5,497.92	18,710.47
			03/02/2018	1.372881	4,999,089.53	100.356000	SUNGARD	0.00
82420	CCCCD CORP AMERICAN	02665WAT8	03/13/2015	1.500000	130,000.00	130,703.30	97.50	877.50
			03/13/2018	1.545883	129,825.80	100.541000	SUNGARD	0.00
82513	CCCCD CORP GENERAL	36962G4D3	04/15/2015	6.000000	100,000.00	115,288.00	900.00	0.00
			08/07/2019	1.743001	117,603.00	115.288000	SUNGARD	-2,315.00
82554	CORP APPLE INC	037833AJ9	05/12/2015	1.000000	10,000,000.00	10,020,600.00	41,111.11	95,500.00
			05/03/2018	1.257267	9,925,100.00	100.206000	SUNGARD	0.00
82560	CCCSIG CORP APPLE I	037833BB5	05/13/2015	.900000	565,000.00	565,875.75	1,949.25	1,265.60
			05/12/2017	.934955	564,610.15	100.155000	SUNGARD	0.00
82574	CCCSIG CORP BK OF N	06406HDB2	05/29/2015	1.600000	1,600,000.00	1,612,048.00	9,173.33	12,192.00
			05/22/2018	1.603145	1,599,856.00	100.753000	SUNGARD	0.00
82575	CCCCD CORP BK OF NE	06406HDB2	05/29/2015	1.600000	125,000.00	125,941.25	716.67	952.50
			05/22/2018	1.603145	124,988.75	100.753000	SUNGARD	0.00
82581	CORP JP MORGAN CHAS	46625HJL5	06/02/2015	1.625000	5,000,000.00	5,010,250.00	30,694.44	15,000.00
			05/15/2018	1.658000	4,995,250.00	100.205000	SUNGARD	0.00
82586	CCCSIG CORP CISCO S	17275RAU6	06/17/2015	1.650000	1,725,000.00	1,749,305.25	8,380.63	24,598.50
			06/15/2018	1.655855	1,724,706.75	101.409000	SUNGARD	0.00
82587	CCCCD CORP CISCO SY	17275RAU6	06/17/2015	1.650000	130,000.00	131,831.70	631.58	1,853.80
			06/15/2018	1.655855	129,977.90	101.409000	SUNGARD	0.00
82598	CCCSIG CORP WELLS F	94974BGB0	07/07/2015	1.400000	1,100,000.00	1,101,958.00	983.89	0.00
			09/08/2017	1.252137	1,103,465.00	100.178000	SUNGARD	-1,507.00
82620	CCCSIG CORP TOYOTA	89236TCP8	07/13/2015	1.550000	410,000.00	413,653.10	1,376.92	4,001.60
			07/13/2018	1.579121	409,651.50	100.891000	SUNGARD	0.00
82621	CORP TOYOTA MOTOR C	89236TCP8	07/16/2015	1.550000	5,000,000.00	5,044,550.00	16,791.67	47,050.00



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82634	CCCCD CORP PEPSICO	713448CW6	07/13/2018	1.567156	4,997,500.00	100.891000	SUNGARD	0.00
			07/17/2015	1.125000	100,000.00	100,414.00	231.25	446.00
			07/17/2017	1.139621	99,968.00	100.414000	SUNGARD	0.00
82658	CCCSIG CORP 3M COMP	88579YAP6	08/07/2015	1.375000	1,340,000.00	1,355,879.00	2,763.75	18,264.20
			08/07/2018	1.435833	1,337,614.80	101.185000	SUNGARD	0.00
82693	CORP JP MORGAN CHAS	46623EKD0	09/15/2015	1.700000	5,000,000.00	5,027,000.00	7,083.33	35,300.00
			03/01/2018	1.769114	4,991,700.00	100.540000	SUNGARD	0.00
82712	CCCCD CORP PFIZER I	717081DD2	09/29/2015	.900000	1,550,000.00	1,550,542.50	2,945.00	0.00
			01/15/2017	.739645	1,553,193.00	100.035000	SUNGARD	-2,650.50
82713	CCCCD CORP PFIZER I	717081DL4	09/29/2015	2.100000	1,960,000.00	2,018,427.60	15,549.33	34,358.80
			05/15/2019	1.748923	1,984,068.80	102.981000	SUNGARD	0.00
82714	CCCCD CORP GOLDMAN	38147MAA3	09/29/2015	2.900000	1,510,000.00	1,545,258.50	8,758.00	0.00
			07/19/2018	1.927831	1,549,879.10	102.335000	SUNGARD	-4,620.60
82715	CCCCD CORP GOLDMAN	38147MAA3	09/29/2015	2.900000	1,930,000.00	1,975,065.50	11,194.00	0.00
			07/19/2018	1.927831	1,980,971.30	102.335000	SUNGARD	-5,905.80
82716	CCCCD CORP MICROSOFT	594918AC8	09/29/2015	4.200000	1,400,000.00	1,536,710.00	19,600.00	7,420.00
			06/01/2019	1.599996	1,529,290.00	109.765000	SUNGARD	0.00
82717	CCCCD CORP US BANCO	91159HHH6	09/29/2015	2.200000	1,950,000.00	1,986,504.00	18,590.00	3,568.50
			04/25/2019	1.710407	1,982,935.50	101.872000	SUNGARD	0.00
82718	CCCCD CORP CISCO SY	17275RAE2	09/29/2015	4.950000	1,795,000.00	1,986,293.15	11,353.38	3,105.35
			02/15/2019	1.739996	1,983,187.80	110.657000	SUNGARD	0.00
82719	CCCCD CORP BB&T CAL	05531FAQ6	09/29/2015	2.250000	1,960,000.00	1,993,339.60	7,350.00	13,014.40
			02/01/2019	1.927457	1,980,325.20	101.701000	SUNGARD	0.00
82779	CCCSIG CORP MICROSO	594918BF0	11/03/2015	1.300000	1,590,000.00	1,588,410.00	8,497.67	0.00
			11/03/2018	1.334116	1,588,410.00	99.900000	BOOK	0.00
82908	CCCCD CORP CITIGROU	172967JE2	01/13/2016	1.850000	1,490,000.00	1,493,367.40	9,724.32	4,574.30
			11/24/2017	1.893961	1,492,545.00	100.226000	SUNGARD	0.00
82910	CCCCD CORP BANK OF	060505DP6	01/13/2016	5.750000	1,390,000.00	1,477,041.80	26,641.66	0.00
			12/01/2017	2.061870	1,493,510.98	106.262000	SUNGARD	-7,144.60
82917	CCCCD CORP HSBC USA	40428HPU0	01/21/2016	2.000000	1,945,000.00	1,951,068.40	5,835.00	3,481.55
			08/07/2018	1.946012	1,947,586.85	100.312000	SUNGARD	0.00
82924	KFPD CORP AUST & NZ	05253JAH4	01/29/2016	1.500000	250,000.00	250,360.00	781.25	497.50
			01/16/2018	1.528436	249,997.92	100.144000	SUNGARD	0.00
82925	KFPD CORP HSBC	40428HPH9	01/25/2016	1.625000	250,000.00	249,565.00	846.35	190.00
			01/16/2018	1.754255	249,476.56	99.826000	SUNGARD	0.00
82940	CORP IBM CORP	459200HZ7	02/08/2016	1.125000	5,000,000.00	5,009,050.00	8,593.75	13,100.00
			02/06/2018	1.166196	4,996,262.50	100.181000	SUNGARD	0.00



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82950	CCCSIG CORP TOYOTA	89236TCU7	02/19/2016	1.700000	870,000.00	878,117.10	1,725.50	8,221.50
			02/19/2019	1.704120	869,895.60	100.933000	SUNGARD	0.00
82960	CCCSIG CORP CISCO S	17275RBA9	02/29/2016	1.400000	940,000.00	947,914.80	1,169.78	7,914.80
			02/28/2018	1.400000	940,000.00	100.842000	SUNGARD	0.00
82962	CCCSIG CORP JOHNSON	478160BR4	03/01/2016	1.125000	720,000.00	719,913.60	675.00	0.00
			03/01/2019	1.129079	719,913.60	99.988000	BOOK	0.00
82975	CORP WELLS FARGO &	949746RS2	03/07/2016	2.500000	5,000,000.00	4,989,750.00	9,375.00	0.00
			03/04/2021	2.543964	4,990,791.67	99.795000	BOOK	0.00
82984	CCCSIG CORP BERKSHI	084664CG4	03/15/2016	1.700000	330,000.00	334,580.40	249.33	4,831.20
			03/15/2019	1.726104	329,749.20	101.388000	SUNGARD	0.00
82985	CORP EXXON MOBIL CO	30231GAP7	03/15/2016	1.708000	3,500,000.00	3,546,165.00	4,649.56	46,165.00
			03/01/2019	1.708000	3,501,992.67	101.319000	SUNGARD	0.00
<b>Subtotal</b>				1.640603	140,882,000.00	142,075,630.23	508,500.78	887,432.91
				1.412982	141,467,496.42	100.847255		-262,638.80

#### 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	1,527.78	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	10,555.89	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	9,511.10	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	15,075.67	0.00
			11/06/2017	1.560000	2,450,000.00	100.000000	BOOK	0.00
<b>Subtotal</b>				1.265482	8,600,000.00	8,596,780.00	36,670.44	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	.832100	1,340,000.00	1,340,000.00	1,145.99	0.00
			08/24/2017	.832100	1,340,000.00	100.000000	BOOK	0.00
<b>Subtotal</b>				.907591	3,515,000.00	3,515,000.00	3,682.31	0.00
				.907591	3,515,000.00	100.000000		0.00



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## 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
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### Inv Type: 99 MONEY MARKET ACCOUNTS

81524	AUHSB MM DREYFUS TA	26202K205	06/27/2013	.000000	537,226.12	537,226.12	0.00	0.00
			04/01/2016	.000000	537,226.12	100.000000	BOOK	0.00
81525	AUHSB MM DREYFUS TA	26202K205	06/27/2013	.000000	28,092.20	28,092.20	0.00	0.00
			04/01/2016	.000000	28,092.20	100.000000	BOOK	0.00
<b>Subtotal</b>				.000000	565,318.32	565,318.32	0.00	0.00
				.000000	565,318.32	100.000000		0.00

### 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	37.69	0.00
			05/24/2017	.600000	3,335.77	100.000000	BOOK	0.00
<b>Subtotal</b>				.600000	3,335.77	3,335.77	37.69	0.00
				.600000	3,335.77	100.000000		0.00

Grand Total			Count 415	.857579	2,703,030,796.23	2,707,085,155.22	5,283,502.98	5,051,211.00
				.825117	2,701,750,532.54	100.149993		-1,212,174.14



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### Contra Costa County

Assets (000's)	Current Par	Current Book	Market	MKT/Book	Un Gain/Loss	Yield
U.S. TREASURIES	33,425.00	33,553.79	33,711.45	100.47 %	167.46	1.03 %
U.S. AGENCIES	649,850.00	651,056.00	652,687.91	100.25 %	1,689.01	0.99 %
MUNICIPALS	3,645.00	3,777.16	3,777.16	100.00 %	0.00	1.19 %
COMMERCIAL PAPER	1,021,430.00	1,018,109.64	1,020,277.94	100.21 %	581.87	0.69 %
NCD/YCD	833,090.00	833,087.29	833,835.24	100.09 %	747.95	0.74 %
CORPORATE NOTES	140,882.00	141,467.50	142,075.63	100.43 %	624.79	1.41 %
MBS/ABS	5,140.14	5,149.02	5,149.02	100.00 %	0.00	1.18 %
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 %
SUPRANATIONAL	15,000.00	14,981.49	15,002.15	100.14 %	27.95	1.19 %
Totals(000's)	2,703,030.80	2,701,750.53	2,707,085.16	100.20 %	3,839.04	0.83 %

Asset Allocation



## Inventory by Market Value

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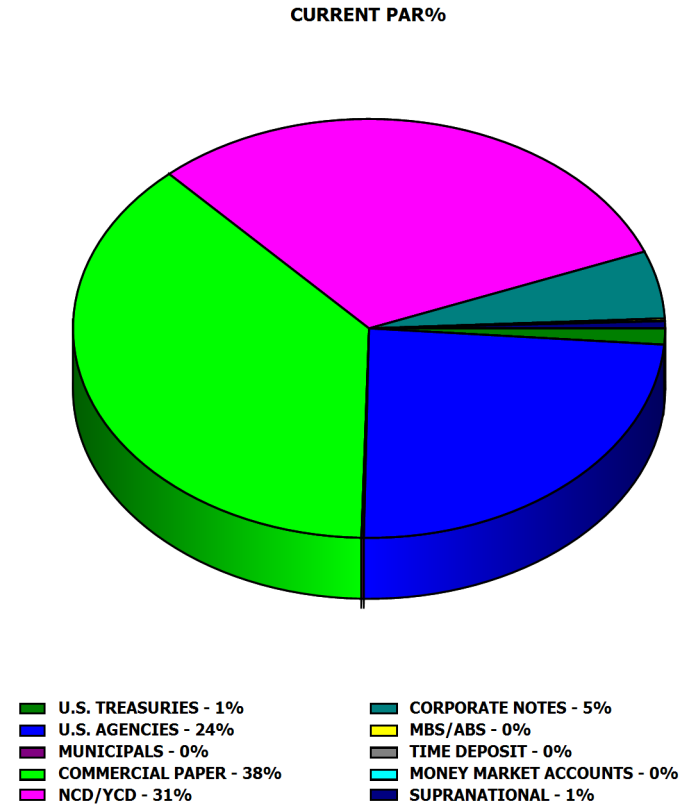
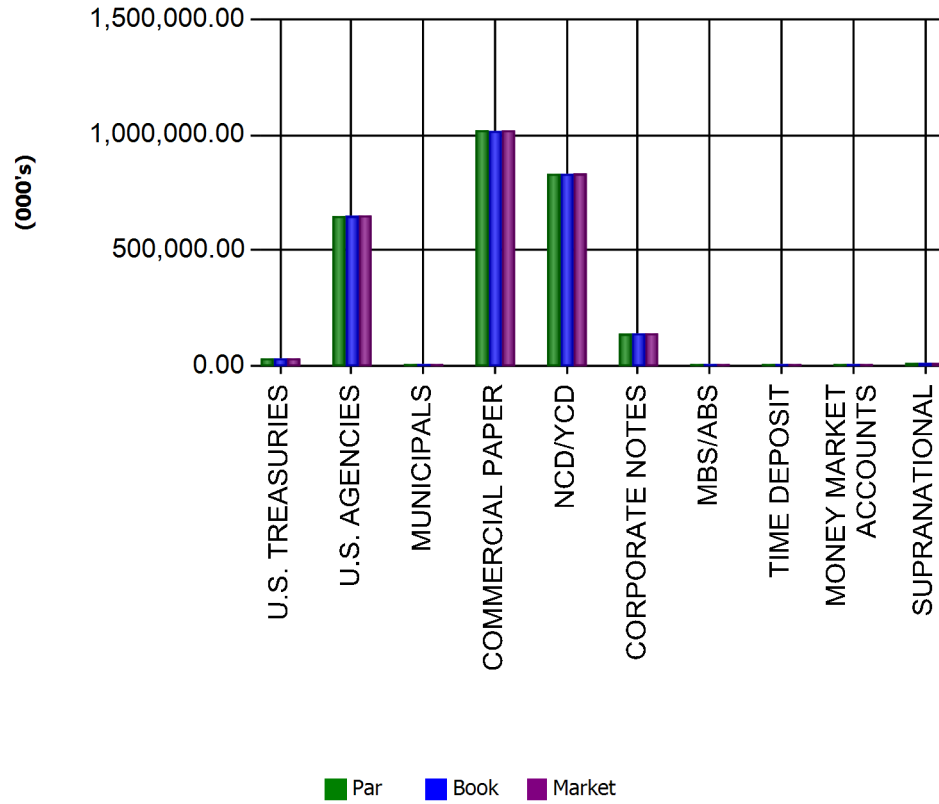
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### Contra Costa County





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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 FFCBs 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 MARCH 31, 2016**

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<b>CALIFORNIA STATE LOCAL AGENCY INVESTMENT ACCOUNTS</b>	<b>STATE CONTROLLER ACCOUNT NUMBER</b>	<b>ACCOUNT BALANCE</b>	<b>ESTIMATED FAIR VALUE</b>
ACALANES UNION HIGH SCHOOL	75-07-010	949,248.16	949,458.00
ANTIOCH UNIFIED SCHOOL DISTRICT	75-07-005	826,744.89	826,927.65
BRENTWOOD UNION SCHOOL DISTRICT	75-07-013	8,143,652.16	8,145,452.40
BYRON UNION SCHOOL DISTRICT	75-07-017	165,624.55	165,661.16
CANYON ELEMENTARY SCHOOL DISTRICT	75-07-018	192,552.10	192,594.67
CENTRAL CONTRA COSTA SANITARY DISTRICT	70-07-001	31,500,000.00	31,506,963.39
CONTRA COSTA COMMUNITY COLLEGE	75-07-001	616,144.97	616,281.18
CONTRA COSTA COUNTY	99-07-000	65,000,000.00	65,014,368.90
CONTRA COSTA COUNTY OFFICE OF EDUCATION	75-07-007	1,282,834.17	1,283,117.75
CONTRA COSTA COUNTY SCHOOL INSURANCE GROUP	35-07-001	2,233,216.45	2,233,710.12
CROCKETT COMMUNITY SERVICES DISTRICT	16-07-004	2,493,530.96	2,494,082.18
DELTA DIABLO SANITATION DISTRICT	70-07-003	72,637.29	72,653.35
EAST CONTRA COSTA REG FEE & FINANCING AUTH	40-07-006	1,009,980.79	1,010,204.06
JOHN SWETT UNIFIED SCHOOL DISTRICT	75-07-020	0.00	0.00
KENSINGTON FIRE PROTECTION DISTRICT	17-07-011	1,279,918.14	1,280,201.08
KENSINGTON POLICE PROTECTION & COMMUNITY SERVICES DISTRICT	16-07-003	1,212,873.80	1,213,141.92
LAFAYETTE SCHOOL DISTRICT	75-07-012	4,998,858.87	4,999,963.92
MARTINEZ UNIFIED SCHOOL DISTRICT	75-07-011	3,823,110.55	3,823,955.69
MORAGA ORINDA FIRE DISTRICT	17-07-003	15,078.23	15,081.56
MT DIABLO UNIFIED SCHOOL DISTRICT	75-07-008	5,218,057.21	5,219,210.71
MT VIEW SANITARY DISTRICT	70-07-008	8,958,370.68	8,960,351.02
OAKLEY UNION SCHOOL DISTRICT	75-07-009	247,381.23	247,435.92
ORINDA UNION SCHOOL DISTRICT	75-07-015	7,412,000.35	7,413,638.85
PITTSBURG UNIFIED SCHOOL DISTRICT	75-07-002	32,487,918.44	32,495,100.22
RECLAMATION DISTRICT 800	60-07-003	5,312,252.74	5,313,427.07
REDEVELOPMENT AGENCY	65-07-015	6,989.11	6,990.66
RODEO -HERCULES FIRE PROTECTION DISTRICT	17-07-001	105,910.98	105,934.39
SAN RAMON VALLEY UNIFIED SCHOOL DISTRICT	75-07-004	239,701.57	239,754.56
WALNUT CREEK SCHOOL DISTRICT	75-07-003	0.00	0.00
WEST CONTRA COSTA UNIFIED SCHOOL DISTRICT	75-07-014	8,436,000.00	8,437,864.86
	TOTAL	<u>194,240,588.39</u>	<u>194,283,527.21</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 (Q1 Y2016)

01/01/2016 - 03/31/2016

Dated: 04/05/2016

Locked Down

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Dated: 04/05/2016

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Risk Summary

01/01/2016 - 03/31/2016

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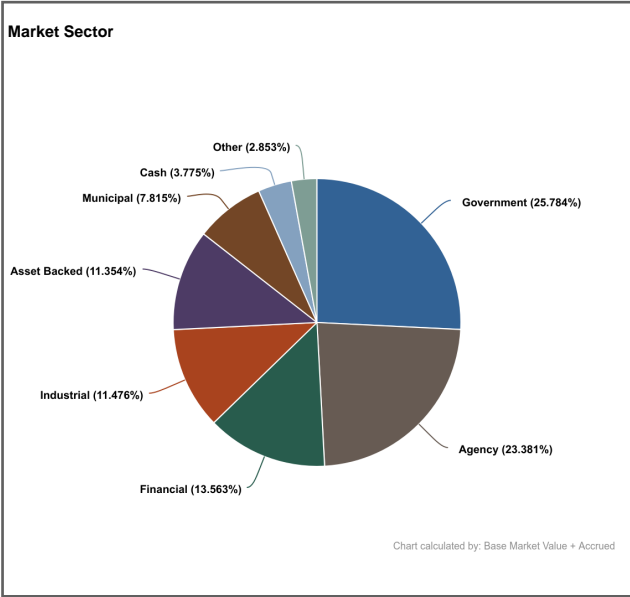
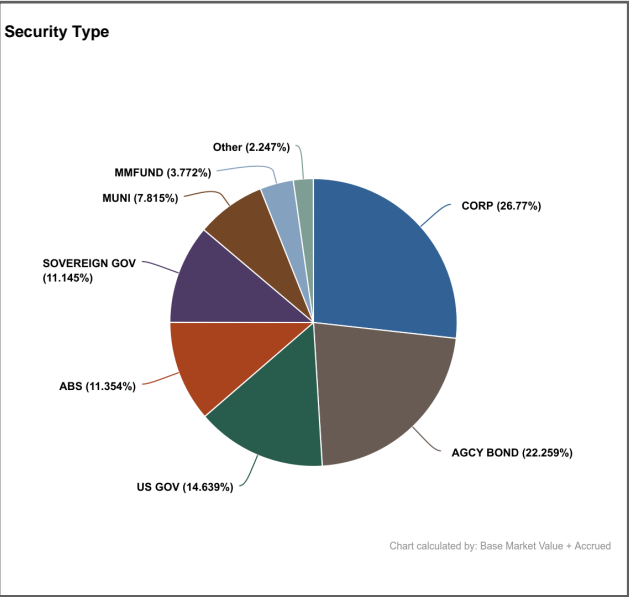
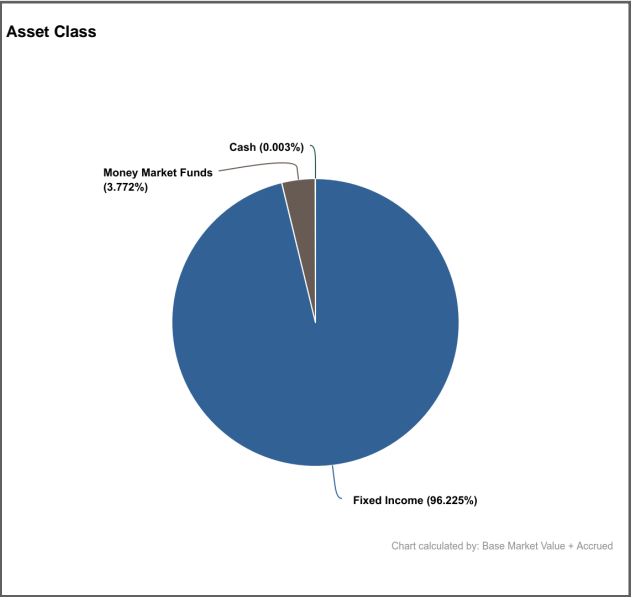
WC-Contra Costa County (19529)

Dated: 04/05/2016

Balance Sheet	
Book Value + Accrued	44,495,161.05
Net Unrealized Gain/Loss	17,817.64
Market Value + Accrued	44,512,978.68

Cash and Fixed Income Summary	
Risk Metric	Value
Cash	1,202.50
MMFund	1,678,975.85
Fixed Income	42,832,800.33
Duration	0.521
Convexity	0.005
WAL	0.731
Years to Final Maturity	0.904
Years to Effective Maturity	0.722
Yield	0.726
Book Yield	0.744
Avg Credit Rating	AA+/Aa1/AA+

Issuer Concentration	
Issuer Concentration	% of Base Market Value + Accrued
Wells Fargo Funds Trust	3.772%
International Bank for Reconstruction & Development	7.539%
Inter-American Development Bank	3.606%
Government of the United States	16.050%
Federal National Mortgage Association Fannie Mae	2.268%
Federal Home Loan Mortgage Corp	5.056%
Federal Home Loan Banks Office of Finance	12.400%
Other	49.309%
---	100.000%



# Risk Summary

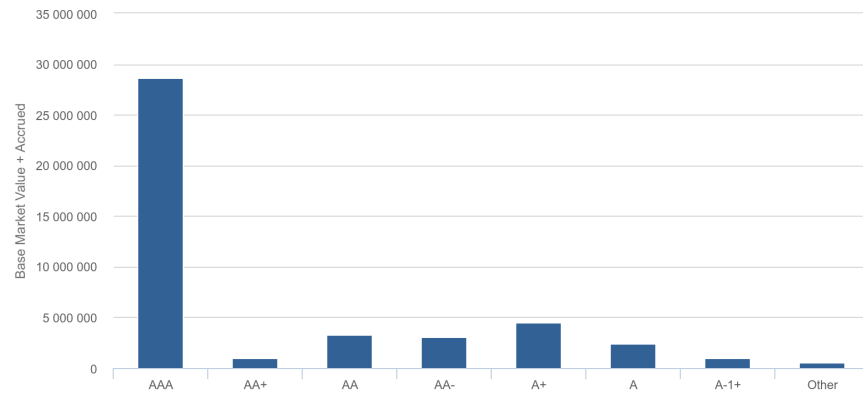
01/01/2016 - 03/31/2016

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WC-Contra Costa County (19529)

Dated: 04/05/2016

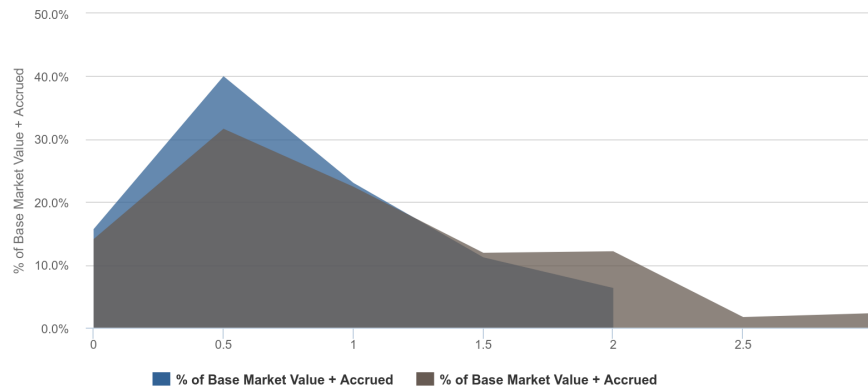
Credit Rating



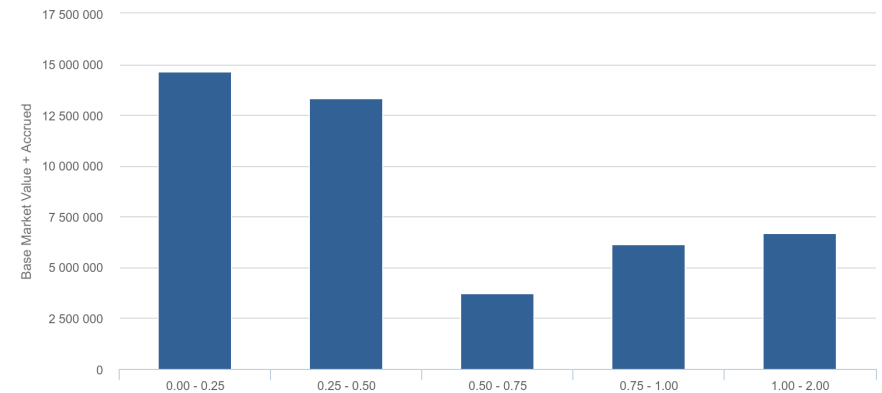
Credit Duration Heat Map

Rating	0 - 1	1 - 2	2 - 3	3 - 4	4 - 5	5 - 7	7 - 10	10 - 15	15 - 30
AAA	55.099%	11.580%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
AA	13.177%	3.477%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
A	16.668%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
BBB	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
BB	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
B	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
CCC	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
CC	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
C	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%
NA	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%	0.000%

Time To Maturity



Duration





Risk Summary

01/01/2016 - 03/31/2016

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WC-Contra Costa County (19529)

Dated: 04/05/2016

Base Exposure - Industry Sector

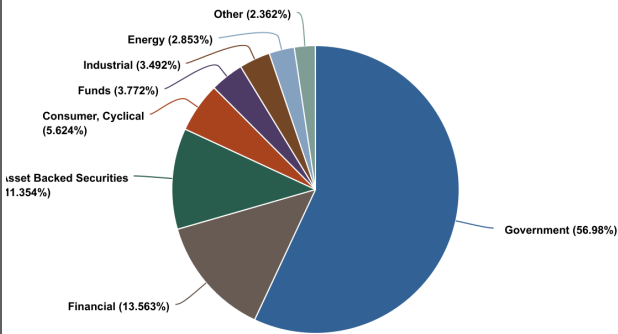


Chart calculated by: % of Base Market Value + Accrued

Base Exposure - Industry Group

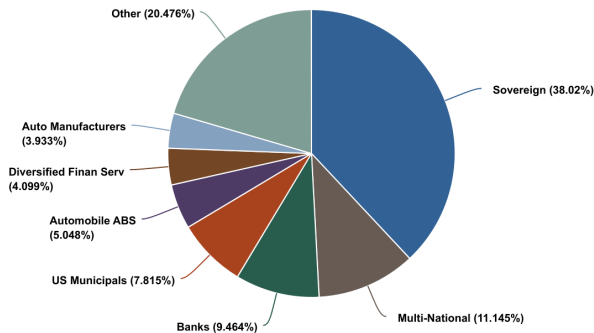


Chart calculated by: % of Base Market Value + Accrued

Base Exposure - Industry Subgroup

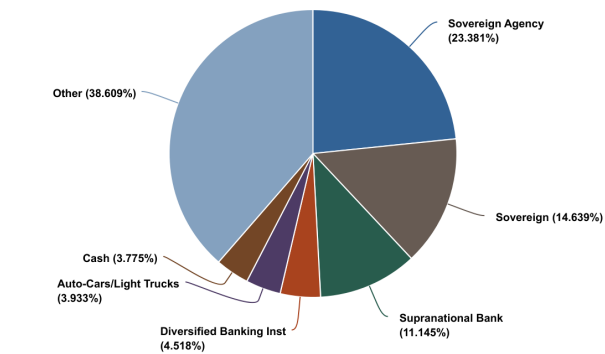


Chart calculated by: % of Base Market Value + Accrued

MMF Asset Allocation

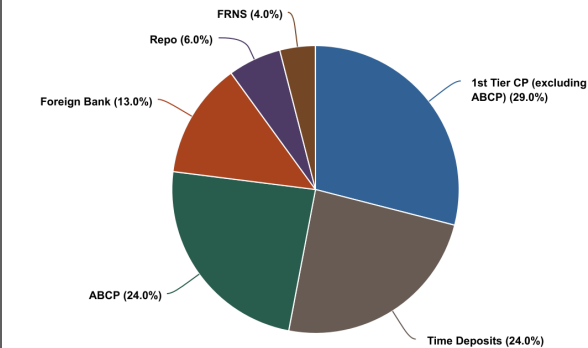


Chart calculated by: Base Market Value

Currency

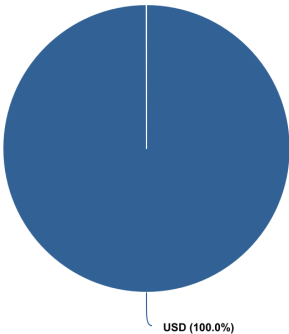


Chart calculated by: Base Market Value + Accrued

Country

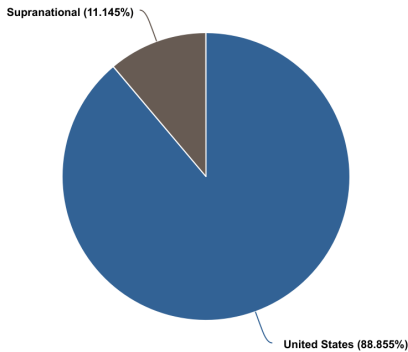


Chart calculated by: Base Market Value + Accrued

# Performance Summary Gross of Fees

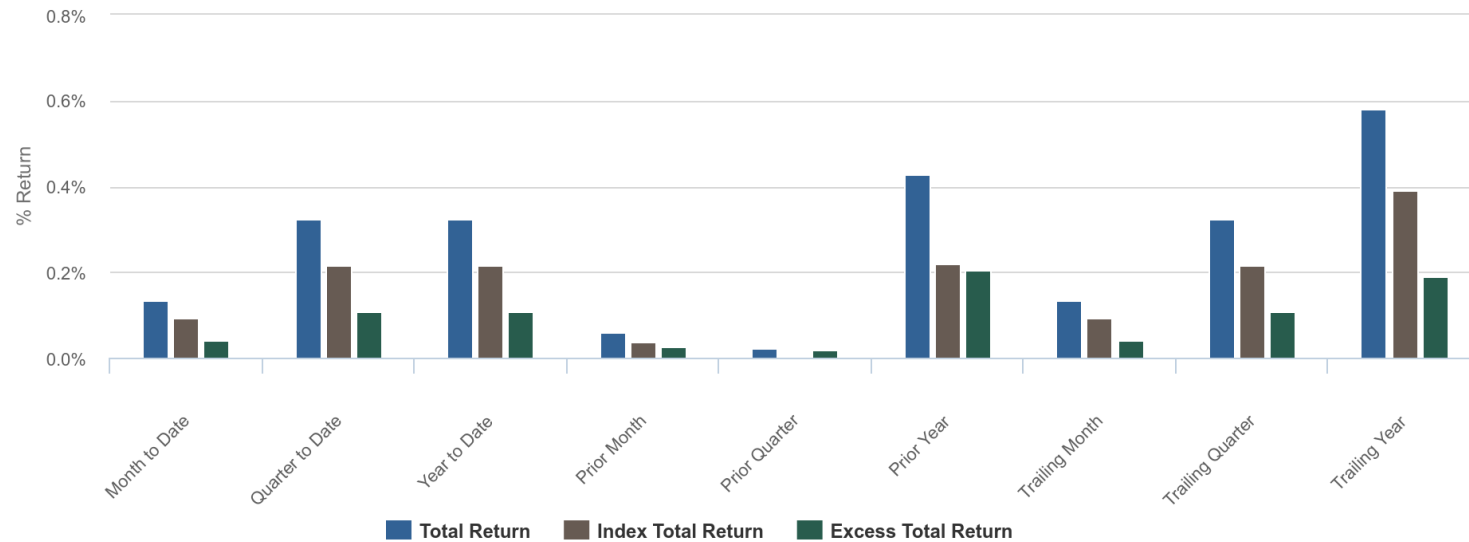
WC-Contra Costa County (19529)

Base Currency: USD As of 03/31/2016

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Dated: 04/05/2016

## Performance Summary



Period	Period Begin	Period End	Total Return	Index Total Return	Excess Total Return
Month to Date	03/01/2016	03/31/2016	0.132%	0.092%	0.040%
Quarter to Date	01/01/2016	03/31/2016	0.324%	0.215%	0.109%
Year to Date	01/01/2016	03/31/2016	0.324%	0.215%	0.109%
Prior Month	02/01/2016	02/29/2016	0.061%	0.036%	0.025%
Prior Quarter	10/01/2015	12/31/2015	0.021%	0.003%	0.018%
Prior Year	01/01/2015	12/31/2015	0.427%	0.221%	0.206%
Trailing Month	03/01/2016	03/31/2016	0.132%	0.092%	0.040%
Trailing Quarter	01/01/2016	03/31/2016	0.324%	0.215%	0.109%
Trailing Year	04/01/2015	03/31/2016	0.579%	0.389%	0.189%

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 (G0O2)	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 03/31/2016

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Dated: 04/05/2016

Begin Date	End Date	Return Type	Fee Options	Tax Options
04/01/2001	01/31/2011	Total Return	Net of Fees, Gross of Fees	Gross Down Method, Gross Up Method, No Tax Adjustment
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, Gross Up Method, No Tax Adjustment

Reported Index Return is always Total Return.

