



TOWN OF DISCOVERY BAY

A COMMUNITY SERVICES DISTRICT

President – Chris Steele • Vice-President – Kevin Graves • Director - Brian Dawson • Director - Mark Simon • Director - Ray Tetreault

**NOTICE OF THE REGULAR MEETING
OF THE BOARD OF DIRECTORS OF THE
TOWN OF DISCOVERY BAY CSD**
Wednesday January 18, 2012
REGULAR MEETING 7:00 P.M.
1800 Willow Lake Road, Discovery Bay, California
Website address: www.todb.ca.gov

REGULAR MEETING 7:00 P.M.

A. ROLL CALL AND PLEDGE OF ALLEGIANCE

1. Call business meeting to order. 7:00 p.m.
2. Pledge of Allegiance
3. Roll Call

B. PUBLIC COMMENTS (Individual Public Comments will be limited to a 3-minute time limit)

During Public Comments, the public may address the Board on any issue within the District's jurisdiction which is not on the agenda. The public may comment on any item on the Agenda that is before the Board for consideration. Any person wishing to speak must come up and speak from the podium. There will be no dialog between the Board and the commenter. Any clarifying questions from the Board must go through the Chair.

C. PRESENTATIONS

D. PRESIDENT REPORT AND DIRECTORS' COMMENTS

E. CONSENT CALENDAR

All matters listed under the CONSENT CALENDAR are considered by the District to be routine and will be enacted by one motion.

1. Minutes of previous Special meeting dated January 4, 2012
2. Minutes of previous Regular meeting dated January 4, 2012.
3. District Invoices
4. District Financials

F. NEW BUSINESS AND ACTION ITEMS

1. That the Board Adopt Resolution 2012-02 to establish an Investment Policy for the Town of Discovery Bay Community Service District and rescind Resolution NO. 98-20

G. VEOLIA REPORT

H. MANAGER'S REPORTS

I. GENERAL MANAGER'S REPORT

J. DISTRICT LEGAL COUNSEL REPORT

K. COMMITTEE UPDATES

1. Minutes in DRAFT form of the Regular Community Center meeting dated December 1, 2011
2. Minutes in DRAFT form of the Regular Community Center meeting dated December 6, 2011
3. Minutes in DRAFT form of the Regular Communications Committee meeting dated December 6, 2011
4. Continuation of the Community Center Recommendations Report
5. Continuation of the Communications Recommendations Report

L. CORRESPONDENCE-Discussion and Possible Action

1. R – Minutes for the Transplan Committee meeting dated November 10, 2011
2. S – Letter to Gary Kupp, Contra Costa County Department of Conservation and Development, regarding County File Number DP11-3031 (Chase Bank – Discovery Bay)
3. R – Minutes for the State Route 4 Bypass Authority dated December 8, 2011
4. R – Minutes for the State Route 4 Bypass Authority dated December 22, 2011
5. R – Minutes for the State Route 4 Bypass Authority dated January 5, 2012
6. R – Letter from Contra Costa County Public Works Department regarding an activity with the Federal Emergency Management Agency (FEMA) dated January 10, 2012

M. PUBLIC RECORD REQUESTS RECEIVED

N. FUTURE AGENDA ITEMS

O. ADJOURNMENT

Adjourn to next Regular meeting of February 1, 2012 starting at 7:00pm at 1800 Willow Lake Road-Located behind the Delta Community Presbyterian Church.

"This agenda shall be made available upon request in alternative formats to persons with a disability, as required by the American with Disabilities Act of 1990 (42 U.S.C. § 12132) and the Ralph M. Brown Act (California Government Code § 54954.2). Persons requesting a disability related modification or accommodation in order to participate in the meeting should contact the Town of Discovery Bay, at (925)634-1131, during regular business hours, at least twenty-four hours prior to the time of the meeting."

"Materials related to an item on the Agenda submitted to the Town of Discovery Bay CSD after distribution of the agenda packet are available for public inspection in the District Office located at 1800 Willow Lake Road during normal business hours."



TOWN OF DISCOVERY BAY

A COMMUNITY SERVICES DISTRICT

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MINUTES OF A SPECIAL MEETING OF THE
BOARD OF DIRECTORS OF THE
TOWN OF DISCOVERY BAY CSD
Wednesday January 4, 2012
1800 Willow Lake Road, Discovery Bay, California
SPECIAL MEETING 6:00 P.M.
Website address: www.todb.ca.gov

SPECIAL MEETING AT 6:00 P.M.

A. ROLL CALL

Call to Order – 6:00 p.m. by President Graves
Roll Call – All Present

B. PUBLIC COMMENT

None

C. OPEN SESSION DISCLOSURE OF CLOSED SESSION AGENDA

(Government Code Section 54957.7)

Legal Counsel Schroeder – The Board adjourned into Closed Session regarding action Items D-1 and D-2. Item D-2 - case - Claim for damages and case - Claim from Hofmann Land Company - disclosure of facts and circumstances.

D. CLOSED SESSION:

1. PUBLIC EMPLOYEE PERFORMANCE EVALUATION Government Code Section 54957
Title: General Manager
2. CONFERENCE WITH LEGAL COUNSEL – ANTICIPATED LITIGATION
Significant exposure to litigation pursuant to subdivision (b) of Section 54956.9: Two (2) cases

E. RETURN TO OPEN SESSION: REPORT ON CLOSED SESSION

(Government Code Section 54957.1)

Legal Counsel Schroeder – The Board reconvened from Closed Session regarding action Items D-1 and D-2. All five (5) Board Members were present during the entirety of the Closed Session. Regarding Item D-1 – No reportable action. Item D-2 – The Hofmann Land Company, claim by unanimous vote is deemed rejected and untimely in part. Item D-2 – Claim for damages, the matter was referred to the District's Insurance Company.

F. ADJOURNMENT

The meeting adjourned at 6:18 p.m. to the regular meeting on January 4, 2012 at 1800 Willow Lake Rd

For the Audio of this meeting please visit our Website at
<http://www.todb.ca.gov/content/2011-agendas-and-minutes/>

//cmc – 01.09.12



TOWN OF DISCOVERY BAY

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MINUTES OF THE REGULAR MEETING OF
THE BOARD OF DIRECTORS OF THE
TOWN OF DISCOVERY BAY CSD
Wednesday January 4, 2012
REGULAR MEETING 7:00 P.M.
1800 Willow Lake Road, Discovery Bay, California
Website address: www.todb.ca.gov

REGULAR MEETING 7:00 P.M.

A. ROLL CALL AND PLEDGE OF ALLEGIANCE
Call to Order – 7:00 p.m. by President Graves
Pledge of Allegiance – Led by President Graves
Roll Call – All Present

B. PUBLIC COMMENTS (Individual Public Comments will be limited to a 3-minute time limit)
None

C. BOARD OFFICERS APPOINTMENT & DISTRICT REPRESENTATIVE COMMITTEE POSITIONS

1. **Nominate & Appoint District Board Positions for the 2012 Year.**
President Graves - Explained the process to elect new officers at the beginning of each year. He then requested nominations for the position of Board President
President Graves – Nominated Chris Steele for the position of President
Director Simon – Nominated Ray Tetreault for the position of President
Nominations closed
Motion by: President Graves to nominate Chris Steele for President
Vote: Motion carried – AYES: 3 – President Graves, Vice-President Steele, Director Dawson, NOES: 2 – Director Simon, Director Tetreault
President Steele – Nominated Kevin Graves for Vice-President
Nominations closed
Motion by: President Steele to nominate Kevin Graves for Vice-President
Vote: Motion carried – AYES: 3 – President Steele, Vice-President Graves, Director Dawson, NOES: 2 – Director Simon, Director Tetreault
Director Tetreault – Nominated Director Simon for the position of President Pro-Tempore
Director Simon – Declined
Vice-President Graves – Nominated Director Tetreault for the position of President Pro-Tempore
Director Tetreault – Declined
Vice-President Graves – Nominated Director Dawson for the position of President Pro-Tempore
Nominations closed
Motion by: Vice-President Graves to nominate Director Dawson for the position of President Pro-Tempore
Vote: Motion carried – AYES: 3 – President Steele, Vice-President Graves, Director Dawson, NOES: 2 – Director Simon, Director Tetreault

2. **Appointment of Board Members to District Representative Committees and outside Agency positions for 2012**

President Steele – Presented this item to the board. The board decided on the following:

<u>Committee</u>	<u>Director Appointed</u>	<u>Alternate</u>
Community Center	Chris Steele	Ray Tetreault
Contra Costa County Aviation Advisory Committee	Kevin Graves	Chris Steele
Contra Costa County Code Enforcement	Mark Simon	Rick Howard (Staff)
Contra Costa Special Districts Association	Kevin Graves	Mark Simon
East Contra Costa County Fire Protection District	Kevin Graves	Mark Simon
East County Water Management Agency	Board President	Board Vice-President
LAFCO	Chris Steele	Mark Simon

Committee

- Parks/Landscaping
- Police Services
- School Districts
- Transportation
- Water & Sewer Vendor

Motion by: Vice-President Graves to adopt the appointed list

Second by: Director Dawson

Vote: Motion carried – AYES: 5, NOES: 0

Director Appointed

- Mark Simon
- Ray Tetreault
- Chris Steele
- Kevin Graves
- Ray Tetreault

Alternate

- Brian Dawson
- Brian Dawson
- Kevin Graves
- Brian Dawson
- Kevin Graves

D. AREA AGENCIES REPORTS / PRESENTATION

1. SHERIFF'S OFFICE REPORT

Alan Johnson – Provided the law enforcement report for the month of December

Tony Fontenot – Provided the details of the Tots for Kids Program and wanted to thank everyone for the donations

2. CHP REPORT

Officer Godman – Provided an update of the services to the Town of Discovery Bay

There was one (1) Public Comment Speaker

3. FIRE DISTRICT REPORT

Chief Burriss – Provided his report and the details for the month of December

4. EAST CONTRA COSTA FIRE PROTECTION DISTRICT REPORT – No Report

5. SUPERVISOR MARY PIEPHO, DISTRICT III REPORT – No Report

Vice-President Graves – Stated that Karyn Cornell is on vacation and will not be attending this meeting

E. COMMITTEE/LIAISON REPORTS

1. Trans-Plan Report – No Report

2. County Planning Commission Report – No Report

3. Code Enforcement Report – No Report

4. Special Districts Report - No Report**

**These meetings are held Quarterly

F. CONSENT CALENDAR

All matters listed under the CONSENT CALENDAR are considered by the District to be routine and will be enacted by one motion.

1. Minutes of previous Special meeting dated December 7, 2011

2. Minutes of previous Regular meeting dated December 7, 2011

3. Minutes of previous Special meeting dated December 8, 2011

4. Approve and Adopt Resolution 2010-01 continuing Employee Medical Coverage for Calendar Year 2012

5. District Invoices

Motion by: Director Dawson to pass the Consent Calendar

Second by: Director Tetreault

Vote: Motion carried – AYES: 5, NOES: 0

G. NEW BUSINESS AND ACTION ITEMS

1. Authorize contract with Bartle Wells Associates to conduct an analysis with recommendations for the Town of Discovery Bay Community Services District Capacity Fee Program

General Manager Howard – Provided the details of Item G-1

There was discussion between the General Manager and the Board

There was one (1) Public Comment Speaker

Motion by: Director Dawson to approve the agreement and authorize the General Manager to execute a contract with Bartle Wells Associates in the amount of \$23,000 to conduct an analysis with recommendations to the Town of Discovery.

Bay Community Services District Capacity Fee Program

Second by: Director Tetreault

Vote: Motion carried – AYES: 5, NOES: 0

2. Award of Independent Audit Services for Fiscal Year 2010-11 through the completion of Fiscal Year 2014-15

General Manager Howard – Provided the details of Item G-2

There was discussion between the General Manager and the Board

Motion by: Vice-President Graves to approve the contract with Croce & Company to be our Audit Company on a five (5) year contract to be reassessed every year

Second by: Director Dawson

Vote: Motion carried – AYES: 5, NOES: 0

3. **Approve and Adopt Resolution 2012-03 for the Reserve Fund Policy for the Town of Discovery Bay Community Service District**

General Manager Howard – Provided the details of Item G-3

There was discussion between the General Manager and the Board

There was one (1) Public Comment Speaker

Motion by: Vice-President Graves to accept the proposal as written increasing Item 1 to 30% of the Wastewater Annual Operating Revenue as opposed to the 25% written in the Policy

Second by: Director Dawson

Vote: Motion carried – AYES: 3 – Vice-President Graves, Director Dawson, Director Simon, NOES: 2 – President Steele, Director Tetreault

4. **Approve and Adopt Resolution 2012-04 amending the Discovery Bay Landscaping & Lighting Zone 8 FY 2011-2012 Operating and Capital Improvement Budget**

Parks and Landscape Manager Perez – Provided the details of Item G-4

There was discussion between the Parks and Landscape Manager and the Board

Motion by: Director Tetreault to approve the budget change

Second by: Director Dawson

Vote: Motion carried – AYES: 5, NOES: 0

5. **Award of contract to Gates & Associates for design services for Highway 4 (East) Planting Improvement Project**

Parks and Landscape Manager Perez – Provided the details of Item G-5

Motion by: Director Dawson to accept proposal and direct General Manager to execute the contract documents with Gates & Associates in the amount of \$8,350.00 plus reimbursables for Highway 4 (East) Planting Improvement Project

Second by: Director Tetreault

Vote: Motion carried – AYES: 5, NOES: 0

6. **Agency Comment Request – Development Plan Modification – Sandy Cove Shopping Center/CHASE Bank (DP11-3031)**

General Manager Howard – Provided the details of Item G-6

There was a discussion between the General Manager and the Board

There was one (1) Public Comment Speaker

Motion by: Director Dawson to direct Staff to express the Board's negative comments over the project

Second by: Director Simon

Vote: Motion carried – AYES: 5, NOES: 0

7. **Authorize contract for Public Access Ramp Replacement Project at 1800 Willow Lake Road**

General Manager Howard – Provided the details of Item G-7

There was discussion between the General Manager and the Board. The Board directed Staff to research wood as a possibility for the ramp and obtain additional bids.
No Action taken

H. **PRESIDENT REPORT AND DIRECTORS' COMMENTS**

Vice-President Graves – Provided his report on the Contra Costa County Aviation Advisory Committee meeting dated December 8, 2011. Also, wanted to thank the Contra Costa County District Attorney for stating that we are following the Brown Act.

President Steele – Stated that he wanted to thank past President Graves, all Directors, and Staff for the efforts towards major challenges ahead.

I. **MANAGER'S REPORT**

None

J. **GENERAL MANAGER'S REPORT**

General Manager Howard – Reminder of the upcoming Special Workshop dated Saturday, January 14, 2012 from 9:00 a.m. to 12:30 p.m. Also, the Bio Solids project will be out to bid by the end of the week.

K. **DISTRICT LEGAL COUNSEL REPORT**

Legal Counsel Schroeder - Summary of the Special Meeting at 6:00 p.m. – report from Closed Session, Action Item D-2 – case – Hofmann claim by unanimous vote is deemed rejected and untimely in part, and case – 4100 Windward Court by unanimous vote to be referred to the District's Insurance Company. Provided the details of three (3) changes to the Brown Act and a few changes to Rosenberg Rules of Order.

L. **COMMITTEE UPDATES**

1. Transmittal of Community Center Committee Final Report to the Board of Directors

2. Transmittal of Communications Committee Final Report to the Board of Directors

General Manager Howard – Provided the details of Item's L-1 and L-2

3. Minutes approved of the Regular Community Center meeting dated November 8, 2011
 4. Minutes approved of the Regular Communication meeting dated November 16, 2011
- General Manager Howard** – The minutes in December will be in DRAFT form and posted to the Website for the Community Center and Communications meetings

M. CORRESPONDENCE – Discussion and Possible Action

1. R – State Route 4 Bypass Authority Minutes for November 10, 2011
2. R – Letter from Office of the District Attorney Contra Costa County to William R. Richardson regarding Discovery Bay CSD Closed Session Notice of November 16, 2011
3. R – Letter from Supervisor Mary Piepho regarding Board Orders from the December 13, 2011 Board of Supervisors meeting dated December 13, 2011
4. R – Flyer from State Senator Mark DeSaulnier regarding a One-on-One personal meeting scheduled for January 7, 2012
5. R – Letter from California Regional Water Quality Control Board N.O.V. SSO dated December 19, 2011
6. R – Letter from California Regional Water Quality Control Board N.O.V. Self-Monitoring Report dated December 23, 2011

N. PUBLIC RECORD REQUESTS RECEIVED

O. FUTURE AGENDA ITEMS

Director Dawson – Change of location of the pickle ball courts – Will be discussed at the January 14, 2012 Workshop
President Steele – Discussion on a Fiscal planning – ten (10) year and ISO Certification

P. ADJOURNMENT

The meeting was adjourned at 8:43 p.m. to the next regular meeting on January 18, 2012 at 1800 Willow Lake Road

For the Audio of this meeting please visit our Website at
<http://www.todb.ca.gov/content/2011-agendas-and-minutes/>

//cmc – 01.12.12

DRAFT



Town of Discovery Bay

"A Community Services District"

AGENDA REPORT

Meeting Date

January 18, 2012

Prepared By: Dina Breitstein, Finance Manager & Liz Hardy, Sr. Accounts Clerk
Submitted By: Rick Howard, General Manager

Agenda Title

District Invoices

Recommended Action

Staff recommends that the Board approve the listed invoices for payment

Executive Summary

District invoices are paid on a regular basis, and must obtain Board authorization prior to payment. Staff recommends Board authorization in order that the District can continue to pay warrants in a timely manner.

Fiscal Impact:

Amount Requested \$72,816.09

Sufficient Budgeted Funds Available?: Yes (If no, see attached fiscal analysis)

Prog/Fund # See listing of invoices. Category: Operating Expenses and Capital Improvements

Previous Relevant Board Actions for This Item

Attachments

Request For Authorization to Pay Invoices for the Town of Discovery Bay CSD 2011/2012
Town of Discovery Bay CSD Operating Budget 2011/2012 and Capital Budget 2011/2012
Request For Authorization to Pay Invoices for the Discovery Bay Lighting & Landscape District # 8 2011/2012
Discovery Bay Lighting & Landscape District # 8 Operating and Capital Budgets 2011/2012
Request For Authorization to Pay Invoices for the Discovery Bay Lighting & Landscape District # 9 2011/2012
Discovery Bay Lighting & Landscape District # 9 Operating Budget 2011/2012

Request for authorization to pay Invoices (RFA)
 For the Meeting on January 18, 2012
 Town of Discovery Bay CSD
 For Fiscal Year's 7/11 - 6/12

Acct Code					
1	7011	RellaStar	Inv#JR52 457(b) Benefits for 01/01-01/15/12		\$1,128.05
	7024	RellaStar	Inv#JR52 457(b) Benefits for 01/01-01/15/12		\$288.49
				Sub-Total	\$1,416.54
2	7011	SDRMA	Inv#0009130-IN, dtd 01/08/12 Employee Medical Benefits	February 2012	\$1,712.61
	7024	SDRMA	Inv#0009130-IN, dtd 01/06/12 Employee Medical Benefits	January 2012	\$570.87
				Sub-Total	\$2,283.48
3	7210	A & L Western Agricultural Labs	Inv# 139163, dtd 12/22/11 Fertility/Salinilty Pkg.		\$804.00
4	7210	Hewit Engineering	Inv# 11-12, dtd 12/31/11 Services for 12/01-12/31/11		\$9,377.50
5	1112-003	Hewit Engineering	Inv# 11-12 DEW, dtd 12/30/11 Services for 12/01-12/31/11		\$7,538.00
				Sub-Total	\$16,915.50
6	7220	SDRMA	Inv# 38413, dtd 01/05/12 Property & Liability Program 2011-2012 (prorated)		\$716.87
7	7225	Croce & Company	Inv# 001114091, dtd 11/30/11 Finance Manager training		\$930.00
8			<u>Brentwood Ace Hardware - Acct# 808 - Statement Closing 12/31/11</u>		
	7301		General Repairs - Water/Sewer		\$29.37
	7630		Facility Maintenance		\$127.45
				Sub-Total	\$156.82
9			<u>Cal-Card 11/12 - Statement from 8/25, 9/25, 10/25, 11/25 & 12/26/11</u>		
	7301		General Repairs - Water/Sewer		\$971.83
	7510		Info Systems Maintenance		\$23.06
	7630		Facility Maintenance		\$2.15
	7665		Office Buildings/Improvements		\$17.80
	7685		Miscellaneous Small Tools		\$1,048.33
	7690		Equipment Maintenance/Fuel		\$885.27
	7950		Miscellaneous Services & Supplies		\$383.71
	7951		Miscellaneous Reimbursable		\$53.94
				Sub-Total	\$3,386.09
10	7301	J.W. Backhoe & Constr.	Inv# 1633, dtd 12/27/11 Repair @ 1724 Seal Way		\$761.25
11	7301	J.W. Backhoe & Constr.	Inv# 1635, dtd 1/03/12 Repair fire hydrant @ 1037 DB Blvd.		\$1,005.25
12	7301	J.W. Backhoe & Constr.	Inv# 1636, dtd 1/03/12 Repair @ 4510 Discovery Point		\$3,118.28
13	7301	J.W. Backhoe & Constr.	Inv# 1638, dtd 1/03/12 Repair @ 1560 & 1570 Riverlake		\$3,359.16
				Sub-Total	\$8,243.94
14	7301	Pollardwater.com	Inv# I315634-IN, dtd 12/22/11 Reducers & Adapters for repairs		\$74.92
15	7301	R & B Co.	Inv #S1284065.001, 12/29/11 Valve Boxes and Lids		\$110.42
16	7301	Radwell	Inv# INV1458464, dtd 12/28/11 Repair of VFD for WWTP#1		\$1,400.46
17	7305	Frank A. Olsen Co.	Inv# 224462, dtd 01/05/12 Valve for Plant #1		\$7,641.90
18	7305	Frank A. Olsen Co.	Inv# 224463, dtd 01/05/12 Valve for Plant #1		\$1,087.22
				Sub-Total	\$8,709.12
19	7330	Univar	Inv# SJ263597, dtd 12/29/11 Chemicals for 1800 Newport Dr		\$837.93
20	7330	Univar	Inv# SJ263599, dtd 12/29/11 Chemicals for 1800 Willow Lake Dr		\$1,721.33
				Sub-Total	\$2,559.26
21	7410	Ricoh	Inv# 414262573, dtd 01/02/11 Copier Maintenance for Dec 2011		\$199.53
22	7414	Freedom Mailing Services, Inc.	Inv# 19948, dtd 01/09/12 Bill Processing		\$912.27
23	7430	Office Depot	Inv# 587319159001, dtd 11/18/11 FM Heater		\$50.66
24	7430	Office Depot	Inv# 587864252001, dtd 11/23/11 Office Supplies		\$7.97
25	7430	Office Depot	Inv# 591502283001, dtd 12/23/11 Office Supplies		\$18.35
26	7430	Office Depot	Inv# 592104714001, dtd 12/30/11 Office Supplies		\$139.45
27	7430	Office Depot	Inv# 592115235001, dtd 12/30/11 Office Supplies		\$18.20
28	7670	Office Depot	Inv# 592104634001, dtd 01/12/12 Office Equipment		\$47.73
29	7430	Office Depot	Inv# 592950769001, dtd 01/06/11 Office Supplies		\$137.98
				Sub-Total	\$420.34
30	7510	Big Dog Computer	Inv# 20090930-20, dtd 01/11/12 IT Services		\$1,035.00
31	7510	Spectral Wireless	Inv# 3526, dtd 12/30/11 Quarterly Internet for WWTP #2 Jan - Mar 2012		\$240.00

Request for authorization to pay invoices (RFA)
 For the Meeting on January 18, 2012
 Town of Discovery Bay CSD
 For Fiscal Year's 7/11 - 6/12

