



# City of Sunnyvale

## Notice and Agenda City Council

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Tuesday, June 30, 2020

7:00 PM

Telepresence Meeting: City Web Stream |  
Comcast Channel 15

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### Regular Meeting - 7 PM

#### SPECIAL TELECONFERENCE NOTICE

*Because of the COVID-19 emergency and the “shelter in place” orders issued by Santa Clara County and the State of California, the meeting of the Sunnyvale City Council on June 30, 2020, will take place by teleconference, as allowed by Governor Gavin Newsom’s Executive Order N-29-20.*

- *Watch the City Council meeting on television over Comcast Channel 15, at [www.Sunnyvale.ca.gov/YouTubeMeetings](http://www.Sunnyvale.ca.gov/YouTubeMeetings) or <https://Sunnyvaleca.Legistar.com/Calendar.aspx>*
- *Submit written comments to the City Council up to 4 hours prior to the meeting to [council@sunnyvale.ca.gov](mailto:council@sunnyvale.ca.gov) or by mail to City Clerk, 603 All America Way, Sunnyvale, CA 94086.*
- *Teleconference participation: You may provide audio public comment by connecting to the teleconference meeting online or by telephone. Use the Raise Hand feature to request to speak (\*9 on a telephone):*

*Meeting online link: <https://sunnyvale-ca-gov.zoom.us/j/96111580540>*

*Meeting call-in telephone number: 833-548-0276 | Meeting ID: 961 1158 0540*

*Pursuant to the Americans with Disabilities Act (ADA) and Executive Order N-29-20, if you need special assistance to provide public comment, contact the City at least 2 hours prior to the meeting in order for the City to make reasonable alternative arrangements for you to communicate your comments. For other special assistance, please contact the City at least 48 hours prior to the meeting to enable the City to make reasonable arrangements to ensure accessibility to this meeting. The Office of the City Clerk may be reached at (408) 730-7483 or [cityclerk@sunnyvale.ca.gov](mailto:cityclerk@sunnyvale.ca.gov) (28 CFR 35.160 (b) (1)).*

**7 P.M. COUNCIL MEETING**

*Pursuant to Council Policy, City Council will not begin consideration of any agenda item after 11:30 p.m. without a vote. Any item on the agenda which must be continued due to the late hour shall be continued to a date certain. Information provided herein is subject to change from date of printing of the agenda to the date of the meeting.*

**CALL TO ORDER**

*Call to Order via teleconference.*

**ROLL CALL****SPECIAL ORDER OF THE DAY**

[20-0387](#)

SPECIAL ORDER OF THE DAY - Parks and Recreation  
Month

**ORAL COMMUNICATIONS**

*This category provides an opportunity for members of the public to address the City Council on items not listed on the agenda and is limited to 15 minutes (may be extended or continued after the public hearings/general business section of the agenda at the discretion of the Mayor) with a maximum of up to three minutes per speaker. Please note the Brown Act (Open Meeting Law) does not allow the Council to take action on an item not listed on the agenda. If you wish to address the Council, please refer to the notice at the beginning of this agenda. Individuals are limited to one appearance during this section.*

**CONSENT CALENDAR**

*All matters listed on the consent calendar are considered to be routine and will be acted upon by one motion. There will be no separate discussion of these items. If a member of the public would like a consent calendar item pulled and discussed separately, please refer to the notice at the beginning of this agenda.*

**1.A**    [20-0034](#)            Approve City Council Meeting Minutes of June 23, 2020

**Recommendation:** Approve the City Council Meeting Minutes of June 23, 2020 as submitted.

**1.B**    [20-0461](#)            Receive and File the City of Sunnyvale Investment Report - 1st  
Quarter 2020

**Recommendation:** Receive and file the City of Sunnyvale - First Quarter 2020 Investment Report.

- 1.C    [20-0513](#)    Modify a Blanket Purchase Order with Dell Marketing L.P. for Computer Hardware (F20-162)

**Recommendation:** Take the following actions:

- Authorize the City Manager to amend the existing blanket purchase order with Dell Marketing L.P. for computer hardware, in substantially the same format as Attachment 1 to the report, increasing the not-to-exceed amount by \$713,000 for a new not-to-exceed total amount of \$1,163,000; and
- Authorize the City Manager to amend not-to-exceed amounts, both subject to available budgeted funding, provided services and pricing remain acceptable.

- 1.D    [20-0507](#)    Award a Three (3) Year Contract to Econolite Systems, Inc. for Traffic Signal Preventative Maintenance and Repair Services (F19-227)

**Recommendation:** Take the following actions:

- Approve a three-year contract in substantially the same form as Attachment 1 to the report in an amount not-to-exceed \$4,363,707 to Econolite Systems, Inc.;
- Authorize the City Manager to execute the contract when all necessary conditions have been met;
- Authorize the City Manager to renew the contract for one additional two-year period within budgeted amounts and provided services and pricing remain acceptable to the City; and
- Authorize to the City Manager to modify the not-to-exceed contract amount within budgeted amounts provided services and pricing remain acceptable to the City.

- 1.E    [20-0637](#)    Award a Three-year Contract to Mountain View Community Television for Management of the Sunnyvale Government Access and Public Access Channels (F20-157)

**Recommendation:** Take the following actions:

- Award a three-year contract, in substantially the same form as Attachment 1 to the Report, in an amount not-to-exceed \$210,000 to Mountain View Community Television; and
- Authorize the City Manager to renew the contract for up to two additional years, within budget amounts and provided pricing and services remain acceptable.

**1.F**     [20-0616](#)

Authorize the Issuance of Two Blanket Purchase Orders to Univar Solutions USA for Purchase of Chemicals at the Water Pollution Control Plant (F20-176 & F20-177)

**Recommendation:** Take the following actions:

- Authorize the issuance of a one-year blanket purchase order to Univar Solutions USA, Inc., in substantially the same form as Attachment 1 to the report, for the purchase of Sodium Bisulfite in the amount of \$160,000; and
- Authorize the issuance of a one-year blanket purchase order to Univar Solutions USA, Inc., in substantially the same form as Attachment 2 to the report, for the purchase of Sodium Hypochlorite in the amount of \$180,000; and
- Authorize the City Manager to amend the blanket purchase orders during the one year period subject to available budget and if pricing and services remain acceptable to the City.

**1.G**     [20-0529](#)

Authorize the Issuance of a Blanket Purchase Order to Verizon Wireless for Cellular Wireless Service and Related Equipment, and Modify a Blanket Purchase Order with Verizon Wireless for Cellular Wireless Service and Related Equipment (F20-169)

**Recommendation:** Take the following actions:

- Authorize the issuance of a three-year blanket purchase order to Verizon Wireless, in substantially the same format as Attachment 1 to the report, in a not-to-exceed amount of \$720,000; and
- Authorize the City Manager to amend an existing blanket purchase order with Verizon Wireless, in substantially the same format as Attachment 2 to the report, increasing the not-to-exceed amount by \$80,000 for a new not-to-exceed total amount of \$179,933.



- 1.H [20-0189](#) Award a Contract to San Jose Conservation Corps for Glass Collection Services (F20-090)

**Recommendation:** Take the following actions:

- Award a contract, in substantially the same form as Attachment 1 to the report, in the amount of \$105,000 to San Jose Conservation Corps for glass collection services;
- Authorize the City Manager to execute the contract when all necessary conditions have been met; and
- Authorize the City Manager to amend the contract to increase the contract amount and renew the contract for two additional one-year periods, subject to available budget and provided pricing and services remain acceptable.

- 1.I [20-0632](#) Adopt a Resolution Adding Two New Classifications to the Classification Plan of the Civil Service and Changing Six Classification Titles in the Information Technology Department; and Amending the City's Salary Resolution to Make Corresponding Updates to the Schedule of Pay.

**Recommendation:** Adopt a Resolution Amending Resolution Nos. 143-77 and 190-05, Adding Two New Classifications to the Classification Plan of the Civil Service and Changing Six Classification Titles in the Information Technology Department; and Amending the City's Salary Resolution to Make Corresponding Updates to the Schedule of Pay effective July 12, 2020

## **PUBLIC HEARINGS/GENERAL BUSINESS**

*If you wish to speak to a public hearing/general business item, please refer to notice at the beginning of this agenda. Each speaker is limited to a maximum of three minutes. For land-use items, applicants are limited to a maximum of 10 minutes for opening comments and 5 minutes for closing comments.*

- 2 [20-0640](#) Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis, and Find that the Action is Exempt from CEQA

**Recommendation:** Alternative 1: Adopt a resolution establishing Vehicle Miles Traveled (VMT) as the threshold of significance for analysis under the California Environmental Quality Act (CEQA), adopt a council policy for Transportation Impact Analysis, and find that the action is exempt from CEQA pursuant to CEQA Guidelines Sections 15378 (b)(5) and 15061(b)(3).

- 3      [20-0633](#)      Approve a Temporary Eastbound Tasman Drive Lane Closure During COVID-19 to Create a Temporary Pathway, and Approve Budget Modification No. 30 in the amount of \$30,000 and Finding of California Environmental Quality Act (CEQA) Categorical Exemption

**Recommendation:** During the COVID-19 pandemic, with the reduction in traffic on Tasman Drive, this pathway would provide additional space for the public to perform outdoor activities without impacting traffic congestion. As the funding source is the Council set aside, staff is not providing a specific recommendation related to temporarily close one eastbound travel lane on Tasman Drive and to install delineators to create a temporary pathway, primarily for pedestrians.

- 4      [20-0046](#)      Receive the Results of Public Outreach in Connection with the Study Issue to Evaluate Options for Revisions to the Sunnyvale Business License Tax (FIN 19-01); Discussion and Provide Direction Regarding a Potential Ballot Measure for the November 3, 2020 Election to Increase the Business License Tax by Removing the Employee and Rental Unit Caps on the Business License Tax

**Recommendation:** Alternative 1: Direct staff to Return with a Resolution Calling an Election to Place a Ballot Measure for the November 3, 2020 to Increase the Business License Tax by Removing the Employee and Rental Unit Caps on the Business License Tax.

- 5      [20-0638](#)      Adopt a Resolution Amending the City's Salary Resolution and the Schedule of Pay to Increase the Salary Ranges for Unclassified Department Director Positions (Pay Plan Category F) Effective July 12, 2020

**Recommendation:** Alternative 1: Adopt a Resolution Amending the City's Salary Resolution and Schedule of Pay to Increase the Salary Ranges for Unclassified Department Director Positions (Pay Plan Category F) Effective July 12, 2020

**COUNCILMEMBERS REPORTS ON ACTIVITIES FROM INTERGOVERNMENTAL COMMITTEE ASSIGNMENTS**

**NON-AGENDA ITEMS & COMMENTS**

-Council

-City Manager

**INFORMATION ONLY REPORTS/ITEMS**

Visit <http://Sunnyvale.ca.gov/TCMAC> to view the Tentative Council Meeting Agenda Calendar (TCMAC) online. The TCMAC is updated each Thursday afternoon.

<a href="#">20-0456</a>	Tentative Council Meeting Agenda Calendar
<a href="#">20-0556</a>	Board/Commission Meeting Minutes
<a href="#">20-0600</a>	Information/Action Items

**ADJOURNMENT**

**NOTICE TO THE PUBLIC**

*The agenda reports to council (RTCs) may be viewed on the City's website at [sunnyvale.ca.gov](http://sunnyvale.ca.gov) after 7 p.m. on Thursdays or in the Office of the City Clerk located at 603 All America Way, prior to Tuesday City Council meetings. Any agenda related writings or documents distributed to members of the City of Sunnyvale City Council regarding any open session item on this agenda will be made available for public inspection in the Office of the City Clerk located at 603 All America Way, during normal business hours and in the Council Chamber on the evening of the Council Meeting, pursuant to Government Code §54957.5. Contact the Office of the City Clerk at (408) 730-7483 to access City Hall to view these materials and for specific questions regarding the agenda.*

**PLEASE TAKE NOTICE** that if you file a lawsuit challenging any final decision on

*any public hearing item listed in this agenda, the issues in the lawsuit may be limited to the issues which were raised at the public hearing or presented in writing to the Office of the City Clerk at or before the public hearing. PLEASE TAKE FURTHER NOTICE that Code of Civil Procedure section 1094.6 imposes a 90-day deadline for the filing of any lawsuit challenging final action on an agenda item which is subject to Code of Civil Procedure 1094.5.*

**Planning a presentation for a City Council meeting?**

*To help you prepare and deliver your public comments, please review the "Making Public Comments During City Council or Planning Commission Meetings" available at <http://Sunnyvale.ca.gov/PublicComments>*

**Planning to provide materials to Council?**

*If you wish to provide the City Council with copies of your presentation materials, please provide 12 copies of the materials to the Office of the City Clerk. The City Clerk will distribute your items to the Council following the meeting.*

**Upcoming Meetings**

*Visit <https://sunnyvaleca.legistar.com> for upcoming Council, board and commission meeting information.*



# City of Sunnyvale

## Agenda Item

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**20-0387**

**Agenda Date:** 6/30/2020

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SPECIAL ORDER OF THE DAY - Parks and Recreation Month



# City of Sunnyvale

## Agenda Item

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**20-0034**

**Agenda Date:** 6/30/2020

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**SUBJECT**

Approve City Council Meeting Minutes of June 23, 2020

**RECOMMENDATION**

Approve the City Council Meeting Minutes of June 23, 2020 as submitted.



# City of Sunnyvale

## Meeting Minutes - Draft

### City Council

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Tuesday, June 23, 2020

7:00 PM

Telepresence Meeting: City Web Stream |  
Comcast Channel 15

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**Regular Meeting - 7 PM | Special Joint Meeting of the City Council and the Sunnyvale  
Financing Authority - 7 PM (or as soon thereafter as the matter may be heard)**

#### **7 P.M. COUNCIL MEETING**

#### **CALL TO ORDER**

Pursuant to Section 3 of Executive Order N-29-20, issued by Governor Newsom on March 17, 2020, the meeting was conducted telephonically.

Mayor Klein called the meeting to order at 7:01 p.m. via teleconference.

#### **ROLL CALL**

**Present:** 7 - Mayor Larry Klein  
Vice Mayor Nancy Smith  
Councilmember Gustav Larsson  
Councilmember Glenn Hendricks  
Councilmember Russ Melton  
Councilmember Michael S. Goldman  
Councilmember Mason Fong

Mayor Klein, Vice Mayor Smith and all Councilmembers attended via teleconference.

#### **ORAL COMMUNICATIONS**

Tingyee Chang voiced support for amending the budget to defund and dismantle the Department of Public Safety (DPS). She suggested reducing the Department's budget by 75 percent, suspending weapon purchases, not hiring new personnel and removing public safety officers from school campuses.

Frank Tavares shared support for amending the budget to defund DPS and



investing in social workers that are specialized in deescalating situations.

Leslie communicated support for defunding DPS.

Julie Wasiuk voiced support for redirecting funds from DPS and investing in health initiatives for the community such as mental health services.

Jessica Salans shared support for defunding DPS and investing in services for the community such as mental health care, housing and education needs.

Max Joyner communicated support for defunding DPS.

### **CONSENT CALENDAR**

MOTION: Vice Mayor Smith moved and Councilmember Melton seconded the motion to approve agenda items 1.A through 1.I.

The motion carried with the following vote:

**Yes:** 7 - Mayor Klein  
Vice Mayor Smith  
Councilmember Larsson  
Councilmember Hendricks  
Councilmember Melton  
Councilmember Goldman  
Councilmember Fong

**No:** 0

**1.A**     [20-0539](#)     Approve City Council Meeting Minutes of June 9, 2020

Approve the City Council Meeting Minutes of June 9, 2020 as submitted.

**1.B**     [20-0397](#)     Approve the List(s) of Claims and Bills Approved for Payment  
by the City Manager

Approve the list(s) of claims and bills.

**1.C**     [20-0449](#)     Authorize the Issuance of a Blanket Purchase Order to  
Ferguson Enterprises, LLC for Meter Boxes, Lids and Vaults  
(F20-101)

Take the following actions:

- Authorize the issuance of a blanket purchase order in a not-to exceed amount of

\$175,000, in substantially the same form as Attachment 2 to the report, to Ferguson Enterprises, LLC for meter boxes, lids and vaults; and

- Authorize the City Manager to amend and renew the purchase order for two additional one-year periods, subject to available budget, if pricing and service remain acceptable to the City.

**1.D**      [20-0495](#)      Modify a Blanket Purchase Order with ImageX for Printing Services (F20-152)

Authorize the City Manager to amend the existing blanket purchase order with ImageX for printing services, in substantially the same format as Attachment 1 to the report, increasing the not-to-exceed amount by \$20,134.67 for a new total not-to-exceed amount of \$118,134.67.

**1.E**      [20-0555](#)      Amend an Existing Contract with West Valley Staffing Services for Temporary Personnel Services (F20-170)

Take the following actions:

- Authorize the City Manager to execute the second amendment to an existing contract with West Valley Staffing Services of Sunnyvale, for temporary personnel services, increasing the not-to-exceed amount by \$70,045.53 for a new not-to-exceed total amount of \$169,995.53; and

- Authorize the City Manager to further amend the contract to extend the term for two additional years, revise the scope of work and/or increase contract amounts, subject to available budget, provided pricing and services remain acceptable.

**1.F**      [20-0553](#)      Adopt a Resolution Amending the City's Salary Resolution and Schedule of Pay to Increase Salaries for Pay Plan Category C (Public Safety Officers' Association) and Pay Plan Category M (Public Safety Managers' Association) Effective July 12, 2020

Adopt a Resolution amending Resolution No. 190-05, the City's Salary Resolution, to increase salaries for Pay Plan Category C (Classified Public Safety Officers and Lieutenants) and Pay Plan Category M (Public Safety Captains and Public Safety Deputy Chiefs) effective July 12, 2020.

**1.G**      [20-0602](#)      Adopt a Resolution Calling a General Municipal Election to be Held in the City of Sunnyvale on Tuesday, November 3, 2020 for the Election of Councilmembers from Districts 2, 4 and 6 and for the Office of the Mayor; Requesting Consolidation With the Statewide General Election and Election Services From

the Santa Clara County Board of Supervisors; Providing  
Regulations for Candidates' Statements

Adopt a Resolution calling a General Municipal Election to be held in the City of Sunnyvale on Tuesday, November 3, 2020 for the Election of Councilmembers to Districts 2, 4, 6 and the Office of Mayor; requesting consolidation with the Statewide General Election and Election Services from the Santa Clara County Board of Supervisors; and providing regulations for candidates' statements.

- 1.H**      [20-0620](#)      Adopt a Resolution Confirming a Local Emergency Order of the Director of Emergency Services Regarding Allowing Temporary Outdoor Dining Areas on Private Property in the City of Sunnyvale in Response to Public Health Concerns Because of the Novel Coronavirus (COVID-19)

Adopt a Resolution ratifying the City Manager/Director of Emergency Services' Order regarding temporary outdoor dining areas on private property in the City of Sunnyvale.

- 1.I**      [20-0619](#)      Adopt Uncodified Ordinance No. 3160-20 to amend Title 19 of the Sunnyvale Municipal Code to Authorize One-Year Extensions of Land Use Entitlements and Legal Non-Conforming Uses Due to the COVID-19 Emergency

Adopt Ordinance No. 3160 20.

**ADJOURNMENT TO SPECIAL JOINT MEETING OF THE CITY COUNCIL AND  
SUNNYVALE FINANCING AUTHORITY**

**CALL TO ORDER**

Pursuant to Section 3 of Executive Order N-29-20, issued by Governor Newsom on March 17, 2020, the meeting was conducted telephonically.

Authority Chair / Mayor Klein called the Sunnyvale Financing Authority meeting to order at 7:21 p.m. via teleconference.

**ROLL CALL**

Present: 7 - Authority Chair / Mayor Larry Klein  
Authority Vice Chair / Vice Mayor Nancy Smith  
Authority Member / Councilmember Gustav Larsson  
Authority Member / Councilmember Glenn Hendricks  
Authority Member / Councilmember Russ Melton

Authority Member / Councilmember Michael S. Goldman  
Authority Member / Councilmember Mason Fong

Authority Chair / Mayor Klein, Authority Vice Chair / Vice Mayor Smith and all Authority Members / Councilmembers attended via teleconference.

**PUBLIC COMMENT (ON SPECIAL MEETING ITEMS ONLY)**

Public Comment opened at 7:22 p.m.

No speakers.

Public Comment closed at 7:22 p.m.

**CONSENT CALENDAR**

MOTION: Authority Vice Chair Smith moved and Authority Member Melton seconded the motion to approve agenda item 2.A.

The motion carried with the following vote:

Yes: 7 - Authority Chair Klein  
Authority Vice Chair Smith  
Authority Member Larsson  
Authority Member Hendricks  
Authority Member Melton  
Authority Member Goldman  
Authority Member Fong

No: 0

**2.A**      [20-0379](#)      Approve the Joint City Council and Sunnyvale Financing  
Authority Meeting Minutes of June 9, 2020

**PUBLIC HEARINGS/GENERAL BUSINESS**

**3**            [20-0351](#)      City Council Adoption of the FY 2020/21 Budget, Fee  
Schedule and Appropriations Limit, Approve Budget  
Modification No. 29 to Appropriate Community Development  
Block Grant CARES Funding, and Sunnyvale Financing  
Authority Adoption of the FY 2020/21 Budget

Finance Director Tim Kirby provided the staff report.

Public Hearing opened at 7:28 p.m.

Benjamin Hertzberg voiced support for shifting funds away from the Department of Public Safety (DPS). He inquired regarding the recommended budget including funds for DPS recruitment and selection; he believes that the Department announced a hiring freeze for the year.

Frank Tavares communicated support for amending the budget to defund DPS.

Max Joyner voiced support for defunding DPS.

Jessica Salans shared support for defunding DPS. She spoke about upcoming vacancies on the City Council.

Megan King communicated support for defunding and dismantling DPS. She suggested investing in community resources such as housing, health care and education.

Martin Pyne voiced support for Council to agendaize a discussion of a budget modification or study issue addressing DPS funding.

Public Hearing closed at 7:43 p.m.

City Council

MOTION: Councilmember Hendricks moved and Councilmember Melton seconded the motion to approve alternatives 1 and 4:

1. adopt the resolutions presented as Attachment 1 to the report (including Exhibit A), Attachment 2 (including Exhibits A through D), and Attachment 3 (including Exhibit A) to the report that provide for the adoption of the Fiscal Year (FY) 2020/21 Fee Schedule, Budget and Appropriations Limit; and
4. approve Budget Modification No. 29.

The motion carried with the following vote:

**Yes: 7 -** Mayor Klein  
Vice Mayor Smith  
Councilmember Larsson  
Councilmember Hendricks  
Councilmember Melton  
Councilmember Goldman  
Councilmember Fong

**No: 0**

Sunnyvale Financing Authority

MOTION: Authority Member Melton moved and Authority Member Hendricks seconded the motion to approve alternative 2: adopt the FY 2020/21 Budget Resolution (Sunnyvale Financing Authority) presented as Attachment 4 to the report.

The motion carried with the following vote:

**Yes: 7 -** Authority Chair Klein  
Authority Vice Chair Smith  
Authority Member Larsson  
Authority Member Hendricks  
Authority Member Melton  
Authority Member Goldman  
Authority Member Fong

**No: 0**

#### **ADJOURN SPECIAL MEETING**

Authority Chair / Mayor Klein adjourned the Sunnyvale Financing Authority meeting at 8:31 p.m.

#### **RECONVENE TO CITY COUNCIL MEETING**

Mayor Klein reconvened the City Council Meeting at 8:31 p.m.

- 4**      [20-0503](#)      Proposed Utility Rate Increases for FY 2020/21 Rates for Water, Wastewater, and Solid Waste Utilities for Services Provided to Customers Within and Outside City Boundaries; Finding of CEQA Exemption Pursuant to Public Resource

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Code Section 21080(b)(8) and CEQA Guidelines Section  
15273

Finance Director Tim Kirby provided the staff report.

Public Hearing opened at 8:38 p.m.

No speakers.

Public Hearing closed at 8:38 p.m.

MOTION: Vice Mayor Smith moved and Councilmember Melton seconded the motion to approve alternative 1 and alternative 2 as amended:

1. find that the project is exempt from the California Environmental Quality Act (CEQA) pursuant to Public Resources Code Section 21080(b)(8) and CEQA Guidelines Section 15273 because it approves rates and charges for the purposes of (1) meeting operating expenses, including employee wage rates and fringe benefits; (2) purchasing or leasing supplies, equipment or materials; (3) meeting financial reserve needs and requirements; and (4) obtaining funds for capital projects necessary to maintain current service levels; and
2. adopt a resolution making no change to water or solid waste rates and increasing wastewater rates for Fiscal Year (FY) 2020/21.

The motion carried with the following vote:

**Yes:** 7 - Mayor Klein  
Vice Mayor Smith  
Councilmember Larsson  
Councilmember Hendricks  
Councilmember Melton  
Councilmember Goldman  
Councilmember Fong

**No:** 0

**COUNCILMEMBERS REPORTS ON ACTIVITIES FROM INTERGOVERNMENTAL  
COMMITTEE ASSIGNMENTS**

Councilmember Fong shared his attendance at a Valley Transportation Authority State Route (SR) 85 Corridor Policy Advisory Board meeting and details of the Board's support of a median transit lane dedicated to public transit or shuttle services.

Vice Mayor Smith shared her attendance at a League of California Cities Housing, Community and Economic Development Policy Committee meeting and details of



the Committee's support of various legislation.

Mayor Klein shared his attendance at an Association of Bay Area Governments General Assembly meeting and that the recommended budget for Fiscal Year 2020/21 was approved. He shared his attendance at a Cities Association of Santa Clara County-Executive Board meeting and details of COVID-19 testing planned in Sunnyvale.

### **NON-AGENDA ITEMS & COMMENTS**

#### **-Council**

Councilmember Fong inquired on the number of Listening Sessions scheduled and requested an overview of the process related to Council.

City Manager Kent Steffens announced that Thursday's Listening Session is for the general public and that staff is working on identifying a date for a second session specifically for students. Mr. Steffens indicated that a process has yet to be determined and will depend on the information shared at the sessions.

Councilmember Fong inquired on Councilmembers' level of participation in the Listening Session.

Mr. Steffens announced that a meeting notice for the Listening Session was published to allow for a quorum of Council. The Listening Session is not designed to allow for discussion among Councilmembers and City staff.

Councilmember Goldman inquired on the status of forming an advisory committee related to redistricting and census.

Mr. Steffens announced that further discussions related to formation of an advisory committee will take place in the Fall with appointments to the committee being done in early 2021.

Mayor Klein recognized Councilmember Hendrick's for his work with the Valley Transportation Agency helping bring Bay Area Rapid Transit (BART) services to Santa Clara County.

#### **-City Manager**

City Manager Kent Steffens announced details of the COVID-19 testing availability at the Sunnyvale Murphy Park Building.

**INFORMATION ONLY REPORTS/ITEMS**

- [20-0540](#) Tentative Council Meeting Agenda Calendar
- [20-0541](#) Information/Action Items
- [20-0617](#) Mayoral Announcement of Mayor-Appointed Ad Hoc Advisory Committee on City Attorney Compensation (Information Only)

**ADJOURNMENT**

Mayor Klein adjourned the meeting at 9:01 p.m.



# City of Sunnyvale

## Agenda Item

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20-0461

Agenda Date: 6/30/2020

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### REPORT TO COUNCIL

#### **SUBJECT**

Receive and File the City of Sunnyvale Investment Report - 1st Quarter 2020

#### **REPORT IN BRIEF**

In accordance with California Government Code Section 53646, staff is submitting the attached investment report for Council's review. The report includes all investments held by the City of Sunnyvale. Funds not immediately needed for disbursement and held in investments are managed by Chandler Asset Management.

Funds for the City's Deferred Compensation Plan, the City's Retirement Plan, the City's Pension Trust, Other Post-Employment Benefits (OPEB) Trust, and any proceeds from debt issuance are not included in this report. These funds are managed and held by third party administrators and trustee custodial banks.

#### **EXISTING POLICY**

California Government Code Section 53600 et seq., strictly governs which investments public agencies can hold. In some cases, State law also governs what percentage of the portfolio can be invested in certain security types, maximum maturities, and minimum credit ratings by the major rating agencies (Standard & Poor's and Moody's Investors Service). Public agencies can only invest in fixed income securities. The purchase of stock is prohibited. Therefore, the City primarily invests in highly rated securities such as U.S. Treasury, Federal agencies, and government sponsored enterprise debt as well as high credit quality, non-governmental debt securities.

The California Government Code also requires investment objectives of safety, liquidity, and return in that order. As such, safety of principal is the foremost objective of the City's investment program. The portfolio must remain sufficiently liquid to enable the City to meet all cash requirements.

The City Council first adopted a policy (7.1.2 Investment and Cash Management) governing the investment of City funds on July 30, 1985. This policy is reviewed and adopted annually. Council adopted an updated policy for FY 2019/20 at its November 5, 2019 meeting. The City's investment policy follows the Government Code and includes additional restrictions on some investments such as a lower allowable percentage per investment type or issuer than State law.

#### **ENVIRONMENTAL REVIEW**

This action does not require environmental review because it is not a project that has the potential for causing a significant impact on the environment. (CEQA Guideline 15061(b)(3)). Furthermore, the action being considered does not constitute a "project" with the meaning of the California Environmental Quality Act ("CEQA") pursuant to CEQA Guidelines section 15378 (b) (4) in that it is a

fiscal activity that does not involve any commitment to any specific project which may result in a potential significant impact on the environment.

## **DISCUSSION**

This report provides information on the values (par, book and market), the type of investment, issuer, maturity date and yield of each investment. The par value of a bond is the amount that the issuer agrees to repay the City by the maturity date. The book value is what the City initially paid for the bond and it changes gradually if a premium or discount is amortized. The market value is what the bond is worth now.

The City's funds continue to be actively managed in the City's portfolio of investment securities with maturities ranging between 0 and 7 years. The portfolio has an average life of approximately 2.50 years to capture yield and enhance long-term returns. As of March 31, the average duration for these funds was currently 2.39 years, the investment manager continued to manage the portfolio duration in line with the City's target. These funds currently total \$698,494,100.

Funds needed to meet cash needs (liquid investments) are now solely managed in Local Agency Investment Fund (totaling \$37,837,142). Local Agency Investment Fund (LAIF) is a program created by statute as an investment alternative for California's local governments and special districts.

Summary and detailed information on each security is provided. Also included is an activity report of sales, purchases and maturities for this accounting period as required by Government Code section 53607. Total investments (portfolio of securities and LAIF) had a value of \$736,331,241 as of March 31. This amount does not include \$3,239,122 of accrued interest, which has been earned, but not yet received. The portfolio's average yield to maturity (the income expected to be earned over the next twelve months if the portfolio holdings do not change) was 2.26% percent as of March 31. The value of the portfolio is impacted by market forces in the bond market such as the movement of interest rates, credit quality, fiscal policy, and economic growth. It is also affected by property tax revenues, development related activity such as park impact fees, housing impact fees, developer contributions, building and planning fees, utility enterprise fund revenues and other City financial activities.

To slow down the spread of COVID-19, the Santa Clara County Public Health Official issued a health emergency order directing all individuals living in the County to shelter at their place of residence except to provide or receive certain essential services effective March 16. The shelter-in-place order for the general public and closing of non-essential businesses was initially for three weeks but subsequently was extended until the end of May 2020. By the completion of the staff report, general revenues associated with sales and use tax, transient occupancy tax, construction tax, utility user tax, real property transfer taxes, and parks and recreation activity fees have started to decline sharply. Consequently, the City cash inflow has decreased significantly in a few weeks due to loss of tax revenues and interruption of certain City services which are deemed nonessential. Considering the negative impact of COVID-19 to the City, the investment portfolio manager is to focus on building and maintaining increased liquidity in the investment portfolio to meet City operational needs at least for the next twelve months. The portfolio manager will continue to re-evaluate the portfolio and to match investment maturities with the City's short and long term cashflow needs until revenue collections return to more normal levels. Staff will continue to analyze cashflow needs regularly and actively communicate with the portfolio manager to ensure the maintenance of sufficient cash balances to meet operational, capital projects, and unforeseen fiscal needs.

### Economic Update

Financial markets have experienced significant turbulence, driven by a high level of uncertainty about the impact of the COVID-19 pandemic on the global economy. US Treasury yields have declined, amid a global flight to quality. At the end of the first quarter, the yield on 2-year Treasuries was down 132 basis points year-to-date, and the yield on 10-year Treasuries was down nearly 125 basis points. The S&P 500 index declined 20.0% in the first quarter. There are still many unknowns about the coronavirus including how widespread it will become, how long it will take to contain the virus, and the actual impact on economic activity. Containment efforts and supply chain disruptions may cause a sharp increase in unemployment and a swift and deep contraction in economic activity. Financial markets will likely remain volatile over the near term, but large-scale global monetary and fiscal stimulus programs should help mitigate the longer-term impact of the pandemic. Notably, President Trump approved a \$2 trillion economic relief package on March 27, the largest fiscal stimulus package in US history.

The Federal Reserve (Fed) has taken a wide range of aggressive actions to help stabilize and provide liquidity to the financial markets. The Fed has lowered the fed funds target rate to a range of 0.0%-0.25% and said it will purchase Treasury and agency mortgage-backed securities in any amount needed to support smooth market functioning. Policymakers have established several facilities to help support the flow of credit to businesses and state and local governments including the Commercial Paper Funding Facility, Main Street Lending Facility, Money Market Mutual Fund Liquidity Facility, Municipal Liquidity Facility, Paycheck Protection Program Liquidity Facility, Primary Market Corporate Credit Facility, Secondary Market Corporate Credit Facility, and Term Asset-Backed Securities Loan Facility. The Fed has also provided short-term funding through large scale repo operations and lowered the reserve requirement for depository institutions. Fed Chair Powell has indicated that the Fed will continue to act “forcefully, proactively, and aggressively” until the economy is solidly on a road to recovery.

The slope of the Treasury yield curve steepened in March, though rates across the curve declined meaningfully. At March month-end, the yield on 10-year Treasuries was down 48 basis points to 0.67% while the yield on 2-year Treasuries was down 67 basis points to 0.25%. The yield on 3-month T-bills declined 121 basis points in March. The movement in yields has been driven by fears about the coronavirus and its potential impact on global economic growth and inflation expectations, as well as the cumulative 150 basis point cut to the fed funds target rate in March.

The City’s investment income is strong due to the longer-duration strategy the City employs in its investment program. Income, however, is expected to decline considerably amid lower market rates. Interest income for this fiscal year nine reporting periods totaled \$8,052,255. In comparison, interest income for the same period last year totaled \$5,809,163. Additionally, portfolio fair value continued to be strong due to a rally in U.S. Treasury and Federal Agency securities offsetting much of the decline in value for non-governmental securities.

### **FISCAL IMPACT**

The City-wide projection for interest income for FY 2019/20 totals approximately \$11 million. Interest earnings as of the end of the first quarter of 2020 (third quarter of FY 2019/20) for the past nine months totaled \$8.1 million, tracking above our forecast.

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board

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outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

**RECOMMENDATION**

Receive and file the City of Sunnyvale - First Quarter 2020 Investment Report.

Prepared by: Inderdeep Dhillon, Finance Manager

Reviewed by: Tim Kirby, Director, Finance

Reviewed by: Jaqui Guzmán, Deputy City Manager

Approved by: Kent Steffens, City Manager

**ATTACHMENTS**

1. City of Sunnyvale First Quarter Investment Report



## Memorandum

**Date:** 4/27/2020  
**To:** Honorable Mayor and Councilmembers  
**From:** Timothy J. Kirby, Director of Finance  
**Subject:** Investment Report First Quarter 2020

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Pursuant to the California Government Code Section 53646, attached is detailed information on all securities, investments, and moneys held by the City. I hereby certify that the City's portfolio complies with the City's adopted Investment Policy and the reporting requirements of State Law Section 53607, and that sufficient funds are available to meet expenditure requirements for the next 6 months, ending September 2020.

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Timothy J. Kirby, Director of Finance

cc: Kent Steffens, City Manager  
Teri Silva, Assistant City Manager



**TOTAL PORTFOLIO EVALUATION - FIRST QUARTER 2020**

<b>DESCRIPTION</b>		<b>FY 19/20 Quarter 1 03/31/2020</b>	<b>FY 19/20 Quarter 4 12/31/2019</b>	<b>FY 18/19 Quarter 1 03/31/2019</b>
CORE PORTFOLIO MARKET VALUE		\$698,494,100	\$635,736,937	\$563,755,782
LIQUIDITY PORTFOLIO MARKET VALUE		\$0	\$0	\$0
LAIF PORTFOLIO MARKET VALUE		\$37,837,142	\$48,588,506	\$59,999,044
<b>TOTAL PORTFOLIO MARKET VALUE</b>		<b>\$736,331,242</b>	<b>\$684,325,443</b>	<b>\$623,754,826</b>
AVERAGE LIFE OF PORTFOLIO (DAYS)		1,028	1,005	746
CITY - WEIGHTED YIELD (Current Period)		2.29%	2.41%	2.48%
STATE (LAIF) POOL YIELD		1.79%	2.02%	2.44%
90 DAY T-BILL RATE (Current Period)		0.09%	1.55%	2.43%
VARIANCE FROM CITY YIELD		2.20%	0.86%	0.05%
1 YEAR TREASURY RATE (Current Period)		0.16%	1.58%	2.42%
VARIANCE FROM CITY YIELD		2.13%	0.83%	0.06%
TREASURY YIELD WITH SAME AVG LIFE AS PORTFOLIO		0.29%	1.61%	2.39%
VARIANCE FROM CITY YIELD		2.00%	0.80%	0.09%
<hr/>				
TOTAL INVESTMENTS MATURING WITHIN 0 TO 1 YEAR	\$186,890,547	25.38%	27.45%	42.02%
TOTAL INVESTMENTS MATURING WITHIN 1 TO 3 YEARS	\$193,937,190	26.34%	24.73%	30.14%
TOTAL INVESTMENTS MATURING WITHIN 3 TO 5 YEARS	\$343,902,176	46.70%	44.56%	27.83%
TOTAL INVESTMENTS MATURING OVER 5 YEARS **	\$11,601,328	1.58%	3.26%	0.00%
<hr/>				
<b>TOTAL</b>	<b>\$736,331,242</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

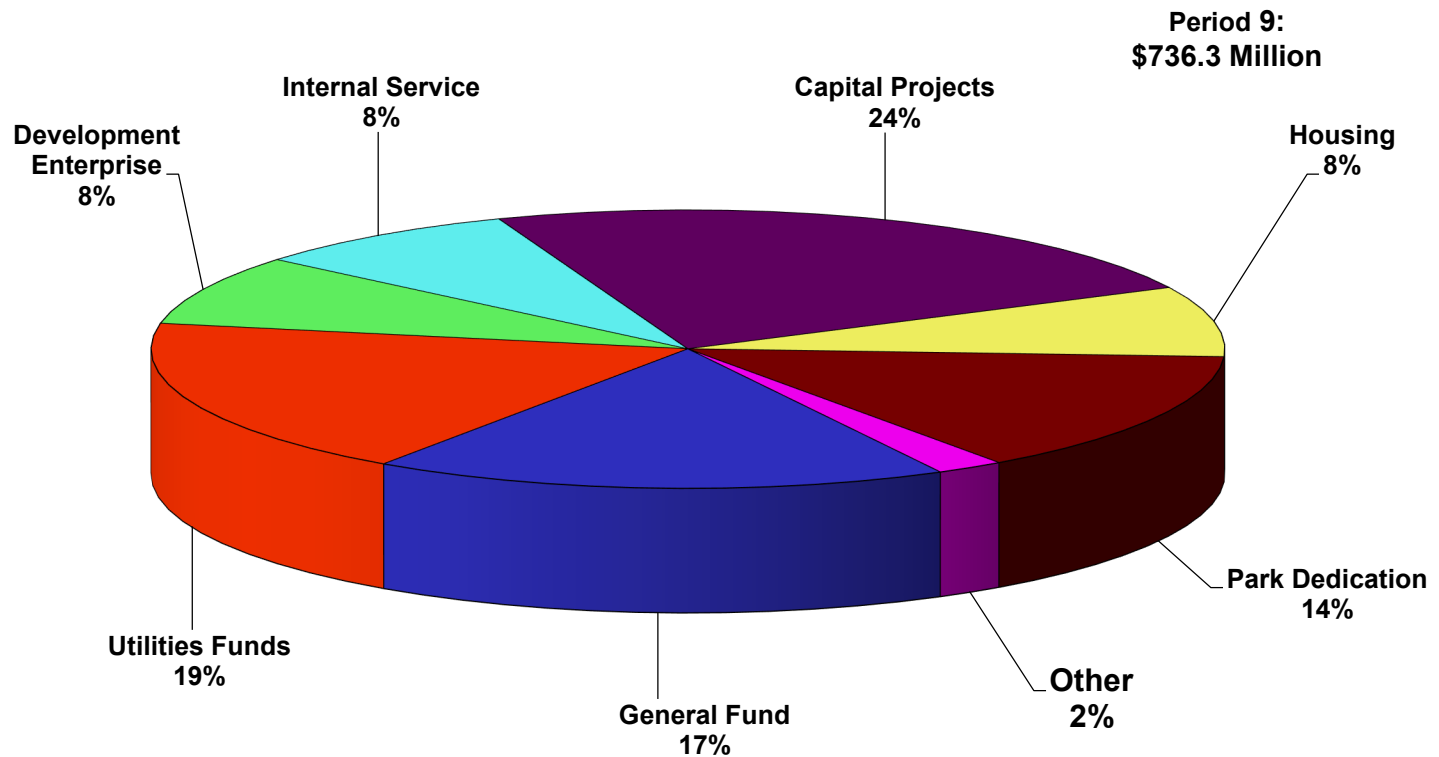
\*\* In accordance with Government Code 53601, the City Council, as part of the City's investment program, granted express authority to invest in US Treasury and US Agency and Government Sponsored Enterprise securities with final stated maturities up to seven years. No investment shall be made in any other security type that at the time of investment has a term remaining to maturity in excess of five years unless granted express authority by the City Council to do so.

QUARTERLY INVESTMENT REPORT BALANCE BY FUND

FUND	FY 2015/16				FY 2016/17				FY17/18				FY18/19				FY19/20		
	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1
General	\$ 91,859,041	\$ 74,290,076	\$ 77,268,167	\$ 104,754,690	\$ 77,717,844	\$ 85,245,849	\$ 105,223,756	\$ 117,363,709	\$ 101,020,472	\$ 109,464,740	\$ 120,749,390	\$ 128,590,714	\$ 108,474,285	\$ 137,112,286	\$ 135,348,524	\$ 119,570,143	\$ 96,747,543	\$ 97,597,067	\$ 126,434,231
Wastewater	24,374,939	22,656,720	25,062,614	20,773,974	19,501,098	19,862,296	19,891,579	9,313,056	10,914,932	12,238,313	12,458,011	25,673,398	23,799,839	22,514,210	28,974,507	37,369,341	34,475,219	27,731,820	47,691,004
Water	17,992,891	18,136,703	17,447,092	16,220,956	18,003,034	18,162,549	19,158,782	20,994,495	26,089,181	27,247,069	28,203,830	32,964,127	36,578,601	40,500,157	42,884,493	46,436,671	49,961,720	56,876,665	62,512,195
Solid Waste	3,424,555	6,108,738	7,736,932	5,907,441	4,600,724	8,867,865	9,904,155	8,448,173	11,752,392	12,064,651	13,185,131	13,840,320	16,650,081	19,018,091	20,957,421	17,765,031	18,600,113	22,097,976	20,632,270
SMaRT Station	7,762,980	5,847,093	5,854,202	5,909,636	7,335,588	5,622,310	5,787,673	5,929,745	4,850,944	5,701,184	6,534,454	3,673,962	4,162,935	4,338,136	5,366,345	6,414,683	3,129,438	6,764,018	4,777,023
Development Enterprise	17,126,584	18,455,025	19,183,248	20,531,929	24,427,763	25,441,728	26,146,097	29,128,940	32,872,564	33,437,998	36,328,691	39,635,249	43,022,358	45,877,647	47,137,735	50,194,973	51,880,331	57,862,702	61,429,488
Community Recreation	24,856	(282,818)	55,644	35,318	(163,799)	187,614	(148,026)	(2,914)	(203,996)	(131,610)	(474,070)	-	55,931	(43,821)	(490,655)	71,439	(463,152)	(289,927)	405,687
Internal Service	52,909,086	49,841,322	51,279,577	53,660,616	54,050,927	51,689,292	52,839,390	59,386,797	47,880,140	54,450,774	57,796,148	74,723,892	48,741,488	59,509,313	60,945,062	85,557,048	84,081,831	59,145,394	60,228,368
Capital Projects	27,316,907	27,372,181	26,946,392	31,116,795	37,798,186	35,740,308	42,222,584	50,776,643	52,857,166	48,760,684	66,870,546	77,282,536	74,765,150	80,302,853	82,677,135	81,371,236	82,583,547	86,628,834	86,701,628
Infrastructure Renovation & Replacement	14,438,884	13,573,140	13,138,089	16,142,771	14,256,903	12,437,903	14,338,922	16,347,251	11,851,961	14,535,253	12,763,717	19,595,642	16,204,956	15,573,097	47,992,489	75,270,577	73,579,097	86,584,139	85,028,959
Housing	21,612,330	21,817,640	22,494,036	23,158,812	24,317,997	23,423,261	23,831,005	26,034,012	29,063,817	29,829,122	31,429,823	40,776,148	40,350,189	42,193,825	47,218,109	57,080,920	59,296,213	59,645,296	60,746,250
Park Dedication	41,430,233	43,637,478	45,862,929	44,979,679	47,368,432	45,201,726	46,187,733	62,286,654	63,624,963	60,466,758	56,591,330	79,669,887	80,512,238	85,326,875	85,442,904	85,668,519	94,105,418	108,051,294	101,867,544
Home & Community Block Grants	1,199,106	1,453,342	1,458,042	1,446,579	1,018,671	697,769	745,266	635,163	1,135,747	1,627,226	1,407,703	1,597,339	1,921,598	1,704,911	1,450,820	1,532,067	1,322,384	1,496,970	1,495,646
Employment Development	(164,318)	(51,379)	14,772	-	190,043	274,052	(120,229)	132,392	135,599	276,657	(98,762)	35,949	139,993	135,425	(69,649)	26,847	20,117	77,762	764,796
Parking District	539,378	514,518	583,995	616,842	598,373	555,557	436,332	476,884	456,054	426,182	486,508	552,973	526,257	472,936	566,297	630,294	617,922	592,122	716,287
Gas Tax Street Improvement	6,317,068	5,479,703	5,519,968	5,456,100	5,738,022	5,430,529	5,090,982	5,156,127	5,481,882	4,479,688	4,744,882	4,574,552	4,978,991	5,061,872	5,253,063	5,565,592	5,515,028	4,338,765	4,410,459
Road Maintenance & Rehab Account (RMRA)	-	-	-	-	-	-	-	-	-	-	187,460	100,181	651,915	1,262,657	1,926,896	1,549,795	2,350,214	3,041,074	3,334,168
VRF Local Road Improvement Program	(508,594)	5,770	14,817	14,664	898,106	507,810	472,713	97,634	1,021,539	22,962	22,273	23,367	23,073	975,069	971,905	464,661	474,221	454,920	1,102,611
Dorolou Swirsky Youth Opp Fund	533,364	537,755	537,707	529,042	546,702	524,357	533,939	533,695	550,958	549,715	533,212	551,797	544,900	555,983	554,179	553,343	564,726	557,843	563,875
Fremont Pool Trust Fund	1,013,009	1,021,348	1,021,258	1,004,799	1,038,341	995,902	1,014,101	1,013,637	1,046,425	1,044,064	1,012,721	1,056,904	1,043,655	1,081,228	1,077,721	1,076,170	1,098,309	1,084,921	1,096,637
Other Special Revenue	1,085,649	1,183,780	1,184,406	971,965	2,683,815	2,335,204	2,245,125	2,118,622	3,809,293	4,039,579	3,916,380	3,807,644	5,396,491	5,302,260	4,873,222	1,291,357	3,645,360	2,116,948	2,210,623
Other Trust & Agency Funds	2,375,658	2,271,135	2,570,700	5,048,101	1,873,327	1,991,919	2,499,411	3,377,264	1,780,742	2,300,552	2517532.693	3,594,000	1,888,634	1,565,901	2,696,301	3,617,239	1,907,851	1,868,884	2,181,491
TOTAL INVESTMENT PORTFOLIO	\$ 332,663,607	\$ 313,869,266	\$ 325,234,587	\$ 358,280,710	\$ 343,800,099	\$ 345,195,801	\$ 378,301,293	\$ 419,547,977	\$ 407,992,776	\$ 422,831,563	\$ 457,166,910	\$ 552,320,581	\$ 510,433,559	\$ 570,340,909	\$ 623,754,826	\$ 679,077,948	\$ 665,493,451	\$ 684,325,443	\$ 736,331,242

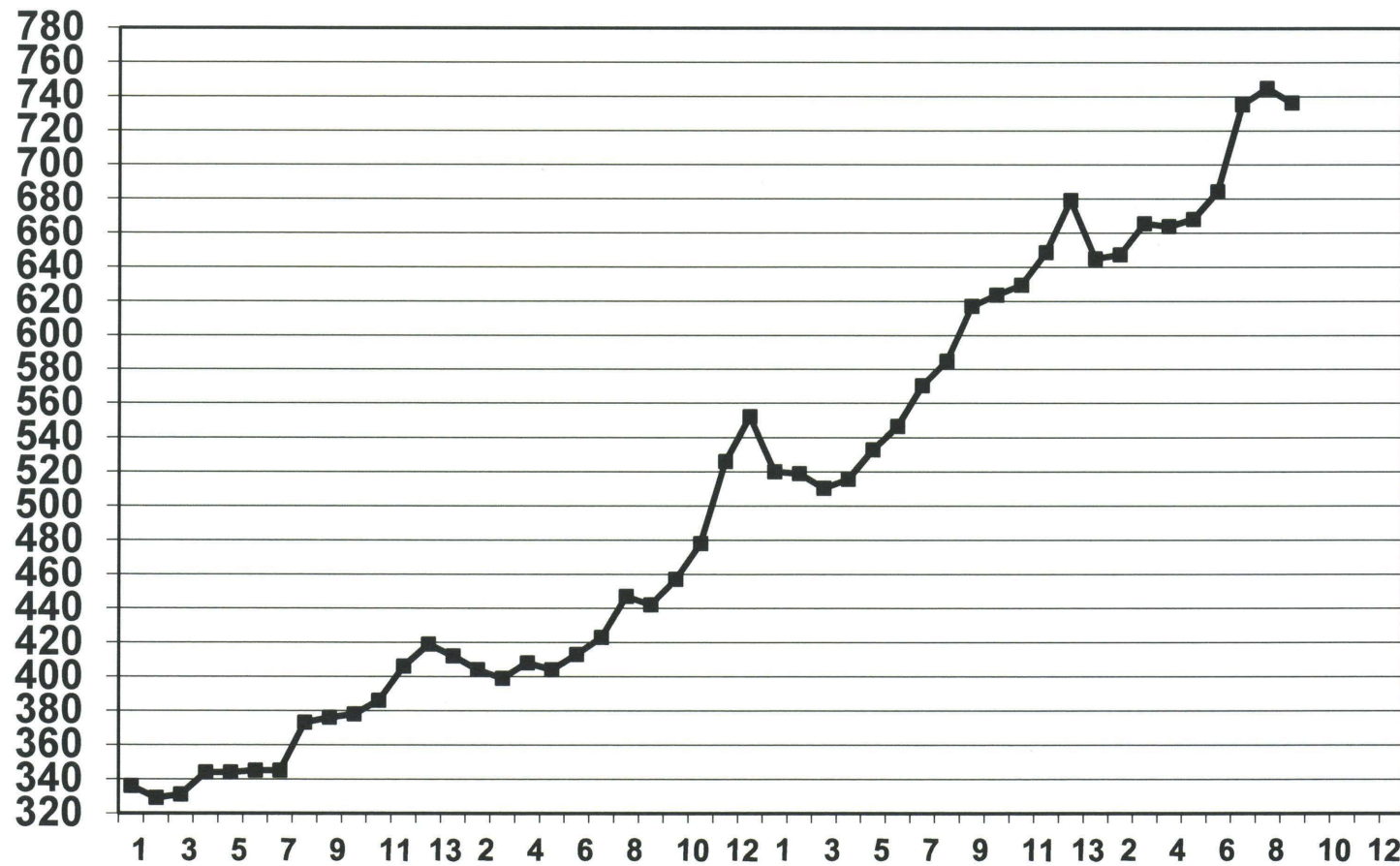
1. Quarter ending on calendar basis  
Q1: January 1 to March 31  
Q2: April 1 to June 30  
Q3: July 1 to September 30  
Q4: October 1 to December 31
2. Fiscal year: July 1 to June 30
3. Other Special Revenue Funds are:  
2016 Measure B - Santa Clara VTA  
Asset Forfeiture  
CFD 3 Estates at Sunnyvale  
Disasters/Emergencies  
Police Services Augmentation  
Redevelopment Housing  
TDA Article 3 Funds  
Youth and Neighborhood Services
4. Other Trust & Agency are:  
Citywide Donations  
Community Facilities District Agency Fun  
General Agency  
RDA Successor Agency Trust Fund

# INVESTMENT PORTFOLIO BALANCE BY FUND/S FIRST QUARTER ENDING MARCH 31, 2020



## INVESTMENT PORTFOLIO PORTFOLIO BALANCE TREND

\$ Million



Period 9:  
\$736.3  
Million

Accounting Periods

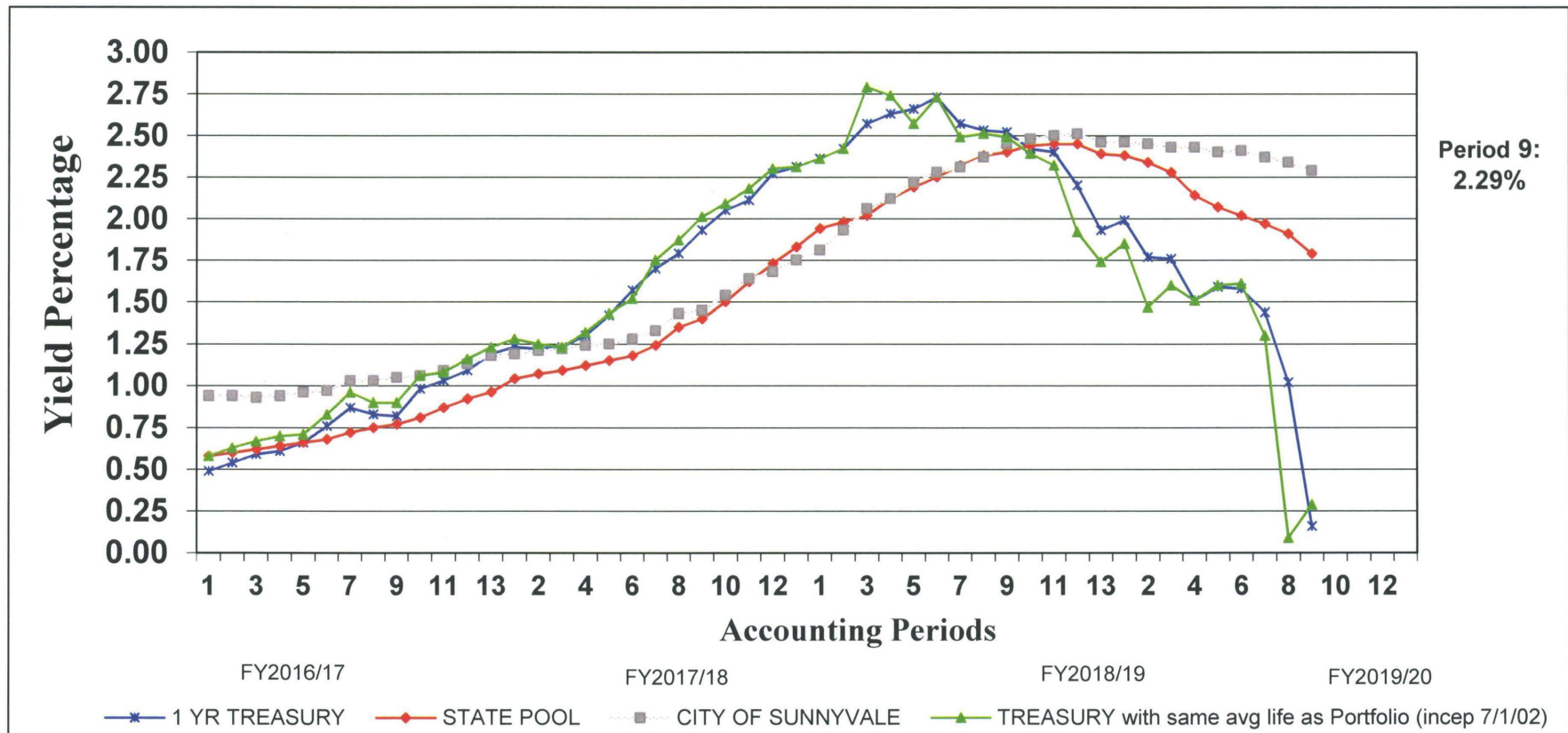
FY2016/17

FY2017/18

FY2018/19

FY2019/20

## INVESTMENT PORTFOLIO COMPARISON OF ANNUAL YIELDS





# City of Sunnyvale Consolidated - Account #10597

## ACCOUNT STATEMENT

JANUARY 1, 2020 THROUGH MARCH 31, 2020

### Chandler Team:

For questions about your account, please call (800) 317-4747,  
or contact [operations@chandlerasset.com](mailto:operations@chandlerasset.com)

**CHANDLER** ASSET MANAGEMENT  
[chandlerasset.com](http://chandlerasset.com)

*Information contained herein is confidential. We urge you to compare this statement to the one you receive from your qualified custodian. Please see Important Disclosures.*

## Portfolio Summary

As of March 31, 2020

Account #10597

### PORTFOLIO CHARACTERISTICS

Average Modified Duration	2.39
Average Coupon	2.36%
Average Purchase YTM	2.26%
Average Market YTM	1.06%
Average S&P/Moody Rating	AA/Aa1
Average Final Maturity	2.67 yrs
Average Life	2.50 yrs

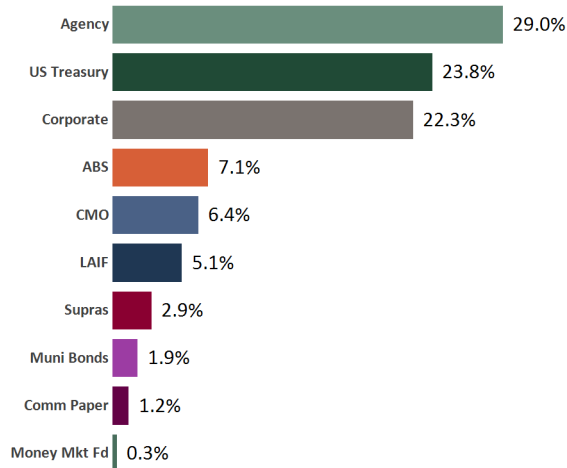
### ACCOUNT SUMMARY

	Beg. Values as of 12/31/19	End Values as of 3/31/20
Market Value	684,325,443	736,331,242
Accrued Interest	3,445,715	3,239,122
<b>Total Market Value</b>	<b>687,771,157</b>	<b>739,570,364</b>
Income Earned	4,009,376	4,299,205
Cont/WD		
Par	672,652,459	711,384,076
Book Value	674,846,251	714,415,872
Cost Value	674,235,905	714,074,347

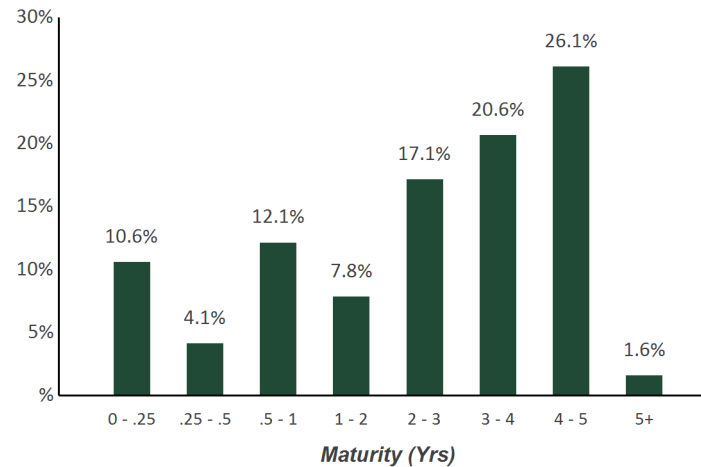
### TOP ISSUERS

Government of United States	23.8%
Federal Home Loan Bank	16.2%
Federal Home Loan Mortgage Corp	9.9%
Federal National Mortgage Assoc	7.6%
Local Agency Investment Fund	5.1%
Honda ABS	2.3%
John Deere ABS	2.0%
State of California	1.7%
<b>Total</b>	<b>68.8%</b>

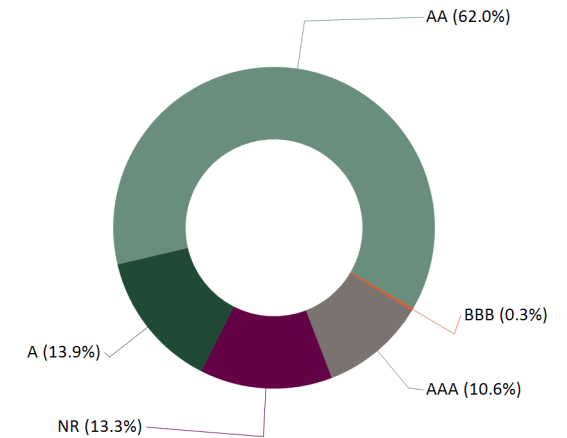
### SECTOR ALLOCATION



### MATURITY DISTRIBUTION



### CREDIT QUALITY (S&P)





# Statement of Compliance

As of March 31, 2020

## City of Sunnyvale Consolidated

This portfolio is a consolidation of assets managed by Chandler Asset Management and assets managed internally by City of Sunnyvale. Chandler relies on City of Sunnyvale to provide accurate information for reporting assets and producing this compliance statement.

Category	Standard	Comment
Treasury Issues	7 years max maturity	Complies
Agency Issues	30% max per single issuer; 7 years max maturity	Complies
Supranational Securities	"AA" rated category or better by a Nationally Recognized Statistical Rating Organization ("NRSRO"); 30% maximum; 10% max per issuer; 5 years max maturity; U.S. dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development ("IBRD"), the International Finance Corporation ("IFC") or the Inter-American Development Bank ("IADB")	Complies
Municipal Securities	"A" rated category or better by a NRSRO; For Municipal Obligations in the form of variable rate demand obligations, the obligations shall be supported by a third-party liquidity facility from a financial institution with short-term ratings of at least A-1 by S&P or P-1 by Moody's; The right of the bondholder to tender the obligation converts these obligations to a short term investment; 30% maximum; 5% max per issuer; 5 years max maturity	Complies
Banker's Acceptances	"A-1" rated or equivalent by a NRSRO; 30% maximum; 5% max per issuer; 180 days max maturity	Complies
Commercial Paper	"A-1" rated or higher by a NRSRO; or "A" rated issuer or higher by a NRSRO, if any long-term debt; 25% maximum; 5% max per issuer; 270 days max maturity; 10% max outstanding commercial paper of any single issuer; Entity organized and operating in the U.S. as a general corporation and has total assets >\$500 million; or Entity is organized within the U.S. as a special purpose corporation, trust, or limited liability company and has credit enhancements including, but not limited to, over collateralization, letters of credit, or surety bond.	Complies
Negotiable Certificates of Deposit (NCD)	"A" long-term rated issuer or higher by a NRSRO or "A" short-term rated or higher by a NRSRO, if any amount above FDIC insured limit; The amount of NCD insured up to the FDIC limit does not require any credit ratings; 30% maximum (including CDARs); 5% max per issuer; 5 years max maturity; Issued by nationally or state-chartered bank, a savings association or a federal association, or by a federally or state-licensed branch of a foreign bank.	Complies
Certificates of Deposit (CD)/ Bank Deposit (FDIC Insured/ Collateralized)	20% maximum combined FDIC insured and collateralized time deposits; For FDIC insured CDs, amount per institution is limited to maximum covered under FDIC; 5 years max maturity; For collateralized CDs, 5% max per issuer; 365 days max maturity	Complies
Corporate Medium Term Notes	"A" rated category or higher by a NRSRO; 30% maximum; 5% max per issuer; 5 years max maturity; 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.	Complied at time of purchase *
Mortgage-Backed (MBS), Mortgage Pass-Throughs (MPT), Asset-Backed Securities, Collateralized Mortgage Obligations (CMO)	"AA" rated category or higher by a NRSRO; "A" rated long-term debt issuer or higher by a NRSRO; 20% maximum (combined MPT,MBS,ABS, CMOs); 5% max per issuer in any Asset Backed or Commercial Mortgage security issuer; No issuer limitation on any Mortgage security where the issuer is U.S. Treasury or a Federal Agency/GSE; 5 years max maturity	Complies
Money Market Mutual Funds	Highest rating or AAA rated by two NRSROs; 20% maximum; SEC registered investment adviser with assets under management in excess of \$500 million and experience greater than 5 years; Maintain NAV of %1; Invest only in US Treasury and federal agency securities, and in repurchase agreements backed by US Treasury and federal agency securities	Complies
Repurchase Agreements	10% maximum; 15 days max maturity; Not used by Investment Adviser	Complies
Local Agency Investment Fund (LAIF)	Maximum permitted by LAIF; Thorough investigation of the pool/fund is required prior to investing and on a continual basis; City staff will annually perform the due diligence analysis of LAIF based on a standardized questionnaire developed to address investment policy and practices.	Complies
Local Government Investment Pools (LGIP)	Pursuant to CGC; SEC registered investment adviser with assets under management in excess of \$500 million and experience greater than 5 years	Complies
Prohibited	Inverse floaters, Range notes, Mortgage derived interest-only strips; Zero interest accrual securities; Mutual funds (other than government money market funds, unregulated and/ or unrated investment pools or trusts, and futures and options; 144A	Complies
Social and Environmental Responsibility	Investments are discouraged in entities that manufacture tobacco products, firearms, or nuclear weapons not used in the national defense of the U.S., and are direct or indirect investments to support the production or drilling of fossil fuels; Investments in entities that support community well-being through safe and environmentally sound practices and fair labor practices and equality of rights regardless of sex, race, age, disability, or sexual orientation is encouraged.	Complies
Max Callables	20% maximum (does not include "make whole call" securities)	Complies
Max Per Issuer	5% max per single issuer, unless otherwise stated	Complies
Maximum maturity	5 years, except as otherwise stated in the policy (i.e. Treasury & Agency issues have 7 years max maturity)	Complies

\*GE (36962G4R2) was downgraded by Moody's (Baa1) and S&P (BBB+) in October 2018 and by Fitch (BBB+) in November 2018; Complied at time of purchase.