# Performance Summary Net of Fees

WC-Contra Costa County (19529)

Base Currency: USD As of 03/31/2016

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Dated: 04/05/2016

## Performance Summary



Period	Period Begin	Period End	Total Return	Index Total Return	Excess Total Return
Month to Date	03/01/2016	03/31/2016	0.123%	0.092%	0.030%
Quarter to Date	01/01/2016	03/31/2016	0.296%	0.215%	0.080%
Year to Date	01/01/2016	03/31/2016	0.296%	0.215%	0.080%
Prior Month	02/01/2016	02/29/2016	0.051%	0.036%	0.015%
Prior Quarter	10/01/2015	12/31/2015	-0.007%	0.003%	-0.010%
Prior Year	01/01/2015	12/31/2015	0.313%	0.221%	0.092%
Trailing Month	03/01/2016	03/31/2016	0.123%	0.092%	0.030%
Trailing Quarter	01/01/2016	03/31/2016	0.296%	0.215%	0.080%
Trailing Year	04/01/2015	03/31/2016	0.465%	0.389%	0.075%

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 (G0O2)	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 03/31/2016

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Dated: 04/05/2016

Begin Date	End Date	Return Type	Fee Options	Tax Options
04/01/2001	01/31/2011	Total Return	Net of Fees, Gross of Fees	Gross Down Method, Gross Up Method, No Tax Adjustment
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, Gross Up Method, No Tax Adjustment

Reported Index Return is always Total Return.

# GAAP Financials

01/01/2016 - 03/31/2016

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WC-Contra Costa County (19529)

Dated: 04/05/2016

Balance Sheet		
WC-Contra Costa County		
As of:	12/31/2015	03/31/2016
Book Value	44,321,585.83	44,393,589.63
Accrued Balance	112,601.55	101,571.42
<b>Book Value + Accrued</b>	44,434,187.38	44,495,161.05
Net Unrealized Gain/Loss	-52,374.67	17,817.64
<b>Market Value + Accrued</b>	44,381,812.71	44,512,978.68

Income Statement		
WC-Contra Costa County		
	Begin Date	01/01/2016
	End Date	03/31/2016
<b>Net Amortization/Accretion Income</b>		-38,408.28
Interest Income	111,988.26	
Dividend Income	0.00	
Misc Income	0.00	
<b>Income Subtotal</b>		111,988.26
Net Realized Gain/Loss	0.00	
Impairment Loss	0.00	
<b>Net Gain/Loss</b>		0.00
Expense	-12,606.32	
<b>Net Income</b>		60,973.67
Transfers In/Out		0.00
Change in Unrealized Gain/Loss		70,192.30

Statement of Cash Flows		
WC-Contra Costa County		
	Begin Date	01/01/2016
	End Date	03/31/2016
<b>Net Income</b>		60,973.67
Amortization/Accretion on MS	38,700.78	
Change in Accrued on MS	62,973.88	
Net Gain/Loss on MS	-0.00	
Change in Unrealized G/L on CE	27.84	
<b>Subtotal</b>		101,702.49
Purchases of MS	-14,011,474.47	
Purchased Accrued of MS	-62,010.42	
Sales of MS	1,471,951.70	
Sold Accrued of MS	10,066.67	
Maturities of MS	13,209,000.00	
<b>Net Purchases/Sales</b>		617,533.48
Transfers of Cash & CE		0.00
<b>Total Change in Cash &amp; CE</b>		780,209.64
Beginning Cash & CE		1,399,644.05
<b>Ending Cash &amp; CE</b>		2,179,853.69

# Income Detail

WC-Contra Costa County (19529)

Base Currency: USD 01/01/2016 - 03/31/2016

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Dated: 04/05/2016

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	1.073	09/20/2017	09/20/2017	0.00	0.00	0.00	1,297.52	0.00	1,297.52	09/24/2015
02665WAY7	250,000.00	AMERICAN HONDA FINANCE CORP	1.073	09/20/2017	09/20/2017	0.00	0.00	-7.46	570.88	0.00	563.42	01/12/2016
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	1.088	02/14/2017	02/14/2017	0.00	0.00	0.00	691.67	0.00	691.67	02/14/2014
06050TLU4	0.00	BANK OF AMERICA NA	1.088	02/14/2017	02/14/2017	0.00	0.00	0.00	519.75	0.00	519.75	02/14/2014
06050TMB5	250,000.00	BANK OF AMERICA NA	1.086	06/05/2017	06/05/2017	0.00	0.00	0.00	601.88	0.00	601.88	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	-3,079.87	4,312.50	0.00	1,232.63	01/21/2015
05531FAG8	0.00	BB&T CORP	3.20	03/15/2016	03/15/2016	0.00	0.00	-2,375.70	3,000.00	0.00	624.31	04/06/2015
084664CD1	750,000.00	BERKSHIRE HATHAWAY FINANCE CORP	0.921	01/12/2018	01/12/2018	0.00	0.00	0.00	1,677.38	0.00	1,677.38	01/15/2015
09247XAC5	500,000.00	BLACKROCK INC	6.25	09/15/2017	09/15/2017	0.00	0.00	-3,046.66	3,906.25	0.00	859.59	02/16/2016
05581RAC0	600,000.00	BMWLT-161-A2B	0.932	01/22/2018	05/02/2017	0.00	0.00	0.00	681.98	0.00	681.98	02/17/2016
097023BC8	750,000.00	BOEING CO	3.75	11/20/2016	11/20/2016	0.00	0.00	-5,363.38	7,031.25	0.00	1,667.87	01/26/2015
07330NAH8	700,000.00	BRANCH BANKING AND TRUST CO	1.00	04/03/2017	04/03/2017	0.00	0.00	216.74	738.89	0.00	955.63	02/23/2016
CCYUSD	-1.97	Cash	0.00	03/31/2016	03/31/2016	0.00	0.00	0.00	0.00	-12,606.32	-12,606.32	---
14912L4X6	775,000.00	CATERPILLAR FINANCIAL SERVICES CORP	2.05	08/01/2016	08/01/2016	0.00	0.00	-2,697.91	3,971.88	0.00	1,273.96	11/04/2014
17305EFE0	750,000.00	CCCIT-13A6-A6	1.32	09/07/2018	09/07/2016	0.00	0.00	-588.16	2,117.50	0.00	1,529.34	01/14/2016
161571GJ7	775,000.00	CHAIT 2014-A1 A1	1.15	01/15/2019	01/14/2017	0.00	0.00	-249.97	2,228.13	0.00	1,978.16	08/07/2015
166764AL4	700,000.00	CHEVRON CORP	1.345	11/15/2017	11/15/2017	0.00	0.00	191.59	1,621.47	0.00	1,813.06	01/29/2016
17275RAY8	750,000.00	CISCO SYSTEMS INC	0.944	06/15/2018	06/15/2018	0.00	0.00	0.00	1,601.53	0.00	1,601.53	06/17/2015
191216BR0	300,000.00	COCA-COLA CO	0.875	10/27/2017	10/27/2017	0.00	0.00	16.43	656.25	0.00	672.68	10/27/2015
30231GAS1	560,000.00	EXXON MOBIL CORP	1.232	02/28/2018	02/28/2018	0.00	0.00	0.00	555.59	0.00	555.59	03/03/2016
3133EFBT3	1,000,000.00	FEDERAL FARM CREDIT BANKS FUNDING CORP	0.42	09/01/2016	09/01/2016	0.00	0.00	49.73	1,050.00	0.00	1,099.73	09/01/2015
3133EDQW5	0.00	FEDERAL FARM CREDIT BANKS FUNDING CORP	0.29	01/21/2016	01/21/2016	0.00	0.00	49.07	161.11	0.00	210.18	08/01/2014
3130A4KE1	500,000.00	FEDERAL HOME LOAN BANKS	0.33	04/01/2016	04/01/2016	0.00	0.00	19.10	412.50	0.00	431.60	04/01/2015
3130A3J70	1,000,000.00	FEDERAL HOME LOAN BANKS	0.625	11/23/2016	11/23/2016	0.00	0.00	-349.24	1,562.50	0.00	1,213.26	05/18/2015
3130A2T97	1,000,000.00	FEDERAL HOME LOAN BANKS	0.50	09/28/2016	09/28/2016	0.00	0.00	-281.60	1,250.00	0.00	968.40	10/15/2015
3130A2T97	500,000.00	FEDERAL HOME LOAN BANKS	0.50	09/28/2016	09/28/2016	0.00	0.00	-103.75	625.00	0.00	521.25	09/30/2015
313384SS9	0.00	FEDERAL HOME LOAN BANKS	0.00	02/05/2016	02/05/2016	0.00	0.00	243.06	0.00	0.00	243.06	02/06/2015
313384ZK8	500,000.00	FEDERAL HOME LOAN BANKS	0.00	07/15/2016	07/15/2016	0.00	0.00	770.97	0.00	0.00	770.97	12/23/2015
3130A3XU3	0.00	FEDERAL HOME LOAN BANKS	0.25	01/22/2016	01/22/2016	0.00	0.00	7.58	145.84	0.00	153.42	01/27/2015
313379FW4	1,000,000.00	FEDERAL HOME LOAN BANKS	1.00	06/09/2017	06/09/2017	0.00	0.00	-7.03	0.00	0.00	-7.03	03/31/2016
313373SZ6	1,000,000.00	FEDERAL HOME LOAN BANKS	2.125	06/10/2016	06/10/2016	0.00	0.00	-4,018.14	5,312.50	0.00	1,294.36	07/16/2014
3136FPET0	0.00	FEDERAL NATIONAL MORTGAGE ASSOCIATION	2.00	03/10/2016	03/10/2016	0.00	0.00	-3,146.40	3,833.33	0.00	686.93	03/26/2015
3135G0JA2	1,000,000.00	FEDERAL NATIONAL MORTGAGE ASSOCIATION	1.125	04/27/2017	04/27/2017	0.00	0.00	-150.07	531.25	0.00	381.18	03/14/2016
3137EADF3	1,000,000.00	FREDDIE MAC	1.25	05/12/2017	05/12/2017	0.00	0.00	-341.33	972.22	0.00	630.89	03/03/2016
3137EACW7	235,000.00	FREDDIE MAC	2.00	08/25/2016	08/25/2016	0.00	0.00	-681.96	1,175.00	0.00	493.04	12/15/2015
3137EADT3	1,000,000.00	FREDDIE MAC	0.875	02/22/2017	02/22/2017	0.00	0.00	-47.84	243.06	0.00	195.22	03/21/2016
31679KAB6	0.00	FTAT-142-A2A	0.45	04/17/2017	02/16/2016	0.00	-0.00	0.71	29.32	0.00	30.03	06/11/2014
31680GAB2	500,000.00	FTAT-151-A2A	1.02	05/15/2018	10/18/2016	0.00	0.00	2.35	1,275.00	0.00	1,277.35	11/05/2015
36962G6Q2	0.00	GENERAL ELECTRIC CAPITAL CORP	0.918	01/08/2016	01/08/2016	0.00	0.00	-32.11	133.88	0.00	101.76	09/23/2013
41284AAB4	29,979.48	HARLY-141-A2A	0.49	04/15/2018	05/06/2016	0.00	0.00	0.60	58.03	0.00	58.64	04/16/2014
41284BAB2	247,941.38	HARLY-151-A2A	0.80	01/15/2019	09/11/2016	0.00	-0.00	0.52	565.06	0.00	565.58	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	1.004	09/15/2017	09/15/2017	0.00	0.00	0.00	1,715.29	0.00	1,715.29	09/15/2015
43814KAB7	159,462.77	HONDO-151-A2	0.70	06/15/2017	06/12/2016	0.00	0.01	3.30	358.82	0.00	362.13	01/28/2015
4581X0BV9	0.00	INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	03/15/2017	0.00	0.00	-88.64	343.75	0.00	255.11	03/04/2016

# Income Detail

WC-Contra Costa County (19529)

Base Currency: USD 01/01/2016 - 03/31/2016

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Dated: 04/05/2016

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
4581X0BV9	0.00	INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	03/15/2017	0.00	0.00	-183.08	637.50	0.00	454.42	02/11/2016
4581X0BV9	1,000,000.00	INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	03/15/2017	0.00	0.00	-136.99	500.00	0.00	363.01	03/04/2016
4581X0BV9	600,000.00	INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	03/15/2017	0.00	0.00	-94.31	300.00	0.00	205.69	02/11/2016
459058DM2	750,000.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.50	05/16/2016	05/16/2016	0.00	0.00	12.48	583.33	0.00	595.81	02/05/2016
459058DM2	1,000,000.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.50	05/16/2016	05/16/2016	0.00	0.00	16.55	1,250.00	0.00	1,266.55	12/03/2015
459056HY6	0.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	02/15/2016	0.00	0.00	424.45	0.00	0.00	424.45	04/30/2015
459056HY6	0.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	02/15/2016	0.00	0.00	101.23	0.00	0.00	101.23	05/20/2015
45905UQG2	600,000.00	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.625	09/26/2016	09/26/2016	0.00	0.00	76.99	729.16	0.00	806.15	01/21/2016
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	1,127.50	0.00	1,127.50	06/26/2015
47787WAB5	400,000.00	JDOT-15B-A2	0.98	06/15/2018	11/16/2016	0.00	0.00	2.09	980.01	0.00	982.10	09/09/2015
46623EJY6	500,000.00	JPMORGAN CHASE & CO	1.35	02/15/2017	02/15/2017	0.00	0.00	-57.56	843.75	0.00	786.19	01/25/2016
46623EJY6	0.00	JPMORGAN CHASE & CO	1.35	02/15/2017	02/15/2017	0.00	0.00	-28.14	393.75	0.00	365.61	01/25/2016
46625HHW3	0.00	JPMORGAN CHASE & CO	2.60	01/15/2016	01/15/2016	0.00	0.00	-497.21	758.33	0.00	261.12	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	1,543.50	0.00	1,543.50	11/19/2015
5446462Q4	0.00	LOS ANGELES CALIF UNI SCH DIST	0.486	01/01/2016	01/01/2016	0.00	0.00	0.00	0.00	0.00	0.00	08/19/2014
58772PAB4	601,419.56	MBART-151-A2A	0.82	06/15/2018	09/30/2016	0.00	0.00	222.54	1,314.81	0.00	1,537.35	12/08/2015
605581FW2	300,000.00	MISSISSIPPI ST	0.64	10/01/2016	10/01/2016	0.00	0.00	0.00	480.00	0.00	480.00	02/18/2015
65477WAB2	193,439.89	NART-14B-A2	0.60	06/15/2017	05/10/2016	0.00	-0.00	5.75	438.56	0.00	444.31	12/10/2014
637432HT5	500,000.00	NATIONAL RURAL UTILITIES COOP FINANCE CORP	5.45	04/10/2017	04/10/2017	0.00	0.00	-3,146.49	4,011.81	0.00	865.32	02/08/2016
68428LDH4	0.00	ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	02/01/2016	0.00	0.00	0.00	170.00	0.00	170.00	02/27/2015
68428LDH4	0.00	ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	02/01/2016	0.00	0.00	0.00	277.67	0.00	277.67	01/13/2015
68428LDM3	250,000.00	ORANGE CNTY CALIF PENSION OBLIG	0.938	11/01/2016	11/01/2016	0.00	0.00	0.00	508.08	0.00	508.08	01/13/2016
69353RCG1	750,000.00	PNC BANK NA	1.125	01/27/2017	12/28/2016	0.00	0.00	0.00	1,382.81	0.00	1,382.81	02/02/2016
69349LAH1	0.00	PNC BANK,NA	0.80	01/28/2016	01/28/2016	0.00	0.00	0.00	450.00	0.00	450.00	04/30/2015
CCYUSD	1,204.47	Receivable	0.00	03/31/2016	03/31/2016	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	515.43	0.00	515.43	03/26/2015
762494QV7	0.00	RIALTO CALIF UNI SCH DIST	1.258	02/01/2017	02/01/2017	0.00	0.00	0.00	270.82	0.00	270.82	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	92.08	312.50	0.00	404.58	03/26/2015
857477AH6	0.00	STATE STREET CORP	2.875	03/07/2016	03/07/2016	0.00	0.00	-1,158.16	1,502.19	0.00	344.03	03/23/2015
857477AH6	0.00	STATE STREET CORP	2.875	03/07/2016	03/07/2016	0.00	0.00	-1,259.17	1,581.25	0.00	322.08	03/03/2015
89236WAB4	324,017.78	TART-15A-A2	0.71	07/17/2017	06/19/2016	0.00	0.00	1.10	721.78	0.00	722.88	03/04/2015
880591EA6	586,000.00	TENNESSEE VALLEY AUTHORITY	5.50	07/18/2017	07/18/2017	0.00	0.00	-220.71	179.06	0.00	-41.65	03/29/2016
89116EC19	0.00	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	03/01/2016	03/01/2016	0.00	0.00	475.00	0.00	0.00	475.00	12/01/2015
89233AHP7	0.00	Toyota Motor Credit Corporation	0.601	02/19/2016	02/19/2016	0.00	0.00	0.00	410.52	0.00	410.52	08/28/2015
89233GEJ1	500,000.00	Toyota Motor Credit Corporation	0.00	05/18/2016	05/18/2016	0.00	0.00	292.50	0.00	0.00	292.50	02/22/2016
912828B82	0.00	UNITED STATES TREASURY	0.25	02/29/2016	02/29/2016	0.00	0.00	304.70	405.22	0.00	709.92	03/20/2014
912828QX1	1,000,000.00	UNITED STATES TREASURY	1.50	07/31/2016	07/31/2016	0.00	0.00	-2,644.96	3,736.56	0.00	1,091.61	11/06/2014
912828SY7	500,000.00	UNITED STATES TREASURY	0.625	05/31/2017	05/31/2017	0.00	0.00	130.28	776.98	0.00	907.26	11/05/2015
912828VL1	1,000,000.00	UNITED STATES TREASURY	0.625	07/15/2016	07/15/2016	0.00	0.00	-667.59	1,559.89	0.00	892.30	06/01/2015
912828RF9	1,000,000.00	UNITED STATES TREASURY	1.00	08/31/2016	08/31/2016	0.00	0.00	-1,405.96	2,490.44	0.00	1,084.49	10/31/2014
912828RF9	1,000,000.00	UNITED STATES TREASURY	1.00	08/31/2016	08/31/2016	0.00	0.00	-1,041.02	2,490.44	0.00	1,449.43	11/25/2015
912828WQ9	1,000,000.00	UNITED STATES TREASURY	0.50	06/30/2016	06/30/2016	0.00	0.00	-102.26	1,250.00	0.00	1,147.74	07/01/2014
912828TS9	1,000,000.00	UNITED STATES TREASURY	0.625	09/30/2017	09/30/2017	0.00	0.00	15.13	1,553.96	0.00	1,569.09	10/26/2015
912828PS3	0.00	UNITED STATES TREASURY	2.00	01/31/2016	01/31/2016	0.00	0.00	-1,376.79	1,630.43	0.00	253.64	07/31/2014



# Income Detail

WC-Contra Costa County (19529)

Base Currency: USD 01/01/2016 - 03/31/2016

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Dated: 04/05/2016

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
912828PS3	0.00	UNITED STATES TREASURY	2.00	01/31/2016	01/31/2016	0.00	0.00	-1,364.23	1,630.43	0.00	266.21	12/31/2014
91412GEZ4	300,000.00	UNIVERSITY CALIF REVS	0.938	07/01/2017	07/01/2017	0.00	0.00	0.00	489.19	0.00	489.19	01/29/2016
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	0.919	01/26/2018	01/26/2018	0.00	0.00	-114.44	951.98	0.00	837.54	05/12/2015
90331HMR1	300,000.00	US BANK NA	0.919	01/26/2018	01/26/2018	0.00	0.00	0.00	634.65	0.00	634.65	01/27/2015
90290XAB3	469,028.41	USAOT-151-A2	0.82	03/15/2018	08/17/2016	0.00	-0.00	3.43	980.00	0.00	983.42	07/29/2015
928668AD4	500,000.00	VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	0.838	05/23/2016	05/23/2016	0.00	0.00	0.00	883.68	0.00	883.68	05/23/2014
949917397	1,678,975.85	WellsFargo:Htge MM;l	0.34	03/31/2016	03/31/2016	0.00	0.00	0.00	3,172.66	0.00	3,172.66	---
---	<b>44,251,467.61</b>	---	---	<b>02/24/2017</b>	<b>12/20/2016</b>	<b>0.00</b>	<b>0.00</b>	<b>-38,408.28</b>	<b>111,988.26</b>	<b>-12,606.32</b>	<b>60,973.67</b>	---

\* Weighted By: Ending Base Market Value + Accrued. \* Holdings Displayed By: Lot.

# Balance Sheet Classification

WC-Contra Costa County (19529)

Base Currency: USD As of 03/31/2016

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Dated: 04/05/2016

## 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	1,678,975.85	Cash	AAA	0.34	03/31/2016 03/31/2016	0.00 0.00	1,678,975.85 1,678,975.85	0.00	1.00	0.00	1,678,975.85	1,678,975.85
CCYUSD	Receivable	1,204.47	Cash	AAA	0.00	03/31/2016 03/31/2016	0.00 0.00	1,204.47 1,204.47	0.00	1.00	0.00	1,204.47	1,204.47
CCYUSD	Cash	-1.97	Cash	AAA	0.00	03/31/2016 03/31/2016	0.00 0.00	-1.97 -1.97	0.00	1.00	0.00	-1.97	-1.97
89233GEJ1	Toyota Motor Credit Corporation	500,000.00	Industrial	A-1+	0.00	05/18/2016 05/18/2016	0.541 0.497	499,355.00 499,647.50	27.84	99.935	0.00	499,675.34	499,675.34
---	---	2,180,178.35	---	AAA	---	04/11/2016 04/11/2016	0.124 0.114	2,179,533.35 2,179,825.85	27.84	---	0.00	2,179,853.69	2,179,853.69

## 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
459058DM2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	750,000.00	Government	AAA	0.50	05/16/2016 05/16/2016	0.51 -0.128	749,977.50 749,989.98	599.52	100.079	1,406.25	750,589.50	751,995.75
459058DM2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	1,000,000.00	Government	AAA	0.50	05/16/2016 05/16/2016	0.507 -0.128	999,970.00 999,991.82	794.18	100.079	1,875.00	1,000,786.00	1,002,661.00
3130A4KE1	FEDERAL HOME LOAN BANKS	500,000.00	Agency	AAA	0.33	04/01/2016 04/01/2016	0.345 0.00	499,923.19 500,000.00	0.00	100.00	825.00	500,000.00	500,825.00
605581FW2	MISSISSIPPI ST	300,000.00	Municipal	AA+	0.64	10/01/2016 10/01/2016	0.64 0.371	300,000.00 300,000.00	447.00	100.149	960.00	300,447.00	301,407.00
46623EJY6	JPMORGAN CHASE & CO	500,000.00	Financial	A+	1.35	02/15/2017 02/15/2017	1.255 1.095	500,495.00 500,409.30	690.70	100.22	862.50	501,100.00	501,962.50
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 0.743	1,000,000.00 1,000,000.00	-880.00	99.912	900.00	999,120.00	1,000,020.00
06050TLU4	BANK OF AMERICA NA	500,000.00	Financial	A+	1.088	02/14/2017 02/14/2017	1.109 1.659	500,000.00 500,000.00	34.00	100.007	680.13	500,034.00	500,714.13
06406HBX6	BANK OF NEW YORK MELLON CORP	750,000.00	Financial	AA-	2.30	07/28/2016 07/28/2016	0.644 0.703	768,750.00 753,993.68	-116.18	100.517	3,018.75	753,877.50	756,896.25
313384ZK8	FEDERAL HOME LOAN BANKS	500,000.00	Agency	A-1+	0.00	07/15/2016 07/15/2016	0.622 0.357	498,263.19 499,110.41	364.59	99.895	0.00	499,475.00	499,475.00
3137EADT3	FREDDIE MAC	1,000,000.00	Agency	AAA	0.875	02/22/2017 02/22/2017	0.714 0.655	1,001,470.00 1,001,422.16	531.84	100.195	947.92	1,001,954.00	1,002,901.92
3133EFBT3	FEDERAL FARM CREDIT BANKS FUNDING CORP	1,000,000.00	Agency	AAA	0.42	09/01/2016 09/01/2016	0.44 0.529	999,800.00 999,916.39	-368.39	99.955	350.00	999,548.00	999,898.00
762494QV7	RIALTO CALIF UNI SCH DIST	250,000.00	Municipal	AA	1.258	02/01/2017 02/01/2017	1.258 0.728	250,000.00 250,000.00	1,162.50	100.465	524.17	251,162.50	251,686.67
03255LGX1	ANAHEIM CALIF PUB FING AUTH LEASE REV	750,000.00	Municipal	AA-	1.00	05/01/2016 05/01/2016	1.00 0.777	750,000.00 750,000.00	247.50	100.033	3,125.00	750,247.50	753,372.50
912828QX1	UNITED STATES TREASURY	1,000,000.00	Government	AAA	1.50	07/31/2016 07/31/2016	0.434 0.379	1,018,398.44 1,003,516.92	232.08	100.375	2,513.74	1,003,749.00	1,006,262.74
4197915E4	HAWAII ST	750,000.00	Municipal	AA	0.731	08/01/2016 08/01/2016	0.731 0.311	750,000.00 750,000.00	1,117.50	100.149	913.75	751,117.50	752,031.25
69353RCG1	PNC BANK NA	750,000.00	Financial	A+	1.125	01/27/2017 12/28/2016	1.125 0.978	750,000.00 750,000.00	808.50	100.108	1,500.00	750,808.50	752,308.50
313373SZ6	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	AAA	2.125	06/10/2016 06/10/2016	0.50 0.444	1,030,688.00 1,003,090.88	123.12	100.321	6,552.08	1,003,214.00	1,009,766.08
3130A3J70	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	AAA	0.625	11/23/2016 11/23/2016	0.484 0.552	1,002,130.00 1,000,905.73	-435.73	100.047	2,222.22	1,000,470.00	1,002,692.22
91412GUT0	UNIVERSITY CALIF REVS	250,000.00	Municipal	AA	0.634	05/15/2016 05/15/2016	0.634 0.338	250,000.00 250,000.00	132.50	100.053	598.78	250,132.50	250,731.28

# Balance Sheet Classification

WC-Contra Costa County (19529)

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Dated: 04/05/2016

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
097023BC8	BOEING CO	750,000.00	Industrial	A	3.75	11/20/2016 11/20/2016	0.849 0.996	789,135.00 763,732.61	-697.61	101.738	10,234.38	763,035.00	773,269.38
45905UQG2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	600,000.00	Government	AAA	0.625	09/26/2016 09/26/2016	0.691 0.314	599,730.00 599,806.99	1,099.61	100.151	52.08	600,906.60	600,958.68
928668AD4	VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	500,000.00	Industrial	A-	0.838	05/23/2016 05/23/2016	0.837 2.415	500,000.00 500,000.00	-1,158.50	99.768	442.38	498,841.50	499,283.88
912828VL1	UNITED STATES TREASURY	1,000,000.00	Government	AAA	0.625	07/15/2016 07/15/2016	0.356 0.356	1,003,007.81 1,000,770.29	10.71	100.078	1,322.12	1,000,781.00	1,002,103.12
4581X0BV9	INTER-AMERICAN DEVELOPMENT BANK	1,000,000.00	Government	AAA	1.125	03/15/2017 03/15/2017	0.829 0.83	1,003,030.00 1,002,804.36	-1.36	100.28	500.00	1,002,803.00	1,003,303.00
4581X0BV9	INTER-AMERICAN DEVELOPMENT BANK	600,000.00	Government	AAA	1.125	03/15/2017 03/15/2017	0.786 0.83	602,208.00 601,930.61	-248.81	100.28	300.00	601,681.80	601,981.80
3137EACW7	FREDDIE MAC	235,000.00	Agency	AAA	2.00	08/25/2016 08/25/2016	0.827 0.514	236,903.50 236,094.14	298.71	100.593	470.00	236,392.85	236,862.85
3130A2T97	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	AAA	0.50	09/28/2016 09/28/2016	0.386 0.511	1,001,080.00 1,000,557.02	-611.02	99.995	41.67	999,946.00	999,987.67
3130A2T97	FEDERAL HOME LOAN BANKS	500,000.00	Agency	AAA	0.50	09/28/2016 09/28/2016	0.416 0.511	500,415.00 500,205.22	-232.22	99.995	20.83	499,973.00	499,993.83
14912L4X6	CATERPILLAR FINANCIAL SERVICES CORP	775,000.00	Industrial	A	2.05	08/01/2016 08/01/2016	0.643 0.686	793,855.75 778,616.98	-106.23	100.453	2,647.92	778,510.75	781,158.67
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 1.201	124,468.75 124,845.18	66.07	99.929	104.17	124,911.25	125,015.42
544587B72	LOS ANGELES CALIF MUN IMPT CORP LEASE REV	490,000.00	Municipal	A+	1.26	11/01/2016 11/01/2016	1.26 0.961	490,000.00 490,000.00	935.90	100.191	2,263.80	490,935.90	493,199.70
912828RF9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	1.00	08/31/2016 08/31/2016	0.579 0.407	1,003,203.13 1,001,738.84	722.16	100.246	869.57	1,002,461.00	1,003,330.57
912828RF9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	1.00	08/31/2016 08/31/2016	0.432 0.407	1,010,351.56 1,002,348.41	112.59	100.246	869.57	1,002,461.00	1,003,330.57
68428LDM3	ORANGE CNTY CALIF PENSION OBLIG	250,000.00	Municipal	AA	0.938	11/01/2016 11/01/2016	0.938 0.681	250,000.00 250,000.00	417.50	100.167	508.08	250,417.50	250,925.58
912828WQ9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	0.50	06/30/2016 06/30/2016	0.459 0.312	1,000,820.31 1,000,101.13	366.87	100.047	1,263.74	1,000,468.00	1,001,731.74
---	---	24,375,000.00	---	AA+	---	09/11/2016 09/10/2016	0.647 0.585	24,528,074.13 24,415,899.07	6,459.57	---	51,685.57	24,422,358.64	24,474,044.21

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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
58772PAB4	MBART-151-A2A	601,419.56	Asset Backed	AAA	0.82	06/15/2018 09/30/2016	1.04 0.962	600,573.82 600,769.91	212.24	99.927	219.18	600,982.15	601,201.33
91412GEZ4	UNIVERSITY CALIF REVS	300,000.00	Municipal	AA	0.938	07/01/2017 07/01/2017	0.95 0.56	300,000.00 300,000.00	-93.00	99.969	242.32	299,907.00	300,149.32
90331HMR1	US BANK NA	450,000.00	Financial	AA	0.919	01/26/2018 01/26/2018	0.83 1.441	451,206.00 450,797.29	-2,757.04	99.564	758.26	448,040.25	448,798.51
90331HMR1	US BANK NA	300,000.00	Financial	AA	0.919	01/26/2018 01/26/2018	0.933 1.441	300,000.00 300,000.00	-1,306.50	99.564	505.50	298,693.50	299,199.01
30231GAS1	EXXON MOBIL CORP	560,000.00	Utility	AAA	1.232	02/28/2018 02/28/2018	1.248 1.321	560,000.00 560,000.00	1,695.12	100.303	555.59	561,695.12	562,250.71
89236WAB4	TART-15A-A2	324,017.78	Asset Backed	AAA	0.71	07/17/2017 06/19/2016	0.71 0.901	324,014.70 324,016.86	-141.20	99.956	102.25	323,875.67	323,977.91
17275RAY8	CISCO SYSTEMS INC	750,000.00	Industrial	AA-	0.944	06/15/2018 06/15/2018	0.958 1.267	750,000.00 750,000.00	-1,746.75	99.767	334.28	748,253.25	748,587.53
084664CD1	BERKSHIRE HATHAWAY FINANCE CORP	750,000.00	Financial	AA	0.921	01/12/2018 01/12/2018	0.936 1.211	750,000.00 750,000.00	-35.25	99.995	1,535.17	749,964.75	751,499.92

# Balance Sheet Classification

WC-Contra Costa County (19529)