Acct Code				
32	7520	Verizon Wireless Inv#1043510294, dtd 12/26/11	Monthly wireless service	\$411.18
33	7630	Brut Force Janitorial Inv# 111, dtd 1/1/12	Service for Dec. 2011	\$250.00
	7952	Brut Force Janitorial Inv# 111, dtd 1/1/12	Service for Dec. 2011 (Z-57 #2282)	\$25.00
	7952	Brut Force Janitorial Inv# 111, dtd 1/1/12	Service for Dec. 2011 (Z-61 #2282)	<u>\$25.00</u>
			Sub-Total	\$300.00
34	7665	Denalect Alarm Co. Inv# R33498, dtd 01/03/12	Quarterly Security Service for District Office	\$105.00
35	7952	American Retrofit Systems Inv#169, dtd 12/29/11	L & M - install timer at Regatta P (Z-57 #2282)	\$505.00
36	7952	American Retrofit Systems Inv#170, did 01/05/12	L & M - Install 2 timers @ Slifer I (Z-61 #2282)	\$720.00
37	7690	American Retrofit Systems Inv# 173, dtd 1/10/12	L Only to check battery on portable generator	<u>\$100.00</u>
			Sub-Total	\$1,325.00
38	7952	Gates & Associates Inv# 33417, dtd 01/04/12	Regatta Basketball Court plans (Z-57 #2310)	\$506.65
39	7952	Gates & Associates Inv# 33418, dtd 01/04/12	Regatta Basketball Court plans (Z-57 #2310)	<u>\$1,217.50</u>
			Sub-Total	\$1,724.15
40	7952	Bruce Jetts Assoc. Inv# 15834, dtd 12/19/11	Dog Park Studies (Z-61 #2310)	\$380.83
41	7952	My Bark Inv# 4696, dtd 12/14/11	Wood fiber for various parks (Z-61 #2282)	\$1,941.19
42	7952	My Bark Inv# 4719, dtd 12/22/11	Wood fiber for various parks (Z-61 #2282)	<u>\$2,152.28</u>
			Sub-Total	\$4,093.47
43	7952	Neopost Acct# 7900 0449 0838 4658 , dtd 12/06/11	Postage for mailer (Z-61 #2103)	\$101.30
44	7952	Watersavers Irrigation Inc. Inv# I1127192, dtd 12/28/11	Weathertrak System (Z-57 #2282)	\$3,267.19
45	7952	Watersavers Irrigation Inc. Inv# I1127743, dtd 01/03/12	Mics. Irrigation repair parts (Z-57 #2282)	\$709.20
46	7952	Watersavers Irrigation Inc. Inv# I1127828, dtd 01/03/12	Mics. Irrigation repair parts (Z-57 #2282)	\$470.02
47	7952	Watersavers Irrigation Inc. Inv# I1127458, dtd 01/04/12	Weathertrak System (Z-61 #2282)	<u>\$5,221.45</u>
			Sub-Total	\$9,667.86
Total TODB				\$68,623.35

OWN OF DISCOVERY BAY CSU
O&M BUDGET - FISCAL YEAR 2011-12
APPROVED 6/15/11

Obj #	Account Description	2010/2011 BUDGET	2010/2011 ACTUALS	2011/2012 Approved Budget	Jul 11 Month to Date Expenses	Aug 11 Month to Date Expenses	Sep 11 Month to Date Expenses	Oct 11 Month to Date Expenses	Nov 11 Month to Date Expenses	Dec 11 Month to Date Expenses	Jan 12 Month to Date Expenses	Pending Approval 1/18/2012	2011/2012 YTD Actuals	2011/2012 Remainder of Budget YTD
7001	Salary & Wages	\$526,000	\$664,145	\$399,939	\$35,493	\$35,157	\$32,609	\$36,549	\$37,516				\$209,989	\$114,823
7005	Overtime	\$0	see #7001	\$5,000									\$0	\$5,000
7007	Auto Allowance	\$0	see #7001	\$4,200	\$350	\$350	\$350	\$350	\$350	\$350	\$350		\$2,450	\$1,750
7010	Payroll Taxes EE	\$0	see #7001	\$4,200	\$14,312	\$14,478	\$13,567	\$12,476	\$9,714	\$9,714	\$9,714		\$2,450	\$1,750
7011	Payroll Taxes ER	\$0	see #7001	\$3,655	\$4,316	\$4,286	\$4,576	\$3,794	\$5,800	\$5,800	\$5,800		\$26,777	\$26,878
7010	Group Insurance (Partial EE Reimb)	\$32,500	\$30,000	\$44,400	\$3,703	\$4,655	\$3,727	\$4,379	\$4,561			\$2,841	\$27,147	\$27,147
7021	Landscape Related Salary & Wages (Reimb)	\$121,000	see #7001	\$157,737					\$20,698				\$20,698	\$20,698
7022	Landscape Related Overtime (Reimb)	\$0	see #7001	\$3,000									\$0	\$3,000
7023	Landscape Related Payroll Taxes (Reimb)	\$0	see #7001	\$16,073									\$0	\$0
7024	Landscape Related Payroll Taxes (Reimb)	\$5,000	see #7001	\$23,600	\$894	\$1,184	\$1,182	\$1,182	\$1,182	\$1,226	\$967	\$859	\$7,218	\$16,382
7030	Worker's Comp	\$705,500	\$698,604	\$715,504	\$62,642	\$60,109	\$58,825	\$58,494	\$78,233	\$84,106	\$2,185	\$3,700	\$381,594	\$211,390
	Board of Directors													
7101	Compensation	\$36,000	\$25,983	\$36,000	\$2,200	\$2,400	\$2,400	\$2,400	\$2,500	\$4,400			\$18,400	\$22,600
7102	Travel & Training	\$600	\$164	\$2,500	\$65	\$65	\$246	\$637	\$637	\$673			\$1,386	\$1,714
	Sub-Total	\$36,600	\$26,147	\$38,500	\$0	\$2,265	\$2,465	\$2,146	\$3,137	\$4,773	\$0	\$0	\$14,786	\$23,714
	Contractual Services													
7205	Legal Services	\$80,000	\$71,347	\$90,000	\$1,328	\$1,057	\$9,850	\$9,572	\$6,548	\$6,275			\$39,630	\$40,370
7210	Consulting Services *	\$210,000	\$344,419	\$210,000	\$31,387	\$44,952	\$19,482	\$3,401	\$17,220			\$10,182	\$115,842	\$94,158
7215	Water & Wastewater Services Contract	\$1,173,000	\$1,021,527	\$1,148,000	\$190,445	\$190,445	\$134,365	\$100,716					\$674,971	\$532,029
7220	Liability Insurance	\$49,000	\$53,911	\$50,000	\$53,911								\$53,911	\$53,911
7225	Accounting Financial Services	\$35,000	\$23,380	\$30,000	\$21,259	\$3,441	\$1,275	\$73	\$930	\$26,748		\$717	\$33,911	\$3,252
	Sub-Total	\$1,546,000	\$1,460,673	\$1,518,000	\$53,911	\$32,715	\$223,218	\$147,612	\$142,257	\$6,275	\$6,275	\$11,928	\$352,102	\$665,898
	Operations & Maintenance													
7301	General Repairs - Water/Sewer	\$550,000	\$657,179	\$550,000	\$1,405	\$57,985	\$30,612	\$30,163	\$33,637	\$43,710	\$13,410	\$10,831	\$230,933	\$319,057
7305	General Repairs - Pumps	\$150,000	\$127,109	\$100,000	\$900	\$4,106	\$4,646	\$19,153	\$3,203	\$3,203		\$3,709	\$31,410	\$68,590
7310	NTR/SIP Testing - RWQOB	\$15,000	\$0	\$5,000									\$0	\$5,000
7312	Preventive & Corrective Fund	\$90,000	\$96,102	\$107,000	\$3,781	\$6,794	\$4,795	\$9,131	\$4,838	\$22,931			\$31,550	\$75,450
7330	Chemicals/Odor Supplies	\$65,000	\$95,681	\$100,000	\$5,006	\$9,048	\$6,794	\$4,795	\$9,131	\$3,132	\$2,846	\$2,559	\$38,792	\$91,248
7385	NPDES NOV Fines (s)	\$25,000	\$15,000	\$25,000									\$0	\$25,000
7410	Copier Maintenance	\$4,500	\$2,850	\$4,500	\$783	\$397	\$325	\$254	\$384			\$200	\$2,143	\$2,357
7414	Outsource of Water Billing	\$24,000	\$0	\$15,000	\$914	\$975	\$1,282	\$913	\$1,835	\$1,835		\$912	\$5,919	\$9,081
7420	Postage	\$2,500	\$11,721	\$2,500	\$100	\$398	\$70	\$185	\$211	\$171	\$171		\$1,144	\$1,395
7430	Office Supplies	\$8,000	\$8,328	\$6,000	\$464	\$1,346	\$524	\$519	\$957	\$191		\$373	\$4,002	\$3,998
7440	Public Communications & Noticing	\$5,000	\$7,625	\$5,000	\$242								\$242	\$2,758
7450	Election Expenses	\$12,000	\$5,281	\$0									\$0	\$0
7460	Memberships	\$16,000	\$6,023	\$17,500	\$2,085	\$1,464			\$4,257	\$255			\$8,061	\$9,439
7470	Rent - Public Meetings	\$500	\$0	\$500									\$0	\$500
7480	Permits	\$50,000	\$38,381	\$40,000				\$6,028		\$10,681	\$676		\$17,385	\$22,615
7490	Travel & Training	\$2,500	\$2,951	\$3,000	\$18	\$18	\$338	\$600	\$600	\$1,046	\$79		\$2,081	\$919
7510	Info Systems Maintenance	\$4,500	\$5,400	\$2,500	\$240	\$114	\$1,455	\$1,096	\$1,119	\$3,323	\$179	\$1,298	\$7,526	\$5,026
7520	Cellular Communications/Data	\$4,500	\$6,381	\$6,500	\$2,376	\$1,062	\$630	\$958	\$571	\$927	\$187	\$411	\$6,709	\$2,091
7535	Electrical Cost (water)	\$300,000	\$359,828	\$355,000	\$35,068	\$50,471	\$68,720	\$22,502	\$46,157	\$66,709	\$66,709		\$212,918	\$122,062
7637	Electrical Cost (sewer)	\$325,000	\$382,828	\$370,000	\$39,492	\$36,496	\$39,271	\$55,631	\$6,368	\$21,477	\$21,477		\$214,477	\$155,523
7650	Telephone	\$4,000	\$5,776	\$4,800	\$925	\$535	\$385	\$778	\$1,225	\$736			\$4,487	\$313
7620	Special Equipment	\$3,000	\$1,299	\$3,000	\$113					\$64	\$102		\$279	\$2,721
7630	Facility Maintenance/Landscape	\$15,000	\$21,890	\$15,000	\$110	\$3,290	\$681	\$3,478	\$1,173	\$8,007	\$32	\$980	\$16,751	\$1,751
7655	Office Buildings/Improvements	\$10,000	\$3,812	\$10,000	\$1,590	\$983	\$5,982	\$1,508	\$2,338	\$1,508	\$2,338	\$1,233	\$11,276	\$1,276
7670	Office Equipment/Software	\$8,000	\$7,572	\$30,000	\$10,273	\$408	\$1,132	\$171	\$60	\$2,764	\$2,136	\$48	\$16,947	\$13,053
7680	Office Furnishings	\$1,000	\$397	\$1,000	\$370	\$370	\$974	\$1,266	\$276				\$2,889	\$1,889
7685	Miscellaneous Small Tools	\$3,500	\$6,483	\$3,500	\$756	\$645	\$150	\$150	\$633	\$633	\$1,010	\$1,048	\$3,194	\$306
7690	Equipment Maintenance/Fuel	\$19,000	\$27,892	\$20,000	\$2,128	\$1,497	\$3,372	\$2,385	\$4,304	\$1,522	\$985		\$14,438	\$5,562
7925	Miscellaneous Bank Charges	\$0	see #7950	\$900									\$0	\$900
7950	Miscellaneous Services & Supplies	\$12,000	\$13,588	\$2,500	\$62	\$2,049	\$3,589	\$8,882	\$226	\$1,023	\$1,237	\$384	\$17,058	\$14,568
7951	Miscellaneous Reimbursable	\$10,000	\$555	\$1,000	\$17	\$17	\$1	\$1	\$28	\$197	\$128	\$54	\$516	\$484
7952	Landscape Related Reimbursables	\$100,000	\$140,324	\$200,000	\$2,227	\$9,255	\$15,082	\$10,640	\$16,106	\$23,749	\$22,788	\$17,243	\$99,827	\$100,173
7970	Unrecoverable Charges	\$5,000	\$5,000	\$0									\$0	\$5,000
7990	G.F. Expenditures	\$0	\$0	\$0									\$0	\$0
	Sub-Total	\$1,626,000	\$2,017,526	\$1,993,300	\$24,630	\$164,031	\$159,855	\$191,369	\$146,430	\$236,980	\$79,679	\$45,557	\$1,002,924	\$990,376
	Inter-Governmental Charges													
7805	Revenue Collection	\$5,500	\$4,640	\$6,000									\$0	\$6,000
7810-0810	Investment Fee	\$700	\$700	\$200									\$0	\$200
7815-2315	Data Processing/Payroll Wire Transfer Fees	\$0	\$480	\$480									\$0	\$480
7820	Accounting (A/P, A/R, GL)	\$6,000	\$15,622	\$10,000									\$0	\$2,000
7825	Public Works - Permits	\$6,000	\$15,622	\$10,000									\$0	\$2,000
7850	Property Taxes	\$14,700	\$20,282	\$28,680	\$0	\$0	\$3,768	\$0	\$4,826	\$0	\$0	\$0	\$8,594	\$10,000
	Sub-Total	\$14,700	\$20,282	\$28,680	\$0	\$3,768	\$0	\$4,826	\$0	\$0	\$0	\$0	\$8,594	\$10,000
	TOTAL O&M Budget	\$3,928,800	\$4,223,212	\$4,293,984	\$141,083	\$259,169	\$485,027	\$475,227	\$375,413	\$435,942	\$88,139	\$61,085	\$2,259,999	\$1,911,464

Acct. #	Account Description	2011/2012 Approved BUDGET	Nov 11 M-T-D Exp.	50.00%	Jan 12 M-T-D Exp.	58.33%	Feb 12 M-T-D Exp.	66.67%	Plan to Approve 01/18/12	2011/2012 YTD REIMB.	2011/2012 ACTUALS	2011/2012 Remainder of Budget YTD
SEWER												
0910-004	Manhole Rehabilitation Project	\$15,000									\$0	\$15,000
0910-005	Landscape @ Plant #1	\$7,000									\$0	\$7,000
0910-007	UV System Upgrade	\$23,665									\$0	\$23,665
0910-008	Salinity Study Project	\$70,000									\$0	\$70,000
0910-009	Pumps/Motors Replacement										\$0	\$0
0910-010	Wetlands										\$0	\$0
1011-001	By-Pass Pipeline										\$0	\$0
1011-002	Upgrade/Replace SCADA PLC's (Multi Year)	\$25,000									\$0	\$25,000
1011-003	Bio-Solids Pumps (2) Wet Well	\$20,000									\$0	\$20,000
1011-004	Rehab Lift Station W	\$20,000									\$0	\$20,000
1011-005	Bypass Valve Lift Station S	\$10,000									\$0	\$10,000
1011-006	Metal Cover for UV Area *	\$25,000									\$0	\$25,000
1011-008	Paving for Bio-Solids Containment Area	\$15,000									\$15,893	-\$15,893
1011-009	New Moles (2)										\$0	\$15,000
1011-010	Road Crossing Ramps	\$15,000									\$0	\$15,000
1112-001	Trailered Trash-Pump	\$20,000									\$19,900	\$100
1112-002	Raise Manholes	\$20,000	\$19,900								\$7,538	\$733,644
1112-003	Beltpress - Bio-solids Area (Multi-year)	\$500,000		\$57,866							\$57,866	\$40,000
1112-009	Collection System Pump Station Improvements	\$40,000									\$0	\$40,000
	Sewer Sub Total	\$1,125,665	\$19,900	\$57,866	\$0	\$0	\$0	\$0	\$7,538	\$0	\$102,148	\$1,023,517

WATER												
0105-003	Develop Water Meter Plan											
0708-016	Portable Shoring Trailer											
0809-002	Well #6 Design & Drill Test Hole										\$2,811	-\$2,811
0809-003	Changeout of Chemical Pumps	\$8,000									\$0	\$0
0910-011	Security Door Locks (12)	\$500,000									\$0	\$8,000
0910-014	Water Meter Program (Multi-Year)	\$500,000	\$2,370								\$6,479	\$493,521
0910-000	Water Meter Program: Reimbursements	(\$500,000)									\$0	-\$500,000
1011-013	Rehabilitate Well(s)	\$30,000									\$0	\$30,000
1112-006	New Well #7 (Multi-Year)	\$40,000									\$0	\$40,000
1112-008	Install Water Well Transducers & Wellhead Survey	\$36,000									\$0	\$36,000
	Water Sub Total	\$124,000	\$0	\$0	\$2,370	\$0	\$0	\$0	\$0	\$0	\$9,290	\$114,710
MISC.												
	Misc. Sub Total	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Total Capital Budget	\$1,249,665	\$19,900	\$57,866	\$2,370	\$0	\$0	\$0	\$7,538	\$0	\$111,439	\$1,138,226

Infrastructure Replacement Fund												
R1112-008	Sewer Infrastructure Replacement Program	\$150,000									\$0	\$150,000
R1112-009	Pumps/Motors Replacement Program	\$40,000									\$19,834	\$20,166
R1011-010	Water Infrastructure Replacement Program	\$100,000									\$0	\$100,000
R1112-011	Facilities and Vehicles Replacement Fund	\$30,000									\$0	\$30,000
	Total Replacement Fund	\$320,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$19,834	\$300,166
	Total Replacement Fund & Capital Budget	\$1,569,665	\$19,900	\$57,866	\$2,370	\$0	\$0	\$0	\$7,538	\$0	\$131,273	\$1,438,392

Request For Authorization To Pay Invoices (RFA)
 For the Meeting on January 18, 2012
 Town of Discovery Bay, D.Bay L&L Park #8
 For Fiscal Year's 7/11 - 6/12

<u>Acct Code</u>			
1	2100	Office Depot Inv# 587864252001, dtd 11/23/11 Office Supplies	\$82.05
2	2120	Discovery Bay Disposal Acct# 17-0001966, dtd 12/28/11 Service for Dec 2011	\$272.00
3		<u>Brentwood Ace Hardware - Acct# 808 - Closing Date 12/31/11</u>	
	2130	Small Tools & Instruments	\$40.25
4	2282	Antioch Plumbing, Inc. Inv# 5602, dtd 12/27/11 Install Water Meter on Willow Lake Rd & Ct	\$1,461.53
5	2282	Valley Crest Inv# 3906642, dtd 12/28/11 Installation of Strong Box for clock	\$943.00
6	2282	Valley Crest Inv# 3906644, dtd 12/28/11 Irrigation repairs	\$770.00
7	2282	Valley Crest Inv# 3906648, dtd 12/28/11 Irrigation repairs	\$315.00
		Sub-Total	\$2,028.00
8	2282	Watersavers Irrigation Inv# 11128024, dtd 01/04/12 Irigation parts	\$23.40
9	2282	Watersavers Irrigation Inv# 11128117, dtd 01/04/12 Irrigation parts	\$48.34
		Sub-Total	\$71.74
10		<u>Cal-Card 11/12 - Statement from 8/25, 9/25, 10/25, 11/25 & 12/26/11</u>	
	2479	Other Special Expenses	\$120.00
		TOTAL	\$4,075.57

Obj #	Account Description	2010/2011 BUDGET	as of 3/31/11 2010/2011 ACTUALS	2011/2012 Approved Budget	2011/2012 Actuals												2011/2012 Remainder of Budget YTD
					Jul 11 Month to Date Expenses	Aug 11 Month to Date Expenses	Sep 11 Month to Date Expenses	Oct 11 Month to Date Expenses	Nov 11 Month to Date Expenses	Dec 11 Month to Date Expenses	Jan 12 Month to Date Expenses						
					8.33%	15.67%	25.00%	33.33%	41.67%	50.00%	58.33%						
2310	Salary & Wages	\$72,000	\$37,704	\$93,760	\$10,337	\$10,759	\$10,862	\$9,775	\$4,227	\$2,985	\$48,945	\$44,815					
7010	Staff Payroll		\$1,869	\$1,837	\$1,837	\$1,502	\$1,028	\$710									
	Payroll Taxes	\$72,000	\$37,704	\$93,760	\$12,006	\$12,715	\$12,699	\$11,277	\$5,255	\$3,685	\$48,945	\$44,815					
	Sub-Total																
2310	Professional/Specialized Services	\$8,100	\$935	\$8,000													
2360	Insurance	\$5,200	\$1,315	\$5,000													
	Sub-Total	\$13,300	\$2,250	\$13,000													
	Operations & Maintenance																
2100	Office Expenses, Supplies	\$1,250	\$934	\$1,250	\$44	\$208		\$114	\$54	\$268	\$688	\$562					
2102	Books, Periodicals & Subscriptions	\$200	\$160	\$200						\$130	\$130	\$70					
2103	Postage	\$50	\$11	\$50								\$50					
2110	Communications	\$600	\$265	\$1,765				\$10		\$298	\$308	\$1,457					
2120	Utilities (Street Lights, Water, Garbage)	\$100,000	\$64,766	\$103,500	\$10,775	\$7,148	\$7,216	\$7,248	\$15,468	\$6,422	\$54,338	\$54,162					
2130	Small Tools & Instruments	\$1,850	\$882	\$2,000	\$53	\$179	\$234	\$170	\$16	\$1,274	\$37	\$1,964					
2131	Minor Equipment, Furniture less than \$1,000	\$350	\$178	\$500						\$217	\$217	\$283					
2190	Household Items	\$1,400	\$1,162	\$1,750	\$538					\$11	\$937	\$813					
2190	Public Notices	\$150	\$0	\$300								\$300					
2200	Memberships	\$300	\$160	\$250								\$171					
2250	Rent & Lease of Equipment	\$500	\$154	\$500								\$427					
2251	Computer Software	\$0	\$0	\$0								\$27					
2270	Maintenance of Equipment	\$950	\$90	\$1,000								\$0					
2271	Automotive Supplies & Repairs	\$2,000	\$1,384	\$2,000	\$222						\$921	\$1,348					
2272	Gasoline	\$4,000	\$1,715	\$3,500				\$169	\$105	\$774	\$1,048	\$952					
2281	Maintenance of Buildings	\$5,300	\$3,148	\$5,400	\$350	\$75	\$758	\$470	\$497	\$849	\$2,782	\$718					
2282	Grounds Maintenance	\$205,000	\$121,005	\$212,000	\$1,734	\$10,954	\$26,445	\$11,422	\$20,354	\$16,477	\$98,462	\$113,538					
2284	Requested Maintenance from County	\$0	\$0	\$0								\$0					
2301	Employee Auto Mileage - Reimbursement	\$100	\$36	\$100				\$184	\$261	\$14	\$532	\$432					
2303	Other Travel Employee Expenses	\$750	\$389	\$1,500					\$80	\$448	\$528	\$972					
2470	Road/Construction Materials (Street Signs)	\$500	\$490	\$500							\$64	\$436					
2479	Other Special Expenses	\$3,500	\$1,485	\$12,000							\$277	\$7,663					
	Sub-Total	\$328,750	\$198,414	\$355,065	\$2,182	\$22,952	\$34,659	\$24,452	\$29,765	\$41,995	\$18,646	\$174,650	\$180,415				
7800	Inter-Governmental Charges																
3530/3550	Taxes & Assessments	\$0	\$0	\$1,000								\$758	\$242				
3611	Interfund Exp. (Investment & Property Tax)	\$500	\$0	\$500								\$0	\$500				
5011	Reimbursement for County Admin. Costs	\$500	\$0	\$500								\$0	\$500				
	Sub-Total	\$1,000	\$0	\$2,000	\$0	\$0	\$0	\$0	\$758	\$0	\$758	\$0	\$1,242				
	TOTAL O&M Budget	\$415,050	\$238,368	\$463,925	\$14,188	\$35,667	\$47,358	\$35,729	\$35,778	\$56,660	\$18,646	\$235,324	\$228,502				