BOOK VALUE RECONCILIATION		
<b>BEGINNING BOOK VALUE</b>		<b>\$674,846,250.96</b>
<b><u>Acquisition</u></b>		
+ Security Purchases	\$112,590,220.57	
+ Money Market Fund Purchases	\$57,615,245.04	
+ Money Market Contributions	\$46,000,000.00	
+ Security Contributions	\$8,000,000.00	
+ Security Transfers	\$0.00	
<b>Total Acquisitions</b>		<b>\$224,205,465.61</b>
<b><u>Dispositions</u></b>		
- Security Sales	\$14,318,331.09	
- Money Market Fund Sales	\$112,454,615.74	
- MMF Withdrawals	\$53,126.66	
- Security Withdrawals	\$19,000,000.00	
- Security Transfers	\$0.00	
- Other Dispositions	\$0.00	
- Maturities	\$23,000,000.00	
- Calls	\$8,031,701.88	
- Principal Paydowns	\$7,999,521.17	
<b>Total Dispositions</b>		<b>\$184,857,296.54</b>
<b><u>Amortization/Accretion</u></b>		
+/- Net Accretion	\$104,501.78	
		\$104,501.78
<b><u>Gain/Loss on Dispositions</u></b>		
+/- Realized Gain/Loss	\$116,949.89	
		\$116,949.89
<b>ENDING BOOK VALUE</b>		<b>\$714,415,871.70</b>

## Holdings Report

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CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>ABS</b>									
43814WAB1	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	2,514,969.13	02/19/2019 2.77%	2,514,807.16 2,514,876.20	99.76 3.47%	2,508,907.02 2,497.50	0.34% (5,969.18)	NR / AAA AAA	1.47 0.34
47788BAD6	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	1,255,809.27	10/26/2018 3.17%	1,238,296.61 1,246,704.63	99.63 3.56%	1,251,213.11 1,015.81	0.17% 4,508.48	Aaa / NR AAA	1.54 0.21
47789JAB2	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	2,095,770.15	03/05/2019 2.87%	2,095,674.58 2,095,711.08	100.26 1.93%	2,101,323.58 2,654.64	0.28% 5,612.50	Aaa / NR AAA	1.71 0.28
43815HAC1	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	8,122,705.23	Various 2.12%	8,170,360.43 8,161,728.66	100.92 1.70%	8,197,433.63 6,656.10	1.11% 35,704.97	Aaa / NR AAA	2.39 0.72
89238TAD5	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	6,825,000.00	Various 1.44%	6,898,151.37 6,882,666.69	100.94 1.57%	6,889,134.53 8,978.66	0.93% 6,467.84	Aaa / AAA NR	2.46 0.67
47788EAC2	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	5,420,000.00	Various 2.93%	5,435,113.02 5,431,620.06	100.62 2.16%	5,453,788.28 7,419.37	0.74% 22,168.22	Aaa / NR AAA	2.63 0.66
65479GAD1	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	5,690,000.00	Various 2.45%	5,719,437.26 5,714,932.92	101.57 1.41%	5,779,441.11 7,738.40	0.78% 64,508.19	Aaa / AAA NR	2.96 0.94
43815NAC8	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	6,455,000.00	Various 1.87%	6,448,322.40 6,449,329.50	100.53 1.50%	6,489,088.86 5,106.62	0.88% 39,759.36	Aaa / AAA NR	3.38 1.86
477870AC3	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	2,305,000.00	07/16/2019 2.23%	2,304,510.65 2,304,587.48	100.82 1.74%	2,323,836.46 2,264.02	0.31% 19,248.98	Aaa / NR AAA	3.71 1.69
92348AAA3	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	3,055,000.00	10/01/2019 1.95%	3,054,764.46 3,054,789.46	100.25 1.82%	3,062,637.50 1,810.94	0.41% 7,848.04	NR / AAA AAA	4.06 1.96
65479JAD5	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	4,780,000.00	10/16/2019 1.94%	4,779,747.62 4,779,771.15	100.99 1.49%	4,827,130.80 4,100.18	0.65% 47,359.65	Aaa / AAA NR	4.29 2.18
47789KAC7	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	3,650,000.00	03/04/2020 1.11%	3,649,776.99 3,649,779.88	98.17 1.87%	3,583,132.00 2,230.56	0.48% (66,647.88)	Aaa / NR AAA	4.38 2.39
<b>Total ABS</b>		<b>52,169,253.78</b>	<b>2.11%</b>	<b>52,308,962.55</b> <b>52,286,497.71</b>	<b>1.81%</b>	<b>52,467,066.88</b> <b>52,472.80</b>	<b>7.10%</b> <b>180,569.17</b>	<b>Aaa / AAA</b> <b>AAA</b>	<b>2.98</b> <b>1.19</b>

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CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>AGENCY</b>									
3133ECKU7	FFCB Note 1.49% Due 4/2/2020	4,000,000.00	01/10/2018 2.03%	3,952,720.00 3,999,941.85	100.00 -0.24%	4,000,192.00 29,634.44	0.54% 250.15	Aaa / AA+ AAA	0.01 0.00
3135G0D75	FNMA Note 1.5% Due 6/22/2020	4,000,000.00	02/28/2018 2.33%	3,925,200.00 3,992,741.30	100.28 0.25%	4,011,228.00 16,500.00	0.54% 18,486.70	Aaa / AA+ AAA	0.23 0.22
3135G0T60	FNMA Note 1.5% Due 7/30/2020	4,000,000.00	10/04/2017 1.65%	3,983,600.00 3,998,089.32	100.43 0.20%	4,017,368.00 10,166.67	0.54% 19,278.68	Aaa / AA+ AAA	0.33 0.33
313370US5	FHLB Note 2.875% Due 9/11/2020	7,000,000.00	03/29/2019 2.38%	7,049,350.00 7,015,120.39	101.16 0.26%	7,081,368.00 11,180.56	0.96% 66,247.61	Aaa / AA+ AAA	0.45 0.44
3137EAEJ4	FHLMC Note 1.625% Due 9/29/2020	4,000,000.00	03/22/2018 2.45%	3,919,520.00 3,984,200.78	100.55 0.52%	4,021,892.00 361.11	0.54% 37,691.22	Aaa / AA+ AAA	0.50 0.49
3130AD4X7	FHLB Note 2% Due 12/11/2020	3,000,000.00	04/04/2018 2.45%	2,965,200.00 2,990,998.78	101.19 0.29%	3,035,625.00 18,333.33	0.41% 44,626.22	Aaa / AA+ NR	0.70 0.69
313371U79	FHLB Note 3.125% Due 12/11/2020	8,000,000.00	01/30/2019 2.63%	8,071,680.00 8,026,774.59	101.93 0.33%	8,154,784.00 76,388.89	1.11% 128,009.41	Aaa / AA+ AAA	0.70 0.69
3130A0XD7	FHLB Note 2.375% Due 3/12/2021	8,000,000.00	02/22/2019 2.54%	7,973,440.00 7,987,716.89	101.93 0.33%	8,154,360.00 10,027.78	1.10% 166,643.11	Aaa / AA+ AAA	0.95 0.94
3133EJHD4	FFCB Note 2.48% Due 3/22/2021	4,000,000.00	03/27/2018 2.53%	3,994,480.00 3,998,203.85	102.06 0.36%	4,082,360.00 2,480.00	0.55% 84,156.15	Aaa / AA+ AAA	0.98 0.97
313383ZU8	FHLB Note 3% Due 9/10/2021	5,000,000.00	09/07/2018 2.82%	5,025,700.00 5,012,357.57	103.79 0.36%	5,189,705.00 8,750.00	0.70% 177,347.43	Aaa / AA+ NR	1.45 1.42
3130AF5B9	FHLB Note 3% Due 10/12/2021	8,000,000.00	10/18/2018 3.06%	7,986,160.00 7,992,895.72	104.01 0.37%	8,320,696.00 112,666.67	1.14% 327,800.28	Aaa / AA+ NR	1.53 1.49
3135G0S38	FNMA Note 2% Due 1/5/2022	2,150,000.00	07/30/2018 2.87%	2,089,198.00 2,118,774.73	102.87 0.37%	2,211,603.95 10,272.22	0.30% 92,829.22	Aaa / AA+ AAA	1.77 1.73
3135G0T45	FNMA Note 1.875% Due 4/5/2022	6,000,000.00	07/30/2018 2.88%	5,791,200.00 5,885,967.86	102.98 0.39%	6,178,794.00 55,000.00	0.84% 292,826.14	Aaa / AA+ AAA	2.01 1.96
313380GJ0	FHLB Note 2% Due 9/9/2022	10,000,000.00	10/10/2019 1.55%	10,127,000.00 10,106,350.56	103.58 0.52%	10,358,080.00 12,222.22	1.40% 251,729.44	Aaa / AA+ NR	2.44 2.38
3133EH7F4	FFCB Note 2.35% Due 1/17/2023	3,000,000.00	01/17/2018 2.35%	3,000,000.00 3,000,000.00	104.28 0.80%	3,128,313.00 14,491.67	0.42% 128,313.00	Aaa / AA+ AAA	2.80 2.70
3130ADRG9	FHLB Note 2.75% Due 3/10/2023	7,000,000.00	01/16/2019 2.71%	7,011,060.00 7,007,843.61	106.67 0.47%	7,466,592.00 11,229.17	1.01% 458,748.39	Aaa / AA+ NR	2.94 2.84

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CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>AGENCY</b>									
3137EAEN5	FHLMC Note 2.75% Due 6/19/2023	6,000,000.00	07/20/2018 2.86%	5,969,880.00 5,980,267.37	107.13 0.51%	6,427,908.00 46,750.00	0.88% 447,640.63	Aaa / AA+ AAA	3.22 3.08
313383YJ4	FHLB Note 3.375% Due 9/8/2023	7,000,000.00	10/29/2018 3.08%	7,091,910.00 7,065,057.56	110.11 0.41%	7,707,385.00 15,093.75	1.04% 642,327.44	Aaa / AA+ NR	3.44 3.27
3135G0U43	FNMA Note 2.875% Due 9/12/2023	8,205,000.00	09/12/2018 2.96%	8,171,359.50 8,181,779.94	107.80 0.59%	8,844,981.80 12,449.95	1.20% 663,201.86	Aaa / AA+ AAA	3.45 3.30
3130A0F70	FHLB Note 3.375% Due 12/8/2023	7,000,000.00	12/28/2018 2.77%	7,194,320.00 7,145,066.40	111.14 0.33%	7,780,038.00 74,156.25	1.06% 634,971.60	Aaa / AA+ AAA	3.69 3.47
3130A0XE5	FHLB Note 3.25% Due 3/8/2024	8,000,000.00	02/27/2019 2.59%	8,247,280.00 8,193,646.52	111.21 0.38%	8,897,152.00 16,611.11	1.21% 703,505.48	Aaa / AA+ NR	3.94 3.73
3130AB3H7	FHLB Note 2.375% Due 3/8/2024	3,000,000.00	04/29/2019 2.37%	3,000,210.00 3,000,170.11	107.03 0.57%	3,210,774.00 4,552.08	0.43% 210,603.89	Aaa / AA+ NR	3.94 3.77
3130A1XJ2	FHLB Note 2.875% Due 6/14/2024	11,175,000.00	Various 2.21%	11,527,225.65 11,469,003.39	110.47 0.36%	12,344,676.08 95,491.93	1.68% 875,672.69	Aaa / AA+ NR	4.21 3.96
3135G0V75	FNMA Note 1.75% Due 7/2/2024	8,250,000.00	07/16/2019 1.96%	8,166,922.50 8,178,797.26	104.59 0.65%	8,629,013.25 35,692.71	1.17% 450,215.99	Aaa / AA+ AAA	4.26 4.09
3130A2UW4	FHLB Note 2.875% Due 9/13/2024	9,350,000.00	09/13/2019 1.79%	9,834,236.50 9,781,671.35	109.91 0.61%	10,276,472.80 13,440.63	1.39% 494,801.45	Aaa / AA+ AAA	4.46 4.20
3135G0W66	FNMA Note 1.625% Due 10/15/2024	7,590,000.00	Various 1.61%	7,596,251.10 7,596,512.71	104.68 0.58%	7,945,523.19 55,844.48	1.08% 349,010.48	Aaa / AA+ AAA	4.55 4.35
3135G0X24	FNMA Note 1.625% Due 1/7/2025	13,785,000.00	Various 1.30%	13,993,685.85 13,990,854.97	104.97 0.57%	14,470,004.22 50,401.41	1.96% 479,149.25	Aaa / AA+ AAA	4.78 4.58
3137EAEP0	FHLMC Note 1.5% Due 2/12/2025	15,235,000.00	02/13/2020 1.52%	15,223,269.05 15,223,571.16	104.35 0.59%	15,897,509.21 29,835.21	2.15% 673,938.05	Aaa / AA+ AAA	4.87 4.69
3130AAUF3	FHLB Note 2.75% Due 3/13/2026	5,430,000.00	07/30/2019 2.11%	5,642,367.30 5,620,840.62	111.23 0.81%	6,039,718.41 7,466.25	0.82% 418,877.79	Aaa / AA+ AAA	5.95 5.53
3130AGFP5	FHLB Note 2.5% Due 6/12/2026	5,000,000.00	07/30/2019 2.15%	5,111,250.00 5,100,382.28	111.23 0.65%	5,561,610.00 37,847.22	0.76% 461,227.72	Aaa / AA+ NR	6.20 5.75
<b>Total Agency</b>		<b>202,170,000.00</b>	<b>2.25%</b>	<b>203,635,675.45</b> <b>203,645,599.44</b>	<b>0.46%</b>	<b>213,445,726.91</b> <b>895,337.71</b>	<b>28.98%</b> <b>9,800,127.47</b>	<b>Aaa / AA+</b> <b>AAA</b>	<b>3.10</b> <b>2.96</b>

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CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>CMO</b>									
3137B6ZM6	FHLMC K714 A2 3.034% Due 10/25/2020	6,797,365.21	02/19/2019 2.60%	6,810,110.28 6,801,683.10	100.20 2.57%	6,811,272.42 17,186.01	0.92% 9,589.32	Aaa / NR NR	0.57 0.34
3137BM6P6	FHLMC K721 A2 3.09% Due 8/25/2022	10,250,000.00	Various 2.11%	10,524,873.05 10,459,302.79	103.13 1.54%	10,570,517.50 26,393.75	1.43% 111,214.71	Aaa / NR NR	2.40 2.10
3137B4WB8	FHLMC K033 A2 3.06% Due 7/25/2023	6,545,000.00	Various 2.79%	6,585,492.97 6,575,210.07	105.69 1.17%	6,917,155.25 3,337.95	0.94% 341,945.18	Aaa / NR NR	3.32 3.02
3137B5JM6	FHLMC K034 A2 3.531% Due 7/25/2023	2,500,000.00	Various 2.35%	2,601,875.00 2,589,048.17	107.18 1.18%	2,679,472.50 7,356.25	0.36% 90,424.33	NR / NR AAA	3.32 3.04
3137B7MZ9	FHLMC K036 A2 3.527% Due 10/25/2023	9,650,000.00	Various 2.51%	10,015,378.90 9,967,980.28	107.55 1.32%	10,378,565.35 5,672.60	1.40% 410,585.07	Aaa / NR AAA	3.57 3.22
3137BYPQ7	FHLMC K726 A2 2.905% Due 4/25/2024	9,200,000.00	04/22/2019 2.72%	9,265,765.63 9,253,454.82	105.07 1.51%	9,665,980.00 22,271.67	1.31% 412,525.18	NR / AAA NR	4.07 3.65
<b>Total CMO</b>		<b>44,942,365.21</b>	<b>2.51%</b>	<b>45,803,495.83</b> <b>45,646,679.23</b>	<b>1.56%</b>	<b>47,022,963.02</b> <b>82,218.23</b>	<b>6.37%</b> <b>1,376,283.79</b>	<b>Aaa / AAA</b> <b>AAA</b>	<b>2.92</b> <b>2.60</b>
<b>COMMERCIAL PAPER</b>									
62479LDG7	MUFG Bank Ltd Discount CP 1.89% Due 4/16/2020	4,000,000.00	11/22/2019 1.93%	3,969,340.00 3,996,850.00	99.92 1.93%	3,996,850.00 0.00	0.54% 0.00	P-1 / A-1 NR	0.04 0.04
89233GDT0	Toyota Motor Credit Discount CP 1.72% Due 4/27/2020	5,000,000.00	01/29/2020 1.75%	4,978,738.89 4,993,788.89	99.88 1.75%	4,993,788.89 0.00	0.68% 0.00	P-1 / A-1+ NR	0.07 0.07
<b>Total Commercial Paper</b>		<b>9,000,000.00</b>	<b>1.83%</b>	<b>8,948,078.89</b> <b>8,990,638.89</b>	<b>1.83%</b>	<b>8,990,638.89</b> <b>0.00</b>	<b>1.22%</b> <b>0.00</b>	<b>Aaa / AAA</b> <b>NR</b>	<b>0.06</b> <b>0.06</b>
<b>CORPORATE</b>									
904764AV9	Unilever Capital Note 1.8% Due 5/5/2020	2,000,000.00	12/21/2017 2.07%	1,987,580.00 1,999,512.38	99.93 2.51%	1,998,634.00 14,600.00	0.27% (878.38)	A1 / A+ A	0.10 0.09
037833CS7	Apple Inc Note 1.8% Due 5/11/2020	4,000,000.00	01/26/2018 2.26%	3,959,120.00 3,998,044.02	100.07 1.14%	4,002,912.00 28,000.00	0.55% 4,867.98	Aa1 / AA+ NR	0.11 0.11
478160AW4	Johnson & Johnson Note 2.95% Due 9/1/2020	4,000,000.00	04/05/2018 2.46%	4,045,880.00 4,007,976.86	100.77 1.10%	4,030,604.00 9,833.33	0.55% 22,627.14	Aaa / AAA NR	0.42 0.41
36962G4R2	General Electric Capital Corp Note 4.375% Due 9/16/2020	2,000,000.00	06/30/2017 1.87%	2,155,600.00 2,022,266.44	100.06 4.24%	2,001,156.00 3,645.83	0.27% (21,110.44)	Baa1 / BBB+ BBB	0.46 0.45

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CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>CORPORATE</b>									
594918AH7	Microsoft Note 3% Due 10/1/2020	3,817,000.00	04/20/2017 1.74%	3,977,619.36 3,840,328.05	100.89 1.20%	3,851,070.54 57,255.00	0.53% 10,742.49	Aaa / AAA AA+	0.50 0.49
00440EAT4	Chubb INA Holdings Inc Callable Note Cont 10/3/2020 2.3% Due 11/3/2020	5,975,000.00	Various 2.99%	5,889,921.00 5,951,630.35	100.11 2.07%	5,981,381.30 56,496.94	0.82% 29,750.95	A3 / A A	0.59 0.50
92826CAB8	Visa Inc Callable Note Cont 11/14/2020 2.2% Due 12/14/2020	4,000,000.00	03/28/2018 2.73%	3,945,320.00 3,985,833.91	100.39 1.64%	4,015,656.00 26,155.56	0.55% 29,822.09	Aa3 / AA- NR	0.71 0.69
78012KKU0	Royal Bank of Canada Note 2.5% Due 1/19/2021	6,567,000.00	Various 3.10%	6,482,368.32 6,536,420.53	100.79 1.50%	6,618,754.53 32,835.00	0.90% 82,334.00	Aa2 / AA- AA+	0.81 0.79
037833AR1	Apple Inc Note 2.85% Due 5/6/2021	3,000,000.00	06/30/2017 2.01%	3,092,400.00 3,026,287.34	100.98 1.94%	3,029,529.00 34,437.50	0.41% 3,241.66	Aa1 / AA+ NR	1.10 1.07
369550BE7	General Dynamics Corp Note 3% Due 5/11/2021	5,100,000.00	Various 3.00%	5,098,778.86 5,100,246.78	100.77 2.29%	5,139,239.40 59,500.00	0.70% 38,992.62	A2 / A NR	1.11 1.08
857477AV5	State Street Bank Note 1.95% Due 5/19/2021	4,916,000.00	Various 2.87%	4,818,802.80 4,866,640.81	99.56 2.34%	4,894,404.01 35,149.40	0.67% 27,763.20	A1 / A AA-	1.13 1.11
594918BP8	Microsoft Callable Note Cont 7/8/2021 1.55% Due 8/8/2021	2,000,000.00	06/30/2017 1.97%	1,967,000.00 1,989,132.00	100.70 0.99%	2,013,910.00 4,563.89	0.27% 24,778.00	Aaa / AAA AA+	1.36 1.26
68389XBK0	Oracle Corp Callable Note Cont 8/15/2021 1.9% Due 9/15/2021	7,000,000.00	04/11/2019 2.66%	6,876,240.00 6,925,520.00	100.29 1.68%	7,020,629.00 5,911.11	0.95% 95,109.00	A3 / A+ A-	1.46 1.35
89236TDP7	Toyota Motor Credit Corp Note 2.6% Due 1/11/2022	6,750,000.00	Various 3.14%	6,640,111.50 6,688,220.60	100.52 2.30%	6,784,776.00 39,000.00	0.92% 96,555.40	A1 / AA- A+	1.78 1.72
69353RFE3	PNC Bank Callable Note Cont 6/28/2022 2.45% Due 7/28/2022	5,640,000.00	Various 3.07%	5,507,443.50 5,564,211.78	99.59 2.63%	5,616,853.44 24,181.51	0.76% 52,641.66	A2 / A A+	2.33 2.24
48128BAB7	JP Morgan Chase & Co Callable Note 1X 1/15/2022 2.972% Due 1/15/2023	7,750,000.00	Various 3.07%	7,675,870.00 7,711,156.67	101.62 2.04%	7,875,550.00 48,625.23	1.07% 164,393.33	A2 / A- AA-	2.79 1.73
808513AT2	Charles Schwab Corp Callable Note Cont 12/25/2022 2.65% Due 1/25/2023	5,580,000.00	Various 3.31%	5,431,072.20 5,484,194.50	101.45 2.10%	5,660,770.50 27,109.49	0.77% 176,576.00	A2 / A A	2.82 2.62
24422ETG4	John Deere Capital Corp Note 2.8% Due 3/6/2023	6,268,000.00	Various 3.50%	6,092,335.66 6,148,685.90	102.51 1.92%	6,425,182.64 12,187.77	0.87% 276,496.74	A2 / A A	2.93 2.80



## Holdings Report

As of March 31, 2020



CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>CORPORATE</b>									
084670BR8	Berkshire Hathaway Callable Note Cont 1/15/2023 2.75% Due 3/15/2023	4,232,000.00	Various 3.42%	4,120,054.64 4,154,631.87	103.47 1.47%	4,378,863.10 5,172.44	0.59% 224,231.23	Aa2 / AA A+	2.96 2.68
06406RAG2	Bank of NY Mellon Corp Note 3.5% Due 4/28/2023	4,280,000.00	Various 3.12%	4,342,247.36 4,326,237.78	104.39 2.02%	4,467,755.04 63,665.00	0.61% 141,517.26	A1 / A AA-	3.08 2.88
404280BA6	HSBC Holdings PLC Note 3.6% Due 5/25/2023	7,000,000.00	Various 3.84%	6,930,000.00 6,952,381.13	100.95 3.28%	7,066,381.00 88,200.00	0.97% 113,999.87	A2 / A A+	3.15 2.92
931142EK5	Wal-Mart Stores Callable Note Cont 5/26/2023 3.4% Due 6/26/2023	6,575,000.00	Various 2.95%	6,687,899.75 6,661,022.07	106.06 1.43%	6,973,129.40 58,992.36	0.95% 312,107.33	Aa2 / AA AA	3.24 2.98
02665WCJ8	American Honda Finance Note 3.45% Due 7/14/2023	5,070,000.00	Various 3.44%	5,073,141.30 5,072,070.09	101.27 3.04%	5,134,368.72 37,412.38	0.70% 62,298.63	A3 / A NR	3.29 3.07
89114QC48	Toronto Dominion Bank Note 3.5% Due 7/19/2023	5,000,000.00	07/27/2018 3.56%	4,985,500.00 4,990,375.96	103.00 2.55%	5,150,020.00 35,000.00	0.70% 159,644.04	Aa1 / AA- AA-	3.30 3.09
69371RP59	Paccar Financial Corp Note 3.4% Due 8/9/2023	4,095,000.00	08/06/2018 3.41%	4,093,321.05 4,093,873.65	101.08 3.06%	4,139,029.44 20,111.00	0.56% 45,155.79	A1 / A+ NR	3.36 3.14
06406RAJ6	Bank of NY Mellon Corp Note 3.45% Due 8/11/2023	2,750,000.00	Various 3.27%	2,767,987.50 2,765,195.94	103.98 2.22%	2,859,348.25 13,177.09	0.39% 94,152.31	A1 / A AA-	3.36 3.16
02665WCQ2	American Honda Finance Note 3.625% Due 10/10/2023	1,000,000.00	10/03/2018 3.64%	999,180.00 999,422.05	101.60 3.14%	1,016,028.00 17,218.75	0.14% 16,605.95	A3 / A NR	3.53 3.24
06051GHF9	Bank of America Corp Callable Note 1X 3/5/2023 3.55% Due 3/5/2024	8,310,000.00	Various 3.11%	8,388,172.50 8,374,542.22	104.01 2.13%	8,643,305.79 21,305.92	1.17% 268,763.57	A2 / A- A+	3.93 2.78
89114QCB2	Toronto Dominion Bank Note 3.25% Due 3/11/2024	1,500,000.00	03/26/2019 2.97%	1,518,990.00 1,515,108.07	105.37 1.83%	1,580,508.00 2,708.33	0.21% 65,399.93	Aa3 / A AA-	3.95 3.70
404280BS7	HSBC Holdings PLC Callable Note 1X 5/18/2023 3.95% Due 5/18/2024	1,955,000.00	Various 2.22%	2,058,459.05 2,052,000.86	102.47 3.11%	2,003,270.91 28,529.43	0.27% (48,729.95)	A2 / A A+	4.13 2.89
78013XZU5	Royal Bank of Canada Note 2.55% Due 7/16/2024	3,054,000.00	12/05/2019 2.23%	3,096,481.14 3,093,600.21	101.69 2.14%	3,105,502.66 16,224.38	0.42% 11,902.45	A2 / A AA	4.30 4.03
69371RQ25	Paccar Financial Corp Note 2.15% Due 8/15/2024	2,465,000.00	08/08/2019 2.20%	2,459,552.35 2,460,238.15	97.16 2.85%	2,394,939.77 6,771.90	0.32% (65,298.38)	A1 / A+ NR	4.38 4.12
14913Q3B3	Caterpillar Finl Service Note 2.15% Due 11/8/2024	8,820,000.00	Various 2.03%	8,866,124.60 8,864,309.44	100.44 2.05%	8,859,204.90 75,325.25	1.21% (5,104.54)	A3 / A A	4.61 4.33



## Holdings Report

As of March 31, 2020



CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>CORPORATE</b>									
90331HPL1	US Bank NA Callable Note Cont 12/21/2024 2.05% Due 1/21/2025	9,485,000.00	01/16/2020 2.10%	9,464,796.95 9,465,582.07	99.26 2.21%	9,415,152.46 37,808.26	1.28% (50,429.61)	A1 / AA- AA-	4.81 4.53
<b>Total Corporate</b>		<b>161,954,000.00</b>	<b>2.86%</b>	<b>161,495,371.39</b> <b>161,686,900.48</b>	<b>2.13%</b>	<b>164,147,819.80</b> <b>1,047,110.05</b>	<b>22.34%</b> <b>2,460,919.32</b>	<b>A1 / A+</b> <b>A+</b>	<b>2.54</b> <b>2.28</b>
<b>LAIF</b>									
90LAIF\$00	Local Agency Investment Fund State Pool	37,837,141.62	Various 1.74%	37,837,141.62 37,837,141.62	1.00 1.74%	37,837,141.62 243,737.47	5.15% 0.00	NR / NR NR	0.00 0.00
<b>Total LAIF</b>		<b>37,837,141.62</b>	<b>1.74%</b>	<b>37,837,141.62</b> <b>37,837,141.62</b>	<b>1.74%</b>	<b>37,837,141.62</b> <b>243,737.47</b>	<b>5.15%</b> <b>0.00</b>	<b>NR / NR</b> <b>NR</b>	<b>0.00</b> <b>0.00</b>
<b>MONEY MARKET FUND FI</b>									
60934N807	Federated Investors Govt Oblig Fund Inst.	2,436,315.23	Various 0.12%	2,436,315.23 2,436,315.23	1.00 0.12%	2,436,315.23 0.00	0.33% 0.00	Aaa / AAA AAA	0.00 0.00
<b>Total Money Market Fund FI</b>		<b>2,436,315.23</b>	<b>0.12%</b>	<b>2,436,315.23</b> <b>2,436,315.23</b>	<b>0.12%</b>	<b>2,436,315.23</b> <b>0.00</b>	<b>0.33%</b> <b>0.00</b>	<b>Aaa / AAA</b> <b>AAA</b>	<b>0.00</b> <b>0.00</b>
<b>MUNICIPAL BONDS</b>									
798170AC0	San Jose CA Redev Agy Tax Allocation 2.259% Due 8/1/2020	1,000,000.00	12/21/2017 2.00%	1,006,540.00 1,000,836.35	100.51 0.73%	1,005,070.00 3,765.00	0.14% 4,233.65	NR / AA AA	0.34 0.33
13063DDE5	California St TE-GO 2.3% Due 10/1/2020	8,000,000.00	Various 2.14%	8,036,080.00 8,006,372.42	100.50 1.30%	8,039,600.00 92,000.00	1.10% 33,227.58	Aa2 / AA- AA	0.50 0.49
13063DRK6	California St Taxable GO 2.4% Due 10/1/2024	4,475,000.00	10/16/2019 1.91%	4,577,790.75 4,568,674.05	103.31 1.63%	4,622,988.25 46,838.33	0.63% 54,314.20	Aa2 / AA- AA	4.51 4.22
<b>Total Municipal Bonds</b>		<b>13,475,000.00</b>	<b>2.05%</b>	<b>13,620,410.75</b> <b>13,575,882.82</b>	<b>1.37%</b>	<b>13,667,658.25</b> <b>142,603.33</b>	<b>1.87%</b> <b>91,775.43</b>	<b>Aa2 / AA-</b> <b>AA</b>	<b>1.85</b> <b>1.74</b>
<b>SUPRANATIONAL</b>									
4581X0CP1	Inter-American Dev Bank Note 1.875% Due 6/16/2020	2,000,000.00	03/01/2018 2.44%	1,975,100.00 1,997,741.77	100.19 0.96%	2,003,770.00 10,937.50	0.27% 6,028.23	Aaa / AAA AAA	0.21 0.21

## Holdings Report

As of March 31, 2020



CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>SUPRANATIONAL</b>									
45950KCG3	International Finance Corp Note 1.625% Due 7/16/2020	4,000,000.00	01/17/2018 2.15%	3,948,960.00 3,994,061.21	100.11 1.23%	4,004,520.00 13,541.67	0.54% 10,458.79	Aaa / AAA NR	0.29 0.29
4581X0CD8	Inter-American Dev Bank Note 2.125% Due 11/9/2020	4,000,000.00	05/09/2017 1.76%	4,049,040.00 4,008,505.38	100.95 0.54%	4,038,192.00 33,527.78	0.55% 29,686.62	Aaa / AAA AAA	0.61 0.60
45950KCM0	International Finance Corp Note 2.25% Due 1/25/2021	6,000,000.00	Various 2.61%	5,945,620.00 5,982,942.71	101.40 0.53%	6,084,060.00 24,750.00	0.83% 101,117.29	Aaa / AAA NR	0.82 0.81
4581X0CZ9	Inter-American Dev Bank Note 1.75% Due 9/14/2022	5,000,000.00	08/21/2018 2.87%	4,787,000.00 4,871,309.51	102.99 0.52%	5,149,670.00 4,131.94	0.70% 278,360.49	Aaa / AAA AAA	2.46 2.40
<b>Total Supranational</b>		<b>21,000,000.00</b>	<b>2.40%</b>	<b>20,705,720.00 20,854,560.58</b>	<b>0.70%</b>	<b>21,280,212.00 86,888.89</b>	<b>2.89% 425,651.42</b>	<b>Aaa / AAA AAA</b>	<b>1.02 1.00</b>
<b>US TREASURY</b>									
912828VA5	US Treasury Note 1.125% Due 4/30/2020	3,900,000.00	03/23/2018 2.32%	3,804,937.50 3,896,415.07	100.08 0.13%	3,903,244.80 18,403.13	0.53% 6,829.73	Aaa / AA+ AAA	0.08 0.08
912828VJ6	US Treasury Note 1.875% Due 6/30/2020	4,000,000.00	01/23/2018 2.14%	3,974,800.00 3,997,448.82	100.44 0.11%	4,017,644.00 18,956.04	0.55% 20,195.18	Aaa / AA+ AAA	0.25 0.25
912828XH8	US Treasury Note 1.625% Due 6/30/2020	4,500,000.00	02/27/2020 1.41%	4,503,164.06 4,502,315.17	100.38 0.11%	4,517,073.00 18,482.14	0.61% 14,757.83	Aaa / AA+ AAA	0.25 0.25
912828VV9	US Treasury Note 2.125% Due 8/31/2020	4,000,000.00	04/17/2018 2.46%	3,968,906.25 3,994,548.73	100.83 0.12%	4,033,280.00 7,391.30	0.55% 38,731.27	Aaa / AA+ AAA	0.42 0.42
912828N89	US Treasury Note 1.375% Due 1/31/2021	10,000,000.00	01/28/2020 1.54%	9,983,984.38 9,986,726.18	101.09 0.06%	10,109,380.00 23,042.58	1.37% 122,653.82	Aaa / AA+ AAA	0.84 0.83
912828Q37	US Treasury Note 1.25% Due 3/31/2021	10,000,000.00	01/22/2020 1.56%	9,963,281.25 9,969,132.51	101.12 0.13%	10,112,110.00 341.53	1.37% 142,977.49	Aaa / AA+ AAA	1.00 1.00
912828T34	US Treasury Note 1.125% Due 9/30/2021	7,000,000.00	11/26/2019 1.62%	6,936,835.94 6,948,661.60	101.38 0.21%	7,096,250.00 215.16	0.96% 147,588.40	Aaa / AA+ AAA	1.50 1.49
912828XG0	US Treasury Note 2.125% Due 6/30/2022	10,000,000.00	09/11/2019 1.61%	10,141,015.63 10,113,143.66	104.30 0.21%	10,430,470.00 53,708.79	1.42% 317,326.34	Aaa / AA+ AAA	2.25 2.20
912828L57	US Treasury Note 1.75% Due 9/30/2022	8,000,000.00	09/07/2018 2.79%	7,684,062.50 7,805,445.64	103.72 0.26%	8,297,816.00 382.51	1.12% 492,370.36	Aaa / AA+ AAA	2.50 2.45
912828N30	US Treasury Note 2.125% Due 12/31/2022	8,000,000.00	10/03/2018 2.97%	7,730,937.50 7,825,604.42	105.07 0.27%	8,405,624.00 42,967.03	1.14% 580,019.58	Aaa / AA+ AAA	2.75 2.67

## Holdings Report

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CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody/S&P Fitch	Maturity Duration
<b>US TREASURY</b>									
912828T91	US Treasury Note 1.625% Due 10/31/2023	10,000,000.00	05/29/2019 2.05%	9,819,921.88 9,854,153.45	104.69 0.31%	10,469,140.00 68,303.57	1.42% 614,986.55	Aaa / AA+ AAA	3.59 3.47
912828V23	US Treasury Note 2.25% Due 12/31/2023	10,000,000.00	06/21/2019 1.80%	10,196,484.38 10,162,923.75	107.17 0.32%	10,717,190.00 56,868.13	1.46% 554,266.25	Aaa / AA+ AAA	3.75 3.60
912828B66	US Treasury Note 2.75% Due 2/15/2024	11,000,000.00	Various 2.21%	11,260,781.25 11,215,496.12	109.29 0.34%	12,021,801.00 38,228.02	1.63% 806,304.88	Aaa / AA+ AAA	3.88 3.70
912828X70	US Treasury Note 2% Due 4/30/2024	11,000,000.00	Various 1.91%	11,046,992.19 11,039,467.85	106.69 0.35%	11,735,625.00 92,472.53	1.60% 696,157.15	Aaa / AA+ AAA	4.08 3.91
912828XX3	US Treasury Note 2% Due 6/30/2024	11,000,000.00	Various 1.74%	11,124,335.94 11,116,251.47	106.92 0.36%	11,760,980.00 55,604.40	1.60% 644,728.53	Aaa / AA+ AAA	4.25 4.08
912828D56	US Treasury Note 2.375% Due 8/15/2024	10,750,000.00	Various 1.56%	11,157,548.83 11,115,719.05	108.74 0.36%	11,689,367.25 32,264.76	1.58% 573,648.20	Aaa / AA+ AAA	4.38 4.17
9128283D0	US Treasury Note 2.25% Due 10/31/2024	11,000,000.00	07/05/2019 1.88%	11,204,960.94 11,176,675.91	108.53 0.37%	11,938,432.00 104,031.59	1.63% 761,756.09	Aaa / AA+ AAA	4.59 4.34
9128283V0	US Treasury Note 2.5% Due 1/31/2025	11,000,000.00	07/30/2019 1.88%	11,356,640.63 11,313,191.13	110.16 0.38%	12,117,622.00 46,085.16	1.64% 804,430.87	Aaa / AA+ AAA	4.84 4.57
912828ZC7	US Treasury Note 1.125% Due 2/28/2025	11,250,000.00	03/18/2020 0.81%	11,423,583.98 11,422,335.17	103.67 0.37%	11,662,650.00 11,005.43	1.58% 240,314.83	Aaa / AA+ AAA	4.92 4.79
<b>Total US Treasury</b>		<b>166,400,000.00</b>	<b>1.85%</b>	<b>167,283,175.03</b> <b>167,455,655.70</b>	<b>0.28%</b>	<b>175,035,699.05</b> <b>688,753.80</b>	<b>23.76%</b> <b>7,580,043.35</b>	<b>Aaa / AA+</b> <b>AAA</b>	<b>3.12</b> <b>2.99</b>
<b>TOTAL PORTFOLIO</b>		<b>711,384,075.84</b>	<b>2.26%</b>	<b>714,074,346.74</b> <b>714,415,871.70</b>	<b>1.06%</b>	<b>736,331,241.65</b> <b>3,239,122.28</b>	<b>100.00%</b> <b>21,915,369.95</b>	<b>Aa1 / AA</b> <b>AAA</b>	<b>2.67</b> <b>2.39</b>
<b>TOTAL MARKET VALUE PLUS ACCRUED</b>						<b>739,570,363.93</b>			

## Transaction Ledger

As of March 31, 2020



Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	01/02/2020	60934N807	69,781.25	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	69,781.25	0.00	69,781.25	0.00
Purchase	01/02/2020	60934N807	6,515.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	6,515.50	0.00	6,515.50	0.00
Purchase	01/05/2020	60934N807	21,500.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	21,500.00	0.00	21,500.00	0.00
Purchase	01/10/2020	3135G0X24	4,785,000.00	FNMA Note 1.625% Due 1/7/2025	99.681	1.69%	4,769,735.85	0.00	4,769,735.85	0.00
Purchase	01/11/2020	60934N807	87,750.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	87,750.00	0.00	87,750.00	0.00
Purchase	01/13/2020	60934N807	4,030,833.33	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	4,030,833.33	0.00	4,030,833.33	0.00
Purchase	01/14/2020	60934N807	87,457.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	87,457.50	0.00	87,457.50	0.00
Purchase	01/15/2020	60934N807	115,165.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	115,165.00	0.00	115,165.00	0.00
Purchase	01/15/2020	60934N807	6,433.33	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	6,433.33	0.00	6,433.33	0.00
Purchase	01/15/2020	60934N807	9,574.91	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	9,574.91	0.00	9,574.91	0.00
Purchase	01/15/2020	60934N807	4,245.04	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	4,245.04	0.00	4,245.04	0.00
Purchase	01/15/2020	60934N807	13,911.34	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	13,911.34	0.00	13,911.34	0.00
Purchase	01/15/2020	60934N807	14,509.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	14,509.50	0.00	14,509.50	0.00
Purchase	01/15/2020	60934N807	7,687.83	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	7,687.83	0.00	7,687.83	0.00
Purchase	01/15/2020	60934N807	16,835.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	16,835.00	0.00	16,835.00	0.00
Purchase	01/15/2020	60934N807	306,847.46	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	306,847.46	0.00	306,847.46	0.00

## Transaction Ledger

As of March 31, 2020



Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	01/15/2020	60934N807	325,931.02	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	325,931.02	0.00	325,931.02	0.00
Purchase	01/15/2020	90LAIF\$00	248,635.82	Local Agency Investment Fund State Pool	1.000	2.03%	248,635.82	0.00	248,635.82	0.00
Purchase	01/16/2020	60934N807	71,458.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	71,458.50	0.00	71,458.50	0.00
Purchase	01/17/2020	60934N807	72,750.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	72,750.00	0.00	72,750.00	0.00
Purchase	01/17/2020	60934N807	5,000,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	5,000,000.00	0.00	5,000,000.00	0.00
Purchase	01/19/2020	60934N807	169,587.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	169,587.50	0.00	169,587.50	0.00
Purchase	01/21/2020	14913Q3B3	7,820,000.00	Caterpillar Finl Service Note 2.15% Due 11/8/2024	100.453	2.05%	7,855,424.60	34,093.03	7,889,517.63	0.00
Purchase	01/21/2020	60934N807	20,232.08	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	20,232.08	0.00	20,232.08	0.00
Purchase	01/21/2020	60934N807	4,938.92	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	4,938.92	0.00	4,938.92	0.00
Purchase	01/21/2020	60934N807	330,067.48	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	330,067.48	0.00	330,067.48	0.00
Purchase	01/21/2020	90331HPL1	9,485,000.00	US Bank NA Callable Note Cont 12/21/2024 2.05% Due 1/21/2025	99.787	2.10%	9,464,796.95	0.00	9,464,796.95	0.00
Purchase	01/23/2020	912828Q37	10,000,000.00	US Treasury Note 1.25% Due 3/31/2021	99.633	1.56%	9,963,281.25	39,275.96	10,002,557.21	0.00
Purchase	01/25/2020	60934N807	141,435.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	141,435.00	0.00	141,435.00	0.00
Purchase	01/27/2020	60934N807	4,413.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	4,413.75	0.00	4,413.75	0.00
Purchase	01/27/2020	60934N807	16,689.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	16,689.75	0.00	16,689.75	0.00
Purchase	01/27/2020	60934N807	19,545.46	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	19,545.46	0.00	19,545.46	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	01/27/2020	60934N807	26,393.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	26,393.75	0.00	26,393.75	0.00
Purchase	01/27/2020	60934N807	22,271.66	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	22,271.66	0.00	22,271.66	0.00
Purchase	01/27/2020	60934N807	578,581.70	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	578,581.70	0.00	578,581.70	0.00
Purchase	01/28/2020	60934N807	69,090.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	69,090.00	0.00	69,090.00	0.00
Purchase	01/29/2020	89233GDT0	5,000,000.00	Toyota Motor Credit Discount CP 1.72% Due 4/27/2020	99.575	1.75%	4,978,738.89	0.00	4,978,738.89	0.00
Purchase	01/29/2020	912828N89	10,000,000.00	US Treasury Note 1.375% Due 1/31/2021	99.840	1.54%	9,983,984.38	68,002.72	10,051,987.10	0.00
Purchase	01/30/2020	14913Q3B3	1,000,000.00	Caterpillar Finl Service Note 2.15% Due 11/8/2024	101.070	1.91%	1,010,700.00	4,897.22	1,015,597.22	0.00
Purchase	01/30/2020	60934N807	30,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	30,000.00	0.00	30,000.00	0.00
Purchase	01/31/2020	313384UD9	12,000,000.00	FHLB Discount Note 1.56% Due 3/11/2020	99.827	1.58%	11,979,200.00	0.00	11,979,200.00	0.00
Purchase	01/31/2020	60934N807	206,250.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	206,250.00	0.00	206,250.00	0.00
Purchase	02/01/2020	60934N807	11,295.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	11,295.00	0.00	11,295.00	0.00
Purchase	02/03/2020	60934N807	12,000,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	12,000,000.00	0.00	12,000,000.00	0.00
Purchase	02/03/2020	60934N807	31,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	31,000.00	0.00	31,000.00	0.00
Purchase	02/03/2020	60934N807	31,541.85	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	31,541.85	0.00	31,541.85	0.00
Purchase	02/06/2020	3135G0W66	3,000,000.00	FNMA Note 1.625% Due 10/15/2024	100.470	1.52%	3,014,100.00	14,625.00	3,028,725.00	0.00
Purchase	02/06/2020	3135G0X24	3,000,000.00	FNMA Note 1.625% Due 1/7/2025	100.469	1.53%	3,014,070.00	3,520.83	3,017,590.83	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	02/07/2020	60934N807	2,150,233.20	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	2,150,233.20	0.00	2,150,233.20	0.00
Purchase	02/08/2020	60934N807	15,500.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	15,500.00	0.00	15,500.00	0.00
Purchase	02/09/2020	60934N807	69,615.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	69,615.00	0.00	69,615.00	0.00
Purchase	02/11/2020	60934N807	47,437.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	47,437.50	0.00	47,437.50	0.00
Purchase	02/14/2020	3137B5JM6	1,000,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	105.746	1.74%	1,057,460.94	1,275.08	1,058,736.02	0.00
Purchase	02/14/2020	3137B7MZ9	3,000,000.00	FHLMC K036 A2Due 10/25/2023	106.059	1.75%	3,181,757.81	3,820.92	3,185,578.73	0.00
Purchase	02/14/2020	3137EAEPO	15,235,000.00	FHLMC Note 1.5% Due 2/12/2025	99.923	1.52%	15,223,269.05	0.00	15,223,269.05	0.00
Purchase	02/14/2020	60934N807	2,082,126.80	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	2,082,126.80	0.00	2,082,126.80	0.00
Purchase	02/15/2020	60934N807	305,405.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	305,405.00	0.00	305,405.00	0.00
Purchase	02/18/2020	60934N807	4,006,433.33	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	4,006,433.33	0.00	4,006,433.33	0.00
Purchase	02/18/2020	60934N807	14,509.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	14,509.50	0.00	14,509.50	0.00
Purchase	02/18/2020	60934N807	7,687.83	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	7,687.83	0.00	7,687.83	0.00
Purchase	02/18/2020	60934N807	16,835.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	16,835.00	0.00	16,835.00	0.00
Purchase	02/18/2020	60934N807	9,574.91	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	9,574.91	0.00	9,574.91	0.00
Purchase	02/18/2020	60934N807	4,245.04	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	4,245.04	0.00	4,245.04	0.00
Purchase	02/18/2020	60934N807	13,911.34	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	13,911.34	0.00	13,911.34	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	02/18/2020	60934N807	343,004.08	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	343,004.08	0.00	343,004.08	0.00
Purchase	02/18/2020	60934N807	374,070.68	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	374,070.68	0.00	374,070.68	0.00
Purchase	02/18/2020	60934N807	395,832.85	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	395,832.85	0.00	395,832.85	0.00
Purchase	02/19/2020	60934N807	45,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	45,000.00	0.00	45,000.00	0.00
Purchase	02/20/2020	60934N807	4,938.92	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	4,938.92	0.00	4,938.92	0.00
Purchase	02/21/2020	404280BS7	1,000,000.00	HSBC Holdings PLC Callable Note 1X 5/18/2023 3.95% Due 5/18/2024	105.866	2.02%	1,058,660.00	10,204.17	1,068,864.17	0.00
Purchase	02/21/2020	60934N807	20,232.08	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	20,232.08	0.00	20,232.08	0.00
Purchase	02/25/2020	60934N807	16,689.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	16,689.75	0.00	16,689.75	0.00
Purchase	02/25/2020	60934N807	4,413.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	4,413.75	0.00	4,413.75	0.00
Purchase	02/25/2020	60934N807	19,545.46	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	19,545.46	0.00	19,545.46	0.00
Purchase	02/25/2020	60934N807	26,393.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	26,393.75	0.00	26,393.75	0.00
Purchase	02/25/2020	60934N807	22,271.66	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	22,271.66	0.00	22,271.66	0.00
Purchase	02/25/2020	60934N807	31,702.55	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	31,702.55	0.00	31,702.55	0.00
Purchase	02/28/2020	912828XH8	4,500,000.00	US Treasury Note 1.625% Due 6/30/2020	100.070	1.41%	4,503,164.06	11,852.68	4,515,016.74	0.00
Purchase	02/29/2020	60934N807	42,500.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	42,500.00	0.00	42,500.00	0.00
Purchase	03/01/2020	60934N807	59,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	59,000.00	0.00	59,000.00	0.00



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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	03/02/2020	60934N807	8,161.84	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	8,161.84	0.00	8,161.84	0.00
Purchase	03/05/2020	60934N807	9,998,333.33	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	9,998,333.33	0.00	9,998,333.33	0.00
Purchase	03/05/2020	60934N807	147,502.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	147,502.50	0.00	147,502.50	0.00
Purchase	03/06/2020	3135G0X24	6,000,000.00	FNMA Note 1.625% Due 1/7/2025	103.498	0.88%	6,209,880.00	15,166.67	6,225,046.67	0.00
Purchase	03/06/2020	60934N807	87,752.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	87,752.00	0.00	87,752.00	0.00
Purchase	03/06/2020	60934N807	4,035,951.88	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	4,035,951.88	0.00	4,035,951.88	0.00
Purchase	03/08/2020	60934N807	283,750.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	283,750.00	0.00	283,750.00	0.00
Purchase	03/09/2020	60934N807	100,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	100,000.00	0.00	100,000.00	0.00
Purchase	03/10/2020	60934N807	171,250.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	171,250.00	0.00	171,250.00	0.00
Purchase	03/11/2020	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	99.994	1.11%	3,649,776.99	0.00	3,649,776.99	0.00
Purchase	03/11/2020	60934N807	2,000,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	2,000,000.00	0.00	2,000,000.00	0.00
Purchase	03/11/2020	60934N807	125,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	125,000.00	0.00	125,000.00	0.00
Purchase	03/12/2020	60934N807	212,946.88	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	212,946.88	0.00	212,946.88	0.00
Purchase	03/13/2020	60934N807	4,000,000.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	4,000,000.00	0.00	4,000,000.00	0.00
Purchase	03/13/2020	60934N807	234,368.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	234,368.75	0.00	234,368.75	0.00
Purchase	03/14/2020	60934N807	43,750.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	43,750.00	0.00	43,750.00	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	03/15/2020	60934N807	124,690.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	124,690.00	0.00	124,690.00	0.00
Purchase	03/16/2020	60934N807	43,750.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	43,750.00	0.00	43,750.00	0.00
Purchase	03/16/2020	60934N807	7,687.83	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	7,687.83	0.00	7,687.83	0.00
Purchase	03/16/2020	60934N807	16,835.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	16,835.00	0.00	16,835.00	0.00
Purchase	03/16/2020	60934N807	9,574.91	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	9,574.91	0.00	9,574.91	0.00
Purchase	03/16/2020	60934N807	4,245.04	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	4,245.04	0.00	4,245.04	0.00
Purchase	03/16/2020	60934N807	13,911.34	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	13,911.34	0.00	13,911.34	0.00
Purchase	03/16/2020	60934N807	14,509.50	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	14,509.50	0.00	14,509.50	0.00
Purchase	03/16/2020	60934N807	284,905.79	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	284,905.79	0.00	284,905.79	0.00
Purchase	03/16/2020	60934N807	285,299.20	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	285,299.20	0.00	285,299.20	0.00
Purchase	03/18/2020	60934N807	320,822.97	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	320,822.97	0.00	320,822.97	0.00
Purchase	03/19/2020	912828ZC7	11,250,000.00	US Treasury Note 1.125% Due 2/28/2025	101.543	0.81%	11,423,583.98	6,534.48	11,430,118.46	0.00
Purchase	03/20/2020	60934N807	4,938.92	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	4,938.92	0.00	4,938.92	0.00
Purchase	03/22/2020	60934N807	49,600.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	49,600.00	0.00	49,600.00	0.00
Purchase	03/23/2020	60934N807	127,526.85	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	127,526.85	0.00	127,526.85	0.00
Purchase	03/25/2020	60934N807	16,689.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	16,689.75	0.00	16,689.75	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>ACQUISITIONS</b>										
Purchase	03/25/2020	60934N807	7,356.25	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	7,356.25	0.00	7,356.25	0.00
Purchase	03/25/2020	60934N807	28,362.96	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	28,362.96	0.00	28,362.96	0.00
Purchase	03/25/2020	60934N807	22,271.66	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	22,271.66	0.00	22,271.66	0.00
Purchase	03/25/2020	60934N807	421,100.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	421,100.75	0.00	421,100.75	0.00
Purchase	03/25/2020	60934N807	26,393.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	26,393.75	0.00	26,393.75	0.00
Purchase	03/30/2020	60934N807	32,500.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	32,500.00	0.00	32,500.00	0.00
Purchase	03/31/2020	60934N807	171,875.00	Federated Investors Govt Oblig Fund Inst.	1.000	0.12%	171,875.00	0.00	171,875.00	0.00
<b>Subtotal</b>			<b>169,588,880.86</b>				<b>170,205,465.61</b>	<b>213,268.76</b>	<b>170,418,734.37</b>	<b>0.00</b>
Security Contribution	01/08/2020	60934N807	12,000,000.00	Federated Investors Govt Oblig Fund Inst.	1.000		12,000,000.00	0.00	12,000,000.00	0.00
Security Contribution	01/10/2020	60934N807	25,000,000.00	Federated Investors Govt Oblig Fund Inst.	1.000		25,000,000.00	0.00	25,000,000.00	0.00
Security Contribution	01/31/2020	90LAIF\$00	8,000,000.00	Local Agency Investment Fund State Pool	1.000		8,000,000.00	0.00	8,000,000.00	0.00
Security Contribution	02/04/2020	60934N807	9,000,000.00	Federated Investors Govt Oblig Fund Inst.	1.000		9,000,000.00	0.00	9,000,000.00	0.00
<b>Subtotal</b>			<b>54,000,000.00</b>				<b>54,000,000.00</b>	<b>0.00</b>	<b>54,000,000.00</b>	<b>0.00</b>
Short Sale	03/06/2020	60934N807	-6,225,046.67	Federated Investors Govt Oblig Fund Inst.	1.000		-6,225,046.67	0.00	-6,225,046.67	0.00
Short Sale	03/11/2020	60934N807	-3,649,776.99	Federated Investors Govt Oblig Fund Inst.	1.000		-3,649,776.99	0.00	-3,649,776.99	0.00
<b>Subtotal</b>			<b>-9,874,823.66</b>				<b>-9,874,823.66</b>	<b>0.00</b>	<b>-9,874,823.66</b>	<b>0.00</b>
<b>TOTAL ACQUISITIONS</b>			<b>213,714,057.20</b>				<b>214,330,641.95</b>	<b>213,268.76</b>	<b>214,543,910.71</b>	<b>0.00</b>

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>DISPOSITIONS</b>										
Closing Purchase	03/06/2020	60934N807	-6,225,046.67	Federated Investors Govt Oblig Fund Inst.	1.000		-6,225,046.67	0.00	-6,225,046.67	0.00
Closing Purchase	03/11/2020	60934N807	-3,649,776.99	Federated Investors Govt Oblig Fund Inst.	1.000		-3,649,776.99	0.00	-3,649,776.99	0.00
<b>Subtotal</b>			<b>-9,874,823.66</b>				<b>-9,874,823.66</b>	<b>0.00</b>	<b>-9,874,823.66</b>	<b>0.00</b>
Sale	01/10/2020	60934N807	4,769,735.85	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	4,769,735.85	0.00	4,769,735.85	0.00
Sale	01/21/2020	60934N807	17,354,314.58	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	17,354,314.58	0.00	17,354,314.58	0.00
Sale	01/23/2020	60934N807	10,002,557.21	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	10,002,557.21	0.00	10,002,557.21	0.00
Sale	01/29/2020	60934N807	10,051,987.10	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	10,051,987.10	0.00	10,051,987.10	0.00
Sale	01/29/2020	60934N807	4,978,738.89	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	4,978,738.89	0.00	4,978,738.89	0.00
Sale	01/30/2020	60934N807	1,015,597.22	Federated Investors Govt Oblig Fund Inst.	1.000	1.27%	1,015,597.22	0.00	1,015,597.22	0.00
Sale	01/31/2020	60934N807	11,979,200.00	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	11,979,200.00	0.00	11,979,200.00	0.00
Sale	02/06/2020	60934N807	6,046,315.83	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	6,046,315.83	0.00	6,046,315.83	0.00
Sale	02/07/2020	097023BQ7	2,160,000.00	Boeing Co Callable Note Cont 4/15/2023 1.875% Due 6/15/2023	99.277	2.98%	2,144,383.20	5,850.00	2,150,233.20	58,681.63
Sale	02/14/2020	097023BQ7	2,090,000.00	Boeing Co Callable Note Cont 4/15/2023 1.875% Due 6/15/2023	99.316	2.98%	2,075,704.40	6,422.40	2,082,126.80	57,183.87
Sale	02/14/2020	60934N807	4,244,314.75	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	4,244,314.75	0.00	4,244,314.75	0.00
Sale	02/14/2020	60934N807	15,123,031.28	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	15,123,031.28	0.00	15,123,031.28	0.00

## Transaction Ledger

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>DISPOSITIONS</b>										
Sale	02/14/2020	912828VA5	100,000.00	US Treasury Note 1.125% Due 4/30/2020	99.910	2.32%	99,910.16	327.61	100,237.77	151.06
Sale	02/21/2020	60934N807	1,068,864.17	Federated Investors Govt Oblig Fund Inst.	1.000	1.22%	1,068,864.17	0.00	1,068,864.17	0.00
Sale	02/28/2020	60934N807	4,515,016.74	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	4,515,016.74	0.00	4,515,016.74	0.00
Sale	03/05/2020	313384UD9	10,000,000.00	FHLB Discount Note 1.56% Due 3/11/2020	99.983	1.58%	9,998,333.33	0.00	9,998,333.33	933.33
Sale	03/06/2020	60934N807	6,225,046.67	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	6,225,046.67	0.00	6,225,046.67	0.00
Sale	03/11/2020	60934N807	3,649,776.99	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	3,649,776.99	0.00	3,649,776.99	0.00
Sale	03/19/2020	60934N807	11,430,118.46	Federated Investors Govt Oblig Fund Inst.	1.000	1.24%	11,430,118.46	0.00	11,430,118.46	0.00
<b>Subtotal</b>			<b>126,804,615.74</b>				<b>126,772,946.83</b>	<b>12,600.01</b>	<b>126,785,546.84</b>	<b>116,949.89</b>
Call	01/13/2020	594918AY0	4,000,000.00	Microsoft Callable Note Cont 1/12/2020 1.85% Due 2/12/2020	100.000	2.06%	4,000,000.00	30,833.33	4,030,833.33	0.00
Call	03/06/2020	459200JF9	4,000,000.00	IBM Corp Note 2.25% Due 2/19/2021	100.793	2.81%	4,031,701.88	4,250.00	4,035,951.88	0.00
<b>Subtotal</b>			<b>8,000,000.00</b>				<b>8,031,701.88</b>	<b>35,083.33</b>	<b>8,066,785.21</b>	<b>0.00</b>
Paydown	01/15/2020	02587AAJ3	0.00	American Express Credit Trust 2017-1 A 1.93% Due 9/15/2022	100.000		0.00	6,433.33	6,433.33	0.00
Paydown	01/15/2020	43815NAC8	0.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	100.000		0.00	9,574.91	9,574.91	0.00
Paydown	01/15/2020	477870AC3	0.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	100.000		0.00	4,245.04	4,245.04	0.00
Paydown	01/15/2020	47788BAD6	303,491.01	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	100.000		303,491.01	3,356.45	306,847.46	0.00
Paydown	01/15/2020	47788EAC2	0.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	100.000		0.00	13,911.34	13,911.34	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>DISPOSITIONS</b>										
Paydown	01/15/2020	47789JAB2	318,608.18	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	100.000		318,608.18	7,322.84	325,931.02	0.00
Paydown	01/15/2020	65479GAD1	0.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	100.000		0.00	14,509.50	14,509.50	0.00
Paydown	01/15/2020	65479JAD5	0.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	100.000		0.00	7,687.83	7,687.83	0.00
Paydown	01/15/2020	89238TAD5	0.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	100.000		0.00	16,835.00	16,835.00	0.00
Paydown	01/21/2020	43814WAB1	322,076.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	100.000		322,076.13	7,991.35	330,067.48	0.00
Paydown	01/21/2020	43815HAC1	0.00	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	100.000		0.00	20,232.08	20,232.08	0.00
Paydown	01/21/2020	92348AAA3	0.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	100.000		0.00	4,938.92	4,938.92	0.00
Paydown	01/27/2020	3137B4WB8	0.00	FHLMC K033 A2Due 7/25/2023	100.000		0.00	16,689.75	16,689.75	0.00
Paydown	01/27/2020	3137B5JM6	0.00	FHLMC K034 A2 3.531% Due 7/25/2023	100.000		0.00	4,413.75	4,413.75	0.00
Paydown	01/27/2020	3137B6ZM6	558,929.84	FHLMC K714 A2 3.034% Due 10/25/2020	100.000		558,929.84	19,651.86	578,581.70	0.00
Paydown	01/27/2020	3137B7MZ9	0.00	FHLMC K036 A2Due 10/25/2023	100.000		0.00	19,545.46	19,545.46	0.00
Paydown	01/27/2020	3137BM6P6	0.00	FHLMC K721 A2Due 8/25/2022	100.000		0.00	26,393.75	26,393.75	0.00
Paydown	01/27/2020	3137BYPQ7	0.00	FHLMC K726 A2 2.905% Due 4/25/2024	100.000		0.00	22,271.66	22,271.66	0.00
Paydown	02/18/2020	02587AAJ3	4,000,000.00	American Express Credit Trust 2017-1 A 1.93% Due 9/15/2022	100.000		4,000,000.00	6,433.33	4,006,433.33	0.00
Paydown	02/18/2020	43814WAB1	335,750.82	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	100.000		335,750.82	7,253.26	343,004.08	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>DISPOSITIONS</b>										
Paydown	02/18/2020	43815NAC8	0.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	100.000		0.00	9,574.91	9,574.91	0.00
Paydown	02/18/2020	477870AC3	0.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	100.000		0.00	4,245.04	4,245.04	0.00
Paydown	02/18/2020	47788BAD6	371,174.52	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	100.000		371,174.52	2,896.16	374,070.68	0.00
Paydown	02/18/2020	47788EAC2	0.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	100.000		0.00	13,911.34	13,911.34	0.00
Paydown	02/18/2020	47789JAB2	389,266.70	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	100.000		389,266.70	6,566.15	395,832.85	0.00
Paydown	02/18/2020	65479GAD1	0.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	100.000		0.00	14,509.50	14,509.50	0.00
Paydown	02/18/2020	65479JAD5	0.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	100.000		0.00	7,687.83	7,687.83	0.00
Paydown	02/18/2020	89238TAD5	0.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	100.000		0.00	16,835.00	16,835.00	0.00
Paydown	02/20/2020	92348AAA3	0.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	100.000		0.00	4,938.92	4,938.92	0.00
Paydown	02/21/2020	43815HAC1	0.00	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	100.000		0.00	20,232.08	20,232.08	0.00
Paydown	02/25/2020	3137B4WB8	0.00	FHLMC K033 A2Due 7/25/2023	100.000		0.00	16,689.75	16,689.75	0.00
Paydown	02/25/2020	3137B5JM6	0.00	FHLMC K034 A2 3.531% Due 7/25/2023	100.000		0.00	4,413.75	4,413.75	0.00
Paydown	02/25/2020	3137B6ZM6	13,463.84	FHLMC K714 A2 3.034% Due 10/25/2020	100.000		13,463.84	18,238.71	31,702.55	0.00
Paydown	02/25/2020	3137B7MZ9	0.00	FHLMC K036 A2Due 10/25/2023	100.000		0.00	19,545.46	19,545.46	0.00
Paydown	02/25/2020	3137BM6P6	0.00	FHLMC K721 A2Due 8/25/2022	100.000		0.00	26,393.75	26,393.75	0.00

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>DISPOSITIONS</b>										
Paydown	02/25/2020	3137BYPQ7	0.00	FHLMC K726 A2 2.905% Due 4/25/2024	100.000		0.00	22,271.66	22,271.66	0.00
Paydown	03/16/2020	43815NAC8	0.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	100.000		0.00	9,574.91	9,574.91	0.00
Paydown	03/16/2020	477870AC3	0.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	100.000		0.00	4,245.04	4,245.04	0.00
Paydown	03/16/2020	47788BAD6	282,572.58	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	100.000		282,572.58	2,333.21	284,905.79	0.00
Paydown	03/16/2020	47788EAC2	0.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	100.000		0.00	13,911.34	13,911.34	0.00
Paydown	03/16/2020	47789JAB2	279,657.56	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	100.000		279,657.56	5,641.64	285,299.20	0.00
Paydown	03/16/2020	65479GAD1	0.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	100.000		0.00	14,509.50	14,509.50	0.00
Paydown	03/16/2020	65479JAD5	0.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	100.000		0.00	7,687.83	7,687.83	0.00
Paydown	03/16/2020	89238TAD5	0.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	100.000		0.00	16,835.00	16,835.00	0.00
Paydown	03/18/2020	43814WAB1	314,339.14	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	100.000		314,339.14	6,483.83	320,822.97	0.00
Paydown	03/20/2020	92348AAA3	0.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	100.000		0.00	4,938.92	4,938.92	0.00
Paydown	03/23/2020	43815HAC1	107,294.77	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	100.000		107,294.77	20,232.08	127,526.85	0.00
Paydown	03/25/2020	3137B4WB8	0.00	FHLMC K033 A2Due 7/25/2023	100.000		0.00	16,689.75	16,689.75	0.00
Paydown	03/25/2020	3137B5JM6	0.00	FHLMC K034 A2 3.531% Due 7/25/2023	100.000		0.00	7,356.25	7,356.25	0.00



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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>DISPOSITIONS</b>										
Paydown	03/25/2020	3137B6ZM6	402,896.08	FHLMC K714 A2 3.034% Due 10/25/2020	100.000		402,896.08	18,204.67	421,100.75	0.00
Paydown	03/25/2020	3137B7MZ9	0.00	FHLMC K036 A2Due 10/25/2023	100.000		0.00	28,362.96	28,362.96	0.00
Paydown	03/25/2020	3137BM6P6	0.00	FHLMC K721 A2Due 8/25/2022	100.000		0.00	26,393.75	26,393.75	0.00
Paydown	03/25/2020	3137BYPQ7	0.00	FHLMC K726 A2 2.905% Due 4/25/2024	100.000		0.00	22,271.66	22,271.66	0.00
<b>Subtotal</b>			<b>7,999,521.17</b>				<b>7,999,521.17</b>	<b>674,313.76</b>	<b>8,673,834.93</b>	<b>0.00</b>
Maturity	01/17/2020	3137EAE5	5,000,000.00	FHLMC Note 1.5% Due 1/17/2020	100.000		5,000,000.00	0.00	5,000,000.00	0.00
Maturity	02/03/2020	3133EG6C4	4,000,000.00	FFCB Note 1.55% Due 2/3/2020	100.000		4,000,000.00	0.00	4,000,000.00	0.00
Maturity	02/03/2020	62479LB38	8,000,000.00	MUFG Bank Ltd Discount CP 1.89% Due 2/3/2020	99.501		8,000,000.00	0.00	8,000,000.00	0.00
Maturity	03/11/2020	313384UD9	2,000,000.00	FHLB Discount Note 1.56% Due 3/11/2020	100.000		2,000,000.00	0.00	2,000,000.00	0.00
Maturity	03/13/2020	3130ACQ56	4,000,000.00	FHLB Note 1.65% Due 3/13/2020	100.000		4,000,000.00	0.00	4,000,000.00	0.00
<b>Subtotal</b>			<b>23,000,000.00</b>				<b>23,000,000.00</b>	<b>0.00</b>	<b>23,000,000.00</b>	<b>0.00</b>
Security Withdrawal	01/06/2020	60934N807	26,116.54	Federated Investors Govt Oblig Fund Inst.	1.000		26,116.54	0.00	26,116.54	0.00
Security Withdrawal	02/28/2020	90LAIF\$00	6,000,000.00	Local Agency Investment Fund State Pool	1.000		6,000,000.00	0.00	6,000,000.00	0.00
Security Withdrawal	03/06/2020	60934N807	27,010.12	Federated Investors Govt Oblig Fund Inst.	1.000		27,010.12	0.00	27,010.12	0.00
Security Withdrawal	03/31/2020	90LAIF\$00	13,000,000.00	Local Agency Investment Fund State Pool	1.000		13,000,000.00	0.00	13,000,000.00	0.00
<b>Subtotal</b>			<b>19,053,126.66</b>				<b>19,053,126.66</b>	<b>0.00</b>	<b>19,053,126.66</b>	<b>0.00</b>
<b>TOTAL DISPOSITIONS</b>			<b>174,982,439.91</b>				<b>174,982,472.88</b>	<b>721,997.10</b>	<b>175,704,469.98</b>	<b>116,949.89</b>

**OTHER TRANSACTIONS**

## Transaction Ledger

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>OTHER TRANSACTIONS</b>										
Interest	01/02/2020	3135G0V75	8,250,000.00	FNMA Note 1.75% Due 7/2/2024	0.000		69,781.25	0.00	69,781.25	0.00
Interest	01/05/2020	3135G0S38	2,150,000.00	FNMA Note 2% Due 1/5/2022	0.000		21,500.00	0.00	21,500.00	0.00
Interest	01/11/2020	89236TDP7	6,750,000.00	Toyota Motor Credit Corp Note 2.6% Due 1/11/2022	0.000		87,750.00	0.00	87,750.00	0.00
Interest	01/14/2020	02665WCJ8	5,070,000.00	American Honda Finance Note 3.45% Due 7/14/2023	0.000		87,457.50	0.00	87,457.50	0.00
Interest	01/15/2020	48128BAB7	7,750,000.00	JP Morgan Chase & Co Callable Note 1X 1/15/2022 2.972% Due 1/15/2023	0.000		115,165.00	0.00	115,165.00	0.00
Interest	01/16/2020	45950KCG3	4,000,000.00	International Finance Corp Note 1.625% Due 7/16/2020	0.000		32,520.00	0.00	32,520.00	0.00
Interest	01/16/2020	78013XZU5	3,054,000.00	Royal Bank of Canada Note 2.55% Due 7/16/2024	0.000		38,938.50	0.00	38,938.50	0.00
Interest	01/17/2020	3133EH7F4	3,000,000.00	FFCB Note 2.35% Due 1/17/2023	0.000		35,250.00	0.00	35,250.00	0.00
Interest	01/17/2020	3137EAE5	5,000,000.00	FHLMC Note 1.5% Due 1/17/2020	0.000		37,500.00	0.00	37,500.00	0.00
Interest	01/19/2020	78012KKU0	6,567,000.00	Royal Bank of Canada Note 2.5% Due 1/19/2021	0.000		82,087.50	0.00	82,087.50	0.00
Interest	01/19/2020	89114QC48	5,000,000.00	Toronto Dominion Bank Note 3.5% Due 7/19/2023	0.000		87,500.00	0.00	87,500.00	0.00
Interest	01/25/2020	45950KCM0	6,000,000.00	International Finance Corp Note 2.25% Due 1/25/2021	0.000		67,500.00	0.00	67,500.00	0.00
Interest	01/25/2020	808513AT2	5,580,000.00	Charles Schwab Corp Callable Note Cont 12/25/2022 2.65% Due 1/25/2023	0.000		73,935.00	0.00	73,935.00	0.00
Interest	01/28/2020	69353RFE3	5,640,000.00	PNC Bank Callable Note Cont 6/28/2022  2.45% Due 7/28/2022	0.000		69,090.00	0.00	69,090.00	0.00
Interest	01/30/2020	3135G0T60	4,000,000.00	FNMA Note 1.5% Due 7/30/2020	0.000		30,000.00	0.00	30,000.00	0.00

## Transaction Ledger

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Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>OTHER TRANSACTIONS</b>										
Interest	01/31/2020	9128283V0	11,000,000.00	US Treasury Note 2.5% Due 1/31/2025	0.000		137,500.00	0.00	137,500.00	0.00
Interest	01/31/2020	912828N89	10,000,000.00	US Treasury Note 1.375% Due 1/31/2021	0.000		68,750.00	0.00	68,750.00	0.00
Interest	02/01/2020	798170AC0	1,000,000.00	San Jose CA Redev Agy Tax Allocation 2.259% Due 8/1/2020	0.000		11,295.00	0.00	11,295.00	0.00
Interest	02/03/2020	3133EG6C4	4,000,000.00	FFCB Note 1.55% Due 2/3/2020	0.000		31,000.00	0.00	31,000.00	0.00
Interest	02/08/2020	594918BP8	2,000,000.00	Microsoft Callable Note Cont 7/8/2021 1.55% Due 8/8/2021	0.000		15,500.00	0.00	15,500.00	0.00
Interest	02/09/2020	69371RP59	4,095,000.00	Paccar Financial Corp Note 3.4% Due 8/9/2023	0.000		69,615.00	0.00	69,615.00	0.00
Interest	02/11/2020	06406RAJ6	2,750,000.00	Bank of NY Mellon Corp Note 3.45% Due 8/11/2023	0.000		47,437.50	0.00	47,437.50	0.00
Interest	02/15/2020	69371RQ25	2,465,000.00	Paccar Financial Corp Note 2.15% Due 8/15/2024	0.000		26,498.75	0.00	26,498.75	0.00
Interest	02/15/2020	912828B66	11,000,000.00	US Treasury Note 2.75% Due 2/15/2024	0.000		151,250.00	0.00	151,250.00	0.00
Interest	02/15/2020	912828D56	10,750,000.00	US Treasury Note 2.375% Due 8/15/2024	0.000		127,656.25	0.00	127,656.25	0.00
Interest	02/19/2020	459200JF9	4,000,000.00	IBM Corp Note 2.25% Due 2/19/2021	0.000		45,000.00	0.00	45,000.00	0.00
Interest	02/29/2020	912828VV9	4,000,000.00	US Treasury Note 2.125% Due 8/31/2020	0.000		42,500.00	0.00	42,500.00	0.00
Interest	03/01/2020	478160AW4	4,000,000.00	Johnson & Johnson Note 2.95% Due 9/1/2020	0.000		59,000.00	0.00	59,000.00	0.00
Interest	03/05/2020	06051GHF9	8,310,000.00	Bank of America Corp Callable Note 1X 3/5/2023 3.55% Due 3/5/2024	0.000		147,502.50	0.00	147,502.50	0.00
Interest	03/06/2020	24422ETG4	6,268,000.00	John Deere Capital Corp Note 2.8% Due 3/6/2023	0.000		87,752.00	0.00	87,752.00	0.00
Interest	03/08/2020	3130A0XE5	8,000,000.00	FHLB Note 3.25% Due 3/8/2024	0.000		130,000.00	0.00	130,000.00	0.00