Base Currency: USD As of 03/31/2016

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Dated: 04/05/2016

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
3137EADF3	FREDDIE MAC	1,000,000.00	Agency	AAA	1.25	05/12/2017 05/12/2017	0.817 0.695	1,005,120.00 1,004,778.67	1,368.33	100.615	4,826.39	1,006,147.00	1,010,973.39
637432HT5	NATIONAL RURAL UTILITIES COOP FINANCE CORP	500,000.00	Financial	A+	5.45	04/10/2017 04/10/2017	1.084 1.115	525,350.00 522,203.51	-176.51	104.405	12,943.75	522,027.00	534,970.75
43814KAB7	HONDO-151-A2	159,462.77	Asset Backed	AAA	0.70	06/15/2017 06/12/2016	0.705 0.831	159,454.44 159,460.77	-43.25	99.972	49.61	159,417.51	159,467.12
313379FW4	FEDERAL HOME LOAN BANKS	1,000,000.00	Agency	AAA	1.00	06/09/2017 06/09/2017	0.741 0.683	1,003,060.00 1,003,052.97	692.03	100.374	3,111.11	1,003,745.00	1,006,856.11
41284BAB2	HARLY-151-A2A	247,941.38	Asset Backed	AAA	0.80	01/15/2019 09/11/2016	0.80 1.015	247,939.37 247,940.48	-243.27	99.902	88.16	247,697.20	247,785.36
880591EA6	TENNESSEE VALLEY AUTHORITY	586,000.00	Agency	AAA	5.50	07/18/2017 07/18/2017	0.876 0.805	621,019.36 620,798.65	629.15	106.046	6,535.53	621,427.80	627,963.33
161571GJ7	CHAIT 2014-A1 A1	775,000.00	Asset Backed	AAA	1.15	01/15/2019 01/14/2017	1.022 0.93	776,453.13 775,799.36	528.06	100.171	396.11	776,327.42	776,723.53
912828TS9	UNITED STATES TREASURY	1,000,000.00	Government	AAA	0.625	09/30/2017 09/30/2017	0.631 0.711	999,882.81 999,909.07	-1,198.07	99.871	17.08	998,711.00	998,728.08
06050TMB5	BANK OF AMERICA NA	250,000.00	Financial	A+	1.086	06/05/2017 06/05/2017	1.102 1.747	250,000.00 250,000.00	-336.75	99.865	188.47	249,663.25	249,851.72
09247XAC5	BLACKROCK INC	500,000.00	Financial	AA-	6.25	09/15/2017 09/15/2017	1.242 1.129	539,065.00 536,018.34	839.16	107.371	1,388.89	536,857.50	538,246.39
912828SY7	UNITED STATES TREASURY	500,000.00	Government	AAA	0.625	05/31/2017 05/31/2017	0.73 0.675	499,179.69 499,391.57	315.43	99.941	1,050.20	499,707.00	500,757.20
166764AL4	CHEVRON CORP	700,000.00	Utility	AA+	1.345	11/15/2017 11/15/2017	1.506 0.97	698,005.00 698,196.59	6,020.21	100.602	3,556.78	704,216.80	707,773.58
31680GAB2	FTAT-151-A2A	500,000.00	Asset Backed	AAA	1.02	05/15/2018 10/18/2016	1.023 1.051	499,986.35 499,990.17	-84.22	99.981	226.67	499,905.95	500,132.62
3135G0JA2	FEDERAL NATIONAL MORTGAGE ASSOCIATION	1,000,000.00	Agency	AAA	1.125	04/27/2017 04/27/2017	0.818 0.686	1,003,410.00 1,003,259.93	1,425.07	100.469	4,812.50	1,004,685.00	1,009,497.50
47787WAB5	JDOT-15B-A2	400,000.00	Asset Backed	AAA	0.98	06/15/2018 11/16/2016	0.983 1.064	399,986.52 399,991.24	-208.24	99.946	174.22	399,783.00	399,957.22
90290XAB3	USAOT-151-A2	469,028.41	Asset Backed	AAA	0.82	03/15/2018 08/17/2016	0.825 0.956	469,010.95 469,019.49	-238.26	99.947	170.93	468,781.23	468,952.16
02665WAY7	AMERICAN HONDA FINANCE CORP	500,000.00	Industrial	A+	1.073	09/20/2017 09/20/2017	1.091 1.367	500,000.00 500,000.00	932.50	100.186	178.90	500,932.50	501,111.40
02665WAY7	AMERICAN HONDA FINANCE CORP	250,000.00	Industrial	A+	1.073	09/20/2017 09/20/2017	1.077 1.367	250,057.50 250,050.04	416.21	100.186	89.45	250,466.25	250,555.70
41284AAB4	HARLY-141-A2A	29,979.48	Asset Backed	AAA	0.49	04/15/2018 05/06/2016	0.491 0.921	29,977.45 29,979.28	-13.04	99.956	6.53	29,966.25	29,972.77
191216BR0	COCA-COLA CO	300,000.00	Industrial	AA-	0.875	10/27/2017 10/27/2017	0.897 0.762	299,868.00 299,896.35	631.35	100.176	1,122.92	300,527.70	301,650.62
65477WAB2	NART-14B-A2	193,439.89	Asset Backed	AAA	0.60	06/15/2017 05/10/2016	0.602 1.011	193,429.51 193,438.48	-92.62	99.951	51.58	193,345.86	193,397.44
437076BJ0	HOME DEPOT INC	750,000.00	Industrial	A	1.004	09/15/2017 09/15/2017	1.02 1.184	750,000.00 750,000.00	2,625.00	100.35	355.53	752,625.00	752,980.53
05581RAC0	BMWLT-161-A2B	600,000.00	Asset Backed	AAA	0.932	01/22/2018 05/02/2017	0.947 1.255	600,000.00 600,000.00	53.82	100.009	170.88	600,053.82	600,224.70
07330NAH8	BRANCH BANKING AND TRUST CO	700,000.00	Financial	A+	1.00	04/03/2017 04/03/2017	1.30 1.088	697,690.00 697,906.74	1,475.86	99.912	3,461.11	699,382.60	702,843.71
17305EFE0	CCCIT-13A6-A6	750,000.00	Asset Backed	AAA	1.32	09/07/2018 09/07/2016	0.949 0.886	751,787.11 751,198.95	184.65	100.184	660.00	751,383.60	752,043.60
---	---	17,696,289.26	---	AA+	---	11/17/2017 06/06/2017	0.953 0.994	17,805,526.71 17,797,864.70	11,330.23	---	49,885.85	17,809,194.93	17,859,080.78

Summary

Balance Sheet Classification

Base Currency: USD As of 03/31/2016

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WC-Contra Costa County (19529)

Dated: 04/05/2016

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
---	---	44,251,467.61	---	AA+	---	02/24/2017 12/20/2016	0.744 0.726	44,513,134.19 44,393,589.63	17,817.64	---	101,571.42	44,411,407.26	44,512,978.68

\* 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 01/01/2016 - 03/31/2016

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Dated: 04/05/2016

\* 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
01/07/2016 01/12/2016	Buy	02665WAY7 AMERICAN HONDA FINANCE CORP	1.02	09/20/2017	APX Asset	250,000.00 250,000.00	100.023	0.00 250,057.50	162.84	0.00	0.00	-250,220.34
02/09/2016 02/17/2016	Buy	05581RAC0 BMWLT-161-A2B	0.939	01/22/2018	Bank of America	600,000.00 600,000.00	100.00	0.00 600,000.00	0.00	0.00	0.00	-600,000.00
02/18/2016 02/23/2016	Buy	07330NAH8 BRANCH BANKING AND TRUST CO	1.00	04/03/2017	BB & T CAPITAL MARKETS	700,000.00 700,000.00	99.67	0.00 697,690.00	2,722.22	0.00	0.00	-700,412.22
02/10/2016 02/16/2016	Buy	09247XAC5 BLACKROCK INC	6.25	09/15/2017	APX Asset	500,000.00 500,000.00	107.813	0.00 539,065.00	13,107.64	0.00	0.00	-552,172.64
01/26/2016 01/29/2016	Buy	166764AL4 CHEVRON CORP	1.345	11/15/2017	JEFFERIES & COMPANY, INC.	700,000.00 700,000.00	99.715	0.00 698,005.00	1,935.31	0.00	0.00	-699,940.31
01/11/2016 01/14/2016	Buy	17305EFE0 CCCIT-13A6-A6	1.32	09/07/2018	Bank of America	750,000.00 750,000.00	100.238	0.00 751,787.11	3,492.50	0.00	0.00	-755,279.61
02/29/2016 03/03/2016	Buy	30231GAS1 EXXON MOBIL CORP	0.60	02/28/2018	Citigroup Global Markets (AU)	560,000.00 560,000.00	100.00	0.00 560,000.00	0.00	0.00	0.00	-560,000.00
03/30/2016 03/31/2016	Buy	313379FW4 FEDERAL HOME LOAN BANKS	1.00	06/09/2017	FIRST TENNESSEE BANK N A BOND	1,000,000.00 1,000,000.00	100.306	0.00 1,003,060.00	3,111.11	0.00	0.00	-1,006,171.11
03/10/2016 03/14/2016	Buy	3135GQJA2 FEDERAL NATIONAL MORTGAGE ASSOCIATION	1.125	04/27/2017	FIRST TENNESSEE BANK N A BOND	1,000,000.00 1,000,000.00	100.341	0.00 1,003,410.00	4,281.25	0.00	0.00	-1,007,691.25
03/02/2016 03/03/2016	Buy	3137EADF3 FREDDIE MAC	1.25	05/12/2017	FIRST TENNESSEE BANK N A BOND	1,000,000.00 1,000,000.00	100.512	0.00 1,005,120.00	3,854.17	0.00	0.00	-1,008,974.17
03/18/2016 03/21/2016	Buy	3137EADT3 FREDDIE MAC	0.875	02/22/2017	Links Securities	1,000,000.00 1,000,000.00	100.147	0.00 1,001,470.00	704.86	0.00	0.00	-1,002,174.86
02/08/2016 02/11/2016	Buy	4581X0BV9 INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	Susquehanna Fin. Grp.	600,000.00 600,000.00	100.368	0.00 602,208.00	2,737.50	0.00	0.00	-604,945.50
03/01/2016 03/04/2016	Buy	4581X0BV9 INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	Goldman Sachs & Co. (AU)	1,000,000.00 1,000,000.00	100.303	0.00 1,003,030.00	5,281.25	0.00	0.00	-1,008,311.25
02/02/2016 02/05/2016	Buy	459058DM2 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.50	05/16/2016	CastleOak Securities LP	750,000.00 750,000.00	99.997	0.00 749,977.50	822.92	0.00	0.00	-750,800.42
01/20/2016 01/21/2016	Buy	45905UQG2 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.625	09/26/2016	CastleOak Securities LP	600,000.00 600,000.00	99.955	0.00 599,730.00	1,197.92	0.00	0.00	-600,927.92
01/20/2016 01/25/2016	Buy	46623EJY6 JPMORGAN CHASE & CO INC.	1.35	02/15/2017	CANTOR FITZGERALD & CO. INC.	500,000.00 500,000.00	100.099	0.00 500,495.00	3,000.00	0.00	0.00	-503,495.00
02/03/2016 02/08/2016	Buy	637432HT5 NATIONAL RURAL UTILITIES COOP FINANCE CORP	5.45	04/10/2017	Susquehanna Fin. Grp.	500,000.00 500,000.00	105.07	0.00 525,350.00	8,931.94	0.00	0.00	-534,281.94
01/08/2016 01/13/2016	Buy	68428LDM3 ORANGE CNTY CALIF PENSION OBLIG	0.938	11/01/2016	Stifel Nicolaus & Co.	250,000.00 250,000.00	100.00	0.00 250,000.00	0.00	0.00	0.00	-250,000.00
01/28/2016 02/02/2016	Buy	69353RCG1 PNC BANK NA	1.125	01/27/2017	CANTOR FITZGERALD & CO. INC.	750,000.00 750,000.00	100.00	0.00 750,000.00	117.19	0.00	0.00	-750,117.19
03/28/2016 03/29/2016	Buy	880591EA6 TENNESSEE VALLEY AUTHORITY	5.50	07/18/2017	CastleOak Securities LP	586,000.00 586,000.00	105.976	0.00 621,019.36	6,356.47	0.00	0.00	-627,375.83
02/19/2016 02/22/2016	Buy	89233GEJ1 Toyota Motor Credit Corporation	0.00	05/18/2016	Toyota Motor Credit Corp.	500,000.00 500,000.00	99.871	0.00 499,355.00	0.00	0.00	0.00	-499,355.00
01/26/2016 01/29/2016	Buy	91412GEZ4 UNIVERSITY CALIF REVS	0.927	07/01/2017	Citigroup Global Markets (AU)	300,000.00 300,000.00	100.00	0.00 300,000.00	193.33	0.00	0.00	-300,193.33
03/07/2016 03/07/2016	Buy	949917397 Wells Fargo:Htge MM;l	0.34	03/31/2016	Direct	593,977.73 593,977.73	1.00	593,977.73 593,977.73	0.00	0.00	0.00	-593,977.73

## Trading Activity

WC-Contra Costa County (19529)

Base Currency: USD 01/01/2016 - 03/31/2016

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Dated: 04/05/2016

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
03/07/2016 03/07/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	4,500.00 4,500.00	1.00	4,500.00 4,500.00	0.00	0.00	0.00	-4,500.00
03/11/2016 03/11/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	0.05 0.05	1.00	0.05 0.05	0.00	0.00	0.00	-0.05
03/10/2016 03/10/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	1,010,000.00 1,010,000.00	1.00	1,010,000.00 1,010,000.00	0.00	0.00	0.00	-1,010,000.00
03/09/2016 03/09/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	451.66 451.66	1.00	451.66 451.66	0.00	0.00	0.00	-451.66
03/16/2016 03/16/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	3,375.00 3,375.00	1.00	3,375.00 3,375.00	0.00	0.00	0.00	-3,375.00
03/15/2016 03/15/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	190,828.35 190,828.35	1.00	190,828.35 190,828.35	0.00	0.00	0.00	-190,828.35
03/15/2016 03/15/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	43,968.83 43,968.83	1.00	43,968.83 43,968.83	0.00	0.00	0.00	-43,968.83
03/15/2016 03/15/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	49,024.60 49,024.60	1.00	49,024.60 49,024.60	0.00	0.00	0.00	-49,024.60
03/22/2016 03/22/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	511.09 511.09	1.00	511.09 511.09	0.00	0.00	0.00	-511.09
03/21/2016 03/21/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	1,932.80 1,932.80	1.00	1,932.80 1,932.80	0.00	0.00	0.00	-1,932.80
03/28/2016 03/28/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	5,625.00 5,625.00	1.00	5,625.00 5,625.00	0.00	0.00	0.00	-5,625.00
03/30/2016 03/30/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	1,878.00 1,878.00	1.00	1,878.00 1,878.00	0.00	0.00	0.00	-1,878.00
01/04/2016 01/04/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	401,197.38 401,197.38	1.00	401,197.38 401,197.38	0.00	0.00	0.00	-401,197.38
01/08/2016 01/08/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	1,759.50 1,759.50	1.00	1,759.50 1,759.50	0.00	0.00	0.00	-1,759.50
01/08/2016 01/08/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	750,000.00 750,000.00	1.00	750,000.00 750,000.00	0.00	0.00	0.00	-750,000.00
01/15/2016 01/15/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	3,125.00 3,125.00	1.00	3,125.00 3,125.00	0.00	0.00	0.00	-3,125.00
01/15/2016 01/15/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	951,080.26 951,080.26	1.00	951,080.26 951,080.26	0.00	0.00	0.00	-951,080.26
01/19/2016 01/19/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	63,909.31 63,909.31	1.00	63,909.31 63,909.31	0.00	0.00	0.00	-63,909.31
01/22/2016 01/22/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	1,243.06 1,243.06	1.00	1,243.06 1,243.06	0.00	0.00	0.00	-1,243.06
01/22/2016 01/22/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	1,000,000.00 1,000,000.00	1.00	1,000,000.00 1,000,000.00	0.00	0.00	0.00	-1,000,000.00
01/21/2016 01/21/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	400,522.08 400,522.08	1.00	400,522.08 400,522.08	0.00	0.00	0.00	-400,522.08
01/28/2016 01/28/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	761,625.00 761,625.00	1.00	761,625.00 761,625.00	0.00	0.00	0.00	-761,625.00
01/28/2016 01/28/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	246.50 246.50	1.00	246.50 246.50	0.00	0.00	0.00	-246.50
01/26/2016 01/26/2016	Buy	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	1,188.14 1,188.14	1.00	1,188.14 1,188.14	0.00	0.00	0.00	-1,188.14
02/01/2016 02/01/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	2,830,625.96 2,830,625.96	1.00	2,830,625.96 2,830,625.96	0.00	0.00	0.00	-2,830,625.96
02/01/2016 02/01/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	2,656.16 2,656.16	1.00	2,656.16 2,656.16	0.00	0.00	0.00	-2,656.16
02/05/2016 02/05/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	249,199.58 249,199.58	1.00	249,199.58 249,199.58	0.00	0.00	0.00	-249,199.58
02/05/2016 02/05/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	14.73 14.73	1.00	14.73 14.73	0.00	0.00	0.00	-14.73
02/16/2016 02/16/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	578,446.84 578,446.84	1.00	578,446.84 578,446.84	0.00	0.00	0.00	-578,446.84
02/16/2016 02/16/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	788,507.93 788,507.93	1.00	788,507.93 788,507.93	0.00	0.00	0.00	-788,507.93

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02/16/2016 02/16/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	14.14 14.14	1.00	14.14 14.14	0.00	0.00	0.00	-14.14
02/19/2016 02/19/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	183.52 183.52	1.00	183.52 183.52	0.00	0.00	0.00	-183.52
02/19/2016 02/19/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	500,000.00 500,000.00	1.00	500,000.00 500,000.00	0.00	0.00	0.00	-500,000.00
02/25/2016 02/25/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	2,350.00 2,350.00	1.00	2,350.00 2,350.00	0.00	0.00	0.00	-2,350.00
02/23/2016 02/23/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	765.00 765.00	1.00	765.00 765.00	0.00	0.00	0.00	-765.00
02/29/2016 02/29/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	1,000,000.00 1,000,000.00	1.00	1,000,000.00 1,000,000.00	0.00	0.00	0.00	-1,000,000.00
02/29/2016 02/29/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	1,250.00 1,250.00	1.00	1,250.00 1,250.00	0.00	0.00	0.00	-1,250.00
02/29/2016 02/29/2016	Buy	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	10,000.00 10,000.00	1.00	10,000.00 10,000.00	0.00	0.00	0.00	-10,000.00
03/01/2016 03/01/2016	Buy	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	754,265.04 754,265.04	1.00	754,265.04 754,265.04	0.00	0.00	0.00	-754,265.04
---	Buy	---	---	---	---	27,356,248.24 27,356,248.24	---	12,960,248.24 27,471,077.71	62,010.42	0.00	0.00	-27,533,088.13

## 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
01/22/2016 01/22/2016	Maturity	3130A3XU3 FEDERAL HOME LOAN BANKS	0.25	01/22/2016	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
02/05/2016 02/05/2016	Maturity	313384SS9 FEDERAL HOME LOAN BANKS	0.00	02/05/2016	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
01/21/2016 01/21/2016	Maturity	3133EDQW5 FEDERAL FARM CREDIT BANKS FUNDING CORP	0.29	01/21/2016	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
03/10/2016 03/10/2016	Maturity	3136FPET0 FEDERAL NATIONAL MORTGAGE ASSOCIATION	2.00	03/10/2016	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
01/08/2016 01/08/2016	Maturity	36962G6Q2 GENERAL ELECTRIC CAPITAL CORP	0.918	01/08/2016	Maturity	-750,000.00 -750,000.00	100.00	0.00 -750,000.00	0.00	0.00	0.00	750,000.00
02/15/2016 02/15/2016	Maturity	459056HY6 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	Maturity	-163,000.00 -163,000.00	100.00	0.00 -163,000.00	0.00	0.00	0.00	163,000.00
02/15/2016 02/15/2016	Maturity	459056HY6 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	Maturity	-771,000.00 -771,000.00	100.00	0.00 -771,000.00	0.00	0.00	0.00	771,000.00
01/15/2016 01/15/2016	Maturity	46625HHW3 JPMORGAN CHASE & CO	2.60	01/15/2016	Maturity	-750,000.00 -750,000.00	100.00	0.00 -750,000.00	0.00	0.00	0.00	750,000.00
01/01/2016 01/01/2016	Maturity	5446462Q4 LOS ANGELES CALIF UNI SCH DIST	0.486	01/01/2016	Maturity	-400,000.00 -400,000.00	100.00	0.00 -400,000.00	0.00	0.00	0.00	400,000.00
02/01/2016 02/01/2016	Maturity	68428LDH4 ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	Maturity	-300,000.00 -300,000.00	100.00	0.00 -300,000.00	0.00	0.00	0.00	300,000.00
02/01/2016 02/01/2016	Maturity	68428LDH4 ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	Maturity	-490,000.00 -490,000.00	100.00	0.00 -490,000.00	0.00	0.00	0.00	490,000.00
01/28/2016 01/28/2016	Maturity	69349LAH1 PNC BANK,NA	0.80	01/28/2016	Maturity	-750,000.00 -750,000.00	100.00	0.00 -750,000.00	0.00	0.00	0.00	750,000.00
03/07/2016 03/07/2016	Maturity	857477AH6 STATE STREET CORP	2.875	03/07/2016	Maturity	-300,000.00 -300,000.00	100.00	0.00 -300,000.00	0.00	0.00	0.00	300,000.00



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03/07/2016 03/07/2016	Maturity	857477AH6 STATE STREET CORP	2.875	03/07/2016	Maturity	-285,000.00 -285,000.00	100.00	0.00 -285,000.00	0.00	0.00	0.00	285,000.00
03/01/2016 03/01/2016	Maturity	89116EC19 Toronto Dominion Holdings (U.S.A.), Inc.	0.00	03/01/2016	Maturity	-750,000.00 -750,000.00	100.00	0.00 -750,000.00	0.00	0.00	0.00	750,000.00
02/19/2016 02/19/2016	Maturity	89233AHP7 Toyota Motor Credit Corporation	0.601	02/19/2016	Maturity	-500,000.00 -500,000.00	100.00	0.00 -500,000.00	0.00	0.00	0.00	500,000.00
02/29/2016 02/29/2016	Maturity	912828B82 UNITED STATES TREASURY	0.25	02/29/2016	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
01/31/2016 01/31/2016	Maturity	912828PS3 UNITED STATES TREASURY	2.00	01/31/2016	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
01/31/2016 01/31/2016	Maturity	912828PS3 UNITED STATES TREASURY	2.00	01/31/2016	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
---	Maturity	---	---	---	Maturity	-13,209,000.00 -13,209,000.00	100.00	0.00 -13,209,000.00	0.00	0.00	0.00	13,209,000.00

## 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
02/15/2016 02/15/2016	Principal Paydown	31679KAB6 FTAT-142-A2A	0.45	04/17/2017	Direct	0.00 -37,707.33	---	0.00 -37,707.33	0.00	-0.00	0.00	37,707.33
01/15/2016 01/15/2016	Principal Paydown	31679KAB6 FTAT-142-A2A	0.45	04/17/2017	Direct	0.00 -49,014.59	---	0.00 -49,014.59	0.00	0.00	0.00	49,014.59
03/15/2016 03/15/2016	Principal Paydown	41284AAB4 HARLY-141-A2A	0.49	04/15/2018	Direct	0.00 -12,203.47	---	0.00 -12,203.47	0.00	0.00	0.00	12,203.47
02/15/2016 02/15/2016	Principal Paydown	41284AAB4 HARLY-141-A2A	0.49	04/15/2018	Direct	0.00 -11,058.31	---	0.00 -11,058.31	0.00	0.00	0.00	11,058.31
01/15/2016 01/15/2016	Principal Paydown	41284AAB4 HARLY-141-A2A	0.49	04/15/2018	Direct	0.00 -12,561.40	---	0.00 -12,561.40	0.00	0.00	0.00	12,561.40
03/15/2016 03/15/2016	Principal Paydown	41284BAB2 HARLY-151-A2A	0.80	01/15/2019	Direct	0.00 -24,505.12	---	0.00 -24,505.12	0.00	-0.00	0.00	24,505.12
02/15/2016 02/15/2016	Principal Paydown	41284BAB2 HARLY-151-A2A	0.80	01/15/2019	Direct	0.00 -21,398.57	---	0.00 -21,398.57	0.00	-0.00	0.00	21,398.57
01/15/2016 01/15/2016	Principal Paydown	41284BAB2 HARLY-151-A2A	0.80	01/15/2019	Direct	0.00 -25,559.26	---	0.00 -25,559.26	0.00	0.00	0.00	25,559.26
02/15/2016 02/15/2016	Principal Paydown	43814KAB7 HONDO-151-A2	0.70	06/15/2017	Direct	0.00 -27,984.92	---	0.00 -27,984.92	0.00	0.00	0.00	27,984.92
03/15/2016 03/15/2016	Principal Paydown	43814KAB7 HONDO-151-A2	0.70	06/15/2017	Direct	0.00 -32,557.23	---	0.00 -32,557.23	0.00	-0.00	0.00	32,557.23
01/15/2016 01/15/2016	Principal Paydown	43814KAB7 HONDO-151-A2	0.70	06/15/2017	Direct	0.00 -32,960.70	---	0.00 -32,960.70	0.00	0.00	0.00	32,960.70
03/15/2016 03/15/2016	Principal Paydown	58772PAB4 MBART-151-A2A	0.82	06/15/2018	Direct	0.00 -48,580.44	---	0.00 -48,580.44	0.00	0.00	0.00	48,580.44
02/15/2016 02/15/2016	Principal Paydown	65477WAB2 NART-14B-A2	0.60	06/15/2017	Direct	0.00 -66,720.53	---	0.00 -66,720.53	0.00	-0.00	0.00	66,720.53
03/15/2016 03/15/2016	Principal Paydown	65477WAB2 NART-14B-A2	0.60	06/15/2017	Direct	0.00 -67,654.27	---	0.00 -67,654.27	0.00	0.00	0.00	67,654.27
01/15/2016 01/15/2016	Principal Paydown	65477WAB2 NART-14B-A2	0.60	06/15/2017	Direct	0.00 -68,676.29	---	0.00 -68,676.29	0.00	-0.00	0.00	68,676.29
02/15/2016 02/15/2016	Principal Paydown	89236WAB4 TART-15A-A2	0.71	07/17/2017	Direct	0.00 -54,524.90	---	0.00 -54,524.90	0.00	0.00	0.00	54,524.90
01/15/2016 01/15/2016	Principal Paydown	89236WAB4 TART-15A-A2	0.71	07/17/2017	Direct	0.00 -60,751.76	---	0.00 -60,751.76	0.00	0.00	0.00	60,751.76
03/15/2016 03/15/2016	Principal Paydown	89236WAB4 TART-15A-A2	0.71	07/17/2017	Direct	0.00 -56,561.02	---	0.00 -56,561.02	0.00	0.00	0.00	56,561.02
03/15/2016 03/15/2016	Principal Paydown	90290XAB3 USAOT-151-A2	0.82	03/15/2018	Direct	0.00 -10,971.59	---	0.00 -10,971.59	0.00	-0.00	0.00	10,971.59

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---	Principal Paydown	---	---	---	Direct	0.00 -721,951.70	---	0.00 -721,951.70	0.00	0.00	0.00	721,951.70

## 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
02/16/2016 02/16/2016	Sell	05531FAG8 BB&T CORP	3.20	03/15/2016	Not Provided	-750,000.00 -750,000.00	100.00	0.00 -750,000.00	-10,066.67	0.00	0.00	760,066.67
03/16/2016 03/16/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-3,375.00 -3,375.00	1.00	-3,375.00 -3,375.00	0.00	0.00	0.00	3,375.00
03/14/2016 03/14/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-1,007,691.25 -1,007,691.25	1.00	-1,007,691.25 -1,007,691.25	0.00	0.00	0.00	1,007,691.25
03/21/2016 03/21/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-1,006,333.73 -1,006,333.73	1.00	-1,006,333.73 -1,006,333.73	0.00	0.00	0.00	1,006,333.73
03/31/2016 03/31/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-1,003,046.11 -1,003,046.11	1.00	-1,003,046.11 -1,003,046.11	0.00	0.00	0.00	1,003,046.11
03/30/2016 03/30/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-1,875.00 -1,875.00	1.00	-1,875.00 -1,875.00	0.00	0.00	0.00	1,875.00
03/29/2016 03/29/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-627,375.83 -627,375.83	1.00	-627,375.83 -627,375.83	0.00	0.00	0.00	627,375.83
01/12/2016 01/12/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-249,043.79 -249,043.79	1.00	-249,043.79 -249,043.79	0.00	0.00	0.00	249,043.79
01/14/2016 01/14/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-755,279.61 -755,279.61	1.00	-755,279.61 -755,279.61	0.00	0.00	0.00	755,279.61
01/13/2016 01/13/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-250,000.00 -250,000.00	1.00	-250,000.00 -250,000.00	0.00	0.00	0.00	250,000.00
01/20/2016 01/20/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-2,537.50 -2,537.50	1.00	-2,537.50 -2,537.50	0.00	0.00	0.00	2,537.50
01/20/2016 01/20/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-1,728.09 -1,728.09	1.00	-1,728.09 -1,728.09	0.00	0.00	0.00	1,728.09
01/26/2016 01/26/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-14.73 -14.73	1.00	-14.73 -14.73	0.00	0.00	0.00	14.73
01/25/2016 01/25/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-503,495.00 -503,495.00	1.00	-503,495.00 -503,495.00	0.00	0.00	0.00	503,495.00
01/29/2016 01/29/2016	Sell	949917397 WellsFargo:Htge MM;I	0.32	03/31/2016	Direct	-1,000,133.64 -1,000,133.64	1.00	-1,000,133.64 -1,000,133.64	0.00	0.00	0.00	1,000,133.64
02/02/2016 02/02/2016	Sell	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	-750,117.19 -750,117.19	1.00	-750,117.19 -750,117.19	0.00	0.00	0.00	750,117.19
02/08/2016 02/08/2016	Sell	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	-534,281.94 -534,281.94	1.00	-534,281.94 -534,281.94	0.00	0.00	0.00	534,281.94
02/11/2016 02/11/2016	Sell	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	-604,945.50 -604,945.50	1.00	-604,945.50 -604,945.50	0.00	0.00	0.00	604,945.50
02/10/2016 02/10/2016	Sell	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	-0.11 -0.11	1.00	-0.11 -0.11	0.00	0.00	0.00	0.11
02/17/2016 02/17/2016	Sell	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	-598,194.69 -598,194.69	1.00	-598,194.69 -598,194.69	0.00	0.00	0.00	598,194.69
02/23/2016 02/23/2016	Sell	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	-700,412.22 -700,412.22	1.00	-700,412.22 -700,412.22	0.00	0.00	0.00	700,412.22
02/22/2016 02/22/2016	Sell	949917397 WellsFargo:Htge MM;I	0.35	03/31/2016	Direct	-503,534.36 -503,534.36	1.00	-503,534.36 -503,534.36	0.00	0.00	0.00	503,534.36
03/04/2016 03/04/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-1,008,311.25 -1,008,311.25	1.00	-1,008,311.25 -1,008,311.25	0.00	0.00	0.00	1,008,311.25
03/03/2016 03/03/2016	Sell	949917397 WellsFargo:Htge MM;I	0.34	03/31/2016	Direct	-1,568,974.17 -1,568,974.17	1.00	-1,568,974.17 -1,568,974.17	0.00	0.00	0.00	1,568,974.17
---	Sell	---	---	---	---	-13,430,700.71 -13,430,700.71	---	-12,680,700.71 -13,430,700.71	-10,066.67	0.00	0.00	13,440,767.38

Trading Activity

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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
---	---	---	---	---	---	716,547.53	---	279,547.53	51,943.75	0.00	0.00	-161,369.05
---	---	---	---	---	---	-5,404.17	---	109,425.30	---	---	---	---

\* 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.

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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
03/31/2016	03/31/2016	Money Market Funds	0.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	---	1,202.80
<b>03/31/2016</b>	<b>03/31/2016</b>	<b>Money Market Funds</b>	<b>0.00</b>	<b>949917397</b>	<b>WellsFargo:Htge MM;I</b>	<b>0.34</b>	<b>03/31/2016</b>	<b>---</b>	<b>1,202.80</b>

## Settled

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
01/07/2016	01/12/2016	Buy	250,000.00	02665WAY7	AMERICAN HONDA FINANCE CORP	1.02	09/20/2017	100.023	-250,220.34
03/20/2016	03/20/2016	Coupon	0.00	02665WAY7	AMERICAN HONDA FINANCE CORP	1.073	09/20/2017	---	1,932.80
02/16/2016	02/16/2016	Sell	-750,000.00	05531FAG8	BB&T CORP	3.20	03/15/2016	100.00	760,066.67
03/21/2016	03/21/2016	Coupon	0.00	05581RAC0	BMWLT-161-A2B	0.932	01/22/2018	---	511.09
02/09/2016	02/17/2016	Buy	600,000.00	05581RAC0	BMWLT-161-A2B	0.939	01/22/2018	100.00	-600,000.00
02/16/2016	02/16/2016	Coupon	0.00	06050TLU4	BANK OF AMERICA NA	1.088	02/14/2017	---	1,062.60
03/07/2016	03/07/2016	Coupon	0.00	06050TMB5	BANK OF AMERICA NA	1.086	06/05/2017	---	570.01
01/28/2016	01/28/2016	Coupon	0.00	06406HBX6	BANK OF NEW YORK MELLON CORP	2.30	07/28/2016	---	8,625.00
02/18/2016	02/23/2016	Buy	700,000.00	07330NAH8	BRANCH BANKING AND TRUST CO	1.00	04/03/2017	99.67	-700,412.22
01/12/2016	01/12/2016	Coupon	0.00	084664CD1	BERKSHIRE HATHAWAY FINANCE CORP	0.921	01/12/2018	---	1,176.55
02/10/2016	02/16/2016	Buy	500,000.00	09247XAC5	BLACKROCK INC	6.25	09/15/2017	107.813	-552,172.64
03/15/2016	03/15/2016	Coupon	0.00	09247XAC5	BLACKROCK INC	6.25	09/15/2017	---	15,625.00
02/01/2016	02/01/2016	Coupon	0.00	14912L4X6	CATERPILLAR FINANCIAL SERVICES CORP	2.05	08/01/2016	---	7,943.75
02/15/2016	02/15/2016	Coupon	0.00	161571GJ7	CHAIT 2014-A1 A1	1.15	01/15/2019	---	742.71
03/15/2016	03/15/2016	Coupon	0.00	161571GJ7	CHAIT 2014-A1 A1	1.15	01/15/2019	---	742.71
01/15/2016	01/15/2016	Coupon	0.00	161571GJ7	CHAIT 2014-A1 A1	1.15	01/15/2019	---	742.71
01/26/2016	01/29/2016	Buy	700,000.00	166764AL4	CHEVRON CORP	1.345	11/15/2017	99.715	-699,940.31
03/15/2016	03/15/2016	Coupon	0.00	17275RAY8	CISCO SYSTEMS INC	0.944	06/15/2018	---	1,558.37
01/11/2016	01/14/2016	Buy	750,000.00	17305EFE0	CCCIT-13A6-A6	1.32	09/07/2018	100.238	-755,279.61
03/07/2016	03/07/2016	Coupon	0.00	17305EFE0	CCCIT-13A6-A6	1.32	09/07/2018	---	4,950.00
02/29/2016	03/03/2016	Buy	560,000.00	30231GAS1	EXXON MOBIL CORP	0.60	02/28/2018	100.00	-560,000.00
03/28/2016	03/28/2016	Coupon	0.00	3130A2T97	FEDERAL HOME LOAN BANKS	0.50	09/28/2016	---	3,750.00
01/22/2016	01/22/2016	Coupon	0.00	3130A3XU3	FEDERAL HOME LOAN BANKS	0.25	01/22/2016	---	1,243.06
01/22/2016	01/22/2016	Maturity	-1,000,000.00	3130A3XU3	FEDERAL HOME LOAN BANKS	0.25	01/22/2016	100.00	1,000,000.00
03/30/2016	03/31/2016	Buy	1,000,000.00	313379FW4	FEDERAL HOME LOAN BANKS	1.00	06/09/2017	100.306	-1,006,171.11
02/05/2016	02/05/2016	Maturity	-1,000,000.00	313384SS9	FEDERAL HOME LOAN BANKS	0.00	02/05/2016	100.00	1,000,000.00
01/21/2016	01/21/2016	Coupon	0.00	3133EDQW5	FEDERAL FARM CREDIT BANKS FUNDING CORP	0.29	01/21/2016	---	1,450.00
01/21/2016	01/21/2016	Maturity	-1,000,000.00	3133EDQW5	FEDERAL FARM CREDIT BANKS FUNDING CORP	0.29	01/21/2016	100.00	1,000,000.00
03/01/2016	03/01/2016	Coupon	0.00	3133EFBT3	FEDERAL FARM CREDIT BANKS FUNDING CORP	0.42	09/01/2016	---	2,100.00
03/10/2016	03/14/2016	Buy	1,000,000.00	3135G0JA2	FEDERAL NATIONAL MORTGAGE ASSOCIATION	1.125	04/27/2017	100.341	-1,007,691.25
03/10/2016	03/10/2016	Coupon	0.00	3136FPET0	FEDERAL NATIONAL MORTGAGE ASSOCIATION	2.00	03/10/2016	---	10,000.00
03/10/2016	03/10/2016	Maturity	-1,000,000.00	3136FPET0	FEDERAL NATIONAL MORTGAGE ASSOCIATION	2.00	03/10/2016	100.00	1,000,000.00
02/25/2016	02/25/2016	Coupon	0.00	3137EACW7	FREDDIE MAC	2.00	08/25/2016	---	2,350.00
03/02/2016	03/03/2016	Buy	1,000,000.00	3137EADF3	FREDDIE MAC	1.25	05/12/2017	100.512	-1,008,974.17
03/18/2016	03/21/2016	Buy	1,000,000.00	3137EADT3	FREDDIE MAC	0.875	02/22/2017	100.147	-1,002,174.86
02/15/2016	02/15/2016	Coupon	0.00	31679KAB6	FTAT-142-A2A	0.45	04/17/2017	---	14.14
02/15/2016	02/15/2016	Principal Paydown	-37,707.33	31679KAB6	FTAT-142-A2A	0.45	04/17/2017	---	37,707.33
01/15/2016	01/15/2016	Principal Paydown	-49,014.59	31679KAB6	FTAT-142-A2A	0.45	04/17/2017	---	49,014.59