Obj#	Account Description	2009/2010 ACTUALS	2010/2011 BUDGET	as of 3/31/11 2010/2011 ACTUALS	Estimate Year End	2011/2012 Approved Budget	Jul 11 Month to Date Expenses	Aug 11 Month to Date Expenses	Sep 11 Month to Date Expenses	Oct 11 Month to Date Expenses	Nov 11 Month to Date Expenses	Dec 11 Month to Date Expenses	To Be Approved 1/4/2012	2011/2012 Actuals	2011/2012 Remainder of Budget YTD
DISCOVERY BAY LANDSCAPE & LIGHTING DISTRICT #8															
CAPITAL BUDGET 2011/2012															
Approved 6/15/11															
PARKS															
4789	Cornell Park - Playground Replacement		\$226,000	\$15,127	\$110,000	\$126,000.00		\$74,300	\$62,963	\$4,859	\$749	\$16,566		\$169,437	(43,437)
4834	Cornell Park (Restroom Partitions)		\$7,500	\$7,000	\$ 7,000		\$16,130			\$14,446		\$4,023		\$16,130	(16,130)
	Cornell Park (ADA Upgrades)					\$35,000								\$18,489	16,511
	Cornell Park (Tennis Court Surfacing)					\$20,000								\$0	20,000
	Cornell Park (Dog Park Fencing)					\$85,000								\$0	\$5,000
	Cornell Park (Tot Lot Removal)					\$12,500								\$0	12,500
	Cornell Park (Horse Shoe & Bocce Court)					\$15,000								\$0	15,000
	Parks Sub Total	\$0	\$233,500	\$22,127	\$117,000	\$283,500	\$0	\$90,430	\$62,963	\$28,305	\$749	\$20,589	\$0	\$204,036	\$9,464
STREETSCAPE															
4265	Various Improvements	\$4,842	\$7,500	\$4,061	\$ 7,500	\$7,500								\$0	7,500
4546	Structure & Walkway Repairs		\$3,500	\$300	\$ 1,500	\$2,000		\$13,879	\$7,270	\$110				\$21,259	(21,259)
4828	Landscape Master Plan Areas													\$0	0
	Willow Lake Road Streetscape		\$102,500	\$86,650	\$ 96,650	\$12,000				\$7,762				\$7,762	4,218
	Discovery Bay Blvd. (West) / Sand Point Rd.		\$175,000	\$111,037	\$126,000	\$30,000	\$2,357							\$2,357	27,643
	Highway 4 (East)					\$50,000		\$7,651		\$5,893	\$15,327	\$2,909		\$31,661	18,339
	Discovery Bay Blvd (East)	\$4,842	\$288,500	\$202,578	\$231,650	\$101,500	\$2,357	\$21,410	\$7,270	\$13,765	\$15,327	\$2,909	\$0	\$63,058	\$3,442
	Streetscape Sub Total														
MISC.															
4853	Vehicle Purchase		\$14,000	\$13,968	\$ 13,000	\$25,000								\$21,676	3,324
4859	Tools & Sundry Equipment		\$3,624	\$2,750	\$ 2,750	\$3,000								\$0	3,000
	Misc. Sub Total		\$3,624	\$16,718	\$15,750	\$28,000	\$0	\$0	\$0	\$21,345	\$40	\$281	\$0	\$21,676	6,324
	Total Capital Budget	\$8,466	\$538,750	\$241,273	\$364,400	\$423,000	\$2,357	\$111,840	\$70,233	\$64,435	\$16,116	\$23,789	\$0	\$288,770	134,230

Request For Authorization To Pay Invoices (RFA)
For the Meeting on January 18, 2012
Town of Discovery Bay, D.Bay L&L Park #9 (Ravenswood)
For Fiscal Year's 7/11 - 6/12

Acct Code		
2100	Office Depot Inv# 591142891001, dtd 12/20/11 Office Supplies	\$44.27
2130	Watersavers Irrigation Inc. Inv# I1127743, dtd 01/03/12 Irrigation repair parts	\$8.18
	<u>Brentwood Ace Hardware - Acct# 808 - Closing 12/31/11</u>	
2282	Grounds Maintenance	\$64.72
	Total	\$117.17

Obj #	Discovery Bay Landscape & Lighting District #9 O & M BUDGET 2011/2012 Approved 6/15/11	Account Description	2009/2010 ACTUALS	2010/2011 BUDGET	as of 3/31/11 2010/2011 ACTUALS	Estimated Year-End	2011/2012 Approved Budget	8.33% Jul 11 Month to Date Expenses	16.67% Aug 11 Month to Date Expenses	25.00% Sep 11 Month to Date Expenses	33.33% Oct 11 Month to Date Expenses	41.67% Nov 11 Month to Date Expenses	50.00% Dec 11 Month to Date Expenses	58.33% Jan 12 Month to Date Expenses	Planned to Pay 11/15/2011	2011/2012 YTD REIMB.	2011/2012 YTD ACTUALS	2011/2012 Remainder of Budget YTD
2310	Staff Payroll		\$9,126	\$25,500	\$12,610	\$ 25,500	\$37,952	\$1,199	\$1,099	\$712	\$1,376	\$1,422	\$1,186	\$5,857	\$6,953.68			
7010	Payroll Taxes							\$270	\$259	\$162	\$313	\$349	\$272	\$5,857	\$1,625.71			
	Sub-Total		\$9,126	\$25,500	\$12,610	\$ 25,500	\$37,952	\$1,469	\$1,358	\$874	\$1,689	\$1,771	\$1,458	\$0	\$8,619.39	\$0	\$29,333	
2310	Contractual Services		\$3,065	\$4,000	\$3,787	\$ 4,000	\$8,200		\$160	\$1,735		\$1,760	\$2,562		\$6,216.36	\$1,984	\$1,984	
2360	Professional/Specialized Services		\$0	\$1,000	\$490	\$ 1,000	\$1,500								\$0.00	\$0.00	\$1,500	
	Sub-Total		\$3,065	\$5,000	\$4,277	\$ 5,000	\$9,700	\$0	\$1,600	\$1,735	\$0	\$1,760	\$2,562	\$0	\$6,216.36	\$0	\$3,484	
2100	Operations & Maintenance		\$39	\$500	\$327	\$ 500	\$500								\$322.21	\$178	\$178	
2102	Office Expenses, Supplies		\$0	\$50	\$0	\$ 50	\$50								\$24.26	\$26	\$26	
2103	Books, Periodicals & Subscriptions		\$0	\$150	\$80	\$ 150	\$150								\$0.00	\$0.00	\$150	
2110	Communications		\$57	\$250	\$120	\$ 250	\$350								\$0.00	\$350	\$350	
2120	Utilities (Street Lights, Water, Garbage)		\$5,666	\$15,000	\$11,802	\$ 15,000	\$26,325		\$3,651	\$126	\$133	\$108	\$8,229	\$7	\$12,233.56	\$14,091	\$14,091	
2130	Small Tools & Instruments		\$263	\$750	\$268	\$ 750	\$750								\$221.57	\$528	\$528	
2170	Minor Equipment, Furniture less than \$1,000		\$0	\$250	\$103	\$ 200	\$250								\$53.96	\$197	\$197	
2190	Household Items		\$632	\$700	\$255	\$ 700	\$750		\$118						\$118.00	\$632	\$632	
2200	Memberships		\$38	\$254	\$254	\$ 500	\$500								\$0.00	\$500	\$500	
2250	Rent & Lease of Equipment		\$0	\$40	\$40	\$ 40	\$50								\$0.00	\$50	\$50	
2291	Computer Software		\$0	\$0	\$0	\$ -	\$0								\$0.00	\$0	\$0	
2270	Maintenance of Equipment		\$109	\$200	\$80	\$ 160	\$200								\$0.00	\$200	\$200	
2271	Automotive Supplies & Repairs		\$0	\$300	\$87	\$ 340	\$300								\$0.00	\$300	\$300	
2272	Gasoline		\$120	\$400	(\$332)	(\$200)	\$500								\$289.28	\$0	\$0	
2281	Maintenance of Buildings		\$0	\$0	\$0	\$ -	\$0								\$0.00	\$0	\$0	
2282	Grounds Maintenance		\$32,553	\$48,540	\$27,903	\$ 48,540	\$44,500		\$362	\$3,120	\$2,725	\$2,978	\$4,933	\$4,315	\$24,948.74	\$19,651	\$19,651	
2284	Requested Maintenance from County		\$0	\$0	\$0	\$ -	\$0								\$0.00	\$0	\$0	
2301	Employee Auto Mileage - Reimbursement		\$128	\$150	\$0	\$ -	\$0								\$89.00	\$41	\$41	
2303	Other Travel Employee Expenses		\$46	\$0	\$0	\$ -	\$0								\$55.00	\$0	\$0	
2470	Road/Construction Materials (Street Signs)		\$0	\$0	\$0	\$ -	\$0								\$0.00	\$0	\$0	
2479	Other Special Expenses 42654789493		\$1,249	\$2,800	\$943	\$ 2,800	\$1,350		\$13,827						\$31,406.08	(\$30,056)	\$13,827	
	Sub-Total		\$40,920	\$70,334	\$40,730	\$ 69,730	\$76,575	\$362	\$24,093	\$3,265	\$3,295	\$9,185	\$26,437	\$5,029	\$0	\$71,655.04	\$4,920	
3530/3550	Inter-Governmental Charges		\$423	\$423	\$423	\$ 423	\$425								\$0	\$0	\$0	
3611	Taxes & Assessments		\$0	\$500	\$0	\$ -	\$0								\$1,220.86	(\$796)	\$1,220.86	
5011	Infrfund Exp. (Investment & Property Tax)		\$0	\$500	\$0	\$ -	\$0								\$0.00	\$0	\$0	
	Sub-Total		\$423	\$1,423	\$423	\$ 423	\$425	\$0	\$0	\$0	\$0	\$0	\$1,221	\$0	\$1,220.86	\$0	\$0	
	TOTAL O&M Budget		\$53,534	\$102,257	\$58,040	\$100,653	\$124,652	\$1,831	\$26,611	\$5,864	\$4,984	\$12,716	\$31,677	\$5,029	\$0	\$87,711.65	\$9,927	



Town of Discovery Bay
"A Community Services District"
AGENDA REPORT

Meeting Date

January 18, 2012

Prepared By: Dina Breitstein, Finance Manager
Submitted By: Rick Howard, General Manager

Agenda Title

District Financials

Recommended Action

Receive and File

Executive Summary

DB Lighting & Landscaping Zone #8

The account total fund balance before reserves for DB #8 is \$1,587,327

Less the reserves of \$35,000, we have a fund balance available of \$1,552,327

DB Lighting & Landscaping Zone #9

The account total fund balance is for DB #9 is \$202,334

Town of Discovery Bay, CSD Water & Sewer

The account total fund balance before reserves for Water & Sewer is \$8,898,795.54

Less the reserves of \$3,000,000, we have a fund balance available of \$5,898,795.54

Fiscal Impact:

Amount Requested: N/A

Sufficient Budgeted Funds Available?: (If no, see attached fiscal analysis)

Prog/Fund # Category:

Previous Relevant Board Actions for This Item

Attachments

D.Bay L&L Zone #8 Budget vs. Actuals for 2011-2012 through December 12, 2011

D.Bay L&L Zone #9 Budget vs. Actuals for 2011-2012 through December 12, 2011

Town of Discovery Bay CSD Transaction Detail Report for 2011-2012 through December 12, 2011

AGENDA ITEM: E-4

D.Bay L&L Park #8 District
 Revenue & Expenditure Budget vs. Actuals Worksheet 2011-12
 November 15, 2011 through December 12, 2011 - Period 05

Revenue:	Acct. Code	2011/12 Budget	2011/12 Actuals
Current Funds In Contra Costa County	740/750	\$1,408,636	\$1,526,007
Retainage Account	510		
Due to Other Funds - Yr End	540		
Disbursements	830		
Current Property Taxes	9010	\$430,000	\$417,120
Property Tax Supplemental/Unitary/Secured	9011/13/30/31		\$2,061
SRAF State Rev Transfer	9018		
Property Taxes-Current Unsecured	9020	\$14,000	\$15,996
Property Taxes-Prior-Unsecured	9035		\$183
Earnings on Investment	9181		
H/O Prop Tax Relief/State Aid/In Lieu Taxes	9385/9435/9580		
Misc Revenue & Services	9799&0975		\$235
Total Revenue		\$1,852,636	\$1,961,603

Expenditure: Operating Expenses	Acct. Code	2011/12 Budget	2011/12 Actuals
Office Expenses, Books, Postage	2100	(\$1,250)	(\$421)
Books, Periodicals & Subscriptions	2102	(\$200)	
Postage	2103	(\$50)	
Communications	2110	(\$1,765)	(\$10)
Utilities (Street Lights, Water & Garbage)	2120	(\$108,500)	(\$32,448)
Small Tools & Instruments	2130	(\$2,000)	(\$653)
Minor Equipment, Furniture less than \$1000	2131	(\$500)	
Household Items	2170	(\$1,750)	(\$926)
Public Notices	2190	(\$300)	
Memberships	2200	(\$250)	(\$219)
Rent & Lease of Equipment	2250	(\$500)	\$27
Computer Software	2251	\$0	
Maintenance of Equipment	2270	(\$1,000)	(\$222)
Automotive Supplies & Repairs	2271	(\$2,000)	(\$274)
Gasoline	2272	(\$3,500)	(\$482)
Maintenance of Buildings	2281	(\$5,400)	(\$1,840)
Grounds Maintenance	2282	(\$212,000)	(\$66,416)
Requested Maintenance from County	2284/3620	\$0	
Auto Mileage/Employee Reimbursement	2301	(\$100)	(\$518)
Other Travel Employee Expenses	2303	(\$1,500)	
Professional Services/Specialized Services	2310	(\$8,000)	(\$42,796)
Staff Payroll	2310	(\$93,760)	(\$80)
Insurance	2360	(\$5,000)	(\$4,193)
Road/Construction Materials (Street Signs)	2470	(\$500)	
Other Special Expenses	2479	(\$12,000)	(\$4,504)
Miscellaneous Services & Supplies	2490	\$0	
Taxes & Assessments	3530/3550	(\$1,000)	(\$758)
Interfund Exp.(Investment & Property Tax Adm.)	3611	(\$500)	
Reimbursement for County Adm. Costs	5011	(\$500)	
Total Operating Expenses		(\$463,825)	(\$156,734)

Expenditure: Capital/Asset	Acct. Code	2011/12 Budget	2011/12 Actuals
Various Improvements	4265	(\$7,500)	(\$806)
Structure & Walkway Repairs	4546	(\$2,000)	
Playground Equipment	4789	(\$126,000)	(\$147,058)
Landscape Master Plan	4829		(\$17,717)
Misc. Projects - DB Blvd (West)/Sand Point)		(\$12,000)	
Misc. Projects - Highway 4 (East)		(\$30,000)	
Misc. Projects - DB Blvd (East)		(\$50,000)	
Cornell Park (ADA Upgrades)	4834	(\$35,000)	(\$30,577)
Cornell Park (Tennis Court Resurfacing)		(\$20,000)	
Cornell Park (Dog Park Fencing)		(\$85,000)	
Cornell Park (Tot Lot Removal)		(\$12,500)	
Cornell Park (Horse Shoe & Bocce Court)		(\$15,000)	
Vehicle Purchase	4953	(\$25,000)	(\$21,385)
Tools & Sundry Equipment	4956	(\$3,000)	
Total Capital/Asset		(\$423,000)	(\$217,542)
TOTAL EXPENSES & CAPITAL		(\$886,825)	(\$374,276)
TOTAL FUND BALANCE BEFORE RESERVES		\$965,711	\$1,587,327
RESERVES			(\$35,000)
GRAND TOTAL OF EXPENSES/CAPITAL/RESERVES			(\$409,276)
FUND BALANCE AVAILABLE			\$1,552,327

D.Bay L&L Park #9 District
Revenue & Expenditure Budget vs. Actuals Worksheet 2011-12
November 15, 2011 through December 12, 2011 - Period 05

Revenue:	Acct. Code	Actuals	2011/12 Budget	2011/12 Actuals
Current Funds in Contra Costa County	740/750	\$166,736	\$82,500	\$128,419
Retainage Account	510			
Disbursements	830	(\$103)		
Current Property Taxes/Street Light Assessment	9754	\$87,493	\$110,856	\$113,100
Property Tax Supplemental/Unitary/Secured	9011/13/30/31			
SRAF State Rev Transfer	9018			
Property Taxes-Current Unsecured	9020			
Property Taxes-Prior-Unsecured	9035			
Earnings on Investment	9181	\$316		
H/O Prop Tax Relief/State Aid/In Lieu Taxes	9385/9435/9580			
Misc Revenue & Services	9799&9975			
Total Revenue		\$254,442	\$193,356	\$241,519

Expenditure: Operating Expenses	Acct. Code	Actuals	2011/12 Budget	2011/12 Actuals
Office Expenses, Books, Postage	2100		(\$500)	(\$44)
Books, Periodicals & Subscriptions	2102		(\$50)	
Postage	2103		(\$150)	
Communications	2110		(\$350)	
Utilities (Street Lights, Water & Garbage)	2120		(\$26,325)	\$1,036
Small Tools & Instruments	2130		(\$750)	
Minor Equipment, Furniture less than \$1000	2131		(\$250)	
Household Items	2170		(\$750)	(\$118)
Public Notices	2190	(\$91)	(\$500)	
Memberships	2200		(\$50)	
Rent & Lease of Equipment	2250		\$0	
Computer Software	2251		\$0	
Maintenance of Equipment	2270		(\$200)	
Automotive Supplies & Repairs	2271		(\$300)	
Gasoline	2272		(\$500)	(\$635)
Maintenance of Buildings	2281	(\$153)	\$0	
Grounds Maintenance	2282	(\$2,114)	(\$44,500)	(\$13,856)
Requested Maintenance from County	2284/3620		\$0	
Auto Mileage/Employee Reimbursement	2301		(\$50)	(\$9)
Other Travel Employee Expenses	2303		\$0	
Professional Services/Specialized Services	2310	(\$1,900)	(\$8,200)	(\$9,512)
Staff Payroll	2310	(\$3,862)	(\$37,952)	(\$1,797)
Insurance	2360		(\$1,500)	
Road/Construction Materials (Street Signs)	2470		\$0	
Other Special Expenses	2479		(\$1,350)	
Miscellaneous Services & Supplies	2490		\$0	
Taxes & Assessments	3530/3550	(\$423)	(\$425)	(\$423)
Interfund Exp.(Investment & Property Tax Adm.)	3611		\$0	
Reimbursement for County Adm. Costs	5011		\$0	
Total Operating Expenses		(\$8,543)	(\$124,652)	(\$25,358)

Expenditure: Capital/Asset	Acct. Code	Actuals	2011/12 Budget	2011/12 Actuals
Various Parking Lot Improvements	4226			
Various Improvements (Splash Pad)	4265	(\$1,269)		(13,827)
Structure & Walkway Repairs (Solar)	4546			
Playground Equipment	4789			
Tools & Sundry Equipment	4956			
Total Capital/Asset		(\$1,269)	\$0	(\$13,827)
TOTAL EXPENSES & CAPITAL			(\$124,652)	(\$39,185)
TOTAL FUND BALANCE BEFORE RESERVES			\$68,704	\$202,334

(\$9,624) RESERVES \$0

GRAND TOTAL OF EXPENSES/CAPITAL/RESERVES (\$39,185)

FUND BALANCE AVAILABLE \$202,334

TOWN OF DISCOVERY BAY CSD

Transaction Detail Report for November 15, 2011 through December 12, 2011
Period 05 for 2011/12

DATE	FOR	SAMOUNT
	Receivables for Town of Discovery Bay CSD BAC Account	\$206,842.90
	Balance of Account as of end of day November 15, 2011	\$37,954.30
11/15/11-12/12/11	Deposits Made	\$244,797.20
	Balance of Account & Deposits Made Total =	\$244,797.20
	Payables Made from Town of Discovery Bay CSD BAC Account	\$51,309.00
11/15/11-12/12/11	Checks/Payroll made out from checking account	\$51,309.00
	Balance of Checking Account as of November 14, 2011	\$193,488.20
	Total Year-to Date Payables Paid from Town of Discovery Bay CD ECC Acct	\$306,287.26
	BEGINNING FUND BALANCE FOR TOWN OF DB CSD IN COUNTY FUNDS	\$5,689,634.63
11/15/11-12/12/11		\$0.00
	Sub-Total	\$5,689,634.63
	REVENUE	
	For Fiscal Year Starting 7/1/11	
	Year-to-date Sewer & Water Service Charge for Tax Roll 11/12	\$4,756,514.48
	Year-to-date Investments	\$57.78
11/15/11-12/12/11	Earnings on Investments	\$0.00
	Sub-Total	\$57.78
	Year-to-Date Miscellaneous Income	\$25.00
11/15/11-12/12/11	Misc.	\$0.00
	SUB-TOTAL REVENUE	\$4,756,597.26
	GRAND TOTAL Fund Balance & Revenue	\$10,446,231.89
	EXPENDITURES	
	Year-to-date Warrants Paid by CCC for Town of Discovery Bay CSD	\$1,470,757.01
11/15/11-12/12/11	Warrants Paid	\$76,679.34
	TOTAL EXPENDITURES	\$1,547,436.35
	TOTAL BALANCE AT COUNTY OF CONTRA COSTA	\$8,898,795.54
	TOTAL YEAR TO DATE PAYABLES FROM BAC & CCC	\$1,853,723.61
	TOTAL BALANCE AT COUNTY OF CONTRA COSTA	\$8,898,795.54
	TOTAL BALANCE IN TOWN OF DISCOVERY BAY CSD BAC	\$193,488.20
	TOTAL HELD FOR RESERVES	(\$3,000,000.00)
	SUBTOTAL	\$6,092,283.74
	TOTAL BALANCE OF ENCUMBRANCES	(\$437,541.69)
	GRAND TOTAL FUNDS LESS RESERVES & ENCUMBRANCES	\$5,654,742.05



Town of Discovery Bay

"A Community Services District"

AGENDA REPORT

Meeting Date

January 18, 2012

Prepared By: Dina Breitstein, Finance Manager
Submitted By: Rick Howard, General Manager

Agenda Title

That the Board Adopt Resolution No. 2012-02 to establish an Investment Policy for the Town of Discovery Bay Community Service District and rescind Resolution No. 98-20

Recommended Action

Approve Resolution No. 2012-02 adopting an Investment Policy for the Town of Discovery Bay and Rescind Resolution No. 98-20.

Executive Summary

In 1998, the Board of Directors adopted Resolution No. 98-20 establishing an Investment Policy establishing the methodology of the District's financial investment portfolio. After a thorough review of that policy, staff recommends that that policy be rescinded and that a new, updated Policy be adopted (attached).

A good investment policy encompasses the cash, treasury, and investment management functions of an agency. It serves as the guide for setting and achieving program objectives, defines rules and establishes benchmarks, and reduces the exposure to liability of both the investment staff and the governing board.

The investment policy serves as the foundation of a local agency's investment goals and priorities. A prudent investment policy needs to be regularly reviewed to ensure that it continues to meet the agency's goals/priorities for its portfolio. More importantly, however, it assists in protecting the assets of the organization. The existence of an adopted investment policy demonstrates a fiduciary responsibility to the public, providing them with the knowledge that their monies are being properly managed and invested in a safe and secure manner.

Continued on Page Two

Fiscal Impact:

Amount Requested

Sufficient Budgeted Funds Available?: (If no, see attached fiscal analysis)

Prog/Fund # Category:

Previous Relevant Board Actions for This Item

Resolution Establishing an Investment Policy, Resolution No. 98-20, dated July 1, 1998

Resolution Delegating Authority for Investment of Town of Discovery Bay Funds to the Treasurer of the County of Contra Costa, Resolution No.2001-01, dated January 17, 2001

Attachments:

Resolution 2012-02 Authorizing the Establishment of the Investment Policy

Copy of the Investment Policy

Copy of the Contra Costa County Investment Policy

Copy of Resolution No. 98-20 Resolution Establishing An Investment Policy

AGENDA ITEM: F-1

Executive Summary Continued...

The District is limited in its investment options and is governed by the Contra Costa County Investment Policy. The Contra Costa County Treasurer, pursuant to Government Code Section 61050(b) serves as the Treasurer of the District and as such, is responsible for managing the District's financial investments. The District is limited to *electing the investment type, determining the duration of that investment, and directing the amount to be invested*. The Contra Costa County Treasurer follows the County's Investment Policy (attached) regarding investment decisions. The District is limited in its investment options to only those investments authorized within the Contra Costa County Investment Policy.

The TODBCSD has funds presently invested with Contra Costa County. The County recently contacted District staff about investments that were maturing and was seeking direction as to the type of investment, the amount of the investment, and the duration of the investment to be reinvested. After discussion with County staff, it was apparent that due to the sluggish economy and low interest rates, it was costing the district more money in transaction fees that were actually earned over the term of the investment. As a consequence, District staff directed the Treasurer's office to move those funds into a "cash" account. As future investments mature, staff would like to have Board approval to reinvest funds pursuant to the proposed policy. The establishment of an Investment Policy for the TODBCSD is intended to provide policy and direction to the General Manager for the prudent and beneficial use of all funds and monies of the District.