## Transaction Ledger

As of March 31, 2020



Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>OTHER TRANSACTIONS</b>										
Interest	03/08/2020	3130AB3H7	3,000,000.00	FHLB Note 2.375% Due 3/8/2024	0.000		35,625.00	0.00	35,625.00	0.00
Interest	03/08/2020	313383YJ4	7,000,000.00	FHLB Note 3.375% Due 9/8/2023	0.000		118,125.00	0.00	118,125.00	0.00
Interest	03/09/2020	313380GJ0	10,000,000.00	FHLB Note 2% Due 9/9/2022	0.000		100,000.00	0.00	100,000.00	0.00
Interest	03/10/2020	3130ADRG9	7,000,000.00	FHLB Note 2.75% Due 3/10/2023	0.000		96,250.00	0.00	96,250.00	0.00
Interest	03/10/2020	313383ZU8	5,000,000.00	FHLB Note 3% Due 9/10/2021	0.000		75,000.00	0.00	75,000.00	0.00
Interest	03/11/2020	313370US5	7,000,000.00	FHLB Note 2.875% Due 9/11/2020	0.000		100,625.00	0.00	100,625.00	0.00
Interest	03/11/2020	89114QCB2	1,500,000.00	Toronto Dominion Bank Note 3.25% Due 3/11/2024	0.000		24,375.00	0.00	24,375.00	0.00
Interest	03/12/2020	3130A0XD7	8,000,000.00	FHLB Note 2.375% Due 3/12/2021	0.000		95,000.00	0.00	95,000.00	0.00
Interest	03/12/2020	3135G0U43	8,205,000.00	FNMA Note 2.875% Due 9/12/2023	0.000		117,946.88	0.00	117,946.88	0.00
Interest	03/13/2020	3130A2UW4	9,350,000.00	FHLB Note 2.875% Due 9/13/2024	0.000		134,406.25	0.00	134,406.25	0.00
Interest	03/13/2020	3130AAUF3	5,430,000.00	FHLB Note 2.75% Due 3/13/2026	0.000		74,662.50	0.00	74,662.50	0.00
Interest	03/13/2020	3130ACQ56	4,000,000.00	FHLB Note 1.65% Due 3/13/2020	0.000		25,300.00	0.00	25,300.00	0.00
Interest	03/14/2020	4581X0CZ9	5,000,000.00	Inter-American Dev Bank Note 1.75% Due 9/14/2022	0.000		43,750.00	0.00	43,750.00	0.00
Interest	03/15/2020	084670BR8	4,232,000.00	Berkshire Hathaway Callable Note Cont 1/15/2023 2.75% Due 3/15/2023	0.000		58,190.00	0.00	58,190.00	0.00
Interest	03/15/2020	68389XBK0	7,000,000.00	Oracle Corp Callable Note Cont 8/15/2021 1.9% Due 9/15/2021	0.000		66,500.00	0.00	66,500.00	0.00

## Transaction Ledger

As of March 31, 2020



Transaction Type	Settlement Date	CUSIP	Quantity	Security Description	Price	Acq/Disp Yield	Amount	Interest Pur/Sold	Total Amount	Gain/Loss
<b>OTHER TRANSACTIONS</b>										
Interest	03/16/2020	36962G4R2	2,000,000.00	General Electric Capital Corp Note 4.375% Due 9/16/2020	0.000		43,750.00	0.00	43,750.00	0.00
Interest	03/22/2020	3133EJHD4	4,000,000.00	FFCB Note 2.48% Due 3/22/2021	0.000		49,600.00	0.00	49,600.00	0.00
Interest	03/29/2020	3137EAEJ4	4,000,000.00	FHLMC Note 1.625% Due 9/29/2020	0.000		32,500.00	0.00	32,500.00	0.00
Interest	03/31/2020	912828L57	8,000,000.00	US Treasury Note 1.75% Due 9/30/2022	0.000		70,000.00	0.00	70,000.00	0.00
Interest	03/31/2020	912828Q37	10,000,000.00	US Treasury Note 1.25% Due 3/31/2021	0.000		62,500.00	0.00	62,500.00	0.00
Interest	03/31/2020	912828T34	7,000,000.00	US Treasury Note 1.125% Due 9/30/2021	0.000		39,375.00	0.00	39,375.00	0.00
<b>Subtotal</b>			<b>298,166,000.00</b>				<b>3,597,712.38</b>	<b>0.00</b>	<b>3,597,712.38</b>	<b>0.00</b>
Dividend	01/02/2020	60934N807	11,398,593.84	Federated Investors Govt Oblig Fund Inst.	0.000		6,515.50	0.00	6,515.50	0.00
Dividend	01/15/2020	90LAIF\$00	3,873,118,540.18	Local Agency Investment Fund State Pool	0.000		248,635.82	0.00	248,635.82	0.00
Dividend	02/03/2020	60934N807	12,101,543.76	Federated Investors Govt Oblig Fund Inst.	0.000		31,541.85	0.00	31,541.85	0.00
Dividend	03/02/2020	60934N807	284,652.82	Federated Investors Govt Oblig Fund Inst.	0.000		8,161.84	0.00	8,161.84	0.00
<b>Subtotal</b>			<b>3,896,903,330.60</b>				<b>294,855.01</b>	<b>0.00</b>	<b>294,855.01</b>	<b>0.00</b>
<b>TOTAL OTHER TRANSACTIONS</b>			<b>4,195,069,330.60</b>				<b>3,892,567.39</b>	<b>0.00</b>	<b>3,892,567.39</b>	<b>0.00</b>

## Income Earned

As of March 31, 2020



CUSIP	Security Description	Trade Date Settle Date Units	Book Value: Begin Book Value: Acq Book Value: Disp Book Value: End	Prior Accrued Inc. Received Ending Accrued Total Interest	Accr. Of Discount Amort. Of Premium Net Accret/Amort Income Earned	Total Income
<b>FIXED INCOME</b>						
00440EAT4	Chubb INA Holdings Inc Callable Note Cont 10/3/2020 2.3% Due 11/03/2020	Various Various 5,975,000.00	5,941,784.81 0.00 0.00 5,951,630.35	22,140.69 0.00 56,496.94 34,356.25	9,845.54 0.00 9,845.54 44,201.79	44,201.79
02587AAJ3	American Express Credit Trust 2017-1 A Due 09/15/2022	07/17/2018 07/19/2018 0.00	3,960,872.70 0.00 4,000,000.00 0.00	3,431.11 12,866.66 0.00 9,435.55	39,127.30 0.00 39,127.30 48,562.85	48,562.85
02665WCJ8	American Honda Finance Note 3.45% Due 07/14/2023	Various Various 5,070,000.00	5,072,227.21 0.00 0.00 5,072,070.09	81,141.13 87,457.50 37,412.38 43,728.75	0.00 157.12 (157.12) 43,571.63	43,571.63
02665WCQ2	American Honda Finance Note 3.625% Due 10/10/2023	10/03/2018 10/10/2018 1,000,000.00	999,381.18 0.00 0.00 999,422.05	8,156.25 0.00 17,218.75 9,062.50	40.87 0.00 40.87 9,103.37	9,103.37
037833AR1	Apple Inc Note 2.85% Due 05/06/2021	06/30/2017 06/30/2017 3,000,000.00	3,032,267.71 0.00 0.00 3,026,287.34	13,062.50 0.00 34,437.50 21,375.00	0.00 5,980.37 (5,980.37) 15,394.63	15,394.63
037833CS7	Apple Inc Note 1.8% Due 05/11/2020	01/26/2018 01/26/2018 4,000,000.00	3,993,594.16 0.00 0.00 3,998,044.02	10,000.00 0.00 28,000.00 18,000.00	4,449.86 0.00 4,449.86 22,449.86	22,449.86
06051GHF9	Bank of America Corp Callable Note 1X 3/5/2023 3.55% Due 03/05/2024	Various Various 8,310,000.00	8,377,250.37 0.00 0.00 8,374,542.22	95,057.17 147,502.50 21,305.92 73,751.25	0.00 2,708.15 (2,708.15) 71,043.10	71,043.10
06406RAG2	Bank of NY Mellon Corp Note 3.5% Due 04/28/2023	Various Various 4,280,000.00	4,329,987.91 0.00 0.00 4,326,237.78	26,215.00 0.00 63,665.00 37,450.00	0.00 3,750.13 (3,750.13) 33,699.87	33,699.87
06406RAJ6	Bank of NY Mellon Corp Note 3.45% Due 08/11/2023	Various Various 2,750,000.00	2,766,322.94 0.00 0.00 2,765,195.94	36,895.84 47,437.50 13,177.09 23,718.75	423.07 1,550.07 (1,127.00) 22,591.75	22,591.75

## Income Earned

As of March 31, 2020



CUSIP	Security Description	Trade Date Settle Date Units	Book Value: Begin Book Value: Acq Book Value: Disp Book Value: End	Prior Accrued Inc. Received Ending Accrued Total Interest	Accr. Of Discount Amort. Of Premium Net Accret/Amort Income Earned	Total Income
084670BR8	Berkshire Hathaway Callable Note Cont 1/15/2023 2.75% Due 03/15/2023	Various Various 4,232,000.00	4,148,100.79 0.00 0.00 4,154,631.87	34,267.44 58,190.00 5,172.44 29,095.00	6,531.08 0.00 6,531.08 35,626.08	35,626.08
097023BQ7	Boeing Co Callable Note Cont 4/15/2023 Due 06/15/2023	02/13/2019 02/15/2019 0.00	4,099,391.85 0.00 4,104,222.10 0.00	3,541.67 12,272.40 0.00 8,730.73	4,830.25 0.00 4,830.25 13,560.98	13,560.98
13063DDE5	California St TE-GO 2.3% Due 10/01/2020	Various Various 8,000,000.00	8,009,541.21 0.00 0.00 8,006,372.42	46,000.00 0.00 92,000.00 46,000.00	7.42 3,176.21 (3,168.79) 42,831.21	42,831.21
13063DRK6	California St Taxable GO 2.4% Due 10/01/2024	10/16/2019 10/24/2019 4,475,000.00	4,573,859.17 0.00 0.00 4,568,674.05	19,988.33 0.00 46,838.33 26,850.00	0.00 5,185.12 (5,185.12) 21,664.88	21,664.88
14913Q3B3	Caterpillar Finl Service Note 2.15% Due 11/08/2024	Various Various 8,820,000.00	0.00 8,866,124.60 0.00 8,864,309.44	0.00 (38,990.25) 75,325.25 36,335.00	0.00 1,815.16 (1,815.16) 34,519.84	34,519.84
24422ETG4	John Deere Capital Corp Note 2.8% Due 03/06/2023	Various Various 6,268,000.00	6,138,529.13 0.00 0.00 6,148,685.90	56,063.77 87,752.00 12,187.77 43,876.00	10,156.77 0.00 10,156.77 54,032.77	54,032.77
3130A0F70	FHLB Note 3.375% Due 12/08/2023	12/28/2018 12/31/2018 7,000,000.00	7,154,874.01 0.00 0.00 7,145,066.40	15,093.75 0.00 74,156.25 59,062.50	0.00 9,807.61 (9,807.61) 49,254.89	49,254.89
3130A0XD7	FHLB Note 2.375% Due 03/12/2021	02/22/2019 02/25/2019 8,000,000.00	7,984,477.00 0.00 0.00 7,987,716.89	57,527.78 95,000.00 10,027.78 47,500.00	3,239.89 0.00 3,239.89 50,739.89	50,739.89
3130A0XE5	FHLB Note 3.25% Due 03/08/2024	02/27/2019 02/28/2019 8,000,000.00	8,205,909.45 0.00 0.00 8,193,646.52	81,611.11 130,000.00 16,611.11 65,000.00	0.00 12,262.93 (12,262.93) 52,737.07	52,737.07

## Income Earned

As of March 31, 2020



CUSIP	Security Description	Trade Date Settle Date Units	Book Value: Begin Book Value: Acq Book Value: Disp Book Value: End	Prior Accrued Inc. Received Ending Accrued Total Interest	Accr. Of Discount Amort. Of Premium Net Accret/Amort Income Earned	Total Income
3130A1XJ2	FHLB Note 2.875% Due 06/14/2024	Various Various 11,175,000.00	11,486,432.91 0.00 0.00 11,469,003.39	15,171.61 0.00 95,491.93 80,320.32	0.00 17,429.52 (17,429.52) 62,890.80	62,890.80
3130A2UW4	FHLB Note 2.875% Due 09/13/2024	09/13/2019 09/16/2019 9,350,000.00	9,805,830.08 0.00 0.00 9,781,671.35	80,643.75 134,406.25 13,440.63 67,203.13	0.00 24,158.73 (24,158.73) 43,044.40	43,044.40
3130AAUF3	FHLB Note 2.75% Due 03/13/2026	07/30/2019 07/31/2019 5,430,000.00	5,628,836.24 0.00 0.00 5,620,840.62	44,797.50 74,662.50 7,466.25 37,331.25	0.00 7,995.62 (7,995.62) 29,335.63	29,335.63
3130AB3H7	FHLB Note 2.375% Due 03/08/2024	04/29/2019 04/30/2019 3,000,000.00	3,000,180.88 0.00 0.00 3,000,170.11	22,364.58 35,625.00 4,552.08 17,812.50	0.00 10.77 (10.77) 17,801.73	17,801.73
3130ACQ56	FHLB Note Due 03/13/2020	01/09/2018 01/09/2018 0.00	3,997,098.24 0.00 4,000,000.00 0.00	12,100.00 25,300.00 0.00 13,200.00	2,901.76 0.00 2,901.76 16,101.76	16,101.76
3130AD4X7	FHLB Note 2% Due 12/11/2020	04/04/2018 04/04/2018 3,000,000.00	2,987,773.93 0.00 0.00 2,990,998.78	3,333.33 0.00 18,333.33 15,000.00	3,224.85 0.00 3,224.85 18,224.85	18,224.85
3130ADRG9	FHLB Note 2.75% Due 03/10/2023	01/16/2019 01/17/2019 7,000,000.00	7,008,508.82 0.00 0.00 7,007,843.61	59,354.17 96,250.00 11,229.17 48,125.00	0.00 665.21 (665.21) 47,459.79	47,459.79
3130AF5B9	FHLB Note 3% Due 10/12/2021	10/18/2018 10/19/2018 8,000,000.00	7,991,739.21 0.00 0.00 7,992,895.72	52,666.67 0.00 112,666.67 60,000.00	1,156.51 0.00 1,156.51 61,156.51	61,156.51
3130AGFP5	FHLB Note 2.5% Due 06/12/2026	07/30/2019 07/31/2019 5,000,000.00	5,104,418.86 0.00 0.00 5,100,382.28	6,597.22 0.00 37,847.22 31,250.00	0.00 4,036.58 (4,036.58) 27,213.42	27,213.42



## Income Earned

As of March 31, 2020



CUSIP	Security Description	Trade Date Settle Date Units	Book Value: Begin Book Value: Acq Book Value: Disp Book Value: End	Prior Accrued Inc. Received Ending Accrued Total Interest	Accr. Of Discount Amort. Of Premium Net Accret/Amort Income Earned	Total Income
313370US5	FHLB Note 2.875% Due 09/11/2020	03/29/2019 03/29/2019 7,000,000.00	7,023,561.84 0.00 0.00 7,015,120.39	61,493.06 100,625.00 11,180.56 50,312.50	0.00 8,441.45 (8,441.45) 41,871.05	41,871.05
313371U79	FHLB Note 3.125% Due 12/11/2020	01/30/2019 01/31/2019 8,000,000.00	8,036,367.06 0.00 0.00 8,026,774.59	13,888.89 0.00 76,388.89 62,500.00	0.00 9,592.47 (9,592.47) 52,907.53	52,907.53
313380GJ0	FHLB Note 2% Due 09/09/2022	10/10/2019 10/11/2019 10,000,000.00	10,117,212.41 0.00 0.00 10,106,350.56	62,222.22 100,000.00 12,222.22 50,000.00	0.00 10,861.85 (10,861.85) 39,138.15	39,138.15
313383YJ4	FHLB Note 3.375% Due 09/08/2023	10/29/2018 10/31/2018 7,000,000.00	7,069,774.88 0.00 0.00 7,065,057.56	74,156.25 118,125.00 15,093.75 59,062.50	0.00 4,717.32 (4,717.32) 54,345.18	54,345.18
313383ZU8	FHLB Note 3% Due 09/10/2021	09/07/2018 09/10/2018 5,000,000.00	5,014,491.42 0.00 0.00 5,012,357.57	46,250.00 75,000.00 8,750.00 37,500.00	0.00 2,133.85 (2,133.85) 35,366.15	35,366.15
3133ECKU7	FFCB Note 1.49% Due 04/02/2020	01/10/2018 01/10/2018 4,000,000.00	3,994,649.74 0.00 0.00 3,999,941.85	14,734.44 0.00 29,634.44 14,900.00	5,292.11 0.00 5,292.11 20,192.11	20,192.11
3133EG6C4	FFCB Note Due 02/03/2020	01/10/2018 01/10/2018 0.00	3,998,326.37 0.00 4,000,000.00 0.00	25,488.89 31,000.00 0.00 5,511.11	1,673.63 0.00 1,673.63 7,184.74	7,184.74
3133EH7F4	FFCB Note 2.35% Due 01/17/2023	01/17/2018 01/17/2018 3,000,000.00	3,000,000.00 0.00 0.00 3,000,000.00	32,116.67 35,250.00 14,491.67 17,625.00	0.00 0.00 0.00 17,625.00	17,625.00
3133EJHD4	FFCB Note 2.48% Due 03/22/2021	03/27/2018 03/27/2018 4,000,000.00	3,997,743.43 0.00 0.00 3,998,203.85	27,280.00 49,600.00 2,480.00 24,800.00	460.42 0.00 460.42 25,260.42	25,260.42

## Income Earned

As of March 31, 2020



CUSIP	Security Description	Trade Date Settle Date Units	Book Value: Begin Book Value: Acq Book Value: Disp Book Value: End	Prior Accrued Inc. Received Ending Accrued Total Interest	Accr. Of Discount Amort. Of Premium Net Accret/Amort Income Earned	Total Income
3135G0D75	FNMA Note 1.5% Due 06/22/2020	02/28/2018 02/28/2018 4,000,000.00	3,984,685.92 0.00 0.00 3,992,741.30	1,500.00 0.00 16,500.00 15,000.00	8,055.38 0.00 8,055.38 23,055.38	23,055.38
3135G0S38	FNMA Note 2% Due 01/05/2022	07/30/2018 07/31/2018 2,150,000.00	2,114,362.46 0.00 0.00 2,118,774.73	21,022.22 21,500.00 10,272.22 10,750.00	4,412.27 0.00 4,412.27 15,162.27	15,162.27
3135G0T45	FNMA Note 1.875% Due 04/05/2022	07/30/2018 07/31/2018 6,000,000.00	5,871,830.36 0.00 0.00 5,885,967.86	26,875.00 0.00 55,000.00 28,125.00	14,137.50 0.00 14,137.50 42,262.50	42,262.50
3135G0T60	FNMA Note 1.5% Due 07/30/2020	10/04/2017 10/04/2017 4,000,000.00	3,996,640.39 0.00 0.00 3,998,089.32	25,166.67 30,000.00 10,166.67 15,000.00	1,448.93 0.00 1,448.93 16,448.93	16,448.93
3135G0U43	FNMA Note 2.875% Due 09/12/2023	09/12/2018 09/14/2018 8,205,000.00	8,180,101.60 0.00 0.00 8,181,779.94	71,423.39 117,946.88 12,449.95 58,973.44	1,678.34 0.00 1,678.34 60,651.78	60,651.78
3135G0V75	FNMA Note 1.75% Due 07/02/2024	07/16/2019 07/17/2019 8,250,000.00	8,174,625.05 0.00 0.00 8,178,797.26	69,380.21 69,781.25 35,692.71 36,093.75	4,172.21 0.00 4,172.21 40,265.96	40,265.96
3135G0W66	FNMA Note 1.625% Due 10/15/2024	Various Various 7,590,000.00	4,582,473.83 3,014,100.00 0.00 7,596,512.71	15,124.69 (14,625.00) 55,844.48 26,094.79	391.59 452.71 (61.12) 26,033.67	26,033.67
3135G0X24	FNMA Note 1.625% Due 01/07/2025	Various Various 13,785,000.00	0.00 13,993,685.85 0.00 13,990,854.97	0.00 (18,687.50) 50,401.41 31,713.91	686.22 3,517.10 (2,830.88) 28,883.03	28,883.03
3137B4WB8	FHLMC K033 A2 3.06% Due 07/25/2023	Various Various 6,545,000.00	6,577,482.07 0.00 0.00 6,575,210.07	3,337.95 50,069.25 3,337.95 50,069.25	0.00 2,272.00 (2,272.00) 47,797.25	47,797.25

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3137B5JM6	FHLMC K034 A2 3.531% Due 07/25/2023	03/12/2019 03/15/2019 2,500,000.00	1,536,272.88 1,057,460.94 0.00 2,589,048.17	4,413.75 14,908.67 7,356.25 17,851.17	0.00 4,685.65 (4,685.65) 13,165.52	13,165.52
3137B6ZM6	FHLMC K714 A2 3.034% Due 10/25/2020	02/19/2019 02/22/2019 6,797,365.21	7,779,762.94 0.00 975,289.76 6,801,683.10	19,651.86 56,095.24 17,186.01 53,629.39	0.00 2,790.08 (2,790.08) 50,839.31	50,839.31
3137B7MZ9	FHLMC K036 A2 3.527% Due 10/25/2023	Various Various 9,650,000.00	6,802,518.55 3,181,757.81 0.00 9,967,980.28	3,909.10 63,632.96 5,672.60 65,396.46	0.00 16,296.08 (16,296.08) 49,100.38	49,100.38
3137BM6P6	FHLMC K721 A2 3.09% Due 08/25/2022	07/29/2019 08/01/2019 10,250,000.00	10,481,045.42 0.00 0.00 10,459,302.79	26,393.75 79,181.25 26,393.75 79,181.25	0.00 21,742.63 (21,742.63) 57,438.62	57,438.62
3137BYPQ7	FHLMC K726 A2 2.905% Due 04/25/2024	04/22/2019 04/25/2019 9,200,000.00	9,256,730.51 0.00 0.00 9,253,454.82	22,271.67 66,814.98 22,271.67 66,814.98	0.00 3,275.69 (3,275.69) 63,539.29	63,539.29
3137EAE5	FHLMC Note Due 01/17/2020	10/23/2017 10/23/2017 0.00	4,999,627.45 0.00 5,000,000.00 0.00	34,166.67 37,500.00 0.00 3,333.33	372.55 0.00 372.55 3,705.88	3,705.88
3137EAEJ4	FHLMC Note 1.625% Due 09/29/2020	03/22/2018 03/22/2018 4,000,000.00	3,976,257.53 0.00 0.00 3,984,200.78	16,611.11 32,500.00 361.11 16,250.00	7,943.25 0.00 7,943.25 24,193.25	24,193.25
3137EAEN5	FHLMC Note 2.75% Due 06/19/2023	07/20/2018 07/23/2018 6,000,000.00	5,978,737.83 0.00 0.00 5,980,267.37	5,500.00 0.00 46,750.00 41,250.00	1,529.54 0.00 1,529.54 42,779.54	42,779.54
3137EAEP0	FHLMC Note 1.5% Due 02/12/2025	02/13/2020 02/14/2020 15,235,000.00	0.00 15,223,269.05 0.00 15,223,571.16	0.00 0.00 29,835.21 29,835.21	302.11 0.00 302.11 30,137.32	30,137.32

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369550BE7	General Dynamics Corp Note 3% Due 05/11/2021	Various Various 5,100,000.00	5,100,302.23 0.00 0.00 5,100,246.78	21,250.00 0.00 59,500.00 38,250.00	1,018.66 1,074.11 (55.45) 38,194.55	38,194.55
36962G4R2	General Electric Capital Corp Note 4.375% Due 09/16/2020	06/30/2017 06/30/2017 2,000,000.00	2,034,327.43 0.00 0.00 2,022,266.44	25,520.83 43,750.00 3,645.83 21,875.00	0.00 12,060.99 (12,060.99) 9,814.01	9,814.01
404280BA6	HSBC Holdings PLC Note 3.6% Due 05/25/2023	Various Various 7,000,000.00	6,948,609.74 0.00 0.00 6,952,381.13	25,200.00 0.00 88,200.00 63,000.00	4,731.76 960.37 3,771.39 66,771.39	66,771.39
404280BS7	HSBC Holdings PLC Callable Note 1X 5/18/2023 3.95% Due 05/18/2024	Various Various 1,955,000.00	997,261.76 1,058,660.00 0.00 2,052,000.86	4,505.74 (10,204.17) 28,529.43 13,819.52	0.00 3,920.90 (3,920.90) 9,898.62	9,898.62
43814WAB1	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 09/20/2021	02/19/2019 02/27/2019 2,514,969.13	3,486,984.55 0.00 972,166.09 2,514,876.20	3,462.92 21,728.44 2,497.50 20,763.02	57.74 0.00 57.74 20,820.76	20,820.76
43815HAC1	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 08/22/2022	Various Various 8,122,705.23	8,273,660.37 0.00 107,294.77 8,161,728.66	6,744.03 60,696.24 6,656.10 60,608.31	34.80 4,671.74 (4,636.94) 55,971.37	55,971.37
43815NAC8	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 08/15/2023	10/23/2019 10/25/2019 6,455,000.00	6,448,754.23 0.00 0.00 6,449,329.50	5,106.62 28,724.73 5,106.62 28,724.73	575.27 0.00 575.27 29,300.00	29,300.00
4581X0CD8	Inter-American Dev Bank Note 2.125% Due 11/09/2020	05/09/2017 05/09/2017 4,000,000.00	4,011,991.81 0.00 0.00 4,008,505.38	12,277.78 0.00 33,527.78 21,250.00	0.00 3,486.43 (3,486.43) 17,763.57	17,763.57
4581X0CP1	Inter-American Dev Bank Note 1.875% Due 06/16/2020	03/01/2018 03/01/2018 2,000,000.00	1,995,037.83 0.00 0.00 1,997,741.77	1,562.50 0.00 10,937.50 9,375.00	2,703.94 0.00 2,703.94 12,078.94	12,078.94

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4581X0CZ9	Inter-American Dev Bank Note 1.75% Due 09/14/2022	08/21/2018 08/23/2018 5,000,000.00	4,858,239.38 0.00 0.00 4,871,309.51	26,006.94 43,750.00 4,131.94 21,875.00	13,070.13 0.00 13,070.13 34,945.13	34,945.13
459200JF9	IBM Corp Note Due 02/19/2021	04/05/2018 04/05/2018 0.00	3,975,945.00 0.00 4,031,701.88 0.00	33,000.00 49,250.00 0.00 16,250.00	55,756.88 0.00 55,756.88 72,006.88	72,006.88
45950KCG3	International Finance Corp Note 1.625% Due 07/16/2020	01/17/2018 01/17/2018 4,000,000.00	3,988,962.81 0.00 0.00 3,994,061.21	29,791.67 32,520.00 13,541.67 16,270.00	5,098.40 0.00 5,098.40 21,368.40	21,368.40
45950KCM0	International Finance Corp Note 2.25% Due 01/25/2021	Various Various 6,000,000.00	5,977,751.36 0.00 0.00 5,982,942.71	58,500.00 67,500.00 24,750.00 33,750.00	5,191.35 0.00 5,191.35 38,941.35	38,941.35
477870AC3	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	07/16/2019 07/24/2019 2,305,000.00	2,304,559.74 0.00 0.00 2,304,587.48	2,264.02 12,735.12 2,264.02 12,735.12	27.74 0.00 27.74 12,762.86	12,762.86
47788BAD6	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	10/26/2018 10/30/2018 1,255,809.27	2,194,404.78 0.00 957,238.11 1,246,704.63	1,790.11 8,585.82 1,015.81 7,811.52	9,537.96 0.00 9,537.96 17,349.48	17,349.48
47788EAC2	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	Various Various 5,420,000.00	5,432,723.84 0.00 0.00 5,431,620.06	7,419.37 41,734.02 7,419.37 41,734.02	17.18 1,120.96 (1,103.78) 40,630.24	40,630.24
47789JAB2	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	03/05/2019 03/13/2019 2,095,770.15	3,083,203.00 0.00 987,532.44 2,095,711.08	3,905.52 19,530.63 2,654.64 18,279.75	40.52 0.00 40.52 18,320.27	18,320.27
47789KAC7	John Deere Owner Trust 2020-A A3 1.1% Due 08/15/2024	03/04/2020 03/11/2020 3,650,000.00	0.00 3,649,776.99 0.00 3,649,779.88	0.00 0.00 2,230.56 2,230.56	2.89 0.00 2.89 2,233.45	2,233.45

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478160AW4	Johnson & Johnson Note 2.95% Due 09/01/2020	04/05/2018 04/05/2018 4,000,000.00	4,012,721.27 0.00 0.00 4,007,976.86	39,333.33 59,000.00 9,833.33 29,500.00	0.00 4,744.41 (4,744.41) 24,755.59	24,755.59
48128BAB7	JP Morgan Chase & Co Callable Note 1X 1/15/2022 2.972% Due 01/15/2023	Various Various 7,750,000.00	7,709,535.48 0.00 0.00 7,711,156.67	106,207.73 115,165.00 48,625.23 57,582.50	6,779.41 5,158.22 1,621.19 59,203.69	59,203.69
594918AH7	Microsoft Note 3% Due 10/01/2020	04/20/2017 04/20/2017 3,817,000.00	3,851,928.34 0.00 0.00 3,840,328.05	28,627.50 0.00 57,255.00 28,627.50	0.00 11,600.29 (11,600.29) 17,027.21	17,027.21
594918AY0	Microsoft Callable Note Cont 1/12/2020 Due 02/12/2020	01/12/2018 01/12/2018 0.00	3,999,063.97 0.00 4,000,000.00 0.00	28,572.22 30,833.33 0.00 2,261.11	936.03 0.00 936.03 3,197.14	3,197.14
594918BP8	Microsoft Callable Note Cont 7/8/2021 1.55% Due 08/08/2021	06/30/2017 06/30/2017 2,000,000.00	1,987,130.00 0.00 0.00 1,989,132.00	12,313.89 15,500.00 4,563.89 7,750.00	2,002.00 0.00 2,002.00 9,752.00	9,752.00
65479GAD1	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 03/15/2023	Various Various 5,690,000.00	5,717,037.65 0.00 0.00 5,714,932.92	7,738.40 43,528.50 7,738.40 43,528.50	6.26 2,110.99 (2,104.73) 41,423.77	41,423.77
65479JAD5	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 07/15/2024	10/16/2019 10/23/2019 4,780,000.00	4,779,757.85 0.00 0.00 4,779,771.15	4,100.18 23,063.49 4,100.18 23,063.49	13.30 0.00 13.30 23,076.79	23,076.79
68389XBK0	Oracle Corp Callable Note Cont 8/15/2021 1.9% Due 09/15/2021	04/11/2019 04/15/2019 7,000,000.00	6,912,780.00 0.00 0.00 6,925,520.00	39,161.11 66,500.00 5,911.11 33,250.00	12,740.00 0.00 12,740.00 45,990.00	45,990.00
69353RFE3	PNC Bank Callable Note Cont 6/28/2022 2.45% Due 07/28/2022	Various Various 5,640,000.00	5,556,123.22 0.00 0.00 5,564,211.78	58,726.51 69,090.00 24,181.51 34,545.00	9,342.82 1,254.26 8,088.56 42,633.56	42,633.56

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69371RP59	Paccar Financial Corp Note 3.4% Due 08/09/2023	08/06/2018 08/09/2018 4,095,000.00	4,093,789.98 0.00 0.00 4,093,873.65	54,918.50 69,615.00 20,111.00 34,807.50	83.67 0.00 83.67 34,891.17	34,891.17
69371RQ25	Paccar Financial Corp Note 2.15% Due 08/15/2024	08/08/2019 08/15/2019 2,465,000.00	2,459,966.81 0.00 0.00 2,460,238.15	20,021.28 26,498.75 6,771.90 13,249.37	271.34 0.00 271.34 13,520.71	13,520.71
78012KKU0	Royal Bank of Canada Note 2.5% Due 01/19/2021	Various Various 6,567,000.00	6,526,923.15 0.00 0.00 6,536,420.53	73,878.75 82,087.50 32,835.00 41,043.75	9,497.38 0.00 9,497.38 50,541.13	50,541.13
78013XZU5	Royal Bank of Canada Note 2.55% Due 07/16/2024	12/05/2019 12/09/2019 3,054,000.00	3,095,899.90 0.00 0.00 3,093,600.21	35,693.63 38,938.50 16,224.38 19,469.25	0.00 2,299.69 (2,299.69) 17,169.56	17,169.56
798170AC0	San Jose CA Redev Agy Tax Allocation 2.259% Due 08/01/2020	12/21/2017 12/21/2017 1,000,000.00	1,001,460.19 0.00 0.00 1,000,836.35	9,412.50 11,295.00 3,765.00 5,647.50	0.00 623.84 (623.84) 5,023.66	5,023.66
808513AT2	Charles Schwab Corp Callable Note Cont 12/25/2022 2.65% Due 01/25/2023	Various Various 5,580,000.00	5,475,721.90 0.00 0.00 5,484,194.50	64,076.99 73,935.00 27,109.49 36,967.50	8,472.60 0.00 8,472.60 45,440.10	45,440.10
857477AV5	State Street Bank Note 1.95% Due 05/19/2021	Various Various 4,916,000.00	4,855,765.05 0.00 0.00 4,866,640.81	11,183.90 0.00 35,149.40 23,965.50	10,875.76 0.00 10,875.76 34,841.26	34,841.26
89114QC48	Toronto Dominion Bank Note 3.5% Due 07/19/2023	07/27/2018 07/31/2018 5,000,000.00	4,989,648.57 0.00 0.00 4,990,375.96	78,750.00 87,500.00 35,000.00 43,750.00	727.39 0.00 727.39 44,477.39	44,477.39
89114QCB2	Toronto Dominion Bank Note 3.25% Due 03/11/2024	03/26/2019 03/28/2019 1,500,000.00	1,516,062.81 0.00 0.00 1,515,108.07	14,895.83 24,375.00 2,708.33 12,187.50	0.00 954.74 (954.74) 11,232.76	11,232.76

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89236TDP7	Toyota Motor Credit Corp Note 2.6% Due 01/11/2022	Various Various 6,750,000.00	6,679,571.49 0.00 0.00 6,688,220.60	82,875.00 87,750.00 39,000.00 43,875.00	8,649.11 0.00 8,649.11 52,524.11	52,524.11
89238TAD5	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 09/15/2022	Various Various 6,825,000.00	6,888,516.93 0.00 0.00 6,882,666.69	8,978.66 50,505.00 8,978.66 50,505.00	0.00 5,850.24 (5,850.24) 44,654.76	44,654.76
90331HPL1	US Bank NA Callable Note Cont 12/21/2024 2.05% Due 01/21/2025	01/16/2020 01/21/2020 9,485,000.00	0.00 9,464,796.95 0.00 9,465,582.07	0.00 0.00 37,808.26 37,808.26	785.12 0.00 785.12 38,593.38	38,593.38
904764AV9	Unilever Capital Note 1.8% Due 05/05/2020	12/21/2017 12/21/2017 2,000,000.00	1,998,207.27 0.00 0.00 1,999,512.38	5,600.00 0.00 14,600.00 9,000.00	1,305.11 0.00 1,305.11 10,305.11	10,305.11
9128283D0	US Treasury Note 2.25% Due 10/31/2024	07/05/2019 07/08/2019 11,000,000.00	11,186,280.15 0.00 0.00 11,176,675.91	42,156.59 0.00 104,031.59 61,875.00	0.00 9,604.24 (9,604.24) 52,270.76	52,270.76
9128283V0	US Treasury Note 2.5% Due 01/31/2025	07/30/2019 07/31/2019 11,000,000.00	11,329,329.51 0.00 0.00 11,313,191.13	115,081.52 137,500.00 46,085.16 68,503.64	0.00 16,138.38 (16,138.38) 52,365.26	52,365.26
912828B66	US Treasury Note 2.75% Due 02/15/2024	Various Various 11,000,000.00	11,229,354.88 0.00 0.00 11,215,496.12	114,259.51 151,250.00 38,228.02 75,218.51	0.00 13,858.76 (13,858.76) 61,359.75	61,359.75
912828D56	US Treasury Note 2.375% Due 08/15/2024	Various Various 10,750,000.00	11,136,558.39 0.00 0.00 11,115,719.05	96,435.97 127,656.25 32,264.76 63,485.04	0.00 20,839.34 (20,839.34) 42,645.70	42,645.70
912828L57	US Treasury Note 1.75% Due 09/30/2022	09/07/2018 09/10/2018 8,000,000.00	7,786,032.87 0.00 0.00 7,805,445.64	35,573.77 70,000.00 382.51 34,808.74	19,412.77 0.00 19,412.77 54,221.51	54,221.51



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912828N30	US Treasury Note 2.125% Due 12/31/2022	10/03/2018 10/04/2018 8,000,000.00	7,809,797.65 0.00 0.00 7,825,604.42	467.03 0.00 42,967.03 42,500.00	15,806.77 0.00 15,806.77 58,306.77	58,306.77
912828N89	US Treasury Note 1.375% Due 01/31/2021	01/28/2020 01/29/2020 10,000,000.00	0.00 9,983,984.38 0.00 9,986,726.18	0.00 747.28 23,042.58 23,789.86	2,741.80 0.00 2,741.80 26,531.66	26,531.66
912828Q37	US Treasury Note 1.25% Due 03/31/2021	01/22/2020 01/23/2020 10,000,000.00	0.00 9,963,281.25 0.00 9,969,132.51	0.00 23,224.04 341.53 23,565.57	5,851.26 0.00 5,851.26 29,416.83	29,416.83
912828T34	US Treasury Note 1.125% Due 09/30/2021	11/26/2019 11/27/2019 7,000,000.00	6,940,120.85 0.00 0.00 6,948,661.60	20,010.25 39,375.00 215.16 19,579.91	8,540.75 0.00 8,540.75 28,120.66	28,120.66
912828T91	US Treasury Note 1.625% Due 10/31/2023	05/29/2019 05/30/2019 10,000,000.00	9,844,006.63 0.00 0.00 9,854,153.45	27,678.57 0.00 68,303.57 40,625.00	10,146.82 0.00 10,146.82 50,771.82	50,771.82
912828V23	US Treasury Note 2.25% Due 12/31/2023	06/21/2019 06/24/2019 10,000,000.00	10,173,753.60 0.00 0.00 10,162,923.75	618.13 0.00 56,868.13 56,250.00	0.00 10,829.85 (10,829.85) 45,420.15	45,420.15
912828VA5	US Treasury Note 1.125% Due 04/30/2020	03/23/2018 03/23/2018 3,900,000.00	3,984,785.44 0.00 99,759.10 3,896,415.07	7,625.00 327.61 18,403.13 11,105.74	11,388.73 0.00 11,388.73 22,494.47	22,494.47
912828VJ6	US Treasury Note 1.875% Due 06/30/2020	01/23/2018 01/23/2018 4,000,000.00	3,994,869.29 0.00 0.00 3,997,448.82	206.04 0.00 18,956.04 18,750.00	2,579.53 0.00 2,579.53 21,329.53	21,329.53
912828VV9	US Treasury Note 2.125% Due 08/31/2020	04/17/2018 04/17/2018 4,000,000.00	3,991,285.14 0.00 0.00 3,994,548.73	28,722.53 42,500.00 7,391.30 21,168.77	3,263.59 0.00 3,263.59 24,432.36	24,432.36

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912828X70	US Treasury Note 2% Due 04/30/2024	Various Various 11,000,000.00	11,041,878.30 0.00 0.00 11,039,467.85	37,472.53 0.00 92,472.53 55,000.00	0.00 2,410.45 (2,410.45) 52,589.55	52,589.55
912828XG0	US Treasury Note 2.125% Due 06/30/2022	09/11/2019 09/12/2019 10,000,000.00	10,125,699.84 0.00 0.00 10,113,143.66	583.79 0.00 53,708.79 53,125.00	0.00 12,556.18 (12,556.18) 40,568.82	40,568.82
912828XH8	US Treasury Note 1.625% Due 06/30/2020	02/27/2020 02/28/2020 4,500,000.00	0.00 4,503,164.06 0.00 4,502,315.17	0.00 (11,852.68) 18,482.14 6,629.46	0.00 848.89 (848.89) 5,780.57	5,780.57
912828XX3	US Treasury Note 2% Due 06/30/2024	Various Various 11,000,000.00	11,123,072.15 0.00 0.00 11,116,251.47	604.40 0.00 55,604.40 55,000.00	0.00 6,820.68 (6,820.68) 48,179.32	48,179.32
912828ZC7	US Treasury Note 1.125% Due 02/28/2025	03/18/2020 03/19/2020 11,250,000.00	0.00 11,423,583.98 0.00 11,422,335.17	0.00 (6,534.48) 11,005.43 4,470.95	0.00 1,248.81 (1,248.81) 3,222.14	3,222.14
92348AAA3	Verizon Owner Trust 2019-C A1A 1.94% Due 04/22/2024	10/01/2019 10/08/2019 3,055,000.00	3,054,776.54 0.00 0.00 3,054,789.46	1,810.94 14,816.76 1,810.94 14,816.76	12.92 0.00 12.92 14,829.68	14,829.68
92826CAB8	Visa Inc Callable Note Cont 11/14/2020 2.2% Due 12/14/2020	03/28/2018 03/28/2018 4,000,000.00	3,980,817.90 0.00 0.00 3,985,833.91	4,155.56 0.00 26,155.56 22,000.00	5,016.01 0.00 5,016.01 27,016.01	27,016.01
931142EK5	Wal-Mart Stores Callable Note Cont 5/26/2023 3.4% Due 06/26/2023	Various Various 6,575,000.00	6,667,829.04 0.00 0.00 6,661,022.07	3,104.86 0.00 58,992.36 55,887.50	0.00 6,806.97 (6,806.97) 49,080.53	49,080.53
			602,965,052.57	3,221,541.78	393,604.69	
			95,383,645.86	4,106,440.72	355,322.91	
			33,235,204.25	2,995,384.81	38,281.78	
<b>Total Fixed Income</b>			<b>662,110,618.99</b>	<b>3,880,283.75</b>	<b>3,918,565.53</b>	<b>3,918,565.53</b>

## Income Earned

As of March 31, 2020



CUSIP	Security Description	Trade Date Settle Date Units	Book Value: Begin Book Value: Acq Book Value: Disp Book Value: End	Prior Accrued Inc. Received Ending Accrued Total Interest	Accr. Of Discount Amort. Of Premium Net Accret/Amort Income Earned	Total Income
<b>CASH &amp; EQUIVALENT</b>						
313384UD9	FHLB Discount Note Due 03/11/2020	01/31/2020 01/31/2020 0.00	0.00 11,979,200.00 11,997,400.00 0.00	0.00 0.00 0.00 0.00	18,200.00 0.00 18,200.00 18,200.00	18,200.00
60934N807	Federated Investors Govt Oblig Fund Inst.	01/27/2020 01/27/2020 2,436,315.23	11,328,812.59 103,615,245.04 112,507,742.40 2,436,315.23	0.00 46,219.19 0.00 46,219.19	0.00 0.00 0.00 46,219.19	46,219.19
62479LB38	MUFG Bank Ltd Discount CP Due 02/03/2020	10/31/2019 10/31/2019 0.00	7,986,140.00 0.00 8,000,000.00 0.00	0.00 0.00 0.00 0.00	13,860.00 0.00 13,860.00 13,860.00	13,860.00
62479LDG7	MUFG Bank Ltd Discount CP 1.89% Due 04/16/2020	11/22/2019 11/22/2019 4,000,000.00	3,977,740.00 0.00 0.00 3,996,850.00	0.00 0.00 0.00 0.00	19,110.00 0.00 19,110.00 19,110.00	19,110.00
89233GDT0	Toyota Motor Credit Discount CP 1.72% Due 04/27/2020	01/29/2020 01/29/2020 5,000,000.00	0.00 4,978,738.89 0.00 4,993,788.89	0.00 0.00 0.00 0.00	15,050.00 0.00 15,050.00 15,050.00	15,050.00
			<b>23,292,692.59</b>	<b>0.00</b>	<b>66,220.00</b>	
			<b>120,573,183.93</b>	<b>46,219.19</b>	<b>0.00</b>	
			<b>132,505,142.40</b>	<b>0.00</b>	<b>66,220.00</b>	
<b>Total Cash &amp; Equivalent</b>		<b>11,436,315.23</b>	<b>11,426,954.12</b>	<b>46,219.19</b>	<b>112,439.19</b>	<b>112,439.19</b>

## Income Earned

As of March 31, 2020



CUSIP	Security Description	Trade Date Settle Date Units	Book Value: Begin Book Value: Acq Book Value: Disp Book Value: End	Prior Accrued Inc. Received Ending Accrued Total Interest	Accr. Of Discount Amort. Of Premium Net Accret/Amort Income Earned	Total Income
<b>LOCAL AGENCY INVESTMENT FUND</b>						
90LAIF\$00	Local Agency Investment Fund	Various	48,588,505.80	224,172.74	0.00	268,200.55
	State Pool	Various	8,248,635.82	248,635.82	0.00	
		37,837,141.62	19,000,000.00	243,737.47	0.00	
			37,837,141.62	268,200.55	268,200.55	
			<b>48,588,505.80</b>	<b>224,172.74</b>	<b>0.00</b>	
			<b>8,248,635.82</b>	<b>248,635.82</b>	<b>0.00</b>	
			<b>19,000,000.00</b>	<b>243,737.47</b>	<b>0.00</b>	
<b>Total Local Agency Investment Fund</b>		<b>37,837,141.62</b>	<b>37,837,141.62</b>	<b>268,200.55</b>	<b>268,200.55</b>	<b>268,200.55</b>
			<b>674,846,250.96</b>	<b>3,445,714.52</b>	<b>459,824.69</b>	
			<b>224,205,465.61</b>	<b>4,401,295.73</b>	<b>355,322.91</b>	
			<b>184,740,346.65</b>	<b>3,239,122.28</b>	<b>104,501.78</b>	
<b>TOTAL PORTFOLIO</b>		<b>711,384,075.84</b>	<b>714,415,871.70</b>	<b>4,194,703.49</b>	<b>4,299,205.27</b>	<b>4,299,205.27</b>

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
04/01/2020	Interest	594918AH7	3,817,000.00	Microsoft Note 3% Due 10/1/2020	0.00	57,255.00	57,255.00
04/01/2020	Interest	13063DDE5	8,000,000.00	California St TE-GO 2.3% Due 10/1/2020	0.00	92,000.00	92,000.00
04/01/2020	Interest	13063DRK6	4,475,000.00	California St Taxable GO 2.4% Due 10/1/2024	0.00	46,838.33	46,838.33
04/02/2020	Maturity	3133ECKU7	4,000,000.00	FFCB Note 1.49% Due 4/2/2020	4,000,000.00	29,800.00	4,029,800.00
04/05/2020	Interest	3135G0T45	6,000,000.00	FNMA Note 1.875% Due 4/5/2022	0.00	56,250.00	56,250.00
04/10/2020	Interest	02665WCQ2	1,000,000.00	American Honda Finance Note 3.625% Due 10/10/2023	0.00	18,125.00	18,125.00
04/12/2020	Interest	3130AF5B9	8,000,000.00	FHLB Note 3% Due 10/12/2021	0.00	120,000.00	120,000.00
04/15/2020	Dividend	90LAIF\$00	4,728,450,350.12	Local Agency Investment Fund State Pool	0.00	244,227.71	244,227.71
04/15/2020	Interest	3135G0W66	7,590,000.00	FNMA Note 1.625% Due 10/15/2024	0.00	60,640.94	60,640.94
04/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	97,457.15	4,977.45	102,434.60
04/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	464,312.62	14,509.50	478,822.12
04/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	316,676.29	9,574.92	326,251.21
04/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	64,720.39	3,791.94	68,512.33
04/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	86,753.67	7,687.83	94,441.50
04/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	113,011.78	1,904.64	114,916.42
04/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	162,682.79	13,911.33	176,594.12
04/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	48,911.99	4,245.04	53,157.03

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
04/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	735,825.65	16,835.00	752,660.65
04/16/2020	Maturity	62479LDG7	4,000,000.00	MUFG Bank Ltd Discount CP 1.89% Due 4/16/2020	4,000,000.00	0.00	4,000,000.00
04/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	129,286.47	5,763.47	135,049.94
04/19/2020	Paydown	3137B5JM6	0.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
04/19/2020	Paydown	3137BM6P6	0.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
04/19/2020	Paydown	3137B6ZM6	0.00	FHLMC K714 A2 3.034% Due 10/25/2020	402,896.08	18,204.67	421,100.75
04/19/2020	Paydown	3137BYPQ7	0.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.66	22,271.66
04/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	57,796.19	4,938.92	62,735.11
04/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	788,903.87	19,968.31	808,872.18
04/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
04/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
04/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
04/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
04/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	154,042.35	16,689.75	170,732.10
04/25/2020	Paydown	3137B6ZM6	6,797,365.21	FHLMC K714 A2 3.034% Due 10/25/2020	961,271.65	17,186.01	978,457.66
04/27/2020	Maturity	89233GDT0	5,000,000.00	Toyota Motor Credit Discount CP 1.72% Due 4/27/2020	5,000,000.00	0.00	5,000,000.00
04/28/2020	Interest	06406RAG2	4,280,000.00	Bank of NY Mellon Corp Note 3.5% Due 4/28/2023	0.00	74,900.00	74,900.00

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
04/30/2020	Interest	9128283D0	11,000,000.00	US Treasury Note 2.25% Due 10/31/2024	0.00	123,750.00	123,750.00
04/30/2020	Interest	912828T91	10,000,000.00	US Treasury Note 1.625% Due 10/31/2023	0.00	81,250.00	81,250.00
04/30/2020	Interest	912828X70	11,000,000.00	US Treasury Note 2% Due 4/30/2024	0.00	110,000.00	110,000.00
04/30/2020	Maturity	912828VA5	3,900,000.00	US Treasury Note 1.125% Due 4/30/2020	3,900,000.00	21,937.50	3,921,937.50
<b>APR 2020</b>					<b>21,484,548.94</b>	<b>1,437,569.55</b>	<b>22,922,118.49</b>
05/03/2020	Interest	00440EAT4	5,975,000.00	Chubb INA Holdings Inc Callable Note Cont 10/3/2020 2.3% Due 11/3/2020	0.00	68,712.50	68,712.50
05/05/2020	Maturity	904764AV9	2,000,000.00	Unilever Capital Note 1.8% Due 5/5/2020	2,000,000.00	18,000.00	2,018,000.00
05/06/2020	Interest	037833AR1	3,000,000.00	Apple Inc Note 2.85% Due 5/6/2021	0.00	42,750.00	42,750.00
05/08/2020	Interest	14913Q3B3	8,820,000.00	Caterpillar Finl Service Note 2.15% Due 11/8/2024	0.00	94,815.00	94,815.00
05/09/2020	Interest	4581X0CD8	4,000,000.00	Inter-American Dev Bank Note 2.125% Due 11/9/2020	0.00	42,500.00	42,500.00
05/11/2020	Interest	369550BE7	5,100,000.00	General Dynamics Corp Note 3% Due 5/11/2021	0.00	76,500.00	76,500.00
05/11/2020	Maturity	037833CS7	4,000,000.00	Apple Inc Note 1.8% Due 5/11/2020	4,000,000.00	36,000.00	4,036,000.00
05/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	107,859.47	1,733.24	109,592.71
05/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	163,103.47	13,493.78	176,597.25
05/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	64,873.55	3,286.51	68,160.06
05/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,013.89	4,154.96	53,168.85
05/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	97,687.80	4,745.99	102,433.79

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
05/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	447,575.31	13,325.50	460,900.81
05/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	309,833.20	9,105.18	318,938.38
05/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	86,948.87	7,548.30	94,497.17
05/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	702,028.27	15,019.96	717,048.23
05/18/2020	Interest	404280BS7	1,955,000.00	HSBC Holdings PLC Callable Note 1X 5/18/2023 3.95% Due 5/18/2024	0.00	38,611.25	38,611.25
05/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	129,623.69	5,467.19	135,090.88
05/19/2020	Interest	857477AV5	4,916,000.00	State Street Bank Note 1.95% Due 5/19/2021	0.00	47,931.00	47,931.00
05/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	57,926.23	4,845.48	62,771.71
05/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	754,391.70	18,028.93	772,420.63
05/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
05/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
05/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
05/25/2020	Interest	404280BA6	7,000,000.00	HSBC Holdings PLC Note 3.6% Due 5/25/2023	0.00	126,000.00	126,000.00
05/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
05/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	154,514.88	16,296.94	170,811.82
05/25/2020	Paydown	3137B6ZM6	6,797,365.21	FHLMC K714 A2 3.034% Due 10/25/2020	964,513.54	14,755.59	979,269.13
<b>MAY 2020</b>					<b>10,089,893.87</b>	<b>808,011.93</b>	<b>10,897,905.80</b>



## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
06/08/2020	Interest	3130A0F70	7,000,000.00	FHLB Note 3.375% Due 12/8/2023	0.00	118,125.00	118,125.00
06/11/2020	Interest	3130AD4X7	3,000,000.00	FHLB Note 2% Due 12/11/2020	0.00	30,000.00	30,000.00
06/11/2020	Interest	313371U79	8,000,000.00	FHLB Note 3.125% Due 12/11/2020	0.00	125,000.00	125,000.00
06/12/2020	Interest	3130AGFP5	5,000,000.00	FHLB Note 2.5% Due 6/12/2026	0.00	62,500.00	62,500.00
06/14/2020	Interest	3130A1XJ2	11,175,000.00	FHLB Note 2.875% Due 6/14/2024	0.00	160,640.63	160,640.63
06/14/2020	Interest	92826CAB8	4,000,000.00	Visa Inc Callable Note Cont 11/14/2020 2.2% Due 12/14/2020	0.00	44,000.00	44,000.00
06/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	102,696.53	1,569.66	104,266.19
06/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	163,525.22	13,075.15	176,600.37
06/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	97,919.00	4,513.98	102,432.98
06/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	430,772.58	12,184.19	442,956.77
06/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,116.01	4,064.69	53,180.70
06/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	65,027.09	3,227.04	68,254.13
06/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	302,973.47	8,645.60	311,619.07
06/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	87,144.50	7,408.46	94,552.96
06/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	668,099.05	13,288.30	681,387.35
06/16/2020	Maturity	4581X0CP1	2,000,000.00	Inter-American Dev Bank Note 1.875% Due 6/16/2020	2,000,000.00	18,750.00	2,018,750.00
06/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	129,961.78	5,170.14	135,131.92

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
06/19/2020	Interest	3137EAEN5	6,000,000.00	FHLMC Note 2.75% Due 6/19/2023	0.00	82,500.00	82,500.00
06/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,056.57	4,751.83	62,808.40
06/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	719,751.49	16,174.38	735,925.87
06/22/2020	Maturity	3135G0D75	4,000,000.00	FNMA Note 1.5% Due 6/22/2020	4,000,000.00	30,000.00	4,030,000.00
06/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
06/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
06/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
06/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
06/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	154,988.87	15,902.92	170,891.79
06/25/2020	Paydown	3137B6ZM6	6,797,365.21	FHLMC K714 A2 3.034% Due 10/25/2020	967,766.36	12,316.98	980,083.34
06/26/2020	Interest	931142EK5	6,575,000.00	Wal-Mart Stores Callable Note Cont 5/26/2023 3.4% Due 6/26/2023	0.00	111,775.00	111,775.00
06/30/2020	Interest	912828XX3	11,000,000.00	US Treasury Note 2% Due 6/30/2024	0.00	110,000.00	110,000.00
06/30/2020	Interest	912828V23	10,000,000.00	US Treasury Note 2.25% Due 12/31/2023	0.00	112,500.00	112,500.00
06/30/2020	Interest	912828XG0	10,000,000.00	US Treasury Note 2.125% Due 6/30/2022	0.00	106,250.00	106,250.00
06/30/2020	Interest	912828N30	8,000,000.00	US Treasury Note 2.125% Due 12/31/2022	0.00	85,000.00	85,000.00
06/30/2020	Maturity	912828VJ6	4,000,000.00	US Treasury Note 1.875% Due 6/30/2020	4,000,000.00	37,500.00	4,037,500.00
06/30/2020	Maturity	912828XH8	4,500,000.00	US Treasury Note 1.625% Due 6/30/2020	4,500,000.00	36,562.50	4,536,562.50

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
<b>JUN 2020</b>					<b>18,497,798.52</b>	<b>1,477,781.08</b>	<b>19,975,579.60</b>
07/02/2020	Interest	3135G0V75	8,250,000.00	FNMA Note 1.75% Due 7/2/2024	0.00	72,187.50	72,187.50
07/05/2020	Interest	3135G0S38	2,150,000.00	FNMA Note 2% Due 1/5/2022	0.00	21,500.00	21,500.00
07/07/2020	Interest	3135G0X24	13,785,000.00	FNMA Note 1.625% Due 1/7/2025	0.00	110,136.41	110,136.41
07/11/2020	Interest	89236TDP7	6,750,000.00	Toyota Motor Credit Corp Note 2.6% Due 1/11/2022	0.00	87,750.00	87,750.00
07/14/2020	Interest	02665WCJ8	5,070,000.00	American Honda Finance Note 3.45% Due 7/14/2023	0.00	87,457.50	87,457.50
07/15/2020	Interest	48128BAB7	7,750,000.00	JP Morgan Chase & Co Callable Note 1X 1/15/2022 2.972% Due 1/15/2023	0.00	115,165.00	115,165.00
07/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	634,037.59	11,640.31	645,677.90
07/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	296,097.07	8,196.18	304,293.25
07/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	87,340.58	7,268.30	94,608.88
07/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,218.33	3,974.24	53,192.57
07/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	98,150.73	4,281.43	102,432.16
07/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	413,904.20	11,085.72	424,989.92
07/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	97,522.96	1,413.90	98,936.86
07/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	163,948.07	12,655.44	176,603.51
07/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	65,180.99	3,167.43	68,348.42
07/16/2020	Interest	78013XZU5	3,054,000.00	Royal Bank of Canada Note 2.55% Due 7/16/2024	0.00	38,938.50	38,938.50

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
07/16/2020	Maturity	45950KCG3	4,000,000.00	International Finance Corp Note 1.625% Due 7/16/2020	4,000,000.00	32,500.00	4,032,500.00
07/17/2020	Interest	3133EH7F4	3,000,000.00	FFCB Note 2.35% Due 1/17/2023	0.00	35,250.00	35,250.00
07/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	130,300.77	4,872.31	135,173.08
07/19/2020	Interest	78012KKU0	6,567,000.00	Royal Bank of Canada Note 2.5% Due 1/19/2021	0.00	82,087.50	82,087.50
07/19/2020	Interest	89114QC48	5,000,000.00	Toronto Dominion Bank Note 3.5% Due 7/19/2023	0.00	87,500.00	87,500.00
07/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,187.20	4,657.97	62,845.17
07/21/2020	Interest	90331HPL1	9,485,000.00	US Bank NA Callable Note Cont 12/21/2024 2.05% Due 1/21/2025	0.00	97,221.25	97,221.25
07/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	684,982.80	14,404.99	699,387.79
07/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
07/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
07/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
07/25/2020	Interest	45950KCM0	6,000,000.00	International Finance Corp Note 2.25% Due 1/25/2021	0.00	67,500.00	67,500.00
07/25/2020	Interest	808513AT2	5,580,000.00	Charles Schwab Corp Callable Note Cont 12/25/2022 2.65% Due 1/25/2023	0.00	73,935.00	73,935.00
07/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
07/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	155,464.28	15,507.71	170,971.99
07/25/2020	Paydown	3137B6ZM6	6,797,365.21	FHLMC K714 A2 3.034% Due 10/25/2020	971,030.16	9,870.14	980,900.30
07/28/2020	Interest	69353RFE3	5,640,000.00	PNC Bank Callable Note Cont 6/28/2022 2.45% Due 7/28/2022	0.00	69,090.00	69,090.00

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
07/30/2020	Maturity	3135G0T60	4,000,000.00	FNMA Note 1.5% Due 7/30/2020	4,000,000.00	30,000.00	4,030,000.00
07/31/2020	Interest	912828N89	10,000,000.00	US Treasury Note 1.375% Due 1/31/2021	0.00	68,750.00	68,750.00
07/31/2020	Interest	9128283V0	11,000,000.00	US Treasury Note 2.5% Due 1/31/2025	0.00	137,500.00	137,500.00
<b>JUL 2020</b>					<b>11,905,365.73</b>	<b>1,511,849.36</b>	<b>13,417,215.09</b>
08/01/2020	Maturity	798170AC0	1,000,000.00	San Jose CA Redev Agy Tax Allocation 2.259% Due 8/1/2020	1,000,000.00	11,295.00	1,011,295.00
08/08/2020	Interest	594918BP8	2,000,000.00	Microsoft Callable Note Cont 7/8/2021 1.55% Due 8/8/2021	0.00	15,500.00	15,500.00
08/09/2020	Interest	69371RP59	4,095,000.00	Paccar Financial Corp Note 3.4% Due 8/9/2023	0.00	69,615.00	69,615.00
08/11/2020	Interest	06406RAJ6	2,750,000.00	Bank of NY Mellon Corp Note 3.45% Due 8/11/2023	0.00	47,437.50	47,437.50
08/12/2020	Interest	3137EAEP0	15,235,000.00	FHLMC Note 1.5% Due 2/12/2025	0.00	112,992.92	112,992.92
08/15/2020	Interest	912828B66	11,000,000.00	US Treasury Note 2.75% Due 2/15/2024	0.00	151,250.00	151,250.00
08/15/2020	Interest	69371RQ25	2,465,000.00	Paccar Financial Corp Note 2.15% Due 8/15/2024	0.00	26,498.75	26,498.75
08/15/2020	Interest	912828D56	10,750,000.00	US Treasury Note 2.375% Due 8/15/2024	0.00	127,656.25	127,656.25
08/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	92,338.72	1,265.99	93,604.71
08/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	164,372.01	12,234.64	176,606.65
08/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,320.86	3,883.60	53,204.46
08/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	599,843.35	10,076.36	609,919.71
08/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	289,203.95	7,756.97	296,960.92

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
08/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	65,335.25	3,107.68	68,442.93
08/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	87,537.09	7,127.83	94,664.92
08/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	98,383.02	4,048.32	102,431.34
08/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	396,969.94	10,030.26	407,000.20
08/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	130,640.64	4,573.70	135,214.34
08/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,318.12	4,563.90	62,882.02
08/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	650,085.22	12,721.07	662,806.29
08/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
08/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
08/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
08/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
08/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	155,941.17	15,111.28	171,052.45
08/25/2020	Paydown	3137B6ZM6	6,797,365.21	FHLMC K714 A2 3.034% Due 10/25/2020	974,304.96	7,415.05	981,720.01
08/31/2020	Interest	912828ZC7	11,250,000.00	US Treasury Note 1.125% Due 2/28/2025	0.00	63,281.25	63,281.25
08/31/2020	Maturity	912828VV9	4,000,000.00	US Treasury Note 2.125% Due 8/31/2020	4,000,000.00	42,500.00	4,042,500.00
<b>AUG 2020</b>					<b>8,812,594.30</b>	<b>856,327.95</b>	<b>9,668,922.25</b>
09/01/2020	Maturity	478160AW4	4,000,000.00	Johnson & Johnson Note 2.95% Due 9/1/2020	4,000,000.00	59,000.00	4,059,000.00

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
09/05/2020	Interest	06051GHF9	8,310,000.00	Bank of America Corp Callable Note 1X 3/5/2023 3.55% Due 3/5/2024	0.00	147,502.50	147,502.50
09/06/2020	Interest	24422ETG4	6,268,000.00	John Deere Capital Corp Note 2.8% Due 3/6/2023	0.00	87,752.00	87,752.00
09/08/2020	Interest	3130A0XE5	8,000,000.00	FHLB Note 3.25% Due 3/8/2024	0.00	130,000.00	130,000.00
09/08/2020	Interest	3130AB3H7	3,000,000.00	FHLB Note 2.375% Due 3/8/2024	0.00	35,625.00	35,625.00
09/08/2020	Interest	313383YJ4	7,000,000.00	FHLB Note 3.375% Due 9/8/2023	0.00	118,125.00	118,125.00
09/09/2020	Interest	313380GJ0	10,000,000.00	FHLB Note 2% Due 9/9/2022	0.00	100,000.00	100,000.00
09/10/2020	Interest	313383ZU8	5,000,000.00	FHLB Note 3% Due 9/10/2021	0.00	75,000.00	75,000.00
09/10/2020	Interest	3130ADRG9	7,000,000.00	FHLB Note 2.75% Due 3/10/2023	0.00	96,250.00	96,250.00
09/11/2020	Interest	89114QCB2	1,500,000.00	Toronto Dominion Bank Note 3.25% Due 3/11/2024	0.00	24,375.00	24,375.00
09/11/2020	Maturity	313370US5	7,000,000.00	FHLB Note 2.875% Due 9/11/2020	7,000,000.00	100,625.00	7,100,625.00
09/12/2020	Interest	3130A0XD7	8,000,000.00	FHLB Note 2.375% Due 3/12/2021	0.00	95,000.00	95,000.00
09/12/2020	Interest	3135G0U43	8,205,000.00	FNMA Note 2.875% Due 9/12/2023	0.00	117,946.88	117,946.88
09/13/2020	Interest	3130AAUF3	5,430,000.00	FHLB Note 2.75% Due 3/13/2026	0.00	74,662.50	74,662.50
09/13/2020	Interest	3130A2UW4	9,350,000.00	FHLB Note 2.875% Due 9/13/2024	0.00	134,406.25	134,406.25
09/14/2020	Interest	4581X0CZ9	5,000,000.00	Inter-American Dev Bank Note 1.75% Due 9/14/2022	0.00	43,750.00	43,750.00
09/15/2020	Interest	084670BR8	4,232,000.00	Berkshire Hathaway Callable Note Cont 1/15/2023 2.75% Due 3/15/2023	0.00	58,190.00	58,190.00
09/15/2020	Interest	68389XBK0	7,000,000.00	Oracle Corp Callable Note Cont 8/15/2021 1.9% Due 9/15/2021	0.00	66,500.00	66,500.00

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
09/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	565,515.93	8,596.75	574,112.68
09/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	282,294.09	7,327.98	289,622.07
09/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	87,734.05	6,987.04	94,721.09
09/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	87,143.81	1,125.94	88,269.75
09/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	164,797.05	11,812.75	176,609.80
09/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	65,489.88	3,047.79	68,537.67
09/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,423.62	3,792.76	53,216.38
09/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	98,615.86	3,814.66	102,430.52
09/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	379,969.58	9,017.99	388,987.57
09/16/2020	Maturity	36962G4R2	2,000,000.00	General Electric Capital Corp Note 4.375% Due 9/16/2020	2,000,000.00	43,750.00	2,043,750.00
09/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	130,981.39	4,274.32	135,255.71
09/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,449.34	4,469.62	62,918.96
09/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	615,058.30	11,122.95	626,181.25
09/22/2020	Interest	3133EJHD4	4,000,000.00	FFCB Note 2.48% Due 3/22/2021	0.00	49,600.00	49,600.00
09/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
09/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
09/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25



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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
09/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
09/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	156,419.52	14,713.62	171,133.14
09/25/2020	Paydown	3137B6ZM6	6,797,365.21	FHLMC K714 A2 3.034% Due 10/25/2020	977,590.80	4,951.69	982,542.49
09/29/2020	Maturity	3137EAEJ4	4,000,000.00	FHLMC Note 1.625% Due 9/29/2020	4,000,000.00	32,500.00	4,032,500.00
09/30/2020	Interest	912828L57	8,000,000.00	US Treasury Note 1.75% Due 9/30/2022	0.00	70,000.00	70,000.00
09/30/2020	Interest	912828Q37	10,000,000.00	US Treasury Note 1.25% Due 3/31/2021	0.00	62,500.00	62,500.00
09/30/2020	Interest	912828T34	7,000,000.00	US Treasury Note 1.125% Due 9/30/2021	0.00	39,375.00	39,375.00
<b>SEP 2020</b>					<b>20,719,483.22</b>	<b>2,041,875.62</b>	<b>22,761,358.84</b>
10/01/2020	Interest	13063DRK6	4,475,000.00	California St Taxable GO 2.4% Due 10/1/2024	0.00	53,700.00	53,700.00
10/01/2020	Maturity	594918AH7	3,817,000.00	Microsoft Note 3% Due 10/1/2020	3,817,000.00	57,255.00	3,874,255.00
10/01/2020	Maturity	13063DDE5	8,000,000.00	California St TE-GO 2.3% Due 10/1/2020	8,000,000.00	92,000.00	8,092,000.00
10/05/2020	Interest	3135G0T45	6,000,000.00	FNMA Note 1.875% Due 4/5/2022	0.00	56,250.00	56,250.00
10/10/2020	Interest	02665WCQ2	1,000,000.00	American Honda Finance Note 3.625% Due 10/10/2023	0.00	18,125.00	18,125.00
10/12/2020	Interest	3130AF5B9	8,000,000.00	FHLB Note 3% Due 10/12/2021	0.00	120,000.00	120,000.00
10/15/2020	Interest	3135G0W66	7,590,000.00	FNMA Note 1.625% Due 10/15/2024	0.00	61,668.75	61,668.75
10/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	275,367.44	6,909.25	282,276.69
10/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	87,931.45	6,845.94	94,777.39