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Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
01/15/2016	01/15/2016	Coupon	0.00	31679KAB6	FTAT-142-A2A	0.45	04/17/2017	---	32.52
03/15/2016	03/15/2016	Coupon	0.00	31680GAB2	FTAT-151-A2A	1.02	05/15/2018	---	425.00
01/15/2016	01/15/2016	Coupon	0.00	31680GAB2	FTAT-151-A2A	1.02	05/15/2018	---	425.00
02/15/2016	02/15/2016	Coupon	0.00	31680GAB2	FTAT-151-A2A	1.02	05/15/2018	---	425.00
01/08/2016	01/08/2016	Maturity	-750,000.00	36962G6Q2	GENERAL ELECTRIC CAPITAL CORP	0.918	01/08/2016	100.00	750,000.00
01/08/2016	01/08/2016	Coupon	0.00	36962G6Q2	GENERAL ELECTRIC CAPITAL CORP	0.918	01/08/2016	---	1,759.50
03/15/2016	03/15/2016	Principal Paydown	-12,203.47	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	12,203.47
03/15/2016	03/15/2016	Coupon	0.00	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	17.22
02/15/2016	02/15/2016	Principal Paydown	-11,058.31	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	11,058.31
02/15/2016	02/15/2016	Coupon	0.00	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	21.74
01/15/2016	01/15/2016	Principal Paydown	-12,561.40	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	12,561.40
01/15/2016	01/15/2016	Coupon	0.00	41284AAB4	HARLY-141-A2A	0.49	04/15/2018	---	26.87
03/15/2016	03/15/2016	Coupon	0.00	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	181.63
03/15/2016	03/15/2016	Principal Paydown	-24,505.12	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	24,505.12
02/15/2016	02/15/2016	Coupon	0.00	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	195.90
02/15/2016	02/15/2016	Principal Paydown	-21,398.57	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	21,398.57
01/15/2016	01/15/2016	Principal Paydown	-25,559.26	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	25,559.26
01/15/2016	01/15/2016	Coupon	0.00	41284BAB2	HARLY-151-A2A	0.80	01/15/2019	---	212.94
02/01/2016	02/01/2016	Coupon	0.00	4197915E4	HAWAII ST	0.731	08/01/2016	---	2,741.25
03/15/2016	03/15/2016	Coupon	0.00	437076BJ0	HOME DEPOT INC	1.004	09/15/2017	---	1,672.13
02/15/2016	02/15/2016	Coupon	0.00	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	128.34
02/15/2016	02/15/2016	Principal Paydown	-27,984.92	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	27,984.92
03/15/2016	03/15/2016	Coupon	0.00	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	112.01
03/15/2016	03/15/2016	Principal Paydown	-32,557.23	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	32,557.23
01/15/2016	01/15/2016	Coupon	0.00	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	147.56
01/15/2016	01/15/2016	Principal Paydown	-32,960.70	43814KAB7	HONDO-151-A2	0.70	06/15/2017	---	32,960.70
03/15/2016	03/15/2016	Coupon	0.00	4581X0BV9	INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	---	9,000.00
02/08/2016	02/11/2016	Buy	600,000.00	4581X0BV9	INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	100.368	-604,945.50
03/01/2016	03/04/2016	Buy	1,000,000.00	4581X0BV9	INTER-AMERICAN DEVELOPMENT BANK	1.125	03/15/2017	100.303	-1,008,311.25
02/15/2016	02/15/2016	Maturity	-771,000.00	459056HY6	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	100.00	771,000.00
02/15/2016	02/15/2016	Maturity	-163,000.00	459056HY6	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00	02/15/2016	100.00	163,000.00
02/02/2016	02/05/2016	Buy	750,000.00	459058DM2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.50	05/16/2016	99.997	-750,800.42
01/19/2016	01/19/2016	Coupon	0.00	45905U7F5	INTERNATIONAL BK FOR RECON & DEV MEDIUM TERM BK N	0.45	07/19/2016	---	2,540.00
01/20/2016	01/21/2016	Buy	600,000.00	45905UQG2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.625	09/26/2016	99.955	-600,927.92
03/26/2016	03/26/2016	Coupon	0.00	45905UQG2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.625	09/26/2016	---	1,878.00
02/15/2016	02/15/2016	Coupon	0.00	46623EJY6	JPMORGAN CHASE & CO	1.35	02/15/2017	---	3,375.00
01/20/2016	01/25/2016	Buy	500,000.00	46623EJY6	JPMORGAN CHASE & CO	1.35	02/15/2017	100.099	-503,495.00
01/15/2016	01/15/2016	Coupon	0.00	46625HHW3	JPMORGAN CHASE & CO	2.60	01/15/2016	---	9,750.00
01/15/2016	01/15/2016	Maturity	-750,000.00	46625HHW3	JPMORGAN CHASE & CO	2.60	01/15/2016	100.00	750,000.00
01/15/2016	01/15/2016	Coupon	0.00	47787WAB5	JDOT-15B-A2	0.98	06/15/2018	---	326.67
02/15/2016	02/15/2016	Coupon	0.00	47787WAB5	JDOT-15B-A2	0.98	06/15/2018	---	326.67
03/15/2016	03/15/2016	Coupon	0.00	47787WAB5	JDOT-15B-A2	0.98	06/15/2018	---	326.67
01/01/2016	01/01/2016	Coupon	0.00	5446462Q4	LOS ANGELES CALIF UNI SCH DIST	0.486	01/01/2016	---	972.00
01/01/2016	01/01/2016	Maturity	-400,000.00	5446462Q4	LOS ANGELES CALIF UNI SCH DIST	0.486	01/01/2016	100.00	400,000.00
02/15/2016	02/15/2016	Coupon	0.00	58772PAB4	MBART-151-A2A	0.82	06/15/2018	---	444.17
01/15/2016	01/15/2016	Coupon	0.00	58772PAB4	MBART-151-A2A	0.82	06/15/2018	---	444.17

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03/15/2016	03/15/2016	Principal Paydown	-48,580.44	58772PAB4	MBART-151-A2A	0.82	06/15/2018	---	48,580.44
03/15/2016	03/15/2016	Coupon	0.00	58772PAB4	MBART-151-A2A	0.82	06/15/2018	---	444.17
02/03/2016	02/08/2016	Buy	500,000.00	637432HT5	NATIONAL RURAL UTILITIES COOP FINANCE CORP	5.45	04/10/2017	105.07	-534,281.94
02/15/2016	02/15/2016	Coupon	0.00	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	163.91
02/15/2016	02/15/2016	Principal Paydown	-66,720.53	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	66,720.53
03/15/2016	03/15/2016	Principal Paydown	-67,654.27	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	67,654.27
03/15/2016	03/15/2016	Coupon	0.00	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	130.55
01/15/2016	01/15/2016	Principal Paydown	-68,676.29	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	68,676.29
01/15/2016	01/15/2016	Coupon	0.00	65477WAB2	NART-14B-A2	0.60	06/15/2017	---	198.25
02/01/2016	02/01/2016	Maturity	-300,000.00	68428LDH4	ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	100.00	300,000.00
02/01/2016	02/01/2016	Maturity	-490,000.00	68428LDH4	ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	100.00	490,000.00
02/01/2016	02/01/2016	Coupon	0.00	68428LDH4	ORANGE CNTY CALIF PENSION OBLIG	0.68	02/01/2016	---	2,656.16
01/08/2016	01/13/2016	Buy	250,000.00	68428LDM3	ORANGE CNTY CALIF PENSION OBLIG	0.938	11/01/2016	100.00	-250,000.00
01/28/2016	01/28/2016	Maturity	-750,000.00	69349LAH1	PNC BANK,NA	0.80	01/28/2016	100.00	750,000.00
01/28/2016	01/28/2016	Coupon	0.00	69349LAH1	PNC BANK,NA	0.80	01/28/2016	---	3,000.00
01/28/2016	02/02/2016	Buy	750,000.00	69353RCG1	PNC BANK NA	1.125	01/27/2017	100.00	-750,117.19
02/01/2016	02/01/2016	Coupon	0.00	762494QV7	RIALTO CALIF UNI SCH DIST	1.258	02/01/2017	---	1,572.50
03/01/2016	03/01/2016	Coupon	0.00	76912TJC8	RIVERSIDE CNTY CALIF PUB FING AUTH TAX ALLOC REV	1.00	09/01/2016	---	625.00
03/07/2016	03/07/2016	Maturity	-285,000.00	857477AH6	STATE STREET CORP	2.875	03/07/2016	100.00	285,000.00
03/07/2016	03/07/2016	Maturity	-300,000.00	857477AH6	STATE STREET CORP	2.875	03/07/2016	100.00	300,000.00
03/07/2016	03/07/2016	Coupon	0.00	857477AH6	STATE STREET CORP	2.875	03/07/2016	---	8,409.38
03/28/2016	03/29/2016	Buy	586,000.00	880591EA6	TENNESSEE VALLEY AUTHORITY	5.50	07/18/2017	105.976	-627,375.83
03/01/2016	03/01/2016	Maturity	-750,000.00	89116EC19	Toronto Dominion Holdings (U.S.A.), Inc.	0.00	03/01/2016	100.00	750,000.00
01/28/2016	01/28/2016	Coupon	0.00	89233AHP7	Toyota Motor Credit Corporation	0.601	02/19/2016	---	246.50
02/19/2016	02/19/2016	Coupon	0.00	89233AHP7	Toyota Motor Credit Corporation	0.601	02/19/2016	---	183.52
02/19/2016	02/19/2016	Maturity	-500,000.00	89233AHP7	Toyota Motor Credit Corporation	0.601	02/19/2016	100.00	500,000.00
02/19/2016	02/22/2016	Buy	500,000.00	89233GEJ1	Toyota Motor Credit Corporation	0.00	05/18/2016	99.871	-499,355.00
02/15/2016	02/15/2016	Coupon	0.00	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	257.44
02/15/2016	02/15/2016	Principal Paydown	-54,524.90	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	54,524.90
01/15/2016	01/15/2016	Principal Paydown	-60,751.76	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	60,751.76
01/15/2016	01/15/2016	Coupon	0.00	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	293.38
03/15/2016	03/15/2016	Principal Paydown	-56,561.02	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	56,561.02
03/15/2016	03/15/2016	Coupon	0.00	89236WAB4	TART-15A-A2	0.71	07/17/2017	---	225.18
01/15/2016	01/15/2016	Coupon	0.00	90290XAB3	USAOT-151-A2	0.82	03/15/2018	---	328.00
03/15/2016	03/15/2016	Principal Paydown	-10,971.59	90290XAB3	USAOT-151-A2	0.82	03/15/2018	---	10,971.59
03/15/2016	03/15/2016	Coupon	0.00	90290XAB3	USAOT-151-A2	0.82	03/15/2018	---	328.00
02/15/2016	02/15/2016	Coupon	0.00	90290XAB3	USAOT-151-A2	0.82	03/15/2018	---	328.00
01/26/2016	01/26/2016	Coupon	0.00	90331HMR1	US BANK NA	0.919	01/26/2018	---	1,188.14
02/29/2016	02/29/2016	Maturity	-1,000,000.00	912828B82	UNITED STATES TREASURY	0.25	02/29/2016	100.00	1,000,000.00
02/29/2016	02/29/2016	Coupon	0.00	912828B82	UNITED STATES TREASURY	0.25	02/29/2016	---	1,250.00
01/31/2016	01/31/2016	Coupon	0.00	912828PS3	UNITED STATES TREASURY	2.00	01/31/2016	---	20,000.00
01/31/2016	01/31/2016	Maturity	-1,000,000.00	912828PS3	UNITED STATES TREASURY	2.00	01/31/2016	100.00	1,000,000.00
01/31/2016	01/31/2016	Maturity	-1,000,000.00	912828PS3	UNITED STATES TREASURY	2.00	01/31/2016	100.00	1,000,000.00
01/31/2016	01/31/2016	Coupon	0.00	912828QX1	UNITED STATES TREASURY	1.50	07/31/2016	---	7,500.00
02/29/2016	02/29/2016	Coupon	0.00	912828RF9	UNITED STATES TREASURY	1.00	08/31/2016	---	10,000.00
03/31/2016	03/31/2016	Coupon	0.00	912828TS9	UNITED STATES TREASURY	0.625	09/30/2017	---	3,125.00
01/15/2016	01/15/2016	Coupon	0.00	912828VL1	UNITED STATES TREASURY	0.625	07/15/2016	---	3,125.00
02/01/2016	02/01/2016	Coupon	0.00	91412GEZ4	UNIVERSITY CALIF REVS	0.926	07/01/2017	---	216.42

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Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
03/01/2016	03/01/2016	Coupon	0.00	91412GEZ4	UNIVERSITY CALIF REVS	0.938	07/01/2017	---	223.78
01/26/2016	01/29/2016	Buy	300,000.00	91412GEZ4	UNIVERSITY CALIF REVS	0.927	07/01/2017	100.00	-300,193.33
02/23/2016	02/23/2016	Coupon	0.00	928668AD4	VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	0.838	05/23/2016	---	765.00
03/07/2016	03/07/2016	Buy	593,977.73	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-593,977.73
03/07/2016	03/07/2016	Buy	4,500.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-4,500.00
03/11/2016	03/11/2016	Buy	0.05	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-0.05
03/10/2016	03/10/2016	Buy	1,010,000.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-1,010,000.00
03/09/2016	03/09/2016	Buy	451.66	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-451.66
03/16/2016	03/16/2016	Buy	3,375.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-3,375.00
03/16/2016	03/16/2016	Sell	-3,375.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	3,375.00
03/15/2016	03/15/2016	Buy	190,828.35	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-190,828.35
03/15/2016	03/15/2016	Buy	49,024.60	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-49,024.60
03/15/2016	03/15/2016	Buy	43,968.83	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-43,968.83
03/14/2016	03/14/2016	Sell	-1,007,691.25	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	1,007,691.25
03/22/2016	03/22/2016	Buy	511.09	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-511.09
03/21/2016	03/21/2016	Buy	1,932.80	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-1,932.80
03/21/2016	03/21/2016	Sell	-1,006,333.73	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	1,006,333.73
03/28/2016	03/28/2016	Buy	5,625.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-5,625.00
03/31/2016	03/31/2016	Sell	-1,003,046.11	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	1,003,046.11
03/30/2016	03/30/2016	Buy	1,878.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	-1,878.00
03/30/2016	03/30/2016	Sell	-1,875.00	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	1,875.00
03/29/2016	03/29/2016	Sell	-627,375.83	949917397	WellsFargo:Htge MM;I	0.34	03/31/2016	1.00	627,375.83
01/04/2016	01/04/2016	Buy	401,197.38	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-401,197.38
01/08/2016	01/08/2016	Buy	750,000.00	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-750,000.00
01/08/2016	01/08/2016	Buy	1,759.50	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-1,759.50
01/12/2016	01/12/2016	Sell	-249,043.79	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	249,043.79
01/15/2016	01/15/2016	Buy	3,125.00	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-3,125.00
01/15/2016	01/15/2016	Buy	951,080.26	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-951,080.26
01/14/2016	01/14/2016	Sell	-755,279.61	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	755,279.61
01/13/2016	01/13/2016	Sell	-250,000.00	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	250,000.00
01/20/2016	01/20/2016	Sell	-1,728.09	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	1,728.09
01/20/2016	01/20/2016	Sell	-2,537.50	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	2,537.50
01/19/2016	01/19/2016	Buy	63,909.31	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-63,909.31
01/22/2016	01/22/2016	Buy	1,243.06	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-1,243.06
01/22/2016	01/22/2016	Buy	1,000,000.00	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-1,000,000.00
01/21/2016	01/21/2016	Buy	400,522.08	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-400,522.08
01/28/2016	01/28/2016	Buy	761,625.00	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-761,625.00
01/28/2016	01/28/2016	Buy	246.50	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-246.50
01/26/2016	01/26/2016	Sell	-14.73	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	14.73
01/26/2016	01/26/2016	Buy	1,188.14	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	-1,188.14
01/25/2016	01/25/2016	Sell	-503,495.00	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	503,495.00
02/01/2016	02/01/2016	Buy	2,656.16	949917397	WellsFargo:Htge MM;I	0.35	03/31/2016	1.00	-2,656.16
02/01/2016	02/01/2016	Buy	2,830,625.96	949917397	WellsFargo:Htge MM;I	0.35	03/31/2016	1.00	-2,830,625.96
01/31/2016	01/31/2016	Money Market Funds	0.00	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	---	651.93
01/29/2016	01/29/2016	Sell	-1,000,133.64	949917397	WellsFargo:Htge MM;I	0.32	03/31/2016	1.00	1,000,133.64
02/05/2016	02/05/2016	Buy	14.73	949917397	WellsFargo:Htge MM;I	0.35	03/31/2016	1.00	-14.73
02/05/2016	02/05/2016	Buy	249,199.58	949917397	WellsFargo:Htge MM;I	0.35	03/31/2016	1.00	-249,199.58
02/02/2016	02/02/2016	Sell	-750,117.19	949917397	WellsFargo:Htge MM;I	0.35	03/31/2016	1.00	750,117.19
02/08/2016	02/08/2016	Sell	-534,281.94	949917397	WellsFargo:Htge MM;I	0.35	03/31/2016	1.00	534,281.94



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Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
02/11/2016	02/11/2016	Sell	-604,945.50	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	604,945.50
02/10/2016	02/10/2016	Sell	-0.11	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	0.11
02/17/2016	02/17/2016	Sell	-598,194.69	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	598,194.69
02/16/2016	02/16/2016	Buy	578,446.84	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-578,446.84
02/16/2016	02/16/2016	Buy	788,507.93	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-788,507.93
02/16/2016	02/16/2016	Buy	14.14	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-14.14
02/19/2016	02/19/2016	Buy	183.52	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-183.52
02/19/2016	02/19/2016	Buy	500,000.00	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-500,000.00
02/25/2016	02/25/2016	Buy	2,350.00	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-2,350.00
02/23/2016	02/23/2016	Sell	-700,412.22	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	700,412.22
02/23/2016	02/23/2016	Buy	765.00	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-765.00
02/22/2016	02/22/2016	Sell	-503,534.36	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	503,534.36
02/29/2016	02/29/2016	Buy	1,000,000.00	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-1,000,000.00
02/29/2016	02/29/2016	Buy	1,250.00	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-1,250.00
02/29/2016	02/29/2016	Money Market Funds	0.00	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	---	1,316.26
02/29/2016	02/29/2016	Buy	10,000.00	949917397	WellsFargo:Htge MM;l	0.35	03/31/2016	1.00	-10,000.00
03/04/2016	03/04/2016	Sell	-1,008,311.25	949917397	WellsFargo:Htge MM;l	0.34	03/31/2016	1.00	1,008,311.25
03/03/2016	03/03/2016	Sell	-1,568,974.17	949917397	WellsFargo:Htge MM;l	0.34	03/31/2016	1.00	1,568,974.17
03/01/2016	03/01/2016	Buy	754,265.04	949917397	WellsFargo:Htge MM;l	0.34	03/31/2016	1.00	-754,265.04
01/20/2016	01/20/2016	Management Fee	0.00	CCYUSD	US Dollar	0.00	03/31/2016	---	-4,268.09
02/22/2016	02/22/2016	Management Fee	0.00	CCYUSD	US Dollar	0.00	03/31/2016	---	-4,179.36
03/21/2016	03/21/2016	Management Fee	0.00	CCYUSD	US Dollar	0.00	03/31/2016	---	-4,158.87
---	---	---	-5,404.17	---	---	---	---	---	-225.44

Summary

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Description	Coupon Rate	Final Maturity	Price	Base Amount
---	---	---	-5,404.17	---	---	---	---	---	977.36

\* 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.



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\* Does not Lock Down.

Receivable

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
03/31/2016	03/31/2016	Money Market Funds	0.00	949917397	SHIXX	WellsFargo:Htge MM;I	1,202.80
<b>03/31/2016</b>	<b>03/31/2016</b>	<b>Money Market Funds</b>	<b>0.00</b>	<b>949917397</b>	<b>SHIXX</b>	<b>WellsFargo:Htge MM;I</b>	<b>1,202.80</b>

Settled

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
03/07/2016	03/07/2016	Buy	593,977.73	949917397	SHIXX	WellsFargo:Htge MM;I	-593,977.73
03/07/2016	03/07/2016	Buy	4,500.00	949917397	SHIXX	WellsFargo:Htge MM;I	-4,500.00
03/11/2016	03/11/2016	Buy	0.05	949917397	SHIXX	WellsFargo:Htge MM;I	-0.05
03/10/2016	03/10/2016	Buy	1,010,000.00	949917397	SHIXX	WellsFargo:Htge MM;I	-1,010,000.00
03/09/2016	03/09/2016	Buy	451.66	949917397	SHIXX	WellsFargo:Htge MM;I	-451.66
03/16/2016	03/16/2016	Buy	3,375.00	949917397	SHIXX	WellsFargo:Htge MM;I	-3,375.00
03/16/2016	03/16/2016	Sell	-3,375.00	949917397	SHIXX	WellsFargo:Htge MM;I	3,375.00
03/15/2016	03/15/2016	Buy	190,828.35	949917397	SHIXX	WellsFargo:Htge MM;I	-190,828.35
03/15/2016	03/15/2016	Buy	49,024.60	949917397	SHIXX	WellsFargo:Htge MM;I	-49,024.60
03/15/2016	03/15/2016	Buy	43,968.83	949917397	SHIXX	WellsFargo:Htge MM;I	-43,968.83
03/14/2016	03/14/2016	Sell	-1,007,691.25	949917397	SHIXX	WellsFargo:Htge MM;I	1,007,691.25
03/22/2016	03/22/2016	Buy	511.09	949917397	SHIXX	WellsFargo:Htge MM;I	-511.09
03/21/2016	03/21/2016	Buy	1,932.80	949917397	SHIXX	WellsFargo:Htge MM;I	-1,932.80
03/21/2016	03/21/2016	Sell	-1,006,333.73	949917397	SHIXX	WellsFargo:Htge MM;I	1,006,333.73
03/28/2016	03/28/2016	Buy	5,625.00	949917397	SHIXX	WellsFargo:Htge MM;I	-5,625.00
03/31/2016	03/31/2016	Sell	-1,003,046.11	949917397	SHIXX	WellsFargo:Htge MM;I	1,003,046.11
03/30/2016	03/30/2016	Buy	1,878.00	949917397	SHIXX	WellsFargo:Htge MM;I	-1,878.00
03/30/2016	03/30/2016	Sell	-1,875.00	949917397	SHIXX	WellsFargo:Htge MM;I	1,875.00
03/29/2016	03/29/2016	Sell	-627,375.83	949917397	SHIXX	WellsFargo:Htge MM;I	627,375.83
01/04/2016	01/04/2016	Buy	401,197.38	949917397	SHIXX	WellsFargo:Htge MM;I	-401,197.38
01/08/2016	01/08/2016	Buy	750,000.00	949917397	SHIXX	WellsFargo:Htge MM;I	-750,000.00
01/08/2016	01/08/2016	Buy	1,759.50	949917397	SHIXX	WellsFargo:Htge MM;I	-1,759.50
01/12/2016	01/12/2016	Sell	-249,043.79	949917397	SHIXX	WellsFargo:Htge MM;I	249,043.79
01/15/2016	01/15/2016	Buy	3,125.00	949917397	SHIXX	WellsFargo:Htge MM;I	-3,125.00
01/15/2016	01/15/2016	Buy	951,080.26	949917397	SHIXX	WellsFargo:Htge MM;I	-951,080.26
01/14/2016	01/14/2016	Sell	-755,279.61	949917397	SHIXX	WellsFargo:Htge MM;I	755,279.61
01/13/2016	01/13/2016	Sell	-250,000.00	949917397	SHIXX	WellsFargo:Htge MM;I	250,000.00
01/20/2016	01/20/2016	Sell	-1,728.09	949917397	SHIXX	WellsFargo:Htge MM;I	1,728.09
01/20/2016	01/20/2016	Sell	-2,537.50	949917397	SHIXX	WellsFargo:Htge MM;I	2,537.50
01/19/2016	01/19/2016	Buy	63,909.31	949917397	SHIXX	WellsFargo:Htge MM;I	-63,909.31
01/22/2016	01/22/2016	Buy	1,243.06	949917397	SHIXX	WellsFargo:Htge MM;I	-1,243.06
01/22/2016	01/22/2016	Buy	1,000,000.00	949917397	SHIXX	WellsFargo:Htge MM;I	-1,000,000.00
01/21/2016	01/21/2016	Buy	400,522.08	949917397	SHIXX	WellsFargo:Htge MM;I	-400,522.08
01/28/2016	01/28/2016	Buy	761,625.00	949917397	SHIXX	WellsFargo:Htge MM;I	-761,625.00
01/28/2016	01/28/2016	Buy	246.50	949917397	SHIXX	WellsFargo:Htge MM;I	-246.50
01/26/2016	01/26/2016	Sell	-14.73	949917397	SHIXX	WellsFargo:Htge MM;I	14.73
01/26/2016	01/26/2016	Buy	1,188.14	949917397	SHIXX	WellsFargo:Htge MM;I	-1,188.14
01/25/2016	01/25/2016	Sell	-503,495.00	949917397	SHIXX	WellsFargo:Htge MM;I	503,495.00
02/01/2016	02/01/2016	Buy	2,656.16	949917397	SHIXX	WellsFargo:Htge MM;I	-2,656.16
02/01/2016	02/01/2016	Buy	2,830,625.96	949917397	SHIXX	WellsFargo:Htge MM;I	-2,830,625.96
01/31/2016	01/31/2016	Money Market Funds	0.00	949917397	SHIXX	WellsFargo:Htge MM;I	651.93
01/29/2016	01/29/2016	Sell	-1,000,133.64	949917397	SHIXX	WellsFargo:Htge MM;I	1,000,133.64

MMF Transaction Detail

WC-Contra Costa County (19529)

Base Currency: USD 01/01/2016 - 03/31/2016

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Dated: 04/05/2016

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
02/05/2016	02/05/2016	Buy	14.73	949917397	SHIXX	WellsFargo:Htge MM;l	-14.73
02/05/2016	02/05/2016	Buy	249,199.58	949917397	SHIXX	WellsFargo:Htge MM;l	-249,199.58
02/02/2016	02/02/2016	Sell	-750,117.19	949917397	SHIXX	WellsFargo:Htge MM;l	750,117.19
02/08/2016	02/08/2016	Sell	-534,281.94	949917397	SHIXX	WellsFargo:Htge MM;l	534,281.94
02/11/2016	02/11/2016	Sell	-604,945.50	949917397	SHIXX	WellsFargo:Htge MM;l	604,945.50
02/10/2016	02/10/2016	Sell	-0.11	949917397	SHIXX	WellsFargo:Htge MM;l	0.11
02/17/2016	02/17/2016	Sell	-598,194.69	949917397	SHIXX	WellsFargo:Htge MM;l	598,194.69
02/16/2016	02/16/2016	Buy	578,446.84	949917397	SHIXX	WellsFargo:Htge MM;l	-578,446.84
02/16/2016	02/16/2016	Buy	788,507.93	949917397	SHIXX	WellsFargo:Htge MM;l	-788,507.93
02/16/2016	02/16/2016	Buy	14.14	949917397	SHIXX	WellsFargo:Htge MM;l	-14.14
02/19/2016	02/19/2016	Buy	183.52	949917397	SHIXX	WellsFargo:Htge MM;l	-183.52
02/19/2016	02/19/2016	Buy	500,000.00	949917397	SHIXX	WellsFargo:Htge MM;l	-500,000.00
02/25/2016	02/25/2016	Buy	2,350.00	949917397	SHIXX	WellsFargo:Htge MM;l	-2,350.00
02/23/2016	02/23/2016	Sell	-700,412.22	949917397	SHIXX	WellsFargo:Htge MM;l	700,412.22
02/23/2016	02/23/2016	Buy	765.00	949917397	SHIXX	WellsFargo:Htge MM;l	-765.00
02/22/2016	02/22/2016	Sell	-503,534.36	949917397	SHIXX	WellsFargo:Htge MM;l	503,534.36
02/29/2016	02/29/2016	Buy	1,000,000.00	949917397	SHIXX	WellsFargo:Htge MM;l	-1,000,000.00
02/29/2016	02/29/2016	Buy	1,250.00	949917397	SHIXX	WellsFargo:Htge MM;l	-1,250.00
02/29/2016	02/29/2016	Money Market Funds	0.00	949917397	SHIXX	WellsFargo:Htge MM;l	1,316.26
02/29/2016	02/29/2016	Buy	10,000.00	949917397	SHIXX	WellsFargo:Htge MM;l	-10,000.00
03/04/2016	03/04/2016	Sell	-1,008,311.25	949917397	SHIXX	WellsFargo:Htge MM;l	1,008,311.25
03/03/2016	03/03/2016	Sell	-1,568,974.17	949917397	SHIXX	WellsFargo:Htge MM;l	1,568,974.17
03/01/2016	03/01/2016	Buy	754,265.04	949917397	SHIXX	WellsFargo:Htge MM;l	-754,265.04
---	---	---	279,547.53	949917397	SHIXX	WellsFargo:Htge MM;l	-277,579.34

Summary

Entry Date	Settle Date	Transaction Type	Base Current Units	Identifier	Ticker	Description	Base Amount
---	---	---	279,547.53	949917397	SHIXX	WellsFargo:Htge MM;l	-276,376.54

\* 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.

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WC-Contra Costa County (19529)

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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
41284BAB2 HARLY-151-A2A	318,989.82 0.00	0.00 0.00	-71,462.95	0.00	0.52	-25.41	-0.00	283.38	0.00	247,785.36
90290XAB3 USAOT-151-A2	479,435.45 0.00	0.00 0.00	-10,971.59	0.00	3.43	-4.00	-0.00	488.88	0.00	468,952.16
65477WAB2 NART-14B-A2	396,323.85 0.00	0.00 0.00	-203,051.09	0.00	5.75	-54.15	-0.00	173.09	0.00	193,397.44
31679KAB6 FTAT-142-A2A	86,700.73 0.00	0.00 0.00	-86,721.92	0.00	0.71	-17.34	-0.00	37.83	0.00	0.00
949917397 WellsFargo:Htge MM;l	1,399,428.32 12,960,248.24	-12,680,700.71 0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1,678,975.85
912828B82 UNITED STATES TREASURY	1,000,766.78 0.00	0.00 -1,000,000.00	0.00	0.00	304.70	-844.78	0.00	-226.70	0.00	0.00
459058DM2 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00 749,977.50	0.00 0.00	0.00	0.00	12.48	1,406.25	0.00	599.52	0.00	751,995.75
459058DM2 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	1,000,802.00 0.00	0.00 0.00	0.00	0.00	16.55	1,250.00	0.00	592.45	0.00	1,002,661.00
3130A4KE1 FEDERAL HOME LOAN BANKS	500,214.50 0.00	0.00 0.00	0.00	0.00	19.10	412.50	0.00	178.90	0.00	500,825.00
36962G6Q2 GENERAL ELECTRIC CAPITAL CORP	751,637.63 0.00	0.00 -750,000.00	0.00	0.00	-32.11	-1,625.63	0.00	20.11	0.00	0.00
605581FW2 MISSISSIPPI ST	300,261.00 0.00	0.00 0.00	0.00	0.00	0.00	480.00	0.00	666.00	0.00	301,407.00
46623EJY6 JPMORGAN CHASE & CO	0.00 500,495.00	0.00 0.00	0.00	0.00	-85.70	862.50	0.00	690.70	0.00	501,962.50
90331HMR1 US BANK NA	448,324.52 0.00	0.00 0.00	0.00	0.00	-114.44	239.09	0.00	349.34	0.00	448,798.51
90331HMR1 US BANK NA	298,883.01 0.00	0.00 0.00	0.00	0.00	0.00	159.39	0.00	156.60	0.00	299,199.01
857477AH6 STATE STREET CORP	288,598.74 0.00	0.00 -285,000.00	0.00	0.00	-1,158.16	-2,594.69	0.00	154.10	0.00	0.00
857477AH6 STATE STREET CORP	303,788.15 0.00	0.00 -300,000.00	0.00	0.00	-1,259.17	-2,731.25	0.00	202.27	0.00	0.00
06050TLU4 BANK OF AMERICA NA	499,731.80 0.00	0.00 0.00	0.00	0.00	0.00	148.82	0.00	833.50	0.00	500,714.13
084664CD1 BERKSHIRE HATHAWAY FINANCE CORP	749,322.08 0.00	0.00 0.00	0.00	0.00	0.00	500.83	0.00	1,677.00	0.00	751,499.92
05531FAG8 BB&T CORP	759,117.92 0.00	-750,000.00 0.00	0.00	0.00	-2,375.70	-7,066.67	0.00	324.45	0.00	0.00
3137EADF3 FREDDIE MAC	0.00 1,005,120.00	0.00 0.00	0.00	0.00	-341.33	4,826.39	0.00	1,368.33	0.00	1,010,973.39
3133EFBT3 FEDERAL FARM CREDIT BANKS FUNDING CORP	1,000,334.00 0.00	0.00 0.00	0.00	0.00	49.73	-1,050.00	0.00	564.27	0.00	999,898.00
880591EA6 TENNESSEE VALLEY AUTHORITY	0.00 621,019.36	0.00 0.00	0.00	0.00	-220.71	6,535.53	0.00	629.15	0.00	627,963.33
161571GJ7 CHAIT 2014-A1 A1	774,796.88 0.00	0.00 0.00	0.00	0.00	-249.97	0.00	0.00	2,176.62	0.00	776,723.53
03255LGX1 ANAHEIM CALIF PUB FING AUTH LEASE REV	751,460.00 0.00	0.00 0.00	0.00	0.00	0.00	1,875.00	0.00	37.50	0.00	753,372.50
912828QX1 UNITED STATES TREASURY	1,011,316.17 0.00	0.00 0.00	0.00	0.00	-2,644.96	-3,763.44	0.00	1,354.96	0.00	1,006,262.74
4197915E4 HAWAII ST	752,629.38 0.00	0.00 0.00	0.00	0.00	0.00	-1,370.63	0.00	772.50	0.00	752,031.25
69353RCG1 PNC BANK NA	0.00 750,000.00	0.00 0.00	0.00	0.00	0.00	1,500.00	0.00	808.50	0.00	752,308.50
912828SY7 UNITED STATES TREASURY	498,066.22 0.00	0.00 0.00	0.00	0.00	130.28	776.98	0.00	1,783.72	0.00	500,757.20