**TOWN OF DISCOVERY BAY
COMMUNITY SERVICES DISTRICT
RESOLUTION NO. 2012-02**

**A RESOLUTION OF THE BOARD OF DIRECTORS
OF THE TOWN OF DISCOVERY BAY COMMUNITY SERVICES DISTRICT
ESTABLISHING A TOWN OF DISCOVERY BAY CSD INVESTMENT POLICY**

WHEREAS, on July 1, 1998 the Board of Directors of the Discovery Bay Community Services District adopted Resolution No. 98-20, establishing an Investment Policy for the District; and

WHEREAS, on January 1, 2006, Governor Schwarzenegger signed SB 135 into law as Chapter 249 of the Statutes of 2005, also known as *Community Services District Law (CSD law)*; and

WHEREAS, included in CSD law is Government Code §61050(b) which stipulates that the Contra Costa County Treasurer shall serve as the Treasurer of the District; and

WHEREAS, the previously adopted Policy is no longer in compliance with CSD law; and

WHEREAS, the Town of Discovery Bay Community Services District adopts a policy for maintaining investments in compliance with CSD law.

NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE TOWN OF DISCOVERY BAY COMMUNITY SERVICES DISTRICT DOES HEREBY RESOLVE AS FOLLOWS:

SECTION 1. That Resolution No. 98-20 is hereby rescinded.

SECTION 2. That the Board of Directors adopts the Investment Policy and all attached documents to this resolution including the Investment Policy of Contra Costa County.

SECTION 3. The Board Secretary shall certify the adoption of this Resolution.

PASSED, APPROVED AND ADOPTED THIS 18th DAY OF JANUARY 2012.

Chris Steele
Board President

I hereby certify that the foregoing Resolution was duly adopted by the Board of Directors of the Town of Discovery Bay Community Services District at a regularly scheduled meeting, held on January 18, 2012 by the following vote of the Board:

AYES:
NOES:
ABSENT:
ABSTAIN:

Richard J. Howard
Board Secretary



Category:	Financial	Policy #
Title:	Town of Discovery Bay Community Service District Investment Policy	

A. Purpose

The purpose of the Investment Policy for the Town of Discovery Bay Community Services District, hereinafter District, is intended to establish the guiding principles and provide direction to the General Manager for the prudent and beneficial investment of all funds and monies of the District. Any reference to the financial investment portfolio shall mean the total District cash and securities under management by Contra Costa County on behalf of the District.

B. Authority

Pursuant to California Government Code §61050(b), the Contra Costa County Treasurer shall serve as the Treasurer of the District.

The Contra Costa County Treasurer directs investments pursuant to the Contra Costa County Investment Policy, adopted pursuant to Board of Supervisor action on June 21, 2011. The Contra Costa County Investment Policy is included as a part of this Policy and shall serve as the prevailing Investment Policy of the District.

Government Code §56301(see Exhibit A) and related subsections permits the types of investments allowed in California for local public agencies. Investment regulations emphasize preservation of capital and are conservative in nature. The authority to invest as defined in the Government Code is delegated to the local agency's legislative board for re-delegation to its General Manager.

C. Contra Costa County Governance

The District is restricted regarding the investment process and its investments are administered and managed by the Contra Costa County Investment Policy. The Town of Discovery Bay CSD is limited to *electing the investment type, determining the duration of that investment, and directing the amount to be invested*. The Contra Costa County Treasurer directs investments in accordance with the Contra Costa County Investment Policy.

D. Basic Policy and Objectives

The District's Investment policy is a conservative policy guided by the following four (4) principles of public investment fund management.

1. Prohibition of Risk. Investments shall not include any funds in inverse floater, or any security that could result in zero or negative interest accrual if held to maturity, or range notes, or interest-only strips that are derived from a pool of mortgages as to eliminate financial risk. (*see Exhibit "A" for a list of Permitted Investments*)

2. Safety of Principal. Investments shall be undertaken in a manner which first seeks to preserve portfolio principal.
3. Liquidity. Investments shall be made with maturity dates that are compatible with cash flow requirements and which will permit easy and rapid conversion into cash, at all times, without substantial loss of value.
4. Return on Investment. Investments shall be undertaken to produce an acceptable rate of return after the first consideration for principal and liquidity.

E. Management of Investments

Pursuant to Government Code §61050(b), the Treasurer of Contra Costa County serves as Treasurer of the District and is therefore responsible for overseeing the District's investment portfolio. The District is, however, responsible for directing the Treasurer as to the authorized types of investments, maturity dates, and amount in each investment vehicle. It is the Policy of the District to ensure that all District investments adhere to the following four (4) tenants of investment security:

- a. Diversification. TODBCSD shall maintain a portfolio of authorized investments with diversified maturities, issuers and security types to avoid the risk inherent in over investing in any one sector.
- b. Reporting Requirements. Annually the General Manager will report the Return on Investment (ROI) to the Board of Directors for review.
- c. Performance Assessment. An assessment and overall gauge of the health of the investment portfolio shall be conducted annually to evaluate the effectiveness of the TODBCSD's investment program. The purpose of this review, in addition to evaluation of performance, is to provide the platform and possible recommendations for change and improvement to the portfolio to the Board of Directors.
- d. Conflicts. In the event any provision of this Investment Policy is in conflict with any State or Federal statute, the provisions of each statute shall govern.

Exhibit "A" Permitted Investments

Allowable investment instruments per state government code (as of January 1, 2011)
 Applicable to all local agencies:

Investment Type	Maximum Maturity	Maximum Specified % of Portfolio	Minimum Quality Requirements
Local Agency Bonds	5 Years	None	None
U.S. Treasury Obligations	5 Years	None	None
State Obligations CA and Others	5 Years	None	None
CA Local Agency Obligations	5 Years	None	None
Bankers' Acceptances	180 Days	40%	None
Commercial Paper - Select Agencies	270 Days	25% of the Agency's Money	"A-1" if the issuer has issued long-term debt it must be rated "A" without regard to modifiers"
Commercial Paper - Other Agencies	270 Days	40% of the Agency's Money	"A-1" if the issuer has issued long-term debt it must be rated "A" without regard to modifiers"
Notable Certificates of Deposit	5 Years	30%	None
CD Placement Service	5 Years	30%	None
Repurchase Agreements	1 Year	None	None
Reverse Repurchase Agreements and Securities Lending Agreements	92 Days	20% of the Base Value of the Portfolio	None
Medium Term Notes	5 Years	30%	"A" Rating

Mutual Funds and Money Market Mutual Funds	N/A	20%	Multiple
Collateralized Bank Deposits	5 Years	None	None
Mortgage Pass Through Securities	5 Years	20%	"AA" Rating
Bank/Time Deposits	5 Years	None	None
County Pooled Investment Funds	N/A	None	None
Joint Powers Authority Poll	N/A	None	Multiple
Local Agency Investment Fund (LAIF)	N/A	None	None
US Agency Obligation	5 Years	None	None

Table of Notes for Exhibit "A"

a. Sources: Sections 16429.1, 53601, 53601.8, 53635, 53635.2, and 53638.

b. Municipal Utilities Districts have the authority under the Public Utilities Code Section 12871 to invest in certain securities not addressed here.

c. Section 53601 provides that the maximum term of any investment authorized under this section, unless otherwise stated, is five years. However, the legislative body may grant express authority to make investments either specifically or as a part of an investment program approved by the legislative body that exceeds this five year maturity limit. Such approval must be issued no less than three months prior to the purchase of any security exceeding the five year maturity limit.

d. Percentages apply to all portfolio investments regardless of source of funds. For instance, cash from a reverse repurchase agreement would be subject to the restrictions.

e. No more than 30 percent of the agency's money may be in bankers' acceptances of any one commercial bank.

f. "Select Agencies" are defined as a "city, a district, or other local agency that do[es] not pool money in deposits or investment with other local agencies, other than local agencies that have the same governing body."

g. No more than 10 percent of the agency's money may be invested in any one issuer's commercial paper.

h. Issuing corporation must be organized and operating within the U.S. and have assets in excess of \$500 million.

i. "Other Agencies" are counties, a city and county, or other local agency "that pools money in deposits or investments with other local agencies, including local agencies that have the same governing body." Local agencies that pool exclusively with other local agencies that have the same governing body must adhere to the limits set for "Select Agencies," above.

j. No more than 10 percent of the of the agency's money may be invested in the commercial paper of any one corporate issuer.

k. No more than 30 percent of the agency's total funds may be invested in CDs authorized under Sections 53601.8, 53635.8, and 53601(i).

l. Reverse repurchase agreements or securities lending agreements may exceed the 92-day

term if 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 dates of the same security.

m. Reverse repurchase agreements must be made with primary dealers of the Federal Reserve Bank of New York or with a nationally or state chartered bank that has a significant relationship with the local agency. The local agency must have held the securities used for the agreements for at least 30 days.

n. "Medium-term notes" are defined in Section 53601 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 U.S. or by depository institutions licensed by the U.S. or any state and operating within the U.S."

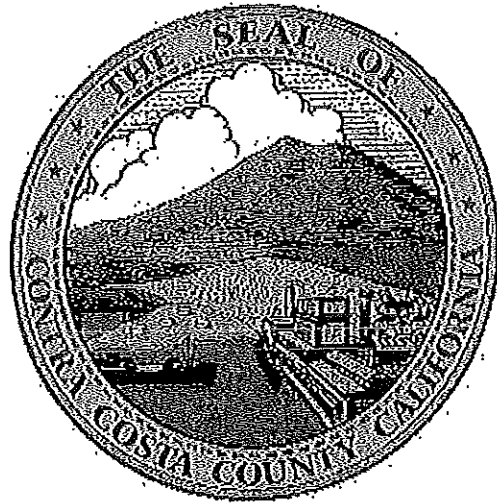
o. No more than 10 percent invested in any one mutual fund.

p. A mutual fund must receive the highest ranking by not less than two nationally recognized rating agencies or the fund must retain an investment advisor who is registered with the SEC (or exempt from registration), has assets under management in excess of \$500 million, and has at least five years experience investing in instruments authorized by Sections 53601 and 53635.

q. A money market mutual fund must receive the highest ranking by not less than two nationally recognized statistical rating organizations or retain an investment advisor registered with the SEC or exempt from registration and who has not less than five years experience investing in money market instruments with assets under management in excess of \$500 million.

r. Issuer must have an "A" rating or better for the issuer's debt as provided by a nationally recognized rating agency.

s. A joint powers authority pool must retain an investment advisor who is registered with the SEC (or exempt from registration), has assets under management in excess of \$500 million, and has at least five years experience investing in instruments authorized by Section 53601, subdivisions (a) to (o).



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STANDARDS AND OBJECTIVES

§53600.3.¹ Standard for Governing Bodies or Persons Authorized to Make Investment Decisions for Local Agencies

Governing bodies of local agencies or persons authorized to make investment decisions on behalf of those local agencies investing public funds pursuant to this chapter are trustees and therefore fiduciaries subject to the *prudent investor standard*. When investing, reinvesting, purchasing, acquiring, exchanging, selling or managing public funds, a trustee shall act with care, skill, prudence and diligence under the circumstances then prevailing, 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.

§53600.5. Trustee's Objectives Regarding Funds

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.

¹ Number refers to Government Code number and section.

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INSTRUMENTS AUTHORIZED FOR INVESTMENT

§53601. Instruments Authorized for Investment

- 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.
- 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.
- 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.
- D. ***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.
- E. ***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.
- F. ***Bankers 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 the 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).
- G. ***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).

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(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 money in eligible commercial paper. Counties or a city and county may invest in commercial paper pursuant to the concentration limits in subdivision (a) of Section 53635. Following are the concentration limits (Government Code Section 53635, subdivision (a)):

1. Not more than 40 percent of the local agency's money may be invested in eligible commercial paper.
2. 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.

H. *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.

I. Investments in *repurchase agreements* or *reverse repurchase agreements* of any securities authorized by this section, as long as the agreements are subject to this subdivision, including the delivery requirements specified in this section.

1. "Repurchase agreement" means a purchase of securities by the local agency pursuant to an agreement by which the counterparty seller will repurchase the

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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.

- a. **"Securities,"** for purpose of repurchase under this subdivision, means securities of the same issuer, description, issue date and maturity.
 - b. 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.
2. **"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.

Reverse repurchase agreements may be utilized only when all of the following conditions are met:

The security to be sold on reverse repurchase agreement has been owned and fully paid for by the local agency for a minimum of 30 days prior to sale; the total of all reverse repurchase agreements on investments owned by the local agency does not exceed 20 percent of the base value of the portfolio; 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 and the final maturity date of the same security.

Investments in reverse repurchase agreements shall only be made 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... "Significant banking relationship" means any of the following activities of a bank:

- a. Involvement in the creation, sale, purchase, or retirement of a local agency's bonds, notes, or other evidence of indebtedness.

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- b. Financing of a local agency's activities.
 - c. Acceptance of a local agency's securities or funds as deposits.
- J. *Medium-term notes* of a maximum of five-years maturity 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 in a rating category of "A" or its equivalent or better by a nationally-recognized rating service. Purchases of medium-term notes may not exceed 30 percent of the agency's money that may be invested pursuant to this section.
- K. 1. *Shares of beneficial interest* issued by diversified management companies that invest in the securities and obligations as authorized by subdivisions (a) to (j), inclusive, or subdivision (m) or (n) and that comply with the investment restrictions of this article and Article 2.
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 (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 managing money market mutual funds with assets under management in excess of five hundred million dollars (\$500,000,000).
4. 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).
- L. *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,

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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.

- M. ***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.
- N. ***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.
- O. Shares of beneficial interest issued by a joint powers 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).

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P. Local Agency Investments – LAIF - (All references in this section to the Treasurer and the Controller pertain to the State Treasurer and the State Controller).

§16305.9. (a) All money in the Local Agency Investment Fund shall be held in trust in the custody of the Treasurer.

(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.

(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.

(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.

§16429.1. Existence and Appropriation of Fund; Investment and Distribution of Deposits

(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.

(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.

(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.

(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

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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.

(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.

(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.

(g) The Local Investment Advisory Board shall determine those quasi-governmental agencies which qualify to participate in the Local Agency Investment Fund.

(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.

(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.

(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.

(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.

(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

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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.

(m) The Treasurer shall prepare for distribution a monthly report of investments made during the preceding month.

FURTHER RESTRICTIONS/LIMITATIONS BY GOVERNMENT CODE AND COUNTY
TREASURER

Further Restrictions Set by Treasurer

- A. Reverse repurchase agreements will be used strictly for the purpose of supplementing income with a limit of 10 percent of the total portfolio without prior approval of the Treasurer.
- B. Swaps and Trades will each be approved on a per-trade basis by Treasurer or Assistant Treasurer.
- C. SBA loans require prior approval of the Treasurer in every transaction.
- D. Repurchase Agreements will generally be 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.
- E. 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.
- F. Bank C.D.s or non-negotiable C.D.s 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.
- G. 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.
- H. All legal securities issued by a tobacco-related company are prohibited. A tobacco-related company is defined as an entity that makes smoking products from tobacco used in cigarettes, cigars or snuff or for smoking in pipes or a company that has total

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revenues of 15 percent or more from the sale of such products. The tobacco-related issuers restricted from any investment are British American Tobacco, Gallaher Group PLC, Imasco Ltd., Lowes Companies, ALTRIA Group, Inc., RJ Reynolds Tobacco Holdings, Inc., Brooke Groupe LTD., UST, Inc. and Universal Corp. However, tobacco-related companies will not be limited to the foregoing list. Additional companies will be prohibited as long as said entities fall within the definition of tobacco-related companies.

- I. Financial futures or financial option contracts will each be approved on a per trade basis by the County Treasurer.
- J. No more than 10 percent of the local agency's money may be invested in the outstanding commercial paper of any single issuer.
- K. No more than 10 percent of the outstanding commercial paper of any single issuer may be purchased by the local agency.

§53601.6. Prohibited Investments by Government Code

- 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.
- 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 (k) of Section 53601.

§53601. Instruments Authorized for Investments: Maturity

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 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.

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Quality of Investment Instruments, Issuers and Sources

Regular financial review and analysis of issuers and sources of securities such as banks and brokerage firms shall be performed. These will be based on credit-rating services' evaluations, financial documents such as audits, Form 10-Q filings to the Securities and Exchange Commission and other reliable financial information.

SAFEKEEPING AND CUSTODY

§53601. Instruments Authorized for Investment

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.

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.

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AUTHORIZED BROKERS AND DEALERS

Securities for Contra Costa County and its agencies shall be purchased from the following:

- Primary dealers of the Federal Reserve Bank of New York and their subcontracts.
- Banks and financial institutions that sell and buy instruments authorized for investments per Government Code 53600 et. seq. and their subcontracts.
- Issuers of securities authorized by Government Code 53601 et. seq.

Securities shall not be purchased from brokers, brokerages, dealers or securities firms who within any 48-month period following January 1, 1996, made a political contribution to the local treasurer, any member of the governing board of the local agency or any candidate for those offices in an amount exceeding the limitations contained in Rule G-37 of the Municipal Securities Rulemaking Board.

LIMITS ON THE RECEIPT OF HONORARIA, GIFTS AND GRATUITIES

Gift Prohibitions

All state and local officials who are listed in Government Code Section 87200, and candidates for those elective offices (except judges), are prohibited from accepting a gift or gifts aggregating more than as stated in California Government Code §89502(a) and §89503(f) in a calendar year from a single source.

Beginning on January 1, 1993, the State Fair Political Practices Commission shall adjust the gift limitations in this section on January 1st of each odd-numbered year to reflect changes in the Consumer Price Index rounded to the nearest ten dollars (\$10). §89503(f)

Honorarium Prohibition

All state and local officials who are listed in Government Code Section 87200, and candidates for those elective offices (except judges), are prohibited from accepting any honorarium for any speech given, article published or attendance at any public or private conference, convention, meeting, social event, meal or like gathering.

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Exceptions

- The gift limit and honorarium prohibitions do not apply to a part-time member of the governing board of a public institution of higher education unless the member is also an elected official.
- For state board and commission members, the gift limit and honorarium prohibition are applicable only if the member would be required to report the receipt of income or gifts from the source on his or her statement of economic interests. The \$10 gift limit is applicable only to lobbyists and lobbying firms registered to lobby the board or commission member's agency.

Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect any of their financial interests, not just those that they are required to disclose on a statement of economic interests.

Enforcement

The Fair Political Practices Commission may impose penalties for statements of economic interests that are filed late. The fine is \$10 per day, beginning the day after the filing deadline, up to a maximum of \$100. Late-filing penalties can be reduced or waived under certain circumstances.

In addition, the Fair Political Practices Commission may initiate investigations with respect to any suspected violation of the Political Reform Act. Other law enforcement agencies (the Attorney General or District Attorney) may initiate investigations under certain circumstances. If violations are found, the Commission may initiate administrative enforcement proceedings that could result in the imposition of monetary penalties of up to \$5,000 per violation. In lieu of administrative prosecution, a civil action may be brought for negligent or intentional violations by the appropriate civil prosecutor (the Commission, Attorney General or District Attorney) where the measure of damages for most violations is the amount of value not properly reported. Persons who violate the conflict-of-interest disclosure provisions of the Political Reform Act can also be subject to discipline by their agency, including dismissal.

Finally, a knowing or willful violation of any provision of the Political Reform Act is a misdemeanor. Persons convicted of a misdemeanor may be disqualified for four years from the date of the conviction from serving as a lobbyist or running for elective office in addition to other penalties that may be imposed. The Act also provides for numerous civil penalties, including monetary penalties and damages, and injunctive relief from the courts.

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**FURTHER AMENDMENTS TO THE CONFLICT OF INTEREST CODES
(Per a Contra Costa County Board of Supervisors' Order dated February 6, 1996)**

Amend all local Conflict of Interest Codes as follows:

Pursuant to Government Code Sections 87302 and 87306 et. seq., this Board hereby amends every local Conflict of Interest Code previously approved by the Board of Supervisors to add the following:

"All other provisions of this Code notwithstanding, the following provisions hereafter apply:

1. No designated employee shall accept any honorarium.

Subdivisions (b), (c) and (e) of Government Code Section 89502 shall apply to the prohibitions in this Section. This Section shall not limit or prohibit payments, advances or reimbursements for travel and related lodging and subsistence authorized by Government Code Section 89506.

2. No designated employee shall accept any gifts with a total value of more than four hundred twenty dollars (\$420) in a calendar year from any single source.

Subdivision (d) of Government Code Section 89504 shall apply to this Section."

This amendment is necessary to assure that all local codes comply with recent amendments to Government Code Section 89502.

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INVESTMENT REPORT

The Treasurer may render a quarterly report "...to the Chief Executive Officer, the Internal Auditor and the legislative body of the local agency..." (Government Code 53646).

The County shall submit copies of its second and fourth quarter reports to the California Debt and Investment Advisory Commission within 60 days after the close of the second and fourth quarters of each calendar year (Government Code 53646(g)).

In addition the County Treasurer will provide "...the County Treasury Oversight Committee with an Investment report as required by the Board of Supervisors..." (Government Code 27133 (e)).

The County shall submit copies of its investment policy each calendar year to the California Debt and Investment Advisory Commission. All subsequent policy amendment(s) have to be submitted within 60 days.

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.

REVERSE REPURCHASE AGREEMENTS

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.

LOCAL AGENCY INVESTMENTS

To be eligible to receive local agency money, a bank, savings association, federal association, or federally-insured industrial loan company shall have received an overall rating of not less than "satisfactory" in its most recent evaluation by the appropriate federal financial supervisory agency of its record of meeting the credit needs of California's communities, including low- and moderate-income neighborhoods, pursuant to Section 2906 of Title 12 of the United States Code. (Government Code 53635)

CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011

METHODOLOGY OF CALCULATING AND APPORTIONING TREASURY COSTS

Regular and Routine Investments

- \$20 per investment transaction; i.e., \$20 at placement and \$20 at maturity.
- .00333 of interest income; i.e., \$3.33 per \$1,000 of interest income.

Charged quarterly by journal entry.

Special Reports and Research

Actual staff time and materials.

Special Bank Transactions

Actual bank fee schedule, staff time and materials.

§53684. Alternative Procedure for Investment of Excess Funds

B. The County Treasurer shall, at *least* quarterly, apportion any interest or other increment derived from the investment of funds pursuant to this section in an amount proportionate to the average daily balance of the amounts deposited by the local agency *and to the total average daily balance of deposits in the investment pool. In apportioning and distributing that interest or increment, the county treasurer may use the cash method, the accrual method, or any other method in accordance with generally accepted accounting principles.* *

Prior to distributing that interest or increment, the County Treasurer may deduct the actual costs incurred by the county in administering this section in proportion to the average daily balance of the amounts deposited by the local agency *and to the total average daily balance of deposits in the investment pool.*

C. The County Treasurer shall disclose to each local agency that invests funds pursuant to this section the method of accounting used, whether cash, accrual, or other, and shall notify each local agency of any proposed changes in the accounting method at least 30 days prior to the date on which the proposed changes take effect. *

* In Contra Costa County, the Auditor-Controller performs these functions for fiscal control purposes.

CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011

NON-MANDATED DEPOSITS AND WITHDRAWALS IN THE TREASURY

Following are the terms and conditions for deposit of funds for investment purposes by entities that are not legally required to deposit their funds in the County Treasury.

- Resolution by the County Board of Supervisors authorizing the acceptance of outside participants by the County Treasury.
- Resolution by the legislative or governing body of the local agency authorizing the investment of funds pursuant to Government Code 53684.
- Treasury investments will be directed transactions.

Withdrawal of funds in the Treasury shall coincide with investment maturities or authorized sale of securities by the legislative or governing body of the local agency. 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. However, the section on evaluation of request for withdrawal of funds for use outside the County treasury pool by both mandated and non-mandated treasury pool participants shall also apply.

WITHDRAWAL OF FUNDS BY MANDATED TREASURY PARTICIPANTS

The withdrawal of mandated deposits in the Treasury will coincide with investment maturities and/or authorized sale of securities by authorized personnel of the local agency. Except for funds in the California State Local Agency Fund, a five-business-days notification may be required when authorized sale of securities is involved. However, the section on evaluation of request for withdrawal of funds for use outside the County treasury pool by both mandated and non-mandated treasury pool participants shall also apply.

**CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011**

**Evaluation of Request For Withdrawal of Funds For Use Outside the County
Treasury Pool by Both Mandated and Non-Mandated Treasury Pool Participants**

Pursuant to Section 27136(a):

"Notwithstanding any other provisions of law, any local agency, public agency, public entity or public official that has funds on deposit in the County treasury pool and that seeks to withdraw funds for the purpose of investing or depositing those funds outside the County treasury pool shall first submit the request for withdrawal to the County Treasurer before withdrawing funds from the County treasury pool."