## Cash Flow Report

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
10/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	531,054.86	7,201.81	538,256.67
10/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	81,938.19	993.77	82,931.96
10/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	165,223.18	11,389.77	176,612.95
10/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	98,849.25	3,580.45	102,429.70
10/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,526.58	3,701.74	53,228.32
10/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	65,644.87	2,987.76	68,632.63
10/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	362,902.89	8,049.06	370,951.95
10/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	131,323.04	3,974.15	135,297.19
10/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,580.84	4,375.13	62,955.97
10/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	579,901.66	9,610.93	589,512.59
10/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
10/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
10/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
10/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
10/25/2020	Paydown	3137B6ZM6	6,797,365.21	FHLMC K714 A2 3.034% Due 10/25/2020	980,887.73	2,480.01	983,367.74
10/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	156,899.35	14,314.75	171,214.10
10/28/2020	Interest	06406RAG2	4,280,000.00	Bank of NY Mellon Corp Note 3.5% Due 4/28/2023	0.00	74,900.00	74,900.00

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
10/31/2020	Interest	912828T91	10,000,000.00	US Treasury Note 1.625% Due 10/31/2023	0.00	81,250.00	81,250.00
10/31/2020	Interest	9128283D0	11,000,000.00	US Treasury Note 2.25% Due 10/31/2024	0.00	123,750.00	123,750.00
10/31/2020	Interest	912828X70	11,000,000.00	US Treasury Note 2% Due 4/30/2024	0.00	110,000.00	110,000.00
<b>OCT 2020</b>					<b>15,443,031.33</b>	<b>1,019,697.90</b>	<b>16,462,729.23</b>
11/03/2020	Maturity	00440EAT4	5,975,000.00	Chubb INA Holdings Inc Callable Note Cont 10/3/2020 2.3% Due 11/3/2020	5,975,000.00	68,712.50	6,043,712.50
11/06/2020	Interest	037833AR1	3,000,000.00	Apple Inc Note 2.85% Due 5/6/2021	0.00	42,750.00	42,750.00
11/08/2020	Interest	14913Q3B3	8,820,000.00	Caterpillar Finl Service Note 2.15% Due 11/8/2024	0.00	94,815.00	94,815.00
11/09/2020	Maturity	4581X0CD8	4,000,000.00	Inter-American Dev Bank Note 2.125% Due 11/9/2020	4,000,000.00	42,500.00	4,042,500.00
11/11/2020	Interest	369550BE7	5,100,000.00	General Dynamics Corp Note 3% Due 5/11/2021	0.00	76,500.00	76,500.00
11/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,629.76	3,610.53	53,240.29
11/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	99,083.20	3,345.68	102,428.88
11/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	345,769.62	7,123.66	352,893.28
11/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	76,721.84	869.50	77,591.34
11/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	165,650.42	10,965.70	176,616.12
11/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	65,800.23	2,927.58	68,727.81
11/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	268,423.98	6,500.79	274,924.77
11/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	88,129.30	6,704.51	94,833.81

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
11/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	496,459.68	5,891.86	502,351.54
11/18/2020	Interest	404280BS7	1,955,000.00	HSBC Holdings PLC Callable Note 1X 5/18/2023 3.95% Due 5/18/2024	0.00	38,611.25	38,611.25
11/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	131,665.57	3,673.20	135,338.77
11/19/2020	Interest	857477AV5	4,916,000.00	State Street Bank Note 1.95% Due 5/19/2021	0.00	47,931.00	47,931.00
11/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,712.65	4,280.42	62,993.07
11/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	544,614.84	8,185.34	552,800.18
11/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
11/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
11/25/2020	Interest	404280BA6	7,000,000.00	HSBC Holdings PLC Note 3.6% Due 5/25/2023	0.00	126,000.00	126,000.00
11/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
11/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
11/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	157,380.63	13,914.66	171,295.29
<b>NOV 2020</b>					<b>12,523,041.72</b>	<b>700,197.81</b>	<b>13,223,239.53</b>
12/08/2020	Interest	3130A0F70	7,000,000.00	FHLB Note 3.375% Due 12/8/2023	0.00	118,125.00	118,125.00
12/11/2020	Maturity	3130AD4X7	3,000,000.00	FHLB Note 2% Due 12/11/2020	3,000,000.00	30,000.00	3,030,000.00
12/11/2020	Maturity	313371U79	8,000,000.00	FHLB Note 3.125% Due 12/11/2020	8,000,000.00	125,000.00	8,125,000.00
12/12/2020	Interest	3130AGFP5	5,000,000.00	FHLB Note 2.5% Due 6/12/2026	0.00	62,500.00	62,500.00

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
12/14/2020	Interest	3130A1XJ2	11,175,000.00	FHLB Note 2.875% Due 6/14/2024	0.00	160,640.63	160,640.63
12/14/2020	Maturity	92826CAB8	4,000,000.00	Visa Inc Callable Note Cont 11/14/2020 2.2% Due 12/14/2020	4,000,000.00	44,000.00	4,044,000.00
12/15/2020	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	261,463.65	6,102.63	267,566.28
12/15/2020	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	65,955.95	2,867.27	68,823.22
12/15/2020	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	88,327.59	6,562.77	94,890.36
12/15/2020	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	99,317.69	3,110.36	102,428.05
12/15/2020	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,733.16	3,519.13	53,252.29
12/15/2020	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	328,569.55	6,241.95	334,811.50
12/15/2020	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	461,729.90	4,667.27	466,397.17
12/15/2020	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	71,494.76	753.14	72,247.90
12/15/2020	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	166,078.77	10,540.53	176,619.30
12/18/2020	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	132,009.00	3,371.47	135,380.47
12/19/2020	Interest	3137EAEN5	6,000,000.00	FHLMC Note 2.75% Due 6/19/2023	0.00	82,500.00	82,500.00
12/20/2020	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,844.75	4,185.51	63,030.26
12/21/2020	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	509,197.43	6,846.49	516,043.92
12/25/2020	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
12/25/2020	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
12/25/2020	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
12/25/2020	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
12/25/2020	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	157,863.40	13,513.34	171,376.74
12/26/2020	Interest	931142EK5	6,575,000.00	Wal-Mart Stores Callable Note Cont 5/26/2023 3.4% Due 6/26/2023	0.00	111,775.00	111,775.00
12/31/2020	Interest	912828XX3	11,000,000.00	US Treasury Note 2% Due 6/30/2024	0.00	110,000.00	110,000.00
12/31/2020	Interest	912828V23	10,000,000.00	US Treasury Note 2.25% Due 12/31/2023	0.00	112,500.00	112,500.00
12/31/2020	Interest	912828XG0	10,000,000.00	US Treasury Note 2.125% Due 6/30/2022	0.00	106,250.00	106,250.00
12/31/2020	Interest	912828N30	8,000,000.00	US Treasury Note 2.125% Due 12/31/2022	0.00	85,000.00	85,000.00
<b>DEC 2020</b>					<b>17,450,585.60</b>	<b>1,304,957.12</b>	<b>18,755,542.72</b>
01/02/2021	Interest	3135G0V75	8,250,000.00	FNMA Note 1.75% Due 7/2/2024	0.00	72,187.50	72,187.50
01/05/2021	Interest	3135G0S38	2,150,000.00	FNMA Note 2% Due 1/5/2022	0.00	21,500.00	21,500.00
01/07/2021	Interest	3135G0X24	13,785,000.00	FNMA Note 1.625% Due 1/7/2025	0.00	112,003.13	112,003.13
01/11/2021	Interest	89236TDP7	6,750,000.00	Toyota Motor Credit Corp Note 2.6% Due 1/11/2022	0.00	87,750.00	87,750.00
01/14/2021	Interest	02665WCJ8	5,070,000.00	American Honda Finance Note 3.45% Due 7/14/2023	0.00	87,457.50	87,457.50
01/15/2021	Interest	48128BAB7	7,750,000.00	JP Morgan Chase & Co Callable Note 1X 1/15/2022 2.972% Due 1/15/2023	0.00	115,165.00	115,165.00
01/15/2021	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	311,302.48	5,404.09	316,706.57
01/15/2021	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	88,526.33	6,420.71	94,947.04

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
01/15/2021	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	254,486.45	5,714.79	260,201.24
01/15/2021	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	66,256.92	644.71	66,901.63
01/15/2021	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	166,508.22	10,114.26	176,622.48
01/15/2021	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	66,112.05	2,806.81	68,918.86
01/15/2021	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,836.77	3,427.54	53,264.31
01/15/2021	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	99,552.75	2,874.48	102,427.23
01/15/2021	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	426,865.09	3,528.33	430,393.42
01/16/2021	Interest	78013XZU5	3,054,000.00	Royal Bank of Canada Note 2.55% Due 7/16/2024	0.00	38,938.50	38,938.50
01/17/2021	Interest	3133EH7F4	3,000,000.00	FFCB Note 2.35% Due 1/17/2023	0.00	35,250.00	35,250.00
01/18/2021	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	132,353.32	3,068.95	135,422.27
01/19/2021	Interest	89114QC48	5,000,000.00	Toronto Dominion Bank Note 3.5% Due 7/19/2023	0.00	87,500.00	87,500.00
01/19/2021	Maturity	78012KKU0	6,567,000.00	Royal Bank of Canada Note 2.5% Due 1/19/2021	6,567,000.00	82,087.50	6,649,087.50
01/20/2021	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	58,977.16	4,090.37	63,067.53
01/21/2021	Interest	90331HPL1	9,485,000.00	US Bank NA Callable Note Cont 12/21/2024 2.05% Due 1/21/2025	0.00	97,221.25	97,221.25
01/21/2021	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	473,648.96	5,594.72	479,243.68
01/25/2021	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
01/25/2021	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96

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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
01/25/2021	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
01/25/2021	Interest	808513AT2	5,580,000.00	Charles Schwab Corp Callable Note Cont 12/25/2022 2.65% Due 1/25/2023	0.00	73,935.00	73,935.00
01/25/2021	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
01/25/2021	Maturity	45950KCM0	6,000,000.00	International Finance Corp Note 2.25% Due 1/25/2021	6,000,000.00	67,500.00	6,067,500.00
01/25/2021	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	158,347.63	13,110.79	171,458.42
01/28/2021	Interest	69353RFE3	5,640,000.00	PNC Bank Callable Note Cont 6/28/2022 2.45% Due 7/28/2022	0.00	69,090.00	69,090.00
01/31/2021	Interest	9128283V0	11,000,000.00	US Treasury Note 2.5% Due 1/31/2025	0.00	137,500.00	137,500.00
01/31/2021	Maturity	912828N89	10,000,000.00	US Treasury Note 1.375% Due 1/31/2021	10,000,000.00	68,750.00	10,068,750.00
<b>JAN 2021</b>					<b>24,919,774.13</b>	<b>1,405,020.56</b>	<b>26,324,794.69</b>
02/08/2021	Interest	594918BP8	2,000,000.00	Microsoft Callable Note Cont 7/8/2021 1.55% Due 8/8/2021	0.00	15,500.00	15,500.00
02/09/2021	Interest	69371RP59	4,095,000.00	Paccar Financial Corp Note 3.4% Due 8/9/2023	0.00	69,615.00	69,615.00
02/11/2021	Interest	06406RAJ6	2,750,000.00	Bank of NY Mellon Corp Note 3.45% Due 8/11/2023	0.00	47,437.50	47,437.50
02/12/2021	Interest	3137EAEPO	15,235,000.00	FHLMC Note 1.5% Due 2/12/2025	0.00	114,262.50	114,262.50
02/15/2021	Interest	912828B66	11,000,000.00	US Treasury Note 2.75% Due 2/15/2024	0.00	151,250.00	151,250.00
02/15/2021	Interest	912828D56	10,750,000.00	US Treasury Note 2.375% Due 8/15/2024	0.00	127,656.25	127,656.25
02/15/2021	Interest	69371RQ25	2,465,000.00	Paccar Financial Corp Note 2.15% Due 8/15/2024	0.00	26,498.75	26,498.75
02/15/2021	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	293,968.12	4,610.28	298,578.40



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Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
02/15/2021	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	247,492.30	5,337.31	252,829.61
02/15/2021	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	61,008.29	544.22	61,552.51
02/15/2021	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	166,938.79	9,686.88	176,625.67
02/15/2021	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	49,940.60	3,335.75	53,276.35
02/15/2021	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	99,788.36	2,638.04	102,426.40
02/15/2021	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	66,268.52	2,746.20	69,014.72
02/15/2021	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	391,864.75	2,475.40	394,340.15
02/15/2021	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	88,725.51	6,278.33	95,003.84
02/18/2021	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	132,698.54	2,765.64	135,464.18
02/20/2021	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	59,109.85	3,995.03	63,104.88
02/21/2021	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	437,969.05	4,430.34	442,399.39
02/25/2021	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
02/25/2021	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
02/25/2021	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75
02/25/2021	Interest	3137BYPQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
02/25/2021	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	158,833.37	12,707.00	171,540.37
02/28/2021	Interest	912828ZC7	11,250,000.00	US Treasury Note 1.125% Due 2/28/2025	0.00	63,281.25	63,281.25

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
<b>FEB 2021</b>					<b>2,254,606.05</b>	<b>761,436.30</b>	<b>3,016,042.35</b>
03/05/2021	Interest	06051GHF9	8,310,000.00	Bank of America Corp Callable Note 1X 3/5/2023 3.55% Due 3/5/2024	0.00	147,502.50	147,502.50
03/06/2021	Interest	24422ETG4	6,268,000.00	John Deere Capital Corp Note 2.8% Due 3/6/2023	0.00	87,752.00	87,752.00
03/08/2021	Interest	3130AB3H7	3,000,000.00	FHLB Note 2.375% Due 3/8/2024	0.00	35,625.00	35,625.00
03/08/2021	Interest	313383YJ4	7,000,000.00	FHLB Note 3.375% Due 9/8/2023	0.00	118,125.00	118,125.00
03/08/2021	Interest	3130A0XE5	8,000,000.00	FHLB Note 3.25% Due 3/8/2024	0.00	130,000.00	130,000.00
03/09/2021	Interest	313380GJ0	10,000,000.00	FHLB Note 2% Due 9/9/2022	0.00	100,000.00	100,000.00
03/10/2021	Interest	3130ADRG9	7,000,000.00	FHLB Note 2.75% Due 3/10/2023	0.00	96,250.00	96,250.00
03/10/2021	Interest	313383ZU8	5,000,000.00	FHLB Note 3% Due 9/10/2021	0.00	75,000.00	75,000.00
03/11/2021	Interest	89114QCB2	1,500,000.00	Toronto Dominion Bank Note 3.25% Due 3/11/2024	0.00	24,375.00	24,375.00
03/12/2021	Interest	3135G0U43	8,205,000.00	FNMA Note 2.875% Due 9/12/2023	0.00	117,946.88	117,946.88
03/12/2021	Maturity	3130A0XD7	8,000,000.00	FHLB Note 2.375% Due 3/12/2021	8,000,000.00	95,000.00	8,095,000.00
03/13/2021	Interest	3130AAUF3	5,430,000.00	FHLB Note 2.75% Due 3/13/2026	0.00	74,662.50	74,662.50
03/13/2021	Interest	3130A2UW4	9,350,000.00	FHLB Note 2.875% Due 9/13/2024	0.00	134,406.25	134,406.25
03/14/2021	Interest	4581X0CZ9	5,000,000.00	Inter-American Dev Bank Note 1.75% Due 9/14/2022	0.00	43,750.00	43,750.00
03/15/2021	Interest	084670BR8	4,232,000.00	Berkshire Hathaway Callable Note Cont 1/15/2023 2.75% Due 3/15/2023	0.00	58,190.00	58,190.00
03/15/2021	Interest	68389XBK0	7,000,000.00	Oracle Corp Callable Note Cont 8/15/2021 1.9% Due 9/15/2021	0.00	66,500.00	66,500.00

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
03/15/2021	Paydown	47788BAD6	1,255,809.27	John Deere Owner Trust 2017-B A3 1.82% Due 10/15/2021	55,748.88	451.69	56,200.57
03/15/2021	Paydown	47788EAC2	5,420,000.00	John Deere Owner Trust 2018-B A3 3.08% Due 11/15/2022	167,370.46	9,258.41	176,628.87
03/15/2021	Paydown	47789KAC7	3,650,000.00	John Deere Owner Trust 2020-A A3 1.1% Due 8/15/2024	66,425.35	2,685.46	69,110.81
03/15/2021	Paydown	65479GAD1	5,690,000.00	Nissan Auto Receivables Trust 2018-B A3 3.06% Due 3/15/2023	276,566.31	3,860.65	280,426.96
03/15/2021	Paydown	43815NAC8	6,455,000.00	Honda Auto Receivables Trust 2019-3 A3 1.78% Due 8/15/2023	240,481.21	4,970.19	245,451.40
03/15/2021	Paydown	477870AC3	2,305,000.00	John Deere Owner Trust 2019-B A3 2.21% Due 12/15/2023	50,044.64	3,243.78	53,288.42
03/15/2021	Paydown	47789JAB2	2,095,770.15	John Deere Owner Trust 2019-A A2 2.85% Due 12/15/2021	100,024.52	2,401.04	102,425.56
03/15/2021	Paydown	65479JAD5	4,780,000.00	Nissan Auto Receivables Owner 2019-C A3 1.93% Due 7/15/2024	88,925.15	6,135.63	95,060.78
03/15/2021	Paydown	89238TAD5	6,825,000.00	Toyota Auto Receivables Trust 2018-B A3 2.96% Due 9/15/2022	356,728.44	1,508.80	358,237.24
03/18/2021	Paydown	43814WAB1	2,514,969.13	Honda Auto Receivables Trust 2019-1 A2 2.75% Due 9/20/2021	133,044.66	2,461.54	135,506.20
03/20/2021	Paydown	92348AAA3	3,055,000.00	Verizon Owner Trust 2019-C A1A 1.94% Due 4/22/2024	59,242.85	3,899.47	63,142.32
03/21/2021	Paydown	43815HAC1	8,122,705.23	Honda Auto Receivables Trust 2018-3 A3 2.95% Due 8/22/2022	402,157.27	3,353.66	405,510.93
03/22/2021	Maturity	3133EJHD4	4,000,000.00	FFCB Note 2.48% Due 3/22/2021	4,000,000.00	49,600.00	4,049,600.00
03/25/2021	Interest	3137B7MZ9	9,650,000.00	FHLMC K036 A2 3.527% Due 10/25/2023	0.00	28,362.96	28,362.96
03/25/2021	Interest	3137BY PQ7	9,200,000.00	FHLMC K726 A2 2.905% Due 4/25/2024	0.00	22,271.67	22,271.67
03/25/2021	Interest	3137B5JM6	2,500,000.00	FHLMC K034 A2 3.531% Due 7/25/2023	0.00	7,356.25	7,356.25
03/25/2021	Interest	3137BM6P6	10,250,000.00	FHLMC K721 A2 3.09% Due 8/25/2022	0.00	26,393.75	26,393.75

## Cash Flow Report

As of March 31, 2020



Payment Date	Transaction Type	CUSIP	Quantity	Security Description	Principal Amount	Income	Total Amount
03/25/2021	Paydown	3137B4WB8	6,545,000.00	FHLMC K033 A2 3.06% Due 7/25/2023	159,320.60	12,301.97	171,622.57
03/31/2021	Interest	912828T34	7,000,000.00	US Treasury Note 1.125% Due 9/30/2021	0.00	39,375.00	39,375.00
03/31/2021	Interest	912828L57	8,000,000.00	US Treasury Note 1.75% Due 9/30/2022	0.00	70,000.00	70,000.00
03/31/2021	Maturity	912828Q37	10,000,000.00	US Treasury Note 1.25% Due 3/31/2021	10,000,000.00	62,500.00	10,062,500.00
<b>MAR 2021</b>					<b>24,156,080.34</b>	<b>1,767,477.05</b>	<b>25,923,557.39</b>
<b>TOTAL</b>					<b>188,256,803.75</b>	<b>15,092,202.23</b>	<b>203,349,005.98</b>



Account #10597

Chandler Asset Management, Inc. ("Chandler") is an SEC registered investment adviser. For additional information about our firm, please see our current disclosures (Form ADV). To obtain a copy of our current disclosures, you may contact your client service representative by calling the number on the front of this statement or you may visit our website at [www.chandlerasset.com](http://www.chandlerasset.com).

Information contained in this monthly statement is confidential and is provided for informational purposes only and should not be construed as specific investment or legal advice. The information contained herein was obtained from sources believed to be reliable as of the date of this statement, but may become outdated or superseded at any time without notice.

**Custody:** Your qualified custodian bank maintains control of all assets reflected in this statement and we urge you to compare this statement to the one you receive from your qualified custodian. Chandler does not have any authority to withdraw or deposit funds from/to the custodian account.

**Valuation:** Prices are provided by IDC, an independent pricing source. In the event IDC does not provide a price or if the price provided is not reflective of fair market value, Chandler will obtain pricing from an alternative approved third party pricing source in accordance with our written valuation policy and procedures. Our valuation procedures are also disclosed in Item 5 of our Form ADV Part 2A.

**Performance:** Performance results are presented gross-of-advisory fees and represent the client's Total Return. The deduction of advisory fees lowers performance results. These results include the reinvestment of dividends and other earnings. Past performance may not be indicative of future results. Therefore, clients should not assume that future performance of any specific investment or investment strategy will be profitable or equal to past performance levels. All investment strategies have the potential for profit or loss. Economic factors, market conditions or changes in investment strategies, contributions or withdrawals may materially alter the performance and results of your portfolio.

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Index returns assume reinvestment of all distributions. Historical performance results for investment indexes generally do not reflect the deduction of transaction and/or custodial charges or the deduction of an investment management fee, the incurrence of which would have the effect of decreasing historical performance results. It is not possible to invest directly in an index.

**Ratings:** Ratings information have been provided by Moody's, S&P and Fitch through data feeds we believe to be reliable as of the date of this statement, however we cannot guarantee its accuracy.

Security level ratings for U.S. Agency issued mortgage-backed securities ("MBS") reflect the issuer rating because the securities themselves are not rated. The issuing U.S. Agency guarantees the full and timely payment of both principal and interest and carries a AA+/Aaa/AAA by S&P, Moody's and Fitch respectively.



# City of Sunnyvale

## Agenda Item

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**20-0513**

**Agenda Date: 6/30/2020**

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### **REPORT TO COUNCIL**

#### **SUBJECT**

Modify a Blanket Purchase Order with Dell Marketing L.P. for Computer Hardware (F20-162)

#### **REPORT IN BRIEF**

Approval is requested to amend an existing blanket purchase order with Dell Marketing L.P. of Round Rock, TX, for computer hardware, increasing the not-to-exceed amount by \$713,000 for a new not-to-exceed total amount of \$1,163,000. Approval is also requested to delegate authority to the City Manager to increase not-to-exceed amounts for the existing blanket purchase order as well as an additional one-year renewal period, both subject to available budgeted funding, provided services and pricing remain acceptable.

#### **EXISTING POLICY**

Pursuant to Section 2.08.040 of the Sunnyvale Municipal Code, City Council approval is required for contracts exceeding \$100,000 in any one transaction.

#### **ENVIRONMENTAL REVIEW**

The action being considered does not constitute a "project" within the meaning of the California Environmental Quality Act (CEQA) pursuant to CEQA Guidelines Section 15378(a) as it has no potential for resulting in either a direct physical change in the environment, or a reasonable foreseeable indirect physical change in the environment.

#### **BACKGROUND AND DISCUSSION**

In May 2016, Council authorized the issuance of a blanket purchase order to Dell Marketing (RTC No. 16-0449) for ongoing, scheduled replacement of computer equipment using the Western States Contracting Alliance - National Association of State Procurement Officials (WSCA/NASPO) cooperative procurement agreement to take advantage of large volume discounts and reduce the procurement cycle time. Council approval included an initial 19-month blanket purchase order in the amount of \$450,000 with successive annual renewals not-to-exceed budgeted amounts, subject to participation in WSCA/NASPO cooperative procurement process.

As part of the City's work to modernize its Information Technology infrastructure, enhance public services, and support vital city initiatives, staff is requesting that the third renewal period, dated 1/1/2020 to 12/31/2020, contract amount be increased to cover the procurement of a replacement DPS blade server, upgrades to replacement equipment justified by new needs in departments, and upgrade of desktop replacements with laptops to enhance mobility and effectiveness of use. Staff typically recommends award of contracts for ongoing goods and services not to exceed budgeted amounts which provide appropriate flexibility to meet changing demands.

In the original award, staff recommended that the City Manager have authority to increase the blanket purchase order at time of renewal and renew it for four (4) one-year periods, and is now requesting that the City Manager have additional authority to modify the current blanket purchase order and final annual renewal within budgeted amounts.

The following devices are anticipated to be purchased:

Replacement devices:

Scheduled Server Replacements	\$385,000
Scheduled Client Device Replacements	\$583,887
Incidentals (Keyboard, mice, etc.)	\$3,452

Projected purchase requests pending final approval:

Permitting Project: Laptops (5)\$9,974	
Upgrades to Client Device Replacements	\$180,287
<b>Total</b>	<b>\$1,162,600</b>

**FISCAL IMPACT**

Budgeted funds for FY 2019/20 and FY2020/21 in the Information Technology Equipment Replacement Fund are available to fund the scheduled server and client device replacements. Additional funding will come from the Departments for upgrades and new equipment, as approved by Finance.

Funding Source

Funds are budgeted primarily in Fund 595, General Services, Subfund 350, Technology and Communication Services.

**PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

**RECOMMENDATION**

Take the following actions:

- Authorize the City Manager to amend the existing blanket purchase order with Dell Marketing L.P. for computer hardware, in substantially the same format as Attachment 1 to the report, increasing the not-to-exceed amount by \$713,000 for a new not-to-exceed total amount of \$1,163,000; and
- Authorize the City Manager to amend not-to-exceed amounts, both subject to available budgeted funding, provided services and pricing remain acceptable.

Prepared by: Gregory S. Card, Purchasing Officer

Reviewed by: Tim Kirby, Director of Finance

Reviewed by: Kathleen Boutté Foster, Chief Information Officer

Reviewed by: Jaqui Guzmán, Deputy City Manager  
Approved by: Kent Steffens, City Manager

**ATTACHMENTS**

1. Draft Change Order to Blanket Purchase Order





<b>ORDERED FROM</b> 08450 - 001  (800) 981-3355  Dell Marketing LP Dell Computer Corp 1 Dell Wy Round Rock, TX 78682	<b>ORDER DATE</b>	<b>BILL TO:</b>  <b>City of Sunnyvale</b> <b>Finance Department</b> <b>Accounts Payable</b> <b>PO Box 3707</b> <b>Sunnyvale, CA 94088-3707</b>
	<b>EFFECTIVE DATE</b> 1/1/2020	
	<b>EXPIRATION DATE</b> 12/31/2020	
	<b>CONTRACT AMOUNT</b> \$1,163,000.00	
<b>REQUISITIONING DEPARTMENT</b> (4501) ITD/Information Technology Services	<b>FOB</b> <b>DEST</b>	<b>FREIGHT CHARGES</b> Destination, freight included in price
	<b>PAYMENT TERMS</b> N/30	<b>BID NO</b>

ITEM	DESCRIPTION	UNIT	UNIT COST
1	<p>Provide computer equipment in accordance with California Participating Addendum No. 7-15-70-34-003/NASPO ValuePoint Cooperative Purchasing Program Master Agreement Number MNWNC-108, which is attached and incorporated herein by this reference.</p> <p>Individual orders shall be quoted and approved by City staff prior to order being placed.</p> <p>Awarded by Council 05/17/2016, RTC # 16-0449.</p> <p>This purchase order is the third out of four (4) one-year renewal periods.</p> <p>Requisition Number: RQ022925</p> <p>Change Order#1: To increase the contract amount by \$713,000.</p> <p>Awarded by Council _____, RTC # 20-0513.</p> <p>Requisition Number: RQ023594</p> <p>This purchase order replaces BL009547.</p>	DLR	\$1.0000

<b>AUTHORIZED DEPARTMENT(S)</b>		
NO	DEPT NAME	RELEASE AMT
4501	ITD/Information Technology Services	\$1,163,000.00



DOCUMENT TERMS

Invoices must be sent directly to accounts payable by mail to the address above or by e-mail to [accountspayable@sunnyvale.ca.gov](mailto:accountspayable@sunnyvale.ca.gov) and MUST REFERENCE THE PURCHASE ORDER NUMBER. Failure to comply will result in a delay in payment processing.

**BUYER:**

Pizano, Michael

**PHONE** (408) 730-7612

**FAX** (408) 328-0723



# City of Sunnyvale

## Agenda Item

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20-0507

Agenda Date: 6/30/2020

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### REPORT TO COUNCIL

#### **SUBJECT**

Award a Three (3) Year Contract to Econolite Systems, Inc. for Traffic Signal Preventative Maintenance and Repair Services (F19-227)

#### **REPORT IN BRIEF**

Approval is requested to award a three (3) year contract, in an amount not-to-exceed \$4,363,707 to Econolite Systems, Inc. of Anaheim to provide traffic signal preventative maintenance and repair services. Approval is also requested to authorize the City Manager to modify and renew the contract for one (1) additional two-year period, within budgeted amounts and provided pricing and services remain acceptable.

#### **EXISTING POLICY**

Pursuant to Chapter 2.08 of the Sunnyvale Municipal Code, contracts for this type of service are awarded pursuant to a Request for Proposals (RFP) best value process, unless otherwise exempt from the competitive bidding process. Additionally, City Council approval is required for the procurement of goods and/or services exceeding \$100,000 in any one transaction.

#### **ENVIRONMENTAL REVIEW**

The action being considered does not constitute a "project" within the meaning of the California Environmental Quality Act ("CEQA") pursuant to CEQA Guidelines section 15378(a) as it has no potential for resulting in either a direct physical change in the environment, or a reasonably foreseeable indirect physical change in the environment.

#### **BACKGROUND AND DISCUSSION**

The City of Sunnyvale's Traffic Signal Preventive Maintenance and Repair Program involves ongoing, regular, and emergency field preventive maintenance and repair of traffic signals and other related traffic control equipment. The work is performed by a licensed contractor with properly trained, experienced, and qualified personnel. The City currently operates and maintains 133 traffic signals, 18 in-roadway warning light systems (IRWL), 2 rectangular rapid flashing beacons (RRFB), 66 speed feedback signs, 4 changeable message signs (CMS), and 5 flashing beacon systems.

Current service levels require quarterly preventive maintenance checks, comprehensive maintenance on an annual basis and an annual inventory of all traffic control devices. In addition to scheduled maintenance, as-needed services are required to repair or replace malfunctioning or damaged traffic signals due to equipment failure, vehicular collisions, vandalism, or weather. Historically, these services have been provided by traffic signal maintenance companies through contracts awarded as the result of a competitive Request for Proposals (RFP) process.

For this selection, staff conducted a two-step procurement process. The first step was the issuance of a Request for Qualifications on February 20 on the City's DemandStar public procurement network to solicit qualified vendors that meet the qualifications required to provide the services. Five firms requested the documents and three responsive Statement of Qualifications (SOQs) were received from Bear Electrical Solutions, Econolite Systems, Inc., and St. Francis Electric.

The SOQs were evaluated by staff from the Department of Public Works based on the proposers' overall qualifications, experience, and staffing plan. After the evaluation of the SOQs, staff invited Bear Electrical Solutions and Econolite Systems, Inc. to participate in the second step of the procurement process, responding to a Request for Proposals. Both firms submitted proposals that were evaluated on: their team and project specific qualifications, experience, maintenance management systems, references and overall proposal cost/value. Both firms were also invited to a scripted interview and presentation.

After the interview process, staff unanimously selected Econolite Systems, Inc. based on their proposed staffing plan, experience, and sophisticated asset management system.

### **FISCAL IMPACT**

Funding for this contract is available in the Traffic and Transportation Program, Streetlight Program, and in project 833810 - Traffic Signal Maintenance Services Augmentation.

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

### **RECOMMENDATION**

Take the following actions:

- Approve a three-year contract in substantially the same form as Attachment 1 to the report in an amount not-to-exceed \$4,363,707 to Econolite Systems, Inc.;
- Authorize the City Manager to execute the contract when all necessary conditions have been met;
- Authorize the City Manager to renew the contract for one additional two-year period within budgeted amounts and provided services and pricing remain acceptable to the City; and
- Authorize to the City Manager to modify the not-to-exceed contract amount within budgeted amounts provided services and pricing remain acceptable to the City.

Prepared by: Gregory S. Card, Purchasing Officer

Reviewed by: Tim Kirby, Director of Finance

Reviewed by: Chip Taylor, Director of Public Works

Reviewed by: Jaqui Guzmán, Deputy City Manager

Approved by: Kent Steffens, City Manager

### **ATTACHMENTS**

1. Draft Services Agreement

**DRAFT SERVICES AGREEMENT BETWEEN  
THE CITY OF SUNNYVALE AND ECONOLITE SYSTEMS, INC.  
FOR TRAFFIC SIGNAL PREVENTATIVE MAINTENANCE AND REPAIR SERVICES**

THIS AGREEMENT dated \_\_\_\_\_ is by and between the CITY OF SUNNYVALE, a municipal corporation ("CITY"), and ECONOLITE SYSTEMS, INC., a California corporation ("CONTRACTOR").

WHEREAS, CITY is in need of a specialized services for Traffic Signal Preventative Maintenance and Repair Services; and

WHEREAS, CONTRACTOR possesses the skill and expertise to provide the required services;

NOW, THEREFORE, THE PARTIES ENTER INTO THIS AGREEMENT.

1. Contract Documents

The complete Agreement consists of the following documents: Exhibit A, Scope of Services, Request for Proposal No. F19-227, consisting of a Notice Inviting Proposals, Instructions to Proposers, Specifications, Terms and Conditions and CONTRACTOR's completed Proposal. These documents are all incorporated by reference. The documents comprising the complete Agreement are collectively referred to as the Contract Documents.

Any and all obligations of the CITY and the CONTRACTOR are fully set forth and described therein.

All of the above documents are intended to cooperate so that any work called for in one and not mentioned in the other or vice versa is to be executed the same as if mentioned in all documents.

2. Services by CONTRACTOR

It is understood and agreed that tools, equipment, apparatus, facilities, labor, transportation, and material shall be furnished and work performed and completed as required in the bid documents under the sole direction and control of the CONTRACTOR, and subject to approval of the City.

3. Time for Performance

The term of this Agreement shall be from July 1, 2020 to June 30, 2023, unless otherwise terminated. CONTRACTOR shall deliver the agreed upon services to CITY as specified in Exhibit "A". Agreement may be extended by written amendment for a period of two years based upon acceptable pricing and service.

4. Compensation

CITY agrees to pay CONTRACTOR at the amounts and rates detailed in Exhibit "B". In no event shall the total amount of compensation paid by CITY to CONTRACTOR under this agreement exceed the sum of Four Million Three Hundred Sixty Three Thousand Seven Hundred Seven and No/100 Dollars (\$4,363,707), unless upon written modification of this Agreement. CONTRACTOR shall submit invoices to CITY no more frequently than monthly for services provided to date, and in accordance with the compensation schedule outline in Exhibit "A". All invoices, including detailed backup, shall be sent to City of Sunnyvale, attention Accounts Payable, P.O. Box 3707, Sunnyvale, CA 94088-3707 or [accountspayable@sunnyvale.ca.gov](mailto:accountspayable@sunnyvale.ca.gov). Payment shall be made within forty-five days upon receipt of an accurate itemized invoice by CITY's Accounts Payable unit.

If this Agreement is extended, the rate payable to CONTRACTOR shall be adjusted by the change in the Consumer Price Index (CPI) increase in April 2023, based on the latest statistics released by the Bureau of Labor Statistics for the San Francisco-Oakland-Haywood, but not less than 2% nor more than 4%. The prevailing wage rate determination of the California Department of Industrial Relations at the time of the bid advertisement date shall remain in effect for any extension term.

5. Conflict of Interest

CONTRACTOR shall avoid all conflicts of interest, or appearance of conflict, in performing the services and agrees to immediately notify CITY of any facts that may give rise to a conflict of interest. CONTRACTOR is aware of the prohibition that no officer of CITY shall have any interest, direct or indirect, in this Agreement or in the proceeds thereof. During the term of this Agreement CONTRACTOR shall not accept employment or an obligation which is inconsistent or incompatible with CONTRACTOR'S obligations under this Agreement.

6. Confidential Information

CONTRACTOR shall maintain in confidence and at no time use, except to the extent required to perform its obligations hereunder, any and all proprietary or confidential information of CITY of which CONTRACTOR may become aware in the performance of its services.

7. Compliance with Laws

- (a) CONTRACTOR shall not discriminate against, or engage in the harassment of, any City employee or volunteer or any employee of CONTRACTOR or applicant for employment because of an individual's race, religion, color, sex, gender identity, sexual orientation (including heterosexuality, homosexuality and bisexuality), ethnic or national origin, ancestry, citizenship status, uniformed service member status, marital status, family relationship, pregnancy, age, cancer or HIV/AIDS-related medical condition, genetic characteristics, and physical or mental disability (whether perceived or actual). This prohibition shall apply to all of CONTRACTOR's employment practices and to all of CONTRACTOR's activities as a provider of services to the City.
- (b) CONTRACTOR shall comply with all federal, state and city laws, statutes, ordinances, rules and regulations and the orders and decrees of any courts or administrative bodies or tribunals in any manner affecting the performance of the Agreement.

8. Independent CONTRACTOR

CONTRACTOR is acting as an independent CONTRACTOR in furnishing the services or materials and performing the work required by this Agreement and is not an agent, servant or employee of CITY. Nothing in this Agreement shall be interpreted or construed as creating or establishing the relationship of employer and employee between CITY and CONTRACTOR. CONTRACTOR is responsible for paying all required state and federal taxes.

9. Indemnity

CONTRACTOR shall indemnify, defend, and hold harmless the CITY, its officers, officials, employees and volunteers from and against all claims, damages, losses and expenses, including attorney fees, arising out of the performance of the services described herein, caused in whole or in part by any negligent act or omission of CONTRACTOR, any SUBCONTRACTOR, anyone directly or indirectly employed by any of them or anyone for whose acts any of them may be liable, except where caused by the active negligence, sole negligence or willful misconduct of the CITY.

10. Insurance

CONTRACTOR shall take out and maintain during the life of this Agreement policies of insurance as specified in Exhibit "C" attached and incorporated by reference, and shall provide all certificates or endorsements as specified in Exhibit "C."

11. CITY Representative

Dennis Ng, Traffic and Transportation Manager, as the City Manager's authorized representative, shall represent CITY in all matters pertaining to the services to be rendered under this Agreement. All requirements of CITY pertaining to the services and materials to be rendered under this Agreement shall be coordinated through the CITY representative.

12. CONTRACTOR Representative

John Cane, Associate Vice President shall represent CONTRACTOR in all matters pertaining to the services and materials to be rendered under this Agreement; all requirements of CONTRACTOR pertaining to the services or materials to be rendered under this Agreement shall be coordinated through the CONTRACTOR representative.

13. Notices

All notices required by this Agreement, other than invoices for payment which shall be sent directly to Accounts Payable, shall be in writing, and sent by first class with postage prepaid, or sent by commercial courier, to addressed below.as follows:

Nothing in this provision shall be construed to prohibit communication by more expedient means, such as by email or fax, to accomplish timely communication. Each party may change the address by written notice in accordance with this paragraph. Notices delivered personally shall be deemed communicated as of actual receipt; mailed notices shall be deemed communicated as of three business days after mailing.

To CITY: Dennis Ng, Traffic and Transportation Manager  
Department of Public Works  
CITY OF SUNNYVALE  
P. O. Box 3707  
Sunnyvale, CA 94088-3707

To CONTRACTOR: John Cane, Associate Vice President  
Econolite Systems, Inc.  
1250 N. Tustin Ave.  
Anaheim, CA 92807

14. Assignment

Neither party shall assign or sublet any portion of this Agreement without the prior written consent of the other party.

15. Termination

- A. If CONTRACTOR defaults in the performance of this Agreement, or materially breaches any of its provisions, CITY at its option may terminate this Agreement by giving written notice to CONTRACTOR. In the event of such termination, CONTRACTOR shall be compensated in

proportion to the percentage of satisfactory services performed or materials furnished (in relation to the total which would have been performed or furnished) through the date of receipt of notification from CITY to terminate. CONTRACTOR shall present CITY with any work product completed at that point in time.

- B. Without limitation to such rights or remedies as CITY shall otherwise have by law, CITY also shall have the right to terminate this Agreement for any reason upon ten (10) days' written notice to CONTRACTOR. In the event of such termination, CONTRACTOR shall be compensated in proportion to the percentage of services performed or materials furnished (in relation to the total which would have been performed or furnished) through the date of receipt of notification from CITY to terminate. CONTRACTOR shall present CITY with any work product completed at that point in time.
- C. If CITY fails to pay CONTRACTOR, CONTRACTOR at its option may terminate this Agreement if the failure is not remedied by CITY within (30) days after written notification of failure to pay.

16. Entire Agreement; Amendment

This writing constitutes the entire agreement between the parties relating to the services to be performed or materials to be furnished hereunder. No modification of this Agreement shall be effective unless and until such modification is evidenced by writing signed by all parties.

17. Governing Law, Jurisdiction and Venue

This Agreement shall be governed by and construed in accordance with the laws of the State of California, excluding its conflict of law principles. Proper venue for legal actions will be exclusively vested in a state court in the County of Santa Clara. The parties agree that subject matter and personal jurisdiction are proper in state court in the County of Santa Clara and waive all venue objections.

18. Miscellaneous

Time shall be of the essence in this Agreement. Failure on the part of either party to enforce any provision of this Agreement shall not be construed as a waiver of the right to compel enforcement of such provision or any other provision.



IN WITNESS WHEREOF, the parties have executed this Agreement.

ATTEST:

CITY OF SUNNYVALE ("CITY")

By \_\_\_\_\_  
City Clerk

By \_\_\_\_\_  
City Manager

APPROVED AS TO FORM:

ECONOLITE SYSTEMS, INC. (CONTRACTOR")

By \_\_\_\_\_  
City Attorney

By \_\_\_\_\_  
\_\_\_\_\_  
Name and Title

By \_\_\_\_\_  
\_\_\_\_\_  
Name and Title

## **Exhibit A**

### **Detailed Scope of Work**

#### **A. SERVICES**

The Contractor shall provide ongoing and regular field preventive maintenance and repair of traffic signals, In-Roadway Warning Light Systems (IRWL), Changeable Message Signs (CMS), Speed Feedback Signs, Rectangular Flashing Beacon Systems (RRFB), flashing beacons, Intelligent Transportation Systems (ITS) components and other related equipment by duly trained and qualified personnel in compliance with the National/California Electrical Code (NEC), CalOSHA and NFPA 70E.

The Contractor is required to have a minimum of one (1) Traffic Signal Technician per 45 signalized intersections available to perform Services under this contract, designated for the City of Sunnyvale. The Traffic Signal Technicians shall have a valid California Electrician certification, current International Municipal Signal Association (IMSA) Traffic Signal Field Technician Level III and a minimum of four years of experience in traffic signals and signal interconnect methods such as copper and fiber optics cables maintenance and repairs. The Traffic Signal Technician shall have experience with the operation and maintenance of type 170, 2070 ATC, and various NEMA controllers currently in use by the City of Sunnyvale. The Traffic Signal Technician shall also be familiar with all software in use by the City of Sunnyvale, including but not limited to Caltrans C7 and C8, and MaxView/MaxTime. The Traffic Signal Technician shall also have knowledge of the operation and maintenance of inductive traffic loops, video detection systems, infrared detection systems, EMTRAC emergency vehicle preemption devices, twisted pair interconnect, wireless 2.4GHz Spread Spectrum Radio communications, and fiber optic cables. The Traffic Signal Technician shall keep up to date on the operation and maintenance of all state-of-the-art traffic signal control devices, Intelligent Transportation Systems (ITS) and components and related equipment to ensure that the City's needs will also be supported in the future. The Traffic Signal Technician shall also be familiar with and adhere to all Caltrans and City standards for traffic signal maintenance and operations, traffic signal coordination timing, and traffic signal communications networks and equipment. All technicians performing traffic signal communications repairs and maintenance on City's traffic signal communications network shall have a Cisco Certified Network Associate (CCNA) certification.

The Contractor shall provide and maintain emergency service response of the City's traffic signals on a 24-hour a day, 7 days per week basis, including all holidays.

The Contractor must provide a vehicle for the use of the Contractor's Traffic Signal Technician which shall be equipped with a permanently mounted arrow board; warning beacon/strobe lights; traffic cones; construction warning signs; a hydraulic bucket capable of reaching a height of 40 feet from the roadway surface; proper lighting for illuminating the work area at night; necessary computer laptop for programming, maintenance and testing of traffic signal controllers and various equipment; and communications equipment for dispatch. In addition, Contractor's employee shall be required to have radio communication equipment for dispatch purposes. At a minimum, this shall be a cellular phone capable of numeric and text messages with vibration alert. All the required equipment shall be properly maintained and functional 24 hours a day, 7 days a week, including holidays.

The Contractor ensure that any vehicle used within the boundaries of the City of Sunnyvale where lane closures or work within the travel lanes is required shall be equipped with an arrow board, warning beacons/strobe lights, the proper quantity and sized cones for a lane closure, and advance warning signs. All the Contractor's employees working within the boundaries of the City shall be equipped with a communications device capable of instant 2-way communications for extended periods of time with

the Contractor's shop or with City staff. It is the responsibility of the Contractor to ensure that its personnel are appropriately qualified to operate all vehicles and equipment required.

The Contractor must possess, and have readily accessible in functioning order, all required tools, equipment, apparatus, facilities, and materials need to perform all work necessary to maintain and repair the traffic signals, Changeable Message Signs (CMS), In-Roadway Warning Light Systems (IRWL), Rectangular Rapid Flashing Beacons (RRFB), Speed feedback signs and flashing beacon systems listed in Attachment B in compliance with current Caltrans and City standards and specifications. This includes but is not limited to Fiber Optics communication tester, inductive loop tester, twisted pair copper interconnect tester, conflict monitor unit tester, UPS batteries tester, etc.

The Contractor shall furnish temporary replacement traffic signal controllers, coordination units, preemption units, traffic signal communications and monitoring equipment, detector amplifiers, conflict monitors, video detection systems, and uninterruptable power supplies for traffic signals and various other standard traffic signal equipment. Contractor furnished temporary spares shall be identical to the component being replaced in manufacture, make and model. The Contractor may deviate from this requirement only upon written advance approval from the City. The Contractor shall provide the temporary equipment at no additional charge to the City whenever the original units are removed for repair or servicing.

The Contractor shall cooperate with the City in recalibrating traffic signal coordination timing and progression.

The Contractor shall change the timing of traffic signals only upon the direction or advance written approval of the City.

During emergency conditions, the Contractor shall assure full cooperation with the City of Sunnyvale Department of Public Safety, the Santa Clara County Sheriff's Department, the California Highway Patrol (CHP) and those employees of the City of Sunnyvale Department of Public Works Division of Transportation and Traffic as indicated.

The Contractor shall ensure that all staff shall obtain Rail Safety certification from Valley Transportation Authority (VTA) and Caltrain allowing them to work in and around VTA and Caltrain track right of way. The Contractor shall provide proof of all required certifications at the beginning of each calendar year throughout of this contract.

The Contractor shall not represent the City of Sunnyvale in matters of policy or procedures under this contract, shall not make any reference to City policy or procedures, and shall refer all questions or inquiries from the public regarding policy and procedures, or terms and conditions of this contract to the City.

The Contractor shall provide traffic control/lane closures that conform to the latest California Manual on Uniform Traffic Control Devices (CA-MUTCD) Part 6 – Temporary Traffic Control. For any work impacting bicycle lanes, the Contractor's traffic control/lane closures shall conform to the City of Sunnyvale's Standard Operating Procedure for Bicycle/Pedestrian Safety (Attachment E).

## **B. FAILURE TO PERFORM**

Should the Contractor fail to properly execute the work in a timely or correct matter as provided under the terms of this contract, the City, after providing the Contractor with three business days' notice, may perform or hire another Contractor to perform such work and deduct the cost plus 25% thereof from any payment due to the Contractor.

The Contractor shall provide the City with a written schedule of work within three business days of approval of any repair/service estimate. If the Contractor fails to provide the written schedule, the City shall consider the Contractor to be “failing to perform” a necessary task within a timely matter. The City shall then perform or hire another Contractor to perform such work and deduct the cost plus 25% thereof from any payment due to the Contractor.

### **C. ROUTINE MAINTENANCE**

The Contractor shall enact a continuing comprehensive maintenance program designed to eliminate or reduce any incidence of malfunctions, complaints, and extension of the useful life of the City’s traffic signal equipment. The program shall include at a minimum the following:

#### **1. QUARTERLY AND ANNUAL PREVENTIVE MAINTENANCE**

The Contractor shall provide quarterly preventive maintenance and night check on all the traffic signals, Changeable Message Signs (CMS), In-Roadway Warning Light Systems (IRWL), Rectangular Rapid Flashing Beacons (RRFB), Speed feedback signs and flashing beacon systems listed in Attachment B. The Contractor shall complete a Quarterly Preventive Maintenance Checklist (Attachment C) for each maintenance inspection. As part of the quarterly preventive maintenance activities, the Contractor shall perform a night check of all signalized intersections to ensure all safety lights are operating as expected, repairs resulting from night checks shall be completed within 72 hours from when the malfunction was identified. The Contractor shall maintain one copy of the completed form for each intersection and for each inspection in the Contractor’s business office throughout the term of this contract. The Contractor shall submit hard and soft copies of the completed quarterly preventive maintenance and night check forms as part of its monthly activity report and invoices.

The Contractor shall provide annual preventive maintenance of the traffic signals, Changeable Message Signs (CMS), In-Roadway Warning Light Systems (IRWL), Rectangular Rapid Flash Beacons (RRFB), Speed feedback signs and flashing beacon systems listed in Attachment B. The Contractor shall complete an Annual Preventive Maintenance Checklist (Attachment D) for each annual maintenance inspection. The Contractor shall maintain one copy of the completed form for each intersection/location and for each annual inspection in the Contractor’s business office throughout the term of this contract. The Contractor shall submit hard and soft copies of the completed annual preventive maintenance form as part of its monthly activity report and invoices when completed. The Contractor shall submit a schedule for the annual maintenance inspection at the start of the contract. The Contractor shall maintain three copies of the full field test results of the traffic signal conflict monitor, megg test of traffic loops at the pullbox. One copy shall be left in the traffic signal controller cabinet, one copy shall be maintained at the Contractor’s business office, and one copy shall be sent to the City with the monthly invoices with the completed Annual Preventive Maintenance Checklist.

It is understood and agreed that failure on the part of the Contractor to perform quarterly and annual preventive maintenance as required by this contract will cause the City to suffer an unascertainable amount of damage. Therefore, the Contractor agrees to pay to the City, not as a penalty but as liquidated damages, the amount of \$500 per calendar day that the intersection is overdue for quarterly or annual preventive maintenance. The total amount of liquidated damages will be totaled and deducted from the monthly invoice payment.

The Contractor shall maintain two separate logs at each signalized intersection, CMS, IRWL, RRFB, Speed feedback signs and flashing beacon systems included under this contract. One log shall detail each quarterly and annual preventive maintenance inspection by the Contractor. The Contractor shall complete at a minimum on this log, the inspection date, arrival time, departure time, type of inspection, any findings or repairs, and the Contractor’s employee name or ID. The

other log shall detail any extraordinary repairs or service calls for the locations mentioned above. This log shall detail the nature of the emergency/service call, the Contractor's findings, the repair made, Repair Order number, if applicable, arrival time at the intersection, departure time, and the Contractor's employee name or ID.

## **2. TRAFFIC SIGNAL CONTROL EQUIPMENT**

The Contractor shall repair, replace or otherwise render in good working order all defective parts of all traffic signal control equipment. Whenever the Contractor replaces any defective parts on either a temporary and/or permanent basis, the Contractor shall identify the parts being replaced by manufacturer's make and model. Further, the Contractor shall only use new parts for permanent replacement. Exceptions to this requirement shall only occur on an individual basis upon advance written approval from the City.

No permanent changes of traffic signal control devices shall be done without prior written approval from the City. Whenever any traffic signal equipment is removed/replaced/modified, the Contractor shall notify the City by telephone within one hour of the change, followed by written notification to the City within three working days. Furthermore, any changes shall also be indicated on the maintenance or repair log within the traffic signal controller cabinet.

The Contractor agrees to notify, the City in advance of any planned or scheduled traffic signal turn-offs/turn-ons necessitated by the Contractor's operations. The Contractor shall make turn-offs/turn-ons of traffic signals only upon prior written approval by the City. Furthermore, a City representative shall be present at all turn-offs/turn-ons of any traffic signals.

All traffic signal control equipment (poles, IRWL, RRFB, CMS, radar speed feedback signs, traffic signals, conduits, conductors, video detection and infrared detection systems, PTZ cameras, inductive loops, UPS systems, Ethernet switches, and wireless communication systems) shall be maintained in accordance with the manufacturer's recommendations. The Contractor shall bear the cost for replacing any part of the traffic signal control equipment under the provisions of the maintenance program. When the traffic signal control equipment becomes obsolete or deteriorated to the point of being beyond reasonable or cost effective repair, the Contractor shall report such conditions to the City and provide satisfactory evidence that replacements are necessary. The Contractor shall prepare estimates showing the cost breakdown of materials and labor for replacement of such traffic signal control equipment and submit this information to the City.

## **3. NEW INSTALLATIONS OR DELETIONS**

The Contractor shall add to the current maintenance scheduled activities any new traffic signal equipment, IRWL, RRFB, CMS, radar speed feedback signs, flashing beacons, and any other related traffic control devices, which are installed for or by the City throughout the term of the contract. These devices will be deemed to be added to the existing signalized intersection listed on Attachment B when the City notifies the Contractor of the installation thereof. These added devices, regardless of the complexity of the technology shall be maintained in the same manner and for the same flat rate as those devices already covered by the contract.

In the event notification of the addition of any device is made any day other than the first day of the month, payment for that month shall be prorated from the first day the Contractor is notified to begin maintenance. Should responsibility for the maintenance of any current or future traffic signal device cease to be the City's, the City will notify the Contractor in writing of the last date to perform maintenance. The flat rate maintenance for any such affected device shall be prorated on the basis of the number of days that device was maintained by the Contractor.

#### **4. WARRANTY SERVICE**

During the warranty period for any traffic signal, LED, traffic signal controller, communications/monitoring/interconnection device, loop amplifier, video camera, electronic changeable message sign, emergency preemption device, or any traffic signal related device, the Contractor shall be responsible for making contact between the equipment manufacturer, the installing contractor and the City regarding any required service determined to be under warranty. The Contractor shall notify the City of any undue delays in response due to the manufacturer or installing contractor and provide details of each incident.

#### **D. CONTRACTOR SHOP AND EMERGENCY SERVICE**

The Contractor shall establish, within ninety days of award of contract, adequate shop and storage facilities within a reasonable distance to allow for a one hour on-site response time. This facility shall house the necessary staff, traffic signal poles, signals, traffic signal controllers, traffic signal communications devices, vehicular and pedestrian LEDs modules, LED safety lighting, controller cabinets, service cabinets, uninterruptable power supplies, wiring, pullboxes, pullbox lids, and other necessary materials and vehicular equipment to perform all maintenance required and to perform temporary and permanent repair of accident damage to traffic signal equipment/devices. This facility shall also be equipped to perform twenty-one-day bench test of traffic signal controller cabinets in accordance to Caltrans and City specifications. This facility shall have all test equipment necessary to test conflict monitors, load switches, flashers, detector amplifiers, controllers, LEDs, and controller cabinets. This facility shall be staffed and open for meetings/inspections at any time Monday thru Friday during normal working hours.

The Contractor shall maintain a single local telephone number during the entire term of the contract where he/she or a designated representative can be reached 24 hours a day, 365 days a year.

The Contractor shall also maintain and provide direct phone numbers, cellular phone numbers, fax numbers, and email addresses of various pertinent staff/employees with which the City can maintain regular and direct contact with regarding billing, estimating, service calls, status reports, scheduling, testing of equipment, and various other issues.

When notified of any traffic signal device malfunction, failure, loss of indication, accident damage, construction damage, or any traffic signal service call, the Contractor shall respond and be at the location within one hour following notification from the City, CHP, or County Sheriff first notifies the Contractor.

In the event of a knockdown, the Contractor shall provide temporary emergency replacement of a type acceptable to the City until permanent repairs can be accomplished. The Contractor shall not reinstall the damaged equipment even if there are no visible signs of damage. Public safety and reliability is of the utmost concern. The Contractor shall install a temporary device appropriate for the situation and consult with the City to identify a permanent replacement. Required replacement of equipment will require prior written approval from the City before such replacements are commenced in conjunction with an emergency call.

The requirement of the previous paragraph will apply except when a pedestrian pushbutton pole or 1B pole is knocked down with no damage to the existing foundation or anchor bolts. In both of these cases, the Contractor shall make a permanent repair with entirely new equipment during the initial service call.

At any time the Contractor is notified of an emergency situation by the City, CHP, or County Sheriff, or other duly recognized authority, the Contractor shall call the appropriate phone number or email the

appropriate City staff including Transportation and Traffic personnel of the nature of the emergency call.

Upon completion of the emergency work, the Contractor shall notify the City by telephone and/or email that the emergency work has been completed. In addition, the Contractor shall notify the City in writing within three calendar days that such repairs have been completed.

It is understood and agreed that failure on the part of the Contractor to respond within one hour to any emergency/service call as provided will cause the City to suffer an unascertainable amount of damage. Therefore, the Contractor agrees to pay to the City, not as a penalty but as liquidated damages, the amount of \$500 per hour. The time for such liquidated damages shall commence from the first hour after the required response time for emergency/service calls indicated in the previous sections. The total amount of liquidated damages will be totaled and deducted from the monthly invoice payment.

The Contractor shall enter any emergency/service call onto the Extraordinary Repair Log at the intersection controller cabinet along with the minimum required information as stated in the previous sections. Failure to do so will be construed to be a failure to respond to the emergency/service call. In this case, the Contractor agrees to pay to the City, as liquidated damages, the amount of \$500 per hour. The time for such liquidated damages shall commence from the first hour after the required response time for emergency/service calls indicated in the previous sections. The total amount of liquidated damages will be totaled and deducted from the monthly invoice payment.

The City shall perform spot checks of the Contractor's response and response times to emergency/service from time to time throughout the term of the contract, through comparison of emergency/service notification time to the Contractor by the City with the arrival time noted in the intersection logs. The City may also choose to randomly time and respond to the emergency/service call along with the Contractor in order to check response times and workmanship of the Contractor.

#### **E. TRAFFIC CONTROL DEVICES, UPGRADES, MODIFICATIONS, AND INSTALLATIONS AND ENGINEERING SERVICES INSPECTIONS.**

No additional or extra work shall be commenced or undertaken by the Contractor unless authorized in advance in writing by the City. Said written authorization is a condition precedent to the Contractor's entitlement to reimbursement or remuneration for such services. Upon request, the City may request Engineering Services such as inspections of traffic signal(s) during construction phase. Additional or extra work and Engineering Services Inspections shall be performed in accordance with the most current version of the City's Technical Specifications for Traffic Signals, City's Standard Specifications and Standard Details, and latest Caltrans Standard Plans and Caltrans Standard Specifications. This work shall be performed within a specified time limit established by the City and for a mutually agreed upon price.

The City shall retain discretionary right to perform any additional work through the use of City forces, by negotiated agreement, or to advertise such work for construction by others.

#### **F. UNDERGROUND SERVICE ALERT (USA) MARKOUTS**

The Contractor will be required to adequately mark all traffic signals conduits, traffic signal interconnect/communication lines, and equipment on behalf of the City in accordance with the California Government Code Section 4216 et seq. The City's designated representative will monitor notifications submitted by Underground Service Alert (USA) to the City, and will furnish applicable notifications to a representative of the Contractor to coordinate the markings of any signalized intersections that may be scheduled for construction work or excavations as evidenced by notification from USA. The Contractor shall establish a process for monitoring and tracking the marking of any affected intersections; an Intersection Record Log shall be created and maintained in the traffic signal

controller cabinet; the log must include the USA notification number and corresponding action noted. A report of monthly activity must be provided to the City with the monthly invoices. The Contractor shall assume all liability for satisfying the City's obligations to adequately identify underground structures in accordance with this law.

## **G. RECORDS**

### **1. PREVENTIVE MAINTENANCE CHECKLIST FORMS**

The Contractor shall maintain and provide all required preventive maintenance checklists as described in the previous sections. The Contractor shall provide copies of the maintenance checklists monthly to the City along with the Contractor's invoices.

### **2. COMPUTERIZED MAINTENANCE, ASSET MANAGEMENT AND INVENTORY SYSTEM**

Within ninety days of contract award, the Contractor shall implement and keep updated during the term of this contract a functioning and deployed comprehensive PC Windows-based, computerized traffic signal maintenance, asset management and inventory management system. This system shall be fully functional and ready to be implemented with little or no changes. Upon demonstration of the system, the City, at its option may request revisions or changes to the system to make it acceptable for use. Upon receipt of the City's requested changes/revisions, the Contractor shall ready the system for implementation within three months of the contract award. Any changes to the system requested by the City at this point will be accomplished by the Contractor at no charge to the City within thirty days of notification to the Contractor. Any future upgrades of the system will be offered by the Contractor to the City at no additional charge during the term of the contract. Upon the end of the contract, the City at its option may retain possession of data in electronic and hardcopy format for future use related to the City's traffic signal maintenance, asset management and inventory.

The City will make available to the Contractor, if needed, a Microsoft Access database with inventory of all poles and equipment in service at each signalized intersection for integration into the computerized maintenance, asset management and inventory system. The contractor shall bar-code and tag all existing equipment in order to integrate into the system and shall bar-code all new equipment resulting from collision repairs, additions through CIP or redevelopment projects upon notification from City Transportation Engineer.

At a minimum, the traffic signal maintenance. asset management and inventory system shall provide the following features and equipment:

- a. *Assets Inventory Tracking for Field and Spare Equipment* - A complete database of all traffic signals, In-Roadway Warning Light (IRWL) systems, radar speed feedback signs, changeable message signs (CMS), Rectangular Rapid Flashing Beacon (RRFB) systems and flashing beacon systems to include at a minimum:

- (1) All quarterly and annual maintenance histories. History of maintenance activities shall be available always for a minimum of three years throughout the duration of the contract. Previous history can be archived if storage limitations, however it shall be available to City staff upon request and shall be kept throughout the duration of the contract.
- (2) Complete equipment inventory to include poles, standards, mast arm and luminaire mast arm length, pedestrian detection, signal head types, vehicle detection types,



communications type, controller type and software version, UPS system and type, communications equipment and type, etc.

- (3) Date acquired/constructed/modified.
  - (4) Design/construction as-built drawings in PDF format, electronic photo images,
  - (5) Repair history and installation date of all equipment utilized at each location.
  - (6) Real-time available inventoried replacement and spare parts, status of reordered equipment, and inventory tracking.
  - (7) Equipment cost and warranty status.
  - (8) Night checks and associated repairs activity and history.
  - (9) USA markout activity and history.
- b. *Mapping Capabilities* - The system must have mapping capabilities in GIS format either in shapefile or ESRI GEO database. This GIS data shall include features such as street centerline data, pole location and type, controller cabinet type, controller type and software version, service pedestal type, signal mast arm length, number of signal heads and types, luminaire arm length, safety light wattage, signal phasing, type of detection, interconnect type, etc. Contractor shall coordinate with City's Transportation and Traffic Staff to ensure data is complete and shall coordinate with City's IT Department to ensure data can be integrated seamlessly with City's GIS map.
- c. *Reporting Capabilities* – System shall be capable of producing real-time asset inventory reports, maintenance/repair history, schedules and status, night checks schedules, status and repairs, trouble calls and response time, equipment cost, warranty status, past due repairs, quotes provided to the City and status, collision repairs and status. At a minimum the system shall allow City staff to generate reports on a monthly, quarterly and yearly basis.
- d. *Maintenance/Work Order Management* – System shall enable the City to plan, schedule and track maintenance work for inventoried signal system assets, such as traffic signals, signs, controllers, cabinets, and other related field equipment. System shall generate and track progress and status of work orders based on City requests or preventive maintenance schedules. Work completion shall be entered back into the system so that information about maintenance costs by element and component (labor, equipment, materials) can be tracked and summarized.
- e. *Service/Emergency Calls* - A record of all calls, date and time stamp moment of receipt, dispatch, Contractor arrival and departure times. The system shall also have the capability to

prioritize all received calls and provide estimated time of arrivals, and corrective actions. All records shall be updated real-time utilizing smart phones or other like products.

- f. *Budgeting* - The system shall have the capability for City staff to develop capital, maintenance and/or operations budgets. At a minimum the capability to produce a simple spreadsheet that is used to track planned versus actual expenditures by category and specific time frame must be provided.

### **3. MONTHLY ACTIVITY REPORT**

The Contractor shall submit to the City, at the same time as the submission of monthly invoices, a computerized report covering all Contractor's activities within the City of Sunnyvale during the previous month. This monthly activity report shall be provided in both electronic and hardcopy formats and shall be generated from a database, preferably using Microsoft Access (most recent version). Formatting shall be determined by the Contractor and the City. The Contractor shall be required to maintain a copy of the monthly activity report (either electronic or hardcopy) for a period of not less than five years. The monthly activity report shall include at a minimum:

- a. Time any emergency/service calls were received by the Contractor, time at which the emergency/service call was dispatched to the technician, the arrival time of the technician at the requested location, the length of time spent repairing or diagnosing the problem, and the departure time.
- b. A complete record of any and all work performed on the traffic signal equipment during the period covered by the monthly activity report, including the make, model, and serial number of any replacement or newly installed equipment at each intersection. The report shall also detail the make, model and serial number of any equipment replaced.
- c. The date and time that any preventive maintenance work was performed.
- d. Any and all pending repair work needed at each intersection along with Repair Order number.

### **G. MEETINGS**

The Contractor and any of its staff shall be available to meet on a bi-weekly basis, with City staff at a mutually agreed upon time and place to review maintenance activities, operational and timing activities, pending work, estimates, work quality, collision repair and any items related to Contractor's work under this contract.

**Exhibit B**

**COMPENSATION**

**1. QUARTERLY AND ANNUAL PREVENTIVE MAINTENANCE**

The Contractor shall be compensated for services required under this contract based on the fee schedule per traffic signal, IRWL system, RRFB system, CMS, speed feedback signs and flashing beacon system in accordance with contract prices shown on Exhibit B – Cost Proposal – Fee Schedule.

Any replacement of traffic signal equipment found to be damaged while performing quarterly or annual preventive maintenance such as a malfunctioning pedestrian push button, DC/AC isolator cards, inductive loop detector amplifier, video detector processor card(s), controller cabinet fan, or any other piece of equipment that can be easily repaired within the allotted time of quarterly or annual preventive maintenance shall be billed as material cost only.

Not included in the compensation shall be painting of traffic signal poles, heads, cabinets, labor and material cost for the replacement of inductive loops, pedestrian pushbuttons, replacement of signs, LEDs traffic signals modules, or repair to signal equipment when such equipment has been damaged by vehicular collisions, acts of God, or malicious damage.

**2. EXTRAORDINARY REPAIRS**

The Contractor will be compensated for extraordinary repairs ordered by the City and satisfactorily completed by the Contractor in accordance with the fee schedule. Work not covered by the below Fee Schedule will be paid on an hourly basis per the agreed upon hourly labor rates, material markups, and equipment rates.

Extraordinary work refers to the replacement, repair, upgrade, modifications, or installation of any device utilized for traffic control such as; traffic signals, IRWL systems, RRFB systems, radar speed feedback signs, CMS signs, flashing beacons, etc., or to insure the public's safety. All such work must be performed to the satisfaction of the City. The Contractor must obtain City approval prior to scheduling any work to be performed under this provision. The Contractor must provide documentation to support invoiced charges, including but not limited to time cards and material invoices, upon request by the City.

**3. MISCELLANEOUS SERVICES**

The Contractor will be compensated for miscellaneous services ordered by the City and satisfactorily completed by the Contractor in accordance with the below Fee Schedule. Work not covered by the fee schedule will be paid on an hourly basis per the agreed upon hourly labor rates, material markups, and equipment rates.

Miscellaneous Services refers to the 21-day Traffic Signal Controller Cabinet Assembly Test and Certification. with controller and equipment or without, installation, test and termination of inductive loops, installation of video detection systems for full 8-phase 4 legged intersection, and 2-phase/one approach one camera system, installation of PTZ system, permanent replacement of 1-B traffic signal pole with one three-section head LED vehicle indication, one LED countdown pedestrian indication and one Polara Accessible

Pedestrian Push Button with new foundation and likewise when existing foundation can be re-used, permanent replacement of a 36" pedestrian push button pole with one Polara pedestrian push button with new foundation and likewise when existing foundation can be re-used. All such work must be performed to the satisfaction of the City. The Contractor must obtain City approval prior to scheduling any work to be performed under this provision. The Contractor must provide documentation to support invoiced charges, including but not limited to timecards and material invoices, upon request by the City.

#### **4. EMERGENCY MAINTENANCE AND COLLISION REPAIRS**

Compensation for temporary Emergency Maintenance and Collision Repair work shall be on a Time and Materials (T&M) basis in accordance with the below Fee Schedule. Compensation for permanent Emergency Maintenance and Collision Repair will be per the cost quote submitted to and approved by the City. The Contractor's quote must include the full cost for furnishing all materials, labor, tools, equipment, temporary traffic controls and incidentals and for doing all work involved in completing such work in accordance with the City's Technical Specifications for Traffic Signals, City's Standard Specifications and Details, latest Caltrans Standard Specifications and Standard Details, and as directed by the City's Transportation Engineer.

Compensation for permanent repair of a pedestrian pushbutton pole or 1B pole with entirely new equipment because of a collision with or without new foundation or anchor bolts during the initial service call will be in accordance with the below Fee Schedule.

#### **5. UNDERGROUND SERVICE ALERT (USA) MARKOUTS**

Compensation for providing USA services ordered by the City and satisfactorily completed by the Contractor will be in accordance with the below Fee Schedule. Work not covered by the fee schedule will be paid on an hourly basis per the agreed upon hourly labor rates, material markups, and equipment rates.