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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
166764AL4 CHEVRON CORP	0.00 698,005.00	0.00 0.00	0.00	0.00	191.59	3,556.78	0.00	6,020.21	0.00	707,773.58
89233AHP7 Toyota Motor Credit Corporation	499,948.74 0.00	0.00 -500,000.00	0.00	0.00	0.00	-30.24	0.00	81.50	0.00	0.00
3130A3J70 FEDERAL HOME LOAN BANKS	998,700.72 0.00	0.00 0.00	0.00	0.00	-349.24	1,562.50	0.00	2,778.24	0.00	1,002,692.22
097023BC8 BOEING CO	770,910.63 0.00	0.00 0.00	0.00	0.00	-5,363.38	7,031.25	0.00	690.88	0.00	773,269.38
89116EC19 Toronto Dominion Holdings (U.S.A.), Inc.	749,435.75 0.00	0.00 -750,000.00	0.00	0.00	475.00	0.00	0.00	89.25	0.00	0.00
928668AD4 VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	496,780.20 0.00	0.00 0.00	0.00	0.00	0.00	118.68	0.00	2,385.00	0.00	499,283.88
912828VL1 UNITED STATES TREASURY	1,002,965.23 0.00	0.00 0.00	0.00	0.00	-667.59	-1,565.11	0.00	1,370.59	0.00	1,002,103.12
4581X0BV9 INTER-AMERICAN DEVELOPMENT BANK	0.00 1,003,030.00	0.00 0.00	0.00	0.00	-225.64	500.00	0.00	-1.36	0.00	1,003,303.00
4581X0BV9 INTER-AMERICAN DEVELOPMENT BANK	0.00 602,208.00	0.00 0.00	0.00	0.00	-277.39	300.00	0.00	-248.81	0.00	601,981.80
3137EACW7 FREDDIE MAC	238,536.28 0.00	0.00 0.00	0.00	0.00	-681.96	-1,175.00	0.00	183.53	0.00	236,862.85
CCYUSD Receivable	225.38 0.00	0.00 0.00	0.00	0.00	0.00	0.00	0.00	0.00	979.09	1,204.47
CCYUSD Cash	-9.65 0.00	0.00 0.00	0.00	0.00	0.00	0.00	0.00	0.00	7.68	-1.97
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	999,536.67 0.00	0.00 0.00	0.00	0.00	-281.60	-1,250.00	0.00	1,982.60	0.00	999,987.67
3130A2T97 FEDERAL HOME LOAN BANKS	499,768.33 0.00	0.00 0.00	0.00	0.00	-103.75	-625.00	0.00	954.25	0.00	499,993.83
05581RAC0 BMWLT-161-A2B	0.00 600,000.00	0.00 0.00	0.00	0.00	0.00	170.88	0.00	53.82	0.00	600,224.70
76912TJC8 RIVERSIDE CNTY CALIF PUB FING AUTH TAX ALLOC REV	125,325.42 0.00	0.00 0.00	0.00	0.00	92.08	-312.50	0.00	-89.58	0.00	125,015.42
07330NAH8 BRANCH BANKING AND TRUST CO	0.00 697,690.00	0.00 0.00	0.00	0.00	216.74	3,461.11	0.00	1,475.86	0.00	702,843.71
912828RF9 UNITED STATES TREASURY	1,005,410.12 0.00	0.00 0.00	0.00	0.00	-1,405.96	-2,509.56	0.00	1,835.96	0.00	1,003,330.57
912828RF9 UNITED STATES TREASURY	1,005,410.12 0.00	0.00 0.00	0.00	0.00	-1,041.02	-2,509.56	0.00	1,471.02	0.00	1,003,330.57
912828WQ9 UNITED STATES TREASURY	999,779.74 0.00	0.00 0.00	0.00	0.00	-102.26	1,250.00	0.00	804.26	0.00	1,001,731.74
17305EFE0 CCCIT-13A6-A6	0.00 751,787.11	0.00 0.00	0.00	0.00	-588.16	660.00	0.00	184.65	0.00	752,043.60
46625HHW3 JPMORGAN CHASE & CO	759,305.17 0.00	0.00 -750,000.00	0.00	0.00	-497.21	-8,991.67	0.00	183.71	0.00	0.00
3136FPET0 FEDERAL NATIONAL MORTGAGE ASSOCIATION	1,009,481.67 0.00	0.00 -1,000,000.00	0.00	0.00	-3,146.40	-6,166.67	0.00	-168.60	0.00	0.00
313384SS9 FEDERAL HOME LOAN BANKS	999,778.00 0.00	0.00 -1,000,000.00	0.00	0.00	243.06	0.00	0.00	-21.06	0.00	0.00
91412GEZ4 UNIVERSITY CALIF REVS	0.00 300,000.00	0.00 0.00	0.00	0.00	0.00	242.32	0.00	-93.00	0.00	300,149.32
459056HY6 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	770,867.39 0.00	0.00 -771,000.00	0.00	0.00	424.45	0.00	0.00	-291.84	0.00	0.00

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459056HY6 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	162,971.96 0.00	0.00 -163,000.00	0.00	0.00	101.23	0.00	0.00	-73.19	0.00	0.00
45905U7F5 INTERNATIONAL BK FOR RECON & DEV MEDIUM TERM BK N	995,012.50 0.00	0.00 0.00	0.00	0.00	0.00	-1,412.50	0.00	6,420.00	0.00	1,000,020.00
3133EDQW5 FEDERAL FARM CREDIT BANKS FUNDING CORP	1,001,299.89 0.00	0.00 -1,000,000.00	0.00	0.00	49.07	-1,288.89	0.00	-60.07	0.00	0.00
69349LAH1 PNC BANK,NA	752,537.25 0.00	0.00 -750,000.00	0.00	0.00	0.00	-2,550.00	0.00	12.75	0.00	0.00
30231GAS1 EXXON MOBIL CORP	0.00 560,000.00	0.00 0.00	0.00	0.00	0.00	555.59	0.00	1,695.12	0.00	562,250.71
17275RAY8 CISCO SYSTEMS INC	748,716.88 0.00	0.00 0.00	0.00	0.00	0.00	43.16	0.00	-172.50	0.00	748,587.53
06406HBX6 BANK OF NEW YORK MELLON CORP	763,680.75 0.00	0.00 0.00	0.00	0.00	-3,079.87	-4,312.50	0.00	607.87	0.00	756,896.25
313384ZK8 FEDERAL HOME LOAN BANKS	498,445.50 0.00	0.00 0.00	0.00	0.00	770.97	0.00	0.00	258.53	0.00	499,475.00
3130A3XU3 FEDERAL HOME LOAN BANKS	1,001,155.22 0.00	0.00 -1,000,000.00	0.00	0.00	7.58	-1,097.22	0.00	-65.58	0.00	0.00
3137EADT3 FREDDIE MAC	0.00 1,001,470.00	0.00 0.00	0.00	0.00	-47.84	947.92	0.00	531.84	0.00	1,002,901.92
637432HT5 NATIONAL RURAL UTILITIES COOP FINANCE CORP	0.00 525,350.00	0.00 0.00	0.00	0.00	-3,146.49	12,943.75	0.00	-176.51	0.00	534,970.75
762494QV7 RIALTO CALIF UNI SCH DIST	250,975.42 0.00	0.00 0.00	0.00	0.00	0.00	-786.25	0.00	1,497.50	0.00	251,686.67
68428LDH4 ORANGE CNTY CALIF PENSION OBLIG	300,883.67 0.00	0.00 -300,000.00	0.00	0.00	0.00	-838.67	0.00	-45.00	0.00	0.00
68428LDH4 ORANGE CNTY CALIF PENSION OBLIG	491,443.32 0.00	0.00 -490,000.00	0.00	0.00	0.00	-1,369.82	0.00	-73.50	0.00	0.00
313379FW4 FEDERAL HOME LOAN BANKS	0.00 1,003,060.00	0.00 0.00	0.00	0.00	-7.03	3,111.11	0.00	692.03	0.00	1,006,856.11
912828TS9 UNITED STATES TREASURY	994,674.11 0.00	0.00 0.00	0.00	0.00	15.13	-1,571.04	0.00	5,609.87	0.00	998,728.08
06050TMB5 BANK OF AMERICA NA	249,321.10 0.00	0.00 0.00	0.00	0.00	0.00	31.88	0.00	498.75	0.00	249,851.72
09247XAC5 BLACKROCK INC	0.00 539,065.00	0.00 0.00	0.00	0.00	-3,046.66	1,388.89	0.00	839.16	0.00	538,246.39
5446462Q4 LOS ANGELES CALIF UNI SCH DIST	0.00 400,972.00	0.00 -400,000.00	0.00	0.00	0.00	-972.00	0.00	0.00	0.00	0.00
313373SZ6 FEDERAL HOME LOAN BANKS	1,007,691.58 0.00	0.00 0.00	0.00	0.00	-4,018.14	5,312.50	0.00	780.14	0.00	1,009,766.08
31680GAB2 FTAT-151-A2A	499,024.32 0.00	0.00 0.00	0.00	0.00	2.35	0.00	0.00	1,105.95	0.00	500,132.62
3135G0JA2 FEDERAL NATIONAL MORTGAGE ASSOCIATION	0.00 1,003,410.00	0.00 0.00	0.00	0.00	-150.07	4,812.50	0.00	1,425.07	0.00	1,009,497.50
91412GUT0 UNIVERSITY CALIF REVS	250,295.03 0.00	0.00 0.00	0.00	0.00	0.00	396.25	0.00	40.00	0.00	250,731.28
47787WAB5 JDOT-15B-A2	399,252.58 0.00	0.00 0.00	0.00	0.00	2.09	0.00	0.00	702.55	0.00	399,957.22
45905UQG2 INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	0.00 599,730.00	0.00 0.00	0.00	0.00	76.99	52.08	0.00	1,099.61	0.00	600,958.68
02665WAY7 AMERICAN HONDA FINANCE CORP	499,611.92 0.00	0.00 0.00	0.00	0.00	0.00	8.98	0.00	1,490.50	0.00	501,111.40
02665WAY7 AMERICAN HONDA FINANCE CORP	0.00 250,057.50	0.00 0.00	0.00	0.00	-7.46	89.45	0.00	416.21	0.00	250,555.70

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191216BR0 COCA-COLA CO	299,348.87 0.00	0.00 0.00	0.00	0.00	16.43	656.25	0.00	1,629.07	0.00	301,650.62
437076BJ0 HOME DEPOT INC	751,417.13 0.00	0.00 0.00	0.00	0.00	0.00	43.16	0.00	1,520.25	0.00	752,980.53
912828PS3 UNITED STATES TREASURY	1,009,589.57 0.00	0.00 -1,000,000.00	0.00	0.00	-1,376.79	-8,369.57	0.00	156.79	0.00	0.00
912828PS3 UNITED STATES TREASURY	1,009,589.57 0.00	0.00 -1,000,000.00	0.00	0.00	-1,364.23	-8,369.57	0.00	144.23	0.00	0.00
14912L4X6 CATERPILLAR FINANCIAL SERVICES CORP	786,365.12 0.00	0.00 0.00	0.00	0.00	-2,697.91	-3,971.88	0.00	1,463.34	0.00	781,158.67
544587B72 LOS ANGELES CALIF MUN IMPT CORP LEASE REV	491,558.20 0.00	0.00 0.00	0.00	0.00	0.00	1,543.50	0.00	98.00	0.00	493,199.70
89233GEJ1 Toyota Motor Credit Corporation	0.00 499,355.00	0.00 0.00	0.00	0.00	292.50	0.00	0.00	27.84	0.00	499,675.34
68428LDM3 ORANGE CNTY CALIF PENSION OBLIG	0.00 250,000.00	0.00 0.00	0.00	0.00	0.00	508.08	0.00	417.50	0.00	250,925.58
89236WAB4 TART-15A-A2	495,594.07 0.00	0.00 0.00	-171,837.68	0.00	1.10	-54.22	0.00	274.64	0.00	323,977.91
58772PAB4 MBART-151-A2A	648,745.53 0.00	0.00 0.00	-48,580.44	0.00	222.54	-17.70	0.00	831.41	0.00	601,201.33
41284AAB4 HARLY-141-A2A	65,757.06 0.00	0.00 0.00	-35,823.18	0.00	0.60	-7.80	0.00	46.09	0.00	29,972.77
43814KAB7 HONDO-151-A2	252,797.77 0.00	0.00 0.00	-93,502.85	0.00	3.30	-29.09	0.01	197.98	0.00	159,467.12
---	44,381,812.71	-13,430,700.71	-721,951.70	0.00	-38,408.28	-11,030.13	0.00	70,192.30	986.77	44,512,978.68
---	27,471,077.71	-13,209,000.00								

\* Weighted By: Ending Base Market Value + Accrued.

# Shock Analysis

Base Currency: USD As of 03/31/2016

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WC-Contra Costa County (19529)

Dated: 04/05/2016

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	751,398.75	1.087	1.367	0.216	753,617.56	753,021.85	752,210.28	750,587.26	749,775.80	748,153.01
03255LGX1	ANAHEIM CALIF PUB FING AUTH LEASE REV	MUNI	750,247.50	1.00	0.777	0.084	750,737.19	750,737.19	750,562.61	749,932.41	749,617.33	748,987.23
05581RAC0	BMWLT-161-A2B	ABS	600,053.82	0.947	1.255	0.051	600,437.88	600,359.85	600,206.83	599,900.81	599,747.79	599,441.77
06050TLU4	BANK OF AMERICA NA	CORP	500,034.00	1.109	1.659	0.112	500,963.17	500,594.06	500,314.03	499,753.99	499,473.99	498,914.02
06050TMB5	BANK OF AMERICA NA	CORP	249,663.25	1.102	1.747	0.174	250,422.21	250,097.68	249,880.46	249,446.05	249,228.85	248,794.47
06406HBX6	BANK OF NEW YORK MELLON CORP	CORP	753,877.50	0.644	0.703	0.324	755,594.68	755,594.68	755,098.81	752,656.25	751,435.05	748,992.83
07330NAH8	BRANCH BANKING AND TRUST CO	CORP	699,382.60	1.30	1.088	0.982	706,853.76	706,249.56	702,816.32	695,948.39	692,513.68	685,642.81
084664CD1	BERKSHIRE HATHAWAY FINANCE CORP	CORP	749,964.75	0.936	1.211	0.025	750,191.80	750,152.24	750,058.50	749,871.00	749,777.26	749,589.77
09247XAC5	BLACKROCK INC	CORP	536,857.50	1.242	1.129	1.404	545,368.24	544,395.70	540,626.42	533,088.94	529,320.75	521,785.44
097023BC8	BOEING CO	CORP	763,035.00	0.849	0.996	0.624	767,777.56	767,777.56	765,415.74	760,654.40	758,273.93	753,513.39
14912LX6	CATERPILLAR FINANCIAL SERVICES CORP	CORP	778,510.75	0.643	0.686	0.335	780,299.90	780,299.90	779,814.78	777,206.77	775,902.86	773,295.19
161571GJ7	CHAIT 2014-A1 A1	ABS	776,327.42	1.022	0.93	0.784	781,988.11	781,988.11	779,370.72	773,284.31	770,241.40	764,156.16
166764AL4	CHEVRON CORP	CORP	704,216.80	1.506	0.97	1.595	715,113.22	715,113.22	709,833.23	698,600.97	692,985.74	681,757.07
17275RAY8	CISCO SYSTEMS INC	CORP	748,253.25	0.958	1.267	0.199	750,139.90	749,742.31	748,997.77	747,508.75	746,764.26	745,275.35
17305EFE0	CCCIT-13A6-A6	ABS	751,383.60	0.949	0.886	0.434	754,272.97	754,272.97	753,014.14	749,753.14	748,122.75	744,862.19
191216BR0	COCA-COLA CO	CORP	300,527.70	0.897	0.762	1.553	304,084.38	304,084.38	302,861.42	298,194.22	295,860.99	291,195.23
30231GAS1	EXXON MOBIL CORP	CORP	561,695.12	1.248	1.321	0.152	562,823.01	562,548.92	562,122.02	561,268.24	560,841.37	559,987.68
3130A2T97	FEDERAL HOME LOAN BANKS	AGCY BOND	1,499,919.00	0.396	0.511	0.49	1,503,674.75	1,503,674.75	1,503,593.90	1,496,244.29	1,492,569.77	1,485,221.29
3130A3J70	FEDERAL HOME LOAN BANKS	AGCY BOND	1,000,470.00	0.484	0.552	0.641	1,004,010.09	1,004,010.09	1,003,676.59	997,263.58	994,057.34	987,645.38
3130A4KE1	FEDERAL HOME LOAN BANKS	AGCY BOND	500,000.00	0.345	0.00	0.003	500,000.00	500,000.00	500,000.00	499,992.50	499,985.00	499,970.00
313373SZ6	FEDERAL HOME LOAN BANKS	AGCY BOND	1,003,214.00	0.50	0.444	0.191	1,004,064.78	1,004,064.78	1,004,064.78	1,002,255.94	1,001,297.91	999,381.92
313379FW4	FEDERAL HOME LOAN BANKS	AGCY BOND	1,003,745.00	0.741	0.683	1.177	1,011,814.48	1,011,814.48	1,009,652.29	997,838.21	991,931.92	980,120.86
313384ZK8	FEDERAL HOME LOAN BANKS	AGCY DISC	499,475.00	0.622	0.357	0.288	499,988.55	499,988.55	499,988.55	498,755.77	498,036.56	496,598.22
3133EFBT3	FEDERAL FARM CREDIT BANKS FUNDING CORP	AGCY BOND	999,548.00	0.44	0.529	0.418	1,001,758.28	1,001,758.28	1,001,637.11	997,458.99	995,370.09	991,192.58
3135G0JA2	FEDERAL NATIONAL MORTGAGE ASSOCIATION	AGCY BOND	1,004,685.00	0.818	0.686	1.06	1,011,991.07	1,011,991.07	1,010,010.04	999,360.38	994,036.19	983,389.09
3137EACW7	FREDDIE MAC	AGCY BOND	236,392.85	0.827	0.514	0.399	236,877.67	236,877.67	236,864.46	235,921.25	235,449.68	234,506.62
3137EADF3	FREDDIE MAC	AGCY BOND	1,006,147.00	0.817	0.695	1.101	1,013,846.42	1,013,846.42	1,011,686.07	1,000,608.39	995,070.23	983,995.27
3137EADT3	FREDDIE MAC	AGCY BOND	1,001,954.00	0.714	0.655	0.887	1,007,775.46	1,007,775.46	1,006,397.82	997,510.48	993,067.27	984,181.74
31680GAB2	FTAT-151-A2A	ABS	499,905.95	1.023	1.051	0.55	502,795.82	502,655.58	501,280.73	498,531.25	497,156.62	494,407.58
41284AAB4	HARLY-141-A2A	ABS	29,966.25	0.491	0.921	0.099	29,993.57	29,993.57	29,981.08	29,951.41	29,936.58	29,906.92
41284BAB2	HARLY-151-A2A	ABS	247,697.20	0.80	1.015	0.449	248,826.11	248,809.43	248,253.30	247,141.14	246,585.10	245,473.13
4197915E4	HAWAII ST	MUNI	751,117.50	0.731	0.311	0.339	751,909.41	751,909.41	751,909.41	749,844.38	748,571.32	746,025.37
437076BJ0	HOME DEPOT INC	CORP	752,625.00	1.02	1.184	0.204	754,442.91	754,160.39	753,392.69	751,857.33	751,089.68	749,554.44
43814KAB7	HONDO-151-A2	ABS	159,417.51	0.705	0.831	0.203	159,686.45	159,686.45	159,579.33	159,255.71	159,093.91	158,770.34
4581X0BV9	INTER-AMERICAN DEVELOPMENT BANK	SOVEREIGN GOV	1,604,484.80	0.813	0.83	0.949	1,617,123.62	1,617,123.62	1,612,098.36	1,596,871.80	1,589,259.36	1,574,036.17
459058DM2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	SOVEREIGN GOV	1,751,375.50	0.508	-0.128	0.125	1,751,375.50	1,751,375.50	1,751,375.50	1,750,280.91	1,749,186.37	1,746,997.41
45905U7F5	INTERNATIONAL BK FOR RECON & DEV MEDIUM TERM BK N	SOVEREIGN GOV	999,120.00	0.45	0.743	0.299	1,001,339.67	1,001,339.67	1,000,613.71	997,626.34	996,132.73	993,145.66
45905UQG2	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	SOVEREIGN GOV	600,906.60	0.691	0.314	0.485	601,821.74	601,821.74	601,821.74	599,449.44	597,992.35	595,078.41
46623EJY6	JPMORGAN CHASE & CO	CORP	501,100.00	1.255	1.095	0.864	505,841.17	505,429.80	503,264.83	498,935.32	496,770.80	492,442.19
47787WAB5	JDOT-15B-A2	ABS	399,783.00	0.983	1.064	0.626	402,445.99	402,285.80	401,034.36	398,531.72	397,280.52	394,778.36
544587B72	LOS ANGELES CALIF MUN IMPT CORP LEASE REV	MUNI	490,935.90	1.26	0.961	0.583	493,686.57	493,686.57	492,367.01	489,504.86	488,073.89	485,212.18
58772PAB4	MBART-151-A2A	ABS	600,982.15	1.04	0.962	0.499	603,867.26	603,867.26	602,481.65	599,482.75	597,983.43	594,985.07
605581FW2	MISSISSIPPI ST	MUNI	300,447.00	0.64	0.371	0.504	301,008.80	301,008.80	301,008.80	299,689.89	298,932.82	297,418.79

# Shock Analysis

WC-Contra Costa County (19529)

Base Currency: USD As of 03/31/2016

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Dated: 04/05/2016

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
637432HT5	NATIONAL RURAL UTILITIES COOP FINANCE CORP	CORP	522,027.00	1.084	1.115	0.981	527,737.50	527,148.48	524,587.64	519,466.56	516,906.31	511,786.40
65477WAB2	NART-14B-A2	ABS	193,345.86	0.602	1.011	0.114	193,568.71	193,566.28	193,456.07	193,235.66	193,125.46	192,905.07
68428LDM3	ORANGE CNTY CALIF PENSION OBLIG	MUNI	250,417.50	0.938	0.681	0.588	251,420.28	251,420.28	251,153.75	249,681.29	248,945.12	247,472.89
69353RCG1	PNC BANK NA	CORP	750,808.50	1.125	0.978	0.791	756,614.01	756,614.01	753,777.23	747,838.34	744,866.75	738,919.30
762494QV7	RIALTO CALIF UNI SCH DIST	MUNI	251,162.50	1.258	0.728	0.837	252,693.00	252,693.00	252,213.65	250,111.42	249,060.41	246,958.59
76912TJC8	RIVERSIDE CNTY CALIF PUB FING AUTH TAX ALLOC REV	MUNI	124,911.25	1.301	1.201	0.422	125,544.36	125,438.40	125,174.82	124,647.69	124,384.15	123,857.10
880591EA6	TENNESSEE VALLEY AUTHORITY	AGCY BOND	621,427.80	0.876	0.805	1.254	627,701.37	627,701.37	625,324.32	617,531.62	613,635.78	605,845.13
89233GEJ1	Toyota Motor Credit Corporation	CP	499,675.34	0.541	0.497	0.13	499,998.18	499,998.18	499,998.18	499,350.55	499,025.78	498,376.28
89236WAB4	TART-15A-A2	ABS	323,875.67	0.71	0.901	0.22	324,517.68	324,517.68	324,231.94	323,519.41	323,163.17	322,450.74
90290XAB3	USAOT-151-A2	ABS	468,781.23	0.825	0.956	0.374	470,457.41	470,457.41	469,657.87	467,904.63	467,028.08	465,275.12
90331HMR1	US BANK NA	CORP	746,733.75	0.872	1.441	0.058	747,357.86	747,166.86	746,950.30	746,517.20	746,300.64	745,867.54
912828QX1	UNITED STATES TREASURY	US GOV	1,003,749.00	0.434	0.379	0.33	1,005,004.41	1,005,004.41	1,005,004.41	1,002,092.85	1,000,436.78	997,124.86
912828RF9	UNITED STATES TREASURY	US GOV	2,004,922.00	0.505	0.407	0.413	2,008,292.16	2,008,292.16	2,008,292.16	2,000,781.94	1,996,642.07	1,988,362.95
912828SY7	UNITED STATES TREASURY	US GOV	499,707.00	0.73	0.675	1.155	503,603.06	503,603.06	502,592.93	496,821.31	493,935.86	488,165.67
912828TS9	UNITED STATES TREASURY	US GOV	998,711.00	0.631	0.711	1.487	1,009,270.70	1,009,270.70	1,006,136.79	991,285.96	983,861.67	969,015.33
912828VL1	UNITED STATES TREASURY	US GOV	1,000,781.00	0.356	0.356	0.288	1,001,807.09	1,001,807.09	1,001,807.09	999,339.90	997,898.85	995,016.90
912828WQ9	UNITED STATES TREASURY	US GOV	1,000,468.00	0.459	0.312	0.247	1,001,239.01	1,001,239.01	1,001,239.01	999,232.45	997,996.94	995,526.09
91412GEZ4	UNIVERSITY CALIF REVS	MUNI	299,907.00	0.95	0.56	0.00	299,907.00	299,907.00	299,907.00	299,907.00	299,907.00	299,907.00
91412GUT0	UNIVERSITY CALIF REVS	MUNI	250,132.50	0.634	0.338	0.126	250,239.03	250,239.03	250,239.03	249,974.92	249,817.35	249,502.22
928668AD4	VOLKSWAGEN GROUP OF AMERICA FINANCE LLC	CORP	498,841.50	0.837	2.415	0.143	500,268.29	499,554.87	499,198.18	498,484.83	498,128.18	497,414.91
949917397	WellsFargo:Htge MM;I	MMFUND	1,678,975.85	0.00	0.00	0.00	1,678,975.85	1,678,975.85	1,678,975.85	1,678,975.85	1,678,975.85	1,678,975.85
CCYUSD	Receivable	CASH	1,204.47	0.00	0.00	0.00	1,204.47	1,204.47	1,204.47	1,204.47	1,204.47	1,204.47
CCYUSD	Cash	CASH	-1.97	0.00	0.00	0.00	-1.97	-1.97	-1.97	-1.97	-1.97	-1.97
---	---	---	44,411,407.26	0.744	0.726	0.521	44,590,071.11	44,583,802.93	44,522,358.87	44,295,723.81	44,180,045.96	43,948,707.05

\* Weighted By: Base Market Value + Accrued.

\*The shock analysis includes a yield floor of 0.



## Disclaimer

As of 03/31/2016

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Dated: 04/05/2016

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  
March 01, 2016 - March 31, 2016

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CalTrust Short Term Fund - CONTRA COSTA COUNTY

201-000004-10

Date	Transaction	Shares	Price Per Share	Amount	Average Cost NAV	Average Cost Amount	Realized Gain/Loss*
02/29/2016	BALANCE FORWARD	12,336,400.690	10.02	123,610,734.91	10.02430832	123,663,884.13	
03/21/2016	PURCHASE	998,003.992	10.02	10,000,000.00	10.02398587	10,000,000.00	0.00
03/31/2016	UNREALIZED GAIN (LOSS)	0.000		0.00		0.00	
03/31/2016	ENDING BALANCE	<u>13,334,404.682</u>	10.02	<u>133,610,734.91</u>		<u>133,663,884.13</u>	
	INCOME DISTRIBUTION PAID - FEBRUARY			66,445.24			
	INCOME ACCRUAL - MARCH			73,556.39			
	CUMULATIVE UNREALIZED GAIN (LOSS)			-53,149.22			

\* 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	\$1,075,237,151.19	N/A	One Month	0.11%	0.06%	0.04%
NAV per Share	\$10.02	N/A	Three Month	0.27%	0.16%	0.12%
Yield	0.69%	0.51%	Six Month	0.26%	0.29%	0.21%
Period Total Return	0.11%	N/A	One Year*	0.48%	0.54%	0.37%
Period Yield Return	0.06%	0.04%	Two Year*	0.42%	0.47%	0.31%
Effective Duration	0.42 yrs.	N/A	Three Year*	0.43%	0.43%	0.29%
Average Maturity	1.09 yrs.	0.42 yrs.	Five Year*	0.45%	0.44%	0.32%
			Ten Year*	1.63%	1.60%	1.55%
			Since Inception*	1.82%	1.80%	1.73%
			*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.



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Search		Complete Listing	Additional Ratings	Effective Date:		3/31/2016		Go		
Ticker	CUSIP	Description	S&P Rating 3/31/2016*	Mat. Date	Years	Shares	Price	Value		
AX072916	0258M0DG1	AMERICAN EXPRESS CRE DIT 7/29/2016 1.3%	A-	7/29/2016	0.3	959,000.00	100.1638	\$960,570.84		
AH121117	02665WAR2	AMERICAN HONDA FINAN CE 12/11/2017 0.545	A+	12/11/2017	1.8	8,000,000.00	99.8122	\$7,984,976.00		
HN092017	02665WAY7	AMERICAN HONDA FINAN CE 9/20/2017 0.7626	A+	9/20/2017	1.5	3,800,000.00	100.1865	\$3,807,087.00		
AN050116	03255LGX1	ANAHEIM FING AUTH-B 5/1/2016 1%	AA-	5/1/2016	0.2	2,850,000.00	99.9940	\$2,849,829.00		
BA061520	05522RCT3	BA CREDIT CARD TRUST 06/15/20	AAA	6/15/2020	4.2	10,000,000.00	100.0706	\$10,007,060.00		
BA050817	06050TLX8	BANK OF AMERICA N.A. 05/08/17	A	5/8/2017	1.2	2,700,000.00	99.8131	\$2,694,953.70		
BA021417	06050TLU4	BANK OF AMERICA NA 2/14/2017 0.7061%	A	2/14/2017	0.9	1,720,000.00	100.0068	\$1,720,116.96		
BA060517	06050TMB5	BANK OF AMERICA NA 06/05/2017	A	6/5/2017	1.2	2,250,000.00	99.8653	\$2,246,969.25		
BA111416	06050TLS9	BANK OF AMERICA NA 11/14/2016 0.7089%	A	11/14/2016	0.7	2,200,000.00	100.0089	\$2,200,195.80		
BN021417	06050TLT7	BANK OF AMERICA NA 2/14/2017 1.25%	A	2/14/2017	0.9	5,000,000.00	100.1240	\$5,006,200.00		
BO111416	06050TLR1	BANK OF AMERICA NA 11/14/2016 1.125%	A	11/14/2016	0.7	4,000,000.00	100.1951	\$4,007,804.00		
BN072816	06406HBX6	BANK OF NEW YORK MELLON 2.3% 7/28/16	A	7/28/2016	0.3	3,947,000.00	100.5170	\$3,967,405.99		
BK011717	06406HCA5	BANK OF NEW YORK MEL LON CORPORA 01/17/17	A	1/17/2017	0.8	7,000,000.00	101.1076	\$7,077,532.00		
BA052218	06406HDC0	BANK OF NY MELLON 5/22/18 VARIABLE	A	5/22/2018	2.2	5,000,000.00	99.5386	\$4,976,930.00		
BR011218	084664CD1	BERKSHIRE HATHAWAY F IN 1/12/2018 0.5533	AA	1/12/2018	1.8	2,750,000.00	99.9953	\$2,749,870.75		
BR030718	084664CF6	BERKSHIRE HATHAWAY F IN 3/7/2018 1.16398	AA	3/7/2018	2.0	13,000,000.00	100.3477	\$13,045,201.00		
AU012218	05581RAC0	BMWLT 2016-1 A2B 1/22/2018 0.92925%	AAA	1/22/2018	1.8	10,000,000.00	100.0090	\$10,000,900.00		
Au042517	09658UAB5	BMWOT 2014-A A2 4/25/2017 0.53%	AAA	4/25/2017	1.1	280,351.02	99.9639	\$280,249.81		
BA112016	097023BC8	BOEING CO 11/20/2016 3.75%	A	11/20/2016	0.7	2,750,000.00	101.7380	\$2,797,795.00		
BB040317	07330NAH8	BRANCH BANKING & TRU ST 4/3/2017 1%	A	4/3/2017	1.1	1,100,000.00	99.9118	\$1,099,029.80		
BB091316	10513KAB0	BRANCH BANKING & TRU ST 9/13/2016 0.5899	A-	9/13/2016	0.5	2,000,000.00	99.9304	\$1,998,608.00		
BB100316	07330NAC9	BRANCH BANKING & TRU ST 10/3/2016 1.45%	A	10/3/2016	0.6	800,000.00	100.2508	\$802,006.40		
BB120116	07330NAF2	BRANCH BANKING & TRU ST 12/1/2016 0.6743	A	12/1/2016	0.8	3,000,000.00	100.0452	\$3,001,356.00		
BT120116	07330NAG0	BRANCH BANKING & TRU ST 12/1/2016 1.05%	A	12/1/2016	0.8	8,325,000.00	100.0844	\$8,332,026.30		
UN070141	91412GFA8	CA UNI-FLTG-TXB-Y-2 7/1/2041 0.656% **	AA	7/1/2017	1.3	4,250,000.00	99.9870	\$4,249,447.50		
CA120116	13066KW21	CALIFORNIA ST DEPT .991% 12/1/16	AAA	12/1/2016	0.8	1,250,000.00	100.1420	\$1,251,775.00		
CA030317	14912L6H9	CATERPILLAR FINANCIA L SE 3/3/2017 0.562	A	3/3/2017	1.0	5,000,000.00	99.9800	\$4,999,000.00		
CA090616	14912L5S6	CATERPILLAR FINANCIA L SE 9/6/2016 1.35%	A	9/6/2016	0.5	1,000,000.00	100.2961	\$1,002,961.00		
CA081516	149123BM2	CATERPILLAR INC 08/15/16	A	8/15/2016	0.4	1,549,000.00	101.8069	\$1,576,988.88		
Cr090718	17305EFE0	CCCIT 2013-A6 A6 9/7/2018 1.32%	AAA	9/7/2018	2.5	15,500,000.00	100.1845	\$15,528,597.50		
Cr011519	161571GJ7	CHAIT 2014-A1 A1 1/15/2019 1.15%	AAA	1/15/2019	2.8	13,000,000.00	100.1713	\$13,022,269.00		
CC030218	166764AW0	CHEVRON CORP 3/2/2018 0.432967%	AA-	3/2/2018	2.0	4,000,000.00	99.2337	\$3,969,348.00		
CH111517	166764AK6	CHEVRON CORPORATION 11/15/17	AA-	11/15/2017	1.7	2,500,000.00	99.5285	\$2,488,212.50		
CI061518	17275RAY8	CISCO SYSTEMS INC 06/15/2018	AA-	6/15/2018	2.2	5,500,000.00	99.7671	\$5,487,190.50		
C031017	172967HL8	CITIGROUP INC 3/10/2017 0.7744%	A	3/10/2017	1.0	1,000,000.00	99.8721	\$998,721.00		
C040116	172967GP0	CITIGROUP INC 4/1/2016 1.3%	A-	4/1/2016	0.1	100,000.00	100.0000	\$100,000.00		
C042718	172967JQ5	CITIGROUP INC 4/27/2018 0.967%	A	4/27/2018	2.1	5,000,000.00	99.3162	\$4,965,810.00		
C120718	172967KF7	CITIGROUP INC. 12/07/18	A	12/7/2018	2.8	3,000,000.00	98.8811	\$2,966,433.00		
CM061516	20030NAG6	COMCAST CORP 6/15/2016 4.95%	A-	6/15/2016	0.2	1,402,000.00	100.8230	\$1,413,538.46		
CR042718	22546QAW7	CREDIT SUISSE NEW YO RK 4/27/2018 0.9574	A	4/27/2018	2.1	5,500,000.00	99.1553	\$5,453,541.50		
DU050116	26362VFK6	DUBLIN USD-TXB-BANS 5/1/2016 4.761%	SP-1+	5/1/2016	0.2	4,000,000.00	100.2920	\$4,011,680.00		
XQ022818	30231GAS1	EXXON MOBIL CORPORAT ION 2/28/2018 1.231	AAA	2/28/2018	1.9	7,460,000.00	100.3027	\$7,482,581.42		
FM022717	3135G0XL2	FANNIE MAE 02/27/2017 0.65%	AA+	2/27/2017	0.9	3,660,000.00	99.9573	\$3,658,437.18		
FN031417	3135G0VM2	FANNIE MAE 3/14/2017 0.75%	AA+	3/14/2017	1.0	3,500,000.00	100.0521	\$3,501,823.50		
FE100316	313312J35	FEDERAL FARM CREDIT BANKS 10/03/16	A-1+	10/3/2016	0.6	10,000,000.00	99.7687	\$9,976,870.00		
FF080818	3133EFYG6	FEDERAL FARM CREDIT BANK 8/8/2018 0.617	AA+	8/8/2018	2.4	10,000,000.00	99.9300	\$9,993,000.00		
FF091718	3133EFM61	FEDERAL FARM CREDIT BANK 9/17/2018 0.66	AA+	9/17/2018	2.5	10,000,000.00	100.0000	\$10,000,000.00		
ff112316	3133EEUS7	FEDERAL FARM CREDIT BANK 11/23/2016 0.6	AA+	11/23/2016	0.7	21,000,000.00	100.0990	\$21,020,790.00		
ma011317	3133EFJK4	FEDERAL FARM CREDIT BANKS 01/13/17	AA+	1/13/2017	0.8	10,000,000.00	99.9937	\$9,999,370.00		
FH060917	313379FW4	FEDERAL HOME LOAN 1.00 6/9/2017	AA+	6/9/2017	1.2	23,400,000.00	100.3745	\$23,487,633.00		
FE063016	313384YU7	FEDERAL HOME LOAN BA NKS 06/30/16	A-1+	6/30/2016	0.2	20,000,000.00	99.9225	\$19,984,500.00		
FH061016	313373SZ6	FEDERAL HOME LOAN BA NK 6/10/2016 2.125%	AA+	6/10/2016	0.2	5,000,000.00	100.3214	\$5,016,070.00		
FH080116	313384A41	FEDERAL HOME LOAN BA NKS 08/01/16	A-1+	8/1/2016	0.4	3,885,000.00	99.8644	\$3,879,731.94		
FL092816	3130A2T97	FEDERAL HOME LOAN BA NK 9/28/2016 0.5%	AA+	9/28/2016	0.5	10,000,000.00	99.9946	\$9,999,460.00		
FL112316	3130A3J70	FEDERAL HOME LOAN BA NK 11/23/2016 0.625	AA+	11/23/2016	0.7	30,000,000.00	100.0470	\$30,014,100.00		
FM022618	3134G8L98	FEDERAL HOME LOAN MO RTGAGE CORP 02/26/18	AA+	2/26/2018	1.9	10,000,000.00	100.0136	\$10,001,360.00		
FM033018	3134G8S91	FEDERAL HOME LOAN MO RTGAGE CORP 03/30/18	AA+	3/30/2018	2.0	5,000,000.00	100.0889	\$5,004,445.00		
FM091518	31394JTT4	FEDERAL HOME LOAN MO RTGAGE CORP 09/15/18	AA+	9/15/2018	2.5	2,185,805.52	103.5856	\$2,264,179.76		
FN013018	3135G0B77	FEDERAL NATIONAL MOR TGAGE ASSOC 01/30/18	AA+	1/30/2018	1.8	6,000,000.00	101.1084	\$6,066,504.00		
FN042717	3135G0JA2	FEDERAL NATIONAL MOR TGAGE ASSOC 04/27/17	AA+	4/27/2017	1.1	2,000,000.00	100.4685	\$2,009,370.00		
FN051617	3135G0ZD8	FEDERAL NATIONAL MOR TGAGE ASSOC 05/16/17	AA+	5/16/2017	1.2	2,000,000.00	100.2016	\$2,004,032.00		
FB111816	31677QA22	FIFTH THIRD BANK 11/18/2016 0.7481%	A-	11/18/2016	0.7	8,360,000.00	100.1503	\$8,372,565.08		
Au051518	31680GAB2	FITAT 2015-1 A2A MTGE 1.02% 05/15/18	Aaa	5/15/2018	2.2	10,400,000.00	99.9812	\$10,398,044.80		
FH041417	3134G6PN7	FREDDIE MAC 4/14/2017 0.8%	AA+	4/14/2017	1.1	10,000,000.00	100.0128	\$10,001,280.00		
FH110116	3134G3S50	FREDDIE MAC 11/1/2016 0.625%	AA+	11/1/2016	0.7	5,000,000.00	100.0343	\$5,001,715.00		
FM052617	3134G6E82	FREDDIE MAC 0.85% 05/26/2017	AA+	5/26/2017	1.2	11,545,000.00	100.0079	\$11,545,912.06		
FM061617	3134G6W66	FREDDIE MAC 0.85% 06/16/2017	AA+	6/16/2017	1.2	5,000,000.00	100.0218	\$5,001,090.00		
FM082516	3137EACW7	FREDDIE MAC 2.0 08/25/2016	AA+	8/25/2016	0.4	15,000,000.00	100.5927	\$15,088,905.00		
FM092616	3134G4XW3	FREDDIE MAC 9/26/2016 0.6%	AA+	9/26/2016	0.5	2,500,000.00	100.0844	\$2,502,110.00		
FR052617	3134G6R70	FREDDIE MAC 0.75% 05/26/2017	AA+	5/26/2017	1.2	5,000,000.00	99.9998	\$4,999,990.00		