The County Treasurer shall evaluate each proposed withdrawal and may request up to 30 days in order to assess the effect of the proposed withdrawal on the stability and predictability of the investments in the County treasury and that the interests of the other depositors will not be adversely affected.

**CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011**

APPROVED BROKERS AND ISSUERS

ABN AMRO, Incorporated	Mechanics Bank
American Express Credit Corporation	Prudential Securities, Incorporated
Associates Corporation of North America	Public Financial Management, Incorporated
Associates First Capital	Toyota Motors Credit Corporation
Bank of America	UBS Financial Services
Bank of New York Mellon	Union Bank
Bank of the West	US Bancorp
Bankers Trust Company	Wells Fargo Bank
Barclays Capital, Incorporated	Westamerica Bank
California Arbitrage Management Program	
Chevron Corporation	
Chevron Funding	
Citibank	
Citigroup Funding Inc.	
Credit Suisse First Boston	
Deere & Company	
Exxon Mobil Corporation	
General Electric Capital Corporation	
General Electric Capital Services	
General Electric Company	
Goldman, Sachs & Company	
Government Perspectives	
John Deere Capital Corporation	
J.P. Morgan Securities LLC	

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 dealers set forth in this policy are met. Additionally, deletions and additions are based on the maintenance of required credit quality as rated by Standard and Poor's, Moody's and other recognized rating services and reliable financial sources.

**CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011**

**APPROVED PRIMARY GOVERNMENT SECURITIES DEALERS
REPORTING TO THE MARKET REPORTS DIVISION OF THE FEDERAL RESERVE
BANK OF NEW YORK AS OF FEBRUARY 2, 2011**

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
MF Global Inc.
Mizuho Securities USA Inc.
Morgan Stanley & Co. Incorporated
Nomura Securities Inc.
RBC Capital Markets, LLC
RBS Securities Inc.
SG Americas Securities, LLC
UBS Securities LLC.

CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011

GLOSSARY

Agencies A colloquial term for securities issued by the federal agencies.

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. Little risk is involved for the investor because the commercial bank assumes primary liability once the draft is accepted.

Basis Point One basis point is equal to 1/100 of one percent. For example, if interest rates increase from 8.25% to 8.50%, the difference is referred to as a 25-basis-point increase.

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.

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.

Certificates of Deposit (C/Ds) 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.

- **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.
- **Non-Negotiable Certificates of Deposit** 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.

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.

Coupon Rate The annual rate of interest payable on a security expressed as a percentage of the principal amount.

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

CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011

the issue. The CUSIP numbers are intended to facilitate identification and clearance of securities.

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.

Liquidity Usually refers to the ability to convert assets (such as investments) into cash.

Mark to Market Valuing the inventory of held securities at its current market value.

Market Value Price at which a security can be traded in the current market.

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.

Offer The price of a security at which a person is willing to sell.

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.

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.

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.

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

CONTRA COSTA COUNTY
INVESTMENT POLICY
JUNE 2011

of the RPs when the bank or dealer purchases securities from the investor under an agreement to sell them back to the investor.

Settlement Date The date used in price and interest computations, usually the date of delivery.

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.

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.

Treasury Securities Debt obligations of the United States Government sold by the Treasury Department in the form of bills, notes and bonds:

- **Bills** Short-term obligations that mature in one year or less and are sold at a discount in lieu of paying periodic interest.
- **Notes** Interest-bearing obligations that mature between one year and 10 years.
- **Bonds** Interest-bearing long-term obligations that generally mature in 10 years or more.

Zero-Coupon Security A security that makes no periodic interest payments but instead is sold at a deep discount from its face value.

COPY

DISCOVERY BAY COMMUNITY SERVICES DISTRICT

RESOLUTION NO. 98-20

RESOLUTION ESTABLISHING AN INVESTMENT POLICY

WHEREAS, pursuant to Government Code §§ 53600 and following, the Board of Directors of Discovery Bay Community Services District (hereinafter "District") may adopt an investment policy, and may provide for investment in the Local Agency Investment Fund (LAIF).

NOW, THEREFORE, BE IT RESOLVED THAT:

1. The attached Investment Policy is adopted as the Investment Policy of the District.

PASSED AND ADOPTED by the Board of Directors of the Discovery Bay Community Services District, at a special meeting thereof, held on July 1, 1998, by the following vote:

AYES: 4
 NOES: 0
 ABSENT: 0
 ABSTENTION: 0

WILLIAM SLIFER

William Slifer

 Chair, Board of Directors

ATTEST:

Jerry Baker

 Secretary, Board of Directors

Revised

**DISCOVERY BAY COMMUNITY SERVICES DISTRICT
INVESTMENT POLICY**

CG COPY

1.0 SCOPE

This investment policy applies to all financial assets of Discovery Bay Community Services District. These funds are accounted for in the annual District audit and include:
All funds.

2.0 PRUDENCE

Investments shall 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. The standard of prudence to be used by investment officials shall be the "prudent investor" standard (California Government Code §53600.3) and shall be applied in the context of managing an overall portfolio. Investment officers acting in accordance with written procedures and the investment policy and exercising due diligence shall be relieved of personal responsibility for an individual security's credit risk or market price changes, provided deviations from expectations are reported in a timely fashion and appropriate action is taken to control adverse developments.

3.0 OBJECTIVES:

As specified in California Government Code §53600.5, when investing, reinvesting, purchasing, acquiring, exchanging, selling and managing public funds, the primary objectives, in priority order, of the investment activities shall be:

- A. **Safety:** Safety of principal is the foremost objective of the investment program. Investments of Discovery Bay Community Services District shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio. To attain this objective, diversification is required in order that potential losses on individual securities do not exceed the income generated from the remainder of the portfolio
- B. **Liquidity:** The investment portfolio will remain sufficiently liquid to enable Discovery Bay Community Services District to meet all operating requirements which might be reasonably anticipated.
- C. **Return on Investments:** 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 the cash flow

characteristics of the portfolio.

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4.0 DELEGATION OF AUTHORITY

in Authority

Authority to manage the investment program is derived from California Government Code Sections 53600, et seq. Management responsibility for the investment program is hereby delegated to the Board of Directors, who shall establish written procedures for the operation of the investment program consistent with this investment policy. Procedures should include references to: safekeeping, PSA repurchase agreements, wire transfer agreements, collateral/depository agreements and banking services contracts, as appropriate. Such procedures shall include explicit delegation of authority to persons responsible for investment transactions. No person may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the Board of Directors. The Board of Directors shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officials. Under the provisions of California Government Code §53600.3, the Board of Trustees is a trustee and a fiduciary subject to the prudent investor standard.

5.0 ETHICS AND CONFLICTS OF INTEREST

ed Conflicts

Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with the proper execution of the investment program, or which could impair their ability to make impartial investment decisions.

6.0 AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS

1.0015 has no say in Governed under CEC Investment Policy.

The Board of Directors will maintain a list of financial institutions, selected on the basis of credit worthiness, financial strength, experience, and minimal capitalization, authorized to provide investment services. In addition, a list will also be maintained of approved security broker/dealers selected by credit worthiness who are authorized to provide investment and financial advisory services in the State of California. No public deposit shall be made except in a qualified public depository as established by state laws.

For brokers/dealers of government securities and other investments, Discovery Bay Community Services District Board of Directors shall select only broker/dealers who are licensed and in good standing with the California Department of Securities, the Securities and Exchange Commission, the National Association of Securities Dealers or other applicable self-regulatory organizations.

Before engaging in investment transactions with a broker/dealer, the Board of Directors shall have received from said firm a signed Certification Form. This form shall attest that the individual responsible for Discovery Bay Community Services District's account with that firm has reviewed Discovery Bay Community Services District's Investment Policy and that the firm understands the policy and intends to present investment

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recommendations and transactions to Discovery Bay Community Services District that are appropriate under the terms and conditions of the Investment Policy.

7.0

AUTHORIZED AND SUITABLE INVESTMENTS:

Discovery Bay Community Services District is empowered by California Government Code Sections §53601 et seq. and §53635 et seq. to invest in the following:

- A. Bonds issued by Discovery Bay Community Services District.
- B. United States Treasury Bills, Notes & Bonds.
- C. Registered state warrants or treasury notes or bonds issued by the State of California.
- D. Bonds, notes, warrants or other evidence of debt issued by a local agency within the State of California, including pooled investment accounts sponsored by the State of California, County Treasurers, other local agencies or Joint Powers Agencies.
- E. Obligations issued by Agencies or Instrumentality of the United States Government.
- F. Bankers Acceptances with a term not to exceed 270 days. Not more than 40% of surplus funds can be invested in Bankers Acceptances and no more than 30% of surplus funds can be invested in the bankers acceptances of any single commercial bank.
- G. Prime Commercial Paper of U.S. Corporations with assets greater than \$500 million with a term not to exceed 180 days and the highest ranking issued by Moody's Investors Service or Standard & Poor's Corp. Commercial paper cannot exceed 15% of total surplus funds, provided, that if the average maturity of all Commercial paper does not exceed 31 days, up to 30% of surplus funds can be invested in Commercial paper.
- H. Negotiable Certificates of Deposit issued by federally or state chartered banks or associations. Not more than 30% of surplus funds can be invested in certificates of deposit.
- I. Repurchase/Reverse Repurchase Agreements of any securities authorized by this Section. Securities purchased under these agreements shall be no less than 102% of market value. (See special limits in California Government Code §53601.1)
- J. Medium term notes (not to exceed 5 Years) of U.S. corporations rated "A" or

Permitted Investments

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better by Moody's or S&P. Not more than 30% of surplus funds can be invested in medium term notes.

- K. Shares of beneficial interest issued by diversified management companies (Money Market Mutual Funds) investing in the securities and obligations authorized by this Section. Such Funds must carry the highest rating of at least two of the three largest national rating agencies. Not more than 15% of surplus funds can be invested in Money Market Mutual Funds.
- L. Funds held under the terms of a Trust Indenture or other contract or agreement may be Invested according to the Provisions of those indentures or agreements.
- M. Collateralized bank deposits with a perfected security interest in accordance with the Uniform Commercial Code (UCC) or applicable federal security regulations.
- N. Any mortgage pass-through security, collateralized mortgage obligation, mortgaged backed or other pay-through bond, equipment lease-backed certificate, consumer receivable pass-through certificate or consumer receivable backed bond of a maximum maturity of five years. Securities in this category must be rated AA or better by a nationally recognized rating service. Not more than 30% of surplus funds may be invested in this category of securities.
- O. Any other investment security authorized under the provisions of California Government Code §5922 and §53601.

California Government Code §53601 and §53635 contain a detailed summary of the limitations and special conditions that apply to each of the above-listed investment securities. A summary of California Government Code §53601 and §53635 is attached hereto and is included by reference in this investment policy.

in Prohibited Investments

Prohibited Investments. Under the provisions of California Government Code §53601.6 and §53631.5, Discovery Bay Community Services District shall not invest any funds covered by this Investment Policy in inverse floaters, range notes, interest-only strips derived from mortgage pools or any investment that may result in a zero interest accrual if held to maturity.

8.0 COLLATERALIZATION:

in CCC investment policy

All certificates of deposits must be collateralized by U.S. Treasury Obligations. Collateral must be held by a third party trustee and valued on a monthly basis. The percentage of collateralization on repurchase and reverse repurchase agreements will adhere to the amount required under California Government Code §53601(1)(2) and §53635(i)(2).

9.0 SAFEKEEPING AND CUSTODY:

All security transactions entered into by Discovery Bay Community Services District shall be conducted on delivery-versus-payment (DVP) basis. All securities purchased or acquired shall be delivered to Discovery Bay Community Services District by book entry, physical delivery or by third party custodial agreement as required by California Government Code §53601 and §53635.

10.0 DIVERSIFICATION:

Management of Investments

Discovery Bay Community Services District will diversify its investments by security type and institution. It is the policy of Discovery Bay Community Services District to diversify its investment portfolio. Assets shall be diversified to eliminate the risk of loss resulting from over concentration of assets in a specific maturity, a specific issuer or a specific class of securities. Diversification strategies shall be determined and revised periodically. In establishing specific diversification strategies, the following general policies and constraints shall apply:

- A. Portfolio maturities shall be matched versus liabilities to avoid undue concentration in a specific maturity sector.
- B. Maturities selected shall provide for stability of income and liquidity.
- C. Disbursement and payroll dates shall be covered through maturities investments, marketable U.S. Treasury bills or other cash equivalent instruments such as money market mutual funds.

11.0 REPORTING

Performance of Investments

In accordance with California Government Code §53646(b)(1), Board of Directors shall submit to each member of the Board of Directors a quarterly investment report. The report shall include a complete description of the portfolio, the type of investments, the issuers, maturity dates, par values and the current market values of each component of the portfolio, including funds managed for Discovery Bay Community Services District by third party contracted managers. The report will also include the source of the portfolio valuation. As specified in California Government Code §53646(e), if all funds are placed in LAIF, FDIC-insured accounts and/or in a county investment pool, the foregoing report elements may be replaced by copies of the latest statements from such institutions. The report must also include a certification that (1) all investment actions executed since the last report have been made in full compliance with the Investment Policy and, (2) Discovery Bay Community Services District will meet its expenditure obligations for the next six months as required by California Government Code §53646 (b)(2) and (3) respectively. The Board of Directors shall maintain a complete and timely record of all investment transactions.

12.0 ALTERNATE POLICY

Conflicts

In lieu of investing excess funds as provided herein, in accordance with Government Code § 53684, the Board of Directors may, by resolution, deposit excess funds with the Treasurer of Contra Costa County, for investment in the Local Agency Investment Fund ("LAIF"), provided that approximately one month's revenues of the District shall be kept in the County Treasury for payment of appropriate costs of the District, and the excess thereof shall be invested in the LAIF.

13.0 INVESTMENT POLICY REVIEW AND MODIFICATIONS

The Policy shall be reviewed on an annual basis, and modifications must be approved by the Board of Directors.



MONTHLY OPERATIONS REPORT

November & December 2011
Town of Discovery Bay, CA

855

Days of Safe Operations

TRAINING:

Safety, Operations, & Equipment

Safety	Attended	Hours
Hand & Portable Power Tools Powered Industrial Trucks Hearing Protection Hazardous Materials Awareness	All Staff Members	2.0
Operation / Maintenance		
Webinar – Operation/Rounds staff Year in review in safety	All Staff Members	1.0
Cla Valve Workshop	Joe Halay	4.0
Lab Training – Spectrophotometer, COD test.	Blaise, Lori & Jennifer	8.0

WATER SERVICE

- Installed timer on air compressor at Willow Lake WTP
- Addressed some Programming issue at Willow Lake
- Installed sample port at Newport WTP
- Replaced copper tubing on control valve at NP & on seal water at WL
- Installed new compressor at Well 5 bubbler system
- Troubleshoot sticking valves at WL (replaced solenoid)
- Cooper controls calibrates all water plants flow meters
- Pulled & sent out VFD for Jockey Pump #2 from WL
- Replaced air bypass valve WL compressor

Customer Inquiries:

2 Brown water calls - November.
2 Brown water calls – December.

# of Active Wells	Gallons of Water Produced	Chemical Usage/Delivered	Fire Hydrant Flushing
5 – Nov.	70.9 – Nov.	1330 – Nov.	0 – Nov.
5 - December	67.6 - Dec.	2700 – Dec.	0 – Dec.



Bacteriological Test Results:

Routine Bacteria Samples Collected	No. Total Coliform Positives	No. Fecal/E. coli Positives
20 - November	0	0
16 - December	0	0

WASTEWATER SERVICE

- Spread 353.8 Dry Ton of Bio-Solids. – Nov.
- Flushed approx. 15,000 ft of sewer – Dec.
- CCTV 11,456 ft of sewer – Dec.
- Replaced lifting chain on pump #1 at L/S R & Pump at L/S A
- Completed Valve replacement at RAS Station #1 Plant #1
- Installed new ball valves on yard hydrants
- Installed new spray bar piping on Clarifier #2 and new spray nozzles
- Installed new paddles on Rotor #1 Plant #2
- Installed new level transducer at L/S F
- Had dewatering Sump Pump Repaired.
- Pulled Clarifier #4 SP sent in for rebuild.
- Had L/S F Pumps dragged, Pump #1 repacked and impeller readjusted.
- L/S assessment and cleaned out several stations.

Customer Inquiries:

None

# of Active Lift Stations	# of Inactive Lift Stations	Chemical Usage Polymer-gals	SSO	Wastewater Received (MG)
15 - Nov.	0 - Nov.	53.9 - Nov	0 - Nov.	42.32 - Nov.
15 - Dec.	0 - Dec.	77.0 - Dec.	0 - Dec.	45.98 - Dec.



Wastewater Laboratory Analysis

<i>WW Effluent Parameter</i>	<i>Permit Limits</i>	<i>November Lab Data</i>	<i>December Lab Data</i>
Flow, MG Effluent, monthly total		52.13	54.90
Flow, Daily Discharge Flow, avg.	2.1 MGD	1.74	1.77
Effluent BOD ₅ , lbs/d, monthly avg.	350	15	15
Effluent TSS, lbs/d, monthly avg.	525	165	223
Effluent BOD ₅ , mg/L, monthly avg.	20	1	1
Effluent TSS, mg/L, monthly avg.	30	12.1	16.5
Total Coli form 7 day Median Max	23	4	2
Total Coli form Daily Maximum	240	8	23

Maintenance:

Preventive and Corrective

Total # of WO's Completed	Total Hours
160.0 – November	196.7 – November
129.0 - December	105.5 - December

Call & Emergency Responses

Call Outs	Emergencies
9 – November	0 – November
20- December	0 - December

Personnel Hours & Overtime:

Regular Hours	Overtime
1337.5 – November	59.25 – November
1343.5 - December	65.0 - December

NO BACK UP
DOCUMENTATION
FOR THIS AGENDA
ITEM # H

NO BACK UP
DOCUMENTATION
FOR THIS AGENDA
ITEM # I

NO BACK UP
DOCUMENTATION
FOR THIS AGENDA
ITEM # J



TOWN OF DISCOVERY BAY

A COMMUNITY SERVICES DISTRICT

President – Chris Steele • Vice-President – Kevin Graves • Director - Brian Dawson • Director - Mark Simon • Director - Ray Tetreault

MINUTES OF THE REGULAR MEETING OF
THE COMMUNITY CENTER COMMITTEE
OF THE TOWN OF DISCOVERY BAY CSD
December 1, 2011
1800 Willow Lake Road, Discovery Bay, California
REGULAR MEETING 3:00 P.M.
Website address: www.todb.ca.gov

Community Center Committee Members
Ray Tetreault, Chair, Chris Steele, Vice Chair, Bob Abbadie, Sean O'Toole, Jim Mattison

REGULAR MEETING 3:00 P.M.

A. ROLL CALL

The meeting was called to order at 3:02 p.m. by Chairman Tetreault and all members were present with the exception of Committee member O'Toole. Committee member O'Toole arrived at 3:04 p.m.

B. PUBLIC COMMENTS (Individual Public Comments will be limited to a 3-minute time limit)

There were no public comments

C. APPROVE MINUTES OF NOVEMBER 8, 2011 COMMUNITY CENTER COMMITTEE MEETING

Motion by: Committee Member Abbadie to approve the minutes for November 8, 2011

Seconded by: Committee Member Steele

Vote: Motion Carried – AYES: 5, NOES: 0

D. REVIEW FINAL DRAFT – COMMITTEE REPORT TO THE BOARD OF DIRECTORS

General Manager Howard stated that he had taken the information from prior Committee meetings and has developed a draft report from the committee to the Board. The Committee stated that they would like to have one more opportunity to fine tune the report prior to transmitting the Final Report to the full Board of Directors.

No formal action was taken.

E. SET COMMITTEE CALENDAR

The next Community Center Committee meeting is scheduled for Tuesday December 6, 2011 at 4:00 p.m.

F. FUTURE DISCUSSION/AGENDA ITEMS

Final Report to the Board of Directors

G. ADJOURNMENT

The meeting was adjourned at 3:40 p.m.

RH/cmc – 01.09.12



TOWN OF DISCOVERY BAY

A COMMUNITY SERVICES DISTRICT

President -- Chris Steele • Vice-President -- Kevin Graves • Director - Brian Dawson • Director - Mark Simon • Director - Ray Tetreault

MINUTES OF THE REGULAR MEETING OF
THE COMMUNITY CENTER COMMITTEE
OF THE TOWN OF DISCOVERY BAY CSD
December 6, 2011
1800 Willow Lake Road, Discovery Bay, California
REGULAR MEETING 4:00 P.M.
Website address: www.todb.ca.gov

Community Center Committee Members
Ray Tetreault, Chair, Chris Steele, Vice Chair, Bob Abbadie, Sean O'Toole, Jim Mattison

REGULAR MEETING 4:00 P.M.

A. ROLL CALL

The meeting was called to order at 4:04 p.m. by Chairman Tetreault and all members were present with the exception of Committee member Mattison.

B. PUBLIC COMMENTS (Individual Public Comments will be limited to a 3-minute time limit)

There were no public comments.

C. APPROVE MINUTES OF DECEMBER 1, 2011 COMMUNITY CENTER COMMITTEE MEETING

The minutes of the December 1, 2011 meeting were not completed in time for this agenda.

D. REVIEW FINAL DRAFT - COMMITTEE REPORT TO THE BOARD OF DIRECTORS

General Manager Howard stated that he had taken the information from prior Committee meetings and has developed a draft report from the committee to the Board.

Motion by: Committee Member Abbadie to approve the Report to the Board

Seconded by: Committee Member Steele

Vote: Motion Carried - AYES: 4, NOES: 0, ABSENT: 1 - Mattison

The Report will be transmitted to the full Board of Directors at their next regular meeting.

E. SET COMMITTEE CALENDAR

There being no more business before the Committee, there were no future meetings scheduled.

F. FUTURE DISCUSSION/AGENDA ITEMS

There being no more business before the Committee, there were no future discussion/agenda items to be considered.

G. ADJOURNMENT

The meeting was adjourned at 4:25 p.m.

RH/cmc - 01.09.12



TOWN OF DISCOVERY BAY

A COMMUNITY SERVICES DISTRICT

President – Chris Steele • Vice-President – Kevin Graves • Director - Brian Dawson • Director - Mark Simon • Director - Ray Tetreault

MINUTES OF THE REGULAR MEETING
OF THE COMMUNICATIONS COMMITTEE
OF THE TOWN OF DISCOVERY BAY CSD
Tuesday December 6, 2011
REGULAR MEETING 5:00 P.M.
1800 Willow Lake Road, Discovery Bay, California
Website address: www.todb.ca.gov

Communications Committee Members

Kevin Graves, Chair; Chris Steele, Vice-Chair; Amanda Dove; Jennifer Mixon; Chris Middleton

REGULAR MEETING 5:00 P.M.

A. ROLL CALL

The meeting was called to order at 5:01 p.m. by Board President Graves. All Committee Members were present.

B. PUBLIC COMMENTS (Individual Public Comments will be limited to a 3-minute time limit)

There were no Public Comments

C. APPROVE MINUTES

1. Minutes of previous Communications meeting dated November 16, 2011

Motion by: Committee Member Steele to approve the minutes dated November 16, 2011

Seconded by: Committee Member Middleton

Vote: Motion Carried – AYES: 5, NOES: 0

D. REVIEW DRAFT RECOMMENDATIONS REPORT TO BOARD OF DIRECTORS

The General Manager presented the draft recommendations report to the committee. The Committee reviewed the Draft Report to the Board.

Motion by: Committee Member Dove to approve the Report to the Board

Seconded by: Committee Member Middleton

Vote: Motion Carried – AYES: 5, NOES: 0

E. SET COMMITTEE CALENDAR

There being no more business before the Committee, there was no future meeting scheduled.

F. FUTURE DISCUSSION/AGENDA ITEMS

There being no more business before the Committee, there were no future discussion/agenda items to be considered.

G. ADJOURNMENT

The meeting was adjourned at 5:20 p.m.

RH/cmc – 01.04.12

NO BACK UP
DOCUMENTATION
FOR THIS AGENDA
ITEM # K-4

NO BACK UP
DOCUMENTATION
FOR THIS AGENDA
ITEM # K-5

TownOfDiscoveryBay CSD
Received
JAN 09 2012

TRANSPLAN COMMITTEE
Antioch - Brentwood - Pittsburg - Oakley and Contra Costa County

MINUTES

November 10, 2011

The meeting of the TRANSPLAN Committee was called to order in the Tri Delta Transit Board Room, 801 Wilbur Avenue, Antioch, California by Vice Chair Jim Frazier at 6:30 P.M.