**EXHIBIT B**

**Fee Schedule**

Preventive Maintenance - Quarterly	\$ <u>77.15</u>	Per Intersection
Preventive Maintenance - Annual	\$ <u>718.76</u>	Per Intersection
Preventive Maintenance - IRWL/RRFB/FB/CMS – Quarterly/Annual	\$ <u>77.15</u>	Per Location
USA Markouts	\$ <u>147.74</u>	Per Hour
<b>TOTAL (for evaluation purposes)</b>	\$ <u>1,020.80</u>	

**For Informational Purposes Only (not evaluated but will be included in the contract):**

**Labor Rates for Extra or Emergency Work, As Required** (use extra sheets if necessary)

Labor Category	Straight Time (\$ per hour)	Overtime (\$ per hour)	Doubletime (\$ per hour)
Electrician IW	\$ 199.20	\$ 270.48	\$ 341.77
Comm System Tech	\$ 142.75	\$ 194.11	\$ 245.47
Laborer	\$ 102.15	\$ 134.26	\$ 166.36
Professional Engineer	\$ 185	\$ 185	\$ 185
	\$	\$	\$

**Equipment Rates for Extra Work, As Required** (use extra sheets if necessary)

Equipment Category	\$ Per Hour	\$ Per Job
Utility Truck	\$ 30	\$ 150
Bucket Truck	\$ 34.85	\$ 174.25
Crane	\$ 136.34	\$ 681.70
Compressor	\$ 22.73	\$ 113.65

**Miscellaneous Services, As Required** (use extra sheets if necessary)

Service Category	\$ Cost
Permanent traffic signal pole knockdown replacement:	
a. 1B pole with one LED vehicular indication (TV1T/SV1T), one LED pedestrian countdown indication, and one Polara Accessible Pedestrian Push Button, with new foundation.	\$ 5,263.19
b. 1B pole with one LED vehicular indication (TV1T/SV1T), one LED pedestrian countdown indication, and one Polara Accessible Pedestrian Push Button, no new foundation.	\$ 2,984.64

- |  |                    |
|--|--------------------|
| c. 36" Pedestrian Push Button Post with one Polara Accessible Pedestrian Push Button, with new foundation  | \$ <u>2,395.27</u> |
| d. 36" Pedestrian Push Button Post with one Polara Accessible Pedestrian Push Button, no new foundation    | \$ <u>1,278.25</u> |
| e. 21-day Traffic Signal Controller Cabinet Assembly Test and Certification with controller and equipment. | \$ <u>1,747.54</u> |
| f. 21-day Traffic Signal Controller Cabinet Assembly Test and Certification.                               | \$ <u>873.79</u>   |

Installation, testing and termination of inductive loops: \$ \_\_\_\_\_

- |                               |                  |
|-------------------------------|------------------|
| a. 6x6 type A, B, D, E, and Q |                  |
| i. 1 to 4                     | \$ <u>673.34</u> |
| ii. 5 to 8                    | \$ <u>617.22</u> |
| iii. 9 or more loops          | \$ <u>585.00</u> |
| b. 6x15 type C                |                  |
| i. 1 to 4                     | \$ <u>673.34</u> |
| ii. 5 to 8                    | \$ <u>617.22</u> |
| iii. 9 or more loops          | \$ <u>585.00</u> |
| c. 2x6 Type C bicycle loop    |                  |
| i. 1 to 4 loops               | \$ <u>673.34</u> |
| ii. 5 to 8                    | \$ <u>617.22</u> |
| iii. 9 or more loops          | \$ <u>585.00</u> |

Materials markup 10 %

**Location of Shop and Storage Facility (must be within 20 miles of the intersection of Mathilda and Olive Avenues, Sunnyvale):** \_\_\_\_\_  
4120 Business Center Dr. Fremont, CA 94538

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## Exhibit C INSURANCE REQUIREMENTS FOR CONTRACTORS

Contractor shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work by the Contractor, his agents, representatives, or employees.

Minimum Scope and Limits of Insurance. Contractor shall maintain limits no less than:

1. **Commercial General Liability:** \$2,000,000 per occurrence and \$4,000,000 aggregate for bodily injury, personal injury and property damage. ISO Occurrence Form CG 0001 or equivalent is required.
2. **Automobile Liability:** \$1,000,000 per accident for bodily injury and property damage. ISO Form CA 0001 or equivalent is required.
3. **Workers' Compensation** Statutory Limits and **Employer's Liability:** \$1,000,000 per accident for bodily injury or disease.

Industry Specific Coverages. If checked below, the following insurance is also required:

- ☐ Errors and Omissions Liability in the minimum amount of \$1,000,000 per occurrence.
- ☐ If working directly with children, the Certificate of Insurance must include coverage for molestation and sexual abuse in the minimum amount of \$1,000,000 per occurrence and \$2,000,000 aggregate. In the event that Abuse & Molestation Liability coverage is provided via a Claims Made Policy, the coverage shall include a minimum of a five year extended reporting clause.
- ☐ Pollution Liability Insurance in the minimum amount of \$1,000,000 per occurrence
- ☐ MCS-90 Endorsement to Business Automobile insurance for transportation of hazardous materials and pollutants
- ☐ Builder's Risk / Course of Construction Insurance in the minimum amount of \$\_\_\_\_\_.

Deductibles and Self-Insured Retentions

Any deductibles or self-insured retentions must be declared and approved by the City of Sunnyvale. The Contractor shall guarantee payment of any losses and related investigations, claim administration and defense expenses within the deductible or self-insured retention.

Other Insurance Provisions

The **general liability** and automobile liability policies (and if applicable, pollution liability, sexual abuse and molestation, and builder's risk policies) shall contain, or be endorsed to contain, the following provisions:

1. The City of Sunnyvale, its officials, employees, agents and volunteers are to be covered as additional insureds with respects to liability arising out of activities performed by or on behalf of the Contractor; products and completed operations of the Contractor; premises owned, occupied or used by the Contractor; or automobiles owned, leased, hired or borrowed by the Contractor. The coverage shall contain no special limitations on the scope of protection afforded to the City of Sunnyvale, its officers, employees, agents or volunteers.
2. For any claims related to this project, the Contractor's insurance shall be primary. Any insurance or self-insurance maintained by the City of Sunnyvale, its officers, officials, employees, agents and volunteers shall be excess of the Contractor's insurance and shall not contribute with it.
3. Any failure to comply with reporting or other provisions of the policies including breaches of warranties shall not affect coverage provided to the City of Sunnyvale, its officers, officials, employees, agents or volunteers.
4. The Contractor's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.
5. Each insurance policy required by this clause shall be endorsed to state that coverage shall not be suspended, voided, cancelled by either party, reduced in coverage or in limits except after thirty (30) days' prior written notice by certified mail, return receipt requested, has been given to the City of Sunnyvale.
6. The policy limits of coverage shall be made available to the full limits of the policy. The minimum limits stated above shall not serve to reduce the CONTRACTOR'S policy limits of coverage. Therefore, the requirements for coverage and limits shall be (1) the minimum coverage and limits specified in this agreement, or (2) the broader coverage and maximum limits of coverage of any insurance policy or proceeds available to the named insured, whichever is greater.

Acceptability of Insurers

Insurance is to be placed with insurers with a current A.M. Best's rating of not less than A:VII, unless otherwise acceptable to the City of Sunnyvale.

Verification of Coverage

Contractor shall furnish the City of Sunnyvale with original a Certificate of Insurance effecting the coverage required. The certificates are to be signed by a person authorized by that insurer to bind coverage on its behalf. All certificates are to be received and approved by the City of Sunnyvale prior to commencement of work.

Subcontractors

CONTRACTOR shall require all subcontractors to procure and maintain insurance policies subject to these requirements. Failure of CONTRACTOR to verify existence of sub-contractor's insurance shall not relieve CONTRACTOR from any claim arising from sub-contractors work on behalf of CONTRACTOR.





# City of Sunnyvale

## Agenda Item

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**20-0637**

**Agenda Date: 6/30/2020**

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### **REPORT TO COUNCIL**

#### **SUBJECT**

Award a Three-year Contract to Mountain View Community Television for Management of the Sunnyvale Government Access and Public Access Channels (F20-157)

#### **REPORT IN BRIEF**

Approval is requested to award a three-year contract, in an amount not-to-exceed \$210,000, to Mountain View Community Television of Sunnyvale for management of the Sunnyvale Government Access Channels KSUN 15 and Channel 26, and to authorize the City Manager to renew the contract for up to two (2) additional years, within budgeted amounts and provided pricing and services remain acceptable.

The proposed contract consists of \$55,000 per year for existing broadcast services and \$15,000 per year for additional Channel 26 programming.

#### **EXISTING POLICY**

Pursuant to Section 2.08.040 of the Sunnyvale Municipal Code, City Council approval is required for the procurement of goods and/or services exceeding \$100,000 in any one transaction.

Further, Section 2.08.070(b)(3) authorizes the purchase of goods and/or services to be exempted from the competitive bidding requirements when the solicitations of bids or proposals would be impractical, unavailing or impossible.

#### **ENVIRONMENTAL REVIEW**

The action being considered does not constitute a "project" within the meaning of the California Environmental Quality Act ("CEQA") pursuant to CEQA Guidelines section 15378(a) as it has no potential for resulting in either a direct physical change in the environment, or a reasonably foreseeable indirect physical change in the environment.

#### **BACKGROUND AND DISCUSSION**

Mountain View Community Television (KMVT) is the non-profit organization currently providing broadcast services for Sunnyvale's City Council and Planning Commission meetings. They also have long-standing contracts to provide similar services for the cities of Cupertino, Foster City, Los Altos and Mountain View. KMVT recently moved their business office to Sunnyvale.

KMVT has been performing this service for the City since 2004, including broadcasting special meetings and events such as the annual State of the City and the Budget/Study Issues Workshop. This contract will continue existing broadcasting services (KSUN 15 and Channel 26) and also includes the ability for additional community developed programming and broadcasting services on Channel 26.

Other services available through KMVT are Public Service Announcements (PSA), bulletin board postings, job announcements, formal bid postings and press releases. Pandemic-related services may be implemented to include virtual classes and community training programs.

KMVT's non-profit status, tenure with the City, experience and familiarity with the City's broadcast control room operations and technical equipment, close proximity to City Hall and range of broadcasting and community-based programming services all continue to make them the most viable provider for the specialized services needed by the City.

### **FISCAL IMPACT**

Budgeted funds for the existing broadcast services in the amount of \$55,000 annually are available in operating program 702 (Office of the City Manager). Additional Channel 26 programming in the amount of \$15,000 annually is included in the FY 2020/21 Recommended Budget.

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

### **RECOMMENDATION**

Take the following actions:

- Award a three-year contract, in substantially the same form as Attachment 1 to the Report, in an amount not-to-exceed \$210,000 to Mountain View Community Television; and
- Authorize the City Manager to renew the contract for up to two additional years, within budget amounts and provided pricing and services remain acceptable.

Prepared by: Gregory S. Card, Purchasing Officer

Reviewed by: Tim Kirby, Director of Finance

Reviewed by: Teri Silva, Assistant City Manager

Reviewed by: Jaqui Guzmán, Deputy City Manager

Approved by: Kent Steffens, City Manager

### **ATTACHMENTS**

1. Draft Consultant Service Agreement

**DRAFT CONSULTANT SERVICE AGREEMENT BETWEEN THE CITY OF  
SUNNYVALE AND MOUNTAIN VIEW COMMUNITY TELEVISION  
FOR MANAGEMENT OF THE SUNNYVALE GOVERNMENT ACCESS  
AND PUBLIC ACCESS CHANNELS**

THIS AGREEMENT, dated \_\_\_\_\_, 2020, is by and between the CITY OF SUNNYVALE, a municipal corporation ("CITY"), and MOUNTAIN VIEW COMMUNITY TELEVISION, a non-profit corporation ("CONSULTANT").

WHEREAS, CITY is in need of specialized services in relation to the management of the CITY'S Government Access Channel KSUN 15 and Channel 26; and

WHEREAS, CONSULTANT possesses the skill and expertise to provide the required services;

NOW, THEREFORE, THE PARTIES ENTER INTO THIS AGREEMENT.

1. Services by CONSULTANT

CONSULTANT shall provide services in accordance with Exhibits A, B and C attached and incorporated by reference. CONSULTANT shall determine the method, details and means of performing the services. The parties agree that the nature of the services to be provided by CONSULTANT may necessitate that the services be performed on CITY'S premises. CITY therefore agrees to furnish space on its premises for use by CONSULTANT while performing these services.

2. Time for Performance

The term of this contract shall be for a three (3) year period, effective July 1, 2020, through June 30, 2023 with an option to renew annually for two (2) additional years. CONSULTANT shall deliver the agreed upon services as specified in Exhibit A.

3. Duties of CITY

CITY shall supply any documents, equipment or information available to CITY required by CONSULTANT for performance of its duties. Any materials provided shall be returned to CITY upon completion of the work.

4. Compensation

CITY agrees to pay CONSULTANT for the services rendered pursuant to this Agreement, the amounts in Exhibit B subject to the payment provisions and not-to-exceed sums set forth in this section.

In no event shall the total amount of compensation payable under this agreement for management of Government Access Channels KSUN 15 and Channel 26

exceed the sum of Fifty-five Thousand Dollars (\$55,000) per year, unless changed by written modification of this Agreement executed by both parties. In no event shall the total amount of compensation payable under this agreement for Optional Channel 26 Public Access programming services exceed the sum of Thirty Thousand Dollars (\$30,000) per year, unless changed by written modification of this Agreement executed by both parties. The total compensation for the term of this agreement shall not exceed Two Hundred Fifty-Five Thousand Dollars (\$255,000).

Optional Channel 26 services may include, but are not limited to:

1. Public Service Announcements (PSA)
2. Bulletin Board Postings
3. Job Announcements
4. Formal Bid Postings
5. Press Releases
6. Virtual Classes
7. Community Training Programs

All invoices for payment, including detailed backup, shall be sent to City of Sunnyvale, Accounts Payable, PO Box 3707, Sunnyvale, CA 94088-3707.

5. Conflict of Interest

No officer or employee of CITY shall have any interest, direct or indirect, in this Agreement or the proceeds thereof.

6. Confidential Information

CONSULTANT shall maintain in confidence and at no time use, except to the extent required to perform its obligations hereunder, any and all proprietary or confidential information of CITY of which CONSULTANT may become aware in the performance of its services.

7. Compliance with Laws

- a. CONSULTANT shall strictly adhere to all state and federal laws with respect to discrimination in employment and shall not discriminate against any individual on the basis of race, color, religion, gender, sexual orientation, marital status, national origin, age, or disability.
- b. CONSULTANT shall comply with all federal, state and city laws, statutes, ordinances, rules and regulations and the orders and decrees of any courts or administrative bodies or tribunals in any manner affecting the performance of this Agreement.

8. Independent Contractor

CONSULTANT is acting as an independent contractor in furnishing the services or materials and performing the work required by this Agreement and is not an agent, servant or employee of CITY. Nothing in this Agreement shall be

interpreted or construed as creating or establishing the relationship of employer and employee between CITY and CONSULTANT. CONSULTANT is responsible for paying all required state and federal taxes.

9. Indemnity

CONSULTANT agrees to indemnify and hold harmless CITY and its officers, officials, employees and volunteers from and against claims, damages, losses and expenses, including attorneys' fees, arising out of the performance of the work described herein, caused in whole or in part by any negligent act or omission of CONSULTANT, any subcontractor, anyone directly or indirectly employed by any of them or anyone for whose acts any of them may be liable, except where caused by the active negligence, sole negligence, or willful misconduct of CITY.

10. Insurance

CONSULTANT shall take out and maintain, during the life of this Agreement, policies of insurance as specified in Exhibit D, attached and incorporated by reference, and shall provide all certificates and endorsements as specified in Exhibit D.

11. CITY Representative

Teri Silva, Assistant City Manager, as the City Manager's authorized representative, shall represent CITY in all matters pertaining to the services to be rendered under this Agreement. All requirements of CITY pertaining to the services and materials to be rendered under this Agreement shall be coordinated through the CITY representative.

12. CONSULTANT Representative

Bobby Chastain, Executive Director, shall represent CONSULTANT in all matters pertaining to the services and materials to be rendered under this Agreement; all requirements of CONSULTANT pertaining to the services or materials to be rendered under this Agreement shall be coordinated through the CONSULTANT representative.

All notices required by this Agreement shall be in writing, and shall be personally delivered, sent by first class with postage prepaid, or sent by commercial courier, addressed as follows:

To CITY:	Teri Silva, Assistant City Manager CITY OF SUNNYVALE P. O. Box 3707 Sunnyvale, CA 94088-3707
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To CONSULTANT: Bobby Chastain, Executive Director  
MOUNTAIN VIEW COMMUNITY TELEVISION  
211 E. Weddell Dr.  
Sunnyvale, CA 94089

Nothing in this provision shall be construed to prohibit communication by more expedient means, such as by telephone or facsimile transmission, to accomplish timely communication. However, to constitute effective notice, written confirmation of a telephone conversation or an original of a facsimile transmission must be sent by first class mail or commercial courier, or hand delivered. Each party may change the address by written notice in accordance with this paragraph. Notices delivered personally shall be deemed communicated as of actual receipt; mailed notices shall be deemed communicated as of two days after mailing, unless such date is a date on which there is no mail service. In that event, communication is deemed to occur on the next mail service day.

13. Assignment

Neither party shall assign or sublet any portion of this Agreement without the prior written consent of the other party.

14. Termination

If CONSULTANT defaults in the performance of this Agreement, or materially breaches any of its provisions, CITY at its option, may terminate this Agreement by giving written notice to CONSULTANT. If CITY materially fails to meet its obligations under this Agreement, CONSULTANT at its option, may terminate this Agreement if the failure is not remedied by CITY within thirty (30) days.

Without limitation to such rights or remedies as CITY or CONSULTANT shall otherwise have by law, CITY also shall have the right to terminate this Agreement for any reason upon thirty (30) days written notice to the other party. In the event of such termination by CITY, CONSULTANT shall be compensated in proportion to the percentage of services performed or materials furnished (in relation to the total which would have been performed or furnished) through the date of receipt of notification from CITY to terminate.

15. Entire Agreement; Amendment

This writing constitutes the entire agreement between the parties relating to the services to be performed or materials to be furnished hereunder. No modification of this Agreement shall be effective unless and until such modification is evidenced by writing signed by all parties.

16. Miscellaneous

Time shall be of the essence in this Agreement. Failure on the part of either party to enforce any provision of this Agreement shall not be construed as a waiver of the right to compel enforcement of such provision or any other provision. This Agreement shall be governed and construed in accordance with the laws of the State of California.

17. Mediation

All claims, disputes, and controversies arising out of or in relation to the performance, interpretation, application, or enforcement of this Agreement, including but not limited to breach thereof, shall be referred to mediation before, and as a condition precedent to, the initiation of any adjudicative action or proceeding, including arbitration.

18. Attorneys' Fees

In the event of any action or proceeding brought by either party against the other under this Agreement, the prevailing party shall be entitled to recover court costs and the fees of its attorneys in such action or proceeding (whether at the administrative, trial, or appellate level) and such amount as the court or administrative body may judge reasonable.

IN WITNESS WHEREOF, the parties have executed this Agreement.

ATTEST:

CITY OF SUNNYVALE ("CITY")

By \_\_\_\_\_  
City Clerk

By \_\_\_\_\_  
City Manager

MOUNTAIN VIEW COMMUNITY  
TELEVISION  
("CONSULTANT")

APPROVED AS TO FORM:

By \_\_\_\_\_

\_\_\_\_\_  
Name/Title

By \_\_\_\_\_  
City Attorney

## **SCHEDULE OF EXHIBITS**

Exhibit A – Scope of Services

Exhibit B – Compensation

Exhibit C – Errors Beyond Camera Operator's Control

Exhibit D – Insurance Requirements



## **EXHIBIT A SCOPE OF SERVICES**

CONSULTANT and CITY will work closely together to ensure a successful and professional operation of KSUN Government Access Channels 15 and 26. The Scope of Services includes outcome measures that define an acceptable level of service delivery expected from CONSULTANT.

### **1. Cablecasting of Public Meetings and Other Programming**

CONSULTANT shall provide a trained operator to cover and cablecast live meetings of the Sunnyvale City Council and Planning Commission produce coverage of other meetings or events such as the Budget Workshop and Study Issues Workshop, and arrange their playback on KSUN Channel 15 (and duplicated as necessary on Channel 26) in accordance with CITY-approved playback schedules.

CITY shall give CONSULTANT at least 72 hours advanced notice of all meetings to be covered. If such 72 hours advanced notice is not given, CONSULTANT shall make every reasonable effort to cover such meetings but is not required to do so.

CITY expects cablecasts of live meetings to be as error-free as possible. Noticeable and significant programming and operator errors within CONSULTANT'S control should be kept to a minimum and should not exceed two (2) instances per six (6) month period. Errors noted by CITY will be reported by the City Clerk. CONSULTANT will keep a record in an online reporting document made available to the City Clerk at all times. CONSULTANT also will document the recommendations for resolution and/or outcomes in the reporting document. This will be reviewed quarterly per Section 9. Performance Remedies.

### **2. Maintaining 24-Hour Programming for KSUN Channel 15 and Channel 26**

CONSULTANT shall regularly update and maintain the KSUN Channel 15 programming (and duplicated as necessary on Channel 26) according to the criteria defined below. CONSULTANT shall track time spent programming and include those hours in a monthly service level report.

From time to time, CONSULTANT shall play back other programming (beyond the public meetings cited in Section 1 above) on KSUN Channel 15 for which both the content and scheduling shall be approved in advance by the City Clerk (e.g. public service announcements or public meetings from other agencies).

Programming of video playback and posts to the electronic bulletin board will be completed by CONSULTANT at the request of CITY. Programming will be

completed within 48 hours of CITY request, will air at times and dates specified by CITY, and will be properly programmed so that they do not override the City Council and Planning Commission live cablecasts (with the exception of an interruption to announce emergency public information such as a natural disaster or major crisis). Acceptable programming includes, but is not limited to:

- i. Public Service Announcements (PSAs);
- ii. Full page still slides for the Bulletin Board;
- iii. Job Announcements and Formal Bid Advertisements;
- iv. Virtual Classes and Community Training; and,
- v. City Council meetings, Council Study Sessions, and Planning Commission meetings.

3. Coordinating, Scheduling and Monitoring Services

CONSULTANT shall administer programming, personnel, scheduling and record-keeping; develop and update procedures associated with channel operations; and regularly provide channel operations management information to CITY. This information shall be in the form of a monthly report which shall include the following items:

- a. Live meetings broadcast (by meeting type, meeting length, date, hours spent on live broadcasting, and name of operator);
- b. Playback programming (by program type, date, and program length);
- a. An itemized description of all preventative maintenance activities undertaken by CONSULTANT and the time allocated to this maintenance;
- b. Number of Bulletin Board pages, Job Announcements, Formal Bids posted, hours allocated to do so, date, and name of operator;
- e. Training activities (shall be limited to 30 hours per year; additional hours for training new operators shall be pre-approved by CITY);
- f. Special Projects, Virtual Classes, Community Training (showing date, description, and hours worked); and
- g. Duplication and upload services.

4. Preventative Maintenance and Troubleshooting

CONSULTANT shall provide technical assistance, preventative maintenance, troubleshooting and advice regarding the maintenance, operation, repair and replacement of CITY-owned production equipment. "Equipment" is defined as those components that affect cablecasting, production and scheduled programming on Channels 15 and 26. Such service shall be limited to eight hours

of CONSULTANT'S engineer time per month; additional hours needed in a month shall be pre-approved by CITY.

CONSULTANT shall notify CITY immediately of any issues affecting cablecasting or playback (e.g., equipment malfunctions) and add the issues to the online reporting document. CONSULTANT and CITY shall work together to determine the appropriate resolution and ensure that cablecasting and programming are restored in a timely manner. Actual equipment repair and replacement costs, including the procurement of any necessary technical vendor services, shall be the responsibility of CITY.

5. Production of Original Programming for City Events

CITY may occasionally request additional services from CONSULTANT such as production or studio services to develop original programming to cover special CITY events such as State of the City. These services may include pre-production planning, remote production, van rental, production staffing, editing and post-production services and related activities. These services are to be covered under this Agreement as long as rates are in accordance with Exhibit B and the additional costs are within the total not-to-exceed confines of this Agreement.

6. Emergency Public Information

CONSULTANT shall assist CITY in developing plans for operations and training regarding the use of the cable channels for emergency public information.

7. Archiving

- a. A DVD disc(s) or other suitable media as approved by the City shall be made available to CITY for each Council meeting and Planning Commission meeting. Copies shall be available to CITY within 24 hours of the conclusion of the meeting. The master copy will be stored in the CITY'S control room.
- b. Occasional copying and/or requests for additional discs or files of either official meetings or special programming shall be provided under the terms of this Agreement. Only authorized CITY staff shall make such requests. Turnaround time for receipt by CITY of these duplicate copies shall be no longer than five (5) business days from the date of request to CONSULTANT. In either case, CITY shall pay for the cost of all necessary media in accordance with the provisions contained with Exhibit B.

8. Access To Control Room

CITY will provide CONSULTANT access to the control room for the on-duty board operator or engineer performing maintenance only. Others are only permitted access if approved in advance by the City Clerk.

9. Performance Remedies

CONSULTANT and CITY agree that live television, by nature, is often unpredictable and spontaneous and some operational errors will be beyond CONSULTANT'S control. These errors include, but are not limited to, the examples identified in Exhibit C.

CITY and CONSULTANT will join in a quarterly review of performance under the Agreement to resolve any mutually identified issues of concern through good faith negotiation.

## **EXHIBIT B COMPENSATION**

1. In consideration for the following CONSULTANT provided services annually, as described in EXHIBIT A,

- Cablecast, Playback, Programming, Scheduling of all City Council and City Planning Commission meetings
- All Bulletin Board Scheduling and Coordination
- All Supervisory Management
- Operator Training
- Preventive Maintenance & Troubleshooting (8 hours per month)
- Three (3) All-day Special Event Productions, or any combination not to exceed 36 hours

and during the Term of this Agreement, CITY shall pay CONSULTANT an annual sum of \$55,000.00, payable in 12 equal monthly payments of \$4,584.00, with these amounts fixed for the first three years. Subsequent renewal periods are subject to the potential yearly changes defined in Section 7 below.

2. CONSULTANT shall keep a running total of its hours spent for each category above and report such to CITY on a monthly basis.
3. If the annual usage of services exceeds the number of hours for each category below, CITY shall pay the indicated hourly rates for such excess hours:

	Hours in Excess of:	Shall be Paid at:
a) Cablecast, Playback, Programming, Scheduling of all City Council and City Planning Commission meetings	303 hrs @	\$ 46.10/hr
b) All Bulletin Board Scheduling and Coordination	75 hrs @	46.10/hr
c) All Supervisory Management	72 hrs @	55.10/hr
d) Training	30 hrs @	46.10/hr
e) Preventive Maintenance & Troubleshooting (8 hrs/mo)	96 hrs @	95.10/hr
f) Special Events Productions (crew of 5)	36 hrs @	650.33/hr

4. CONSULTANT may, at CITY request, provide the following optional original programming services for the prices indicated. Programs would be recorded for later viewing (aired on cable channel and website) with basic slate graphic at beginning and end.

- a. **External Study Sessions** – \$550 for 1 camera and 1 technician for 4 hours with a minimum of 2 hours for set up, site visit, etc. After 4 hours, service assessed at \$225 per hour.
  - b. **External Study Session with Truck** – \$1450 for 3 cameras, 1 technician and 3 crew members for 4 hours with a minimum of 2 hours for set up, site visit, etc. After 4 hours, service assessed at \$225 per hour.
  - c. **External Study Session with multi camera shoot** – \$1050 for 3 cameras and 3 technicians for 4 hours with a minimum of 2 hours for set up, site visit, etc. After 4 hours, service assessed at \$225 per hour.
  - d. **School Sports with Truck** - \$1650 for 3 cameras, 1 technician, and 3 crew members for 5 hours with a minimum of 2 hours for set up, site visit, etc.
  - e. **School Sports with multi camera shoot** - \$1350 for 3 cameras and 3 technicians for 4 hours with a minimum of 2 hours for set up, site visit, etc.
  - f. **Community Event with Truck** - \$1950 for 3 cameras, 1 technician, and 3 volunteers for 8 hours with a minimum of 2 hours for set up, site visit, etc.
  - g. **Community Event with multi camera shoot** - \$1350 for 3 cameras and 3 technicians for 4 hours with a minimum of 2 hours for set up, site visit, etc.
  - h. **Public Safety Announcements** – Basic public service announcements (e.g., simple backdrops, live to tape, no editing or graphics) are provided free to CITY and nonprofit organizations.
5. CONSULTANT will provide 24-hour public access programming for Channel 26 over a dedicated Sunnyvale signal for \$30,000 per year. Priority would be given to Sunnyvale producers for all prime time slots. CONSULTANT will work with the community to promote and expand programming to contain a majority of Sunnyvale-based content filled in as necessary by other relevant community programming. CONSULTANT will manage all aspects of the public access channel, to include, but not limited to, working with independent show producers, providing studio space and production training, and providing the cablecasting, scheduling and troubleshooting tools needed.
6. Total Compensation shall not exceed \$255,000 for the first three years of this agreement.
7. The City will negotiate potential compensation adjustments based on the Bureau of Labor Statistics for the San Francisco Bay Area annual Consumer Price Index (CPI) set during the month of April each year for each subsequent renewal period.

**EXHIBIT C**  
**INSURANCE REQUIREMENTS**  
**CITY OF SUNNYVALE, CALIFORNIA**

SUPPLIER shall obtain, at its own expense and from an admitted insurer authorized to operate in California, the insurance coverage detailed below and shall submit Certificate(s) of Insurance to the City of Sunnyvale, Purchasing Division, 650 West Olive Ave, PO Box 3707, Sunnyvale, CA 94088-3707; fax (408) 730-7710.

SUPPLIER shall take out and maintain during the life of the contract Workers' Compensation and Employer's Liability Insurance for its employees. The amount of insurance shall not be less than \$1,000,000 per accident for bodily injury or disease.

SUPPLIER shall take out and maintain during the life of the contract such Commercial General Liability Insurance as shall protect SUPPLIER, CITY, its officials, officers, directors, employees and agents from claims which may arise from services performed under the contract, whether such services are performed by SUPPLIER, by CITY, its officials, officers, directors, employees or agents or by anyone directly or indirectly employed by either. The amount of insurance shall not be less than the following: Single Limit Coverage Applying to Bodily and Personal Injury Liability and Property Damage: \$1,000,000.

The liability insurance shall include, but shall not be limited to:

- Protection against claims arising from bodily and personal injury and damage to property, resulting from SUPPLIER'S or CITY'S operations and use of owned or non-owned vehicles.
- Coverage on an "occurrence" basis.
- Broad form property damage liability. Deductible shall not exceed \$5000 without prior written approval of CITY.
- Notice of cancellation to CITY'S Purchasing Division at least thirty (30) days prior to the cancellation effective date.

The following endorsements shall be attached to the liability insurance policy, and copies shall be submitted with the Certificate(s) of Insurance:

- The policy must cover complete contractual liability. Exclusions of contractual liability as to bodily injuries, personal injuries and property, damage must be eliminated.
- CITY must be named as additional named insured with respect to the services being performed under the contract.
- The Coverage shall be primary insurance so that no other insurance effected by CITY will be called upon to contribute to a loss under this coverage.

## **EXHIBIT D**

### **ERRORS BEYOND CAMERA OPERATOR'S CONTROL**

CONSULTANT and CITY recognize that live television is often unpredictable and some operational errors may occur. The following list contains examples of operational and programming errors that may be beyond the camera operator's control.

1. Power outages.
2. Unexpected equipment failure in the Control Room.
3. Unexpected equipment failure in the Council Chambers.
4. Missing equipment in the Control Room.
5. Missing equipment in the Council Chambers.
6. Pan/tilt controller inaccurate control or error due to design flaws of pan/tilt controller failure.
7. Poor picture quality, caused by cameras needing to be recalibrated.
8. Missing signal caused by cable operator (Comcast) error.
9. General misinformation or misdirection caused by staff during regular meetings or special meetings.
10. Incorrect tags caused by misinformation or misdirection by staff during regular meetings or special meetings.
11. Missing tags due to speakers who were not clearly recognized or introduced by either City officials or the speaker themselves.
12. Diminished sound quality caused by speaker talking too close to the microphone, too far away from the microphone or moving the microphone stem.
13. Diminished sound quality caused by speaker's volume.
14. Errors caused by distraction from unnecessary presence in the Control Room while camera operator is trying to concentrate on the meeting.
15. Delayed camera moves due to staff failing to introduce him/herself clearly, failing to recognize the speaker, talking out of turn or sitting off camera where the camera operator has trouble finding them.
16. Diminished or incorrect composition due to speaker shifting, leaning or walking off camera.
17. For meetings that go past four hours, there may be a brief missing sequence during playback due to the operator needing to change tapes during the meeting. Operator will make every effort to change tapes at a point least disruptive to the recorded information.
18. For meetings that run long, without a recess, there may be an extended wide shot while the camera operator takes a brief bathroom break.





# City of Sunnyvale

## Agenda Item

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20-0616

Agenda Date: 6/30/2020

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### REPORT TO COUNCIL

#### SUBJECT

Authorize the Issuance of Two Blanket Purchase Orders to Univar Solutions USA for Purchase of Chemicals at the Water Pollution Control Plant (F20-176 & F20-177)

#### REPORT IN BRIEF

Approval is requested to authorize the issuance of two blanket purchase orders in an amount not to exceed \$180,000 for Sodium Hypochlorite and \$160,000 for Sodium Bisulfite with Univar Solutions USA, Inc. of Kent, Washington, for chemicals used at the Sunnyvale Water Pollution Control Plant (Plant) for wastewater treatment for a one-year period. Approval is also requested to authorize the City Manager to amend the purchase orders during the one-year period, subject to available budget and if pricing and service remain acceptable to the City.

#### EXISTING POLICY

Section 2.08.070(b)(3) authorizes the purchase of goods and/or services to be exempted from the competitive bidding requirements when the solicitations of bids or proposals would be impractical, unavailing or impossible.

Additionally, City Council approval is required for the procurement of goods and/or services exceeding \$100,000 in any one transaction.

#### ENVIRONMENTAL REVIEW

The action being considered does not constitute a "project" within the meaning of the California Environmental Quality Act ("CEQA") pursuant to CEQA Guidelines section 15378(a) as it has no potential for resulting in either a direct physical change in the environment, or a reasonably foreseeable indirect physical change in the environment.

#### BACKGROUND AND DISCUSSION

The Plant regularly uses Sodium Hypochlorite for disinfection and Sodium Bisulfite for the dichlorination wastewater treatment processes. Sodium Hypochlorite (liquid), or strong bleach, is used to drastically reduce the number of pathogens that are in the wastewater. Sodium Bisulfite (liquid) is used for removing chlorine (dechlorinate) from treated wastewater prior to discharge into the Plant's receiving waters. Chlorine is highly toxic to aquatic organisms and must be neutralized to protect those organisms in the Plant's receiving waters. The National Pollution Discharge Elimination System (NPDES) permit requires the Plant to completely remove all chlorine prior to discharge to the lower San Francisco Bay.

Sodium Bisulfite is also used to partially dechlorinate recycled water prior to the Plant delivering it into the City's recycled water system. Recycled water requirements outlined in the Title 22 permit results in highly chlorinated water requiring partial dichlorination of this recycled water prior to

supplying it to customers. Also, Sodium Bisulfite is used to partially dechlorinate 3-Water (treated wastewater used in-house for engine generator cooling, dual plumbing, irrigation, etc.) which is recycled within the Plant for use in various components.

These chemicals were solicited for bids in 2014 by the Bay Area Chemical Consortium (BACC) and the City Council awarded two purchase orders to Univar Solutions USA, Inc. (Univar) in August 2014 (RTC No. 14-0773) that expire on June 30, 2020. The BACC leverages volume purchasing power on behalf of over 60 water and wastewater agency members across the Bay Area region. A new Invitation for Bids to establish contracts for these two chemicals was intended to be conducted in early 2020 by the BACC. Due to COVID19 and the impact on staffing, the reduced ability to effectively connect with member agencies and the limited availability of potential suppliers, the coordinating lead agency, Dublin/San Ramon Services District (DSRD), was unable to conduct the planned bidding event for the suite of chemicals used in water and wastewater treatment industries that typically participate in this process. After Shelter-In-Place Orders were put in place due to COVID19, the BACC requested its participating members and the chemical suppliers extend their contracts for FY 2020/21 while holding prices firm. Univar, the City's current supplier, has agreed to hold its current prices for Sodium Hypochlorite and Sodium Bisulfite during FY 2020/21.

Considering that the best competitive pricing for these chemicals would be conducted in cooperation with the BACC and there is not enough time to bid these items separately, staff recommends that one-year blanket purchase orders for Sodium Hypochlorite and Sodium Bisulfite be awarded to Univar. The City intends to participate in the BACC bidding process during FY 2020/21 for future award periods to ensure continued competitive pricing. These recommended awards will be presented to City Council after the conclusion of that bid process.

### **FISCAL IMPACT**

Although chemical usage fluctuates each year, sometimes substantially, it is estimated that \$180,000 will be needed for Sodium Hypochlorite and \$160,000 will be required for Sodium Bisulfite during this blanket purchase order period. These amounts may need to be increased based on the dynamic changes in the secondary treatment process that can impact the amount of Sodium Hypochlorite needed to disinfect. Specifically, demand for Sodium Hypochlorite increases when producing recycled water. When more Sodium Hypochlorite is used, increased Sodium Bisulfite is needed to neutralize residual chlorine. The requested amount for both chemicals is based on tracking usage data over many years associated with a wide variety of operating conditions. It is expected that this will be sufficient to provide these chemicals during FY 2020/21. Budgeted funds are available in operating program 365 (Wastewater Management).

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

### **RECOMMENDATION**

Take the following actions:

- Authorize the issuance of a one-year blanket purchase order to Univar Solutions USA, Inc., in substantially the same form as Attachment 1 to the report, for the purchase of Sodium Bisulfite in the amount of \$160,000; and
- Authorize the issuance of a one-year blanket purchase order to Univar Solutions USA, Inc., in

substantially the same form as Attachment 2 to the report, for the purchase of Sodium Hypochlorite in the amount of \$180,000; and

- Authorize the City Manager to amend the blanket purchase orders during the one year period subject to available budget and if pricing and services remain acceptable to the City.

Prepared by: Gregory S. Card, Purchasing Officer

Reviewed by: Tim Kirby, Director of Finance

Reviewed by: Ramana Chinnakotla, Director of Environmental Services

Reviewed by: Jaqui Guzmán, Deputy City Manager

Approved by: Kent Steffens, City Manager

### **ATTACHMENTS**

1. Draft Purchase Order for Purchase of Sodium Bisulfite
2. Draft Purchase Order for Purchase of Sodium Hypochlorite



<b>ORDERED FROM</b> 19862 - 001  (253) 872-5000  Univar Solutions USA Inc 3075 Highlands Pkways Ste 200 Downers Grove, IL 60515-5560	<b>ORDER DATE</b>	<b>BILL TO:</b>  <b>City of Sunnyvale</b> <b>Finance Department</b> <b>Accounts Payable</b> <b>PO Box 3707</b> <b>Sunnyvale, CA 94088-3707</b>
	<b>EFFECTIVE DATE</b> 7/1/2020	
	<b>EXPIRATION DATE</b> 6/30/2021	
	<b>CONTRACT AMOUNT</b> \$160,000.00	
<b>REQUISITIONING DEPARTMENT</b> (9042) ESD/WPCP - Operations	<b>FOB</b> <b>DEST</b>	<b>FREIGHT CHARGES</b> Destination, freight included in price
	<b>PAYMENT TERMS</b> N/30	<b>BID NO</b>

ITEM	DESCRIPTION	UNIT	UNIT COST
1	Provide wastewater treatment chemicals as required by the City of Sunnyvale per Bay Area Chemical Consortium (BACC) Bid No. 11-2018 specifications, terms and conditions and vendors response, which are referenced and incorporated herein by this reference.  25% Sodium Bisulfite Per Gallon \$1.11  Fuel Surcharge \$290 for orders less than 2,000 gallons  All deliveries shall be to the WPCP facility ONLY  Awarded by City Council on_____, RTC#20-0616.  PINS Job Code BU3U2egE115470  Requisition No. RQ23765.  This purchase order replaces BL010055.	DLR	\$1.0000

<b>AUTHORIZED DEPARTMENT(S)</b>		
NO	DEPT NAME	RELEASE AMT
9042	ESD/WPCP - Operations	\$160,000.00

<b>DOCUMENT TERMS</b>  This purchase order is subject to the City of Sunnyvale Standard Terms and Conditions for the Purchase of Goods, dated 5/14/19, a copy of which is attached and incorporated by reference (Form #TCBPO-G). Invoices must be sent directly to accounts payable by mail to the address above or by e-mail to <a href="mailto:accountspayable@sunnyvale.ca.gov">accountspayable@sunnyvale.ca.gov</a> and MUST REFERENCE THE PURCHASE ORDER NUMBER. Failure to comply will result in a delay in payment processing.
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**BUYER:**

Christiansen, Ingrid

**PHONE** (408) 730-7627

**FAX**



<b>ORDERED FROM</b> 19862 - 001  (253) 872-5000  Univar Solutions USA Inc 3075 Highlands Pkways Ste 200 Downers Grove, IL 60515-5560	<b>ORDER DATE</b>	<b>BILL TO:</b>  <b>City of Sunnyvale</b> <b>Finance Department</b> <b>Accounts Payable</b> <b>PO Box 3707</b> <b>Sunnyvale, CA 94088-3707</b>
	<b>EFFECTIVE DATE</b> 7/1/2020	
	<b>EXPIRATION DATE</b> 6/30/2021	
	<b>CONTRACT AMOUNT</b> \$180,000.00	
<b>REQUISITIONING DEPARTMENT</b> (9042) ESD/WPCP - Operations	<b>FOB</b> <b>DEST</b>	<b>FREIGHT CHARGES</b> Destination, freight included in price
	<b>PAYMENT TERMS</b> N/30	<b>BID NO</b>

ITEM	DESCRIPTION	UNIT	UNIT COST
1	Provide 12.5% sodium hypochlorite as required by the City of Sunnyvale in accordance with Bay Area Chemical Consortium (BACC) Bid No. 13-2019 specifications, terms and conditions and vendors response, which are attached and incorporated herein by this reference.  12.5% Sodium hypochlorite Per Gallon \$0.64130.  All deliveries shall be to the WPCP facility ONLY  Awarded by City Council_____, RTC#20-0616.  PINS Job Code BU3U2egE115470  Requisition # RQ023766.  This purchase order replaces BL009931.	DLR	\$1.0000

<b>AUTHORIZED DEPARTMENT(S)</b>		
NO	DEPT NAME	RELEASE AMT
9042	ESD/WPCP - Operations	\$180,000.00

<b>DOCUMENT TERMS</b>  This purchase order is subject to the City of Sunnyvale Standard Terms and Conditions for the Purchase of Goods, dated 5/14/19, a copy of which is attached and incorporated by reference (Form #TCBPO-G). Invoices must be sent directly to accounts payable by mail to the address above or by e-mail to <a href="mailto:accountspayable@sunnyvale.ca.gov">accountspayable@sunnyvale.ca.gov</a> and MUST REFERENCE THE PURCHASE ORDER NUMBER. Failure to comply will result in a delay in payment processing.
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**BUYER:**

Christiansen, Ingrid

**PHONE** (408) 730-7627

**FAX**



# City of Sunnyvale

## Agenda Item

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**20-0529**

**Agenda Date: 6/30/2020**

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### **REPORT TO COUNCIL**

#### **SUBJECT**

Authorize the Issuance of a Blanket Purchase Order to Verizon Wireless for Cellular Wireless Service and Related Equipment, and Modify a Blanket Purchase Order with Verizon Wireless for Cellular Wireless Service and Related Equipment (F20-169)

#### **REPORT IN BRIEF**

Approval is requested to authorize the issuance of a three-year blanket purchase order to Verizon Wireless of Dallas, TX, for cellular wireless service and related equipment in a not-to-exceed amount of \$720,000 beginning July 1.

Approval is also requested to amend an existing blanket purchase order with Verizon Wireless, for cellular wireless service and related equipment, increasing the not-to-exceed amount by \$80,000 for a new not-to-exceed total amount of \$179,933 for services performed through June 30, 2020.

#### **EXISTING POLICY**

Pursuant to Section 2.08.040 of the Sunnyvale Municipal Code, City Council approval is required for the procurement of goods and/or services exceeding \$100,000 in any one transaction.

Further, Sunnyvale Municipal Code section 2.08.220 (b) authorizes the Purchasing Officer to participate in a cooperative agreement for the procurement of goods and/or services publicly solicited by another governmental, public or quasi-public entity.

#### **ENVIRONMENTAL REVIEW**

The action being considered does not constitute a "project" within the meaning of the California Environmental Quality Act (CEQA) pursuant to CEQA Guidelines Section 15378(a) as it has no potential for resulting in either a direct physical change in the environment, or a reasonable foreseeable indirect physical change in the environment.

#### **BACKGROUND AND DISCUSSION**

The City's wireless service program includes mobile broadband devices (MBBs, also referred to as data modems), smart phones, tablets, and cellular phones. In 2010, the City consolidated wireless carriers to Verizon Wireless to save costs and improve communications efficiency (RTC No. 10-241). The City's ongoing commitment to invest in technology has added mobile devices to allow field staff to be effective. Almost half of the monthly MBBs service are used by Department of Public Safety (DPS) Patrol and Fire to access the Computer Aided Dispatch (CAD) system remotely through in-vehicle computers as well as other necessary applications. The Environmental Services Department has implemented multiple remote reporting tools including Lab Inventory Management, Supervisory Control and Data Acquisition System (SCADA), and expanded the Infor Asset Management licenses recently which require the use of MBBs. The Department of Public Works utilizes MBB's for remote



access for traffic monitoring, field supervisors, and engineering. Executive leadership have also benefited from the ability to work remotely through the access and use of MBBs. Staff response and access to appropriate tools and resources during the current state of emergency has benefited from the increased access to technology.

The Information Technology Department (ITD) expected to have incremental increases as smart phones (which require cellular data service) were added. The increase from \$116,000 in 2016 to \$222,000 in 2020 shows that the investment in technology has doubled because of the use of mobile technology over the last four years. The initial increase is reflective of the recent investment; however, ITD anticipates the ongoing increases will be at a slower pace during the next few years.

This staff report recommends two actions. First, an increase of \$80,000 is necessary pay for services performed through June 30 on the existing NASPO ValuePoint contract. The City is currently using Verizon Wireless as the main provider of its cellular wireless services, "piggybacking" off a California Participating Addendum to NASPO ValuePoint (formerly known as Western States Contracting Alliance or WSCA) Master Price Agreement Contract No. 7-10-70-16. While the State created a new contract (C4-CVD-19-001-03) for Verizon Wireless through CALNET in 2019, it was extremely delayed in extending the NASPO ValuePoint agreement. The City, therefore, has continued to use the terms from the NASPO ValuePoint contract until it transitions to the new CALNET contract.

Second, staff is requesting to participate in the new State of California CALNET contract beginning July 1 and issue a new blanket purchase order in the not-to-exceed amount of \$240,000.

### **FISCAL IMPACT**

Funds for wireless services are budgeted throughout the City's various operating programs based on estimated actual use. Staff have worked to consolidate the costs into ITD with departments paying for the service through internal service charges. New services are budgeted by departments and consolidated into ITD annually.

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

### **RECOMMENDATION**

Take the following actions:

- Authorize the issuance of a three-year blanket purchase order to Verizon Wireless, in substantially the same format as Attachment 1 to the report, in a not-to-exceed amount of \$720,000; and
- Authorize the City Manager to amend an existing blanket purchase order with Verizon Wireless, in substantially the same format as Attachment 2 to the report, increasing the not-to-exceed amount by \$80,000 for a new not-to-exceed total amount of \$179,933.

Prepared by: Gregory S. Card, Purchasing Officer

Reviewed by: Tim Kirby, Director of Finance

Reviewed by: Kathleen Boutté Foster, Chief Information Officer

Reviewed by: Jaqui Guzmán, Deputy City Manager

Approved by: Kent Steffens, City Manager

**ATTACHMENTS**

1. Draft Blanket Purchase Order
2. Draft Change Order to Blanket Purchase Order



<b>ORDERED FROM</b> 12684 - 004  (408) 204-6611  Verizon Wireless 2870 Zanker Rd Ste 100 San Jose, CA 95134	ORDER DATE	<b>BILL TO:</b>  City of Sunnyvale Finance Department Accounts Payable PO Box 3707 Sunnyvale, CA 94088-3707
	EFFECTIVE DATE 7/1/2020	
	EXPIRATION DATE 6/30/2021	
	CONTRACT AMOUNT \$240,000.00	
REQUISITIONING DEPARTMENT (4501) ITD/Information Technology Services	FOB	FREIGHT CHARGES
	PAYMENT TERMS N/30	BID NO

ITEM	DESCRIPTION	UNIT	UNIT COST
1	Provide cellular wireless services and equipment as required by the City of Sunnyvale Information Technology Department in accordance with CALNET Contract # C4-CVD-19-001-03, which is attached and incorporated herein by this reference (F20-169).  Awarded by Council _____, RTC # 20-0529  PINS Job Code: _____  Requisition Number: RQ022711-1	DLR	\$1.0000

AUTHORIZED DEPARTMENT(S)		
NO	DEPT NAME	RELEASE AMT
4501	ITD/Information Technology Services	\$240,000.00

<b>DOCUMENT TERMS</b>  Invoices must be sent directly to accounts payable by mail to the address above or by e-mail to <a href="mailto:accountspayable@sunnyvale.ca.gov">accountspayable@sunnyvale.ca.gov</a> and MUST REFERENCE THE PURCHASE ORDER NUMBER. Failure to comply will result in a delay in payment processing.
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<b>BUYER:</b>  Pizano, Michael  <b>PHONE</b> (408) 730-7612 <b>FAX</b> (408) 328-0723
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<b>ORDERED FROM</b>  12684 - 004  (408) 204-6611  Verizon Wireless 2870 Zanker Rd Ste 100 San Jose, CA 95134	ORDER DATE	<b>BILL TO:</b>  <b>City of Sunnyvale</b> <b>Finance Department</b> <b>Accounts Payable</b> <b>PO Box 3707</b> <b>Sunnyvale, CA 94088-3707</b>
	EFFECTIVE DATE 10/1/2019	
	EXPIRATION DATE 6/30/2020	
	CONTRACT AMOUNT \$179,933.00	
REQUISITIONING DEPARTMENT (4501) ITD/Information Technology Services	FOB	FREIGHT CHARGES
	PAYMENT TERMS N/30	BID NO

ITEM	DESCRIPTION	UNIT	UNIT COST
1	<p>Provide cellular wireless services and equipments per NASPO ValuePoint (formerly Western States Contracting Alliance) State of California Participating Addendum Number 7-10-70-16 Amendment #10, which are attached and incorporated by this reference.</p> <p>Insurance have been manually entered into PINS.</p> <p>Requisition Number: RQ02439</p> <p>Change Order #1: to increase the contract amount by \$16,600 and extend the contract through 4/30/2020.</p> <p>Requisition Number: RQ023318</p> <p>Change Order #2: To increase the contract amount by \$80,000 and extend the contract term through 6/30/2020 in accordance with NASPO ValuePoint (formerly Western States Contracting Alliance) State of California Participating Addendum Number 7-10-70-16 Amendment #12, which is attached and incorporated herein by this reference (F20-169).</p> <p>Awarded by Council _____, RTC # 20-0529.</p> <p>PINS Job Code: _____</p> <p>Requisition Number: RQ022711</p> <p>This purchase order replaces BL009175.</p>	DLR	\$1.0000



**AUTHORIZED DEPARTMENT(S)**

<b>NO</b>	<b>DEPT NAME</b>	<b>RELEASE AMT</b>
4501	ITD/Information Technology Services	\$179,933.00

**DOCUMENT TERMS**

Invoices must be sent directly to accounts payable by mail to the address above or by e-mail to [accountspayable@sunnyvale.ca.gov](mailto:accountspayable@sunnyvale.ca.gov) and MUST REFERENCE THE PURCHASE ORDER NUMBER. Failure to comply will result in a delay in payment processing.

**BUYER:**

Pizano, Michael

**PHONE** (408) 730-7612

**FAX** (408) 328-0723



# City of Sunnyvale

## Agenda Item

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20-0189

Agenda Date: 6/30/2020

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### REPORT TO COUNCIL

#### SUBJECT

Award a Contract to San Jose Conservation Corps for Glass Collection Services (F20-090)

#### REPORT IN BRIEF

Approval is requested to award a contract in an amount not to exceed \$105,000 to San Jose Conservation Corps of San Jose, for glass collection services for a one-year period and to delegate authority to the City Manager to amend and renew the contract for two additional one-year periods, subject to available budget, provided pricing and service remain acceptable to the City.

#### EXISTING POLICY

Pursuant to Section 2.08.040 of the Sunnyvale Municipal Code, City Council approval is required for the procurement of goods and/or services exceeding \$100,000 in any one transaction.

Further, Section 2.08.060 (f), allows the purchasing officer to determine the method for each procurement as in the best interest of the city on an experimental basis.

#### ENVIRONMENTAL REVIEW

The action being considered does not constitute a "project" within the meaning of the California Environmental Quality Act ("CEQA") pursuant to CEQA Guidelines section 15378(a) as it has no potential for resulting in either a direct physical change in the environment, or a reasonably foreseeable indirect physical change in the environment.

#### BACKGROUND AND DISCUSSION

The City currently contracts with San Jose Conservation Corps (SJCC) for container glass collection services from restaurants and bars. The scope of work for these services includes three distinct components: outreach, coordination with business owners to pick up recyclables and subsequent delivery of the material to the SMaRT Station to be processed into a marketable commodity.

One critical and required function of the scope of work is outreach to the businesses to ensure only recyclable glass receptacles, not garbage, are collected. Smaller providers typically are limited to hauling services only because their business model is to use a collection truck with a driver to empty bins. It is atypical in the hauling/recycling business for drivers to conduct outreach. SJCC operates this business as part of a career training program for disadvantaged youth which allows their staff to develop hands on outreach expertise with the local businesses as well as learn to drive a recycling truck.

Many smaller recycling service providers have been adversely impacted by low global recycling commodity prices and instability resulting from China's National Sword policy, a regulation that puts strict limits on the imports of solid waste and recyclables into China. This policy severely restricts the

City options in terms of collecting and recycling container glass. Few providers are able to remain in business in this precarious economic situation.

A Request for Qualifications was distributed to three local vendors that could potentially perform these services: SJCC, InHouse Recyclers, and Insite. Insite declined to submit a proposal for this opportunity and Inhouse Recyclers has demonstrated limitations to meet the scope of services required to perform glass collection at the higher volume throughout the city and did not respond. Currently, Inhouse Recyclers has had difficulty meeting the scope of work in a separate contract for recycling library books.

After evaluating SJCC's presented qualifications as the sole proposal, staff reviewed SJCC's past contract performance and concluded that they have provided collection and outreach service that not only met contract terms, but steadily increased recycled tonnages each year. As a result, staff unanimously selected SJCC.

### **FISCAL IMPACT**

SJCC has been subsidizing the costs of glass collection services since the program's inception in 2015. The markets for recycled material have decreased and SJCC is no longer able to market or receive revenue for the sale of this material, so it delivers this directly to the SMaRT Station. To adequately cover the operational costs for staff and program administration, which include driver and collection costs, the annual contract amount will be \$105,000. Staff will negotiate with the vendor if increases in costs for future years are proposed.

### **Funding Source**

Funds are available in Zero Waste Project budget 830910 for FY 2019/20. In FY 2020/21, funds are available in the Solid Waste Management (Program 363) operating budget because the program has now been in place for a few years and has consistent service to customers.

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

### **RECOMMENDATION**

Take the following actions:

- Award a contract, in substantially the same form as Attachment 1 to the report, in the amount of \$105,000 to San Jose Conservation Corps for glass collection services;
- Authorize the City Manager to execute the contract when all necessary conditions have been met; and
- Authorize the City Manager to amend the contract to increase the contract amount and renew the contract for two additional one-year periods, subject to available budget and provided pricing and services remain acceptable.

Prepared by: Gregory S. Card, Purchasing Officer

Reviewed by: Tim Kirby, Director of Finance

Reviewed by: Ramana Chinnakotla, Director of Environmental Services

Reviewed by: Jaqui Guzmán, Deputy City Manager

Approved by: Kent Steffens, City Manager

**ATTACHMENTS**

1. Draft Services Agreement



**DRAFT SERVICES AGREEMENT BETWEEN  
THE CITY OF SUNNYVALE AND SAN JOSE CONSERVATION CORPS  
FOR GLASS COLLECTION SERVICES**

THIS AGREEMENT dated \_\_\_\_\_ is by and between the CITY OF SUNNYVALE, a municipal corporation ("CITY"), and SAN JOSE CONSERVATION CORPS ("CONTRACTOR").

WHEREAS, CITY is in need of a specialized services specialized services for glass collection from restaurants and bars; and

WHEREAS, CONTRACTOR possesses the skill and expertise to provide the required services;

NOW, THEREFORE, THE PARTIES ENTER INTO THIS AGREEMENT.

1. Services by CONTRACTOR

CONTRACTOR shall provide services in accordance with Exhibit "A" attached and incorporated by reference. CONTRACTOR shall determine the method, details and means of performing the services.

It is understood and agreed that tools, equipment, apparatus, facilities, labor, transportation, and material shall be furnished and work performed and completed as required in the bid documents under the sole direction and control of the CONTRACTOR, and subject to approval of the City.

2. Time for Performance

The term of this Agreement shall be for a one-year period beginning on the date of contract execution, unless otherwise terminated. Agreement may be renewed for two (2) additional one-year periods at the option of CITY

3. Compensation

In no event shall the total amount of compensation paid by CITY to CONTRACTOR under this agreement exceed the sum of one hundred and five thousand No/100 Dollars (\$105,000.00), unless upon written modification of this Agreement. CONTRACTOR shall submit invoices to CITY no more frequently than monthly for services provided to date, and in accordance with the compensation schedule outline in Exhibit "B". All invoices, including detailed backup, shall be sent to City of Sunnyvale, attention Accounts Payable, P.O. Box 3707, Sunnyvale, CA 94088-3707 or [accountspayable@sunnyvale.ca.gov](mailto:accountspayable@sunnyvale.ca.gov). Payment shall be made within thirty days upon receipt of an accurate itemized invoice by CITY's Accounts Payable unit.

4. Conflict of Interest

CONTRACTOR shall avoid all conflicts of interest, or appearance of conflict, in performing the services and agrees to immediately notify CITY of any facts that may give rise to a conflict of interest. CONTRACTOR is aware of the prohibition that no officer of CITY shall have any interest, direct or indirect, in this Agreement or in the proceeds thereof. During the term of this Agreement

CONTRACTOR shall not accept employment or an obligation which is inconsistent or incompatible with CONTRACTOR'S obligations under this Agreement.

5. Confidential Information

CONTRACTOR shall maintain in confidence and at no time use, except to the extent required to perform its obligations hereunder, any and all proprietary or confidential information of CITY of which CONTRACTOR may become aware in the performance of its services.

6. Compliance with Laws

- (a) CONTRACTOR shall not discriminate against, or engage in the harassment of, any City employee or volunteer or any employee of CONTRACTOR or applicant for employment because of an individual's race, religion, color, sex, gender identity, sexual orientation (including heterosexuality, homosexuality and bisexuality), ethnic or national origin, ancestry, citizenship status, uniformed service member status, marital status, family relationship, pregnancy, age, cancer or HIV/AIDS-related medical condition, genetic characteristics, and physical or mental disability (whether perceived or actual). This prohibition shall apply to all of CONTRACTOR's employment practices and to all of CONTRACTOR's activities as a provider of services to the City.
- (b) CONTRACTOR shall comply with all federal, state and city laws, statutes, ordinances, rules and regulations and the orders and decrees of any courts or administrative bodies or tribunals in any manner affecting the performance of the Agreement.

7. Independent Contractor

CONTRACTOR is acting as an independent contractor in furnishing the services or materials and performing the work required by this Agreement and is not an agent, servant or employee of CITY. Nothing in this Agreement shall be interpreted or construed as creating or establishing the relationship of employer and employee between CITY and CONTRACTOR. CONTRACTOR is responsible for paying all required state and federal taxes.

8. Indemnity

CONTRACTOR shall indemnify, defend, and hold harmless the CITY, its officers, officials, employees and volunteers from and against all claims, damages, losses and expenses, including attorney fees, arising out of the performance of the services described herein, caused in whole or in part by any negligent act or omission of CONTRACTOR, any subcontractor, anyone directly or indirectly employed by any of them or anyone for whose acts any of them may be liable, except where caused by the active negligence, sole negligence or willful misconduct of the CITY.

9. Insurance

CONTRACTOR shall take out and maintain during the life of this Agreement policies of insurance as specified in Exhibit "C" attached and incorporated by reference, and shall provide all certificates or endorsements as specified in Exhibit "C."

10. CITY Representative

Karen Gissibl, Environmental Programs Manager, as the City Manager's authorized representative, shall represent CITY in all matters pertaining to the services to be rendered under this Agreement. All requirements of CITY pertaining to the services and materials to be rendered under this Agreement shall be coordinated through the CITY representative.

11. CONTRACTOR Representative

Dorsey Moore, Executive Director/CEO, shall represent CONTRACTOR in all matters pertaining to the services and materials to be rendered under this Agreement; all requirements of CONTRACTOR pertaining to the services or materials to be rendered under this Agreement shall be coordinated through the CONTRACTOR representative.

12. Notices

All notices required by this Agreement, other than invoices for payment which shall be sent directly to Accounts Payable, shall be in writing, and sent by first class with postage prepaid, or sent by commercial courier, to addressed below.as follows:

Nothing in this provision shall be construed to prohibit communication by more expedient means, such as by email or fax, to accomplish timely communication. Each party may change the address by written notice in accordance with this paragraph. Notices delivered personally shall be deemed communicated as of actual receipt; mailed notices shall be deemed communicated as of three business days after mailing.

To CITY:                      Ramana Chinnakotla, Director of Environmental Services  
Environmental Services Department  
CITY OF SUNNYVALE  
P. O. Box 3707  
Sunnyvale, CA 94088-3707

To CONTRACTOR:          Dorsey Moore, Executive Director/CEO  
San Jose Conservation Corps  
1560 Berger Dr  
San Jose, CA 95112

13. Assignment

Neither party shall assign or sublet any portion of this Agreement without the prior written consent of the other party.

14. Termination

- A. If CONTRACTOR defaults in the performance of this Agreement, or materially breaches any of its provisions, CITY at its option may terminate this Agreement by giving written notice to CONTRACTOR. In the event of such termination, CONTRACTOR shall be compensated in proportion to the percentage of satisfactory services performed or materials furnished (in relation to the total which would have been performed or furnished) through the date of receipt of notification from CITY to terminate. CONTRACTOR shall present CITY with any work product completed at that point in time.

- B. Without limitation to such rights or remedies as CITY shall otherwise have by law, CITY also shall have the right to terminate this Agreement for any reason upon ten (10) days' written notice to CONTRACTOR. In the event of such termination, CONTRACTOR shall be compensated in proportion to the percentage of services performed or materials furnished (in relation to the total which would have been performed or furnished) through the date of receipt of notification from CITY to terminate. CONTRACTOR shall present CITY with any work product completed at that point in time.
- C. If CITY fails to pay CONTRACTOR, CONTRACTOR at its option may terminate this Agreement if the failure is not remedied by CITY within (30) days after written notification of failure to pay.

15. Entire Agreement; Amendment

This writing constitutes the entire agreement between the parties relating to the services to be performed or materials to be furnished hereunder. No modification of this Agreement shall be effective unless and until such modification is evidenced by writing signed by all parties.

16. Governing Law, Jurisdiction and Venue

This Agreement shall be governed by and construed in accordance with the laws of the State of California, excluding its conflict of law principles. Proper venue for legal actions will be exclusively vested in a state court in the County of Santa Clara. The parties agree that subject matter and personal jurisdiction are proper in state court in the County of Santa Clara, and waive all venue objections.

17. Miscellaneous

Time shall be of the essence in this Agreement. Failure on the part of either party to enforce any provision of this Agreement shall not be construed as a waiver of the right to compel enforcement of such provision or any other provision. IN WITNESS WHEREOF, the parties have executed this Agreement.

ATTEST:

CITY OF SUNNYVALE ("CITY")

By \_\_\_\_\_  
City Clerk

By \_\_\_\_\_  
City Manager

APPROVED AS TO FORM:

SAN JOSE CONSERVATION CORPS  
(CONTRACTOR")

By \_\_\_\_\_  
City Attorney

By \_\_\_\_\_  
\_\_\_\_\_  
Name and Title

## **Exhibit A**

### **San Jose Conservation Corps + Charter School City of Sunnyvale Glass Collection Services Scope of Work**

#### **1. PROJECT SCOPE**

##### **1.1. Collection Services**

The SJCC&CS shall establish collection routes for glass collection services for businesses and organizations (clients) within the City of Sunnyvale. The focus of the program will be to collect glass from the participating clients but the SJCC&CS, at their discretion, can also collect other beverage container related recyclable material, which includes:

- Metals (CRV & non-CRV): aluminum, steel, and bi-metal cans
- Plastics (CRV & non-CRV): bottles, containers, cups and tubs #1-7

##### **1.2. Route schedules**

Collections shall occur at all client locations at a minimum of once per week or as agreed upon by or between the SJCC+CS and the client. Routes shall be developed and maintained by the SJCC+CS as the client participation builds. SJCC+CS anticipates a minimum of three (3) routes per week for the collection of glass and other beverage container related recyclable material.

At any time during this project term, the City Representative and the SJCC+CS shall evaluate the frequency of service that meets the needs of each of the clients. Bi-weekly, monthly, or on-call collection services shall be considered only for those clients generating less than one-quarter rollaway full per week. City shall have the option to require the client to have more than one pickup per week based on certain criteria (e.g.: space limitations, high volumes, etc.).

The collection schedules (including days and frequencies of collection) for each client will be determined between the SJCC+CS and the client. Collection schedules shall remain in effect for the term of this project and may be modified at the discretion of the SJCC+CS. However, the City Representative may request the collection schedule and provide input regarding adjustments and modifications to the collection schedule.

The SJCC&CS is solely responsible for loading glass (and other recyclable material, as agreed upon) into the SJCC+CS's collection vehicles. Should additional material accumulate at the client location that does not fit in the collection container(s) (e.g.: rollaway or cubic yarder bins), the SJCC+CS is not to pick up the material without explicit direction from the client. The SJCC+CS shall clean up any spillage or litter in the collection areas caused by the SJCC+CS collection teams.

All regularly scheduled collections must be completed on the scheduled day unless agreed to in advance by the client. The SJCC+CS must notify the clients when they are unable to perform any collection as scheduled before the end of that business day. The SJCC+CS shall, within twenty-four (24) hours after request, collect and remove any and all missed pickups which the SJCC+CS failed to collect and remove as required at the regularly scheduled time.

In instances when the SJCC+CS is unable to access a container for service, the collection team shall contact the dispatcher/collections supervisor and make the report of inability to access the container. The dispatcher shall contact the business' on-site contact in an effort to remedy the situation. In the event that the dispatcher is unable to make contact with the client, the SJCC+CS shall wait at the client location up to ten (10) minutes for access to be provided or shall return at a later time during the same day.

Extra and emergency collections may be occasionally required. Emergency service must be provided the same day as requested, whenever feasible. Extra collections must be provided within twenty-four (24) hours after request.

Provided that the contamination level of the collection container is less than 10%, each cart shall be emptied upon each service call regardless of volume level. If contamination levels exceed 10%, then collection teams shall notify dispatch who will contact the client to have contamination removed from the container before providing collection services. Whenever feasible, collection service to the client will be provided the same day or within twenty-four (24) hours after notification of the removal of the contamination.

Changes to the collection schedule may occur due to holidays or scheduled shut-downs. In these instances, collection services will be provided the following day after the holiday or scheduled shut-down.

### **1.3. Marketing Services**

The SJCC+CS shall perform marketing and outreach to potential clients to participate in the glass collection program. The SJCC+CS shall work independently, alongside, or under direction from the City Representative.

### **1.4. Collection Hours**

The SJCC+CS collection hours shall be between 8:30AM – 4:00PM. Exceptions to the collection hours shall only be effected upon the mutual agreement between the SJCC+CS and the client.

### **1.5. Service Changes**

The client may increase or decrease service at any time without penalty by contacting the SJCC+CS and making a request to the Collections Manager/Dispatcher. Requests for service changes shall be put into effect within seven (7) days. The City Representative may also request an adjustment to the service levels as needed (e.g.: inspection of client revealed once a week pickup to be insufficient). The SJCC+CS shall inform the City Representative of any and all potential causes of

disruption to the normal collection route times and schedules, including, but not limited to, a temporary or permanent change of drivers, the training of new drivers, and scheduled activities or events at the SJCC+CS workplace.

#### **1.6. Container Provision and Maintenance**

The SJCC+CS shall furnish ninety-six (96) gallon or equivalent rollaways/wheeled carts (containers) to collect glass and shall be responsible for the maintenance and repair of the containers. Containers provided shall be clean and in fully serviceable condition, free of offensive odors, graffiti, and safety hazards. The SJCC+CS shall also furnish twenty-three (23) gallon containers (e.g.: Slim Jim™) as needed to clients for in-house collection. All containers provided by SJCC+CS shall be properly labeled (e.g.: Glass Bottles Only, Bottles & Cans Only, etc.)

The SJCC+CS shall be required to clean bins as necessary, or as requested by the client and/or the City Representative, and shall provide prompt repair or replacement of all damaged containers.

The SJCC+CS shall provide the number of containers requested by the client to collect glass. The number of containers can be adjusted by the SJCC+CS depending on the need or in the event that the number of containers is found to be insufficient or excessive. Adjustments shall only be made by expressed agreement by the client or upon request by the City Representative. The SJCC+CS is responsible for all container deliveries.

All containers shall be clearly labeled with the SJCC&CS name or logo, so that the client is aware that the container is to be used for this specific program. The City may provide signage, if deemed necessary, at the City's cost.