GE042018	36159LCF1	GE DEALER FLOORPLAN MASTER NT 04/20/18	Aaa	4/20/2018	2.1	4,690,000.00	100.0000	\$4,690,000.00
GE010917	36962G5N0	GENERAL ELEC CAP CORP 2.9% 1/9/2017	AA+	1/9/2017	0.8	3,000,000.00	101.5712	\$3,047,136.00
GE050916	36962G5C4	GENERAL ELEC CAP CORP 2.95% 5/9/16	AA+	5/9/2016	0.2	4,000,000.00	100.2597	\$4,010,388.00
GE051116	36962G2V5	GENERAL ELEC CAP CORP 05/11/2016	AA+	5/11/2016	0.2	4,635,000.00	100.0261	\$4,636,209.74
GS121517	38141EC49	GOLDMAN SACHS GROUP INC. 12/15/17	A	12/15/2017	1.8	6,000,000.00	99.7477	\$5,984,862.00
HD011519	41284CAB0	HARLEY-DAVIDSON 0.8% 01/15/19	AAA	1/15/2019	2.8	3,552,837.06	99.8617	\$3,547,923.48
Au122117	43813JAC9	HAROT 2014-1 A3 12/21/2017 0.67%	AAA	11/21/2017	1.7	2,933,848.13	99.8818	\$2,930,380.32
Au071717	43814KAB7	HAROT 2015-1 A2 7/17/2017 0.7%	AAA	6/15/2017	1.2	2,587,104.94	99.9716	\$2,586,370.20
HI080116	4197915E4	HAWAII-TXBL-REF-ES 8/1/2016 0.731%		8/1/2016	0.4	14,250,000.00	100.0350	\$14,254,987.50
Au071618	41283YAC1	HDMOT 2013-1 A3 7/16/2018 0.65%	Aaa	7/16/2018	2.3	323,006.77	99.9184	\$322,743.20
Au011519	41284BAB2	HDMOT 2015-1 A2A 1/15/2019 0.95%	AAA	1/15/2019	2.8	6,396,887.50	99.9015	\$6,390,586.56
HA072318	43814LAB5	HONDA AUTO RECEIV- ABLES 07/23/18	AAA	7/23/2018	2.3	2,100,000.00	99.8577	\$2,097,011.70
HA082117	43813NAB2	HONDA AUTO RECEIV- ABLES 08/21/2017	AAA	8/21/2017	1.4	1,564,149.75	99.9193	\$1,562,887.48
HB080718	40428HPW6	HSBC USA INC 8/7/2018 1.0809%	A	8/7/2018	2.4	2,000,000.00	99.2784	\$1,985,568.00
HB111317	40428HPM8	HSBC USA INC 11/13/2017 0.57185%	A	11/13/2017	1.7	7,955,000.00	99.3806	\$7,905,726.73
HB062317	40434CAB1	HSBC USA INC. 06/23/17	A	6/23/2017	1.2	3,000,000.00	99.5204	\$2,985,612.00
HS011618	40428HPH9	HSBC USA INC. 01/16/18	A	1/16/2018	1.8	2,000,000.00	99.8264	\$1,996,528.00
IB072216	459200GX3	IBM CORP 7/22/2016 1.95%	AA-	7/22/2016	0.3	12,450,000.00	100.4330	\$12,503,908.50
IDO10117	45656TAQ1	INDUSTRY PUB FACS-A 1/1/2017 1.764%	AA	1/1/2017	0.8	7,700,000.00	100.5150	\$7,739,655.00
IA031517	4581XOBV9	INTER-AMERICAN DEVEL OPMENT BANK 03/15/17	AAA	3/15/2017	1.0	19,000,000.00	100.2803	\$19,053,257.00
IA101816	4581XOBS6	INTER-AMERICAN DEVEL BK 10/18/2016 1.375	Aaa	10/18/2016	0.6	15,000,000.00	100.3461	\$15,051,915.00
IN070116	45884AZN6	INTERMOUNTAIN PWR-B 7/1/2016 0.785%	A+	7/1/2016	0.3	6,000,000.00	100.0310	\$6,001,860.00
IB051616	459058DM2	INTERNATIONAL BANK F OR RECONSTR 05/16/16	AAA	5/16/2016	0.2	27,212,000.00	100.0786	\$27,233,388.63
IB090116	459056JS7	INTERNATIONAL BANK F OR RECONSTR 09/01/16	AAA	9/1/2016	0.5	5,729,000.00	103.3488	\$5,920,852.75
IB092616	45905UQG2	INTERNATIONAL BANK F OR RECONSTR 09/26/16	AAA	9/26/2016	0.5	7,500,000.00	100.1511	\$7,511,332.50
IB101516	459056JT5	INTERNATIONAL BANK F OR RECONSTR 10/15/16	AAA	10/15/2016	0.6	1,000,000.00	103.9980	\$1,039,980.00
KO112316	45950KBQ2	INTERNATIONAL FINANC E CORPORATI 11/23/16	AAA	11/23/2016	0.7	10,000,000.00	100.2360	\$10,023,600.00
IB071916	45905U7F5	INTL BK RECON & DEVE LOP 07/19/2016 0.45%	AAA	7/19/2016	0.3	500,000.00	99.9290	\$499,645.00
IB091516	459058BS1	INTL BK RECON & DEVE LOP 9/15/2016 1%	AAA	9/15/2016	0.5	15,000,000.00	100.3443	\$15,051,645.00
IB101416	459058DS9	INTL BK RECON & DEVE LOP 10/14/2016 0.62	AAA	10/14/2016	0.6	10,000,000.00	100.1457	\$10,014,570.00
IB121617	45905UVJ0	INTL BK RECON & DEVE LOP 12/16/2017 0.77	Aaa	12/16/2017	1.8	10,000,000.00	99.9683	\$9,996,830.00
IF010919	45950VHC3	INTL FINANCE CORP 1/9/2019 0.67685%	Aaa	1/9/2019	2.8	10,000,000.00	99.9441	\$9,994,410.00
IF051616	45950VCJ3	INTL FINANCE CORP 5/16/2016 0.5%	AAA	5/16/2016	0.2	13,295,000.00	99.9945	\$13,294,268.78
OI021518	47787UAB9	JDOT 2015-A A2A 2/15/2018 0.87%	AAA	2/15/2018	1.9	5,033,365.70	99.9601	\$5,031,357.39
OI061518	47787WAB5	JDOT 2015-B A2 06/15/2018 0.98%	Aaa	6/15/2018	2.2	4,500,000.00	99.9458	\$4,497,561.00
OT101518	47788MAB6	JDOT 2016-A A2 10/15/2018 1.15%	AAA	10/15/2018	2.6	3,900,000.00	99.9992	\$3,899,968.80
DC011618	24422ESU4	JOHN DEERE CAPITAL C ORP 1/16/2018 0.543	A	1/16/2018	1.8	12,165,000.00	99.8868	\$12,151,229.22
JP061316	48121CJM9	JP MORGAN CHASE BANK NA 6/13/2016 0.6101	A-	6/13/2016	0.2	6,650,000.00	100.0083	\$6,650,551.95
JM032219	46625HQV5	JPMORGAN CHASE & CO 3/22/2019	A-	3/22/2019	3.0	5,000,000.00	100.0382	\$5,001,910.00
JP021517	46623EJZ3	JPMORGAN CHASE & CO 2/15/2017 0.750933%	A-	2/15/2017	0.9	1,500,000.00	100.0749	\$1,501,123.50
JP070516	46625HJA9	JPMORGAN CHASE & CO 7/5/2016 3.15%	A-	7/5/2016	0.3	1,500,000.00	100.6292	\$1,509,438.00
KE112516	49327M2E3	KEY BANK NA 11/25/2016 0.7516%	A-	11/25/2016	0.7	8,000,000.00	100.0385	\$8,003,080.00
LD080116	54465AFK3	LA CO REDEV-B-TXBL 8/1/2016 1.074%	AA-	8/1/2016	0.4	5,735,000.00	100.0100	\$5,735,573.50
LO110116	544587B72	LOS ANGELES CALIF MU N IMPT CORP 11/01/16	A+	11/1/2016	0.7	10,965,000.00	100.3190	\$10,999,978.35
LA070116	544646D33	LOS ANGELES SD-L-TXB L 7/1/2016 0.68%	AA-	7/1/2016	0.3	1,000,000.00	100.0330	\$1,000,330.00
MA090116	56278SLC7	MANHATTAN BEACH CA. 856% 9/1/16	AA	9/1/2016	0.5	1,405,000.00	100.1280	\$1,406,798.40
MA072517	55279HAH3	MANUF & TRADERS TRUS T CO 7/25/2017 0.53	A	7/25/2017	1.3	10,000,000.00	99.7118	\$9,971,180.00
AB021517	58768LAB9	MBALT 2015-A A2A 2/15/2017 0.78%	AAA	2/15/2017	0.9	1,092,811.96	99.9894	\$1,092,696.12
Au081517	58768LAD5	MBALT 2015-A A3 8/15/2017 1.1%	AAA	8/15/2017	1.4	2,500,000.00	100.0339	\$2,500,847.50
Au011618	58769AAB2	MBALT 2015-B A2A 1% 01/16/18	AAA	1/16/2018	1.8	10,000,000.00	99.8687	\$9,986,870.00
MB061518	58772PAB4	MERCEDES BENZ AUTO R ECEIVABLES 06/15/18	AAA	6/15/2018	2.2	1,896,784.78	99.9273	\$1,895,405.81
MI100116	605581FW2	MISSISSIPPI ST-B-TXB L 10/1/2016 0.64%	AA	10/1/2016	0.6	2,780,000.00	100.0240	\$2,780,667.20
MS100116	605581EP8	MISSISSIPPI ST-D-REF 10/1/2016 0.64%	AA	10/1/2016	0.6	2,520,000.00	100.0290	\$2,520,730.80
MO100518	61761JVN6	MORGAN STANLEY 1/5/2018 1.007098%	A	1/5/2018	1.8	7,938,000.00	99.6559	\$7,910,685.34
MO020119	61746BDY9	MORGAN STANLEY 2/1/2019 2.007761%	A	2/1/2019	2.9	3,500,000.00	100.9498	\$3,533,243.00
UN060616	90520EAC5	MUFJ UNION BANK NA 6/6/2016 3%	A+	6/6/2016	0.2	680,000.00	100.3880	\$682,638.40
Au041717	65490BAB1	NALT 2014-B A2A 4/17/2017 0.73%	AAA	4/17/2017	1.1	3,525,672.51	99.9409	\$3,523,588.84
Au061517	65477WAB2	NAROT 2014-B A2 6/15/2017 0.6%	Aaa	6/15/2017	1.2	999,439.44	99.9514	\$998,953.71
Au091517	65477UAB6	NAROT 2015-A A2 9/15/2017 0.67%	AAA	9/15/2017	1.5	3,156,513.02	99.9661	\$3,155,442.96
NA021519	65478UAC3	NAROT 2016-A A2B 2/15/2019 0.777%	AAA	2/15/2019	2.9	5,000,000.00	100.0312	\$5,001,560.00
NR041017	637432HT5	NATIONAL RURAL UTILI TIES COOPER 04/10/17	A	4/10/2017	1.1	7,000,000.00	104.4054	\$7,308,378.00
NR042417	63743HEM0	NATIONAL RURAL UTILI TIES COOPER 04/24/17	A	4/24/2017	1.1	5,000,000.00	99.9849	\$4,999,245.00
CM040116	63946BAC4	NBCUNIVERSAL MEDIA L LC 4/1/2016 2.875%	A-	4/1/2016	0.1	2,000,000.00	100.0000	\$2,000,000.00
NY021517	64990EJ32	NEW YORK ST DORM AUT 2/15/17 .93%	AAA	2/15/2017	0.9	3,685,000.00	100.3520	\$3,697,971.20
OC081516	675371AS7	OCEANSIDE PENSION-RE F 8/15/2016 1.406%	AA	8/15/2016	0.4	750,000.00	100.0670	\$750,502.50
OR110116	68428LDM3	ORANGE CNTY CALIF 11/01/16	AA	11/1/2016	0.7	7,700,000.00	100.0610	\$7,704,697.00
OP031717	690353M20	OVERSEAS PRIVATE INV COR 3/17/2017 1.01%	A-1+	3/17/2017	1.0	3,000,000.00	100.2196	\$3,006,588.00
PB060118	69353REN4	PNC BANK NA 06/01/2018	A	6/1/2018	2.2	3,000,000.00	99.0360	\$2,971,080.00
PN012717	69353RCG1	PNC BANK NA 1/27/2017 1.125%	A	1/27/2017	0.8	12,735,000.00	100.1078	\$12,748,728.33
PN110116	69349LAP3	PNC BANK NA 11/1/2016 1.15%	A	11/1/2016	0.7	1,060,000.00	100.1284	\$1,061,361.04
PO061516	738798BC0	POWAY REDEV AGY-B 6/15/2016 0.95%	AA-	6/15/2016	0.2	2,000,000.00	100.0030	\$2,000,060.00
PO121516	738798BD8	POWAY REDEV AGY-B 12/15/2016 1.1%	AA-	12/15/2016	0.8	3,545,000.00	100.1500	\$3,550,317.50
RI020117	762494QV7	RIALTO USD-TXBL 2/1/2017 1.258%	AA	2/1/2017	0.9	800,000.00	100.2890	\$802,312.00
RI090116	76912TJC8	RIVERSIDE PUB FIN-RE F 9/1/2016 1%	A	9/1/2016	0.5	2,090,000.00	100.0110	\$2,090,229.90
SD070116	7973552R4	SAN DIEGO CALIF UNI SCH DIST 07/01/16	AA-	7/1/2016	0.3	10,000,000.00	99.9660	\$9,996,600.00
SA100116	79876CAV0	SAN MARCOS CA REDEV 1.09% 10/1/16	AA-	10/1/2016	0.6	5,125,000.00	100.1700	\$5,133,712.50
Au081417	78448MAB3	SMAT 2015-1US A2A 8/14/2017 0.99%	AAA	8/14/2017	1.4	2,116,711.92	99.8230	\$2,112,965.34
Au011717	89236RAC3	TAOT 2013-A A3 1/17/2017 0.55%	AAA	1/17/2017	0.8	15,808.12	99.9872	\$15,806.10
AT121517	89231MAC9	TAOT 2014-A A3 12/15/2017 0.67%	AAA	12/15/2017	1.8	807,694.73	99.8681	\$806,629.38
AT071717	89236WAB4	TAOT 2015-A A2 7/17/2017 0.71%	AAA	7/17/2017	1.3	3,618,198.54	99.9561	\$3,616,610.15
Au021518	89231TAB6	TAOT 2015-C A2A 2/15/2018 0.93%	AAA	2/15/2018	1.9	5,500,000.00	99.9801	\$5,548,895.55
KO102717	191216BR0	THE COCA-COLA COMPAN Y 10/27/17	AA-	10/27/2017	1.6	1,500,000.00	100.1759	\$1,502,638.50
TO011218	89236TCB9	TOYOTA MOTOR CREDIT CORP 1/12/2018 0.57	AA-	1/12/2018	1.8	13,000,000.00	99.8672	\$12,982,736.00
TO091516	89233P5E2	TOYOTA MOTOR CREDIT CORP 9/15/2016 2%	AA-	9/15/2016	0.5	895,000.00	100.6037	\$900,403.12

UB092616	90521APH5	UNION BANK NA 9/26/2016 1.5%	A+	9/26/2016	0.5	9,330,000.00	100.1626	\$9,345,170.58
UN092616	90521APG7	UNION BANK NA 9/26/2016 0.9996%	A+	9/26/2016	0.5	2,515,000.00	100.1844	\$2,519,637.66
MT061617	90520EAE1	UNION BANK OF CALIFORNIA NATION 06/16/17	A+	6/16/2017	1.2	1,545,000.00	100.5077	\$1,552,843.97
T043017	912828SS0	UNITED STATES TREASURY NOTES 04/30/17	AA+	4/30/2017	1.1	10,000,000.00	100.2383	\$10,023,830.00
TN113016	912828MA5	UNITED STATES TREASURY NOTES 11/30/16	AA+	11/30/2016	0.7	10,000,000.00	101.4609	\$10,146,090.00
UN051516	91412GUT0	UNIV OF CALIFORNIA-A N 5/15/2016 0.634%	AA	5/15/2016	0.2	1,830,000.00	100.0100	\$1,830,183.00
UC070141	91412GEZ4	UNIVERSITY CALIF REVS 07/01/2041**	AA	7/1/2017	1.3	14,380,000.00	99.9760	\$14,376,548.80
US111516	91159HHB9	US BANCORP 11/15/2016 2.2%	A+	11/15/2016	0.7	1,365,000.00	100.8461	\$1,376,549.27
UB013017	90331HMC4	US BANK NA CINCINNATI 1/30/2017 1.1%	AA-	1/30/2017	0.8	3,100,000.00	100.2222	\$3,106,888.20
US012618	90331HMR1	US BANK NA CINCINNATI 1/26/2018 0.55572	AA-	1/26/2018	1.8	11,500,000.00	99.5645	\$11,449,917.50
T043016	912828C81	US TREASURY N/B 4/30/2016 0.375%	AA+	4/30/2016	0.1	20,000,000.00	100.0100	\$20,002,000.00
T083116	912828RF9	US TREASURY N/B 8/31/2016 1%	AA+	8/31/2016	0.4	30,000,000.00	100.2461	\$30,073,830.00
TN51516	912828VC1	US TREASURY N/B 5/15/2016 0.25%	AA+	5/15/2016	0.2	7,980,000.00	99.9951	\$7,979,608.98
Au121517	90290KAC9	USAOT 2014-1 A3 12/15/2017 0.58%	AAA	12/15/2017	1.8	914,194.33	99.9301	\$913,555.31
Au031518	90290XAB3	USAOT 2015-1 A2 3/15/2018 0.82%	AAA	3/15/2018	2.0	11,168,738.93	99.9473	\$11,162,853.01
Au042018	92867PAC7	VALET 2013-2 A3 4/20/2018 0.7%	AAA	4/20/2018	2.1	3,113,959.86	99.6994	\$3,104,599.30
VC091516	92343VBN3	VERIZON COMMUNICATIONS 9/15/2016 2.5%	A	9/15/2016	0.5	6,500,000.00	100.7701	\$6,550,056.50
VZ060917	92343VCD4	VERIZON COMMUNICATIONS 6/9/2017 0.6306%	A	6/9/2017	1.2	1,000,000.00	99.8009	\$998,009.00
VZ091516	92343VBL7	VERIZON COMMUNICATIONS 9/15/2016 1.7823	A	9/15/2016	0.5	1,925,000.00	100.5418	\$1,935,429.65
Au042017	92867QAD3	VWALT 2014-A A3 4/20/2017 0.8%	AAA	4/20/2017	1.1	4,160,408.84	99.8944	\$4,156,015.45
Au062017	92867VAB6	VWALT 2015-A A2A 6/20/2017 0.87%	AAA	6/20/2017	1.2	1,138,406.04	99.7905	\$1,136,021.08
VPWF3801	VP7000236	WELLS FARGO ADVANTAGE HERITAGE	AAA	4/1/2016	0.1	16,704,418.28	100.0000	\$16,704,418.28

**Grand Total \$1,077,938,028.67**

\* 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

**March 31, 2016****FY 2015-2016**

<b>FUND</b>	<b>BALANCE @</b>	<b>TJ/Date</b>	<b>TJ/Date</b>	<b>TJ/Date</b>	<b>TJ/Date</b>	<b>TJ/Date</b>	<b>TJ/Date</b>	<b>BALANCE @</b>
<b>NUMBER</b>	<b>12/31/15</b>							<b>03/31/16</b>
100300	2,232,756.90							2,232,756.90
<b>TOTALS</b>	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 MARCH 31, 2016*

Exhibit I

## Portfolio Characteristics

Par	\$3,288,022,252.07
Cost	\$3,287,003,654.96
Market Value	\$3,292,381,060.95
Weighted Yield to Maturity	0.77%
Weighted Average Days to Maturity	225
Weighted Duration	0.62 yr

## Portfolio Breakdown by Investment

Investments	Par Value	Percent of Total
U.S. Treasuries	\$33,425,000.00	1.02%
U.S.Agencies-Federal, State and Local	653,495,000.00	19.88%
Supranationals	15,000,000.00	0.46%
Money Market	1,855,088,654.09	56.42%
ABS/MBS	5,140,142.14	0.16%
Corporate Notes	140,882,000.00	4.28%
Outside Contractors-LAIF	194,240,588.39	5.91%
Outside Contractors-Other	180,084,959.42	5.48%
Cash	210,655,908.03	6.41%
TOTAL*	\$3,288,012,252.07	100.00%

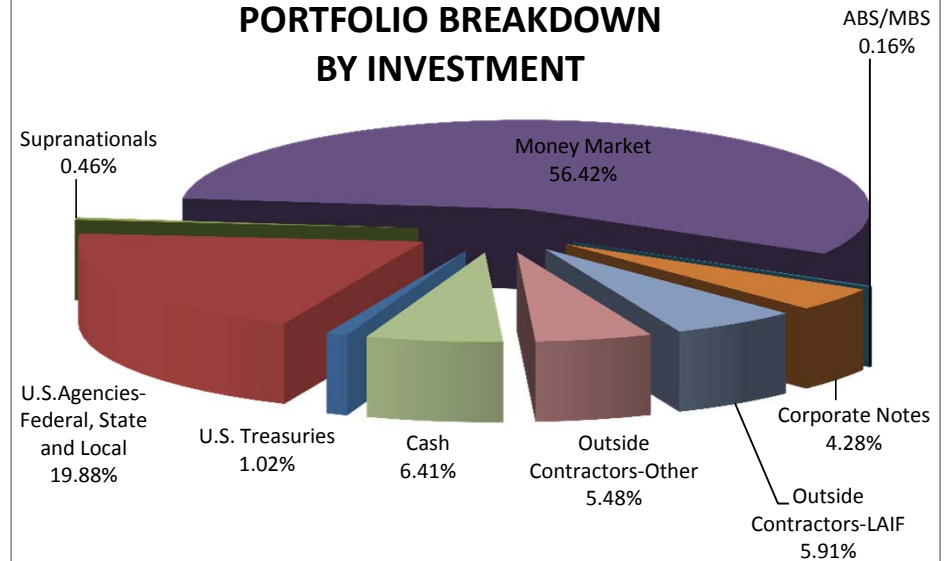
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## Maturity Distribution

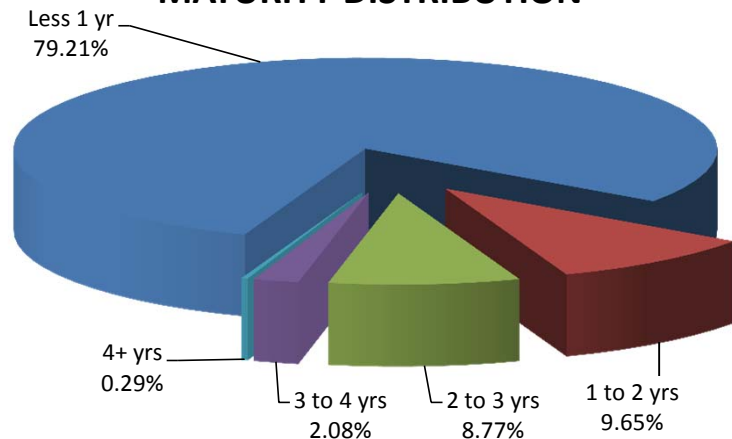
Time	Par Value	Percent of Total
Less 1 yr	\$2,604,466,728.00	79.21%
1 to 2 yrs	317,369,426.76	9.65%
2 to 3 yrs	288,381,340.41	8.77%
3 to 4 yrs	68,332,000.00	2.08%
4+ yrs	9,472,756.90	0.29%
TOTAL*	\$3,288,022,252.07	100.00%

\*\*

## PORTFOLIO BREAKDOWN BY INVESTMENT



## MATURITY DISTRIBUTION



\* Does not include the Futuris Public Entity Trust of the Contra Costa Community College District Retirement Board of Authority

**CONTRA COSTA COUNTY INVESTMENT POOL  
PERFORMANCE SUMMARY  
AS OF MARCH 31, 2016**

	<u>PAR</u> (\$)	<sup>3</sup> <u>PERCENT OF PORTFOLIO</u> (%)	<u>YTM</u> (%)	<b>WEIGHTED AVERAGE DAYS TO MATURITY AT END-OF-QUARTER</b> (day)	<u>DURATION</u> (year)	
<b>A. Investments Managed by Treasurer's Office</b>	\$2,703,030,796.23	82.26%	0.8251%	267	0.73	<sup>1</sup>
<b>B. Investments Managed by Outside Contractors</b>						
1. Local Agency Investment Fund	\$194,240,588.39	5.91%	0.4700%	1	N/A	
2. Other						
a. Wells Capital Management	\$44,251,467.61	1.35%	0.7260%	330	0.52	<sup>2</sup>
b. CalTRUST (Short-Term Fund)	\$133,610,734.91	4.07%	0.6900%	1	N/A	
<b>C. Cash</b>	\$210,655,908.03	6.41%	0.3500%	<sup>4</sup> 1	N/A	

<sup>3</sup> Yield to Maturity on Portfolio at End-of-Quarter = 0.77%

<sup>3</sup> Weighted Average Days to Maturity on Portfolio at End-of-Quarter = 225

<sup>3</sup> Weighted Duration (yr) at End-of-Quarter = 0.62

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

	<u>As of March 31, 2016</u>	<u>As of December 31, 2015</u>	<u>CHANGE IN VALUE</u>	
<u>TYPE</u>	<u>PAR VALUE</u>	<u>PAR VALUE</u>	<u>FROM PREV. QTR.</u>	<u>% CHANGE</u>
<b>A. Investments Managed by Treasurer's Office</b>				
1. U.S. Treasuries (STRIPS, Bills, Notes)	\$33,425,000.00	\$37,620,000.00	(\$4,195,000.00)	-11.15%
2. U.S. Agencies				
Federal Agriculture Mortgage Corporation	0.00	0.00	0.00	0.00%
Federal Home Loan Banks	240,490,000.00	235,002,000.00	5,488,000.00	2.34%
Federal National Mortgage Association	93,836,000.00	92,526,000.00	1,310,000.00	1.42%
Federal Farm Credit Banks	181,305,000.00	174,036,000.00	7,269,000.00	4.18%
Federal Home Loan Mortgage Corporation	134,219,000.00	116,709,000.00	17,510,000.00	15.00%
Municipal Bonds	3,645,000.00	5,555,000.00	(1,910,000.00)	-34.38%
Subtotal	653,495,000.00	623,828,000.00	29,667,000.00	4.76%
3. Supranationals	15,000,000.00	0.00	15,000,000.00	100.00%
4. 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	1,021,430,000.00	955,477,000.00	65,953,000.00	6.90%
Negotiable Certificates of Deposit	830,915,000.00	794,998,000.00	35,917,000.00	4.52%
Medium Term Certificates of Deposit	2,175,000.00	4,200,000.00	(2,025,000.00)	-48.21%
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	1,855,088,654.09	1,755,243,654.09	99,845,000.00	5.69%
5. Asset Backed Securities/Mortgage Backed Securities	5,140,142.14	4,562,799.15	2,093,548.49	100.00%
6. Corporate Notes	140,882,000.00	149,457,000.00	(8,575,000.00)	-5.74%
<b>TOTAL</b>	<b>2,703,030,796.23</b>	<b>2,570,711,453.24</b>	<b>132,319,342.99</b>	<b>5.15%</b>
<b>B. Investments Managed by Outside Contractors</b>				
1. Local Agency Investment Fund	194,240,588.39	209,721,646.14	(15,481,057.75)	-7.38%
2. Other				
a. EBRCS Bond	2,232,756.90	2,232,756.90	0.00	0.00%
b. Wells Capital Management	44,251,467.61	44,255,885.01	(4,417.40)	-0.01%
c. CalTRUST (Short-Term Fund)	133,610,734.91	148,462,420.81	(14,851,685.90)	-10.00%
Subtotal	180,094,959.42	194,951,062.72	(14,856,103.30)	-7.62%
<b>TOTAL</b>	<b>374,335,547.81</b>	<b>404,672,708.86</b>	<b>(30,337,161.05)</b>	<b>-7.50%</b>
<b>C. Cash</b>	<b>210,655,908.03</b>	<b>248,471,111.50</b>	<b>(37,815,203.47)</b>	<b>-15.22%</b>
<b>* GRAND TOTAL (FOR A , B, &amp; C)</b>	<b>\$3,288,022,252.07</b>	<b>\$3,223,855,273.60</b>	<b>\$64,166,978.47</b>	<b>1.99%</b>

\* 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**

<u>Fiscal Year</u>		<u>Quarter Ending</u>			
		<u>September</u>	<u>December</u>	<u>March</u>	<u>June</u>
2015/16	Coupon Rate	0.6433%	0.7270%	0.8556%	
	Yield to Maturity	0.5859%	0.6955%	0.8251%	
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.