ROLL CALL

PRESENT: Nancy Parent, Alternate for Ben Johnson (Pittsburg), Bruce Ohlson (Pittsburg), Mary Piepho (Contra Costa County Board of Supervisors), Kevin Romick (Oakley), Duane Steele* (Contra Costa County Planning Commission), Robert Taylor (Brentwood), Joe Weber (Brentwood), and Vice Chair Jim Frazier (Oakley)

ABSENT: Gil Azevedo (Antioch), Carmen Gaddis (Alternate, Contra Costa County Board of Supervisors), and Chair Brian Kalinowski (Antioch)

STAFF: John Cunningham, TRANSPLAN Staff
David Schmidt, Legal Counsel

* Arrived after Roll Call

PUBLIC COMMENT

There were no comments from the public.

CONSENT ITEMS

On motion by Kevin Romick, seconded by Joe Weber, TRANSPLAN Committee members unanimously adopted the Consent Calendar, with the removal of Item 3, as follows:

3. Adopt Minutes from October 13, 2011 TRANSPLAN meeting. [REMOVED]
4. Accepted Correspondence.
5. Accepted Recent News Articles.
6. Accepted Status Report on Major Projects.
7. Authorized the 511 Contra Costa – TRANSPAC / TRANSPLAN TDM Program Manager to Submit Applications and Enter into Necessary Contracts and Agreements to CCTA, BAAQMD, and MTC for Grant Funds to Conduct Program Activities

ADOPT MINUTES FROM OCTOBER 13, 2011 TRANSPLAN MEETING

On motion by Kevin Romick, seconded by Joe Weber, TRANSPLAN Committee members adopted the minutes from the October 13, 2011 TRANSPLAN meeting, as submitted, with Nancy Parent's abstention due to absence.

APPOINT TRANSPLAN MEMBER TO THE CONTRA COSTA TRANSPORTATION AUTHORITY'S (CCTA) TECHNICAL COORDINATING COMMITTEE (TCC)

John Cunningham, TRANSPLAN Staff, advised that the TRANSPLAN Committee appoints three members to the CCTA's TCC. He noted that a staff departure from the City of Oakley had left an opening on the TCC and a new member must be appointed. He advised that the TRANSPLAN Technical Advisory Committee (TAC) had discussed the opening at its last meeting on October 18, and had recommended that Steve Kersevan of Brentwood be appointed to the open seat on the TCC.

On motion by Bob Taylor, seconded by Joe Weber, TRANSPLAN Committee members unanimously appointed *Steve Kersevan* of Brentwood to the open seat on the CCTA's Technical Coordinating Committee.

Duane Steele arrived at 6:34 P.M.

AUTHORIZATION TO ENTER INTO MEMORANDUM OF UNDERSTANDING (MOU) WITH CONTRA COSTA TRANSPORTATION AUTHORITY AND THE EAST CONTRA COSTA REGIONAL FEE AND FINANCE AUTHORITY

Mr. Cunningham highlighted the issue and noted that a number of issues were directly or indirectly related to the CCTA assuming the responsibility for project development activities to design and construct capital improvement projects related to the State Route 4 Bypass. He reported that the CCTA had secured funding for the two projects from the Metropolitan Transportation Commission (MTC) and the California Transportation Commission (CTC). The State of California was prepared to take over the State Route 4 Bypass and was ready to relinquish the existing SR4 to local jurisdictions. He noted that the CCTA had the capacity and expertise to assume the functions but could not assume any financial exposure should the projects, currently fully funded, cost more. As such, the financial exposure would remain with the SR4 Bypass Authority, the East Contra Costa Regional Fee and Financing Authority (ECCRFFA), and TRANSPLAN. He stated that the MOU would provide the CCTA with the protection it needed to accept the transfer.

Ross Chittenden of the CCTA supported the staff synopsis and described the MOU as a handshake on paper.

Chair Frazier thanked the CCTA for attaining the additional funding.

Bob Taylor thanked all those involved for accepting the MOU; for the funds, and for the work to be done.

On motion by Bob Taylor, seconded by Mary Plepho, TRANSPLAN Committee members unanimously approved the Memorandum of Understanding and authorized the TRANSPLAN Chair to sign the MOU on behalf of the TRANSPLAN Committee.

**RECEIVE REPORT, PROVIDE COMMENTS ON THE STATE ROUTE 4 RAMP
METERING PROPOSAL AND APPROVE THE TAC RECOMMENDATION**

Mr. Cunningham referred to a presentation on ramp metering of several months ago when several concerns had been expressed. A more comprehensive presentation was to be presented to address the issues that had been raised. He acknowledged the concerns raised and noted that the staff recommendation at this time was to just implement the study implementation. The TRANSPLAN Committee Board would have to take another step to implement any studies.

Jack Hall of the CCTA presented the SR4 and SR242 Ramp Metering Study and used as an example of Bailey Road at 8:00 A.M. on October 25 to show how a number of cars had attempted to enter the freeway at one time creating the effect of stopping the main line. He suggested that with ramp metering cars would be more evenly spaced when entering the freeway with resulting safety, reduced accidents, and an increase in travel speeds, improving travel time reliability and promoting the use of freeways for long trips. He reported that from the East County Action Plan, 25 percent of the work force traveled west. Benefits for the environment would mean a reduction in fuel consumption, a reduction in vehicle emissions, and the creation of a cost-effective traffic management tool.

A video was presented to identify the benefits of ramp metering nationwide with ramp metering usually active during AM and PM commute times but able to be activated any time it was needed.

Mr. Hall described the limits of the ramp metering study from Alhambra Avenue in Martinez to SR160/SR4, and all of SR242, to study the feasibility and effects of ramp metering on SR4 and SR242, and to develop a staging plan, with a review of the study with the TRANSPLAN COMMITTEE. Possible next steps would include an MOU, public outreach, a before and after study, and metering plan activation. He noted that ramp metering had not been proposed in the construction zone.

As to cost and funding, Mr. Hall described ramp metering as a cost-effective management tool to be funded by MTC, and explained that instead of more widening projects there could be more bike/ped projects.

Mary Piepho expressed concern for local street impact on implementation. She noted the need to identify solutions when SR4 was fully impacted with capacity given that the system was constrained from being able to go beyond eight lanes. She referenced the challenges as a result of the growth that had occurred in East County and emphasized that any policy decision would be made by the TRANSPLAN Committee. Stating that she had spoken with CCTA staff about the Vasco Road on-ramp to I-580, she wanted information to be submitted prior to implementation given that metering did not work well from the local street perspective. She asked that the information be submitted to the TRANSPLAN Committee.

Bruce Ohlson referred to the Description of Work for the SR4 and SR242 Ramp Metering Studies and Implementation Plan, specifically to the Ramp Metering Feasibility and Staging Plan, and the Other Freeway and Surface Street Analysis, noting that no new research was to be done. He expressed concern as to how impacts to bike/ped would be identified.

Mr. Hall noted that existing data was to be used and that new counts had been recommended at other intersections. He added that the City representatives would pick more intersections and use as many counts of the data that currently existed to reduce costs.

Mr. Ohlson referred to the six tasks listed for the feasibility study and expressed concern that nothing had been included about bicycles and pedestrians, although level of service (LOS) effects on ramp metering would be included. He suggested that LOS use would ignore bike/ped and requested a seventh task: *Recommend mitigation for bike/ped on surface streets affected by ramp metering.*

Mr. Hall concurred and noted that the main benefit to bike/ped would be that traffic would be reduced on arterials and placed on the main line which should make it safer for bike/ped and free up money to build more bike/ped projects.

Nancy Parent commented that ramp metering would not happen in a vacuum and other regional projects would impact the amount of traffic using local streets. She characterized it as an important tool to use to maximize the ability to get people where they wanted to go in the timeframe desired.

Joe Weber thanked Mr. Hall for the more detailed report and verified that Caltrans and MTC would underwrite the feasibility study, estimated at \$250,000. He stated that the study was ongoing in Solano and Marin counties.

As to how long the study would occur in response to Joe Weber, Mr. Hall stated that Phase 2 would return at the end of next year.

Chair Frazier advised that the representatives from the City of Antioch, who could not be present at this time, had requested that the item be tabled. He wanted to make sure that each jurisdiction affected by the study received outreach from the CCTA.

Mr. Hall agreed with the desire to meet one-on-one to respond to questions and to reach out to jurisdictions.

Mr. Cunningham affirmed that the majority of the intersections to be studied were located in the City of Antioch.

On motion by Bob Taylor, seconded by Mary Piepho, TRANSPLAN Committee members unanimously approved the scope of the State Route 4 Ramp Metering Proposal, with the addition of Task 7 at the bottom of Page 6 of the Description of Work: *Recommend mitigation for bike/ped on surface streets affected by ramp metering; as a two-phase project with the first phase a study to gather information, and the second phase policy work that would occur over time, with staff directed to assist with the conduct of the study.*

CONSIDER REPORT ON STATUS OF REGIONAL FEE PROGRAM REQUIREMENTS / CITY OF PITTSBURG AND TAKE ACTION AS APPROPRIATE

Mr. Cunningham explained that he had no additional information for this placeholder item.

RECEIVE UPDATE: STATE ROUTE 4 INTEGRATED CORRIDOR ANALYSIS

Mr. Cunningham explained that there was no substantial update on the study at this time. He identified handouts that had been distributed to the TRANSPLAN Committee and explained that the study had been paused on the SR4/SR242 interchange analysis in Central County, which was ongoing. The study would come out to the East County side of the corridor in the new year when more information would be available.

Mr. Cunningham anticipated a more substantial update in January.

ADJOURNMENT

On motion by Bob Taylor, seconded by Mary Piepho to adjourn the TRANSPLAN Committee meeting at 7:00 P.M., to December 8, 2011 at 6:30 P.M. or other day/time deemed appropriate by the Committee.

Respectfully submitted,

Anita L. Tucci-Smith
Minutes Clerk

Meeting Handouts:

- o SR4 Integrated Corridor Analysis Task List
- o SR4 Integrated Corridor Analysis Schedule



TOWN OF DISCOVERY BAY

A COMMUNITY SERVICES DISTRICT

President – Chris Steele • Vice-President – Kevin Graves • Director – Brian Dawson • Director – Mark Simon • Director – Ray Tetreault

January 5, 2012

Gary Kupp
Contra Costa County Department of Conservation and Development
Community Development Division
651 Pine Street, 4th Floor, North Wing
Martinez, CA 94553-0095

Re: County File Number DP11-3031 (Chase Bank – Discovery Bay)

Dear Mr. Kupp:

The Town of Discovery Bay Community Services District Board of Directors heard testimony and took under consideration the above referenced matter at their regular meeting of January 4, 2012:

The Board had negative comments, specifically; traffic circulation concerns relative to the proximity of the proposed drive-thru ATM kiosk and the ingress/egress to the Safeway Gas Station; the removal of parking spaces at that location resulting in a lack of parking in a center where parking is already at a premium; and overall traffic safety concerns.

The Board voted 5-0 opposing this project.

Sincerely,

Rick Howard
General Manager, Town of Discovery Bay

RH/ca
Cc: Board of Directors

STATE ROUTE 4 BYPASS AUTHORITY
Antioch - Brentwood - Oakley and Contra Costa County

JOINT EXERCISE OF POWERS AGENCY

December 8, 2011

The STATE ROUTE 4 BYPASS AUTHORITY meeting was called to order in the Tri Delta Transit Meeting Room, 801 Wilbur Avenue, Antioch, California by Chair Jim Frazier at 6:30 P.M.

ROLL CALL

PRESENT: Brian Kalinowski (Antioch), Robert Taylor (Brentwood), and Chair Jim Frazier (Oakley)

ABSENT: Mary Piepho (Contra Costa County Board of Supervisors)

STAFF: Dale Dennis, Program Manager
David Schmidt, Legal Counsel

PUBLIC COMMENT

There were no comments from the public.

CONSENT ITEMS

On motion by Director Kalinowski, seconded by Director Taylor, the Authority unanimously adopted the Consent Items, as follows, with the removal of Item A, the minutes of the November 10, 2011 meeting.

- A. APPROVE Minutes of November 10, 2011 meeting.
[REMOVED FROM CONSENT]
- B. APPROVED a \$24,056 amendment to the Consulting Services Agreement with Lucy Owens to complete right-of-way services for the right-of-way transfer of the SR4 Bypass to Caltrans, as well as property to Contra Costa County, Antioch, and Brentwood and extend the term to March 31, 2012, and AUTHORIZED the Secretary or designee to sign the agreement.
- C. THE AUTHORITY TOOK THE FOLLOWING ACTIONS:

1. DETERMINED that conveyance of two Electrical Distribution Easements to Pacific Gas and Electric Company is in the public interest and will not substantially conflict or interfere with the Authority's use of the property.
 2. APPROVED the conveyance of said Easements, pursuant to Government Code Section 25526.6.
 3. AUTHORIZED the Secretary, or designee, to finalize and execute the Easements.
 4. DIRECTED the Real Property Division to deliver the Easements to PG&E for acceptance and recording.
- D. APPROVED the Cooperative Agreement between the Authority, State of California, and the Contra Costa Transportation Authority for the SR4 Bypass/Sand Creek Road Interchange and Four-Lane widening Project (Agreement No. 4-2266), which outlines the responsibilities and duties of all parties for the construction of the project, and AUTHORIZED the Secretary, or designee, to execute the Cooperative Agreement on behalf of the Authority substantially in the form attached to the staff report dated December 8, 2011.

The following item was removed from Consent.

APPROVE MINUTES OF NOVEMBER 10, 2011 MEETING

On motion by Director Frazier, seconded by Director Taylor, the Authority adopted the minutes of the November 10, 2011 meeting, as submitted, with Director Kalinowski's abstention.

DETERMINATION ITEMS

- A. RECEIVE Status Report on the State Route 4 Bypass Projects, Including an Update on the Transfer of the SR4 Bypass to Caltrans

Program Manager Dale Dennis advised that Bill Gray, Dan McElhinney, and Ross Chittenden would speak to SR4 Bypass projects and the status of the transfer of the SR4 Bypass to Caltrans.

Bill Gray, Gray Bowen, Transportation Consulting, noted that Dan McElhinney, Chief Deputy District Director, District 4, Caltrans, had been very helpful in getting the project ready for the transfer.

While Mr. McElhinney had indicated there were still some issues to resolve, Mr. Gray stated that there was a commitment to the January date of the California Transportation Commission (CTC) to approve the transfer. He characterized the issue as a complex transaction, and asked if any members of the Board would be interested in attending that meeting of the CTC in January.

Directors Frazier and Taylor both offered to attend.

Mr. Dennis noted the approval of the Cooperative Agreement between the SR4 Bypass Board of Directors, the State of California and the Contra Costa Transportation Authority (CCTA) for the Sand Creek Road Interchange, which agreement needed to be in place for the allocation of funding in January. He explained that Authority staff had been working closely with CCTA staff to coordinate any additional work, some for the City of Brentwood and some for the West Coast Homes development, to coordinate some utility work in the street of Sand Creek itself and some grading work. He had been working with Brentwood, the CCTA, and West Coast Homes to work out the technical issues and how that work could be folded into the Sand Creek Interchange without creating any delays. While the technical issues had been worked out in the front of that process, he stated there would need to be some contribution agreements in place between Brentwood and the CCTA, and between West Coast Homes and the CCTA to pay for that work.

Ross Chittenden, Deputy Executive Director, Projects, CCTA, stated that Caltrans Headquarters, legal, and program staff had concurred with the Cooperative Agreement and next week the \$8 million from the Highway 4 Widening project would be moved to the Sand Creek Road Interchange project, which funding would be available in January. The intent was to keep the schedule, not delay the project, and not jeopardize any of the funding.

Mr. Chittenden affirmed that Mr. Dennis had been working with the City of Brentwood and West Coast Homes to get the conceptual designs in place although there were a number of things to be accomplished; a utility agreement with the Contra Costa Water District (CCWD) and whether or not an encroachment permit would be required, with the goal to incorporate the work into the plans as advertised. If that could not be done, an addendum or a change order would be pursued to ensure the award of contract remained on schedule. The question was whether the work could be done on schedule to avoid jeopardizing the Corridor Mobility Improvement Account (CMIA) funding. He stated that the mainline widening and interchange constraints had been resolved. While the original work requested by West Coast Homes was to have been utility work, some grading had now been requested for work in the area of \$2 million. He wanted to make sure that could be accomplished in a way to preserve the schedule and avoid jeopardizing the state funding.

In response to Chair Frazier, Mr. Chittenden explained that as a result of a bond sale, the allocation would be forthcoming and there was no reason to believe that a direct allocation in January would not occur, and if approved by the CTC Board, the project could be advertised February 1 with a projected start time on May 15 or June 1, which he suggested would allow completion by November/December 2013.

Director Taylor verified that if the funding would occur in January there was no need to pursue a bond or other alternatives to secure the financing.

Dan McElhinney, Chief Deputy Director for Caltrans District 4, stated that the full intent was to get to the January meeting of the CTC for the transfer of the SR4 Bypass. He commented that things were looking great. He thanked the Authority for its patience in wrapping up the issues related to the transfer, saw no problems that would keep the transfer from proceeding, and added that not only Authority staff, but the CCTA, the project management team, and a group in Sacramento were energized to wrap up all the necessary documents to allow the transfer to occur.

Chair Frazier asked when the relinquishment would legally take effect, reported by Mr. Dennis that there is a resolution for the adoption and relinquishment and the CTC would adopt the resolution at the meeting. The CTC had up to 15 days to record the resolution, after which the transfer and relinquishment would be complete, potentially by the middle of February.

Director Taylor asked if there would be a ceremony involved.

Mr. Gray stated that a transfer ceremony could be planned for after the transfer of the Bypass to acknowledge this significant event.

BOARDMEMBER COMMENTS

There were no Boardmember comments.

CORRESPONDENCE

There was no correspondence.

ADJOURNMENT

With no further business to come before the State Route 4 Bypass Authority, Chair Frazier adjourned the meeting at 6:52 P.M. to the next meeting scheduled for Thursday, January 12, 2012.

State Route 4 Bypass Authority Minutes
December 8, 2011
Page 5

4. A. 5

Respectfully submitted,

Anita L. Tucci-Smith
Minutes Clerk

G. A. 6

STATE ROUTE 4 BYPASS AUTHORITY
Antioch - Brentwood - Oakley and Contra Costa County

A JOINT EXERCISE OF POWERS AGENCY

MINUTES

December 22, 2011

****Special Meeting****

The STATE ROUTE 4 BYPASS AUTHORITY meeting was called to order in the Brentwood City Hall (3rd Floor, Parkview Conference Room) by Chair Jim Frazier at 4:35 P.M.

ROLL CALL

PRESENT: Chair Jim Frazier (Oakley), Mary N. Piepho (Contra Costa County), and Bob Taylor (Brentwood)

ABSENT: Brian Kalinowski (Antioch)

STAFF: Dale Dennis, Program Manager

PUBLIC COMMENT

There were no comments from the public.

DETERMINATION ITEMS

- A. **APPROVE** the Cooperative Agreement between the County, the State of California (State), SR4 Bypass Authority, and the Cities of Antioch, Brentwood, and Oakley for the transfer of the SR4 Bypass to the State and the relinquishment of existing SR4 to the respective local agencies, and **AUTHORIZE** the Secretary or designee to execute the Cooperative Agreement on behalf of the Authority substantially in the form attached to this staff report.

Program Manager Dale Dennis introduced the item and advised that the Cooperative Agreement was one of the last remaining items for the transfer and relinquishment. Bill Gray, consultant to the Authority, provided an update on the transfer process for the SR4 Bypass. Legal Counsel, David Schmidt, reviewed the latest version of the Cooperative Agreement and highlighted a few remaining issues to work through with Caltrans.

On motion by Director Taylor, seconded by Director Piepho, the Authority unanimously **APPROVED** the Cooperative Agreement between the County, the State of California, SR4 Bypass Authority, and the cities of Antioch, Brentwood, and Oakley for the transfer of the SR4 Bypass to the State and the relinquishment of existing SR4 to the respective local agencies, and **AUTHORIZED** the Secretary or designee to execute the Cooperative Agreement on behalf of the Authority substantially in the form attached to the staff report dated December 22, 2011.

SR4 Bypass Authority Minutes
December 22, 2011
Page 2

BOARDMEMBER COMMENTS

There were no Boardmember comments.

CORRESPONDENCE

There was no correspondence.

ADJOURNMENT

With no further business to come before the State Route 4 Bypass Authority, Chair Frazier adjourned the meeting at 5:15 P.M. to the next meeting scheduled for January 12, 2012.

**STATE ROUTE 4 BYPASS AUTHORITY
Antioch - Brentwood - Oakley and Contra Costa County**

A JOINT EXERCISE OF POWERS AGENCY

MINUTES

January 5, 2012

****Special Meeting****

The STATE ROUTE 4 BYPASS AUTHORITY meeting was called to order in the County Public Works Building (Conference Room B) by Chair Jim Frazier at 4:55 P.M.

ROLL CALL

PRESENT: Chair Jim Frazier (Oakley), Brian Kalinowski (Antioch), and Bob Taylor (Brentwood)

ABSENT: Mary N. Piepho (Contra Costa County)

STAFF: Dale Dennis, Program Manager

PUBLIC COMMENT

There were no comments from the public.

DETERMINATION ITEMS

- A. **APPROVE** the Cooperative Agreement between the County, the State of California (State), SR4 Bypass Authority, and the Cities of Antioch, Brentwood, and Oakley for the transfer of the SR4 Bypass to the State and the relinquishment of existing SR4 to the respective local agencies, and **AUTHORIZE** the Secretary or designee to execute the Cooperative Agreement on behalf of the Authority substantially in the form attached to this staff report.

Program Manager Dale Dennis introduced the item and advised that the Cooperative Agreement was one of the last remaining items for the transfer and relinquishment. Bill Gray, consultant to the Authority, provided an update on the transfer process for the SR4 Bypass. Legal Counsel, David Schmidt, reviewed the latest version of the Cooperative Agreement indicated staff was recommending approval.

On motion by Director Taylor, seconded by Director Kalinowski, the Authority unanimously **APPROVED** the Cooperative Agreement between the County, the State of California, SR4 Bypass Authority, and the cities of Antioch, Brentwood, and Oakley for the transfer of the SR4 Bypass to the State and the relinquishment of existing SR4 to the respective local agencies, and **AUTHORIZED** the Secretary or designee to execute the Cooperative Agreement on behalf of the Authority substantially in the form attached to the staff report dated January 5, 2012.

F. Q. 9

BOARDMEMBER COMMENTS

There were no Boardmember comments.

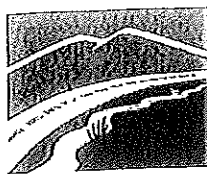
CORRESPONDENCE

There was no correspondence.

ADJOURNMENT

With no further business to come before the State Route 4 Bypass Authority, Chair Frazier adjourned the meeting at 5:10 P.M. to the next meeting scheduled for January 12, 2012.

JAN 11 2012



Contra Costa County
Public Works
Department

Julia R. Bueren, Director

Deputy Directors
R. Mitch Avalon
Brian M. Balbas
Stephen Kowalewski

January 10, 2012

To interested parties in unincorporated Contra Costa County (Municipal Advisory Councils, watershed, creek, floodplain, community groups).

The Federal Emergency Management Agency (FEMA) is looking at the possibility of developing new Flood Insurance Rate Maps in Contra Costa County (unincorporated areas and incorporated cities/towns) utilizing their new "Risk Mapping" process. This will be a watershed approach with significant opportunities for community involvement. The purpose of this letter is to inform you of this upcoming FEMA activity and give you the opportunity to either participate directly or provide me with information you want included.

By way of background, I have been serving as the unincorporated county Floodplain Manager for the past 17 years and as such represent your community in these and all other Floodplain management areas. I am aware of several "Bigger Picture" issues regarding floodplain management in the county, but may not have the more intimate knowledge that you possess in your local watershed or community.

Please see the attached email, brochure, and guidelines from FEMA for more information on this new program. If you want to be included in this process please let me know so I can keep you informed of the meeting times, dates, etc. Also if you want to provide any information for me to present on your behalf or you have questions, please contact me at the phone number or email address below.