### **2. CONTAMINATION**

The SJCC&CS shall inspect collection containers for possible contamination before materials are transferred from collection containers to the SJCC&CS vehicles. SJCC&CS shall not provide collection services to any container that has contamination in excess of 10%.

Collection teams shall provide non-collection tag to customers when contamination rate exceeds 10%. If contamination continues more than three times, SJCC&CS shall contact business owner to discuss solutions. City staff will coordinate with SJCC&CS to develop a contamination tag to be used.

SJCC&CS may, with City approval, discontinue service to uncooperative businesses.

### **3. MONTHLY REPORT**

Monthly reports of glass (and other recyclables) shall be submitted by the 10<sup>th</sup> of each month. The SJCC&CS shall electronically submit to City a monthly report containing the following information:

- A list of participants

- Potential clients who have been contacted but are not participating
- New Participants starting that month
- Non-Collection tags and customers contacted to resolve contamination issues
- Status of participation (from clients)
- Tons of material collected
- Residual rate
- A brief, bullet-point narrative of challenges and successes

#### **4. OUTREACH**

The SJCC+CS shall develop, with assistance from City, marketing material for use with the program. City will provide graphic design and printing.

SJCC+CS shall use outreach methods such as the Chamber of Commerce e-newsletter or the City's Recycling Program's e-newsletter (Sustainable Sunnyvale or the Business Recycling Solutions) at least four times per year to promote the program. City approval required prior to publication.



**Exhibit B**  
**Compensation Schedule FY 20-21**

Fiscal Year 2020-2021							
	Hours	\$ Per Hour	\$ Per Day	Days / Week	\$ Per Week	Weeks / Year	Total
Corpsmember	8	\$ 37.06	\$ 296.48	3	\$ 889.44	52	\$ 46,250.88
Supervisor	8	\$ 46.87	\$ 374.96	3	\$ 1,124.88	52	\$ 58,493.76
						<b>Total</b>	<b>\$ 104,744.64</b>

## EXHIBIT "C"

### INSURANCE REQUIREMENTS FOR CONSULTANTS/CONTRACTORS

Consultant/Contractor shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work by the Consultant, his agents, representatives, or employees.

Minimum Scope and Limits of Insurance. Consultant shall maintain limits no less than:

1. **Commercial General Liability:** \$2,000,000 per occurrence and \$4,000,000 aggregate for bodily injury, personal injury and property damage. ISO Occurrence Form CG 0001 or equivalent is required.
2. **Automobile Liability:** \$1,000,000 per accident for bodily injury and property damage. ISO Form CA 0001 or equivalent is required.
3. **Workers' Compensation** Statutory Limits and **Employer's Liability:** \$1,000,000 per accident for bodily injury or disease.

#### Deductibles and Self-Insured Retentions

Any deductibles or self-insured retentions must be declared and approved by the City of Sunnyvale. The consultant shall guarantee payment of any losses and related investigations, claim administration and defense expenses within the deductible or self-insured retention.

#### Other Insurance Provisions

The **general liability** and automobile liability policies (and if applicable, pollution liability, sexual abuse and molestation, and builder's risk policies) shall contain, or be endorsed to contain, the following provisions:

1. The City of Sunnyvale, its officials, employees, agents and volunteers are to be covered as additional insureds with respects to liability arising out of activities performed by or on behalf of the Consultant; products and completed operations of the Consultant; premises owned, occupied or used by the Consultant; or automobiles owned, leased, hired or borrowed by the Consultant. The coverage shall contain no special limitations on the scope of protection afforded to the City of Sunnyvale, its officers, employees, agents or volunteers.
2. For any claims related to this project, the Consultant's insurance shall be primary. Any insurance or self-insurance maintained by the City of Sunnyvale, its officers, officials, employees, agents and volunteers shall be excess of the Consultant's insurance and shall not contribute with it.
3. Any failure to comply with reporting or other provisions of the policies including breaches of warranties shall not affect coverage provided to the City of Sunnyvale, its officers, officials, employees, agents or volunteers.
4. The Consultant's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.
5. Each insurance policy required by this clause shall be endorsed to state that coverage shall not be suspended, voided, cancelled by either party, reduced in coverage or in limits except after thirty (30) days' prior written notice by certified mail, return receipt requested, has been given to the City of Sunnyvale.
6. The policy limits of coverage shall be made available to the full limits of the policy. The minimum limits stated above shall not serve to reduce the CONSULTANT'S policy limits of coverage. Therefore, the requirements for coverage and limits shall be (1) the minimum coverage and limits specified in this agreement, or (2) the broader coverage and maximum limits of coverage of any insurance policy or proceeds available to the named insured, whichever is greater.

#### Acceptability of Insurers

Insurance is to be placed with insurers with a current A.M. Best's rating of not less than A:VII, unless otherwise acceptable to the City of Sunnyvale.

#### Verification of Coverage

Consultant shall furnish the City of Sunnyvale with original a Certificate of Insurance effecting the coverage required. The certificates are to be signed by a person authorized by that insurer to bind coverage on its behalf. All certificates are to be received and approved by the City of Sunnyvale prior to commencement of work.

#### Subcontractors

CONSULTANT shall require all subcontractors to procure and maintain insurance policies subject to this insurance requirements. Failure of CONSULTANT to verify existence of sub-contractor's insurance shall not relieve CONSULTANT from any claim arising from sub-contractors work on behalf of CONSULTANT.

## Exhibit D



**The City of Sunnyvale is now using PINSAdvantage.com to track Insurance Certificates and all related documents.**

### WHAT IS THE PROCESS?

**PINS starts with the City of Sunnyvale.** The City logs into PINS and emails a request for insurance to their Vendor/Contractor. The Vendor/Contractor forwards the request email to their Insurance Agent(s). The Insurance Agent(s) logs into [www.PINSAdvantage.com](http://www.PINSAdvantage.com) and completes the insurance certificate online.

**\*Note:**

*Vendors/Contractors will receive the insurance request email from: [no-reply@pinsadvantage.com](mailto:no-reply@pinsadvantage.com)*

**Thank you for your compliance!**

### [ SAMPLE INSURANCE REQUEST EMAIL ]

To: [Vendor/Contractor Company Name]

The City of Sunnyvale is requesting proof of insurance for [Contract/Agreement]. Please be advised we have automated our insurance certificate tracking using PINS Advantage. Your agent(s) will need to provide us with the insurance certificate and any associated documentation through the following website: <https://www.pinsadvantage.com/>

**Please forward this email to any Agent handling your Insurance.**

Please follow the instructions below:

- Login to PinsAdvantage.com
- Register as new Agent
- Enter this Job Code: XXXXX#X##Xx#
- Complete Agent Registration
- Log in using User Name and Password
- Click add Certificate
- Enter this Job Code: XXXXX#X##Xx#
- Complete sections of the Certificate applicable to your Agency, and include the required Endorsements

Thank you,  
City of Sunnyvale  
emailaddress@sunnyvale.ca.gov  
(###) ###-####

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Disclaimer: This email was generated through PINS Advantage.



# SAN JOSE CONSERVATION CORPS + CHARTER SCHOOL

## Board Officers

### President

**Sandra Murillo**

Retired - COO

Housing Trust Silicon Valley

### Vice President

**Liz Hunt**

Asian Americans for Community

Involvement

### Treasurer

**Leslie Brown**

Manager Customer Care

Peninsula Clean Energy

### Past President

**Hamid Saadat**

Founder & Chairman

CSIX Connect

## Board Members

**Mahmood A. Khan**

President - G-ESI

**Steve Lopes**

President

Western States Oil Company

**John Medina**

Project Superintendent

Devcon Construction

**Jim Stoch**

Independent Consultant

**Ramon Zaragoza**

Sr. Mechanical Engineer

Applied Materials

**Chris Cruz**

Park Management Program

Director

West Valley College

**Brenda Burks-Herrmann**

Retired – District Director

California Conservation Corps

**Bedriye Usta**

Director, PWC

**Dorsey Moore**

Executive Director/CEO

June 1, 2020

Mary Lindemuth

Environmental Programs Specialist II

Zero Waste Commercial Program

Environmental Services Department

City of Sunnyvale

PO Box 3707

Sunnyvale, CA 94088-3707

## RE: Bid for Glass Collection

Dear Ms. Lindemuth,

In regards to your Request for Quotations for Glass Collection for City of Sunnyvale businesses, we are delighted to submit a bid from the San Jose Conservation Corps with the following financial information:

Fiscal Year 2020-2021							
	Hours	\$ Per Hour	\$ Per Day	Days / Week	\$ Per Week	Weeks / Year	Total
Corpsmember	8	\$ 37.06	\$ 296.48	3	\$ 889.44	52	\$ 46,250.88
Supervisor	8	\$ 46.87	\$ 374.96	3	\$ 1,124.88	52	\$ 58,493.76
						<b>Total</b>	<b>\$ 104,744.64</b>
Fiscal Year 2021-2022							
	Hours	\$ Per Hour	\$ Per Day	Days / Week	\$ Per Week	Weeks / Year	Total
Corpsmember	8	\$ 40.40	\$ 323.20	3	\$ 969.60	52	\$ 50,419.20
Supervisor	8	\$ 51.09	\$ 408.72	3	\$ 1,226.16	52	\$ 63,760.32
						<b>Total</b>	<b>\$ 114,179.52</b>
Fiscal Year 2022-2023							
	Hours	\$ Per Hour	\$ Per Day	Days / Week	\$ Per Week	Weeks / Year	Total
Corpsmember	8	\$ 44.04	\$ 352.32	3	\$ 1,056.96	52	\$ 54,961.92
Supervisor	8	\$ 55.69	\$ 445.52	3	\$ 1,336.56	52	\$ 69,501.12
						<b>Total</b>	<b>\$ 124,463.04</b>
						<b>Three-Year Total</b>	<b>\$ 343,387.20</b>

The San Jose Conservation Corps and Charter School has proudly operated this specialized collection service on behalf of the City of Sunnyvale for several years. We remain committed to providing each of our clients with reliable collection service and individualized outreach to improve recycling rates, and are enthusiastic about the prospect of continuing this critical partnership.



**CHANGING LIVES**  
EDUCATING THE WORKFORCE FOR THE FUTURE

**San Jose Conservation Corps + Charter School**  
1560 Berger Drive, San Jose, CA 95112 Main Phone: 408-283-7171  
www.sjcccs.org 501(c)(3) Federal Tax ID: 77-0155997



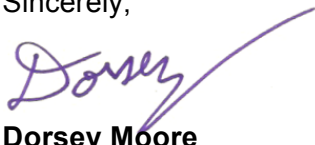
Our services for the City of Sunnyvale businesses have included (1) collecting glass and related recyclable materials from Sunnyvale businesses, (2) transporting materials to the SMaRT Station, (3) maintaining direct communication with clients; (4) providing regular feedback and outreach to improve recycling rates and decrease contamination, (5) dissemination of public education materials developed by the City, and (6) collection of data and development of monthly reports. We are committed to continuing this work.

As a job training program, we are also committed to continuously exhibiting best management practices, including developing efficient routes, supporting the maintenance of clean setout areas, and complying with all applicable laws and regulations. We operate an active and responsible motor carrier program, registered with the DMV and California Highway Patrol.

At your convenience, we can provide all necessary proof of insurance, including vehicle insurance, workers comp and City held harmless.

Thank you for your kind consideration of our proposal. Please do not hesitate to contact me or my team at any time should you require any addition information.

Sincerely,



**Dorsey Moore**

Executive Director/CEO, San Jose Conservation Corps + Charter School  
408-439-6653; [dmoore@sjcccs.org](mailto:dmoore@sjcccs.org)



# City of Sunnyvale

## Agenda Item

20-0632

Agenda Date: 6/30/2020

### REPORT TO COUNCIL

#### **SUBJECT**

Adopt a Resolution Adding Two New Classifications to the Classification Plan of the Civil Service and Changing Six Classification Titles in the Information Technology Department; and Amending the City's Salary Resolution to Make Corresponding Updates to the Schedule of Pay.

#### **BACKGROUND**

This report recommends amending the Classification Plan and the City's Salary Resolution to update the schedule of pay to add the newly established classifications of Network and Systems Engineer I and Applications Analyst / Project Coordinator I as entry level classifications to the job series and to change the classification titles of the following classifications assigned to the Information Technology Department.

Current Classification Title	New Classification Title
Network Technician	Network and Systems Engineer II
Network Engineer	Senior Network and Systems Engineer
Principal Network Engineer	Principal Network and Systems Engineer
Programmer Analyst	Applications Analyst/Project Coordinator II
Senior Programmer Analyst	Senior Applications Analyst/Project Manager
Principal Programmer Analyst	Principal Applications Analyst/Project Manager

#### **EXISTING POLICY**

Section 1103, entitled Classification, of the City Charter states that additions or changes to the classification plan may be adopted from time to time by the City Council upon the recommendation of the City Manager.

#### **ENVIRONMENTAL REVIEW**

The action being considered does not constitute a "project" with the meaning of the California Environmental Quality Act ("CEQA") pursuant to CEQA Guidelines section 15378(b)(5) in that it is a governmental organizational or administrative activity that will not result in direct or indirect changes in the environment.

#### **DISCUSSION**

In 2019, the Office of the City Manager approved a classification and compensation study request from the Information Technology Department (ITD). This request included a review of the current applications analyst and network engineering classifications and pay ranges and looking at new potential entry-level classifications that would be beneficial in attracting candidates and providing services for the City. Study results have been discussed with the Office of the City Manager, ITD,

and the Sunnyvale Employees Association (SEA)/ IFTPE Local 21 and the following recommendations result from these discussions.

#### Newly Established Classifications

ITD requested the creation of the Network & Systems Engineer I and Applications Analyst / Project Coordinator I classifications.

The creation of the Network & Systems Engineer I and Applications Analyst / Project Coordinator I classifications provides improved opportunity to qualify for entry level positions with the City of Sunnyvale. Currently, the lowest level of the ITD positions in Network Systems and Engineering and Applications Analytics and Project Coordination both require a bachelor's degree and two years of experience in their respective areas. As established, the City is unable to consider candidates who may have relevant work experience, but only have an associate's degree or Technology Certificate from an accredited college or university.

The creation of the Network & Systems Engineer I and Applications Analyst / Project Coordinator I provides four different education and experience alternatives for meeting the minimum qualifications of the classification. With these changes, the classifications provide succession planning and growth opportunities within the City.

The proposed Network & Systems Engineer I salary will be 10% below the Network & Systems Engineer II salary (benchmarked to the current Network Technician). The proposed Applications Analyst / Project Coordinator I will be 10% below the Applications Analyst / Project Coordinator II salary (benchmarked to the current Programmer Analyst).

These classifications will be represented by SEA/ IFPTE Local 21. SEA/IFPTE Local 21 was provided notice and an opportunity to comment on the job descriptions and proposed pay rates for the represented classification. Meetings were held with representatives from ITD, HRD, and SEA/IFPTE Local 21 to discuss opportunities, impacts, and proposed changes.

#### Classification Title Changes

The Department of Human Resources is also proposing changing the existing IT classification titles listed below to provide better clarity for the classification responsibilities, consistent naming conventions, and to align the career and promotional paths for both series.

<b>Current Classification Title</b>	<b>New Classification Title</b>
Network Technician	Network and Systems Engineer II
Network Engineer	Senior Network and Systems Engineer
Principal Network Engineer	Principal Network and Systems Engineer
Programmer Analyst	Applications Analyst/Project Coordinator II
Senior Programmer Analyst	Senior Applications Analyst/Project Manager
Principal Programmer Analyst	Principal Applications Analyst/Project Manager

SEA/IFPTE Local 21 was provided notice and an opportunity to comment on the proposed classification title changes.

**FISCAL IMPACT**

The salary ranges are the same for the new classification titles. Thus, there is no fiscal impact for these classification title changes.

**PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

**RECOMMENDATION**

Adopt a Resolution Amending Resolution Nos. 143-77 and 190-05, Adding Two New Classifications to the Classification Plan of the Civil Service and Changing Six Classification Titles in the Information Technology Department; and Amending the City's Salary Resolution to Make Corresponding Updates to the Schedule of Pay effective July 12, 2020

Prepared by: Delanie LoFranco, Human Resources Manager

Reviewed by: Tina Murphy, Director, Human Resources

Reviewed by: Jaqui Guzmán, Deputy City Manager

Approved by: Kent Steffens, City Manager

**ATTACHMENTS**

1. Resolution



**RESOLUTION NO. \_\_\_\_\_**

**A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF SUNNYVALE AMENDING RESOLUTION NOS. 143-77 AND NO. 190-05, ADDING TWO NEW CLASSIFICATIONS TO THE CLASSIFICATION PLAN OF THE CIVIL SERVICE AND CHANGING SIX CLASSIFICATION TITLES IN THE INFORMATION TECHNOLOGY DEPARTMENT; AND AMENDING THE CITY'S SALARY RESOLUTION TO MAKE CORRESPONDING UPDATES TO THE SCHEDULE OF PAY**

WHEREAS, at the request of the Information Technology Department (ITD), Human Resources staff has proposed an amendment to the Classification Plan of the Civil Service of the City of Sunnyvale to add two new job classifications of "Network & Systems Engineer I and Applications Analyst / Project Coordinator I;" and

WHEREAS, City staff also recommends changing six ITD job titles, "Network Technician, Network Engineer, Principal Network Engineer, Programmer Analyst, Senior Programmer Analyst, and Principal Programmer Analyst"; and

WHEREAS, the City Council, having considered such proposals and recommendations, desires to approve the proposed amendments to the Classification Plan of the Civil Service and make corresponding changes to the City's Salary Resolution.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SUNNYVALE THAT:

1. The City Council hereby approves the following amendments to the Classification Plan of the Civil Service:
  - a. Change the title of Network Technician to Network & Systems Engineer II (2420); and
  - b. Change the title of Network Engineer to Senior Network & Systems Engineer (4825); and
  - c. Change the title of Principal Network Engineer to Principal Network & Systems Engineer (2204); and
  - d. Change the title of Programmer Analyst to Applications Analyst/Project Coordinator II (2200); and
  - e. Change the title of Senior Programmer Analyst to Senior Applications Analyst/Project Manager (2201)
  - f. Change the title of Principal Programmer Analyst to Principal Applications Analyst/Project Manager (2202)
  - g. Create the classification of Network & Systems Engineer I (2419) with a pay range of \$73,319 (Min. range/ Step 1) to \$93,575 (Max. range/ Step 6) annually; and

- h. Create the classification of Applications Analyst/Project Coordinator I (2199) with a pay range of \$90,833 (Min. range/Step 1) to \$115,928 (Max. range/Step 6) annually.
2. Except as herein modified, the Classification Plan, Resolution No. 143-77, as amended, shall remain in full force and effect.
3. Resolution No. 190-05 (the City's Salary Resolution) is hereby amended by adding the new classifications and pay rates set forth in Exhibit A, to the schedule of pay (salary table), attached and incorporated by reference, and to implement the changes described in this resolution. Except as herein modified, Resolution No. 190-05, as amended, shall remain in full force and effect.

Adopted by the City Council of the City of Sunnyvale at a regular meeting held on \_\_\_\_\_, 20\_\_, by the following vote:

AYES:  
NOES:  
ABSTAIN:  
ABSENT:  
RECUSAL:

ATTEST:

APPROVED:

\_\_\_\_\_  
City Clerk  
(SEAL)

\_\_\_\_\_  
Mayor

APPROVED AS TO FORM:

\_\_\_\_\_  
City Attorney

**City of Sunnyvale  
Salary Table - July 12, 2020**

Job Code	Job Title	Unit	Pay Cat.	Range / Scale	Hourly Pay Rates						Annual Range			Effective Date
					Step 1	Step 2	Step 3	Step 4	Step 5	Step 6	Minimum	Control Point	Maximum	
4825	Senior Network & Systems Engineer	SEA	B	642	53.8036	56.4939	59.3185	62.2845	65.3987	68.6685	111,911	N/A	142,830	7/12/20
2419	Network & Systems Engineer 1	SEA	B	715	35.2493	37.0118	38.8624	40.8055	42.8458	44.9881	73,319	N/A	93,575	7/12/20
2420	Network & Systems Engineer 2	SEA	B	687	39.1659	41.1240	43.1802	45.3392	47.6062	49.9866	81,465	N/A	103,972	7/12/20
2204	Principal Network & Systems Engineer	SEA	B	632	63.7445	66.9318	70.2784	73.7924	77.4820	81.3561	132,589	N/A	169,221	7/12/20
2202	Principal Applications Analyst/Project Manager	SEA	B	632	63.7445	66.9318	70.2784	73.7924	77.4820	81.3561	132,589	N/A	169,221	7/12/20
2199	Applications Analyst/Project Coordinator 1	SEA	B	716	43.6696	45.8531	48.1458	50.5531	53.0808	55.7348	90,833	N/A	115,928	7/12/20
2200	Applications Analyst/Project Coordinator 2	SEA	B	103	48.5218	50.9478	53.4952	56.1699	58.9782	61.9273	100,925	N/A	128,809	7/12/20
2201	Senior Applications Analyst/Project Manager	SEA	B	631	53.8036	56.4939	59.3185	62.2845	65.3987	68.6685	111,911	N/A	142,830	7/12/20

**City of Sunnyvale  
Salary Table - July 11, 2021**

Job Code	Job Title	Unit	Pay Cat.	Range / Scale	Hourly Pay Rates						Annual Range			Effective Date
					Step 1	Step 2	Step 3	Step 4	Step 5	Step 6	Minimum	Control Point	Maximum	
2419	Network & Systems Engineer 1	SEA	B	715	36.3068	38.1222	40.0283	42.0297	44.1312	46.3377	75,518	N/A	96,382	7/11/21
2199	Applications Analyst/Project Coordinator 1	SEA	B	716	44.9797	47.2287	49.5902	52.0697	54.6732	57.4068	93,558	N/A	119,406	7/11/21

**Notes****SEA:**

Effective July 12, 2020, employees receive 1.5% of annual base salary as off-salary-schedule pay (not reportable to CalPERS).

Effective July 11, 2021, employees receive 1.5% of annual base salary as off-salary-schedule pay (not reportable to CalPERS).

**Assignments of Grade and Pay Ranges to Pay Plan as Referenced in the Salary Resolution**

**Category B** applies to Miscellaneous Classified Employees (**SEA**)



# City of Sunnyvale

## Agenda Item

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20-0640

Agenda Date: 6/30/2020

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### REPORT TO COUNCIL

#### **SUBJECT**

Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis, and Find that the Action is Exempt from CEQA

#### **SUMMARY OF COMMISSION ACTION**

The Planning Commission considered this item on June 22, 2020 and voted 4-1-1 (one Commissioner absent) to recommend Alternative 1 with one additional recommendation for the City to consider when evaluating residential development projects:

- Allow residential developers to propose unbundled parking for residential developments as it has been shown to reduce VMT.

The recommendation from the Planning Commission does not require any modification to the draft policy (Attachment 3). The VMT policy does not establish the types of mitigation that may be required; appropriate mitigation will be determined at the time of a project approval. Unbundled parking would require further study and potential changes to City ordinances and parking policies. If the Council is interested in considering unbundled parking, the Council may want to propose a study issue. The draft meeting minutes of the Planning Commission hearing of June 22, 2020 can be found in Attachment 15. Additionally, a support letter from the Santa Clara Valley Transportation Authority was submitted to the City on the day of the Planning Commission hearing and can be found in Attachment 16.

#### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

#### **ALTERNATIVES**

1. Adopt a resolution establishing Vehicle Miles Traveled (VMT) as the threshold of significance for analysis under the California Environmental Quality Act (CEQA), adopt a council policy for Transportation Impact Analysis, and find that the action is exempt from CEQA pursuant to CEQA Guidelines Sections 15378 (b)(5) and 15061(b)(3).
2. Adopt a resolution establishing Vehicle Miles Traveled (VMT) as the threshold of significance for analysis under the California Environmental Quality Act (CEQA), adopt a council policy for Transportation Impact Analysis with modifications, and find that the action is exempt from CEQA pursuant to CEQA Guidelines Sections 15378 (b)(5) and 15061(b)(3).
3. Do not adopt a resolution and a new council policy and direct staff with next steps.

**STAFF RECOMMENDATION**

Alternative 1: Adopt a resolution establishing Vehicle Miles Traveled (VMT) as the threshold of significance for analysis under the California Environmental Quality Act (CEQA), adopt a council policy for Transportation Impact Analysis, and find that the action is exempt from CEQA pursuant to CEQA Guidelines Sections 15378 (b)(5) and 15061(b)(3).

The Planning Commission voted 4-1-1 for Alternative 1 with one additional policy recommendation.

Staff believes that the use of the countywide VMT averages will provide the consistency with existing policies and the resources to be successful in reducing VMT. Furthermore, it is a conservative approach to implement the transition from Level of Service (LOS) to VMT until more information is available to measure the effectiveness of the policy in Sunnyvale. In addition, by adopting a Transportation Impact Analysis requirement, which includes LOS analysis, the City can continue to meet the Congestion Management Program (CMP) requirements, as well as evaluate transportation operations.

Prepared by: Karen Mack, Causal Manager III

Prepared by: Amber Blizinski, Principal Planner

Reviewed by: Chip Taylor, Director of Public Works

Reviewed by: Trudi Ryan, Director of Community Development

Reviewed by: Teri Silva, Assistant City Manager

Approved by: Kent Steffens, City Manager

**ATTACHMENTS**

1. Report to Planning Commission 20-0475, June 22, 2020 (without attachments)
2. Draft Resolution
3. Draft Council Policy 1.2.8 (Exhibit A to Draft Resolution)
4. Link to City's Transitioning to Vehicle Miles Traveled Webpage
5. Link to SB 743
6. Link to the State's Technical Guidance for Adopting VMT
7. Congestion Management Program Requirements
8. VMT Reference Materials
9. Transit Supportive Projects Map
10. VMT Baseline Pros and Cons Summary
11. Residential VMT Heat Maps
12. Employment VMT Heat Maps
13. Project Examples for VMT Analysis
14. Meeting Meetings from the October 8, 2019 City Council VMT Study Session

**Additional Attachments for Report to Council**

15. Excerpt of Draft Minutes of the Planning Commission Meeting of June 22, 2020
16. Letter of Support from VTA



# City of Sunnyvale

## Agenda Item

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20-0475

Agenda Date: 6/22/2020

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### REPORT TO PLANNING COMMISSION

#### **SUBJECT**

Forward a Recommendation to the City Council to Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis, and Find that the Action is Exempt from CEQA

#### **REPORT IN BRIEF**

Public agencies in California have historically relied on a metric known as “Level of Service” (LOS) to evaluate transportation impacts under the California Environmental Quality Act (CEQA). LOS is a measure of traffic congestion based on delay that drivers experience at intersections. Developers are typically required to mitigate project-related traffic by funding capital improvements that prioritize automobile movement. Because the traffic in urban centers is already congested, LOS can discourage dense infill development that would offer environmental benefits from putting jobs and housing closer together.

In 2013, the State Legislature enacted Senate Bill 743 (SB 743), which directed the Office of Planning and Research to develop new CEQA Guidelines that replace LOS with metrics that more appropriately balance the needs of traffic congestion management with statewide goals related to infill development, promotion of public health through active transportation, and reduction of greenhouse gas emissions. After a five-year process of study and public engagement, in 2018, the state adopted CEQA Guidelines Section 15064.3, which prohibits the use of LOS in CEQA documents after July 1, 2020 and requires agencies to analyze projects using a Vehicle Miles Traveled (VMT) metric. Put simply, VMT evaluates whether the project will increase or decrease the overall amount of automobile travel in the community.

City staff began the transition from LOS to VMT in Spring 2019 with a plan consisting of outreach, engagement, technical evaluation, development of a draft policy, and Council adoption. Staff worked with other Santa Clara County jurisdictions and the Santa Clara Valley Transportation Authority (VTA) to research and evaluate how use of a VMT metric would affect projects in Sunnyvale. Two Council Study Sessions and one community outreach meeting were held to provide information and solicit feedback. Additionally, a VMT webpage (Attachment 4) was established to provide updated information to developers and the public. The technical evaluation included coordination with other jurisdictions including the VTA and the State’s Office of Planning and Research to ensure the policy would meet the State’s requirements.

The proposed policy would adopt VMT as a threshold of significance under CEQA to analyze development and transportation project’s impacts on the environment. Adopting a Countywide average baseline for residential and employment sectors allows for projects to successfully develop

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within the City while reducing greenhouse gas (GHG) emissions. A 15% threshold is consistent with many other local jurisdictions in the Bay Area and is consistent with the State's recommendation.

Staff has concluded that the proposed draft Transportation Impact Analysis Council Policy (Attachment 3) aligns with the goals and policies of adopted plans in Sunnyvale, considers the comments and feedback received from the public and City Council, and meets the State's statutory requirements. It is anticipated that adoption of this policy will result in new land use and transportation projects that will reduce VMT, transit-oriented development, an expanded multimodal transportation network, and will aid with the State's goals of reducing greenhouse gas emissions.

## **BACKGROUND**

The California Environmental Quality Act (CEQA) was enacted in 1970 in response to growing awareness that environmental impacts associated with proposed discretionary actions (e.g., projects) should be disclosed to the public. This State statute mandates that the public and decision makers be provided with an objective analysis of the immediate and long-range impacts of a proposed project on its physical environment through an environmental review process. Decision makers for each jurisdiction consider these impacts prior to any discretionary approvals.

The fundamental objective of CEQA is to conduct thorough environmental analysis of a project based on available scientific and factual data. The analysis is communicated to the public and decision makers through environmental documents such as checklists, negative declarations, and environmental impact reports. Since the inception of CEQA, the City, and most other jurisdictions, have relied on Level of Service (LOS) as a metric to measure transportation impacts resulting from increased traffic and congestion on roadways. Transportation LOS measures vehicle delay (i.e., congestion at intersections and on roadways) and is represented as a letter grade A through F, where LOS A represents completely free-flowing traffic and LOS F represents highly congested conditions.

The current adopted threshold in Sunnyvale is LOS D for local intersections or LOS E for Congestion Management Program (CMP) regional facilities (as defined by the VTA and other designated locally significant roadways). In accordance with CEQA, the project must identify feasible measures to mitigate its impact(s) at an intersection. Mitigation for LOS impacts have typically focused on increasing capacity, or vehicular throughput, and include intersection widening or addition of left-turn or right turn pockets.

In September 2013, SB 743 (Attachment 5) passed and directed the State Office of Planning and Research (OPR) to establish new CEQA guidance for jurisdictions that removes vehicular LOS from transportation analysis under CEQA and replaces it with VMT. The intent of this change is to shift the focus of transportation analysis under CEQA from vehicle delay and roadway auto capacity to a reduction in vehicle emissions, and the creation of robust multimodal networks that support integrated land uses.

In January 2016, OPR released a revised proposal for changes to the CEQA Guidelines to implement SB 743 and on November 27, 2017, OPR submitted a final proposal to the State Natural Resources Agency to begin the formal rulemaking process that would amend the State's CEQA Guidelines. After approval of the proposed Guidelines by the Natural Resources Agency, jurisdictions were given until July 1, 2020 to comply with SB 743.

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In December 2018, OPR released a Technical Advisory on Evaluating Transportation Impacts in CEQA (Attachment 6), which contains OPR's technical recommendations regarding assessment of VMT, thresholds of significance, and mitigation measures. It is important to note that Technical Advisory does not preclude a City from differing from the State's recommendation, assuming the City's outcome promotes the goals and policies in SB 743.

### **EXISTING POLICY**

Today, Sunnyvale's General Plan Land Use and Transportation goals and policies promote an efficient, inclusive, safe, and sustainable transportation network for a successful city. Among the many goals in the General Plan, the following policies are specific to how Sunnyvale's roadway system supports residents, businesses, and visitors throughout the city. The General Plan also acknowledges the importance of Sunnyvale as a partner with other cities and agencies in the planning of regional land use and transportation. The following policies support the city's transition from LOS to VMT to measure transportation environmental impacts:

#### **Land Use**

- **Policy LT-1.3** Contribute to a healthy jobs-to-housing ratio in the region by considering jobs, housing, transportation, and quality of life as inseparable when making planning decisions that affect any of these components.

#### **Regional Infrastructure**

- **Policy LT-1.6** Integrate land use planning in Sunnyvale and the regional transportation system.
- **Policy LT-1.7** Emphasize efforts to reduce regional vehicle miles traveled by supporting active modes of transportation including walking, biking, and public transit.

#### **Greenhouse Gas Reduction**

- **Policy LT-2.2** Reduce greenhouse gas emissions that affect climate and the environment through land use and transportation planning and development.

#### **Effective Integration of Transportation and Land Use Planning**

- **Policy LT-3.1** Use land use planning, including mixed and higher-intensity uses, to support alternatives to the single-occupant automobile such as walking and bicycling and to attract and support high investment transit such as light rail, buses, and commuter rail.
- **Policy LT-3.4** Require large employers to develop and maintain transportation demand management programs to reduce the number of vehicle trips generated by their employees.

#### **A Well-Designed and Well-Operated Transportation Network**

- **Policy LT-3.6** Promote modes of travel and actions that provide safe access to city streets and reduce single-occupant vehicle trips and trip lengths locally and regionally. The order of consideration of transportation users shall be: (1) Pedestrians, (2) Nonautomotive (bikes, three-wheeled bikes, scooters, etc.), (3) Mass transit vehicles, (4) Delivery vehicles, and (5) Single-occupant automobiles.

#### **Complete Streets That Balance All Transportation Modes**

- **Policy LT-3.22** Provide safe access to city streets for all modes of transportation. Safety



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considerations of all transport modes shall take priority over capacity considerations of any one transport mode.

- **Policy LT-3.24** Ensure effective and safe traffic flows for all modes of transport through physical and operational transportation improvements.
- **Policy LT-3.25** Maintain a functional classification of the street system that identifies local roadways, Congestion Management Program roadways and intersections, and intersections of regional significance.

### **Effective Integration of Transportation and Land Use Planning**

- **Policy LT-3.5** Follow California Environmental Quality Act requirements, Congestion Management Program requirements, and additional City requirements when analyzing the transportation impacts of proposed projects and assessing the need for offsetting transportation system improvements or limiting transportation demand.

- **LT-3.5b** As part of a future update to the City's Transportation Impact Assessment Guidelines, establish and monitor development-based transportation goals and indicators for the following.

- Vehicle miles traveled (VMT) in the city per service population (population + jobs)

Sunnyvale's General Plan also supports a well-designed and well operated transportation network. Intersection operations and traffic flow continue to be important to the City and the residents, businesses and visitors that rely on the transportation roadway network. In addition to VMT analysis, intersection LOS analysis is a useful tool to ensure a safe, efficient transportation network for all users including vehicles, pedestrians, bicyclists, and transit riders.

### **Climate Action Plan / Sunnyvale Climate Action Playbook**

The passage of Assembly Bill 32 (AB 32), the California Global Warming Solutions Act of 2006 required a sharp reduction of greenhouse gas (GHG) emissions. AB 32 was the first program in the country to take a comprehensive, long-term approach to addressing climate change while aiming to improve the environment, natural resources and maintain a robust economy.

As AB 32 sets goals for the reduction of greenhouse gas emissions statewide, Senate Bill 375, (SB 375), the Sustainable Communities and Climate Protection Act of 2008, sets goals focusing on greenhouse gas emissions reduction for passenger vehicles. Passenger vehicles are the single largest source of GHG emissions statewide, accounting for 30% of total emissions. SB 375 provided the path to achieve the goals of AB 32.

In response to AB 32 and SB 375, California cities began adopting climate action plans to conform to the State's scoping plan which outlines California's approach for reducing GHG emissions.

In 2014, the City of Sunnyvale adopted its first climate action plan (RTC 14-0290). The plan focused on creating a more sustainable, healthy and livable Sunnyvale. In 2019, an update to the 2014 Climate Action was adopted and titled Climate Action Playbook (CAP) (19-0704).

The CAP sets a vision for the City to reduce carbon emissions by 2050. As a sustainability leader,

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Sunnyvale has already achieved its 2020 greenhouse gas (GHG) emissions target. Among many other strategies for reducing GHG emissions, the playbook includes strategies and goals that align with the goals of previous senate bills focused on greenhouse gas emissions. Both the CAP and SB 743 aim to increase and encourage development of mixed-use sites to reduce vehicle miles traveled, increase transportation options and support shared mobility. The convergence of these policies in Sunnyvale will result in reduced reliance on single occupancy vehicles and ultimately reduced GHG emissions.

### **ENVIRONMENTAL REVIEW**

The adoption of VMT as a threshold of significance does not require environmental review because it is an organizational or administrative activity that does not commit the City to approve any specific development project that may have an impact on the environment (CEQA Guidelines Section 15378 (b)(5)), 15061(b)(3). In addition, although the City has discretion over the specific methodology that will be used to evaluate VMT, the replacement of the LOS metric with VMT is required by the state and is therefore a ministerial action that is exempt from CEQA review (CEQA Guidelines Section 15268(a)).

### **DISCUSSION**

In accordance with previous requirements, Sunnyvale has measured vehicle delay (via LOS) at intersections to determine a project's transportation impact(s) on the environment for CEQA purposes and to satisfy CMP requirements (Attachment 7). When intersections were found to be impacted, the mitigation often involved expanding intersections or paying a fair share contribution to increase capacity on roadways. Today, Sunnyvale's roadway network is largely built out and there is little room, or desire, to expand roadway capacity. However, the City recognizes the need for modern, compact, development. As a result, the City and most other municipalities in the state have shifted focus to transportation demand management strategies and modes of transportation other than passenger vehicles, in addition to adopting overriding considerations when certifying environmental documents based on analyses using LOS.

With the passage of SB 743, transportation analysis shifts from measuring intersection delay (LOS) to measuring the distance driven via personal vehicle to a destination (VMT). Typically, development projects that are separated from complementary land uses (e.g. a business park and housing) and in areas without transit or active transportation infrastructure (bike lanes, sidewalks, etc.) generate more driving than development near complementary land uses with more robust transportation options.

Currently, VMT information is used to help measure other CEQA impacts within the City, including air quality and GHG emissions at a project level. Additionally, it is used in General Plan or program-level analysis to identify long-range transportation impacts. The City's adopted Land Use and Transportation Element (LUTE) and Climate Action Playbook both have several goals and policies geared towards reducing the City's VMT.

### **Land Use Projects**

Of the various types of land use projects, residential, office, and retail projects tend to have the greatest influence on VMT. Local trip-making associated with retail, school and other day-to-day trips are typically part of the residential or employment trip making so reducing VMT for residential and employment projects will have the most impact on daily VMT. By measuring VMT per capita and VMT per employee, this metric focuses on the average VMT per person instead of per vehicle.

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VMT is measured for each proposed land use separately; however, for projects that generate regional trips like hospitals, arenas, sporting events, and large shopping malls, the total amount of VMT is measured.

There are many projects that do not fall into the categories listed above, such as private schools, hotels, and assisted living facilities. In those cases, the state recommends using location-specific information to develop detailed thresholds provided the recommended thresholds achieve the State goals of GHG reductions.

### **Transportation Projects**

If a transportation project would likely lead to a measurable and substantial increase in vehicle travel, the State recommends the lead agency conduct an analysis assessing the amount of VMT the project will induce. Projects that would likely lead to a measurable and substantial increase in VMT are those which include addition of through lanes on existing or new highways. This includes general purpose lanes, high-occupancy vehicle (HOV) lanes, peak period lanes, auxiliary lanes, or lanes through grade-separated interchanges.

Transportation projects that would not likely lead to a substantial or measurable increase in VMT (and therefore would not require an induced travel analysis) include:

- Rehabilitation, maintenance, replacement, safety, and repair projects designed to improve the condition of existing transportation assets (i.e., highways; roadways; bridges; culverts)
- Roadside safety devices or hardware installation such as median barriers and guardrails
- Additional capacity on local or collector streets, provided the project also substantially improves conditions for pedestrians, cyclists, and if applicable, transit
- Reduction of number of through lanes ("road diets")
- Grade separation projects
- Installation, removal or reconfiguration of traffic control devices, including Transit Signal Priority
- Addition of new or enhanced bike or pedestrian facilities on existing streets/highways or within the existing public right of way
- Additional of Class I bike paths, trails, multi-use paths or other off-road facilities that serve non-motorized travel

### **Using VMT as a CEQA Transportation Metric**

To understand how to analyze VMT for CEQA purposes, key policy considerations involved in the overall process of transportation CEQA analysis are broken down into individual steps.

#### How VMT is Used to Determine a CEQA Impact

The key steps required to use VMT for transportation environmental review include:

1. Establishing the average residential and employment VMT (CEQA baseline);
2. Establishing a VMT reduction goal (CEQA threshold); and
3. Establishing exemptions or specific projects which are presumed to:
  - a. not have transportation VMT impact
  - b. or are deemed less than significant.

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The CEQA analysis will determine within which of the following four categories a project lies.

1. Qualifies as exempt from VMT analysis (less than significant);
2. Meets the VMT threshold;
3. Requires mitigation to meet VMT threshold; or
4. Project cannot meet the VMT threshold and requires overriding considerations to continue development.

Each City that is transitioning to VMT from LOS must undergo these steps; each City's baseline, thresholds, and exemptions will be unique to its individual situation.

Setting the baseline, threshold and determining when a project may be deemed "less than significant" (exempt from VMT analysis) are important factors that will influence how CEQA transportation analysis is conducted in Sunnyvale.

### ***Methodologies to Measure VMT***

There are three main methods for measuring VMT:

1. Travel Demand Model: A travel demand model is used to measure VMT for large projects, regional projects, and land use plans. Examples of these types of projects include hospitals, private schools, regional retail (shopping malls), and transportation projects not anticipated to increase VMT (described in the "Transportation Projects" section above).
2. Sketch Tool: For most residential, office, and mixed-use projects, VMT is measured using an excel-based spreadsheet tool. The VMT Evaluation Tool (sketch tool) measures most residential and employment projects. The tool contains the algorithms to evaluate the VMT for each parcel within the city with inputs from the countywide travel demand model. In addition to measuring a project's VMT, the tool provides the VMT mitigation reduction strategies. This sketch tool is planned to be used by all cities throughout Santa Clara County.
3. Heat Maps: The residential and employment heat maps provide another option for screening projects in low VMT areas. Projects located in the green map areas (already at the VMT threshold) with similar design and density characteristics as the existing land uses in these green areas may be assumed to meet the VMT threshold without further analysis.

Staff recommendations for baseline, threshold, and exemptions are included in the Staff Recommendations section, below.

### **Analyzing VMT for Land Use Projects**

To determine the CEQA baseline, the VTA, in coordination with Santa Clara County jurisdictions, updated the countywide travel demand model with current information on existing jobs and households provided by each city and other information from the census, California Household Survey, and other relevant information obtained from the Metropolitan Transportation Commission (MTC) regional travel demand model. The VTA then produced the existing average citywide, countywide and regional VMT for both residential and employment.

### **Establishing Average Residential and Employment VMT (CEQA Baseline)**

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The following table shows the average citywide, countywide, and regional VMT per capita (residential) and VMT per employee (employment):

	Citywide for Sunnyvale	Countywide	Regional
Residential VMT	10.34	13.33	13.95
Employment VMT	17.85	16.64	15.33

Refer to Attachment 8 for methodology to determine each of the VMT referenced in the table above.

#### Establishing a VMT Reduction Goal (CEQA Threshold)

In addition to establishing the baseline, CEQA also requires establishing a threshold, the level at which impacts of a project are established. The State recommends using a threshold of 15% reduction of average VMT. Several factors went into the State choosing this reduction value, including:

- This threshold is generally achievable for a variety of projects throughout California;
- A 15% reduction is consistent with California Climate Action Plan goals; and
- Using 15% as a threshold creates consistency throughout California jurisdictions.

#### Setting VMT Screening and Exemption Policies

##### ***Residential and Employment Heat Maps***

Heat maps are a tool utilized to indicate locations where VMT is higher and lower via colors on a map (See Attachments 11 and 12). The map data is based on the average VMT and includes the reduction threshold. The residential and employment heat maps for Sunnyvale are generated using the VTA Countywide Travel Demand Model. The maps are used as a screening tool; meaning that certain projects that are located in the green areas (areas where the VMT is already below the baseline) would meet the VMT threshold and would not be required to perform further VMT analysis. Projects proposed in the yellow, orange, or red areas would move on to further transportation analysis or require mitigation measures to ensure the threshold is met.

##### ***Options for Project Exemptions***

The State recommends allowing certain developments to be exempt from VMT analysis. The presumption is that these projects will have a less than significant impact because the project will reduce VMT. The recommended exemptions include:

1. Transit supportive projects. These types of projects include residential, retail, and office projects, (as well as projects that are a mix of these uses) proposed within a half mile of an existing major transit stop or an existing stop along a high quality transit corridor (all rail transit and major bus routes with frequency of 15 minutes or less during morning and evening peak periods). This exemption is predicated on the assumption that the proposed development meets all the following requirements:
  - a. Is at least 75% Floor-Area-Ratio (FAR) for office/R&D development or 35 dwelling units/acre for residential development;
  - b. Supports or promotes multimodal transportation;
  - c. Does not propose excessive parking (more than the maximum allowed by code);
  - d. Is transit-oriented in design.
2. Small infill projects (less than 110 total daily trips).

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3. Local serving retail development.
4. Local serving city facilities.
5. Affordable housing projects.

Attachment 9 shows the areas within the City that are located within the half mile transit buffer. As shown in the map, most of the City's specific and area plans are located within the transit buffers and if they meet the requirements listed above in Exemption No. 1 could be considered to have less than significant transportation impacts. Most of the City's planned growth is in these specific and area plan areas. However, additional TDM measures could be, and typically are, required through the adoption of the specific or area plan or project conditions of approval.

### ***Projects that are not Screened Out or Exempted***

Projects that are not screened out via the heat maps, those not listed in the State recommended exemptions above, or those which are unable to mitigate VMT to the City's threshold through the use of the VMT evaluation tool would either: require mitigations to meet the threshold, or would cause impacts that are significant and unavoidable. The projects not exempted or screened out would require further transportation analysis for CEQA purposes. It is important to note that even if a project is not mitigatable, and has impacts that are significant and unavoidable, the City can still certify the environmental document by adopting a statement of overriding considerations.

### **Analyzing VMT for Transportation Projects**

The state requires roadway projects that add capacity without adding multimodal facilities for pedestrian, cyclists, and/or transit, to evaluate and disclose near term and long term induced vehicle miles traveled. This analysis typically requires a travel demand model to measure a transportation's project VMT. Additionally, the analysis must evaluate whether the transportation project is:

1. Consistent with the State's GHG reduction goals
2. Impacts the multimodal transportation network (i.e. makes it harder to access transit, ride a bike or walk)
3. Impacts diversity of land uses (i.e. makes it difficult or undesirable to live or work)

However, most of the transportation projects within Sunnyvale and the County include significant pedestrian and bicycle improvements. Under VMT and per the State recommendations, most of the transportation projects that improve multimodal transportation would be exempted. Additionally, transportation projects are exempt from VMT analysis per the state's guidelines if they include improvements for: safety, maintenance, installation of bicycle improvements, pedestrian improvements, most transit improvements, traffic calming, or removal of parking.

### **Staff Recommendations**

#### **Baseline**

There are pros and cons associated with using citywide, countywide, or regional averages as a baseline (Attachment 10).

Staff is recommending the use of the countywide average VMT as the City's baseline because it creates consistency with other jurisdictions within the county, and there are many resources available to address VMT reduction at the countywide level. Therefore, staff feels it will allow for the most success for projects to meet the VMT threshold.

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Currently, there are not many guidance resources available which provide information on using VMT for CEQA transportation analysis. This approach of using the countywide averages as the baseline is a careful, conservative first step in determining what will meet Sunnyvale's General Plan goals. In the future, there will be an opportunity to revisit and modify the approach as more information and better tools become available.

#### Threshold

Staff agrees with the State's rationale in using 15% as the reduction factor. In addition, several other jurisdictions within the County are also planning to propose the same 15% threshold. Reducing the citywide, countywide, and regional averages by 15% results in the following thresholds a land use project would need to meet to have less than significant transportation impacts:

	City Average	With 15% Reduction	County Average	With 15% Reduction	Regional Average	With 15% Reduction
Res. VMT	10.34	8.79	13.33	11.33	13.95	11.86
Emp. VMT	17.85	15.17	16.64	14.14	15.33	13.03

Staff's recommendation of using the countywide average baseline with a 15% reduction threshold means that residential projects would need to achieve an average of 11.33 VMT, and employment projects would need to achieve an average of 14.14 VMT. Staff believes that the 15% threshold will work well for the City, for similar reasons as the State, but most importantly it will allow development to occur in Sunnyvale consistent with the goals and policies of the General Plan and Climate Action Playbook without significant CEQA transportation analysis or impacts that cannot be mitigated.

#### Heat Maps Illustrating the Three Scenarios

Staff has created heat maps showing all three scenarios with the recommended 15% reduction threshold for both residential and employment. As shown in Attachments 11 and 12, the regional employment heat map and the citywide residential heat map are the most difficult threshold for land use projects to achieve and many projects would have to undergo significant VMT and CEQA analysis (not be screened out) based on the heat maps in those two scenarios. This is one of the reasons staff supports using the countywide average for consistency and to be able to streamline the CEQA process.

#### Project Exemptions

Staff agrees that using project exemptions similar to the State's recommendations should help promote the reduction of VMT, these exemptions include, but are further detailed in the draft Transportation Impact Analysis Council Policy (Attachment 3):

- Transit oriented development at specific densities and FARs;
- Small infill projects;
- Local serving retail/service development;
- City facilities; and
- Affordable housing projects that meet specific criteria.

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Future development is most likely to occur within Sunnyvale's specific and area plan areas. These plans will or already contain TDM requirements, which should further reduce VMT. Additionally, projects may be conditioned to implement other multi-modal transportation improvements (e.g. wider sidewalks or new bicycle lanes) or address operational deficiencies (discussed below) to further reduce VMT. Under the exemption criteria, projects that meet these requirements will be transit-oriented and have the greatest potential to reduce VMT.

#### Local Transportation Analysis

To complement the CEQA VMT analysis requirement, staff is recommending that projects be required to conduct a local transportation analysis that focuses on evaluating transportation operational conditions including: multi-modal project access and circulation, neighborhood intrusion, and traffic signal warrants/traffic control evaluation. The analysis will include the addition of project traffic and impacts to pedestrians, bicyclists and transit users. This operational analysis will include intersection LOS to meet proposed local and CMP requirements. Attachment 13 contains project examples to demonstrate how VMT analysis are performed under CEQA and how mitigations would improve the average VMT to an acceptable level.

#### **Other Jurisdictions**

As most jurisdictions are moving ahead with establishing their VMT Policies at the same time as Sunnyvale, and some have already shared that they will not meet the July 1, 2020 deadline, it is unknown what all of the jurisdictions in Santa Clara County will adopt as their baseline and threshold at this time. However, we do know what a few cities are recommending in their VMT Policies.

The following table summarizes some of the adopted and proposed VMT policies around the state.

Jurisdiction	Residential Baseline	Residential Threshold	Employment Baseline	Employment Threshold	Continued Use of LOS
San Francisco (adopted)	Regional	15%	Regional	15%	No
Oakland (adopted)	Regional	15%	Regional	15%	Yes
Los Angeles (adopted)	Citywide	(6.0% - 9.4%)	Citywide	(7.6% - 15%)	Yes
San Jose (adopted)	Citywide	15%	Regional	15%	Yes
Mountain View (preliminary)	Regional	15%	Regional	15%	Yes
Santa Clara (preliminary)	Countywide	15%	Countywide	15%	Yes
Los Altos (preliminary)	Citywide	15%	Citywide	15%	Yes

#### **Continued Use of LOS**

In addition to conforming to the VMT CEQA requirements above, all land use and transportation projects may be required to perform a Local Transportation Analysis (LTA). Cities that have already adopted VMT policies such as San Jose, Los Angeles, and Pasadena have also included requirements for new development to continue to study and improve intersection operations. There are many benefits to continue to study, monitor and invest in traffic signal operations and infrastructure in Sunnyvale. Efficient traffic signal operations ensure safe access and circulation,



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optimum signal timing, well-designed intersections with adequate left-turn storage, implementation of pedestrian, bicycle and transit improvements, and technology upgrades are all examples of operational improvements. In addition to intersection operations, other transportation analyses may be required.

Local Transportation Analysis may include but not limited to:

- A. Intersection Level of Service Analysis and operational deficiencies for
  - 1. CMP conformance
  - 2. Intersections within a ½ mile radius for small projects (with less than 400 peak hour trips)
  - 3. Intersections within a 2-mile radius for larger projects (with 400 peak hour trips or more)
- B. Multimodal analysis on pedestrian, bicycle and transit facilities.
- C. Traffic signal warrant studies and other intersection traffic control.
- D. Site Access and Circulation.
- E. Neighborhood cut-through, traffic calming.
- F. Queuing at nearby freeway ramps.
- G. Freeway operations.

### **Continued Efforts Associated with VMT**

As VMT methodology for analyzing transportation impacts is new to most jurisdictions, staff acknowledges that modifications or additions will likely be required to the policy in the future. Staff is prepared to be flexible throughout the analyses of projects and specific and area plans, and as legal challenges on the new methodology move through the court system. The following key items are those that are likely to be discussed with the Council in the next several years:

- 1. How is the policy working? What modifications or clarifications are needed to ensure that analysis of transportation impacts is occurring in the best possible way?
- 2. Discussion of alignment of the City's current TDM policies with adopted VMT policies to ensure the best possible success in VMT and GHG emission reductions.
- 3. Development of success indicators and what those will look like in the future after analyses of projects and receipt of known results is completed.

### **FISCAL IMPACT**

There are no fiscal impacts associated with adopting a new Council Policy on the City's transition from LOS to VMT for CEQA analysis.

### **PUBLIC CONTACT**

The notice of the public hearing was published in the *Sun* newspaper at least 10 days prior to the public hearings, the meeting Agenda was posted on the City's official notice bulletin board and City's website, and the Staff Report for the project was posted on and the City's website.

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Staff held several study sessions with the City Council and a public outreach meeting, with summaries identified below.

Summary of the October 8, 2019 City Council Study Session

Staff introduced the goal of transitioning to VMT, how we study transportation today, how VMT will be used in the future, and how it will affect Sunnyvale. The meeting notes are included in Attachment 14.

Summary of the December 12, 2019 Public Outreach Meeting

Ten members of the public attended the public outreach meeting. Staff introduced VMT to the public, explained how we currently evaluate transportation impacts, how the process will change in the future, and presented the schedule for policy adoption. The public asked clarify questions on the presentation and were generally supportive of the concepts.

Summary of the April 7, 2020 City Council Study Session

Staff presented the key policy considerations, the recommended options for setting the baseline, thresholds, and exemptions, Sunnyvale's heat maps for both residential and employment projects, the VMT Evaluation Tool, how transportation projects are evaluated, and proposed Local Transportation Analysis requirement with level of service analysis to measure operational deficiencies. An excerpt of the meeting minutes is included in Attachment 15.

Councilmembers asked questions and provided comment on various topics ranging from the necessity of adopting an updated policy; concerns about the conditions of transit ridership; the citywide baseline is more aspirational than the countywide baseline, and therefore, more appropriate; clarifying requirements for exempted projects; understanding employment in residential areas of the city; other cities' VMT policies; benefits of electric vehicles; positive effect of VMT on pedestrian and bicycle travel; how LOS may be used; CMP requirements; and, the need to provide examples of Sunnyvale project VMT analysis.

Staff was asked to provide the following information, contained within this report: 1. Summary of other cities' VMT policy proposals;

2. Project examples in Sunnyvale under various thresholds (Attachment 13); and

3. List of pros and cons with the staff's current VMT recommendations (Attachment 10).

**ALTERNATIVES**

Forward a Recommendation to the City Council to:

1. Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis, and Find that the Action is Exempt from CEQA.
2. Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis with Modifications, and Find that the Action is Exempt from CEQA
3. Do not Adopt a resolution and a new Council Policy and Direct staff on how to Proceed.

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### **STAFF RECOMMENDATION**

Alternative 1: Forward a Recommendation to the City Council to Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis, and Find that the Action is Exempt from CEQA.

Staff recommends forwarding a recommendation for adopting a Resolution and a new Council Policy, which includes the following:

- Establish the Countywide VMT average for both residential and employment as baseline, with a VMT reduction threshold at 15%.
- Approve VMT exemptions for projects as detailed in the Policy.
- Adopt a Local Transportation Analysis requirement, which includes LOS analysis to meet the CMP requirements, as well as other transportation operations evaluation.

Staff believes that the use of the countywide VMT averages will provide the consistency with existing policies and the resources to be successful in reducing VMT. Furthermore, it is a conservative approach to implement the transition from LOS to VMT until more information is available to measure the effectiveness of the policy in Sunnyvale.

Prepared by: Karen Mack, Causal Manager III

Prepared by: Amber Blizinski, Principal Planner

Reviewed by: Chip Taylor, Director of Public Works

Reviewed by: Trudi Ryan, Director of Community Development

Reviewed by: Teri Silva, Assistant City Manager

Approved by: Kent Steffens, City Manager

### **ATTACHMENTS**

1. Reserved for Report to Council
2. Draft Resolution
3. Draft Council Policy 1.2.8 (Exhibit A to Draft Resolution)
4. Link to City's Transitioning to Vehicle Miles Traveled Webpage
5. Link to SB 743
6. Link to the State's Technical Guidance for Adopting VMT
7. Congestion Management Program Requirements
8. VMT Reference Materials
9. Transit Supportive Projects Map
10. VMT Baseline Pros and Cons Summary
11. Residential VMT Heat Maps
12. Employment VMT Heat Maps
13. Project Examples for VMT Analysis
14. Meeting Meetings from the October 8, 2019 City Council VMT Study Session

**RESOLUTION NO. \_\_\_\_-20**

**A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF  
SUNNYVALE ADOPTING “VEHICLE MILES TRAVELED”  
THRESHOLDS OF SIGNIFICANCE FOR PURPOSES OF  
ANALYZING TRANSPORTATION IMPACTS UNDER THE  
CALIFORNIA ENVIRONMENTAL QUALITY ACT**

WHEREAS, public agencies in California have historically relied on a metric known as “Level of Service” (LOS) to evaluate the transportation impacts of development projects under the California Environmental Quality Act (CEQA); and

WHEREAS, LOS solely measures how project-generated traffic will increase delay at local and regional intersections, requiring mitigations for those impacts that prioritize the construction of capital improvements to facilitate automobile travel; and

WHEREAS, Senate Bill 743, enacted in 2013 and codified in Public Resources Code Section 21099, directed the Governor’s Office of Planning and Development (OPR) to develop new CEQA Guidelines to replace LOS with metrics that more appropriately balance the needs of congestion management with statewide goals related to infill development, promotion of public health through active transportation, and reduction of greenhouse gas emissions; and

WHEREAS, in 2018, the Governor’s Office of Planning and Research (“OPR”) proposed, and the California Natural Resources Agency certified and adopted, new CEQA Guidelines section 15064.3 that identifies vehicle miles traveled (“VMT”), meaning the amount and distance of automobile travel attributable to a project, as the most appropriate metric to evaluate a project’s transportation impacts; and

WHEREAS, CEQA Guidelines section 15064.3 goes into effect on July 1, 2020, after which automobile delay, as measured by “level of service” and other similar metrics, will no longer constitute a significant environmental effect under CEQA; and

WHEREAS, the City of Sunnyvale’s Land Use and Transportation Element (LUTE) of the General Plan, updated in April 2017, called for the City to use VMT to establish and monitor the City’s development-based transportation goals and indicators, and to describe potential environmental effects of development projects; and

WHEREAS, reduction of VMT is also one of the core strategies in the City’s Climate Action Playbook, adopted in August 2019 to reduce encourage sustainable land use in Sunnyvale and reduce greenhouse gas emissions; and

WHEREAS, the Guidelines for Implementation of the California Environmental Quality Act in Title 14 of the California Code of Regulations (“CEQA Guidelines”) encourage public agencies to develop and publish generally applicable “thresholds of significance” to be used in determining the significance of a project’s environmental effects; and

WHEREAS, CEQA Guidelines section 15064.7(a) defines a threshold of significance as “an identifiable quantitative, qualitative or performance level of a particular environmental effect, noncompliance with which means the effect will normally be determined to be significant by the agency and compliance with which means the effect normally will be determined to be less than significant”; and

WHEREAS, CEQA Guidelines section 15064.7(b) requires that thresholds of significance must be adopted by ordinance, resolution, rule, or regulations, developed through a public review process, and be supported by substantial evidence; and

WHEREAS, the adoption of VMT as a threshold of significance is an organizational or administrative activity of City government that does not commit the City to approve any specific project that will result in either direct or indirect physical changes in the environment (CEQA Guidelines Section 15378(b)(5)), 15061(b)(3)), and the replacement of the LOS metric with VMT is required by the state and is therefore a ministerial action that is exempt from CEQA review (CEQA Guidelines Section 15268(a)); and

WHEREAS, the City of Sunnyvale, following a public review process consisting of study sessions with the City Council on October 8, 2019, and April 7, 2020; a community meeting on December 12, 2019; staff presentation to the Planning Commission on July 15, 2020, and staff presentation to the City Council on June 30, 2020, wishes to adopt the VMT thresholds of significance for determining the significance of transportation impacts.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SUNNYVALE THAT:

1. The above recitals are incorporated herein as findings for approval of the Council Policy on Local Transportation Analysis.
2. The Council Policy attached hereto as Exhibit A, is hereby adopted as a threshold of significance for analyzing local transportation impacts under CEQA.
3. The City Council finds that this resolution is exempt from the requirements of the California Environmental Quality Act (CEQA) pursuant to CEQA Guidelines Sections 15378, 15061(b)(3), and 15268(a).
4. This Resolution shall become effective on July 1, 2020.

Adopted by the City Council at a regular meeting held on June 30, 2020, by the following vote:

AYES:  
NOES:  
ABSTAIN:  
ABSENT:  
RECUSAL:

ATTEST:

APPROVED:

---

DAVID CARNAHAN  
City Clerk  
(SEAL)

---

LARRY KLEIN  
Mayor

APPROVED AS TO FORM:

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REBECCA L. MOON  
Sr. Assistant City Attorney

## EXHIBIT A

### **Policy 1.2.8 (Transportation Analysis Policy)**

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#### **POLICY PURPOSE:**

The purpose of this policy is to update the transportation impact analysis criteria to include both Vehicle Miles Traveled (VMT) and Level of Service (LOS), to comply with State law.

The VMT policy is designed to provide guidance in the preparation of transportation analysis for land use and transportation projects as part of the environmental review process to comply with the California Environmental Quality Act (CEQA). It is also designed to promote reduction of greenhouse gas emissions by reducing driving alone; promoting mixed use development near transit; and, building out the multimodal transportation network.

In addition to adoption of VMT as the measure of transportation environmental impacts, this policy includes a requirement for a local transportation analysis to include Level of Service operational analysis to ensure intersection and roadway efficiency and to comply with the Congestion Management Program.

In support of this policy, Sunnyvale's General Plan provides a long term blueprint for the community's vision of future growth. The General Plan strategically links land use and transportation to reduce the environmental impacts of growth by promoting compact mixed-use development that supports walking, biking and transit, multimodal streets, and complete communities with less dependence on automobiles. The General Plan focuses new development in key areas, bringing together office, residential, and service land uses to reduce VMT and encourages the use of non-automobile transportation modes.

#### **POLICY STATEMENT:**

This policy requires all projects to evaluate and disclose transportation environmental impacts by measuring Vehicle Miles Traveled (VMT) as required by CEQA; and also establishes Level of Service (LOS) as an operational measurement of intersection efficiency, which is not defined as transportation environmental impact per CEQA.

#### **Measuring Vehicle Miles Traveled (VMT)**

The following sections define the types of projects and their requirements for analyzing VMT, the criteria under which projects are not required to analyze VMT, and the thresholds for identifying significant transportation impacts.

##### **1. Land Use Projects.**

For residential and employment projects, projects will use the Countywide Average VMT as the baseline with a VMT reduction threshold set at 15% below the baseline to identify potential transportation impacts and propose mitigations.

## 2. Exemptions

The requirement to prepare a detailed VMT analysis applies to all Projects except the following types as these projects will further the City's goals and policies and will not result in significant transportation impacts.

- A. Small Infill Projects (110 daily trips or less).
- B. Neighborhood-Serving Retail/Service Development uses (maximum 100,000 square feet total for entire commercial development), similar to uses permitted by right or with a Miscellaneous Planning Permit (MPP) in the C-1 (Neighborhood Business Zoning District) subject to evaluation by the Director of Community Development. Such uses not considered neighborhood-serving include auto dealerships, car wash/repair facilities, drive-thru restaurants/services, restaurants with banquet halls, hotels, and similar uses that have a regional draw.
- C. City Facilities such as fire stations, parks, community centers, branch libraries.
- D. Restricted Affordable Housing Projects that meet the following:
  - (I) **For rental developments:** At least 25% of the proposed residential units dedicated as affordable to households up to 80% AMI. The developer shall meet the requirements for the City's Rental Inclusionary (SMC Ch. 19.77), and then may provide the remainder of the required units at low income.
  - (II) **For ownership developments:** At least 25% of the proposed residential units dedicated as affordable to households up to 120% AMI. The developer shall meet the requirements for the City's Below Market Rate Ownership Inclusionary (SMC Ch. 19.67).
  - (III) **For either type of development:** The development may utilize the State Density Bonus, however 25% of the total constructed units on site must be deed restricted. Prior to the issuance of any building permit for the project, an Affordable Housing Regulatory Agreement shall be recorded against the parcel(s) which sets rent and occupancy restrictions for fifty-five years and shall run with the land through any change of ownership.
- E. Transportation Projects that reduce or do not increase VMT including, but not limited to:
  - (I) Roadway maintenance, rehabilitation and safety improvements;
  - (II) Installation or reconfigured traffic lanes to provide left-turns, right-turns, etc.;
  - (III) Conversion of existing lanes to managed or transit lanes;
  - (IV) Multimodal improvements that promote walking, bicycling and transit;
  - (V) Technology projects that optimize intersection operations, and traffic metering systems, detection, cameras and other electronics designed to optimize traffic flow;
  - (VII) Installation of traffic control devices and roundabouts;
  - (VIII) Relocation or removal of parking; and



- (IX) Installation of publicly available alternative fuel/charging infrastructure.
- F. Transit Supportive Projects (office/R&D projects with a floor area ratio of more than 75% or a residential project of at least 35 dwelling units/acre) within ½ mile of an existing major bus stop or existing stop along a high quality transit corridor that meet all of the following requirements:
  - (I) Support the multimodal transportation network by facilitating access to multimodal transportation with improved pedestrian facilities, bike lanes, transit stops; does not harm or hinder access to multimodal transportation;
  - (II) Does not exceed maximum parking requirements or propose higher than what is allowed per the development standards;
  - (III) Is transit oriented in design:
    - a. Has a walkable design that prioritizes pedestrians;
    - b. Is sustainable, and compact;
    - c. Facilitates ease of bicycle use;
    - d. Is focused or centered around transit; and
  - (IV) Redevelopment of a site which provides at least as many affordable units as previously existed.

### **3. Transportation Projects**

Project types that would likely lead to a measurable and substantial increase in vehicle travel generally include addition of through lanes on existing or new highways, including general purpose lanes, HOV lanes, peak period lanes, auxiliary lanes, or lanes through grade-separated interchanges. Transportation projects that add vehicle capacity to the roadway network will be required to analyze:

- A. Direct, indirect and cumulative effects of the transportation project
- B. Near term and long term induced vehicle travel in total VMT
- C. Consistency with state and local greenhouse gas reduction goals
- D. Impacts on the development of multimodal transportation networks
- E. Impacts on the development of diversity of land uses

### **4. Regional Projects**

For projects such as regional retail, hospitals, stadium, sports complexes, or schools that are not regulated by a Public School District or that require permits from a local jurisdiction, a net increase in total VMT may indicate a significant transportation impact.

### **Local Transportation Analysis Requirement**

In addition to conforming to the VMT CEQA requirements above, all land use and transportation projects may be required perform a Local Transportation Analysis which may include but not limited to:

- A. Level of Service Analysis using the following methodologies:

- (I) The acceptable LOS standard for intersection operations is LOS “D” or better for Sunnyvale intersections, LOS “E” for locally designated intersections along regionally significant roadways and Regional transportation facilities as defined by the Congestion Management Program (CMP).
- (II) Intersection selection. Study intersections will be selected based on the following criteria:
  - a. Within a ½ mile radius surrounding the project. Larger projects (400 peak hour trips or more) may require a larger radius up to a maximum of a 2-mile radius surrounding the project.
  - b. Provides access and circulation to/from the project
  - c. Intersections currently operating at D or worse
  - d. CMP intersections supporting the project traffic as regulated by the VTA guideline for CMP intersection selection.
- B. Addressing operational deficiencies:
  - (I) An operational deficiency at a Sunnyvale intersection will be identified when a project’s added vehicle traffic causes the intersection to degrade from LOS “D” to LOS “E”, or for intersections operating at LOS “E” or LOS “F”, the addition of 1% to the critical vehicle/capacity ratio and an increase in critical delay of 4 seconds or more.
    - a. To address an operational deficiency, a project must propose an improvement to the intersection which may include:
      - 1. Traffic signal modifications, construction of additional turn lanes
      - 2. Improvements to the pedestrian, bicycle facilities within the intersection or proximate to the intersection
      - 3. Improved access to transit or transit facility proximate to the intersection
      - 4. Transportation demand management (TDM) measures that will reduce the project traffic at the intersection and improve the deficiency
  - (II) A CMP intersection will be out of conformance with the CMP standards when a project’s vehicle traffic causes the intersection to degrade from LOS “E” to LOS “F”, or for intersections operating at LOS “F”, the addition of 1% to the critical vehicle/capacity ratio and an increase in critical delay of 4 seconds or more.
    - a. To bring CMP intersections into conformance with the CMP standards, projects must implement improvements necessary to address the projects degradation of CMP facilities.
- C. Multimodal analysis on pedestrian, bicycle and transit facilities.
- D. Traffic signal warrant studies and other intersection traffic control.
- E. Site Access and Circulation.
- F. Neighborhood cut-through, traffic calming.
- G. Queuing at nearby freeway ramps.
- H. Freeway operations.

((Adopted: RTC # (date) Amended: RTC # (date) etc.)

Lead Department:

For reference, see also:

**THIS SIGNATURE BOX IS ONLY NEED AFTER THE COUNCIL POLICY HAS BEEN APPROVED. DIRECTOR NEEDS TO SIGN OFF AND ORIGINAL GOES TO OCM/IGR.**

I verify that the content presented in this policy represents the direction given or action taken by Council.