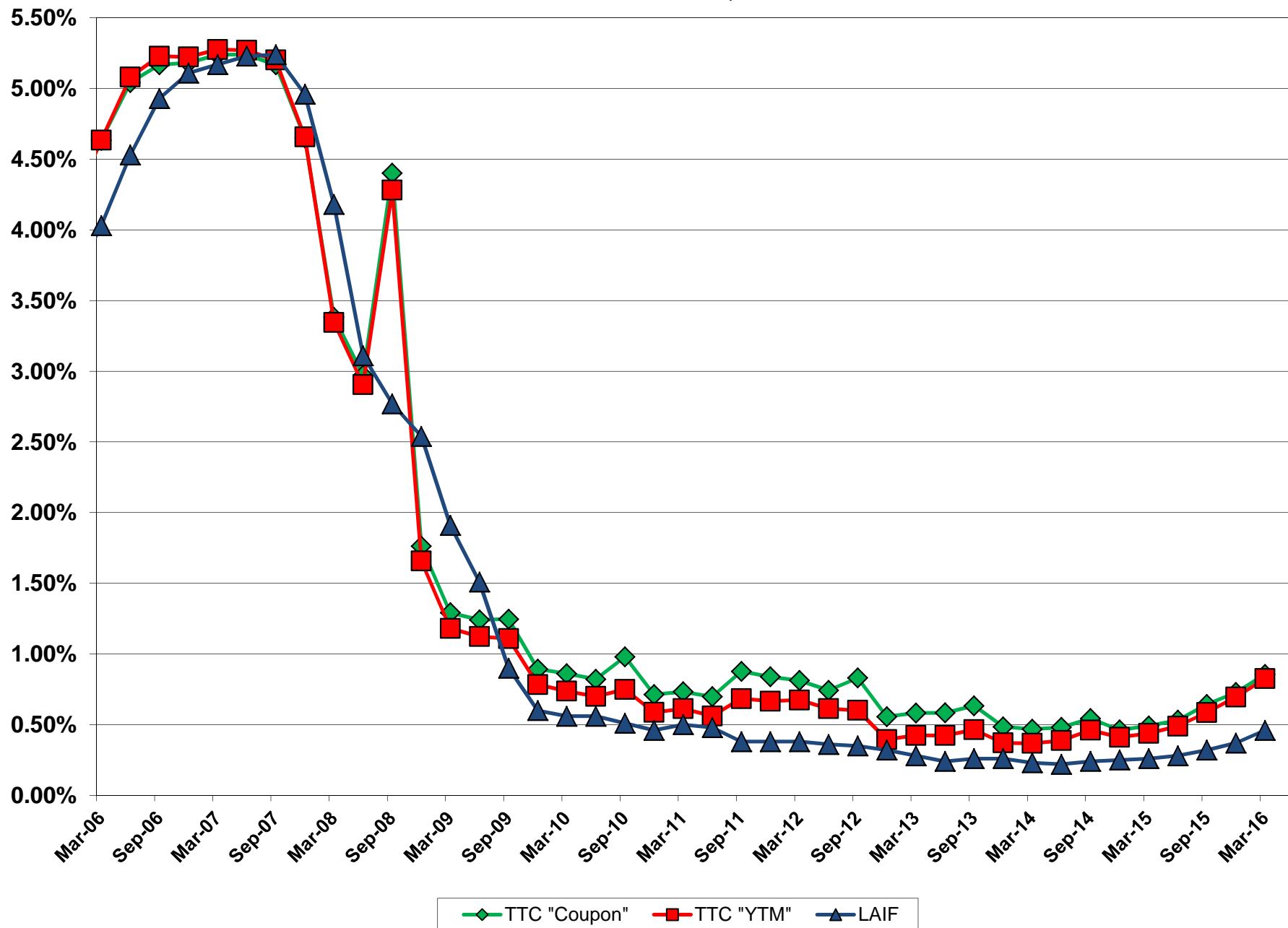
**CONTRA COSTA INVESTMENT POOL**

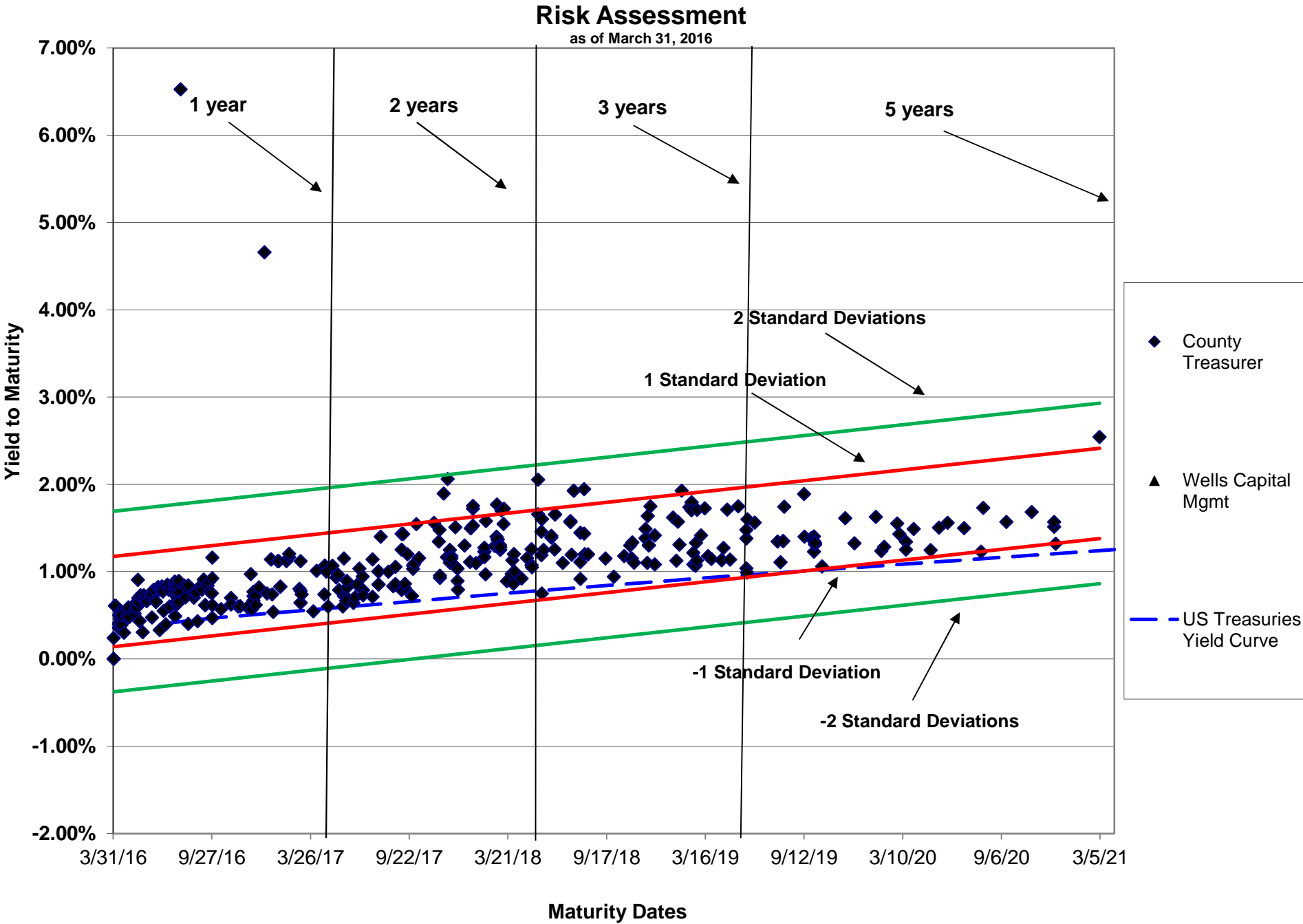
Exhibit IV (a)

**INVESTMENTS MANAGED BY OUTSIDE CONTRACTOR****LAIF QUARTERLY APPORTIONMENT RATES**

		Quarter Ending			
		September	December	March	June
Fiscal Year					
2015/16	Apportionment Rate	0.32%	0.37%	0.46%	
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 March 31, 2016







## Risk Assessment

Exhibit IV (d)

(Securities Greater Than Two Standard Deviations)

As of March 31, 2016

<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 <sup>1</sup>	10,000.00	7,453.00	7,453.00	0.00	8/1/16	6.53
167486YX1	AUHSD MUNI CITY CHICAGO	6/27/13 <sup>2</sup>	70,000.00	70,229.60	70,229.60	5.00	1/1/17	4.66

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.

## CONTRA COSTA COUNTY INVESTMENT POOL

**AVERAGE INFORMATION**  
**January 1, 2016 through March 31, 2016**

	<b>AVERAGE DAILY BALANCE (PAR)</b>	<b>PERCENT OF PORTFOLIO</b>	<b>AVERAGE YTM</b>	<b>AVERAGE DAYS TO MATURITY AS A PERCENT OF PORTFOLIO</b>	<b>AVERAGE DAYS TO MATURITY FOR THE QUARTER</b>
<b>A. Investments Managed by Treasurer's Office</b>	\$2,555,973,486.08	82.52%	0.7823%	223.41	271
<b>B. Investments Managed by Outside Contractors</b>					
1. Local Agency Investment Fund	\$201,240,984.45	6.50%	0.4730%	0.06	1
2. Other					
a. Wells Capital Management	\$44,273,900.26	1.43%	0.7333%	4.45	311
b. CalTRUST Short Term Fund	\$136,707,125.99	4.41%	0.6467%	0.04	1
c. Cash	\$159,143,790.88	5.14%	0.2590%	0.00	0
Total	<u>\$3,097,339,287.65</u>	100.00%			
* Weighted Average YTM of Portfolio =			<u>0.73%</u>	<u>228</u>	

\* 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

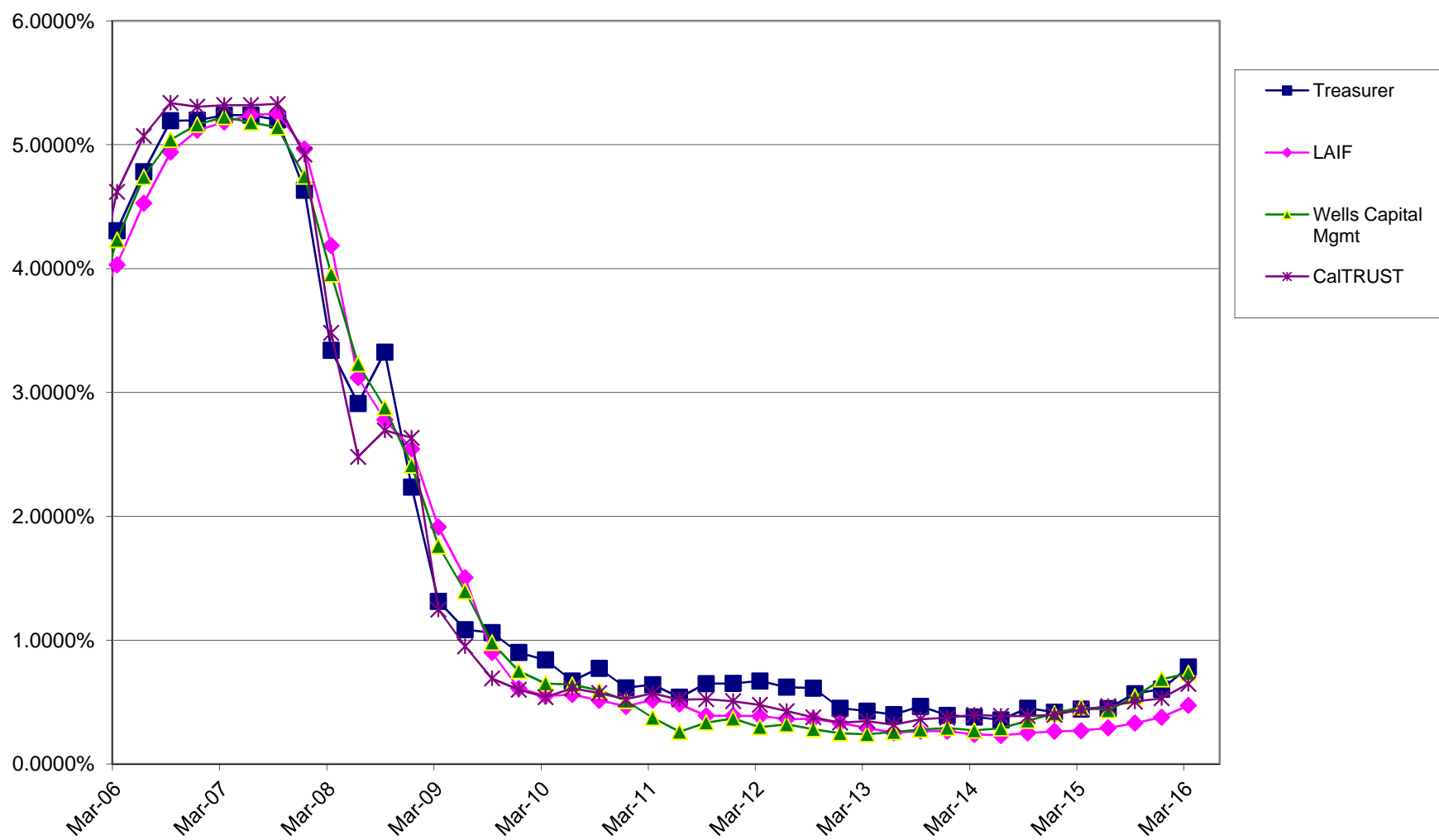
**CONTRA COSTA COUNTY INVESTMENT POOL  
SUMMARY OF POOL RATES AND BENCHMARKS  
AS OF MARCH 31, 2016**

<b><u>Pool Rates:</u></b>	YTM as of 3/31/16	Quarterly Ave.	Average Days to Maturity	
Total County Portfolio (w/o Cash)	0.77%	0.73%	254	*1
Investments Managed by Treasurer's Office	0.83%	0.78%	271	
Wells Capital Management	0.73%	0.73%	311	
CalTRUST Short Term Fund	0.69%	0.65%	377	*2
	Quarterly Apportionment Rate	PMIA Ave. Effective Yield		
Local Agency Investment Fund (LAIF)	0.46%	0.47%	146	*2
		1/1/16 - 3/31/16		
<b><u>Benchmarks:</u></b>	<u>3/31/16</u>	<u>High</u>	<u>Ave.</u>	<u>Low</u>
Federal Fund Rate	0.2700%	0.6400%	0.3702%	0.2500%
Six Month Treasury Bill	0.1975%	0.4075%	0.3229%	0.1925%
Six Month LIBOR	0.8997%	0.9174%	0.8759%	0.8423%
Vanguard Prime Money Mkt Fund	0.0900%			

\*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 March 31, 2016



**CONTRA COSTA COUNTY  
TREASURER'S INVESTMENT PORTFOLIO  
STRUCTURED SECURITIES  
March 31, 2016**

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> *
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	\$5,253,313.32	\$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	\$10,006,500.00	\$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	\$10,011,300.00	\$10,000,000.00	One time: 5/25/16	8177
BB&T Corp Callable 2/1/19	05531FAQ6	9/29/15	2.2500%	\$1,960,000.00	\$1,993,339.60	\$1,987,430.20	Call anytime on and after 1/2/19	7903
FFCB Callable 2/22/19	3133EFYS0	3/2/16	1.1500%	\$10,000,000.00	\$10,012,700.00	\$9,983,594.44	Call anytime on and after 2/22/17	8177
FHLMC Step Up 9/30/19	3134G8PD5	3/30/16	1.3500%	\$10,000,000.00	\$10,000,000.00	\$10,000,000.00	One time: 3/30/17	8177
Total				<u>\$50,686,000.00</u>				

\* Fund #

6911 Contra Costa County Schools Insurance Group  
7903 Contra Costa Community College District Retiree Health Benefits  
8177 County (Pool)

**CONTRA COSTA COUNTY  
CALTRUST SHORT TERM FUND  
STRUCTURED SECURITIES  
March 31, 2016**

Exhibit VI (a)

DESCRIPTION	CUSIP	MATURITY DATE	PAR (\$)	MARKET (\$)	COST (\$)	PROVISIONS
AMERICAN HONDA FINANCE 9/20/2017 0.7626	02665WAY7	9/20/2017	3,800,000.00	3,807,087.00	3,800,414.00	Float quarterly: LIBOR +45 bps
AMERICAN HONDA FINANCE 12/11/2017 0.545	02665WAR2	12/11/2017	8,000,000.00	7,984,976.00	8,000,000.00	Float quarterly: LIBOR +31 bps
ANAHEIM FING AUTH-B 5/1/2016 1%	03255LGX1	5/1/2016	2,850,000.00	2,849,829.00	2,850,000.00	Make-whole call
BANK OF AMERICA NA 11/14/2016 0.7089%	06050TSL9	11/14/2016	2,200,000.00	2,200,195.80	2,200,000.00	Float quarterly: LIBOR +47 bps
BANK OF AMERICA NA 2/14/2017 0.7061%	06050TLU4	2/14/2017	1,720,000.00	1,720,116.96	1,718,780.00	Float quarterly: LIBOR +47 bps
BANK OF AMERICA NA 06/05/2017	06050TMB5	6/5/2017	2,250,000.00	2,246,969.25	2,250,000.00	Float quarterly: LIBOR +45 bps
BA CREDIT CARD TRUST 06/15/20	05522RCT3	6/15/2020	10,000,000.00	10,007,060.00	10,003,906.25	5% clean up call
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	4,976,930.00	4,998,500.00	Float quarterly: LIBOR +38 bps
BERKSHIRE HATHAWAY FIN 1/12/2018 0.5533	084664CD1	1/12/2018	2,750,000.00	2,749,870.75	2,750,000.00	Float quarterly: LIBOR +30 bps
BMWLT 2016-1 A2B 1/22/2018 0.92925%	05581RAC0	1/22/2018	10,000,000.00	10,000,900.00	10,000,000.00	Float monthly: LIBOR +50 bps; 5% clean up call
BMWOT 2014-A A2 4/25/2017 0.53%	09658UAB5	4/25/2017	280,351.02	280,249.81	280,341.54	5% clean up call
BRANCH BANKING & TRUST 4/3/2017 1%	07330NAH8	4/3/2017	1,100,000.00	1,099,029.80	1,096,370.00	Call on and anytime after 3/3/17
BRANCH BANKING & TRUST 12/1/2016 0.6743	07330NAF2	12/1/2016	3,000,000.00	3,001,356.00	3,001,780.00	Float quarterly: LIBOR +43 bps; Call after 11/1/16
BRANCH BANKING & TRUST 12/1/2016 1.05%	07330NAGO	12/1/2016	8,125,000.00	8,332,026.30	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	1,998,608.00	1,994,850.00	Float quarterly: LIBOR +32 bps
BRANCH BANKING & TRUST 10/3/2016 1.45%	07330NAC9	10/3/2016	800,000.00	802,006.40	802,656.00	Call on and anytime after 9/3/16
CA UNI-FLTGT-TXB-Y-2 7/1/2041 0.656%	91412GFA8	7/1/2017	4,250,000.00	4,249,447.50	4,249,500.00	Float monthly: LIBOR +50 bps
CATERPILLAR INC 08/15/16	149123BM2	8/15/2016	1,549,000.00	1,576,988.88	1,589,490.86	Make-whole call +12.5 bps
CALIFORNIA ST DEPT .991% 12/1/16	13066KW21	12/1/2016	1,250,000.00	1,251,775.00	1,251,250.00	Make-whole call +20 bps
CCCIT 2013-A6 A6 9/7/2018 1.32%	17305EFE0	9/7/2018	15,500,000.00	15,528,597.50	15,559,677.71	5% clean up call
CHAIT 2014-A1 A1 1/15/2019 1.15%	161571GJ7	1/15/2019	13,000,000.00	13,022,269.00	13,057,890.69	10% clean up call
CHEVRON CORP 3/2/2018 0.432967%	166764AW0	3/2/2018	4,000,000.00	3,969,348.00	4,000,000.00	Float quarterly: LIBOR +17 bps
CISCO SYSTEMS INC 06/15/2018	17275RAY8	6/15/2018	5,500,000.00	5,487,190.50	5,500,000.00	Float quarterly: LIBOR +31 bps
CITIGROUP INC 3/10/2017 0.7744%	172967HL8	3/10/2017	1,000,000.00	998,721.00	999,690.00	Float quarterly: LIBOR +54 bps
CITIGROUP INC 4/27/2018 0.967%	172967JQ5	4/27/2018	5,000,000.00	4,965,810.00	5,000,000.00	Float quarterly: LIBOR +69 bps
CITIGROUP INC. 12/07/18	172967KF7	12/7/2018	3,000,000.00	2,966,433.00	3,000,000.00	Float quarterly: LIBOR +86 bps
COMCAST CORP 6/15/2016 4.95%	20030NAG6	6/15/2016	1,402,000.00	1,413,538.46	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	5,453,541.50	5,500,000.00	Float quarterly: LIBOR +68 bps
FANNIE MAE 02/27/2017 0.65%	3135G0XL2	2/27/2017	3,660,000.00	3,658,437.18	3,654,876.00	Quarterly; First 11/27/13; Last 11/27/16
FEDERAL FARM CREDITBANK 8/8/2018 0.617	3133EFG6	8/8/2018	10,000,000.00	9,993,000.00	10,000,000.00	Float monthly: LIBOR +19 bps
FEDERAL FARM CREDITBANK 9/17/2018 0.66	3133EFM61	9/17/2018	10,000,000.00	10,000,000.00	10,000,000.00	Float monthly: LIBOR +22 bps
FEDERAL HOME LOAN MORTGAGE CORP 02/26/18	3134G8L98	2/26/2018	10,000,000.00	10,001,360.00	10,000,000.00	Quarterly; First 5/26/16; Last: 11/26/17
FEDERAL HOME LOAN MORTGAGE CORP 03/30/18	3134G8S91	3/30/2018	5,000,000.00	5,004,445.00	5,004,500.00	Quarterly; First 6/30/16; Last: 12/30/17
FEDERAL HOME LOAN MORTGAGE CORP 09/15/18	31394JTT4	9/15/2018	2,497,065.03	2,264,179.76	2,597,727.96	1% clean up call
FEDERAL NATIONAL MORTGAGE ASSOC 05/16/17	3135G0ZD8	5/16/2017	2,000,000.00	2,004,032.00	2,019,420.00	One time: 5/16/16
FEDERAL NATIONAL MORTGAGE ASSOC 01/30/18	3135G0B77	1/30/2018	6,000,000.00	6,066,504.00	6,079,380.00	One time: 1/30/17
FITAT 2015-1 A2A MTGE 1.02% 05/15/18	31680GAB2	5/15/2018	10,400,000.00	10,398,044.80	10,399,716.08	10% collateral call
FREDDIE MAC 4/14/2017 0.8%	3134G6PN7	4/14/2017	10,000,000.00	10,001,280.00	10,012,500.00	One time: 4/14/16
FREDDIE MAC 0.85% 05/26/2017	3134G6E82	5/26/2017	11,545,000.00	11,545,912.06	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	4,999,990.00	4,995,500.00	One time: 5/26/16
FREDDIE MAC 0.85% 06/16/2017	3134G6W66	6/16/2017	5,000,000.00	5,001,090.00	5,000,000.00	One time: 6/16/16
FIFTH THIRD BANK 11/18/2016 0.7481%	31677QA22	11/18/2016	8,360,000.00	8,372,565.08	8,371,221.50	Float quarterly: LIBOR +51 bps; Call after 10/18/16
GE DEALER FLOORPLANMASTER NT 04/20/18	36159LCF1	4/20/2018	4,690,000.00	4,690,000.00	4,690,000.00	Float monthly: LIBOR +40 bps; 10% clean up call
GENERAL ELEC CAPCORP 05/11/2016	36962G2V5	5/11/2016	4,635,000.00	4,636,209.74	4,583,207.70	Float quarterly: LIBOR +20 bps
GOLDMAN SACHS GROUPINC. 12/15/17	38141EC49	12/15/2017	6,000,000.00	5,984,862.00	5,981,820.00	Float quarterly: LIBOR +80 bps
HARLEY-DAVIDSON 0.8% 01/15/19	41284CAB0	1/15/2019	3,552,837.06	3,547,923.48	3,552,811.11	10% collateral call
HAROT 2015-1 A2 7/17/2017 0.7%	43814KAB7	6/15/2017	2,587,104.94	2,586,370.20	2,588,351.94	10% collateral call
HAROT 2014-1 A3 11/21/2017 0.67%	43813JAC9	11/21/2017	2,933,848.13	2,930,380.32	2,932,243.70	10% collateral call
HAWAII-TXBL-REF-ES 8/1/2016 0.731%	4197915E4	8/1/2016	14,250,000.00	14,254,987.50	14,251,690.00	Make-whole call +10 bps
HDMOT 2013-1 A3 7/16/2018 0.65%	41283YAC1	7/16/2018	323,006.77	322,743.20	322,577.77	10% collateral call
HDMOT 2015-1 A2A 1/15/2019 0.95%	41284BAB2	1/15/2019	6,396,887.50	6,390,586.56	6,396,835.69	10% collateral up call
HONDA AUTO RECEIV-ABLES 08/21/2017	43813NAB2	8/21/2017	1,564,149.75	1,562,887.48	1,564,056.05	10% clean up call
HONDA AUTO RECEIV-ABLES 07/23/18	43814LAB5	7/23/2018	2,100,000.00	2,097,011.70	2,099,961.78	10% collateral call
HSBC USA INC. 06/23/17	40434CAB1	6/23/2017	3,000,000.00	2,985,612.00	2,984,790.00	Float quarterly: LIBOR +30 bps
HSBC USA INC 11/13/2017 0.57185%	40428HPM8	11/13/2017	7,955,000.00	7,905,726.73	7,953,996.43	Float quarterly: LIBOR +34 bps
HSBC USA INC 8/7/2018 1.0809%	40428HPW6	8/7/2018	2,000,000.00	1,985,568.00	2,000,000.00	Float quarterly: LIBOR +77 bps
IBM CORP 7/22/2016 1.95%	459200GX3	7/22/2016	12,450,000.00	12,503,908.50	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	7,739,655.00	7,700,000.00	Make-whole call +25 bps
INTL BK RECON & DEVELOP 12/16/2017 0.77	45905UVJ0	12/16/2017	10,000,000.00	9,996,830.00	10,000,000.00	Float quarterly: LIBOR +14 bps
INTL FINANCE CORP 1/9/2019 0.67685%	45950VHC3	1/9/2019	10,000,000.00	9,994,410.00	9,971,500.00	Float quarterly: LIBOR +6 bps
JDOT 2015-A A2A 2/15/2018 0.87%	47787UAB9	2/15/2018	5,033,365.70	5,031,357.39	5,033,041.56	10% clean up call

**CONTRA COSTA COUNTY  
CALTRUST SHORT TERM FUND  
STRUCTURED SECURITIES  
March 31, 2016**

Exhibit VI (a)

DESCRIPTION	CUSIP	MATURITY DATE	PAR (\$)	MARKET (\$)	COST (\$)	PROVISIONS
JDOT 2015-B A20 6/15/2018 0.98%	47787WAB5	6/15/2018	4,500,000.00	4,497,561.00	4,499,848.35	10% clean up call
JDOT 2016-A A210/15/2018 1.15%	47788MAB6	10/15/2018	3,900,000.00	3,899,968.80	3,899,988.30	10% clean up call
JOHN DEERE CAPITAL CORP 1/16/2018 0.543	24422ESU4	1/16/2018	12,165,000.00	12,151,229.22	12,181,594.50	Float quarterly: LIBOR +29 bps
JP MORGAN CHASE BANKNA 6/13/2016 0.6101	48121CJM9	6/13/2016	6,650,000.00	6,650,551.95	6,576,340.50	Float quarterly: LIBOR +33 bps
JPMORGAN CHASE & CO 2/15/2017 0.750933%	46623EJZ3	2/15/2017	1,500,000.00	1,501,123.50	1,503,180.00	Float quarterly: LIBOR +52 bps
JPMORGAN CHASE & CO 3/22/2019	46625HQV5	3/22/2019	5,000,000.00	5,001,910.00	5,000,000.00	Float quarterly: LIBOR +84 bps
KEY BANK NA 11/25/2016 0.7516%	49327M2E3	11/25/2016	8,000,000.00	8,003,080.00	8,023,008.00	Float quarterly: LIBOR +49 bps; Call on and anytime after 10/25/16
LOS ANGELES CALIF MUN IMPT CORP 11/01/16	544587B72	11/1/2016	10,965,000.00	10,999,978.35	10,965,000.00	Make-whole call
MANUF & TRADERS TRUST CO 7/25/2017 0.53	55279HAH3	7/25/2017	10,000,000.00	9,971,180.00	9,984,500.00	Float quarterly: LIBOR +30 bps
MBALT 2015-A A2A 2/15/2017 0.78%	58768LAB9	2/15/2017	1,092,811.96	1,092,696.12	1,092,750.22	10% clean up call
MBALT 2015-A A3 8/15/2017 1.1%	58768LAD5	8/15/2017	2,500,000.00	2,500,847.50	2,500,781.25	10% clean up call
MBALT 2015-B A2A 1% 01/16/18	58769AAB2	1/16/2018	10,000,000.00	9,986,870.00	9,999,108.00	5% clean up call
MERCEDES BENZ AUTO RECEIVABLES 06/15/18	58772PAB4	6/15/2018	1,896,784.78	1,895,405.81	1,894,117.42	5% collateral call
MISSISSIPPI ST-B-TXBL 10/1/2016 0.64%	605581FW2	10/1/2016	2,780,000.00	2,780,667.20	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	2,520,730.80	2,520,000.00	Make-whole call +25 bps
MORGAN STANLEY 1/5/2018 1.007098%	61761JVN6	1/5/2018	7,938,000.00	7,910,685.34	7,946,613.24	Float quarterly: LIBOR +74 bps
MORGAN STANLEY 2/1/2019 2.007761%	61746BDY9	2/1/2019	3,500,000.00	3,533,243.00	3,500,000.00	Float quarterly: LIBOR +137.5 bps
NALT 2014-B A2A 4/17/2017 0.73%	65490BAB1	4/17/2017	3,525,672.51	3,523,588.84	3,525,396.45	10% clean up call
NAROT 2014-B A2 6/15/2017 0.6%	65477WAB2	6/15/2017	999,439.44	998,953.71	999,385.76	5% collateral call
NAROT 2015-A A2 9/15/2017 0.67%	65477UAB6	9/15/2017	3,156,513.02	3,155,442.96	3,156,353.93	5% collateral call
NAROT 2016-A A2B2/15/2019 0.777%	65478UAC3	2/15/2019	5,000,000.00	5,001,560.00	5,000,000.00	5% collateral call
NATIONAL RURAL UTILITIES COOPER 04/10/17	637432HT5	4/10/2017	7,000,000.00	7,308,378.00	7,355,350.00	Make-whole call +20 bps
NATIONAL RURAL UTILITIES COOPER 04/24/17	63743HEM0	4/24/2017	5,000,000.00	4,999,245.00	4,994,500.00	Make-whole call +7 bps
NEW YORK ST DORM AUT 2/15/17 .93%	64990EJ32	2/15/2017	3,685,000.00	3,697,971.20	3,685,221.10	Make-whole call +20 bps
OVERSEAS PRIVATE INVCOR 3/17/2017 1.01%	690353M20	3/17/2017	3,000,000.00	3,006,588.00	3,000,000.00	Make-whole call +25 bps
PNC BANK NA 11/1/2016 1.15%	69349LAP3	11/1/2016	1,060,000.00	1,061,361.04	1,060,922.20	Call on and anytime after 10/2/16
PNC BANK NA 06/01/2018	69353REN4	6/1/2018	3,000,000.00	2,971,080.00	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	12,748,728.33	12,757,197.90	Call on and anytime after 10/1/15
TAOT 2013-A A3 1/17/2017 0.55%	89236RAC3	1/17/2017	15,808.12	15,806.10	15,818.00	5% collateral call
TAOT 2014-A A31 2/15/2017 0.67%	89231MAC9	12/15/2017	807,694.73	806,629.38	806,022.55	5% collateral call
TAOT 2015-A A2 7/17/2017 0.71%	89236WAB4	7/17/2017	3,618,198.54	3,616,610.15	3,618,164.17	5% collateral call
TAOT 2015-C A2A 2/15/2018 0.93%	89231TAB6	2/15/2018	5,550,000.00	5,548,895.55	5,549,553.78	5% collateral call
THE COCA-COLA COMPANY 10/27/17	191216BR0	10/27/2017	1,500,000.00	1,502,638.50	1,499,340.00	Make-whole call +5 bps
TOYOTA MOTOR CREDITCORP 9/15/2016 2%	89233P5E2	9/15/2016	895,000.00	900,403.12	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	1,830,183.00	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	2,519,637.66	2,517,311.05	Float quarterly: LIBOR +75 bps
UNION BANK OF CALIFORNIA NATION 06/16/17	90520EAE1	6/16/2017	1,545,000.00	1,552,843.97	1,558,735.05	Make-whole call +30 bps
TOYOTA MOTOR CREDITCORP 1/12/2018 0.57	89236TCB9	1/12/2018	5,550,000.00	5,548,895.55	5,549,553.78	Float quarterly: LIBOR +32 bps
UNIVERSITY CALIF REVS 07/01/2041 <sup>1</sup>	91412GEZ4	7/1/2017	14,380,000.00	14,376,548.80	14,380,000.00	Float monthly: LIBOR +58 bps
UNION BANK NA9/26/2016 1.5%	90521APH5	9/26/2016	9,330,000.00	9,345,170.58	9,370,530.60	Call on and anytime after 8/26/16
US BANCORP 11/15/2016 2.2%	91159HHB9	11/15/2016	1,365,000.00	1,376,549.27	1,383,045.30	Call on and anytime after 10/14/16
US BANK NA CINCINNATI 1/30/2017 1.1%	90331HMC4	1/30/2017	3,100,000.00	3,106,888.20	3,100,145.00	Call on and anytime after 12/30/16
US BANK NA CINCINNATI 1/26/2018 0.55572	90331HMR1	1/26/2018	11,500,000.00	11,449,917.50	11,473,440.00	Float quarterly: LIBOR +30 bps
USAOT 2014-1 A31 2/15/2017 0.58%	90290KAC9	12/15/2017	914,194.33	913,555.31	913,837.22	10% collateral call
USAOT 2015-1 A23/15/2018 0.82%	90290XAB3	3/15/2018	11,168,738.93	11,162,853.01	11,168,323.45	10% collateral call
VALET 2013-2 A3 4/20/2018 0.7%	92867PAC7	4/20/2018	3,113,959.86	3,104,599.30	3,104,350.37	10% collateral call
VERIZON COMMUNICATIONS 9/15/2016 1.7823	92343VBL7	9/15/2016	1,925,000.00	1,935,429.65	1,925,000.00	Float quarterly: LIBOR +153 bps
VERIZON COMMUNICATIONS 9/15/2016 2.5%	92343VBN3	9/15/2016	6,500,000.00	6,550,056.50	6,553,170.00	Make-whole call +30 bps
VERIZON COMMUNICATIONS 6/9/2017 0.6306%	92343VCD4	6/9/2017	1,000,000.00	998,009.00	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	4,156,015.45	4,163,089.90	10% clean up call
VWALT 2015-A A2A 6/20/2017 0.87%	92867VAB6	6/20/2017	1,138,406.04	1,136,021.08	1,138,400.47	10% clean up call
Total			572,813,880.60	570,242,409.36	571,058,343.34	

Notes:

1. The security has a mandatory put date of 7/1/2017.

Contra Costa County invests approximately \$133.6 million in the CalTrust Short Term Fund which had assets of \$1,079.9 million as of 3/31/16. 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  
March 31, 2016**

<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	\$501,111.40	\$500,000.00	Float quarterly: LIBOR +45 bps
AMERICAN HONDA FINANCE	02665WAY7	9/20/2017	\$250,000.00	\$250,555.70	\$250,057.50	Float quarterly: LIBOR +45 bps
ANAHEIM FING AUTH-B	03255LGX1	5/1/2016	\$750,000.00	\$753,372.50	\$750,000.00	Make-whole call
BANK OF AMERICA NA	06050TLU4	2/14/2017	\$500,000.00	\$500,714.13	\$500,000.00	Float quarterly: LIBOR +47 bps
BANK OF AMERICA NA	06050TMB5	6/5/2017	\$250,000.00	\$249,851.72	\$250,000.00	Float quarterly: LIBOR +45 bps
BERKSHIRE HATHAWAY FIN	084664CD1	1/12/2018	\$750,000.00	\$751,499.92	\$750,000.00	Float quarterly: LIBOR +30 bps
BLACKROCK INC	09247XAC5	9/15/2017	\$500,000.00	\$538,246.39	\$539,065.00	Make-whole call +30 bps
BMWLT-161-A2B	05581RAC0	1/22/2018	\$600,000.00	\$600,224.70	\$600,000.00	Float monthly: LIBOR +50 bps
BRANCH BANING AND TRUST CO	07330NAH8	4/3/2017	\$700,000.00	\$702,843.71	\$697,690.00	Call on and anytime after 3/3/17
CCCIT-13A6-A6	17305EFE0	9/7/2018	\$750,000.00	\$752,043.60	\$751,787.11	5% clean up call
CHEVRON CORP	166764AL4	11/15/2017	\$700,000.00	\$707,773.58	\$698,005.00	Make-whole call +10 bps
CISCO SYSTEMS INC	17275RAY8	6/15/2018	\$750,000.00	\$748,587.53	\$750,000.00	Float quarterly: LIBOR +31 bps
COCA-COLA CO	191216BR0	10/27/2017	\$300,000.00	\$301,650.62	\$299,868.00	Make-whole call +5 bps
FITAT-151-A2A	31680GAB2	5/15/2018	\$500,000.00	\$500,132.62	\$499,986.35	10% collateral call
HONDO-151A2	43814KAB7	6/15/2017	\$159,462.77	\$159,467.12	\$159,454.44	10% collateral call
HAWAII-TXBL-REF-ES	4197915E4	8/1/2016	\$750,000.00	\$752,031.25	\$750,000.00	Make-whole call +10 bps
HARLY-151-A2A	41284BAB2	1/15/2019	\$247,941.38	\$247,785.36	\$247,939.37	10% collateral call
HOME DEPOT INC	437076BJ0	9/15/2017	\$750,000.00	\$752,980.53	\$751,401.98	Float quarterly: LIBOR +37 bps
HARLY-1541-A2A	41284AAB4	4/15/2018	\$29,979.48	\$29,972.77	\$29,977.45	10% clean up call
JDOT 2015-B A2	47787WAB5	6/15/2018	\$400,000.00	\$399,957.22	\$399,986.52	10% clean up call
LOS ANGELES CALIF MUN IMPT CORP LEASE RE	544587B72	11/1/2016	\$490,000.00	\$493,199.70	\$490,000.00	Make-whole call
MBART-151-A2A	58772PAB4	6/15/2018	\$601,419.56	\$601,201.33	\$600,573.82	5% collateral call
MISSISSIPPI ST-B-TXBL	605581FW2	10/1/2016	\$300,000.00	\$301,407.00	\$300,000.00	Make-whole call +20 bps
NAROT 2014-B A2	65477WAB2	6/15/2017	\$193,439.89	\$193,397.44	\$193,429.51	5% collateral call
PNC BANK NA	69353RCG1	1/27/2017	\$750,000.00	\$752,308.50	\$750,000.00	Call on and anytime after 12/28/16
TAOT 2015-A A2	89236WAB4	7/17/2017	\$324,017.78	\$323,977.91	\$324,014.70	5% collateral call
UNIV OF CALIFORNIA REVENUES	91412GUT0	5/15/2016	\$250,000.00	\$250,731.28	\$250,000.00	Make-whole call +5 bps
UNIV OF CALIFORNIA REVENUES	91412GEZ4	7/1/2017	\$300,000.00	\$300,149.32	\$300,000.00	Float monthly: LIBOR +50 bps Put 1/1/17
USAOT 2015-1 A2	90290XAB3	3/15/2018	\$469,028.41	\$468,952.16	\$469,010.95	10% collateral call
US BANK NA CINCINNATI	90331HMR1	1/26/2018	\$300,000.00	\$299,199.01	\$300,000.00	Float quarterly: LIBOR +30 bps
US BANK NA CINCINNATI	90331HMR1	1/26/2018	\$450,000.00	\$448,798.51	\$451,206.00	10% clean up call
VOLKSWAGEN GROUP AMERICA	928668AD4	5/23/2016	\$500,000.00	\$499,283.88	\$500,000.00	Float quarterly: LIBOR +22 bps
Total			<u>\$15,065,289.27</u>	<u>\$15,133,408.41</u>	<u>\$15,103,453.70</u>	





Exhibit VII  
State of California  
**Pooled Money Investment Account**

Portfolio as of 03-31-16

## 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	\$ 1,000	\$ 1,300	\$ 3,200	\$ 4,350	\$ 1,200	\$ 3,350	\$ 1,200	\$ 3,650	\$ 5,050	\$ 6,950	\$ 100		
REPO													
TDs	\$ 2,071	\$ 1,513	\$ 1,470	\$ 151	\$ 224	\$ 212	\$ 8						
AGENCY	\$ 2,677	\$ 1,000	\$ 1,800	\$ 630	\$ 500	\$ 800	\$ 525	\$ 50	\$ 100	\$ 1,075	\$ 333		
CP	\$ 2,350	\$ 1,050	\$ 550	\$ 450	\$ 200	\$ 100							
CDs + BNs	\$ 4,600	\$ 1,150	\$ 1,700	\$ 2,300	\$ 200	\$ 400	\$ 500	\$ 100	\$ 100				
CORP BND													
TOTAL													
\$ 62,238	\$ 12,698	\$ 6,013	\$ 8,720	\$ 7,881	\$ 2,324	\$ 4,862	\$ 2,233	\$ 3,800	\$ 5,250	\$ 8,025	\$ 433	\$ -	\$ -
PERCENT	20.4%	9.7%	14.0%	12.7%	3.7%	7.8%	3.6%	6.1%	8.4%	12.9%	0.7%	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.