Sincerely,

Rich Lierly, PE, CFM, CPSWQ, AAGG
Floodplain Manager /Senior Civil Engineer
Public Works Department – Engineering Services Div.
255 Glacier DR. Martinez, CA, 94553
(925) 313-2348 email: rlie@pw.cccounty.us



RL:lz
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Enclosures

c: Julia R. Bueren, Director
Mitch Avalon, Deputy Director
Brian Balbas, Deputy Director
Warren Lal, Supervising Civil Engineer

"Accredited by the American Public Works Association"
255 Glacier Drive Martinez, CA 94553-4825
TEL: (925) 313-2000 • FAX: (925) 313-2333
www.cccpublicworks.org

EMAIL FROM FEMA

From: Paul, Sabu [mailto:SPaul@mbakercorp.com]
Sent: Friday, December 09, 2011 12:19 PM
To: gayle@bos.cccounty.us; Rich Lierly
Cc: Paul, Sabu; Eric.Simmons@fema.dhs.gov
Subject: Contra Costa County FEMA Discovery meeting

Greetings,

I am writing this email on behalf of Eric Simmons, Senior Engineer, Federal Emergency Management Agency (FEMA) Region IX, and Rich Lierly, Contra Costa County Floodplain Manager, to inform you about an upcoming Discovery meeting in Contra Costa County.

FEMA's Risk Mapping, Assessment, and Planning (Risk MAP) program helps communities identify, assess, and reduce their flood risk by combining quality engineering with updated flood hazard data. The Risk MAP program aims to provide accurate and easy-to-use information to enhance local mitigation plans, improve community outreach, and increase local resilience to floods.

The Discovery process and Discovery meeting are the first steps in determining whether a Risk MAP project is needed for areas within Contra Costa County. To make this process and any Risk MAP products as useful as possible, it is imperative that local communities become involved. Staff from Contra Costa County and the County Flood Control District will be available at this meeting to share their challenges, plans, and goals for regional improvements, but it is critical that you share your own community's goals and challenges in regard to flooding, drainage, and stormwater. That way, FEMA can get as complete a picture as possible and ultimately provide tools to help you meet some of your challenges and goals. The goal of the Discovery process is for FEMA to gain a better understanding of local flood risk and mitigation efforts through working closely with communities and stakeholders and encouraging watershed-wide discussions about increasing resilience to flooding. The information that FEMA and your community exchange during Discovery will improve our understanding of your flood hazard mapping, flood risk, mitigation planning, and communication needs.

We are planning to hold the Discovery Meeting, after coordinating with community officials, during the last week of January 2012. After the exact date and venue have been selected, this information will be communicated to everyone involved. At the meeting, we will review the flood risk data gathered to date and discuss your community's flooding history, development plans, flood risk concerns, stormwater and floodplain management activities and other daily operations that affect your flood risk (such as cleaning drainage ditches or culverts).

Because flood hazards change over time, this effort provides a great opportunity to take a comprehensive look at the components that contribute to the flood risk for your community and watershed. In addition to providing another perspective, participating in this process will increase your understanding of your community's flood risk and help you identify proactive steps to protect your community from the losses of life and property that often accompany flooding.

It is very important to collect and analyze all available data related to flooding issues, flood risk, and flood mitigation capabilities within a watershed. We would appreciate your providing any data listed in the enclosure by January 13, 2012. Providing relevant data in geospatial format is also very useful for the success of the discovery process.

Thank you for supporting this effort, and we encourage you to attend this important meeting. Your community's partnership with FEMA will be vital to successfully identifying any existing flood risks and needs. To learn

more, please review the enclosed Discovery brochure and Appendix I: Discovery of FEMA's Guidelines and Specifications for Flood Hazard Mapping Partners. I look forward to seeing you at the meeting. If you need additional information or assistance, please contact me by email (spaul@mbakercorp.com) or by telephone at (703) 334 4919; Rich Lierly at rlie@pw.eccounty.us or (925) 313-2348; or Eric Simmons at Eric.Simmons@fema.dhs.gov or (510) 627-7029.

Thanks,

Sabu Paul, Ph.D., PMP, PE.

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Risk MAP Discovery

The Goal

To work closely with communities to better understand local flood risk, mitigation efforts, and other topics and spark watershed-wide discussions about increasing resilience to flooding. The Discovery process of FEMA's Risk MAP program helps communities identify areas at risk for flooding and solutions for reducing that risk.

The Partners

During Discovery, FEMA partners with:

- Community and Tribal officials (including leaders, floodplain administrators, engineers, watershed council representatives, planners, emergency managers and GIS specialists)
- Federal, state and regional non-profit organizations concerned with flooding or flood risk
- Other locally identified stakeholders

The Meeting

Once communities provide FEMA with local flood risk and other data, FEMA conducts Discovery Meetings. Review and mitigate the top risks are gathered to the community to help develop flood risk reduction plans, flood improvement plans and flood risk recovery. Review some water floodplain mitigation and other community activities that are critical to flood risk reduction. Discuss the vision of the water stakeholders as well as the importance of strengthening your community outreach.

Learn More

To learn more about Discovery and the types and formats of data communities can contribute, contact your Regional Office (see www.fema.gov/about/regions/ for details). We look forward to working with you.

Related FEMA Programs

FloodSmart
www.floodsmart.gov/

Hazard Mitigation Assistance
www.fema.gov/government/grant/hma

Community Rating System
www.fema.gov/business/nfp/crs.shtml

National Dam Safety Program
www.fema.gov/plans/prevent/damfailure/nisp.shtml

National Hurricane Program
www.fema.gov/plans/prevent/nhp



www.fema.gov/plan/prevent/fhm/ra_main.shtml
1-877-FEMA-MAP

Risk MAP Discovery

Capturing a More Complete Picture
of Your Watershed

FEMA B-778 / May 2011



FEMA

RiskMAP
Incentive Challenge Funding

Discovery and Risk MAP

The FEMA Risk Mapping, Assessment, and Planning, or Risk MAP, program helps communities identify, assess, and reduce their flood risk. Through Risk MAP, FEMA provides information to enhance local mitigation plans, improve community outreach, and increase local resilience to floods.

During Discovery, FEMA:

- Gathers information about local flood risk and flood hazards
- Reviews mitigation plans to understand local mitigation capabilities, hazard risk assessments, and current or future mitigation activities
- Supports communities within the watershed to develop a vision for the watershed's future
- Collects information from communities about their flooding history, development plans, daily operations, and stormwater and floodplain management activities
- Uses all information gathered to determine which areas of the watershed require mapping, risk assessment, or mitigation planning assistance through a Risk MAP project



Local and National Flood Data Tell the Story

The data that FEMA has available at the national and regional levels only tells part of the story. For a holistic picture of a community's flood risk, FEMA relies heavily on information and data provided by the community itself.

Data FEMA Requests from Communities

FEMA works with communities to collect and review*:

- Areas of nuisance flooding
- Historical local flooding mitigation activities and grant projects, ongoing and planned
- Comprehensive plans
- Local development and floodplain management plans
- Stormwater management activities
- Community ordinances
- Infrastructure information, especially for levees and new bridges, dams, culverts, and road improvements
- Building footprints or parcel data
- Boundary, hydrography, and transportation layers
- Elevation data
- Flood study needs
- Regional watershed plans
- Details of the current flood risk communication process

Data Available to FEMA at the National/Regional Level

FEMA can access and review:

- FEMA-approved mitigation plans
- Previous flood studies
- Numbers of flood insurance policies
- Letters of Map Change
- Average Annualized Loss (AAL) information
- Census data
- National levee and dam inventories*
- Related data from other Federal and State agencies

Why is this Important?

Because flood hazards change over time, this effort provides a great opportunity to take a comprehensive look at the components and activities that contribute to your community's and your watershed's flood risk. In addition to providing another perspective, participating in this process will increase your understanding of your flood risk and help you identify proactive steps you can take to protect your community from losses to life and property that often accompany flooding.

* Communities may also have additional data that may help explain flood threat (i.e. hazard). FEMA asks communities to share whatever data they have to provide a complete picture, if possible.

FEMA Contra Costa Discovery meeting -- Data Requirements

- Flooding issues, historical flooding, and declared flood disasters;
- Community planning capabilities, and the timing and level of any needed technical assistance for mitigation planning;
- The status of Local Mitigation Plan (in progress or completed);
- Current stormwater activities such as culvert or ditch cleaning;
- Current outreach programs to residents about stormwater issues;
- Stormwater Best Management Practices, programs for reducing flows, etc.;
- Risk and flood study needs;
- Information regarding participation in the Community Rating System (CRS);
- Actionable projects identified in the Hazard Mitigation Plan;
- Community development plans and comprehensive plans;
- Prior proactive mitigation actions and planning efforts resulting in reduced losses;
- Interest in providing elevation data or pursuing partnership opportunities;
- Information about community priorities in order to focus mitigation discussions through knowledge of what is important to the public;
- Community-identified mitigation opportunities;
- Regional or state information about communities and flooding within a watershed, such as information from Community Assistance Visits (CAVs);
- Community correspondence, and other data that the FEMA Regional Office, State NFIP Coordinator, or SHMO possesses;
- Information from OFAs, NGOs, and other watershed stakeholders;
- Data from the Mapping Information Platform (MIP), the FEMA library, etc.

Guidelines and Specifications for Flood Hazard Mapping Partners

Appendix I: Discovery

June 2, 2011



FEMA

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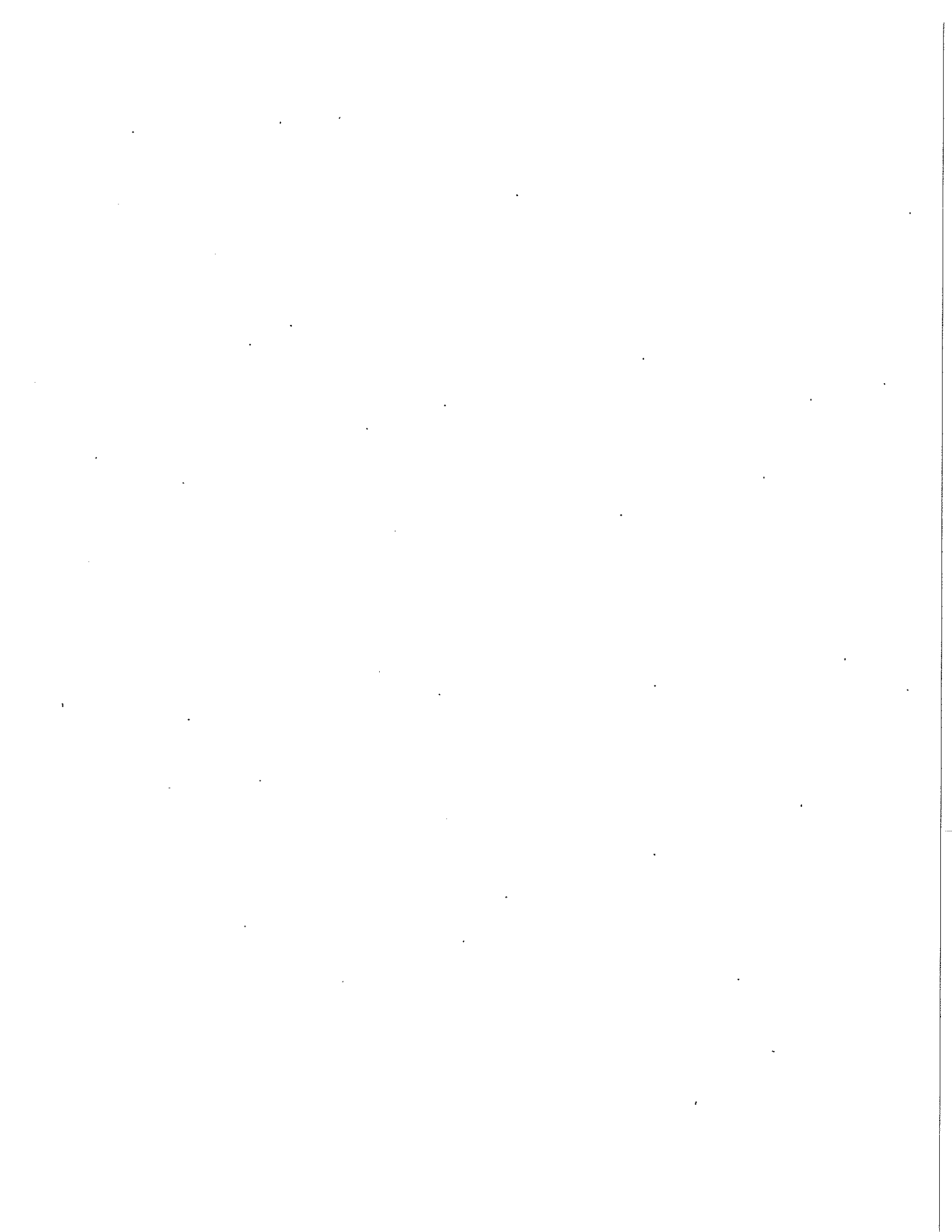


Table of Standards

The Table of Standards is an overview of all mandatory elements within this Appendix. For details regarding these standards, refer to the body of this document.

Section Number	Short description
2	Discovery is mandatory for all new and updated flood risk projects.
2	Discovery is completed prior to the development of a flood risk project.
2	A flood risk project is defined as any combination of the following activities: flood hazard mapping (such as the formation of new Flood Insurance Rate Maps and Flood Insurance Studies); flood risk assessments (such as Hazus runs or refined Hazus analysis); and/or mitigation planning technical assistance (such as training, outreach, assistance in understanding risk data, and improving mitigation plans, especially risk assessments and mitigation strategies).
2	Except for coastal projects, Discovery must occur on a watershed basis in accordance with the watershed approach.
3	Discovery is flexible and scalable to the watershed under review.
4.1	For long-term coastal studies or for large coastal areas where storm surge studies may take several years, Discovery efforts will be realigned.
4.1	For long-term coastal projects, stakeholder contact must be included before a storm surge study is initiated and continued throughout the storm surge study period.
4.1	For long-term coastal projects, the results of the storm surge study will be shared with the affected communities to set expectations for the final project results.
4.2	The FEMA Regional Office must be consulted as to whether or not Tribal Nations should be included in the overall Discovery efforts and in the Discovery Meeting or if there should be a separate meeting with the Tribe(s).
4.2	Tribal land boundaries must be acquired during Discovery.
4.2	Only FEMA Regional Office staff can work directly with Federally-recognized Tribes, unless specific arrangements and coordination have been made to allow mapping partners or other contractors to directly contact a Tribe.
5	Watershed stakeholder contact prior to the Discovery Meeting must occur.
5.1	Coordination with National Flood Insurance Program Coordinators, State Hazard Mitigation Officers, and Other Federal Agencies is vital to Discovery and coordination must be continuous and ongoing.
5.2	A wide array of community, county, and regional stakeholders must be engaged for flood risk projects.
5.2	At least one representative from every community and area of influence must be contacted.

Appendix I

Section Number	Short description
5.3	The types of data and information obtained during Discovery should demonstrate a holistic picture of flooding issues, flood risk, and flood mitigation capabilities within a watershed.
5.3	Project teams must communicate to watershed stakeholders which data and information can be used for flood risk projects, including the appropriate formats and specifications.
5.3	This section contains a list of data and information that, at a minimum, must be collected.
5.3	Project teams must evaluate local Hazard Mitigation Plans.
5.3	When appropriate, data not provided in geospatial format by communities must be converted to a geospatial format for visualization on the Discovery Map.
6	A robust, thoughtful analysis of the data and information obtained during stakeholder coordination is required in order to prepare for and conduct the Discovery Meeting.
6.1	A draft Discovery Map will be created using the data and information collected during Discovery, and a final Discovery Map will be created to illustrate the decisions that were made at the Discovery Meeting. The draft Discovery Map will be provided to the communities and Tribes prior to the Discovery Meeting and presented at the Discovery Meeting as a facilitation tool. A final Discovery Map will be provided to the communities and Tribes after the Discovery Meeting.
6.1.1	Mandatory elements of the Discovery Map are listed here.
6.2	A Discovery Report must be completed and will include a section listing the data and information collected including what data and information were received, when they were received, data sources, and an analysis of the data and information. A draft Discovery Report will be shared with communities and Tribes prior to/in preparation for the Discovery Meeting. The final version of the Discovery Report will include meeting documents such as meeting notes, attendee list, etc. and will be provided to communities and Tribes after the Discovery Meeting.
7	All watershed stakeholders are invited to the Discovery Meeting.
9	If it is determined after the Discovery Meeting that a flood risk project is not appropriate, the final Discovery Report will be updated to reflect that decision.

Appendix I

Section Number	Short description
9	At the time the decision is made whether to move forward with a flood risk project in the watershed, the project team must update CNMS, NDEP, NDOP, and the MIP.
10	If it has been determined that a flood risk project including a flood hazard mapping element is appropriate for the watershed, FEMA will review pertinent data and information in coordination with communities to determine the expectations of the results.
10	If it has been determined that a flood risk project including a flood hazard mapping element is appropriate for the watershed, the post-Discovery meeting coordination must occur prior to initiating a flood risk project. The discussions must include an explanation of the expected impacts of potential study results (i.e. increase/decrease in flood hazard area delineations, flood elevations, etc.).
11	If it is determined that a flood risk project is appropriate, the scope of work must be developed in coordination with communities, Tribes, and state partners.
12.1	If a flood risk project is appropriate for the watershed, a project charter will be used to document the regulatory and non-regulatory products that the community will receive, specify the mitigation technical assistance to be provided, identify roles and responsibilities for all parties involved, list the data to be provided with associated deadlines and expectations of the study results, and provide a projected timeline and an explanation of what is expected from FEMA or Cooperating Technical Partners and communities or Tribes at each major milestone. If a flood risk project will include flood hazard mapping, the charter must document the expected changes to the flood hazard boundaries and flood elevations, and the impact these changes will have on the communities or Tribes. The project charter must be created in coordination with communities and Tribes in the watershed (sent for their review, collectively revised, finalized, and signed).

1. Introduction

This Appendix, *Discovery*, describes the activities involved in the “Discovery” of flood hazards and associated flood risk in Regionally-prioritized areas. The activities include data collection; state, Tribal, Other Federal Agency (OFA), non-profit, and other stakeholder (hereinafter referred to as “watershed stakeholders”) engagement; a Discovery Meeting; and post-meeting activities. This is entirely new guidance that completely replaces the previous version of Appendix I.

Discovery occurs after the Federal Emergency Management Agency’s (FEMA’s) planning and budgeting cycle, when watersheds of interest have been selected for further examination in coordination with state-level stakeholders. This guidance does not describe the activities that occur as part of the planning and budgeting cycle, as these are part of national planning activities that may be revised each fiscal year. This guidance outlines the Discovery activities that occur once a watershed has been selected for further examination.

Discovery is essential to successful flood risk projects. It provides for the exchange of information among the various stakeholders involved and includes meeting with stakeholders to better understand the watershed, deciding whether a flood risk project is appropriate and, if so, collaborating on the project planning in detail.

This document provides guidance for conducting Discovery activities; describes required elements and the additional elements that may be desirable depending on state, regional, or community preferences or requirements; and summarizes the interim and final outputs of Discovery, which include a Discovery Map, a Discovery Report, and a project charter.

2. Timing and Geographical Extent of Discovery

Discovery is required for all new and updated flood risk projects. It will be used for determining whether a flood risk project is appropriate and will provide visibility to stakeholders as FEMA and Cooperating Technical Partners (CTPs) initiate flood risk and mitigation discussions and deliver flood risk information. **Discovery is completed prior to the development of a flood risk project.** Flood risk projects will not be appropriate in all watersheds in which Discovery occurs. A flood risk project includes any combination of the following activities: flood hazard mapping (such as the formation of new Flood Insurance Rate Maps [FIRMs] and Flood Insurance Studies [FISs]); flood risk assessments (such as Hazus runs or refined Hazus analysis); and/or mitigation planning technical assistance (such as training, outreach, assistance in understanding risk data, and improving mitigation plans, especially risk assessments and mitigation strategies).

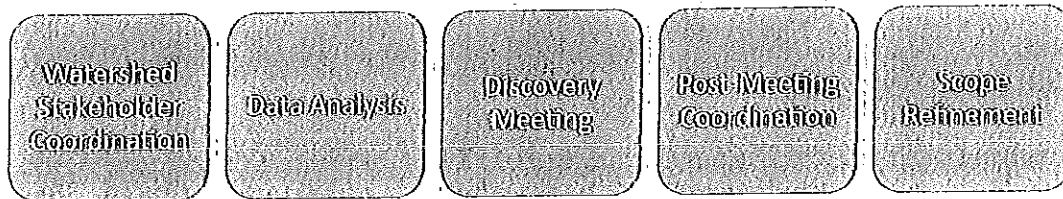
Discovery must occur on a watershed basis in accordance with the watershed approach. Discovery at a watershed level means that all stakeholders (described in Section 5.2) within the watershed are involved. The guidance presented herein shall be applied at an appropriate geographic extent for coastal projects, which are not performed on a watershed basis. See Section 4.1 for other coastal considerations.

3. Scalability

Discovery is flexible and scalable to the watershed under review. In watersheds with multiple urban areas, Discovery may be completed differently than in rural watersheds. The watershed stakeholders involved will vary based on state, region, and community type. The data collected will reflect the types of data that are appropriate to the watershed and will vary by project area. The watershed stakeholders listed in Section 5.2 and data types listed in Section 6.1.2 are examples of potential stakeholders and data; they do not comprise an all-inclusive listing of stakeholders and data to be coordinated with or collected during Discovery.

The implementation of the Discovery process is likewise flexible to accommodate the varied political and physical landscapes across the nation and within the project area. The objectives and outcomes of Discovery are provided in this document, and flexibility is granted in the implementation as long as the intent of the objectives and outcomes are met.

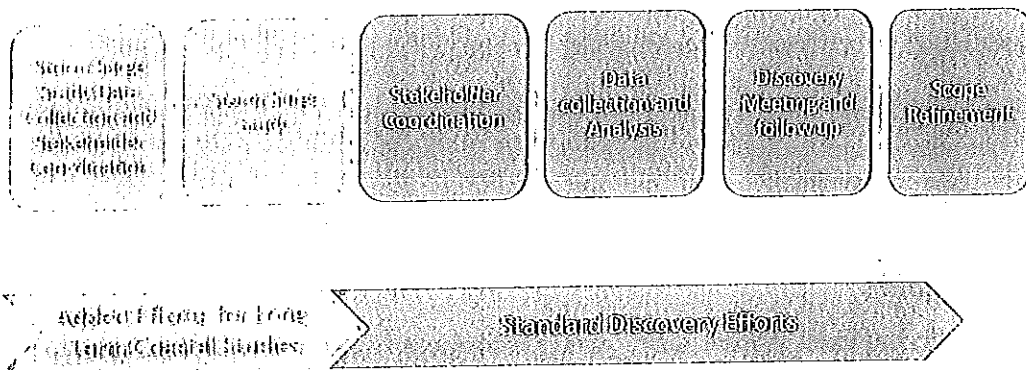
4. Discovery Process Overview



Discovery is the process that allows FEMA and watershed stakeholders a more comprehensive and holistic understanding of the flood risk and flood mitigation capabilities within a watershed. Data gathered during Discovery includes information that influences flood risk decision-making, historical flooding information, existing flood hazard data and information, and mitigation activities. Among other data and information, state, local, and Tribal Hazard Mitigation Plans must be obtained and reviewed in order to document existing flood risk; mitigation capabilities; hazard risk assessments; and mitigation strategies that are planned, underway, or completed within the watershed. Data and information collected must also include information about projects, programs, and data that may support flood risk communications, outreach, and flood mitigation actions.

A Discovery Meeting will be held after an analysis of the collected information is completed. This analysis will be summarized in the Discovery Report (see Section 6.2). During the meeting, the project team will work with watershed stakeholders to determine if a flood risk project is appropriate, and a final Discovery Report documenting that decision will be provided to all watershed stakeholders after the Discovery Meeting. If a flood risk project is appropriate and flood hazard mapping will be included, data and information collected during Discovery will be used to evaluate the potential effects of the study. This evaluation must be discussed with the watershed stakeholders to set expectations about the outcomes of the flood risk project. The final project scope and project charter must be coordinated with the watershed stakeholders (see Section 12.1). The project charter describes the project scope, summarizes the expected results, sets the roles and responsibilities of all parties involved, identifies mitigation opportunities including mitigation planning technical assistance to be provided, and describes other assistance (outreach, communications, etc.) that are needed.

4.1. Coastal Considerations



For long-term coastal studies or for large coastal areas where storm surge studies may take several years, Discovery efforts will be realigned in order to maintain continued stakeholder engagement and to ensure that Discovery efforts occur in closer proximity to the eventual flood risk project start than if the surge studies were started after the Discovery Meeting.