\_\_\_\_\_  
*Signature*                      Date \_\_\_\_\_

Director, DEPARTMENT NAME HERE

COUNCIL POLICY MANUAL

**Policy 1.2.8 (Transportation Analysis Policy)**

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**POLICY PURPOSE:**

The purpose of this policy is to update the transportation impact analysis criteria to include both Vehicle Miles Traveled (VMT) and Level of Service (LOS), to comply with State law.

The VMT policy is designed to provide guidance in the preparation of transportation analysis for land use and transportation projects as part of the environmental review process to comply with the California Environmental Quality Act (CEQA). It is also designed to promote reduction of greenhouse gas emissions by reducing driving alone; promoting mixed use development near transit; and, building out the multimodal transportation network.

In addition to adoption of VMT as the measure of transportation environmental impacts, this policy includes a requirement for a local transportation analysis to include Level of Service operational analysis to ensure intersection and roadway efficiency and to comply with the Congestion Management Program.

In support of this policy, Sunnyvale's General Plan provides a long term blueprint for the community's vision of future growth. The General Plan strategically links land use and transportation to reduce the environmental impacts of growth by promoting compact mixed-use development that supports walking, biking and transit, multimodal streets, and complete communities with less dependence on automobiles. The General Plan focuses new development in key areas, bringing together office, residential, and service land uses to reduce VMT and encourages the use of non-automobile transportation modes.

**POLICY STATEMENT:**

This policy requires all projects to evaluate and disclose transportation environmental impacts by measuring Vehicle Miles Traveled (VMT) as required by CEQA; and also establishes Level of Service (LOS) as an operational measurement of intersection efficiency, which is not defined as transportation environmental impact per CEQA.

**Measuring Vehicle Miles Traveled (VMT)**

The following sections define the types of projects and their requirements for analyzing VMT, the criteria under which projects are not required to analyze VMT, and the thresholds for identifying significant transportation impacts.

**1. Land Use Projects.**

For residential and employment projects, projects will use the Countywide Average VMT as the baseline with a VMT reduction threshold set at 15% below the baseline to identify potential transportation impacts and propose mitigations.

## COUNCIL POLICY MANUAL

### 2. Exemptions

The requirement to prepare a detailed VMT analysis applies to all Projects except the following types as these projects will further the City's goals and policies and will not result in significant transportation impacts.

- A. Small Infill Projects (110 daily trips or less).
- B. Neighborhood-Serving Retail/Service Development uses (maximum 100,000 square feet total for entire commercial development), similar to uses permitted by right or with a Miscellaneous Planning Permit (MPP) in the C-1 (Neighborhood Business Zoning District) subject to evaluation by the Director of Community Development. Such uses not considered neighborhood-serving include auto dealerships, car wash/repair facilities, drive-thru restaurants/services, restaurants with banquet halls, hotels, and similar uses that have a regional draw.
- C. City Facilities such as fire stations, parks, community centers, branch libraries.
- D. Restricted Affordable Housing Projects that meet the following:
  - (I) **For rental developments:** At least 25% of the proposed residential units dedicated as affordable to households up to 80% AMI. The developer shall meet the requirements for the City's Rental Inclusionary (SMC Ch. 19.77), and then may provide the remainder of the required units at low income.
  - (II) **For ownership developments:** At least 25% of the proposed residential units dedicated as affordable to households up to 120% AMI. The developer shall meet the requirements for the City's Below Market Rate Ownership Inclusionary (SMC Ch. 19.67).
  - (III) **For either type of development:** The development may utilize the State Density Bonus, however 25% of the total constructed units on site must be deed restricted. Prior to the issuance of any building permit for the project, an Affordable Housing Regulatory Agreement shall be recorded against the parcel(s) which sets rent and occupancy restrictions for fifty-five years and shall run with the land through any change of ownership.
- E. Transportation Projects that reduce or do not increase VMT including, but not limited to:
  - (I) Roadway maintenance, rehabilitation and safety improvements;
  - (II) Installation or reconfigured traffic lanes to provide left-turns, right-turns, etc.;
  - (III) Conversion of existing lanes to managed or transit lanes;
  - (IV) Multimodal improvements that promote walking, bicycling and transit;
  - (V) Technology projects that optimize intersection operations, and traffic metering systems, detection, cameras and other electronics designed to optimize traffic flow;
  - (VII) Installation of traffic control devices and roundabouts;
  - (VIII) Relocation or removal of parking; and

## COUNCIL POLICY MANUAL

- (IX) Installation of publicly available alternative fuel/charging infrastructure.
- F. Transit Supportive Projects (office/R&D projects with a floor area ratio of more than 75% or a residential project of at least 35 dwelling units/acre) within ½ mile of an existing major bus stop or existing stop along a high quality transit corridor that meet all of the following requirements:
  - (I) Support the multimodal transportation network by facilitating access to multimodal transportation with improved pedestrian facilities, bike lanes, transit stops; does not harm or hinder access to multimodal transportation;
  - (II) Does not exceed maximum parking requirements or propose higher than what is allowed per the development standards;
  - (III) Is transit oriented in design:
    - a. Has a walkable design that prioritizes pedestrians;
    - b. Is sustainable, and compact;
    - c. Facilitates ease of bicycle use;
    - d. Is focused or centered around transit; and
  - (IV) Redevelopment of a site which provides at least as many affordable units as previously existed.

### 3. Transportation Projects

Project types that would likely lead to a measurable and substantial increase in vehicle travel generally include addition of through lanes on existing or new highways, including general purpose lanes, HOV lanes, peak period lanes, auxiliary lanes, or lanes through grade-separated interchanges. Transportation projects that add vehicle capacity to the roadway network will be required to analyze:

- A. Direct, indirect and cumulative effects of the transportation project
- B. Near term and long term induced vehicle travel in total VMT
- C. Consistency with state and local greenhouse gas reduction goals
- D. Impacts on the development of multimodal transportation networks
- E. Impacts on the development of diversity of land uses

### 4. Regional Projects

For projects such as regional retail, hospitals, stadium, sports complexes, or schools that are not regulated by a Public School District or that require permits from a local jurisdiction, a net increase in total VMT may indicate a significant transportation impact.

### Local Transportation Analysis Requirement

In addition to conforming to the VMT CEQA requirements above, all land use and transportation projects may be required perform a Local Transportation Analysis which may include but not limited to:

- A. Level of Service Analysis using the following methodologies:

COUNCIL POLICY MANUAL

- (I) The acceptable LOS standard for intersection operations is LOS “D” or better for Sunnyvale intersections, LOS “E” for locally designated intersections along regionally significant roadways and Regional transportation facilities as defined by the Congestion Management Program (CMP).
  - (II) Intersection selection. Study intersections will be selected based on the following criteria:
    - a. Within a ½ mile radius surrounding the project. Larger projects (400 peak hour trips or more) may require a larger radius up to a maximum of a 2-mile radius surrounding the project.
    - b. Provides access and circulation to/from the project
    - c. Intersections currently operating at D or worse
    - d. CMP intersections supporting the project traffic as regulated by the VTA guideline for CMP intersection selection.
- B. Addressing operational deficiencies:
- (I) An operational deficiency at a Sunnyvale intersection will be identified when a project’s added vehicle traffic causes the intersection to degrade from LOS “D” to LOS “E”, or for intersections operating at LOS “E” or LOS “F”, the addition of 1% to the critical vehicle/capacity ratio and an increase in critical delay of 4 seconds or more.
    - a. To address an operational deficiency, a project must propose an improvement to the intersection which may include:
      - 1. Traffic signal modifications, construction of additional turn lanes
      - 2. Improvements to the pedestrian, bicycle facilities within the intersection or proximate to the intersection
      - 3. Improved access to transit or transit facility proximate to the intersection
      - 4. Transportation demand management (TDM) measures that will reduce the project traffic at the intersection and improve the deficiency
  - (II) A CMP intersection will be out of conformance with the CMP standards when a project’s vehicle traffic causes the intersection to degrade from LOS “E” to LOS “F”, or for intersections operating at LOS “F”, the addition of 1% to the critical vehicle/capacity ratio and an increase in critical delay of 4 seconds or more.
    - a. To bring CMP intersections into conformance with the CMP standards, projects must implement improvements necessary to address the projects degradation of CMP facilities.
- C. Multimodal analysis on pedestrian, bicycle and transit facilities.
  - D. Traffic signal warrant studies and other intersection traffic control.
  - E. Site Access and Circulation.
  - F. Neighborhood cut-through, traffic calming.
  - G. Queuing at nearby freeway ramps.
  - H. Freeway operations.

COUNCIL POLICY MANUAL

((Adopted: RTC # (date) Amended: RTC # (date) etc.)

Lead Department:

For reference, see also:

**THIS SIGNATURE BOX IS ONLY NEED AFTER THE COUNCIL POLICY HAS BEEN APPROVED. DIRECTOR NEEDS TO SIGN OFF AND ORIGINAL GOES TO OCM/IGR.**

I verify that the content presented in this policy represents the direction given or action taken by Council.

\_\_\_\_\_  
*Signature*                      Date \_\_\_\_\_

Director, DEPARTMENT NAME HERE





**RTC #:** 20-0640

**Document Title:** Link to City's Transitioning to Vehicle Miles Traveled Webpage

**Link:** <https://sunnyvale.ca.gov/business/environmental/vmt.htm>



**RTC #:** 20-0640

**Document Title:** Link to SB 743

**Link:** <https://bit.ly/2Z8nSWP>



**RTC #:** 20-0640

**Document Title:** Link to State's Technical Guide

**Link:** [http://opr.ca.gov/docs/20190122-743\\_Technical\\_Advisory.pdf](http://opr.ca.gov/docs/20190122-743_Technical_Advisory.pdf)

## **Congestion Management Program Requirements**

In 1990, the California Legislature enacted the Congestion Management Program (CMP) to implement Proposition 111. This proposition required local governments to implement mitigation measures to offset the impacts from new development on the regional transportation system. The goal was to link land use, transportation, and air quality decisions at the regional and local level. The program required, among other things, that every county designate a congestion management agency, which in turn would designate a regional roadway network for monitoring purposes and develop a deficiency plan to address deficiencies in levels of service on the network. The legislation also provided that jurisdictions that fail to comply with the CMP requirements will lose their state gasoline tax revenues.

The Valley Transportation Agency (VTA) serves as the Congestion Management Agency (CMA) for Santa Clara County and maintains the County's Congestion Management Program (CMP), in accordance with California Statute, Government code 65088.

The intent of the CMP legislation is to develop a comprehensive transportation improvement program among local jurisdictions that will reduce traffic congestion and improve land use decision-making and air quality. Sunnyvale, as a member agency of VTA, receives approximately \$3.45 million in gas tax revenues annually.

The VTA, as the CMA for the county, still utilizes LOS as an analysis methodology for its intersections. The regional roadway networks fall under the jurisdiction of the VTA and new developments that must analyze intersections on these regional roadway networks must comply with CMP requirements. Development projects will comply with the CMP by continuing to conduct intersection LOS analysis at designated CMP intersections and maintaining LOS E as the acceptable intersection operations standard. By conforming to the CMP, Sunnyvale is eligible to continue to receive substantial gas tax revenue.

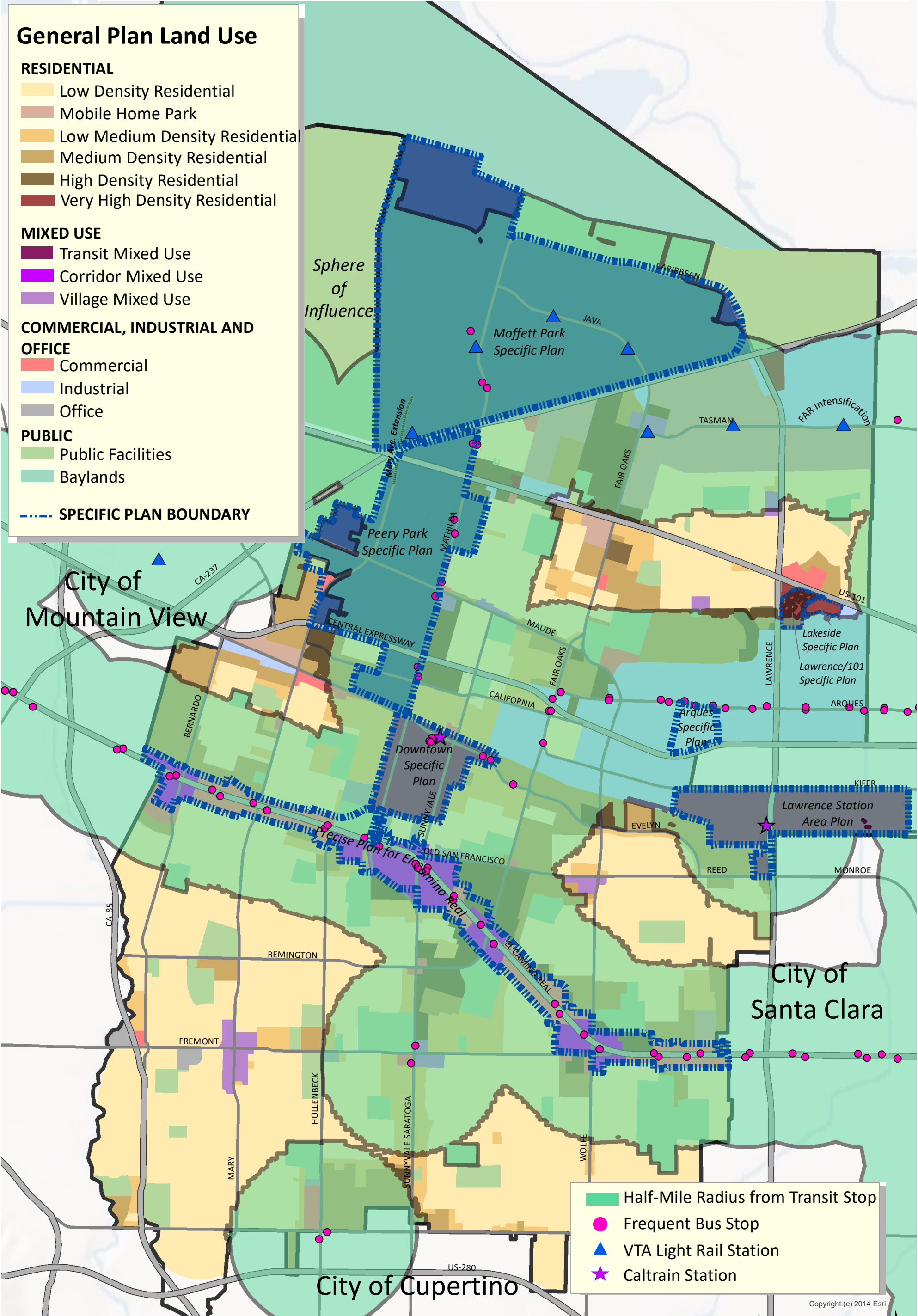
Establishing Average Residential and Employment VMT (CEQA Baseline)

CEQA requires establishing a baseline that describes existing conditions in order to measure future impacts on the environment. The baseline is described as the average distance Sunnyvale residents and employees travel by car each day. The baseline can be measured on a citywide, countywide, or a regional average. The regional average includes nine counties: Santa Clara, San Francisco, Alameda, Napa, Sonoma, San Mateo, Contra Costa, Marin, and Solano.

The citywide average is defined as the total residential VMT divided by the number of residents in Sunnyvale, or the total employment VMT divided by the number of employees in Sunnyvale. The countywide and regional averages are defined similarly by taking the total VMT (residential or employment) and dividing by the total number of employees or residents in the county or region.

# City of Sunnyvale Transit Priority Areas and High Quality Transit Corridors

as of December 2019



## Pros and Cons of Potential VMT Baselines

### ***Citywide Average – Residential Projects***

Pros	Cons
<ul style="list-style-type: none"><li>• The existing residential citywide average VMT in Sunnyvale is very low, which indicates that residents do not have to travel far for everyday needs. By using the citywide average, new developments will be required to ensure their projects are more aggressive in reducing VMT.</li></ul>	<ul style="list-style-type: none"><li>• Using the citywide average VMT would require the most transit-oriented projects; however, it may be problematic in that it will be difficult for some housing projects to achieve the threshold requirement if they are not able to mitigate to the threshold or are located outside the one-half mile transportation buffer (or do not meet the minimum 35 dwelling units/acre within the buffer).</li><li>• Projects unable to mitigate will require an EIR which takes longer and is costly.</li><li>• Mitigation for residential projects in low VMT areas typically include increasing density or diversity of land uses and are often difficult to change the project description during the environmental review for the project.</li><li>• Mitigation for residential projects in low VMT areas would then rely on public improvements such as increasing crosswalks, adding bike lanes, improving access to transit. However, in many low VMT areas, these improvements already exist.</li><li>• Mitigation would then include a TDM Program but there are relatively few effective residential TDM measures. Furthermore, the monitoring of TDM Program can be difficult without the development providing a TDM Coordinator which are not very common for residential projects</li></ul>

**Citywide Average - Office/Employment Projects**

Pros	Cons
<ul style="list-style-type: none"><li>• For employment purposes it would make the VMT threshold the easiest of the three to obtain (the citywide average is the highest for employment of the three).</li></ul>	<ul style="list-style-type: none"><li>• Within Sunnyvale, per 2017 Census, 10.5% of all employees live in Sunnyvale, and 89.5% of all employees live outside of the city. Employment VMT extends well-beyond Sunnyvale borders so it is not reasonable to define the employment baseline within Sunnyvale and then establish a VMT standard. Bay Area commuters will continue to travel between cities from residences to employment area, therefore, it is more appropriate to include VMT outside of Sunnyvale in the employment baseline.</li><li>• Citywide Employment VMT baseline does not take advantage of the many available effective TDM measures for employment projects, which employers are typically willing to implement.</li></ul>



**Countywide Average – Residential Projects**

Pros	Cons
<ul style="list-style-type: none"><li>• The map contains more green areas, areas that meet the VMT threshold. This means that more properties are screened out from needing VMT traffic analysis under CEQA.</li><li>• Many existing resources are available today that can help reduce VMT at the County level.<ul style="list-style-type: none"><li>• VTA, which oversees the CMP, is the administrator of various multimodal transportation funds and grants.</li><li>• The CMP brings Santa Clara County cities together to discuss countywide transportation projects and issues.</li><li>• The CMP program provides early notification of proposed projects in other cities, giving Sunnyvale the opportunity to participate in other land use decisions affecting Sunnyvale. transportation and land use integration extend across the city boundaries. In addition, with the pooling of resources at the county level, there is a higher potential to successfully reduce VMT.</li></ul></li><li>• Transportation projects (e.g. Light Rail or multimodal improvements) are implemented in the County level providing cost-sharing VMT reducing transportation improvements.</li><li>• Mitigation projects remain within the County and under local control.</li><li>• Our transportation agency, VTA, will be the agency receiving mitigation funds for Countywide projects and mass transit will be fundamental in supporting VMT reduction.</li><li>• The County Expressway Study, Countywide Bike Plan, Complete Streets Program and BPACs provide opportunity to implement multimodal transportation projects and will establish the multimodal transportation network necessary to promote modal shift.</li></ul>	<ul style="list-style-type: none"><li>• The countywide average VMT is not as low as the citywide average VMT and would not require projects to reduce VMT as much as using the citywide average.</li></ul>

### **Countywide Average - Office/Employment Projects**

Pros	Cons
<ul style="list-style-type: none"> <li>• Lower than the citywide average VMT; therefore, office/employment projects will need to be more aggressive in reducing VMT than the citywide average VMT.</li> <li>• Provide consistency by aligning countywide VMT reduction targets with available resources today.</li> <li>• Countywide average VMT is fairly consistent across the three defined regions (citywide, countywide, and nine bay area region).</li> <li>• Many existing resources are available today that can help reduce VMT at the County level: <ul style="list-style-type: none"> <li>• The VTA, which oversees the CMP, is the administrator of various multimodal transportation funds and grants.</li> <li>• The CMP brings Santa Clara County cities together to discuss countywide transportation projects and issues.</li> <li>• The CMP program provides early notification of proposed projects in other cities, giving Sunnyvale the opportunity to participate in other land use decisions affecting Sunnyvale. Transportation and land use integration extends across city boundaries; and with the pooling of resources at the county level, there is a greater potential to successfully reduce VMT.</li> </ul> </li> <li>• Transportation projects (e.g. Light Rail or multimodal improvements) are implemented in the County level providing cost-sharing VMT reducing transportation opportunity.</li> <li>• Mitigation projects remain within the County and under local control.</li> <li>• Our transportation agency, VTA, will be the agency receiving mitigation funds for Countywide projects, and mass transit will be fundamental in supporting VMT reduction locally.</li> <li>• The County Expressway Study, Countywide Bike Plan, and Complete</li> </ul>	<ul style="list-style-type: none"> <li>• Higher than the regional average VMT; therefore, may result in slightly more VMT than the regional average VMT.</li> </ul>

Streets Program provide guidance on implementing multimodal transportation projects necessary to promote model shift.	
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***Regional Average – Residential***

Pros	Cons
<ul style="list-style-type: none"> <li>• The regional residential average is the highest of the three baselines. If it were selected it would screen out the most area within Sunnyvale for housing development.</li> <li>• Aggressively streamlines CEQA transportation review for residential projects</li> </ul>	<ul style="list-style-type: none"> <li>• Reducing residential VMT is more dependent on land uses within a city or county. By setting the standard too low, this may not reduce VMT in Sunnyvale</li> <li>• No CEQA requirements for any VMT mitigations for non-exempted residential projects.</li> <li>• The nine county Bay Area region used to define the regional average VMT includes counties such as Napa, Solano and Sonoma which have very different travel characteristics than Santa Clara County.</li> <li>• Using the regional average involves inclusion of some counties that are far from Sunnyvale and not necessarily similar in terms of size, density, and availability of transportation. In addition, the average does not include some of the counties closest to the City where Sunnyvale employees live (e.g. Santa Cruz County).</li> <li>• Regional mitigation and transportation improvements are costly, difficult to implement in a timely manner, and may not actually benefit Sunnyvale.</li> </ul>

***Regional Average - Office/Employment***

Pros	Cons
<ul style="list-style-type: none"><li>• Most aggressive requirements for VMT reduction resulting in deeper VMT reduction for employment projects.</li></ul>	<ul style="list-style-type: none"><li>• The nine county Bay Area regional average VMT is more aligned with San Francisco and Oakland than Santa Clara County where public transit usage is a lot higher as a mode of transportation for employees.</li><li>• Using the regional average would be the most difficult to achieve as it is the lowest of the three numbers and includes an area far larger than where most of Sunnyvale's employment base travels from, and areas with far more existing robust public transit systems (e.g. San Francisco and Oakland).</li><li>• Regional mitigation and transportation improvements are costly, difficult to implement in a timely manner, and may not actually benefit Sunnyvale.</li><li>• Reliance on lowering the regional baseline dependent on counties other than Santa Clara County where there are no systems or programs in place to evaluate and monitor other counties.</li></ul>



Sunnyvale

# City of Sunnyvale Residential VMT Heat Map

Citywide Average as of December 2019

**Citywide Average of  
8.79 HVMT/Capita with 15% Threshold**

- Threshold VMT areas
- Countywide Average VMT areas
- Mitigatable VMT areas
- Immitigable VMT areas
- Zero Residential VMT per capita
- Frequent Bus Stop
- ▲ VTA Light Rail Station
- ★ Caltrain Station
- SPECIFIC PLAN BOUNDARY

**City of  
Mountain View**

Peery Park  
Specific Plan

Downtown  
Specific Plan

Precise Plan for El Camino Real

**City of  
Santa Clara**

**City of Cupertino**





## Sunnyvale

Countywide Average as of December 2019

- Threshold VMT areas
- Countywide Average VMT areas
- Mitigatable VMT areas
- Immitigatable VMT areas
- Zero Residential VMT per capita

Frequent Bus Stop  
VTA Light Rail Station  
Caltrain Station

**City of  
Mountain View**

### Peery Park Specific Plan

Downtown  
Special

**City of Cupertino**

Community Development Department, 2020

**City of  
Santa Clara**

Miles

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Sunnyvale

# City of Sunnyvale Residential VMT Heat Map

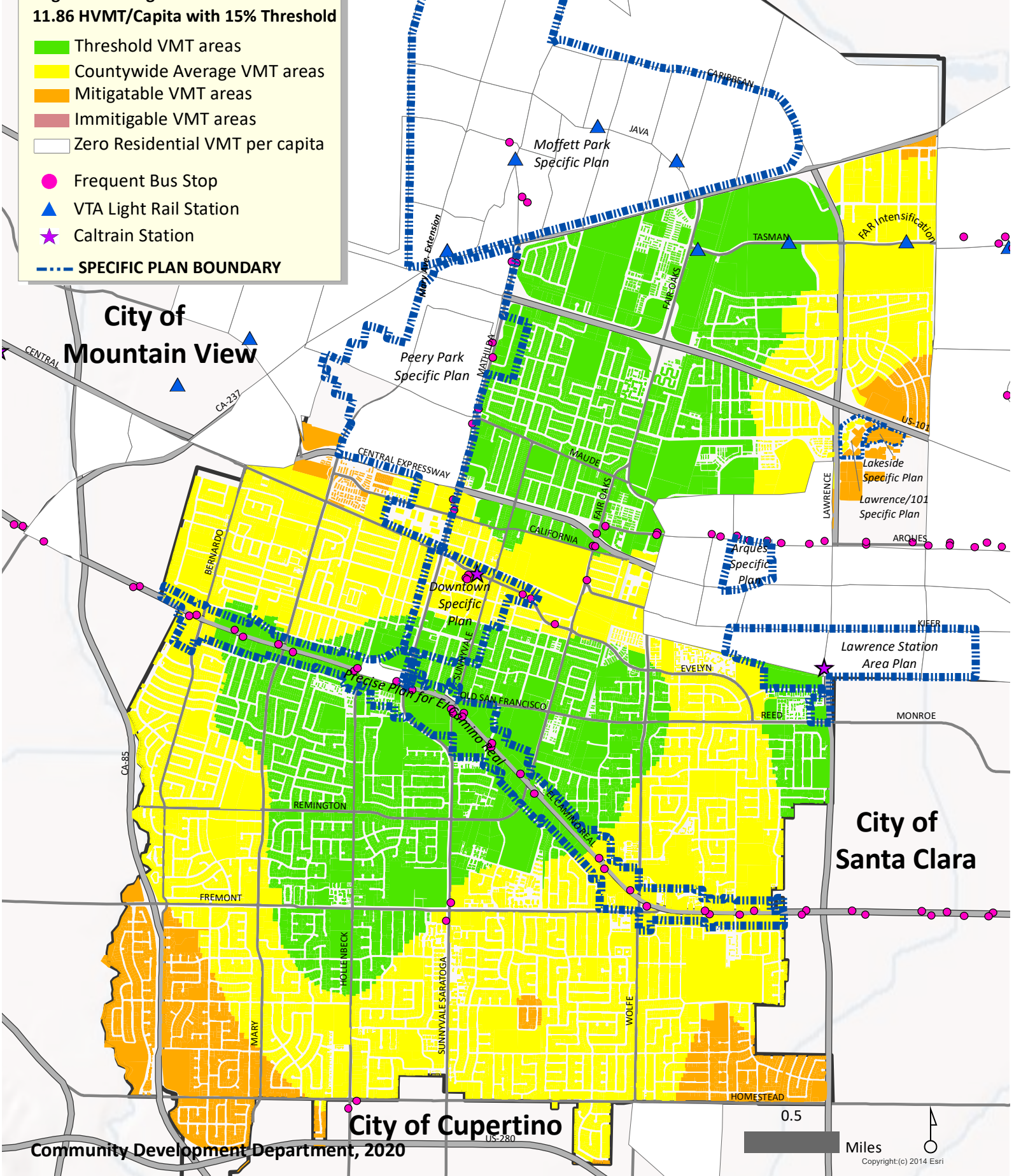
Regional Average of  
11.86 HVMT/Capita with 15% Threshold

- Threshold VMT areas
- Countywide Average VMT areas
- Mitigatable VMT areas
- Immitigable VMT areas
- Zero Residential VMT per capita

- Frequent Bus Stop
- ▲ VTA Light Rail Station
- ★ Caltrain Station

--- SPECIFIC PLAN BOUNDARY

Regional Average as of December 2019







# City of Sunnyvale Employment VMT Heat Map

Attachment 12

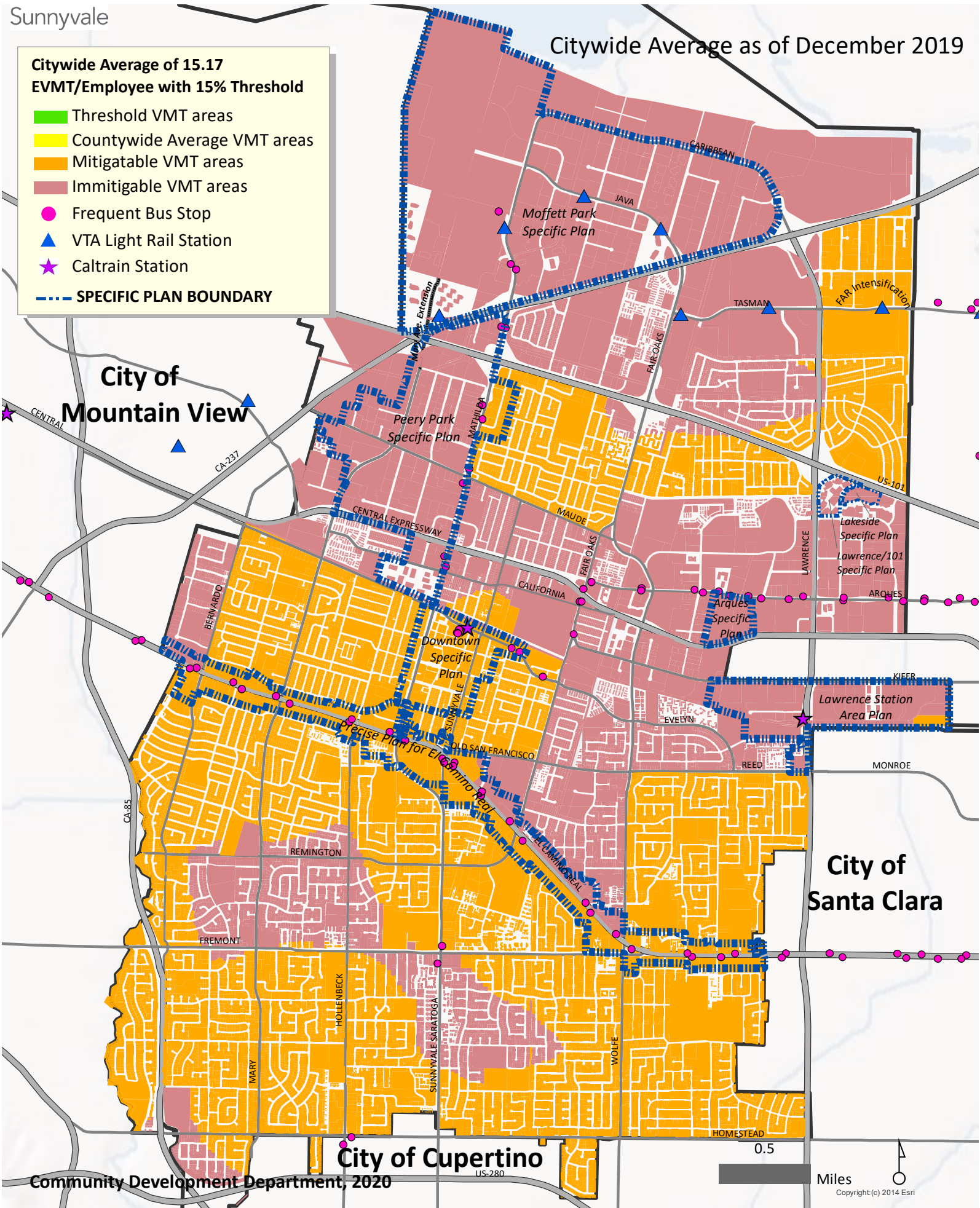
1 of 3

Sunnyvale

Citywide Average as of December 2019

Citywide Average of 15.17  
EVMT/Employee with 15% Threshold

- Threshold VMT areas
- Countywide Average VMT areas
- Mitigatable VMT areas
- Immitigable VMT areas
- Frequent Bus Stop
- VTA Light Rail Station
- Caltrain Station
- SPECIFIC PLAN BOUNDARY







# City of Sunnyvale Employment VMT Heat Map

Attachment 12

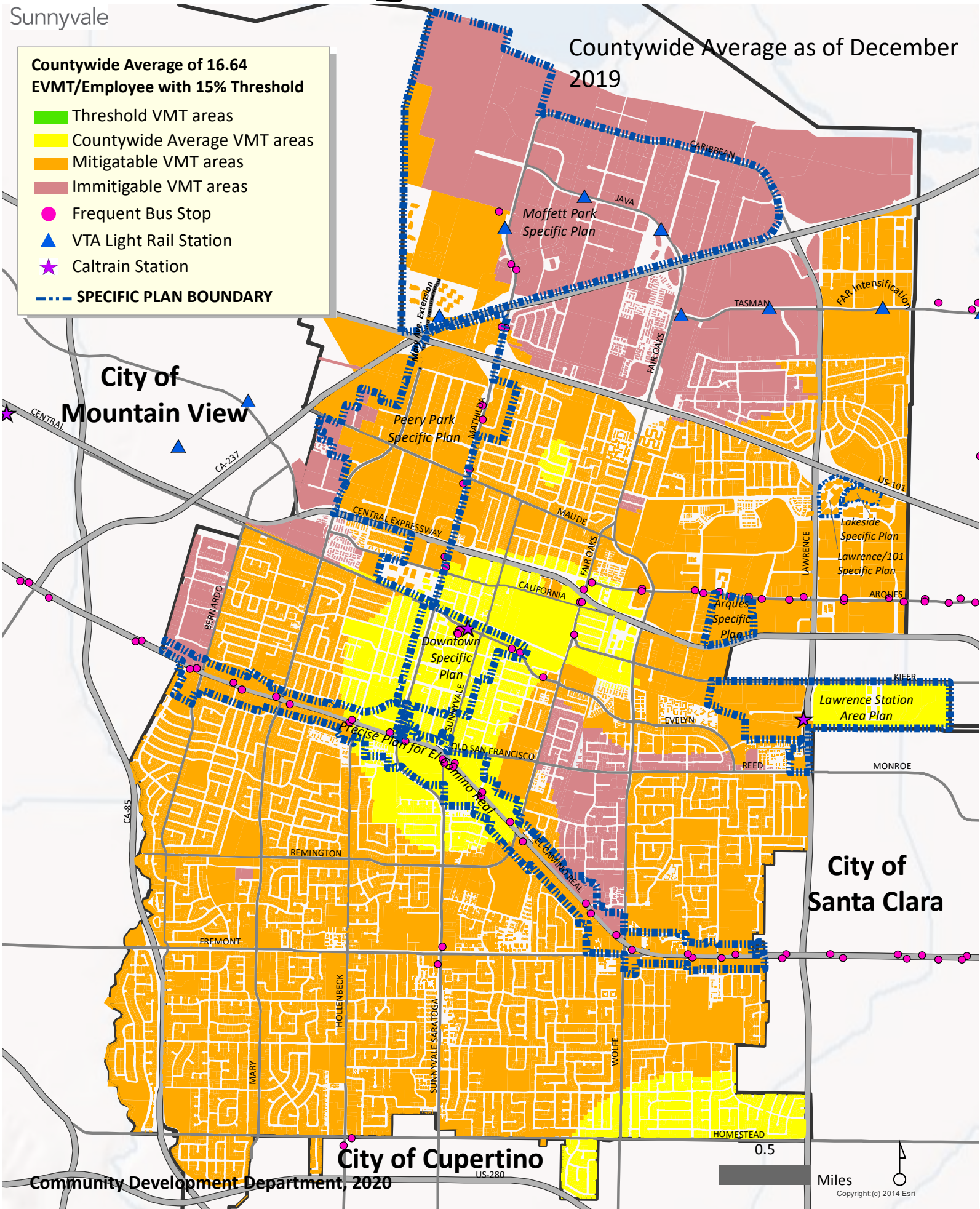
2 of 3

Sunnyvale

Countywide Average of 16.64  
EVMT/Employee with 15% Threshold

- Threshold VMT areas
- Countywide Average VMT areas
- Mitigatable VMT areas
- Immitigable VMT areas
- Frequent Bus Stop
- VTA Light Rail Station
- Caltrain Station
- SPECIFIC PLAN BOUNDARY

Countywide Average as of December  
2019





# City of Sunnyvale Employment VMT Heat Map

Attachment 12

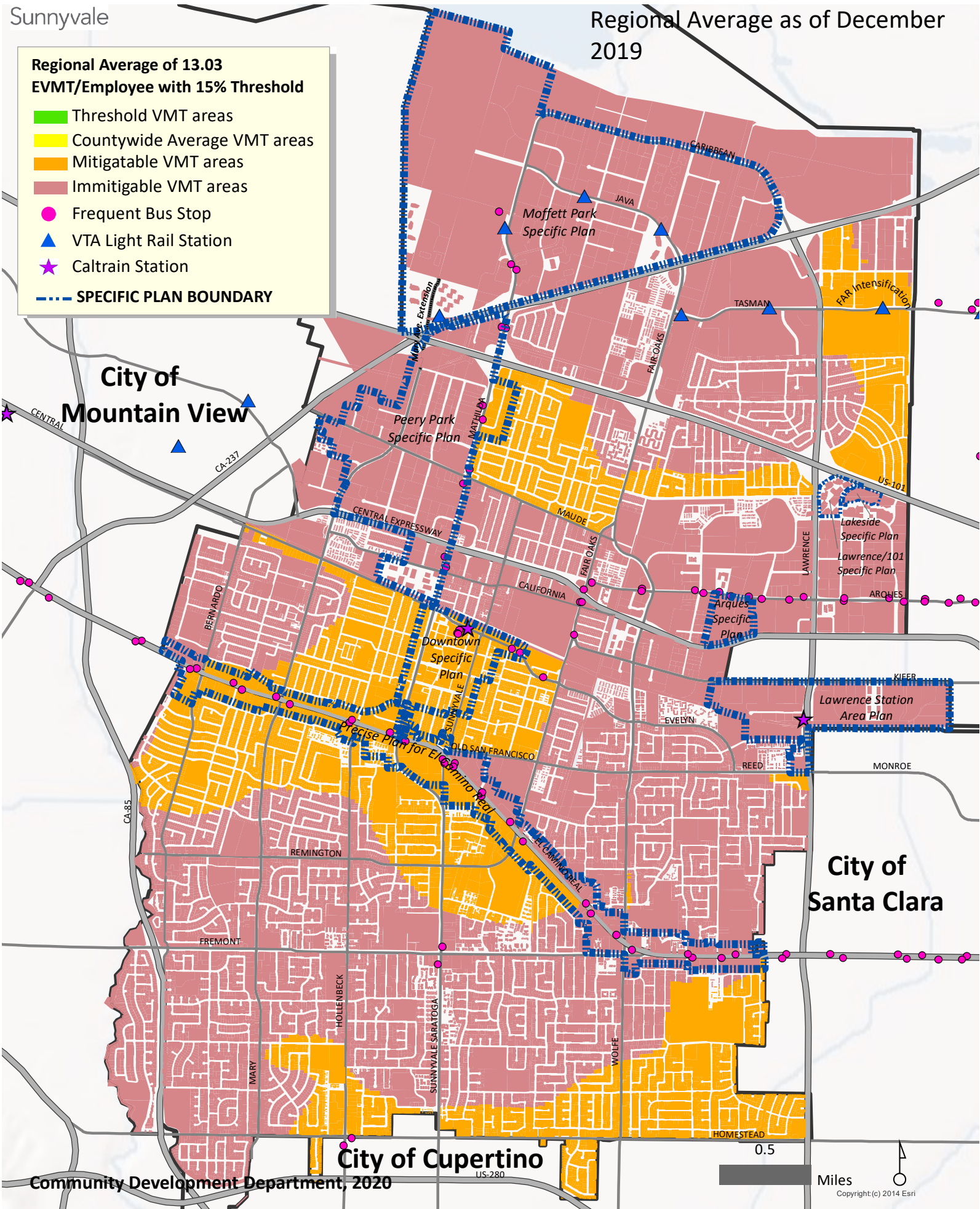
3 of 3

Sunnyvale

Regional Average as of December 2019

Regional Average of 13.03  
EVMT/Employee with 15% Threshold

- Threshold VMT areas
- Countywide Average VMT areas
- Mitigatable VMT areas
- Immitigable VMT areas
- Frequent Bus Stop
- VTA Light Rail Station
- Caltrain Station
- SPECIFIC PLAN BOUNDARY





## Project Examples for VMT Analysis

### Example 1: Calstone Mixed Use Residential

Approved project containing 741 residential units with 1,500 sf office, 1,500 sf retail, 196 bike parking and 232 vehicle parking spaces on 16.8 acres.

Baseline	Baseline VMT	Threshold	Existing conditions VMT	Existing Conditions with Project VMT	Existing Conditions with Project and TDM	Required Mitigation Measures
Citywide 15% threshold	10.34	8.79	9.73	9.7	8.69	1. Construct off-site sidewalk 2. School carpool program 3. Transit subsidy 4. Unbundled parking with \$100 monthly fee per parking space
Countywide 15% threshold	13.33	11.33	9.73	9.73	9.73	None

Although the Calstone project is located within the Lawrence Station area and would be exempt from VMT analysis under the proposed VMT Policy because it is within the ½ mile transit buffer as defined within SB 743 staff decided to run this project through the VMT Evaluation tool to show how a project's characteristics could also screen the project out of requiring further traffic analysis.

### Example 2: 1 AMD

Approved project containing 1051 residential units with 944 apartments and 107 townhomes. Of the total units there are 45 very low-income apartments and 13 below market rate townhomes.

Baseline	Baseline VMT	Threshold	Existing conditions VMT	Existing Conditions with Project VMT	Existing Conditions with Project and Required Mitigation Measures	Required Mitigation Measures
Citywide 15% threshold	10.34	8.79	11.09	9.49	8.87 (Does not meet threshold with required mitigation measures)	1. Implement bike lanes 2. Construct traffic-calming measures 3. Construct off-site sidewalk 4. School carpool program

						5. Car-share program 6. Transit Subsidy 7. Ride sharing program 8. Unbundled parking with \$100 monthly fee per parking space
Countywide 15% threshold	13.33	11.33	11.09	9.98	9.98	None
Countywide 16.8% threshold (not proposed, requested at Council study session)	13.33	11.09	11.09	9.98	9.98	None
Countywide 25% threshold (not proposed, requested at Council study session)	13.33	10.0	11.09	9.98	9.98	None

The 1 AMD project changes the site from former industrial land uses to residential land use. This change conforms to the city's general plan and provides affordable housing. With the Citywide average baseline, the project does not meet the threshold even with implementing eight mitigation measures, which would require an Environmental Impact Report and a statement of overriding considerations.

At Council's request other thresholds besides the proposed 15% reduction are included in the table above. Using the Countywide average baseline (staff recommendation), the project will meet each of the three threshold levels (15%, 16.8%, and 25%) without requiring any mitigation.

### Example 3: 300 South Mathilda Avenue Office Project

Proposed 6-story building with three levels of parking with 160,449 sf office, 8,732 sf retail, 357 parking spaces and 37 bike spaces

Baseline	Baseline VMT	Threshold	Existing conditions VMT	Existing Conditions with	Existing Conditions with Project	Required Mitigation Measures
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				Project VMT	and Required Mitigation Measures	
Countywide with 15% threshold	16.64	14.14	15.64	14.68	14.04	1. Construct off-site sidewalk 2. Install traffic calming measures 3. Install bike facilities 4. Employee parking cash out (100% of employees) 5. Telecommute and alternative work schedule
Countywide with 16.8% threshold (not proposed, requested at Council study session)	16.64	13.84	15.64	14.68	13.55	1. Construct off-site sidewalk 2. Install traffic calming measures 3. Install bike facilities 4. Subsidized transit passes (25% of employees) 5. Employee parking cash out (25% of employees) 6. Telecommute and alternative work schedule (25% of employees)
Countywide with 25% threshold (not proposed, requested at Council study session)	16.64	12.48	15.64	14.68	12.41	1. Construct off-site sidewalk 2. Install traffic calming measures 3. Install bike facilities 4. Subsidized transit passes (50% of employees) 5. Employee parking cash out (50% of employees) 6. Telecommute and alternative work schedule (50% of employees)

Although this project is located within the transit buffer, and would be exempt from CEQA transportation analysis under the proposed VMT Council Policy, for the purpose of measuring VMT levels, staff assumed it did not meet the criteria for transit supportive projects, and therefore, it would be required to conduct a VMT analysis. This example demonstrates the amount of mitigation needed to meet the 15%, 16.8%, and 25% thresholds. Since the Citywide, Countywide and Regional baselines are very consistent for employment projects, this example focuses on the effects of the different thresholds. For all three thresholds, mitigation is required, and the primary difference is number of required mitigations, which include different levels of Transportation Demand Management (TDM) participation. The VMT analysis calculates reduction based on how many employees are eligible for the TDM measure, and therefore, how many employees would reasonably participate



# City of Sunnyvale

## Meeting Minutes City Council

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Tuesday, October 8, 2019

6:00 PM

Special Meeting - Study Session  
(Audio Only)

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### Study Session - 6 PM

#### **6 P.M. SPECIAL COUNCIL MEETING (Study Session)**

##### **1 Call to Order in the West Conference Room (Open to the Public)**

Vice Mayor Melton called the meeting to order at 6:00 p.m.

##### **2 Roll Call**

Present:

Mayor Larry Klein

Vice Mayor Russ Melton

Councilmember Gustav Larsson

Councilmember Nancy Smith

Councilmember Michael S. Goldman

Councilmember Mason Fong

##### **3 Public Comment**

Vice Mayor Melton announced Council will hear agenda item 3- Public Comment after agenda item 4- Study Session.

##### **4 Study Session**

[19-0969](#)

Level of Service (LOS) to Vehicle Miles Traveled (VMT)  
Transition Update

Amber Blizinski, Principal Planner, and Dennis Ng, Transportation and Traffic Manager, delivered a presentation that discussed why the City was transitioning to VMT from LOS for the analyzation of traffic under the California Environmental Quality Act (CEQA), how the City is collaborating with other jurisdictions in the County on these efforts, and what the next steps will look like before the final adoption of thresholds prior to the July 1, 2020 state deadline. The presentation also covered how LOS will continue to be used to evaluate congestion.

Councilmembers asked questions and made the following comments:

- How changes in transportation options, and future land development, modify VMT outputs, and how often that data is updated.
- More education is needed on VMT at the next Council Study Session.
- Information on the effect Transportation Demand Management has on VMT outputs.
- VMT is pollution reduction based, how do electric vehicles affect that output?
- Desire to continue to use LOS in addition to VMT.
- VMT 101 needed for public outreach component.
- Concern over what effects VMT analysis may have on the community.
- Interest in further understanding of the potential to streamline projects through CEQA.
- Desire to understand what other jurisdictions (San Jose) have learned from implementing VMT analysis.
- More information on how the model/spreadsheet will work to output project VMT.
- Concerns over potential lack of sophistication with the technical tools
- Concern over how thresholds should be set.

### **3 Public Comment**

Members of the public made the following comments:

- VMT analysis should always be estimated using the latest data and tech tools.
- VMT assumptions should continue to evolve over time.
- LOS promotes road capacity, which is less of a priority, VMT may result in better development and multi-modal upgrades.
- How is the City's bicycle network integrated into VMT analysis?

### **5 Adjourn Special Meeting**

Vice Mayor Melton adjourned the meeting at 6:54 p.m.

4. [20-0475](#) Forward a Recommendation to the City Council to Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis, and Find that the Action is Exempt from CEQA

Principal Planner Amber Blizinski and Transportation and Traffic Manager Dennis Ng presented the staff report.

Commissioner Harrison asked why Los Altos, San Jose and Mountain View chose different baselines. Vehicle Miles Traveled (VMT) Specialist Karen Mack answered that San Jose sought to encourage more job growth over residential development when it established its citywide residential baseline. Principal Planner Blizinski added that the recommended countywide baseline for Sunnyvale is more aligned with the goals of the City's General Plan and Climate Action Playbook which focuses on more residential growth as is evidenced when looking at the heat maps. Commissioner Harrison also asked how a project can promote multi-modal transportation. Principal Planner Blizinski and Transportation and Traffic Manager Ng responded that it can be accomplished by actions such as completing bike lane connections, contributing towards bicycle and pedestrian infrastructure and working with the Santa Clara Valley Transportation Authority on transit improvements including adding and enhancing transit stops near the project.



Vice Chair Simons asked if unbundling parking is a cost to the City using the citywide baseline. Principal Planner Blizinski stated that the mitigation measures listed in the presentation's project examples are part of the estimation tool to demonstrate how VMT is reduced and that staff would choose appropriate mitigation measures for each individual project. VMT Specialist Mack clarified that unbundled parking is a cost to the residential renter or owner and not the City. Vice Chair Simons and Principal Planner Blizinski discussed how attitudes might have changed over time towards unbundled parking and that it might be a tool to consider with residential development as it has been shown to reduce VMT.

Vice Chair Simons opened the Public Hearing.

There were no public speakers for this agenda item.

Vice Chair Simons closed the Public Hearing.

MOTION: Commissioner Harrison moved and Commissioner Weiss seconded the motion for Alternative 1 - Forward a Recommendation to the City Council to Adopt a Resolution Establishing Vehicle Miles Traveled (VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis, and Find that the Action is Exempt from CEQA.

Commissioner Harrison commended staff for thoroughly evaluating the policy and thanked staff for clearly presenting the concept. She acknowledged the need to adopt VMT as the analysis tool, recognized the 15% threshold recommendation, understood the purpose of continuing to compare using the Level of Service model, and agreed with the decision to designate Sunnyvale as a countywide entity.

Commissioner Weiss agreed with Commissioner Harrison's comments and stated that the VMT model is attainable given the goals of the State, the City's Climate Action Playbook, and residential and commercial projects. She thanked staff for making the concept understandable.

Commissioner Olevson thanked staff for the work on the policy and stated that he will not support the motion. He commented that he believes the shift would take more authority away from the City and represents regional needs and not Sunnyvale's needs. He stated his intention to abstain from voting to avoid

disparaging staff's work.

Vice Chair Simons stated that he will not support the motion. He remarked that the citywide baseline involves unbundling parking which lowers the cost of housing and reduces VMT and that he would be in favor of this option if it helps the City better plan.

The motion failed by the following vote:

**Yes:** 3 - Commissioner Howe  
Commissioner Harrison  
Commissioner Weiss

**No:** 1 - Vice Chair Simons

**Absent:** 1 - Chair Howard

**Abstained:** 2 - Commissioner Olevson  
Commissioner Rheaume

Assistant Director Andrew Miner asked Vice Chair Simons if he is comfortable supporting the countywide baseline with a recommendation that unbundled parking is allowed as a mitigation measure for future residential projects. Vice Chair Simons responded that he views the citywide baseline for residential as more beneficial overall. Principal Planner Blizinski stated that using the citywide baseline makes it more difficult for residential development to be built as heavier mitigation requirements can place a heavier burden on residential developers. VMT Specialist Mack added that unbundling parking is a mitigation measure option included in the countywide baseline also and that it can be an effective mitigation measure anywhere in the city. Principal Planner Blizinski further remarked that it is possible to add a recommendation that the City Council consider allowing residential developers to propose unbundled parking as a part of future development applications.

The Commissioners agreed by general consensus to begin an Informal Consideration discussion period. They informally discussed the project among themselves and with staff, and by general consensus agreed to end the Informal Consideration period.

MOTION: Vice Chair Simons moved and Commissioner Harrison seconded the motion for Alternative 2 - Adopt a Resolution Establishing Vehicle Miles Traveled

(VMT) as the Threshold of Significance for Analysis under the California Environmental Quality Act (CEQA), Adopt a Council Policy for Transportation Impact Analysis with Modifications, and Find that the Action is Exempt from CEQA. The modification is as follows:

1. Recommend that the City Council consider allowing residential developers to propose unbundled parking as a part of future development projects as it has been shown to reduce VMT.

The motion carried by the following vote:

**Yes:** 4 - Commissioner Harrison  
Commissioner Rheaume  
Vice Chair Simons  
Commissioner Weiss

**No:** 1 - Commissioner Howe

**Absent:** 1 - Chair Howard

**Abstained:** 1 - Commissioner Olevson

Assistant Director Miner stated that this recommendation will be forwarded to the City Council for consideration at the meeting on Tuesday, June 30, 2020.



June 22, 2020

Mayor Larry Klein  
Sunnyvale City Hall  
456 W. Olive Ave  
Sunnyvale, CA 94086

Subject: Policy Implementing Senate Bill 743 (SB 743) and the Use of Vehicle Miles Traveled (VMT) in Transportation Analysis

Dear Mayor Larry Klein:

On behalf of the Santa Clara Valley Transportation Authority (VTA), I am writing to express VTA's support for the proposed policy to implement SB 743 that the Sunnyvale City Council will be considering this month.

VTA has worked with its Member Agencies (the 15 cities/towns of Santa Clara County, as well as the County of Santa Clara) extensively over the past several years to prepare for the implementation of SB 743. These efforts have included information-sharing through a countywide working group of agency staff; generation of base VMT estimates across Santa Clara County from the VTA travel demand model; and development of a Santa Clara Countywide VMT Evaluation Tool for Member Agencies to use when evaluating VMT generated by land development projects. Sunnyvale staff has been actively involved in all efforts.

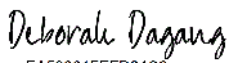
More broadly, VTA will continue to work with the City of Sunnyvale and all its Member Agencies to provide mobility solutions that help implement SB 743 and reduce VMT. Transit will be an important part of this equation, and VTA is planning to incrementally restore service which has been impacted by the COVID-19 pandemic, as operating revenues allow and passenger demand returns. Telecommuting and Transportation Demand Management (TDM) measures will be another important part of the solution, and VTA will continue to work with public and private sector partners to support such initiatives. VTA will also continue to fund bicycle and pedestrian improvements, Caltrain grade separations and other targeted infrastructure investments that provide multimodal transportation options, support lower-VMT development, and create more sustainable, equitable, and economically vibrant communities.

The City proposed policy also aligns with many VTA goals, such as promoting more focused, mixed-used development near transit, facilitating the development of multimodal transportation networks, and supporting the reduction of Greenhouse Gas emissions. VTA encourages the Sunnyvale City Council to adopt this policy and looks forward to continuing to partner with the City on its implementation.

Thank you for the opportunity to provide these comments on the City's proposed policy.

City of Sunnyvale  
June 22, 2020  
Page 2 of 2

Sincerely,

DocuSigned by:  
  
EA59081FEFD24C2...

Deborah Dagang  
Director of Planning & Programming

cc: City of Sunnyvale: Amber Blizinski, Lillian Tsang, Karen Mack  
VTA: Scott Haywood, Jim Lawson, Aaron Quigley



# City of Sunnyvale

## Agenda Item

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20-0633

Agenda Date: 6/30/2020

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### REPORT TO COUNCIL

#### **SUBJECT**

Approve a Temporary Eastbound Tasman Drive Lane Closure During COVID-19 to Create a Temporary Pathway, and Approve Budget Modification No. 30 in the amount of \$30,000 and Finding of California Environmental Quality Act (CEQA) Categorical Exemption

#### **BACKGROUND**

Tasman Drive between Fair Oaks Avenue and Lawrence Expressway is a four-lane commercial/industrial collector, with a light rail line dividing the eastbound and westbound traffic. Sidewalk is present on the south side of the roadway; however, a gap in sidewalks approximately 1600 feet in length exists between about 800 feet east of Tasman Court (opposite the West Entrance to Casa De Amigos) and Vienna Drive. There is currently no existing bicycle facility on Tasman Drive. The Santa Clara County Valley Transportation Authority (VTA) operates a light rail line along the Tasman Drive corridor that connects Mountain View, Sunnyvale, Santa Clara, and San Jose.

When the Tasman Light Rail Line was extended into Sunnyvale to its current terminus in Mountain View in the late 1990's, there was insufficient width along the Tasman corridor to install complete sidewalks and bicycle lanes without purchasing and demolishing existing mobile homes that back onto Tasman Drive and removal of all mature trees for long segments. Today's roadway configuration reflects the compromise, with large gaps in the sidewalk along both sides of Tasman Drive and lack of bicycle facilities.

#### **EXISTING POLICY**

**General Plan, Chapter 4, *Community Character*:**

Policy CC-1.6 Maintain City neighborhoods as safe, healthy places to live

Policy CC-1.7 Encourage Neighborhood Patterns that Encourage Social Interaction and Avoid Isolation

Goal CC-12 Maximum access to recreation services, facilities and amenities

Pursuant to Sunnyvale Charter Section 1305, at any meeting after the adoption of the budget, the City Council may amend or supplement the budget by motion adopted by affirmative votes of at least four members so as to authorize the transfer of unused balances appropriated for one purpose to another, or to appropriate available revenue not included in the budget.

#### **ENVIRONMENTAL REVIEW**

The temporary removal of one eastbound travel lane and the creation of a temporary pathway is categorically exempt from the California Environmental Quality Act (CEQA) pursuant to the CEQA

Guidelines Section 15301(c), for minor alterations of existing highways and streets that do not create additional automobile lanes and involving negligible or no expansion of existing or former use.

### **DISCUSSION**

During the current Coronavirus (COVID-19) pandemic, the County of Santa Clara Health Department has issued a Public Health Order to direct all individuals in the county to temporarily shelter in place as of March 16, 2020. However, the County encourages residents to engage in outdoor recreation activities as necessary, including, by way of example and without limitation, walking, hiking, bicycling, and running, in compliance with six-foot social distancing requirements. In addition, traffic on Tasman Drive has dramatically reduced while residents are sheltering in place and only out for essential business.

Mayor Klein requested that staff investigate how to temporarily close a travel lane on Tasman Drive to provide more outdoor space for residents to walk, bike and run along the Tasman Drive corridor, and to provide social distancing while being outdoors. The City has also received similar requests from residents to close travel lanes on Tasman Drive and to provide bicyclists and pedestrians additional space to travel along the Tasman Drive corridor during the COVID-19 pandemic.

After evaluating the existing pedestrian facility on Tasman Drive, as well as the current traffic volumes on Tasman Drive, staff concluded that a temporarily closure of the curb lane on eastbound Tasman Drive between Tasman Court and Vienna Drive was feasible and should increase pedestrian safety. Vienna Drive has a traffic signal, allowing residents to cross Tasman from north to south. There is an existing sidewalk on the south side of Tasman Drive between Fair Oaks Avenue to 800 feet east of Tasman Court; and between Vienna Drive and Lawrence Expressway. By closing a lane in the eastbound direction between Tasman Court and Vienna Drive, a temporary pathway, primarily for pedestrians, would be provided connecting the gap in the existing sidewalk on Tasman Drive. The temporary pathway would consist of installation of delineators to provide a physical separation from the vehicles traveling eastbound on Tasman Drive.

As part of the implementation, additional temporary traffic control devices and signage would be installed to provide guidance for drivers and other road users to safely travel along the Tasman Drive corridor.

This temporary closure of one travel lane in the eastbound direction has not been analyzed against non-COVID-19 Pandemic transportation conditions for transportation impacts and will need to be removed once the County's Public Health Order is further relaxed and transportation travel patterns start to readjust and establish themselves again.

### **FISCAL IMPACT**

The cost to implement the Tasman Drive Temporary Lane Closure project, which includes the installation of delineators, other temporary traffic control devices and the required signages to temporarily close a travel lane, and the maintenance of the temporary pathway for up to a 10-month period is estimated to be \$30,000. Mayor Klein suggested the Tasman Drive Temporary Lane Closure project be funded with Council Service Level Set Aside, which has a current balance of \$70,000. The Council Service Level Set Aside is an annual \$100,000 appropriation for Council's use at its discretion for unplanned projects, services, or other initiatives that come up over the course of the fiscal year.

Budget Modification No. 30 has been prepared to appropriate Council Set Aside funds in the amount of \$30,000 to fund the project.

**Budget Modification No. 30  
FY 2019/20**

	<b>Current</b>	<b>Increase/ (Decrease)</b>	<b>Revised</b>
<b>General Fund</b>			
<u>Expenditures</u>			
New Project: Tasman Drive Temporary Lane Closure	\$0	\$30,000	\$30,000
 <u>Project</u>			
Council Set Aside	\$70,000	(\$30,000)	\$40,000

**PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

**ALTERNATIVES**

1. Approve a Temporary Eastbound Tasman Drive Lane Closure During COVID-19, to Create a Temporary Pathway, and Approve Budget Modification No. 30 in the amount of \$30,000 and make a finding of CEQA Categorical Exemption pursuant to Guidelines section 15301(c).
2. Do not approve a Temporary Eastbound Tasman Drive Lane Closure During COVID-19.

**STAFF RECOMMENDATION**

During the COVID-19 pandemic, with the reduction in traffic on Tasman Drive, this pathway would provide additional space for the public to perform outdoor activities without impacting traffic congestion. As the funding source is the Council set aside, staff is not providing a specific recommendation related to temporarily close one eastbound travel lane on Tasman Drive and to install delineators to create a temporary pathway, primarily for pedestrians.

Prepared by: Dennis Ng, Transportation and Traffic Manager

Reviewed by: Tim Kirby, Director of Finance

Reviewed by: Chip Taylor, Director, Public Works

Reviewed by: Teri Silva, Assistant City Manager

Approved by: Kent Steffens, City Manager

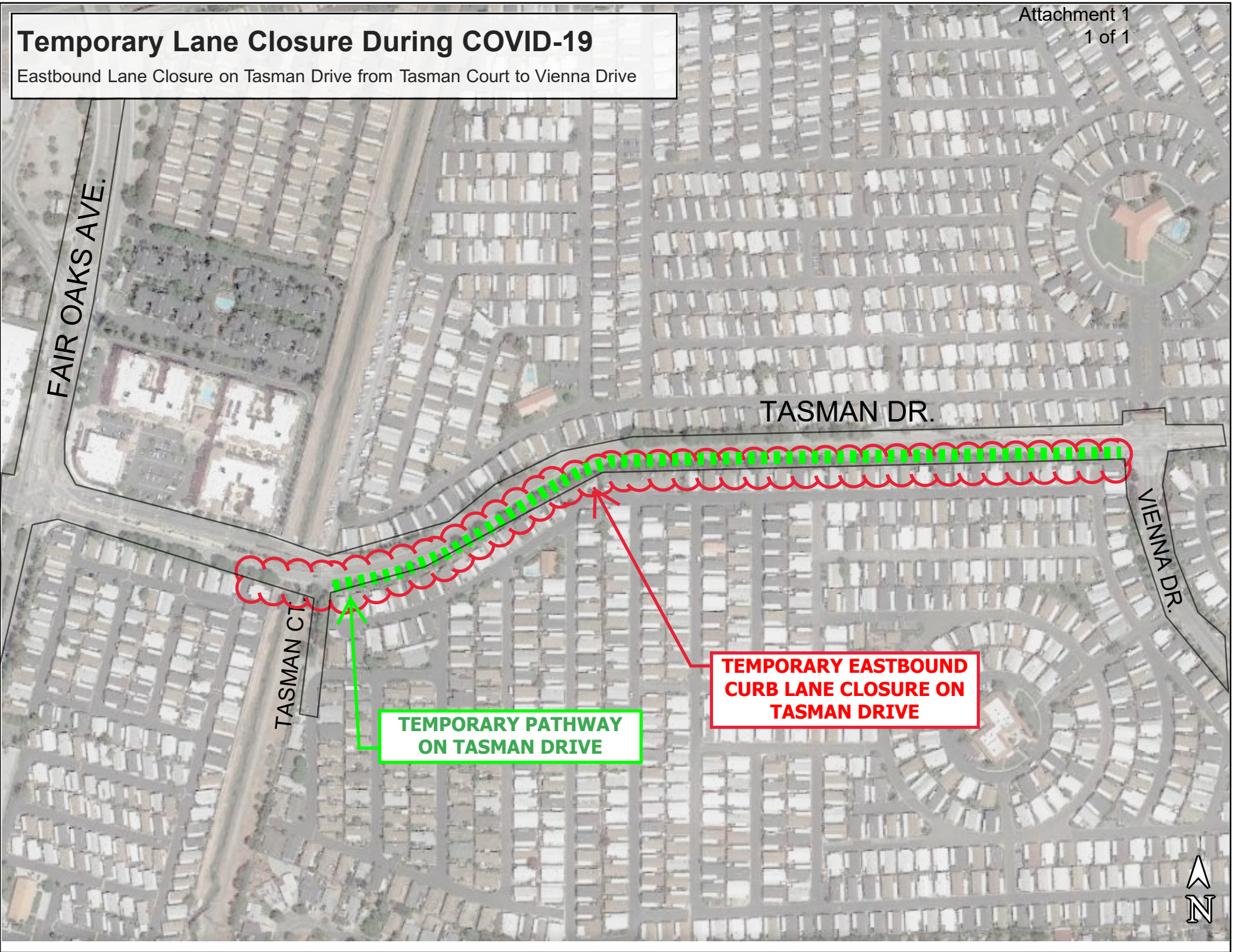
**ATTACHMENTS**

1. Map of Project Limits



# Temporary Lane Closure During COVID-19

Eastbound Lane Closure on Tasman Drive from Tasman Court to Vienna Drive



**TEMPORARY EASTBOUND  
CURB LANE CLOSURE ON  
TASMAN DRIVE**

**TEMPORARY PATHWAY  
ON TASMAN DRIVE**



# City of Sunnyvale

## Agenda Item

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**20-0046**

**Agenda Date: 6/30/2020**

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### **REPORT TO COUNCIL**

#### **SUBJECT**

Receive the Results of Public Outreach in Connection with the Study Issue to Evaluate Options for Revisions to the Sunnyvale Business License Tax (FIN 19-01); Discussion and Provide Direction Regarding a Potential Ballot Measure for the November 3, 2020 Election to Increase the Business License Tax by Removing the Employee and Rental Unit Caps on the Business License Tax

#### **BACKGROUND**

In March 2019, City Council sponsored a study issue to evaluate options to revise the City's Business License Tax (FIN 19-01). The Business License Tax was first established in 1968, and the last major update was approved by voters in 2005. The current structure is based on the number of employees (including the owner) operating in Sunnyvale. A business with one employee (meaning only the owner is operating the business, there are no other employees) is taxed at \$38.89 for the 2020 tax year. Businesses with two to five employees are taxed at \$66.52. The tax amount increases progressively every five employees thereafter, with a maximum tax of \$12,638.80 for businesses with 946 or more employees.

Additionally, businesses that provide three or more separate living or office units for rent pay the tax based on the number of rental units or the number of employees, whichever is greater. Rental properties with fewer than three units are not required to obtain a business license. The tax rates for rental properties are the same as for other businesses, but there is a lower maximum tax rate of \$5,654.20 for properties with 421 or more rental units. The tax rates for the businesses and rental offices adjust each year based on the San Jose/San Francisco/Oakland Consumer Price Index.

As part of a longer term look at revenues to the General Fund, which started with Utility Users Tax and more recently resulted in an increase to Transient Occupancy Tax, staff contracted with HdL Companies (HdL) to analyze Sunnyvale's business license tax and provide recommendations for potential modifications to the Municipal Code. HdL evaluated the business tax of 16 different communities in the Sunnyvale trade area and conducted a thorough review of Sunnyvale's Municipal Code (Attachment 1). Their analysis resulted in five potential options for a restructure of Sunnyvale's business license tax as follows:

- Model 1: Existing Categories with Simple Increases, remove the tax cap
- Model 2: Unified Employee and Unit Tax Rate
- Model 3: Classification based rates - per employee rates that are based on business types (e.g. General/Retail, Service, etc.)
- Model 4: Increasing rate based on business size, remove the tax cap, flat \$25 per unit for rental properties
- Gross Receipts Model: Bases the tax on gross receipts of the business or rental property.



Staff evaluated the options, simplified the consultant recommendations, and presented a refined list of four options to the City Council at the Council's February Strategic Session. They were:

- Make no change
- Model 1: Increase rates to market, remove the cap
- Model 2: Rate of \$20 per employee or rental unit, remove the cap
- Model 3: Rate of \$25 per employee or unit, remove the cap
- Model 4: Sliding scale based on business size
- Gross Receipts Model: Bases the tax on gross receipts of the business or rental property

Council refined the options to the first four models, eliminating the Gross Receipts Model and directed staff to begin outreach. After one outreach meeting was completed, the COVID-19 Shelter in Place orders were released. Staff returned to Council on April 14, 2020 and Council directed staff to move forward with a revised Model 1.

Revised Model 1: Remove only the cap.

Council's direction will result in the tax being paid on the total number of employees that an employer has in the City or rental units owned. The removal of the cap on the total number of employees will impact only large employers. Over the subsequent time period, staff completed direct outreach on removal of the cap from the Business License Tax.

### **EXISTING POLICY**

**Council Policy, Chapter 7, *Planning and Management*, Policy B.1.1** - The City will maintain a diversified and stable revenue base, not overly dependent on any land use or external funding source.

**Council Policy, Chapter 7, *Planning and Management*, Policy B.1.4** - When considering a new tax or revenue source or an increase in an existing tax or revenue source, the following criteria should be considered:

- Community/Voter Acceptance
- Competitiveness with surrounding communities
- Efficiency of revenue collection and enforcement
- Effectiveness in generating sufficient revenues in the short and long-term to justify its establishment
- Enhancement of revenue diversity to promote stability and provide protection from downturns in business cycles
- Equity/Fairness in distribution of the revenue burden on various segments of the community

### **ENVIRONMENTAL REVIEW**

This action is exempt from review under the California Environmental Act (CEQA) in that it involves fiscal and administrative activities that will not result in direct or indirect changes to the environment, and which do not commit the City to any specific project that may result in a potentially significant impact on the environment. (CEQA Guidelines, Section 15378(b)(4) and (b)(5).)

**DISCUSSION**

At Council's direction, staff conducted direct outreach to companies and owners of rental units on a single option to remove the tax cap. As this change would only affect a small number of taxpayers (fifteen businesses and nine multi-family businesses) staff conducted direct outreach. A call was held with all fifteen businesses and attempts were made to contact all apartments, with four out of nine responding.