Exhibit VII (a)  
State of California



**State of California**  
**Pooled Money Investment Account**  
**Market Valuation**  
**3/31/2016**

Carrying Cost Plus				
Description	Accrued Interest Purch.	Amortized Cost	Fair Value	Accrued Interest
United States Treasury:				
Bills	\$ 11,410,745,648.58	\$ 11,428,324,382.05	\$ 11,433,051,500.00	NA
Notes	\$ 19,895,104,458.35	\$ 19,894,615,430.08	\$ 19,906,919,000.00	\$ 27,575,588.00
Federal Agency:				
SBA	\$ 652,389,707.86	\$ 652,377,032.02	\$ 644,595,522.94	\$ 830,290.94
MBS-REMICs	\$ 67,195,956.41	\$ 67,195,956.41	\$ 71,568,446.72	\$ 318,368.46
Debentures	\$ 980,003,053.62	\$ 980,000,442.51	\$ 980,561,200.00	\$ 1,159,694.90
Debentures FR	\$ -	\$ -	\$ -	\$ -
Discount Notes	\$ 6,386,297,958.28	\$ 6,395,635,458.25	\$ 6,396,175,500.00	NA
GNMA	\$ -	\$ -	\$ -	\$ -
Supranational Debentures	\$ 350,136,669.79	\$ 350,136,669.79	\$ 350,709,000.00	\$ 454,512.50
CDs and YCDs FR	\$ 300,000,000.00	\$ 300,000,000.00	\$ 300,000,000.00	\$ 381,190.56
Bank Notes	\$ 200,000,000.00	\$ 200,000,000.00	\$ 200,000,000.00	\$ 387,333.33
CDs and YCDs	\$ 10,550,003,344.94	\$ 10,550,003,344.94	\$ 10,549,420,471.66	\$ 13,218,388.84
Commercial Paper	\$ 4,692,552,222.25	\$ 4,696,239,430.61	\$ 4,696,381,138.89	NA
Corporate:				
Bonds FR	\$ -	\$ -	\$ -	\$ -
Bonds	\$ -	\$ -	\$ -	\$ -
Repurchase Agreements	\$ -	\$ -	\$ -	\$ -
Reverse Repurchase	\$ -	\$ -	\$ -	\$ -
Time Deposits	\$ 5,647,440,000.00	\$ 5,647,440,000.00	\$ 5,647,440,000.00	NA
AB 55 & GF Loans	\$ 6,030,937,000.00	\$ 6,030,937,000.00	\$ 6,030,937,000.00	NA
<b>TOTAL</b>	<b>\$ 67,162,806,020.08</b>	<b>\$ 67,192,905,146.66</b>	<b>\$ 67,207,758,780.21</b>	<b>\$ 44,325,367.53</b>

Fair Value Including Accrued Interest

\$ 67,252,084,147.74

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 (**1.00022106**).  
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 \$20,004,421.19 or \$20,000,000.00 x **1.00022106**.

All investments are in U.S. Dollar according to the State of California.



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# DISCLOSURE STATEMENT

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## **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 March 31, 2016:

***\* The Pooled Money Investment Account Portfolio has not invested in, nor will it invest in, Derivative Products as defined in FASB 133.***

Exhibit VII (b)  
State of California

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	\$	300.000 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. \$300.000 million As of: 03/31/16

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	\$	652.390 million
b. Agency MBS-REMIC'S	\$	<u>67.196 million</u>
(Medium term sub-total)	\$	719.586 million
c. Commercial Paper (Short term sub-total)	\$	249.364 million

U.S. \$968.950 million As of: 03/31/16

Exhibit VII (b)  
State of California

Total Portfolio As of: 03/31/16

\$67,663,843,641.24

Structured notes and Medium-term Asset-backed securities as a percent of portfolio: 1.51%

Short-term Asset-Backed Commercial Paper (ABCP) as a percent of portfolio: 0.37% \*

Total Medium-term and Short-term Structured notes and Asset-backed securities  
as a percent of portfolio: 1.88%

***\* 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 Test<sup>1</sup>

as of March 31, 2016

Par Value	2,703,030,796.23	Book Price	99.953
Book Value	2,701,750,532.54	Average Days to Maturity	267
Market Value	2,707,085,155.22	Coupon	0.8556%
Market Price	100.150	YTM	0.8251%

Yield Change	Market Value	Market Price	Gain/Loss <sup>2</sup>
(bps)	(\$)	(\$)	(bps)
-50	2,717,048,599.90	100.519	36.84
-25	2,712,052,692.25	100.334	18.37
-10	2,709,068,780.73	100.223	7.29
0	2,707,085,155.23	100.150	0.00
10	2,705,106,031.08	100.077	-7.29
25	2,702,145,752.25	99.967	-18.27
50	2,697,234,249.44	99.786	-36.35

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 36.84 bps. If the yield were to go up by 50 bps, the market value of the portfolio would decrease by 36.35 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  
March 31, 2016**

<b><u>Security Description</u></b>	<b><u>CUSIP</u></b>	<b><u>Coupon Rate</u></b>	<b><u>YTM</u></b>	<b><u>Purchase Date</u></b>	<b><u>Maturity Date</u></b>	<b><u>Par Value</u></b>	<b><u>Market Value<sup>2</sup></u></b>	<b><u>Fund<sup>4</sup></u></b>
Compton CA Community Redev Agy	204712FD0	0.0000%	6.5258%	1/3/2012 <sup>1</sup>	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
Washington State GO Bond	93974B3K6	5.0000%	1.3012%	6/27/13 <sup>3</sup>	1/1/18	600,000.00	696,925.06	5057
Wicomico County MD GO Bond	967545R89	3.5000%	1.6386%	6/27/13 <sup>3</sup>	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
State of Mississippi GO Bond	605581FX0	1.0900%	1.0900%	2/18/15	10/1/17	110,000.00	110,000.00	6911
AUHSD Muni City Chicago	167486YX1	5.0000%	4.6605%	1/1/16	1/1/17	70,000.00	70,229.60	5057
<b>Total</b>						<u><u>\$3,645,000.00</u></u>	<u><u>\$3,777,157.78</u></u>	

<sup>1</sup> Date when the security was transferred from AUHSD to Contra Costa County Investment Pool managed by Treasurer's Office

<sup>2</sup> Market Value equals Cost less purchase interest

<sup>3</sup> Date when the security was transferred from Fund 5055 to Fund 5057 per AUHSD's request

<sup>4</sup> 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: William Walker, M.D., Health Services Director  
Date: August 2, 2016

Subject: Approve University of Southern Californian Unpaid Student Training Agreement #22-667-4

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**RECOMMENDATION(S):**

APPROVE and AUTHORIZE the Health Services Director, or designee, to execute, on behalf of the County, Unpaid Student Training Agreement #22-667-4 with the University of Southern California, an educational institution, to provide supervised field instruction in the County's Public Health Division to physical and occupational therapist students, for the period from September 1, 2016 through August 31, 2019.

**FISCAL IMPACT:**

None

**BACKGROUND:**

The purpose of this agreement is to provide University of Southern California, physical and occupational therapist students with the opportunity to integrate academic knowledge with applied skills at progressively higher levels of performance and responsibility. Supervised fieldwork experience for students is considered to be an integral part of both educational and professional preparation. The Health Services Department can provide the requisite field education,

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☐ 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: August 2, 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



**BACKGROUND: (CONT'D)**

while at the same time, benefitting from the students' services to patients.

On February 4, 2014, the Board of Supervisors approved Contract #22-667-3 with University of Southern California for the provision of supervised fieldwork instruction experience with Health Services, for the period from September 1, 2013 through August 31, 2016.

Approval of Unpaid Student Training Agreement #22-667-4, will allow University of Southern California, physical and occupational therapist students to receive supervised fieldwork instruction experience, in County's Public Health Division, through August 31, 2019.

**CONSEQUENCE OF NEGATIVE ACTION:**

If this agreement is not approved, the students will not receive supervised fieldwork instruction experience in the County's Public Health Division.

**CHILDREN'S IMPACT STATEMENT:**

Not Applicable



**Contra  
Costa  
County**

To: Board of Supervisors

From: David O. Livingston, Sheriff-Coroner

Date: August 2, 2016

Subject: Setting Special Tax Levy for County Service Areas P-2 Zone A (Blackhawk), P-2 Zone B (Alamo) and P-5 (Round Hill)

---

**RECOMMENDATION(S):**

SET the special tax levy for police services in County Service Areas P-2 (Zones A and B) and P-5 for Fiscal Year 2016-2017 as follows:

P-2 Zone A (Blackhawk):

Single residential: \$ 280 per parcel, per year

Small multiple residential: \$ 280 per parcel, per year

---

☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

---

Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: Liz Arbuckle, (925)  
335-1529

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

By: , Deputy

cc: Liz Arbuckle, Heike Anderson, Tim Ewell

RECOMMENDATION(S): (CONT'D)

Large multiple residential:	\$ 280 per parcel, per year
Commercial/Industrial/Institutional:	\$ 1,680 per parcel, per year
Commercial/Theater:	\$ 8,400 per parcel, per year

P-2 Zone B (Alamo):

Single residential:	\$ 18 per parcel, per year
Small multiple residential:	\$ 27 per parcel, per year
Large multiple residential:	\$ 36 per parcel, per year
Commercial/Industrial/ Institutional:	\$ 54 per parcel, per year

P-5 (Round Hill)

Commercial recreational:	\$ 792 per parcel, per year
All other:	\$ 330 per parcel, per year

FISCAL IMPACT: There is no impact on the County General Fund.

BACKGROUND: The above action for County Service Area P-2 Zone A is required by County Ordinance No. 95-55, as amended by County Ordinance No. 2005-09. The rates are the same as those in effect for Fiscal Year 2015-2016. Setting the special tax levy for police services will permit the Sheriff to continue to provide police services in the Blackhawk Area. It is estimated that the special tax levy will raise \$721,000 for Fiscal Year 2016-2017.

The above action for County Service Area P-2 Zone B is required by County Ordinance No. 81-16. The rates are the same as those in effect for Fiscal Year 2015-2016. Setting the special tax levy for police services will permit the Sheriff to continue to provide police services in the Alamo area. It is estimated that the special tax levy will raise approximately \$64,000 for Fiscal Year 2016-2017.

The above action for County Service Area P-5 is required by County Ordinance No. 2000-38. The rates are the same as those in effect for Fiscal Year 2015-2016. Parcels *not used* for commercial recreational purposes will have a special tax levy of \$330. The rate for parcels used for commercial recreational purposes is set at \$792, which is 240% of the levy for parcels *not used* for commercial recreational purposes, as required by Article III(1)(b) of the ordinance. Setting the special tax levy for police services will permit the Sheriff to continue to provide police services in the Round Hill area. It is estimated that the special tax levy will raise approximately \$255,000 for Fiscal Year 2016-2017.

CONSEQUENCE OF NEGATIVE ACTION:

The special tax levy will not be authorized by the Board of Supervisors resulting in the tax not being included on the 2016/17 Property Tax Roll.

CHILDREN'S IMPACT STATEMENT: No impact.



Contra  
Costa  
County

To: Board of Supervisors  
From: David O. Livingston, Sheriff-Coroner  
Date: August 2, 2016

Subject: Setting Special Tax Levy for County Service Areas P-6 Zones

---

**RECOMMENDATION(S):**

SET the special tax levy for police services Zones in County Service Area P-6 for Fiscal Year 2016-2017 as set forth in Exhibit A.

**FISCAL IMPACT:**

It is estimated the department will receive \$1.9 million cumulative revenue for all zones within County Service Area (CSA) P-6 in fiscal year 2016/17. This amount reflects a 2.7% increase from the fiscal year 2015/16 cumulative amount of approximately \$1.85 million. Revenue from the zones within CSA P-6 is adjusted annually based on the April Urban Area Consumer Price Index (CPI-U) for the San Francisco Bay Area.

**BACKGROUND:**

The above action fixes the tax rates per parcel in the P-6 Zones as outlined in their respective ordinances. In July of each calendar year, the Board of Supervisors sets the special tax levy for parcels in each CSA P-6 zone based on the April CPI-U indicator released by the Bureau of Labor Statistics (BLS) as discussed in the fiscal impact section.

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☐ 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: August 2, 2016

Contact: Liz Arbuckle, (925)  
335-1529

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

By: , Deputy

cc: Liz Arbuckle, Heike Anderson, Tim Ewell

CONSEQUENCE OF NEGATIVE ACTION:

The special tax levy will not be authorized by the Board of Supervisors, and the taxes will not be included on the 2016/2017 Property Tax Roll.

CHILDREN'S IMPACT STATEMENT:

No impact.

ATTACHMENTS

Attachment A FY 2016-17 - CSA P-6 Zones and involved Ordinances

Exhibit A FY 2016-17 - Special Tax Levies for CSA P-6 Zones

## Attachment A

### Office of the Sheriff-Coroner

### FY 2016/17 County Service Area P-6 Zones, Special Tax Levy

#### Zone Number and Involved Ordinance

Zone 200	Ord. No.	89-44	Zone 1504	Ord. No.	97-43	Zone 2501	Ord. No.	99-39
Zone 201	Ord. No.	93-45	Zone 1505	Ord. No.	98-37	Zone 2502	Ord. No.	00-37
Zone 202	Ord. No.	95-60	Zone 1506	Ord. No.	98-29	Zone 2503	Ord. No.	08-06
Zone 203	Ord. No.	03-29	Zone 1507	Ord. No.	01-15	Zone 2600	Ord. No.	95-12
Zone 204	Ord. No.	04-12	Zone 1509	Ord. No.	01-22	Zone 2601	Ord. No.	93-81
Zone 205	Ord. No.	04-37	Zone 1510	Ord. No.	02-11	Zone 2602	Ord. No.	03-25
Zone 206	Ord. No.	06-07	Zone 1511	Ord. No.	02-14	Zone 2603	Ord. No.	04-41
Zone 207	Ord. No.	06-23	Zone 1512	Ord. No.	06-08	Zone 2604	Ord. No.	06-68
Zone 208	Ord. No.	06-38	Zone 1513	Ord. No.	07-03	Zone 2605	Ord. No.	07-12
Zone 209	Ord. No.	06-67	Zone 1514	Ord. No.	15-07	Zone 2700	Ord. No.	93-44
Zone 210	Ord. No.	06-69	Zone 1600	Ord. No.	94-06	Zone 2701	Ord. No.	95-04
Zone 211	Ord. No.	08-21	Zone 1601	Ord. No.	95-25	Zone 2702	Ord. No.	97-40
Zone 301	Ord. No.	04-42	Zone 1602	Ord. No.	95-10	Zone 2703	Ord. No.	05-13
Zone 400	Ord. No.	96-12	Zone 1603	Ord. No.	95-40	Zone 2704	Ord. No.	06-03
Zone 500	Ord. No.	94-18	Zone 1604	Ord. No.	96-23	Zone 2800	Ord. No.	99-41
Zone 501	Ord. No.	99-30	Zone 1605	Ord. No.	97-20	Zone 2801	Ord. No.	00-16
Zone 502	Ord. No.	01-12	Zone 1606	Ord. No.	97-26	Zone 2900	Ord. No.	94-50
Zone 503	Ord. No.	03-06	Zone 1607	Ord. No.	98-12	Zone 2901	Ord. No.	96-15
Zone 504	Ord. No.	04-21	Zone 1609	Ord. No.	99-38	Zone 2902	Ord. No.	01-01
Zone 700	Ord. No.	94-12	Zone 1610	Ord. No.	99-34	Zone 3000	Ord. No.	95-26
Zone 701	Ord. No.	96-16	Zone 1611	Ord. No.	99-33	Zone 3001	Ord. No.	04-34
Zone 702	Ord. No.	96-22	Zone 1612	Ord. No.	99-42	Zone 3002	Ord. No.	06-41
Zone 900	Ord. No.	02-18	Zone 1613	Ord. No.	00-28	Zone 3003	Ord. No.	07-04
Zone 1000	Ord. No.	94-19	Zone 1614	Ord. No.	01-14	Zone 3004	Ord. No.	07-05
Zone 1001	Ord. No.	98-17	Zone 1615	Ord. No.	02-10	Zone 3100	Ord. No.	96-17
Zone 1002	Ord. No.	03-27	Zone 1616	Ord. No.	06-02	Zone 3101	Ord. No.	01-24
Zone 1003	Ord. No.	04-02	Zone 1700	Ord. No.	98-20	Zone 3102	Ord. No.	02-21
Zone 1004	Ord. No.	05-11	Zone 1800	Ord. No.	95-11	Zone 3103	Ord. No.	03-07
Zone 1005	Ord. No.	06-15	Zone 1801	Ord. No.	95-50	Zone 3104	Ord. No.	04-29
Zone 1006	Ord. No.	06-42	Zone 1803	Ord. No.	98-47	Zone 3105	Ord. No.	06-01
Zone 1100	Ord. No.	94-07	Zone 1804	Ord. No.	01-08	Zone 3106	Ord. No.	06-24
Zone 1101	Ord. No.	99-21	Zone 2000	Ord. No.	98-30	Zone 3107	Ord. No.	06-27
Zone 1200	Ord. No.	95-45	Zone 2200	Ord. No.	99-53	Zone 3108	Ord. No.	07-13
Zone 1201	Ord. No.	03-35	Zone 2201	Ord. No.	00-02	Zone 3109	Ord. No.	07-38
Zone 1500	Ord. No.	95-24	Zone 2202	Ord. No.	04-35	Zone 3110	Ord. No.	07-39
Zone 1501	Ord. No.	95-49	Zone 2203	Ord. No.	04-36	Zone 3112	Ord. No.	10-05
Zone 1502	Ord. No.	96-29	Zone 2300	Ord. No.	94-69			
Zone 1503	Ord. No.	98-04	Zone 2500	Ord. No.	96-14			

## Exhibit A

SET the special tax levy for police services in County Service Area P-6 for Fiscal Year 2016-2017 as follows:

### Zone 200

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$202.47
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$404.89
Apartments 5 to 24 units (Use Codes 25-26)	-	\$809.80
Apartments 25 to 59 units (Use Code 27)	-	\$1,214.69
Apartments 60+ units (Use Code 28)	-	\$1,619.60
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$809.80
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$1,214.69
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,619.60
Land (Use Codes 61-62)	-	\$404.89
Miscellaneous (Use Codes 88-89, 99)	-	\$404.89
Miscellaneous (Use Codes 85, 87)	-	\$809.80

This zone is in its 27th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### Zones 201, 1000, 1600, 2700

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$178.79
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$357.56
Apartments 5 to 24 units (Use Codes 25-26)	-	\$715.15
Apartments 25 to 59 units (Use Code 27)	-	\$1,072.71
Apartments 60+ units (Use Code 28)	-	\$1,430.28
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$715.15
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$1,072.71
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,430.28
Land (Use Codes 61-62)	-	\$357.56
Miscellaneous (Use Codes 88-89, 99)	-	\$357.56

## Exhibit A

Miscellaneous (Use Codes 85, 87)	-	\$715.15
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These zones are in their 23rd year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 500, 700, 1100, 1500, 1601, 1800, 2300, 2600, 2601, 2900**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$174.67
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$349.30
Apartments 5 to 24 units (Use Codes 25-26)	-	\$698.63
Apartments 25 to 59 units (Use Code 27)	-	\$1,047.93
Apartments 60+ units (Use Code 28)	-	\$1,397.23
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$698.63
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$1,047.93
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,397.23
Land (Use Codes 61-62)	-	\$349.30
Miscellaneous (Use Codes 88-89, 99)	-	\$349.30
Miscellaneous (Use Codes 85, 87)	-	\$698.63

These zones are in their 22nd year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 202, 1501, 1602, 1603, 1604, 1801, 2701, 3000, 3100**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$171.94
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$343.86
Apartments 5 to 24 units (Use Codes 25-26)	-	\$687.72
Apartments 25 to 59 units (Use Code 27)	-	\$1,031.59
Apartments 60+ units (Use Code 28)	-	\$1,375.45
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$687.72
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$1,031.59
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,375.45



## Exhibit A

Land (Use Codes 61-62)	-	\$343.86
Miscellaneous (Use Codes 88-89, 99)	-	\$343.86
Miscellaneous (Use Codes 85, 87)	-	\$687.72

These zones are in their 21st year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 400, 701, 702, 1200, 1502, 2500, 2901**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$165.80
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$331.57
Apartments 5 to 24 units (Use Codes 25-26)	-	\$663.19
Apartments 25 to 59 units (Use Code 27)	-	\$994.79
Apartments 60+ units (Use Code 28)	-	\$1,326.39
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$663.19
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$994.79
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,326.39
Land (Use Codes 61-62)	-	\$331.57
Miscellaneous (Use Codes 88-89, 99)	-	\$331.57
Miscellaneous (Use Codes 85, 87)	-	\$663.19

These zones are in their 20th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 1001, 1503, 1605, 1606**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$160.76
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$321.51
Apartments 5 to 24 units (Use Codes 25-26)	-	\$643.02
Apartments 25 to 59 units (Use Code 27)	-	\$964.54
Apartments 60+ units (Use Code 28)	-	\$1,286.04
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$643.02

## Exhibit A

Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$964.54
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,286.04
Land (Use Codes 61-62)	-	\$321.51
Miscellaneous (Use Codes 88-89, 99)	-	\$321.51
Miscellaneous (Use Codes 85, 87)	-	\$643.02

These zones are in their 19th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 1504, 1505, 1506, 1607, 1700, 1803, 2000, 2702**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$153.67
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$307.31
Apartments 5 to 24 units (Use Codes 25-26)	-	\$614.64
Apartments 25 to 59 units (Use Code 27)	-	\$921.96
Apartments 60+ units (Use Code 28)	-	\$1,229.28
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$614.64
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$921.96
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,229.28
Land (Use Codes 61-62)	-	\$307.31
Miscellaneous (Use Codes 88-89, 99)	-	\$307.32
Miscellaneous (Use Codes 85, 87)	-	\$614.64

These zones are in their 18th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 501, 1101, 1609, 1610, 1611, 1612, 2501, 2800**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$148.08
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$296.13
Apartments 5 to 24 units (Use Codes 25-26)	-	\$592.27
Apartments 25 to 59 units (Use Code 27)	-	\$888.42
Apartments 60+ units (Use Code 28)	-	\$1,184.57

## Exhibit A

Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$592.27
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$888.42
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,184.57
Land (Use Codes 61-62)	-	\$296.13
Miscellaneous (Use Codes 88-89, 99)	-	\$296.13
Miscellaneous (Use Codes 85, 87)	-	\$592.27

These zones are in their 17th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 1613, 2200, 2201, 2801**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$139.93
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$279.84
Apartments 5 to 24 units (Use Codes 25-26)	-	\$559.71
Apartments 25 to 59 units (Use Code 27)	-	\$839.57
Apartments 60+ units (Use Code 28)	-	\$1,119.42
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$559.71
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$839.57
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,119.42
Land (Use Codes 61-62)	-	\$279.84
Miscellaneous (Use Codes 88-89, 99)	-	\$279.84
Miscellaneous (Use Codes 85, 87)	-	\$559.71

These zones are in their 16th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 502, 1507, 1614, 1804, 2502, 2902**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$137.97
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$275.92
Apartments 5 to 24 units (Use Codes 25-26)	-	\$551.82

## Exhibit A

Apartments 25 to 59 units (Use Code 27)	-	\$827.75
Apartments 60+ units (Use Code 28)	-	\$1,103.66
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$551.82
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$827.75
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,103.66
Land (Use Codes 61-62)	-	\$275.92
Miscellaneous (Use Codes 88-89, 99)	-	\$275.92
Miscellaneous (Use Codes 85, 87)	-	\$551.82

These zones are in their 15th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 900, 1509, 1510, 1511, 1615, 3101, 3102**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$135.42
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$270.82
Apartments 5 to 24 units (Use Codes 25-26)	-	\$541.67
Apartments 25 to 59 units (Use Code 27)	-	\$812.49
Apartments 60+ units (Use Code 28)	-	\$1,083.32
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$541.67
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$812.49
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,083.32
Land (Use Codes 61-62)	-	\$270.82
Miscellaneous (Use Codes 88-89, 99)	-	\$270.82
Miscellaneous (Use Codes 85, 87)	-	\$541.67

These zones are in their 14th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 203, 204, 503, 1002, 1004, 2602, 3103**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$134.19
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## Exhibit A

Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$268.36
Apartments 5 to 24 units (Use Codes 25-26)	-	\$536.72
Apartments 25 to 59 units (Use Code 27)	-	\$805.08
Apartments 60+ units (Use Code 28)	-	\$1,073.44
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$536.72
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$805.08
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,073.44
Land (Use Codes 61-62)	-	\$268.36
Miscellaneous (Use Codes 88-89, 99)	-	\$268.36
Miscellaneous (Use Codes 85, 87)	-	\$536.72

These zones are in their 13th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 504, 1003, 1201, 2202, 2203, 3001, 3104**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$130.68
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$261.33
Apartments 5 to 24 units (Use Codes 25-26)	-	\$522.68
Apartments 25 to 59 units (Use Code 27)	-	\$784.01
Apartments 60+ units (Use Code 28)	-	\$1,045.34
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$522.68
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$784.01
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,045.34
Land (Use Codes 61-62)	-	\$261.33
Miscellaneous (Use Codes 88-89, 99)	-	\$261.33
Miscellaneous (Use Codes 85, 87)	-	\$522.68

These zones are in their 12th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 205, 301, 2603, 2703**

## Exhibit A

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$126.56
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$253.08
Apartments 5 to 24 units (Use Codes 25-26)	-	\$506.18
Apartments 25 to 59 units (Use Code 27)	-	\$759.26
Apartments 60+ units (Use Code 28)	-	\$1,012.35
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$506.18
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$759.26
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$1,012.35
Land (Use Codes 61-62)	-	\$253.08
Miscellaneous (Use Codes 88-89, 99)	-	\$253.08
Miscellaneous (Use Codes 85, 87)	-	\$506.18

These zones are in their 11th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### **Zones 206, 207, 208, 209, 1005, 1006, 1512, 1616, 2704, 3002, 3105, 3106, 3107**

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$122.44
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$244.88
Apartments 5 to 24 units (Use Codes 25-26)	-	\$489.72
Apartments 25 to 59 units (Use Code 27)	-	\$734.58
Apartments 60+ units (Use Code 28)	-	\$979.45
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$489.72
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$734.58
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$979.45
Land (Use Codes 61-62)	-	\$244.88
Miscellaneous (Use Codes 88-89, 99)	-	\$244.88
Miscellaneous (Use Codes 85, 87)	-	\$489.72

These zones are in their 10th year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

## Exhibit A

### Zones 210, 1513, 2604, 2605, 3003, 3004, 3108, 3109, 3110

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$117.51
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$235.00
Apartments 5 to 24 units (Use Codes 25-26)	-	\$469.98
Apartments 25 to 59 units (Use Code 27)	-	\$704.98
Apartments 60+ units (Use Code 28)	-	\$939.98
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$469.98
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$704.98
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$939.98
Land (Use Codes 61-62)	-	\$235.00
Miscellaneous (Use Codes 88-89, 99)	-	\$235.00
Miscellaneous (Use Codes 85, 87)	-	\$469.98

These zones are in their ninth year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### Zones 211, 2503

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$117.24
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$234.46
Apartments 5 to 24 units (Use Codes 25-26)	-	\$468.95
Apartments 25 to 59 units (Use Code 27)	-	\$703.43
Apartments 60+ units (Use Code 28)	-	\$937.89
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$468.95
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$703.43
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$937.89
Land (Use Codes 61-62)	-	\$234.46
Miscellaneous (Use Codes 88-89, 99)	-	\$234.46
Miscellaneous (Use Codes 85, 87)	-	\$468.95

## Exhibit A

These zones are in their eighth year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### Zone 3112

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$110.71
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$221.43
Apartments 5 to 24 units (Use Codes 25-26)	-	\$442.84
Apartments 25 to 59 units (Use Code 27)	-	\$664.27
Apartments 60+ units (Use Code 28)	-	\$885.70
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$442.84
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$664.27
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$885.70
Land (Use Codes 61-62)	-	\$221.43
Miscellaneous (Use Codes 88-89, 99)	-	\$221.43
Miscellaneous (Use Codes 85, 87)	-	\$442.84

This zone is in its fifth year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.

### Zone 1514

Vacant Lot (Use Codes 17-18, 20, 30, 50)	-	\$100.00
Single, small or large multiple residential (Use Codes 11-16, 19, 21-24, 29)	-	\$200.00
Apartments 5 to 24 units (Use Codes 25-26)	-	\$400.00
Apartments 25 to 59 units (Use Code 27)	-	\$600.00
Apartments 60+ units (Use Code 28)	-	\$800.00
Commercial/Industrial/Institutional (Use Codes 33-36, 38-40, 43, 46-49, 52-54, 56, 70, 73-75)	-	\$400.00
Commercial/Industrial/Institutional (Use Codes 31-32, 41, 44-45, 55, 76)	-	\$600.00
Commercial/Industrial/Institutional (Use Codes 37, 42, 51, 78)	-	\$800.00
Land (Use Codes 61-62)	-	\$200.00
Miscellaneous (Use Codes 88-89, 99)	-	\$200.00



## Exhibit A

Miscellaneous (Use Codes 85, 87)	-	\$400.00
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This zone is in its first year of levy. Levy determined by the initial tax rates set in the County ordinance authorizing the special tax levy (see Attachment A), property use codes, and changes in the Consumer Price Index.



Contra  
Costa  
County

To: Board of Supervisors  
From: David Twa, County Administrator  
Date: August 2, 2016

Subject: Continue Extension of Emergency Declaration Regarding Homelessness

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**RECOMMENDATION(S):**

CONTINUE the emergency action originally taken by the Board of Supervisors on November 16, 1999 regarding the issue of homelessness in Contra Costa County.

**FISCAL IMPACT:**

None.

**BACKGROUND:**

Government Code Section 8630 required that, for a body that meets weekly, the need to continue the emergency declaration be reviewed at least every 14 days until the local emergency is terminated. In no event is the review to take place more than 21 days after the previous review.

On November 16, 1999, the Board of Supervisors declared a local emergency, pursuant to the provisions of Government Code Section 8630 on homelessness in Contra Costa County.

With the continuing high number of homeless individuals and insufficient funding available to assist in sheltering all homeless individuals and families, it is appropriate for

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☒ APPROVE

☐ OTHER

☒ RECOMMENDATION OF CNTY ADMINISTRATOR

☐ RECOMMENDATION OF BOARD  
COMMITTEE

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Action of Board On: **08/02/2016** ☒ 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: August 2, 2016

Contact: Enid Mendoza, (925)  
335-1039

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

By: , Deputy

cc:

BACKGROUND: (CONT'D)

the Board to continue the declaration of a local emergency regarding homelessness.