Stakeholder contact must be included before a storm surge study is initiated and continued throughout the storm surge study period (e.g., via quarterly reports or newsletters to affected communities during the storm surge study period); however, full Discovery efforts will be delayed in these cases. For long-term coastal studies, the Discovery Meeting will occur after the initial storm surge study has been completed and preliminary stillwater elevations are available. This information will inform the Discovery Meeting in a much greater and more appropriate manner than if the Discovery Meeting were held before the analysis was completed. The preliminary storm surge study results will be shown on the Discovery Map as a comparison with the effective information. The results will be shared with the affected communities to set expectations for the final project results. This allows a more focused discussion about the areas where risk assessments, mitigation planning technical assistance, communications, outreach assistance, and other flood risk project elements can be planned.

4.2. Tribal Considerations

When Tribal lands are included in a watershed under evaluation, special considerations will apply. Consultation with Tribal Nations must be coordinated with the FEMA Regional Office to ensure that an effort is made during the Discovery process to determine

if the Tribal Nation has the land-use authority necessary to participate in the National Flood Insurance Program (NFIP), among other issues:

The FEMA Regional Office must be consulted as to whether or not Tribal Nations should be included in the overall Discovery efforts and in the Discovery Meeting or if there should be a separate meeting with the Tribe(s). This will depend on established working relationships between the Regional Offices and the Tribes within that Region.

Tribal land boundaries must be acquired during Discovery. Tribal and surrounding territorial boundaries are difficult to determine and Regional Offices must use the best information that is available, with the understanding that some Tribal lands will inadvertently be shown in unincorporated areas of counties or vice versa. Counties and Tribal Nations must be given an opportunity to make any corrections necessary to their territorial boundaries.

Only FEMA Regional Office staff can work directly with Federally-recognized Tribes, unless specific arrangements and coordination have been made to allow mapping partners or other contractors to directly contact a Tribe.

5. Watershed Stakeholder Coordination



The Discovery Meeting will likely be the first in-person discussion between watershed stakeholders, FEMA, and/or the CTP. However, **stakeholder contact prior to the Discovery Meeting must occur** in order to collect flood risk and mitigation data and other community information that will help streamline and facilitate the Discovery Meeting. This up-front coordination may take the form of conference calls, web meetings, or other means of two-way communication.

5.1. State and Other Federal Agency Coordination

Coordination with Federal and state-level partners, such as the U.S. Army Corps of Engineers (USACE), U.S. Environmental Protection Agency (EPA), U.S. Geologic Survey (USGS), NFIP Coordinators, State Hazard Mitigation Officers (SHMOs), state dam safety officials, state transportation departments, National Weather Service (NWS), Natural Resources Conservation Service (NRCS), and others, will occur on a state or regional level and informs project prioritization and sequencing. **These entities are FEMA partners; therefore, the coordination must be continuous and ongoing.**

5.2. Watershed Stakeholders

The types of stakeholders engaged in a flood risk project may vary for different watersheds or regions. Floodplain management stakeholders and Chief Executive Officers (elected officials) that have traditionally been engaged for flood hazard mapping projects will continue to be included in flood risk project engagement. However, **a much wider array of community, county, and regional stakeholders must also be engaged for flood risk projects, including, but not limited to:**

- State or regional groups with a vested interest in water resources (e.g., levee boards, regional partners, conservation districts, watershed/river basin commissions, etc.);
- Geographic Information System (GIS) managers and specialists, community and regional planners, local and state water authorities, levee and dam owners, county land use departments, etc.;
- Community and state emergency management officials such as county offices of emergency management, fire districts, fire departments, fire chiefs, etc.;
- Building officials, local floodplain administrators, county and local engineering departments, highway departments, etc.;
- Members of Tribal Communities, as defined through consultation and coordination with Tribal Officials (see Section 4.2);
- Representatives of any other appropriate Non-Government Organizations (NGOs) (environmental groups, recreational groups, etc.);
- Economic development and commerce representatives; and
- Other key stakeholders as appropriate (e.g., developers, realtors, bankers, etc.).

At least one representative from every community and area of influence must be contacted. Community officials contacted must represent a holistic view of flood risk management and mitigation of flood risk within the community.

5.3. Data Collection

The types of data and information obtained during Discovery should demonstrate a holistic picture of flooding issues, flood risk, and flood mitigation capabilities within a watershed. This information must be both sufficient and firmly understood before suggesting possible elements of flood risk projects including flood hazard mapping, communication and outreach, mitigation planning technical assistance, and flood risk assessments.

Project teams must communicate to watershed stakeholders which data and information can be used for flood risk projects, including the appropriate formats and specifications. The data and information obtained during this process will be used to make the draft Discovery Map (described in 6.1), and will contribute to regulatory products (FIRMs and FISSs) and non-regulatory flood risk products (Flood Risk Reports, Flood Risk Maps, and Flood Risk Databases). Non-regulatory products and datasets are further described in Appendices N and O of these Guidelines.

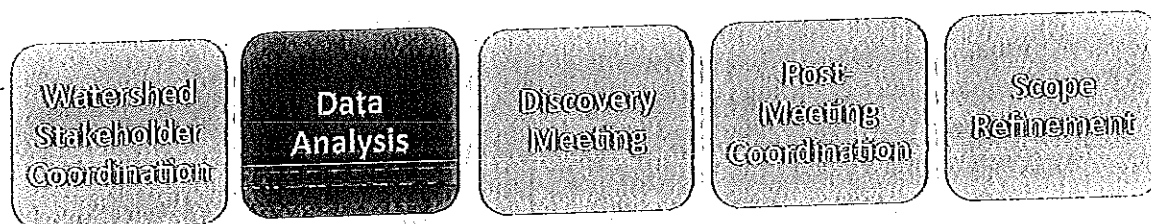
The types of information that must be collected include information about:

- o The community or Tribe's planning capabilities, and the timing and level of any needed technical assistance for mitigation planning;
- o The status of a local or Tribal Hazard Mitigation Plan;
- o Current stormwater activities such as culvert or ditch cleaning;
- o Current outreach programs to residents about stormwater issues;
- o Stormwater Best Management Practices, programs for reducing flows, etc.;
- o Risk and flood study needs;
- o Flooding issues, historical flooding, and declared flood disasters;
- o Information regarding participation in the Community Rating System (CRS);
- o Actionable projects identified in the Hazard Mitigation Plan;
- o Community development plans and comprehensive plans;
- o Prior proactive mitigation actions and planning efforts resulting in reduced losses;
- o Interest in providing elevation data or pursuing partnership opportunities;
- o Information about community priorities in order to focus mitigation discussions through knowledge of what is important to the public;
- o Community-identified mitigation opportunities;
- o Regional or state information about communities and flooding within a watershed, such as information from Community Assistance Visits (CAVs);
- o Community correspondence, and other data that the FEMA Regional Office, State NFIP Coordinator, or SHMO possesses;
- o Information from OFAs, NGOs, and other watershed stakeholders; and
- o Data from the Mapping Information Platform (MIP), the FEMA library, etc.

Project teams must also evaluate local Hazard Mitigation Plans and prior local mitigation projects for insight into the stakeholder's proclivity towards proactive mitigation initiatives, and information on a community's or Tribe's capability and/or desire to implement mitigation actions and to communicate flood risk to citizens. If a data-sharing agreement is required for use of the community or Tribal data, this should be discussed during this time.

Geospatial data that is collected will be used in the Discovery Map. When appropriate, data not provided in geospatial format by communities must be converted to a geospatial format for visualization on the Discovery Map. For example, the status of a community or Tribe's mitigation plan is not geospatial data; however, the area covered by the plan can be shown on a map, and highlighted appropriately to show the plan status. Information that cannot be displayed on a map (such as information about stormwater ordinances) will be compiled into a Discovery Report, along with a listing of all of the data collected, the stakeholders involved, and other information. The draft Discovery Map will be used as a reference and as a discussion starter during the Discovery Meeting. One objective of the Discovery Meeting is to validate the information collected and determine whether a flood risk project is appropriate for the watershed under consideration.

6. Data Analysis



A robust, thoughtful analysis of the data and information obtained during stakeholder coordination is required in order to prepare for and conduct the **Discovery Meeting**. This will facilitate meeting attendees to focus on discussions about the watershed characteristics, flood risk, flood hazard communications, hazard mitigation, and outreach. While additional data and information may become known at the meeting, and there will be some data collection post-meeting as a result of meeting discussions, the **Discovery Meeting** will not be solely a data-collection meeting. There is no mandatory format or guidance for analyzing the data as the data collected will differ based on several factors and is dependent on the watershed.

6.1. Discovery Map

Discovery Map: Sample Watershed

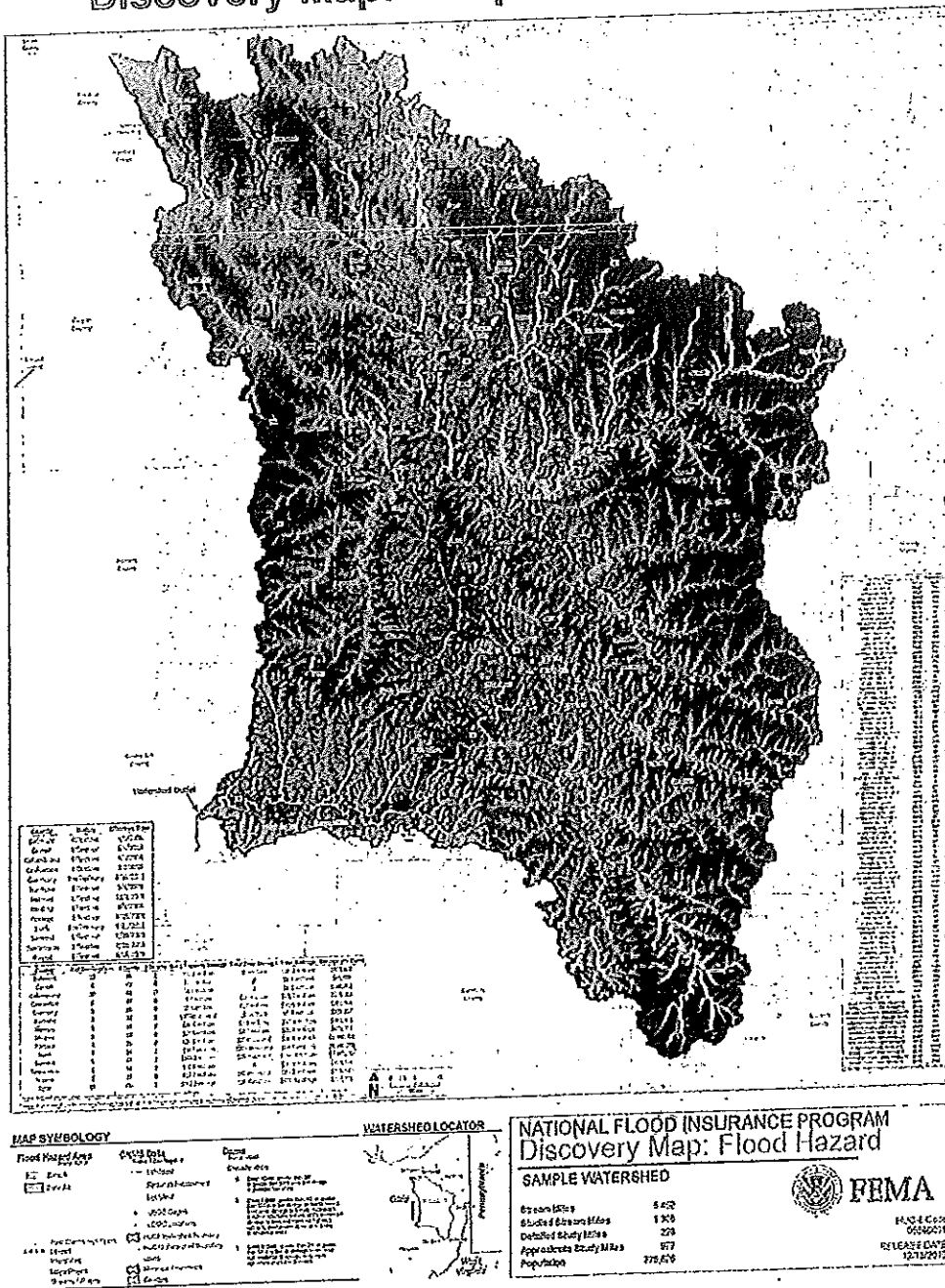


Figure 1. Discovery Map Example showing flood hazard information

A draft Discovery Map will be created using the data and information collected during Discovery, and a final Discovery Map will be created to illustrate the decisions that were made at the Discovery Meeting. The draft Discovery Map will be provided to the communities and Tribes prior to the Discovery Meeting and presented at the Discovery Meeting as a facilitation tool. The data and information may be presented either electronically or as a printed map or set of maps. A list of the minimum required data and information to show on the draft Discovery Map is listed below. Other data and information collected may be shown on the map at Regional or CTP discretion that would benefit the discussion within the watershed. The amount of data and information collected may not reasonably be shown on one map. This would require map layers, which can be manipulated and depicted electronically. Multiple maps at various scales may be developed and brought to the Discovery Meeting to facilitate the meeting discussion and for readability. A final Discovery Map will be provided to the communities and Tribes after the Discovery Meeting.

See Appendix M of these Guidelines for a description of the data capture standards (e.g., description, naming, format, and content) for Discovery.

6.1.1. Required Discovery Map Information

The information required to be shown on the draft Discovery Map includes:

- Base data reflecting watershed boundaries, jurisdictional boundaries, Tribal land boundaries, State lands, Federal lands, major roads, and stream lines;
- Coastal Barrier Resource Areas and Otherwise Protected Areas from U.S. Fish and Wildlife Service (USFWS);
- Mapping needs from Coordinated Needs Management System (CNMS);
- Topographic and bathymetry data status and availability, locations of future topographic and/or bathymetric data acquisition;
- Hazus-based annualized loss estimates from the Average Annualized Loss study;
- The coverage areas of known community or Tribal risk assessment data;
- Status of local, state, and Tribal Hazard Mitigation Plans (status of plan in mitigation cycle);
- Flood control structure location data from national or regional inventories (e.g., the National Inventory of Dams, levee inventories, etc.) and accreditation status information, including information from dam Emergency Action Plans, if available;
- Locations of stream gauges;
- Location of past flood claims and repetitive loss properties;

- o Location of clusters of Letters of Map Change;
- o Known flooding issues not represented on effective FIRMs or listed in CNMS;
- o Areas of ongoing or planned development and areas of high growth or other natural land changes (e.g., wildfires, landslides, or subsidence);
- o Locations of other ongoing studies or projects and studied stream reaches that have been modified since the effective map and require an updated study (e.g., highway improvements);
- o For coastal areas, the locations of wave and tide gauges;
- o For coastal areas, the locations of wind stations;
- o For coastal areas, the proposed inland limit of the Primary Frontal Dune, if present;
- o For coastal areas, the location of any beach nourishment or dune restoration projects;
- o For coastal areas, a comparison of preliminary stillwater elevations with effective stillwater elevations;
- o Available effective study data;
- o Available orthophotography; and
- o Proposed discussion areas, problem areas, areas of proposed mitigation projects, and other areas of interest to discuss based on regional knowledge and analysis of the data collected during Discovery.

6.1.2. Other Data

Information that may be shown on the draft Discovery Map at Regional or CTP discretion may include, but is not limited to:

- o Land use and soil information (such as information from the Urban Change Land Use Map, existing or future land use maps, zoning maps, or other sources);
- o Reference points to locate areas with flooding issues;
- o Hydraulic structures such as bridges or culverts, with inspection status, if available;
- o Coastal structures, including flood protection structures (e.g., levees), shoreline structures (e.g., jetties, groins, seawalls, etc.), man-made embankments (e.g., elevated roads, railroads, etc.), surge conveyance pathways, and shoreline change data;
- o Local structure and topographic data from the existing hazard mitigation plans, if applicable. The data that may be available for use in risk assessment products and enhanced Hazus analysis include GIS-formatted building stock/inventory information,

- tax assessor records, high-quality terrain data, local building footprint or parcel data, essential facility data, number of stories, usage, assessed value, etc.;
- o Inundation areas of historic major flood events and declared disasters and high water marks;
- o Clusters or locations of Individual Assistance/Public Assistance grants and locations of grant projects completed, planned, or underway; locations of projects and structures completed or planned for FEMA Hazard Mitigation Assistance (HMA) grant programs or mitigation funds from other agencies or entities, such as the Small Business Administration;
- o Whether the community or Tribe has received, is currently using, or intends to apply for Federal grants to achieve mitigation planning or mitigation projects, including whether applications for mitigation planning or project grants are under review. If using Federal funds, whether the community or Tribe hires a contractor to assist with the development of mitigation plans or whether they need FEMA or CTP assistance;
- o Whether the previously-approved hazard mitigation plan indicated any data deficiencies for flood hazards that could be addressed through a flood study;
- o Information from FloodSmart on market penetration;
- o The locations and outcomes of recent CAVs or Community Assistance Contacts, especially noted violations;
- o CRS class information;
- o Information from OFAs (such as USFWS, National Oceanic and Atmospheric Administration, USGS, NRCS, EPA, USACE, U.S. Forest Service, Bureau of Land Management, Federal Highway Administration, military bases, etc.);
- o Information from state agencies (such as Departments of Transportation or Natural Resources, etc.), information obtained from non-profit organizations (including grass-roots watershed groups, Association of State Floodplain Managers, American Water Resources Association, American Society of Civil Engineers, etc.), universities, etc.;
- o Current community plans, ordinances, or programs to alleviate flooding or manage stormwater;
- o Other known hazards with geographical boundaries (i.e., earthquake faults, landslide hazard areas, storm surge inundation zones, wildfire hazard areas, etc.), in order to review hazard risk assessments and mitigation strategies that have already been completed within the watershed, slosh zones, wildland-urban interface areas, etc.;
- o Whether there is an active disaster in the watershed;
- o Campgrounds/ recreational areas, emergency access routes, etc.; and
- o Any other data that may be appropriate.

6.2. Discovery Report

A Discovery Report must be completed and will include a section listing the data and information collected including what data and information were received, when they were received, data sources, and an analysis of the data and information. A draft Discovery Report will be shared with communities and Tribes prior to/in preparation for the Discovery Meeting. The final version of the Discovery Report will include meeting documents such as meeting notes, attendee list, etc. and will be provided to communities and Tribes after the Discovery Meeting. A template Discovery Report can be obtained from the FEMA Regional Offices and may be refined for use by project teams and Regional requirements.

7. Discovery Meeting



The Discovery Meeting is likely the first face-to-face meeting that the project team will have with watershed stakeholders. **All watershed stakeholders are invited to the Discovery Meeting.** For watersheds with many communities or encompassing a large area, it may be necessary to hold multiple Discovery Meetings. The data and information collected during Discovery will be analyzed and summarized prior to the Discovery Meeting in the draft Discovery Report. The draft Discovery Map and Report will be used to aid discussions of the data and provide meeting attendees an overview of flood risk in the watershed.

7.1. Meeting Objectives

The objectives of the Discovery Meeting are to:

- Introduce the project team to the communities, Tribes, and other officials with areas of influence within the watershed.
- Review what the available data suggest about a watershed's flood risk, confirm whether the information is accurate, and get watershed stakeholders' perspectives about their flood risk. This will help determine whether a flood risk project is necessary and appropriate for the watershed.
- Bring community and Tribal officials and other stakeholders in the watershed together to promote a better understanding of flood risk in the watershed so that informed risk management decisions can be made and so that a conversation on a watershed vision can be initiated with communities.
- Introduce concepts/tools/techniques related to hazard identification, flood risk assessment, and mitigation planning.

- Emphasize the importance of the community's or Tribe's responsibility in keeping the public informed of flood risks and the relevance of those risks, identifying the public as a stakeholder in the process.
- Discuss and emphasize the importance of having a Hazard Mitigation Plan; how to prepare, maintain, and implement mitigation plans; and the importance of having an actionable mitigation strategy.
- Discuss the tools FEMA can offer to help communities and Tribes communicate flood risk to the public, support communities and Tribes in their outreach efforts, and discuss the best way to communicate with community and Tribal officials, citizens, and other stakeholders.
- Discuss possible flood risk project scope based on the draft Discovery Map, draft Discovery Report, and data and information collected.

7.2. Meeting Invitees

Discovery Meeting invitees include, but are not limited to:

- FEMA and contractor staff, including representation or expertise from mapping, floodplain management, and planning;
- Regional Tribal Liaison, if Tribal Nations are impacted;
- State NFIP Coordinator, SHMO, state contractors, and other appropriately designated representatives;
- All stakeholders listed in 5.2; and
- Other stakeholders, as appropriate.

8. Finalizing Discovery

For the watershed stakeholders, the Discovery process is complete once the final, post-Discovery Meeting version of the Discovery Map and Discovery Report have been received. Working with communities and Tribes to refine the scope for a flood risk project and formalizing that scope into a project charter may be completed some time after the Discovery meeting and the final Discovery Map and Discovery Report are delivered.

9. Project Determination

If it is determined after the Discovery Meeting that a flood risk project is not appropriate, the final Discovery Report will be updated to reflect that decision. If a flood risk project is appropriate for the watershed and the project involves a flood engineering analysis, additional coordination is required with impacted communities to discuss anticipated changes to the flood risk identification depicted on the FIRM and in the FIS. The impact of the changes and the expectations for contending with those impacts will be discussed prior to the initiation of any flood risk project.

At the time the decision is made whether to move forward with a flood risk project in the watershed, the following actions must also take place:

- Update or populate CNMS.
- Populate or update National Digital Elevation Program information.
- Populate or update National Digital Orthophoto Programs information.
- Update and upload data (final Discovery Map, Discovery Report, etc.) to the MIP.

10. Post-Discovery Meeting Coordination



If it has been determined that a flood risk project including a flood hazard mapping element is appropriate for the watershed, FEMA will review pertinent data and information in coordination with communities to determine the expectations of the results. For example, if the information collected during Discovery and discussed at the Discovery Meeting reveals that significant development has occurred since the original flood study that has increased discharges, then the discussion should elaborate on areas where the flood elevations are likely to increase if a new study was initiated. **The post-Discovery meeting coordination must occur prior to initiating a flood risk project.** The discussions must include an explanation of the expected impacts of potential study results (i.e. increase/decrease in flood hazard area delineations, flood elevations, etc.). Those expectations will also be documented in the project charter. The project scope and project charter should be developed concurrently through coordination with communities and Tribes.

In coastal areas where an updated surge model is available, data from the model should be used to foster discussions with communities as described in Section 4.1. As described in Section 4.1, the surge study occurs in advance of the Discovery effort and this information is reviewed and discussed at the Discovery Meeting.

11. Scope Refinement



After the discussions on study expectations, a **scope of work must be developed in coordination with communities, Tribes, and state partners.**

In coordination with watershed stakeholders, the scope of the flood risk project will be refined, including a decision about the regulatory and/or non-regulatory products to be provided, the mitigation planning technical assistance that may be offered, and the communications and outreach assistance to be provided. This information will be documented in a project charter (see Section 12.1) to be developed in coordination with watershed stakeholders. Charters should be signed by the communities.

12. Final Outputs

The final outputs of Discovery in a watershed that will receive a flood risk project are a project charter and a project scope.

12.1. Project Charter and Project Scope

If a flood risk project is appropriate for the watershed, a project charter will be used to document the regulatory and non-regulatory products that the community will receive, specify the mitigation technical assistance to be provided, identify roles and responsibilities for all parties involved, list the data to be provided with associated deadlines and expectations of the study results, and provide a projected timeline and an explanation of what is expected from FEMA or CTPs and communities or Tribes at each major milestone.

A charter provides documentation of FEMA's commitment to the watershed and the commitments of the communities and Tribes at each major milestone of a flood risk project. If communities or Tribes express interest in natural hazard data in addition to flood data, appropriate sources of such data will be identified. In addition, if funding is needed to generate such data, leverage opportunities should also be identified.

If a flood risk project will include flood hazard mapping, the charter must document the expected changes to the flood hazard boundaries and flood elevations, and the impact these changes will have on the communities or Tribes. This explanation can support the need for a community outreach plan early in the process to ensure that the final product delivered meets the community expectations.

The project charter must be created in coordination with communities and Tribes in the watershed (sent for their review, collectively revised, finalized, and signed). The project charter may have to be drafted after the scope of work has been completed and the project scope has been decided.

The project scope will be finalized in conjunction with the project charter.