The conversations were positive and almost all respondents appreciated the direct outreach to describe the impact. Feedback was neutral to negative, with all respondents indicating they were generally in opposition to anything that would increase the cost of doing business, especially in light of the unknown impacts that COVID19 will have on the business community. The representatives did state a general understanding of the issue of equity between large and small business. However, respondents did express that there are other ways in which larger business contribute to the community through increased economic activity positively impacting sales tax, and purchasing or improving properties, positively impacting property tax. Several businesses asked for clarification regarding whether remote workers are counted. The City's interpretation of how the tax is applied to the number of employees is to count the highest number of employees in the City in a single 24-hour period. Lastly, businesses expressed that with the current economic uncertainty and recession, now is not the time to be increasing taxes.

The rental properties that were engaged had similar responses, understood the equity issue between large and small properties, but expressed anything that puts potential upward pressure on rents or leases could impact Sunnyvale housing costs negatively. Also expressed was a concern that the properties are not receiving rent payments during the pandemic and are having difficulty finding tenants during this time as well.

After evaluation and consideration of the businesses' input, staff is recommending modifying the tax structure to remove the cap, resolving the inequality of the per employee/per unit tax between large and small business and rental properties. As this is a tax voter approval is required to increase the tax. Staff is recommending that Council direct staff to return in July with an action to place a measure on the November 2020 ballot to remove the cap. Staff is also proposing minor clean-up or clarification of language in the ordinance that will not affect the amount of the tax. The study also recommended some revisions to the City's ordinance. These proposed revisions will be evaluated no later than 2022 as they are not critical, and many may not require voter approval as they don't affect the amount of the tax.

**Draft Ballot Questions**

Staff has prepared a draft ballot question for consideration by Council. The language captures the removal of the cap for both employee count and rental unit count, as well as other clean up language. The proposed language is as follows:

Shall an ordinance be adopted amending Chapter 5.04 of the Municipal Code to eliminate the cap on the number of employees and rental units so the tax is paid on the total number of employees or rental units owned, generating approximately \$400,000 annually for unrestricted general revenue purposes such as libraries, street repair and other vital City services, until ended by voters; and changing the definitions of business, employee and person for administrative clarity?

Staff is seeking feedback or changes from Council should a decision be made to move forward per staff's recommendation.

A draft of proposed amendments to Sunnyvale Municipal Code Chapter 5.04 is attached (Attachment 2) for Council's review and discussion.

### **FISCAL IMPACT**

Business License Tax revenue goes to the General Fund where it is used to fund all services in the General Fund. The impact of removing the cap on businesses and apartments is approximately \$400,000 per year, with approximately \$370,000 from businesses and \$30,000 from multi-family properties.

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

### **ALTERNATIVES**

1. Direct staff to return with a Resolution Calling an Election to place a ballot measure for the November 3, 2020 election to increase the Business License Tax by removing the employee and rental unit caps on the Business License Tax.
2. Take no action, leaving the ordinance as it stands and closing the Study Issue.

### **STAFF RECOMMENDATION**

Alternative 1: Direct staff to Return with a Resolution Calling an Election to Place a Ballot Measure for the November 3, 2020 to Increase the Business License Tax by Removing the Employee and Rental Unit Caps on the Business License Tax.

Prepared by: Tim Kirby, Director of Finance

Reviewed by: Teri Silva, Assistant City Manager

Approved by: Kent Steffens, City Manager

### **ATTACHMENTS**

1. HdL Companies Business Tax Analysis and Ordinance Review
2. Proposed Amendments to Sunnyvale Municipal Code Chapter 5.04



Business Tax Analysis and Ordinance Review  
Report Date: June 16, 2020

**Final Version – V6.2**

Prepared By:

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# Executive Summary

## Background

For the purpose of providing locally-controlled funding for essential services, the City of Sunnyvale (City) requires that a business license be obtained by all businesses operating within the City and that a business license tax be paid. This requirement is established through Chapter 5.04 (Business License Tax) of the Sunnyvale Municipal Code (SMC). In an effort to identify methods of generating additional local funds and to garner efficiencies of process by modernizing the code, the City commissioned the HdL Companies (HdL) to prepare this report that analyzes the relevant code sections and provides certain recommendations to address the City's stated goals listed on page 4.

## Report Structure & Methodology

This report is divided into the following three sections.

### Section 1 – Pages: 5 - 9

This section details the City's current revenues and tax structures, as well as those of select comparison jurisdictions. In developing the analysis for section 1, HdL reviewed the data provided by the City and extrapolates detailed and summary level data including but not limited to:

- Year to year (YTY) revenue comparisons
- Percent change YTY for business license and sales tax
- Revenue contribution by business category
- Detailed rates charged for surrounding jurisdictions

### Section 2 - Pages: 10 - 16

This section is devoted to a review of the City's SMC sections (Chapter 5.04) related to business licensing, in order to identify potential favorable modifications the City may wish to consider implementing, considering factors including:

- Compliance with State law and City charter
- Potential conflicts with operational practices
- Areas to modernize code language
- Impact on staff efficiency
- Areas not in line with best practices of California municipalities
- Potential loopholes or revenue leaks

### Section 3 - Pages: 17 - 33

This section describes three potential changes to the tax structure and how those scenarios might impact the City and its business community. The primary factors considered include:

1. Increased fairness and equity in rates for local businesses
2. Simplification of the tax structure
3. Increased revenues to the City
4. Increased efficiency for City operations



## Section 1 - Summary & Findings

The data in section 1 shows the City has experienced relatively flat revenues from business licenses since 2014. This is primarily due to the nature of the current rate structure. The details from surrounding jurisdictions can help the City make informed decisions on rate changes while ensuring that any potential modification keeps the City competitive and does not encourage flight to neighboring jurisdictions.

## Section 2 - Summary & Findings

A review of the City's current ordinance language revealed 9 code sections that would benefit from modification or further review. The majority of the recommendations focus on reducing the regulatory burden on the business license process and creating clarity and efficiency of the process. Each section under review has been listed in its entirety along with an overview of the section and the recommended changes. The table below indicates the code sections addressed in Section 2.

<i>5.04.060 – 5.04.080. Exemptions and exclusions</i>	<i>5.04.230. License—Verification of sworn statements</i>
<i>5.04.120. License tax—Method of computing number of employees</i>	<i>5.04.240. License—Determination of tax upon failure to file statements or application— Notice</i>
<i>5.04.140. License—Application and fee</i>	<i>5.04.350. License revocation—Grounds</i>
<i>5.04.150. License—Issuance</i>	<i>5.04.410. Enforcement—Duties of collector</i>
<i>5.04.160. License—Conformance to other regulations required</i>	

## Section 3 - Summary & Findings

Three different options were explored to reach the City's goals of expanded local funds, tax equity for local businesses, and streamlined/simplified filing processes. Each of the three options for modifying the tax structure provide increased revenues to the City while striving to create an equitable outcome for the business community by not placing the burden of increased rates solely on any individual category.

**The Employee Based Option** provides solutions for keeping the City's existing employee-based tax structure. Model 1, presented on page 19, takes the City's existing SMC and rate structures and simply adds a percentage base increase to the existing rates. Additional models are provided to reflect alternative ways the City could model an employee-based tax structure.

As indicated on page 19 - 22, these employee-based models provide the following potential revenue impact.

	<b>Number of Accts</b>	<b>Current Taxes</b>	<b>Model 1 Revenue</b>	<b>Model 2 Revenue</b>	<b>Model 3 Revenue</b>	<b>Model 4 Revenue</b>
TOTALS >	13,073	\$1,769,852*	\$2,123,822	\$2,920,000	\$3,214,405	\$4,041,240

\*For the purpose of this study, the City's tax revenue was estimated and does not reflect the actual 2019 generated from business tax revenue.

**The Gross Receipts Option** has one models outlined on pages 23 - 25 which restructure the City’s current SMC and provide for a single gross receipts model rather than the current employee/unit method. This would eliminate the need for multiple types of reporting variables and simplify the tax rates by no longer maintaining a complex rate schedule.

This option represents the best solution for increasing revenues and addressing long term growth, however it also proves to be the most complex solution to implement as significant adjustments would be needed to the code. In addition to the expanded revenues, the gross receipts method provides a more equitable tax rate as all businesses pay a tax on the amount they earn, rather than a fixed amount regardless of gross receipts. The gross receipt model provides annual revenue in excess of \$5 Million depending on the final rates selected by the City.

	Current Taxes	Model 1
TOTALS>	\$1,769,852	\$5,867,325

**The Tax Expansion Option** found on page 26 provides options for expanding the tax base to business types not currently taxed by the City. This includes taxing all businesses that rent property, regardless of the type or number of units.

	Current Taxes	New Revenues
TOTALS >	\$0	\$450,000

## Introduction:

# Business License Tax Analysis and Ordinance Review

### Project Overview

The City of Sunnyvale has contracted with HdL to analyze the current ordinances and tax structures as they relate to business tax and make certain recommendations and changes to accomplish specific goals of the review.

HdL has compiled data from the City, State, County, and other 3<sup>rd</sup> party sources for use in the analysis and estimates contained within the report. As the data may have come from 3<sup>rd</sup> parties, the data cannot be certified by HdL and should be treated as estimates and not actual values.

### Specific Goals

The City has identified the following key goals that will be addressed in this report.

1. Review current ordinances for any items that require updating including business classifications, definitions, and overall modernization of current structure to promote fairness for local businesses.
2. Review the tax structure and explore the impact of modifying the rates to increase local funds.

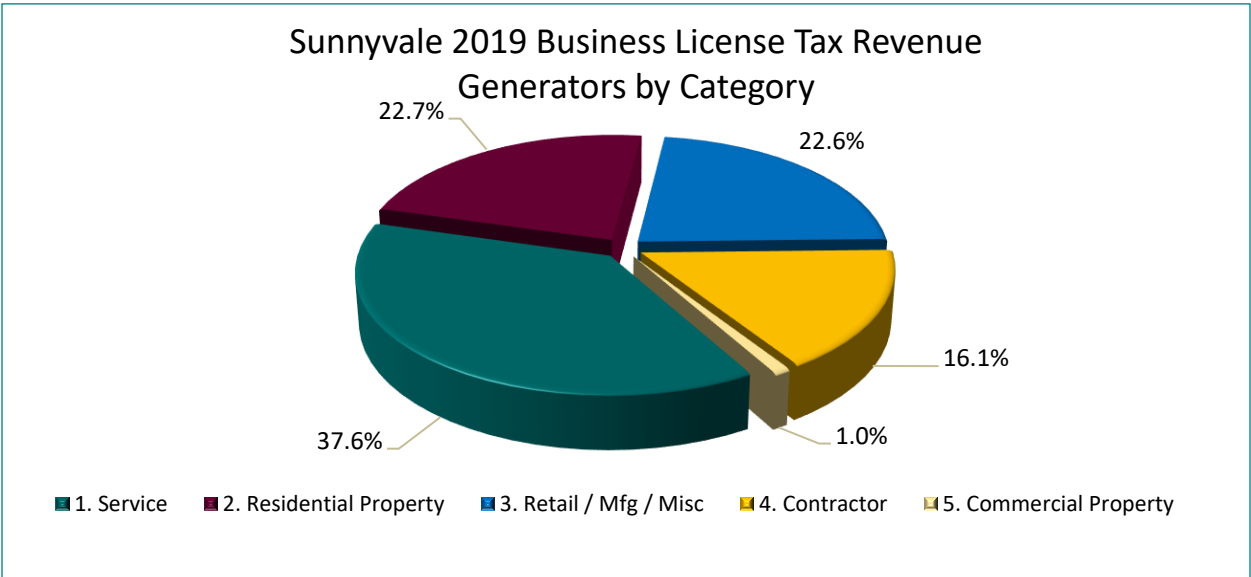
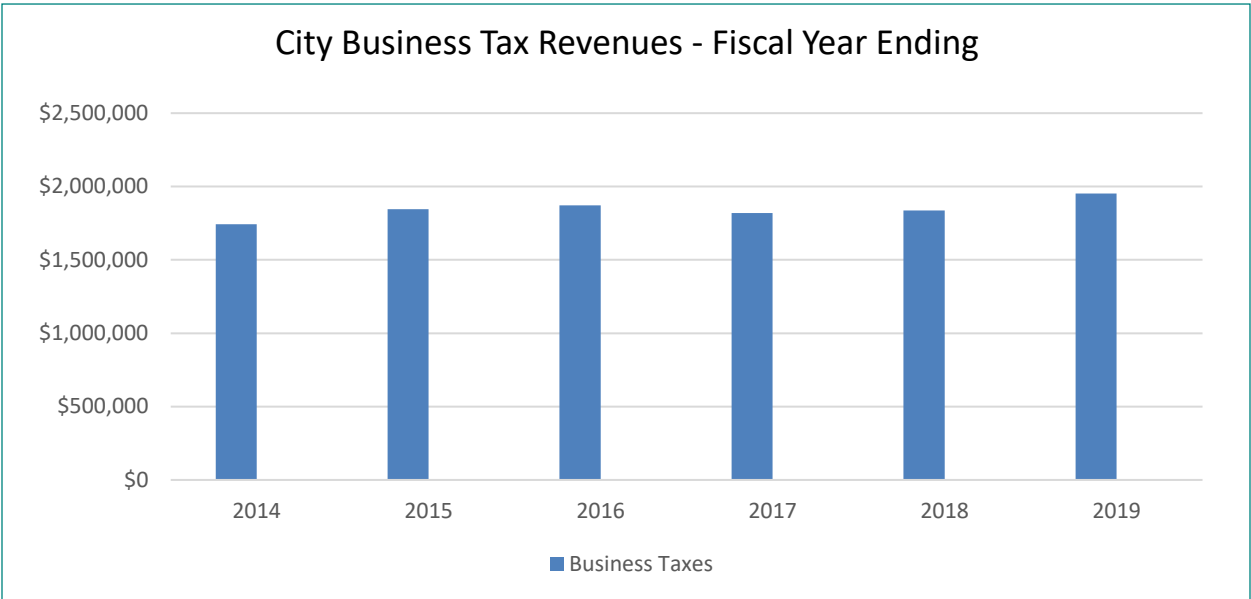
### Report Sections

The report is divided into three sections designed to simplify the review process. The first section will provide background, data analysis, and other comparative information for reference and use in recommendations and impact sections. The second section will cover the review of the current ordinance and identify potential changes that may facilitate the City's stated goals as well as enhance operations for the City. The final section will cover proposed rate modifications and the potential impact of those changes. Additional items requested by the City, and information or recommendations not covered elsewhere in the report, can be found in the additional information section at the end of this report.

# SECTION 1 – City of Sunnyvale & Comparative Jurisdiction

## City of Sunnyvale Business Tax Analysis

The City’s business tax has been authorized and is administered in accordance with Chapter 5.04 of the SMC. The last time the ordinance was updated or modified was in 2018 when an administrative update was done to reflect a change in the consumer price index. The City currently issues approximately 13,000 business licenses annually and over the last five years generated on average \$1.9 million in business license tax revenues per fiscal year. The Tax is measured by employees or units and is updated annually with Consumer Price Index (CPI) adjustments through council resolution. The current tax is levied at a minimum of \$38.89 and a maximum of \$5,654.20 for unit measures and \$12,638.80 for employee measures.



## City of Sunnyvale: Business Tax - Rate Schedule Summary

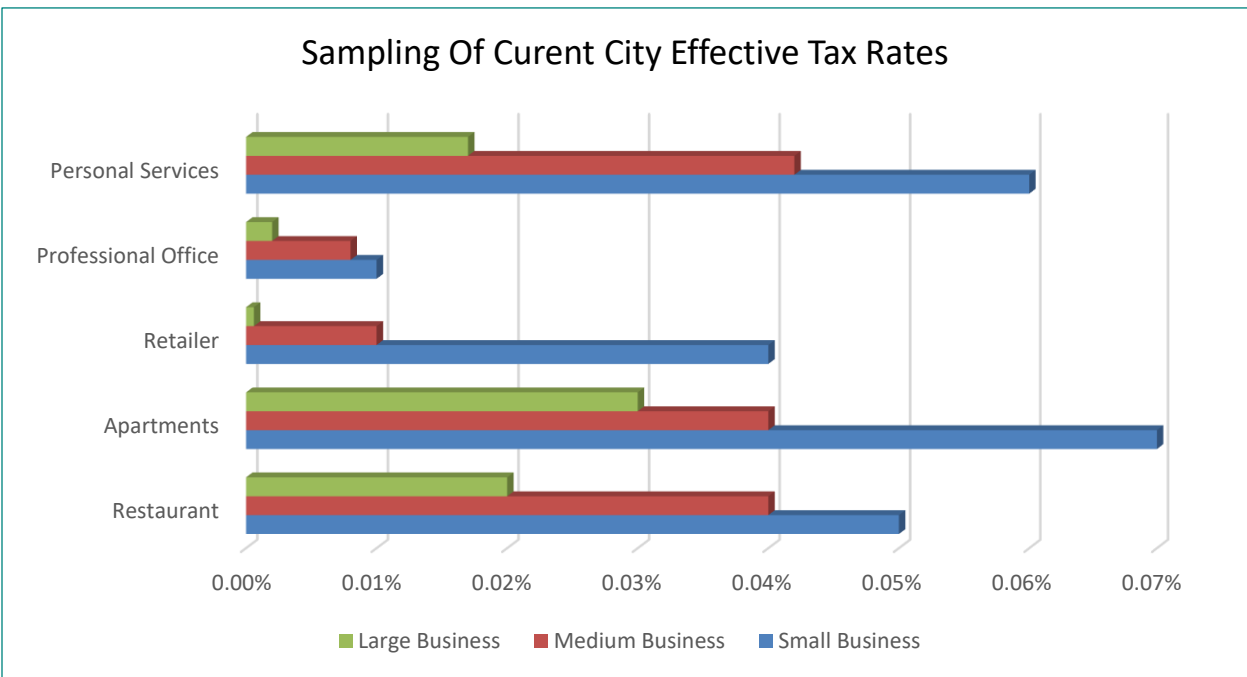
A copy of the full City business tax rate schedule is attached in the addendum section.

## City of Sunnyvale: Business Tax - Average Effective Tax Rates

### Overview

The City measures the business tax on number of employees or number of units. As with many tax structures that use employees and units, along with a scale that includes a maximum tax, the current method of taxation creates a regressive tax rate. This means the effective tax rate on a business decreases as the size of a business increases. This effect is amplified with the City’s combined maximum cap that ceases to tax activity beyond a certain point. As a result, certain businesses pay nearly ten times the effective tax rate of other businesses. Even those within the same industry can see variances of 5 or 6 times a similar business.

The Chart below uses small, medium, and large business comparisons based on the current tax structure range. Small businesses are defined as those at the bottom of the City tax schedule and paying the minimum tax. Medium are in the middle of the tax structure, and large near the upper end of the cap. Gross receipts were estimated when not available, to calculate the effective tax rates.

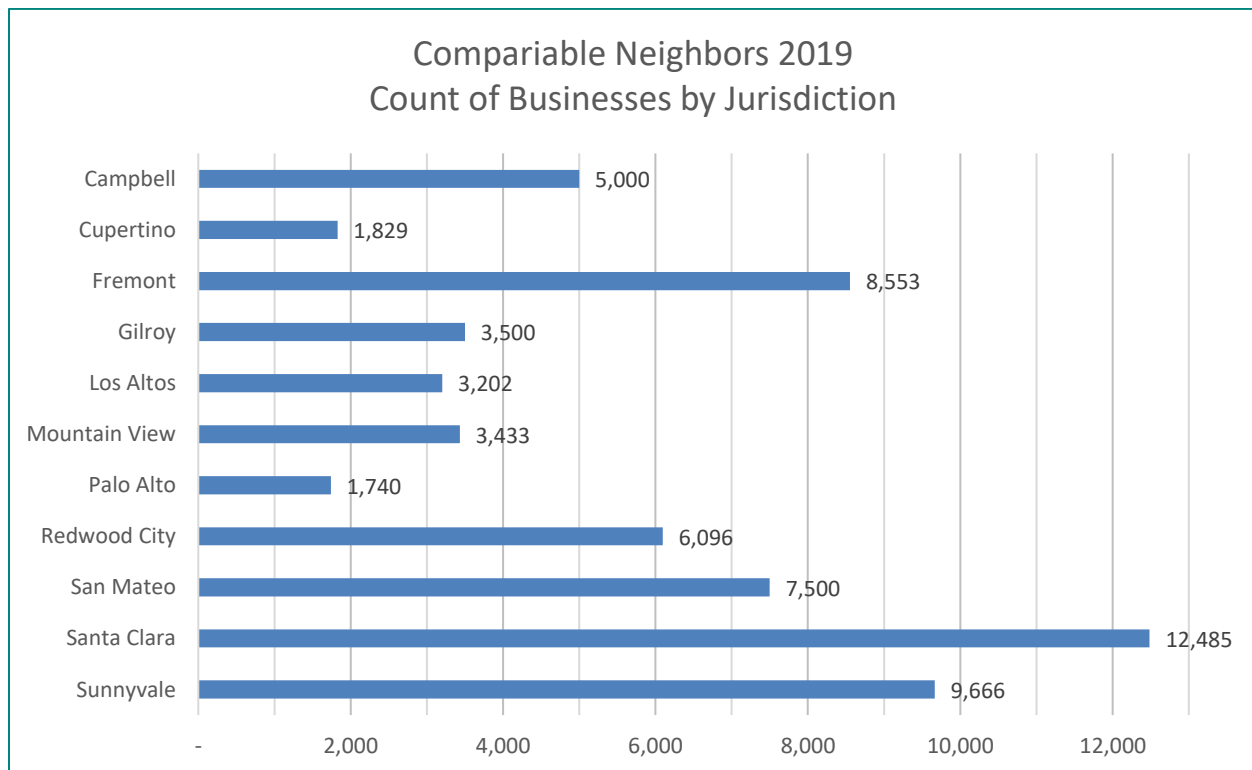
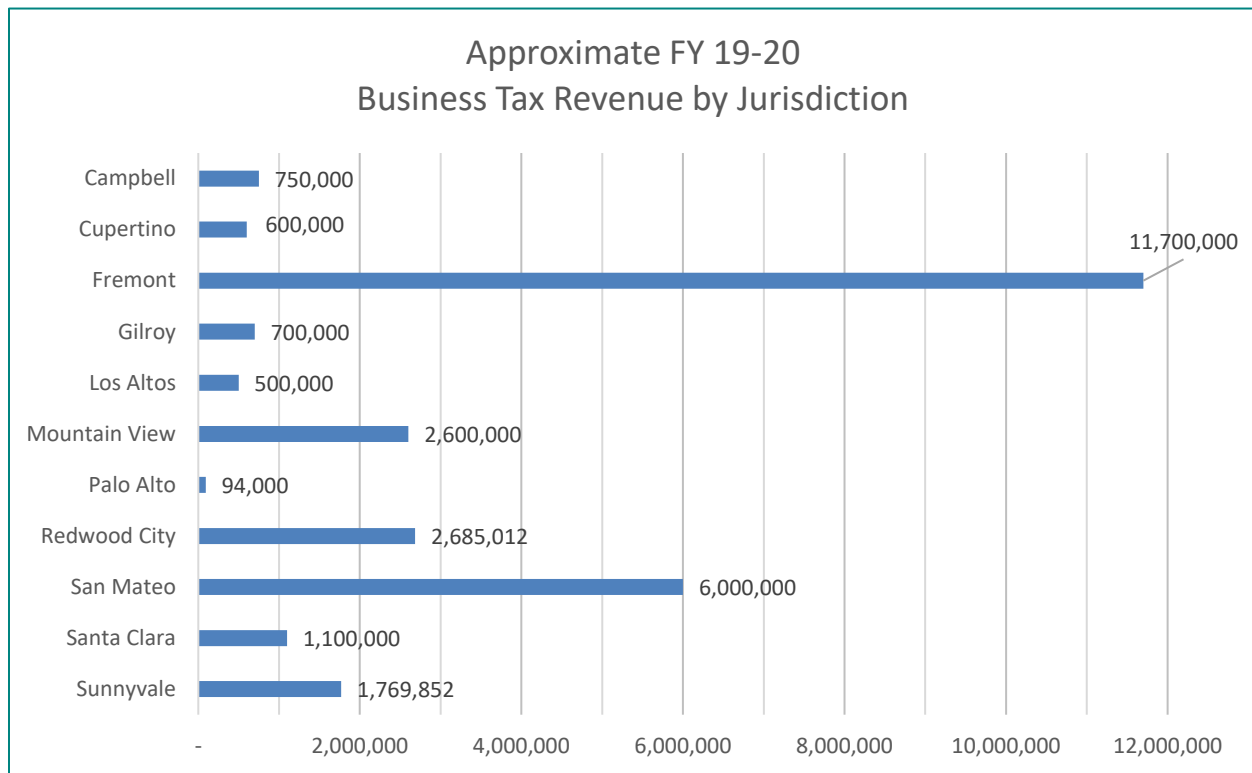


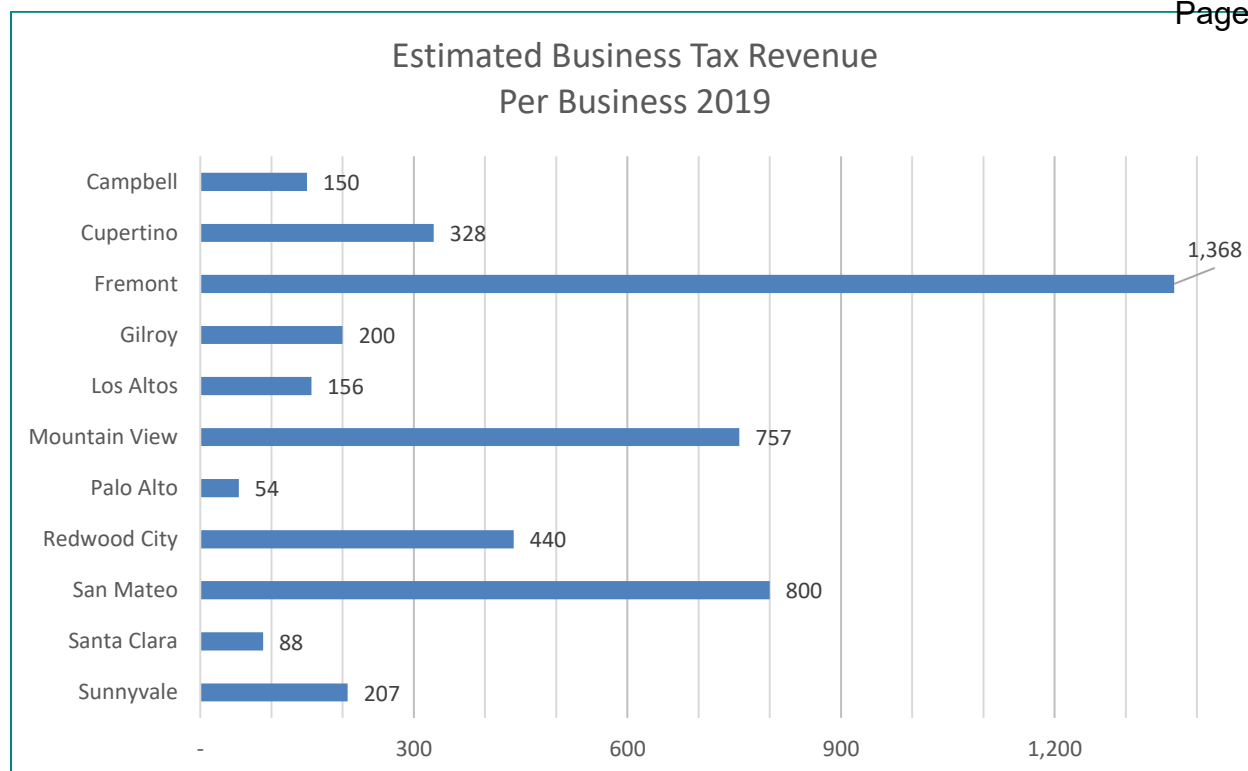
## Comparison Cities

Comparison Cities Summary Table

City Name	Population	Businesses	Tax Type	Min Tax	Max Tax (If applicable)	Est. Revenue	Last Ord. Revision
Campbell	41,544	5,000	Employee	\$71	\$576	\$750,000	2019
Cupertino	64,443	1,829	Sqft/Flat	\$146	N/A	\$600,000	1992
Fremont	237,807	8,553	Gross Receipts	\$30	N/A	\$11,700,000	2009
Gilroy	57,664	3,500	Gross Receipts	\$30	\$2,000	\$700,000	2019
Los Altos	30,743	1,600	Employee	\$37.50	N/A	\$500,000	2019
Los Altos Hills	8,580	1,812	Flat Fee	\$60	\$240	\$271,800	2018
Morgan Hill	45,037	4,990	Employee	\$20	N/A	\$199,089	2019
Mountain View	80,430	3,433	Employee	\$75	N/A	\$2,600,000	2018
Palo Alto	67,178	1,740	Flat Fee	\$50	\$50	\$94,000	2019
Redwood City	86,201	6,096	Employee	\$68	N/A	\$2,685,012	2018
San Mateo	104,748	7,500	Gross Receipts	\$31	N/A	\$6,000,000	2019
Santa Clara	128,717	12,485	Employee	\$15	\$500	\$1,100,000	2014
Sunnyvale	155,567	9,666	Employee	\$38.26	\$12,122	\$1,769,852	2018

## Similar and Surrounding Jurisdictions





## Comparison Detail

The Comparison Details for the neighboring jurisdiction can all be found as a part of Addendum. The list below provides the name of the each jurisdiction and the corresponding page number.

- |                                   |                        |
|-----------------------------------|------------------------|
| 1) <b>City of Campbell</b>        | <b>(Pages 36 - 37)</b> |
| 2) <b>City of Cupertino</b>       | <b>(Pages 38 - 40)</b> |
| 3) <b>City of Fremont</b>         | <b>(Pages 41 - 45)</b> |
| 4) <b>City of Gilroy</b>          | <b>(Pages 46 - 47)</b> |
| 5) <b>City of Los Altos</b>       | <b>(Pages 48 - 49)</b> |
| 6) <b>Town of Los Altos Hills</b> | <b>(Pages 50 - 51)</b> |
| 7) <b>Town of Los Gatos</b>       | <b>(Pages 52 - 54)</b> |
| 8) <b>City of Milpitas</b>        | <b>(Pages 55 - 57)</b> |
| 9) <b>City of Morgan Hill</b>     | <b>(Pages 58 - 59)</b> |
| 10) <b>City of Mountain View</b>  | <b>(Pages 60 - 61)</b> |
| 11) <b>City of Palo Alto</b>      | <b>(Pages 62 - 62)</b> |
| 12) <b>City of Redwood City</b>   | <b>(Pages 63 - 64)</b> |
| 13) <b>City of San Jose</b>       | <b>(Pages 65 - 66)</b> |
| 14) <b>City of San Mateo</b>      | <b>(Pages 67 - 69)</b> |
| 15) <b>City of Santa Clara</b>    | <b>(Pages 70 - 73)</b> |
| 16) <b>Town of Saratoga</b>       | <b>(Pages 74 - 75)</b> |

To skip ahead to Section 3, please see page 17.



## SECTION 2 – Ordinance Modification Options

### Objective 1 – General Review

City business tax ordinances typically fall into either a regulatory or revenue generating category, meaning simply that the ordinance is either intended solely to raise revenues (Government Code) or to regulate the activities of businesses conducted within the jurisdiction (Business & Professions Code). The ordinance has a declaration of the purpose of revenue; however, as discussed later in this document, can in many instances apply regulatory provisions.

During the review, HdL analyzed key sections of the ordinance and have identified the following areas that may require additional review or action. This preliminary review is based on existing code and rate structures. Should the City elect to make significant modifications, additional review may be required and ultimately the City may be better served with an entire re-write.

The information and recommendations provided in this report are based on the experience of HdL providing business tax services to California jurisdictions and is not intended as legal advice.

#### 5.04.070 – 5.04.080. Exemptions and exclusions—

*Nothing contained in this chapter shall be deemed or construed to require the payment of any license tax by any institution or organization which is conducted, managed or carried on wholly for the benefit of charitable purposes and from which profit is not derived, either directly or indirectly, by any person. (Ord. 1477 § 1, 1968; prior code § 6-1.202).*

*Nothing contained in this chapter shall be deemed or construed to require the payment of any fees or license tax by any honorably discharged or relieved veteran described in Section 16001 or 16001.5 of the Business and Professions Code of California, as amended, who is physically unable to earn a livelihood by manual labor and who is a voter or resident of this state, and who desires to hawk, peddle or vend goods, wares or merchandise owned by him, except spirituous malt, or vinous, or other intoxicating liquors, or to distribute circulars..*

#### Overview

There are four total exemptions/exclusions in these sections. The first is 5.04.060, which is catch all section that prevents the tax from applying where the state or federal government preempts the City from taxing. However, the second and third sections (5.04.070 & 5.04.080 above) regarding charitable organizations and disabled veterans, are redundant and can create some confusion. These two sections already exist in state law, and in some ways contradict the City's version.

#### Recommendation

The City may consider eliminating Sections 5.04.070 and 5.04.080 and simply rely on Section 5.04.060. This will provide a more concise version of the exemption and prevent the City from having to change the local ordinance every time the state makes a change to theirs.

**5.04.120. License tax—Method of computing number of employees.**

*“The total number of employees for whom a tax is to be paid shall be determined in the following manner:*

*(a) For any business having a fixed place of business in the city, the total number of employees shall be the greatest number of persons employed or expected to be employed or taking part in the business during any twenty-four-hour period.*

*(b) For any business not having a fixed place of business in the city, the total number of employees shall be the greatest number of persons employed or expected to be employed or taking part in the business within city limits during any twenty-four-hour period. (Ord. 2769-04 § 3; Ord. 1477 § 1, 1968; prior code § 6-1.303).”*

**Overview**

This section defines how a business arrives at an employee count for use in calculating taxes, which is established as the total number of employees that may be in a City during any 24 hour period.

**Recommendation**

Should the City stay with an employee based structure, this section may be modified to reflect hours worked or some other variable that can be more accurately measured and apportioned. The City should investigate whether the current model creates possible apportionment issues.

**5.04.140. License—Application and fee.**

*“All applications for licenses to be issued hereunder, including first time licenses, licenses for newly established businesses, and renewals of any previously issued license must be accompanied by payment of an application fee at the time of submittal. Pursuant to Section 5.04.130, the amount of the fee shall be fixed by resolution of the city council.*

*Each person making application for the first license to be issued hereunder, or a license for a newly established business, shall furnish to the collector a sworn statement (upon a form provided by the collector) setting forth the following information:*

*(a) The exact nature or kind of business for which a license is requested;*

*(b) The place where such business is to be carried on;*

*(c) If the license is to be issued to a person doing business under a fictitious name, the application shall set forth the names of the owners of the business;*

*(d) If the license is to be issued to a corporation or a partnership, the application shall set forth the names of the officers or partners thereof;*

*(e) The number of employees employed in the business which is the subject of the application;*

*(f) Any further information which the collector may require. (Ord. 2769-04 § 4; Ord. 2727-03 § 1; Ord. 1793-75 § 4; Ord. 1477 § 1, 1968; prior code § 6-1.401)."*

## Overview

This section requires specific information and a fee, set by council, to be paid during application and renewal. Should the City decide to move forward with a new tax this section may need to be modified.

## Recommendation

Since the business license is a tax and there should be no discernable "approvals" related to the payment of the tax, the City should consider whether an application fee is appropriate to charge based on current state law. Additionally, the sections related to the contents of the forms, may be better codified as "... all licenses shall be submitted on a designated form".

### 5.04.150. License—Issuance.

*"The collector is authorized to issue licenses required to be obtained under this chapter upon persons making application therefor, furnishing the sworn statement when required, and paying the license tax imposed. Each license issued shall state upon its face:*

*(a) The name of the person to whom issued;*

*(b) The kind of business licensed;*

*(c) The location of such business;*

*(d) The date of expiration of the license;*

*(e) The number of employees; and*

*(f) Such other information as shall be deemed necessary by the collector to enforce this chapter. (Ord. 1793-75 § 5; Ord. 1477 § 1, 1968; prior code § 6-1.402)."*

## Overview

This section provides for the issuing of licenses and the contents mandated on the license.

## Recommendation

The City should consider eliminating this section, or at minimum replacing the contents with a more generic description such as "issues a license in a form deemed necessary by the collector".

### 5.04.160. License—Conformance to other regulations required.

*"The payment of a license tax and the issuance of a license to any person by the city shall not entitle the licensee to carry on any business unless he has complied with all the requirements of this code and all other applicable laws, nor to engage in or to carry on any business in any building or in any premises designated in such license in the event such building or premises are situated in an area or locality in which the*

*conduct of such business is in violation of this code, or any ordinance of the city, or any other law. (Ord. 1477 § 1, 1968; prior code § 6-1.403)."*

## Overview

The intent of this section is to provide clear notice that the business must also comply with all other laws. However, the existing language may create a perception that the license is an authorization to conduct business, which conflicts with the intent of the tax.

## Recommendation

Considering Section 5.04.040 already addresses requirements with other City Law, HdL recommends the City replace this language with a simpler, more "California standard", provision. This section could state,

"The business license issued constitutes a receipt for the tax paid and shall have no other legal effect. A business license is a requirement, not a permit or authorization to conduct, manage or carry on any business activity within the city."

### 5.04.230. License—Verification of sworn statements.

*"(a) No sworn statement required to be filed shall be conclusive as to the matter set forth therein. The filing of a sworn statement shall not preclude the city from collecting any sum of money actually due and payable under this chapter by appropriate action.*

*(b) The collector shall have the right to examine and audit at all reasonable times the books and records of any licensee, or person making application for a license in order to (1) verify any sworn statement filed and the items contained therein, and (2) verify or ascertain the amount of any business license tax due. (Ord. 1477 § 1, 1968; prior code § 6-1.410)."*

## Overview

This section stipulates that statements filed are not final and are subjected to review by the City. Subsection (b) also grants the City authority to audit.

## Recommendation

While Subsection (a) can be left, HdL recommends eliminating subsection (b) and replacing it with a more thorough version, preferably in a separate headed section. During a full code rewrite, it may be beneficial to put this language under a consolidated section regarding the "collector's" powers and duties. Preferred versions of the audit section could be.

- a) **Audit And Examination Of Records And Equipment:** The Director of Finance and the Director's deputies, designates or any other person deemed appropriate by the Director, shall have the power to audit and examine all books, and records, and, where necessary, all equipment, of any person engaged in business in the City for the purpose of ascertaining the amount of business tax, sales or use tax, if any, required to be paid by the provisions hereof, and for the purpose of verifying the statements, or any item thereof, when filed by any taxpayer pursuant to this article. If such person, after written demand by the Director of Finance or the Director's deputies, designates or any other person deemed appropriate by the director, refuses to

make available for audit, examination or verification such books, records or equipment as the director of finance administration or the director's deputies, designates or any other person deemed appropriate by the director, requests, the director of finance administration may make an assessment in the manner provided of this article of any taxes estimated to be due.

**5.04.240. License—Determination of tax upon failure to file statements or application—Notice.**

*“If any person fails to file any required statement within the time prescribed, or if after demand therefor made by the collector he fails to file a corrected statement, or if any person subject to the tax imposed by this chapter fails to apply for a license, the collector shall proceed in such manner as he may deem best to obtain facts and information on which to base his estimate of the tax due. In case such determination is made, the collector shall give a notice of the amount so assessed by serving it personally or by depositing it in the United States mail, postage prepaid, addressed to the person so assessed at his last known place of address. (Ord. 1477 § 1, 1968; prior code § 6-1.411).”*

**Overview**

This section authorizes the City to conduct tax assessments on certain non-compliant businesses. However, the section does have some limitations and could be further expanded upon.

**Recommendation**

The City should expand this section to include a broader scope of assessments. For example, the current language does not allow the City to assess audit deficiencies. A more inclusive section could be added with language such as:

- a) If the Collector is not satisfied that any statement filed as required under the provisions of this article is correct, or that the amount of tax is correctly computed, or that the business classification has been correctly determined, or that any tax is due or may be due to the city of under the provisions of this article, the Collector, or the Collector's designate, may compute and determine the amount to be paid and make an assessment upon the basis of the facts contained in the statement or upon the basis of any information in the city's possession or that may come into the city's possession, one or more assessments of the amount of tax due for a given period or periods may be made. When a person discontinues engaging in a business, an assessment may be made at any time within three (3) years thereafter as to any tax liability arising from engaging in such business.

**5.04.350. License revocation—Grounds.**

*“A license issued under the provisions of this chapter may be revoked by the collector if the licensee shall conduct, engage in or carry on his business in an unlawful manner or fails to comply with the provisions of this chapter, or any other provisions of this code. (Ord. 1477 § 1, 1968; prior code § 6-1.601).”*

## Overview

This section allows the City to revoke a license for various purposes. However, as the intent of the tax is for revenue, the City should never have a need to revoke a license, as it does not authorize any business.

## Recommendation

The City should consider removing the section and subsequent process related section 5.04.360.

### 5.04.410. Enforcement—Duties of collector.

*“(a) It shall be the duty of the collector and he is directed to enforce each and all of the provisions of this chapter, and the chief of the department of public safety shall render such assistance in the enforcement hereof as may from time to time be required.*

*(b) The collector in the exercise of the duties imposed upon him hereunder shall examine or cause to be examined all businesses conducted in the city of Sunnyvale to ascertain whether the provisions of this chapter have been complied with. (Ord. 1477 § 2, 1968).”*

## Overview

This section requires enforcement of the ordinance by the collector and other relative positions.

## Recommendation

The City may consider removing subsection (b), as the current language is likely not accomplishable.

## Code Review – Potential Additions / Misc. Items

### **Tax Calculation - Proration / Annualization / Measures / Gross Receipts**

Depending on the final method selected by the City, there are numerous definitions, methodologies, and tax processes that may need to be added or addressed. These are unique solutions which require further refinement of the final tax model. HdL will assist with the enhancement of these items during the SMC modification process should the City elect to proceed.

### **“License” vs “Certificate”**

The use of “license”, and ultimately the standard usage and interpretation as an authorization, can create confusion for the City and the business community. The City may wish to consider eliminating all references and concepts of “license” and replace with a more appropriate “certificate” or “registration” based language.

### **Rules and Regulations**

The City may consider additional enforcement authority language. For example: “The collector may adopt rules and regulations which are not inconsistent with the provisions of this chapter, as may be necessary or desirable to supplement or clarify such provisions or aid in their enforcement.”

### **Vending / Coin-Op Machines**

The City does not currently have a tax category for vending machines. California Business and Profession Code 16002.5 requires a City to collect taxes on these types of business strictly on gross receipts. Employee based taxes are not allowed.

## SECTION 3 – Category & Tax Analysis

The City has requested that HdL conduct an analysis of the current tax structures as they relate to business license and explore options for modifying the rates and categories. In Section 1, HdL prepared summaries of each classification and to the extent data was available, provided a breakout of the number of businesses and their contribution to the local funding for essential City services.

In this section HdL has provided options for modifying the rate scale and the classifications. Using the data compiled in section 1 of this report on current license revenues, models were developed to estimate potential fiscal impacts to the City as well as how those changes may have an effect on the business community.

HdL has provided a summary chart on page 33 that provides a quick look at each model's impact on the City and the business community.

### **Tax Revenues & Collection Periods**

During the review of the City's business tax, a City process was discovered that differs from most California cities. The City currently collects 2 years of taxes during the application and renewal processes, achieved by extending the renewal periods to once every two years instead of annually. As such, the City is collecting double the tax from half the businesses each year, an effect that may be close to a neutral revenue proposition from the City's perspective. In order to effectively estimate revenues and true annual filing requirements, HdL made a series of data enhancements to create the revenue baselines for this study. Due to these data enhancements and other ancillary revenue recognition policies, the numbers indicated in this study will not tie directly to actual or forecasted City budget revenues for business tax.

### **License Classification and Rate Types**

The City currently has a very basic structure for taxing businesses, limiting rate categories to either employees or units. This structure can simplify reporting and tax processing, but makes grouping businesses difficult, as there are over 170 business types listed in the City's data. For the purpose of analyzing and comparing the options in this section, HdL has compiled the various business descriptions into primary grouping categories. The two primary groupings for analysis are indicated on the following page.



**Category 1 – Grouping by General Type of Business**

Category 1 groups the businesses by similar type of activity. In consolidating the types of business, HdL is able to substantially reduce the number of categories in the existing data. The table below reflects an example of how the categories could be consolidated and streamlined, creating various taxing methodologies. Total revenues and the breakout of taxes have been estimated, while also estimating categories not identified in City data.

Grouping	Total Taxes	Average Tax	Maximum
Contractor	\$200,000	\$77	\$3,700
General Business	\$646,000	\$185	\$12,122
Property Rental	\$405,645	\$340	\$5,423
Service	\$382,207	\$86	\$12,122
Professionals	\$136,000	\$106	\$7,080
TOTAL >	\$1,769,852		

**Category 2 – Grouping by Tax Amount**

HdL has grouped the businesses categories by the taxes charged for each type of business. The grouping amount below indicates the payment made, total and average revenues, and the number of businesses contributing to the group.

Category	Record Count	Average Paid	Taxes
\$1 - \$50	5,826	\$37	\$213,194
\$51 - \$100	4,867	\$64	\$310,640
\$101 - \$250	1,440	\$143	\$205,723
\$251 - \$500	476	\$316	\$150,632
\$501 - \$1,000	203	\$682	\$138,509
\$1,001 - \$5,000	228	\$2,008	\$457,925
\$5,001 and Over	33	\$8,886	\$293,229
TOTALS >	13,073		\$1,769,852

## Employee Tax: Model 1 – Existing Categories with Simple Increases

The City may elect to not modify the existing structure, but rather modify the tax amounts for each category. Keeping the current structure in place would eliminate the need to create different categories and allow for a much simpler implementation for the City and the business community.

The City could choose to adjust each category separately, increase the rates on a select group, or apply a standard rate increase across the board. An example of an across the board % increase is indicated in the following table below:

Rate Classes Unchanged (with % Rate Increase)					
Tax Amount Paid	Number of Accts	Current Taxes	20% Increase	40 % Increase	60% Increase
\$1 - \$50	5,826	\$213,194	\$255,832	\$298,471	\$341,110
\$51 - \$100	4,867	\$310,640	\$372,768	\$434,896	\$497,024
\$101 - \$250	1,440	\$205,723	\$246,867	\$288,012	\$329,156
\$251 - \$500	476	\$150,632	\$180,758	\$210,884	\$241,011
\$501 - \$1,000	203	\$138,509	\$166,210	\$193,912	\$221,614
\$1,001 - \$5,000	228	\$457,925	\$549,510	\$641,095	\$732,680
\$5,000 and Over	33	\$293,229	\$351,874	\$410,520	\$469,166
TOTALS >	13,073	\$1,769,852	\$2,123,819	\$2,477,790	\$2,831,761

### Cap Adjustment

The table above reflects standard increases to each scale and the cap across the board. The City could however modify or remove the cap entirely. The table below represents the increased revenue resulting from a removal of the cap. This method carries on the existing \$63.80 per 5 employee/unit in the existing scale, without limitation.

Type / Cap Amount	Number of Accts	Total Emps/Units Above Cap	Tax Per 5 Emp/Unit	Extended Scale Revenue
421 +Units	8	1,990	\$63.80	\$25,584
946 + Emps	15	28,641	\$63.80	\$365,701

### Model 1 – Highlights and Impact Review

As indicated in the Table (A) above, a simple increase on employee and unit counts could keep the existing structures in place while yielding higher revenues to the City. The City can replace any of the sample % increases with varying degrees of increase or could elect to only apply the increases to certain categories. For example, increasing the rates on employees and residential property rental by 60%, while increasing others rates by 20% or not at all.

This option provides the City with the simplest method of increasing revenues which is also the most accurate to forecast. Additionally, for those flat rate categories, the City could use the existing standard CPI adjustment to those appropriate categories to ensure the rates stay current over the course of time.

Should the City wish to see specific calculations or examples of specific category rate increases, HdL will provide the calculations and attach as an addendum to this report.

### Employee Tax: Model 2 - Unified Employee & Unit Tax Rate

Model 2 keeps the employee and unit-based structure of the City’s existing code, but eliminates the sliding scale grouping and maximum tax amounts.

#### Potential Tax Structure

Tax Basis	Tax Rate
Employee / Unit Tax	\$20 / Employee or Unit

#### Model 2 Estimates Table

The table below indicates the potential revenues from implementing a unified per employee/unit tax of either, \$20 per or \$25 per. Information for the estimates comes from the City’s actual total reported employee count.

Gross Receipts	Number of Accts	Total Employee/Unit	Tax Amount (\$20.00)	Tax Amount (\$25.00)
General / Retail				
Employee / Unit Tax	13,073	146,000	\$2,920,000	\$3,650,000

### Model 2 – Highlights and Impact Review

This option represents the simplest method of implementation, eliminating the need for a tax table to calculate amounts and consolidates every activity into a single tax structure, while not changing substantially from the City’s existing rates. Due to this similarity, the impact on the business community and the City can be precisely measured, making for the most accurate estimates of revenues.

This model will lower the effective rate for small employers, however virtually every business with over 6 employees will see a small tax increase under this model. Due to the elimination of the sliding scale, all businesses with the sample employee / unit count will pay the same amount.

While a small amount of the increase is obtained through the base rate, the vast majority of the overall revenue increase comes from the businesses currently paying a cap. As indicated in Model 1, there are approximately 23 businesses currently paying the cap in the City, with an approximate total of \$225,000. Under this model those businesses would contribute an additional \$740,000 of revenues.

### Employee Tax: Model 3 - Classification Based Rates

In implementing this option, the City could choose to stay with employee based taxes, but vary the tax rate by the type of business. This would create varying rate multipliers based on the employees for each type of business the City desires to have a separate rate structure for.

For this model, HdL has utilized the standard categories established during data analysis. However, the City could have a structure with any number of categories or business type break downs. For example, in some cases cities can have hundreds of rate categories using SIC or NAICS codes as the basis for the category delineation.

#### Tax Structure

Tax Rate	Categories	Tax Rate
Employee Tax	General / Retail	\$15 / Employee
Unit Tax	Property Rentals	\$25 / Unit
Employee Tax	Contractors	\$20 / Employee
Employee Tax	Service / Professionals	\$25 / Employee

#### Estimates Table

Using the varying structures above, the table below indicates potential revenues from one possible classification model based on the continued model of taxing employees and units.

Category	Number of Accts	Taxable Employees /Unit	Tax Rate	Tax Amount
General / Retail	3,500	36,038	\$15	\$540,570
Rental Units (Com & Res)	1,233	31,971	\$25	\$799,000
Service / Professionals	5,762	62,995	\$25	\$1,574,875
Contractors	2,600	14,998	\$20	\$299,960
TOTALS>				\$3,214,405

## Employee Tax: Model 4 – Escalating Scale

Similar to the City's current model in method, this option provides a more condensed scaled approach to taxing employees and units. It also provides an escalating multiplier and charging more to a business as their employee counts rise.

To estimate the revenues for this model, HdL separated the businesses into each of the unique scales below.

Categories	Tax Structure	Tax Rate
General Business	Employee Tax 1 Employee	\$40
General Business	Employee Tax 2 - 25 Employees	\$40 + \$20 Per Employee Over 1
General Business	Employee Tax 26 - 500 Employees	\$520 + \$25 Per Employee Over 25
General Business	Employee Tax 501 - 1,000 Employees	\$12,395 + \$30 Per Employee Over 500
General Business	Employee Tax 1,001 - 5000 Employees	\$27,395 + \$35 Per Employee Over 1,000
General Business	Employee Tax 5,001 and above Employees	\$167,395 + \$40 Per Employee Over 5,000
Rental Property	Unit Tax: 1 – 2 Units	Excluded
Rental Property	Unit Tax: 3 Units	\$75
Rental Property	Unit Tax: 4 or more Units	\$25 / Unit

Estimates Table

Number of Accts	Number of Accts	Taxable Employees /Unit	Tax Rate	Tax Amount
1 Employee	5,611	5,611	\$40	\$224,440
2-25 Employees	5,811	29,933	\$40 + \$20 per	\$715,280
26 – 500 Employees	398	32,523	\$520 + 25 per	\$771,285
501 – 1,000 Employees	6	4,397	\$12,395 + \$30 per	\$116,280
1,001 – 5,000 Employees	12	26,060	\$27,395 + \$35 per	\$824,065
5,001 and above	2	15,825	\$167,395 + \$40 per	\$567,790
3 Units	201	417	\$75 Flat	\$10,425
4 Units and Above	1,032	32,467	\$25 / Unit	\$811,675
TOTALS>				\$4,041,240

## Gross Receipts

### Gross Receipts Tax - Replace Employee & Unit Categories with Gross Receipts Tax

Taxing gross receipts is a common model for California business tax with over 50% of Cities using the taxing structure. A variety of models are commonly used including a scale method or the use of a standard rate multiplier to determine the tax amount owed. This model can be implemented as a standard rate applying to any business or one that can vary by business class. For example, many cities elect to charge \$1 per thousand dollars of gross receipts ( $0.001 \times \text{Gross}$ ) for a retail business, while charging a rate of \$0.50 per thousand dollars of gross receipts ( $0.0005 \times \text{Gross}$ ) for service or professional businesses.

As the Gross Receipts method can result in \$0.00 returns or negligible amounts, most cities have a minimum tax or other method of ensuring a base tax. Another option is to create a base tax plus gross receipts rate. This allows for a minimum tax for businesses that generate gross receipts in excess of the base amount.

The “single rate” method of taxing on gross receipts provides an even distribution of the effective tax rate because all businesses subjected to the tax will pay the same rate. This method also provides the simplest method of calculation due to every business using a single multiplier.

#### Gross Receipts Tax – Background

Due to the lack of information available on current gross receipts for all Sunnyvale businesses, HdL is not able to accurately predict the impact of changing the structure to a single gross receipts model. HdL was able to use averages for those businesses where data on gross receipts reporting was available; however, direct comparisons are not available on a city-wide basis; and certain information may overlap between categories. It is important to note that HdL has used multiple assumptions as outlined in the options below which are meant to provide a baseline of the possible impact, and should not be relied upon for precise budgeting.

## Gross Receipts Tax – Data Analysis & Variables

HdL has prepared key data elements for use in estimating the gross receipts tax on businesses where information was otherwise not available. The following information was used as a basis for the tax tables and models in subsequent options below.

	Category	Total Accts/Units	Avg Rent / Unit /Year	Total Gross Receipts
Rental Unit Estimates	Rental Property	1,211 / 32,000	\$30,000	\$960,000,000

	Category	Estimate # of Accounts	Total Gross Receipts
Contractor Estimates	In/Out Town	2,600	\$325,000,000
General / Retail Businesses / Mfg / Wholesale	General	3,500	\$2,750,000,000
Professional Estimates	Professionals	1,300	\$390,000,000
Personal Services / Misc Service Estimates	Service	4,462	\$1,115,500,000

	Number of Records	Business Tax Total Taxable Gross
Combined Gross Estimates	13,073	\$5,540,500,000

## Gross Receipts Tax – Model 1: Single Gross Receipts Rate

Model 1 reflects the potential revenues for converting the City tax to a single rate type gross receipts model. This would eliminate the current structure of employee taxes and unit variables whereby each business would pay based on the estimated gross receipts attributed within the City.

### Potential Tax Structure

Tax Basis	Tax Rate
Registration Tax	\$25
Gross Receipts Tax	\$1 per thousand dollars of Gross (0.001 x Gross)

**Model 1 Estimates Table**

The table below indicates the potential revenues from implementing a gross receipts tax with two options, \$1 / thousand, and \$0.50 / thousand. Information for the estimates comes from the data in the section above.

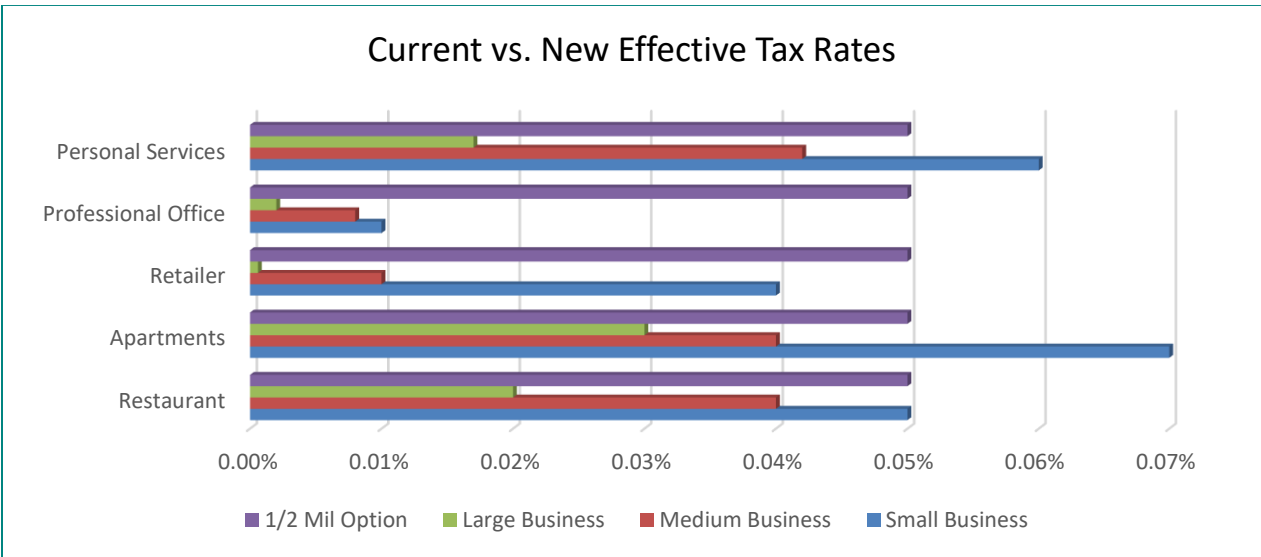
Gross Receipts	Number of Accts	Taxable Gross Receipts	Tax Amount (.001)	Tax Amount (.0005)
General / Retail				
Registration Tax	13,073	Flat Rate	\$326,825	\$326,825
Gross Receipts Tax		\$5.54B	\$5,540,500	\$2,770,250
TOTALS>			\$5,867,325	\$3,097,075

**Model 1– Highlights and Impact Review**

The “single rate” method of taxing on gross receipts provides an even distribution of the effective tax rate because all businesses subjected to the tax will pay the same rate. This method also provides the simplest method of calculation due to every business using a single multiplier. Under this method, no cap is put in place and therefore a majority of the revenues are received from the highest grossing businesses.

Model 1 shows the most potential for expanded revenue while keeping the tax structure simple and easy to understand for businesses. Using the 1 Mil (.001 rate) as our baseline, we can see that revenues are increased substantially in a filing year, while still seeing a modest increase using the ½ Mil (.0005). The large increase is primarily due to moving to gross receipts, but removal of a cap is a contributing factor as well.

While the 1 Mil is a standard tax rate in CA, the City could choose any multiplier to create a rate that matches the City’s goals. Additionally, the base registration tax can be treated as a separate item, as above, or as a minimum tax, which would eliminate the charge and ultimately lower the taxes to the business and revenues to the City.





# Expanded Tax Base - Property Unit Exclusion

## Expanded Tax Base – Residential Property Background

The City currently excludes residential and commercial property rentals where the total units are less than 3. The current ordinance also appears to exclude commercial spaces not used for office space, parking or mobile homes. Given the make-up of the City, this leaves many potential businesses without being taxed. The City could consider removing the unit exemption entirely requiring even renters of single family homes to pay the tax. Furthermore, the definition could be changed to residential and non-residential property, picking up any property rental within the City.

## Property Analysis

It is estimated that the City currently has over 5,000 units on parcels which are currently untaxed. Conservatively estimating the actual number of rentals and rents being charged, the City could expect to receive as much as \$150,000 in new revenues under the smaller rate plan in Model 1 of Option 2 and as much as \$450,000 under the model 2 rate plan of the same option. This is in addition to the existing revenues from property rental identified in each model.

## Residential Rental Unit Estimates

Category	Total Rental Units	Avg. Rent / Unit /Year	Total Gross Receipts
Untaxed Parcels	5,000	\$30,000	\$150,000,000

## City of Sunnyvale vs. Neighboring Jurisdictions

### Current Rate Comparison Table

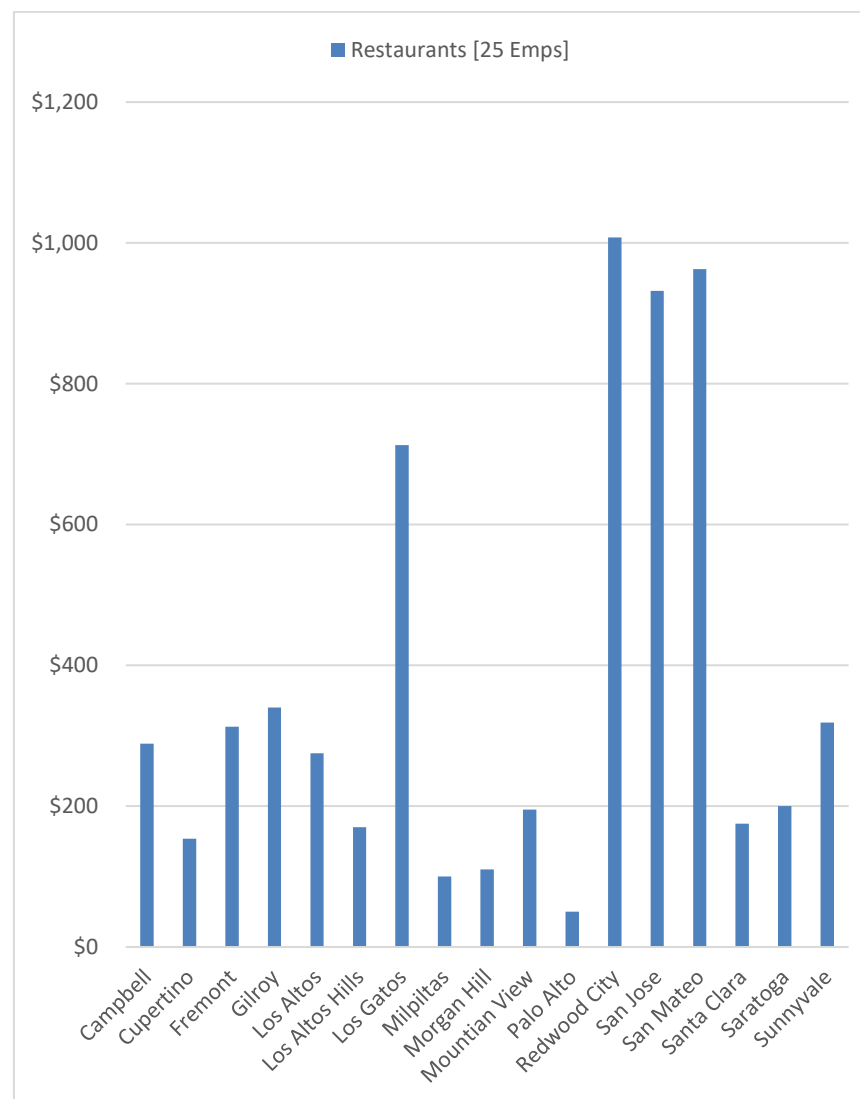
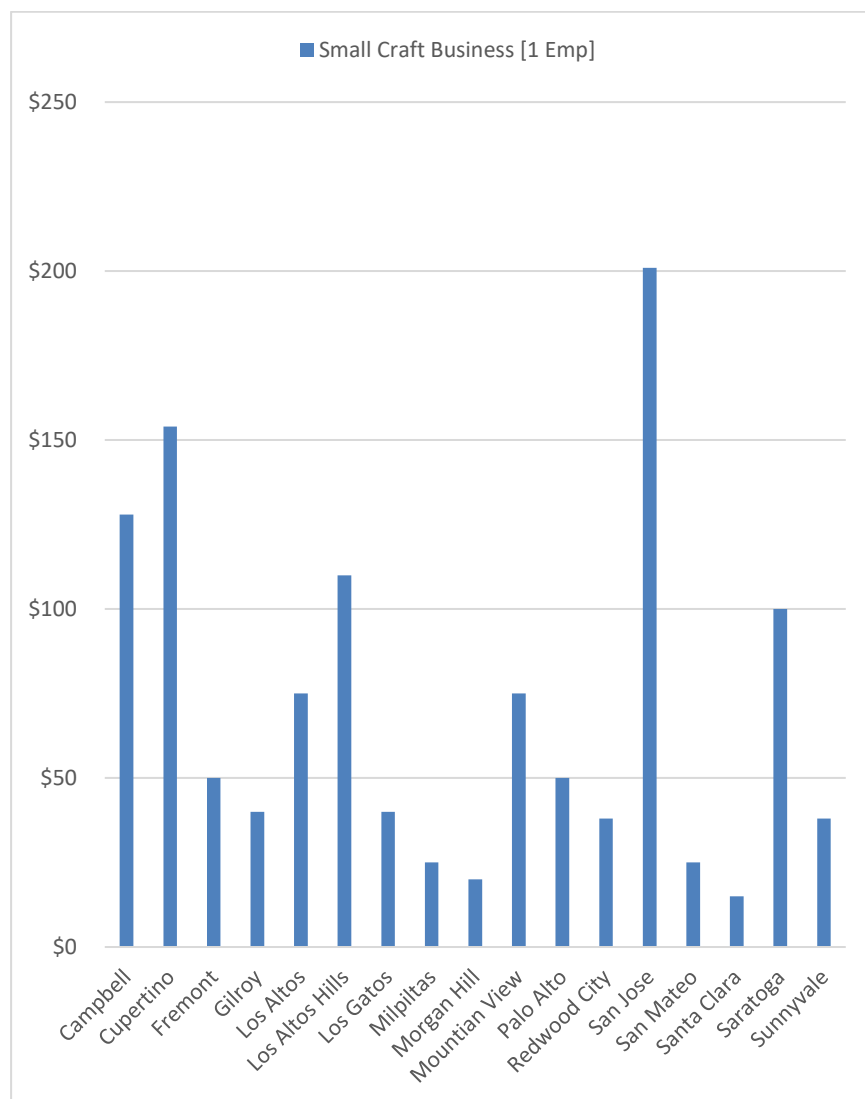
Sample Business	Campbell Current Rates	Cupertino Current Rates	Fremont Current Rates	Gilroy Current Rates	Los Altos Current Rates	Los Altos Hills Current Rates	Los Gatos Current Rates	Milpitas Current Rate	Morgan Hill Current Rate
Small Craft Business 1 employee	\$128	\$154	\$50	\$40	\$75	\$110	\$40	\$25	\$20
Restaurant – 25 Employees	\$289	\$154	\$313	\$340	\$275	\$170	\$713	\$100	\$110
Big Retailer – 275 Employees	\$576	\$154	\$4,780	\$2,000	\$2,775	\$170	\$40	\$228	\$1,445
Hotel / Rental Property 50 Employees	\$175	\$654	\$1,980	\$340	\$300	\$170	\$40	\$122	\$215
Doctors Office- 20 Employees	\$404	\$154	\$2,030	\$400	\$320	\$170	\$40	\$95	\$160
Professional Firm- 15 Employees	\$404	\$154	\$1,130	\$320	\$175	\$145	\$40	\$90	\$135
Small Contractor – 1 Employee	\$128	\$154	\$133	\$80	\$75	\$270	\$20	\$50	\$60
Contracting Firm- 3 Employees	\$128	\$154	\$148	\$120	\$125	\$170	\$40	\$50	\$60

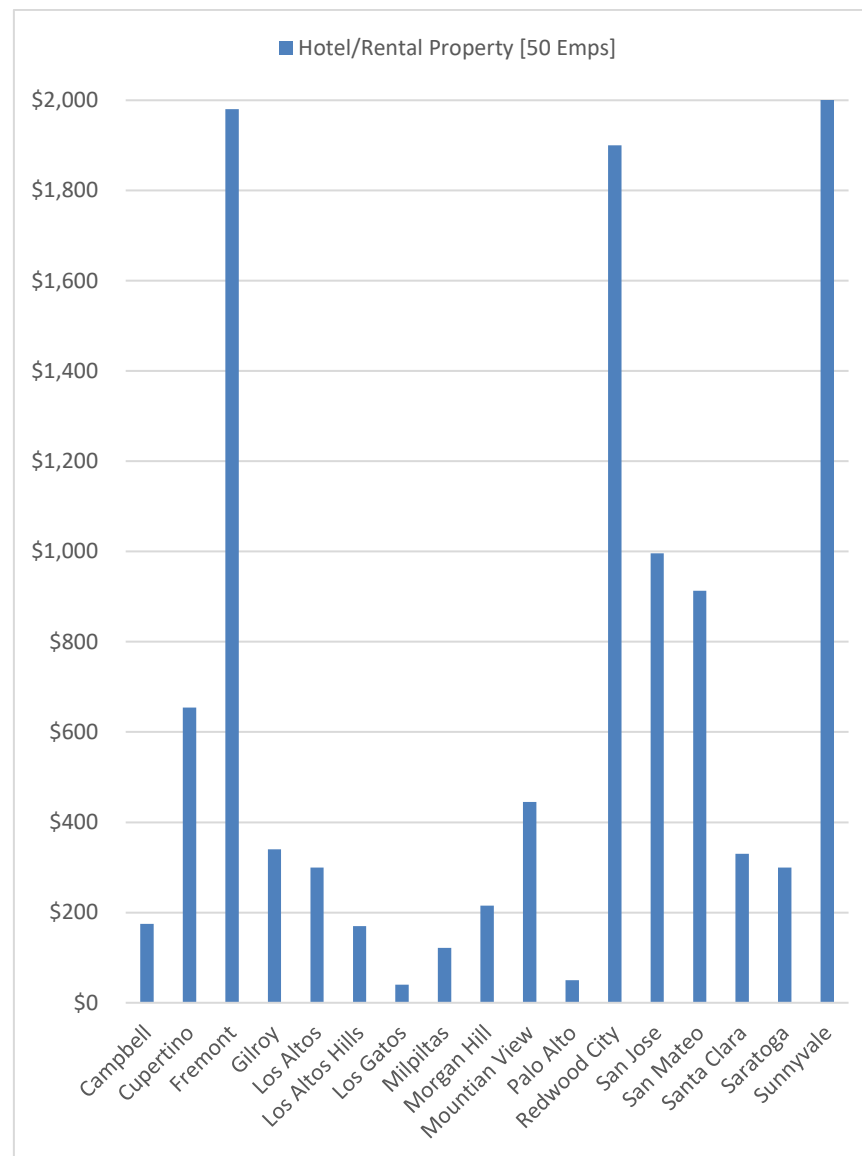
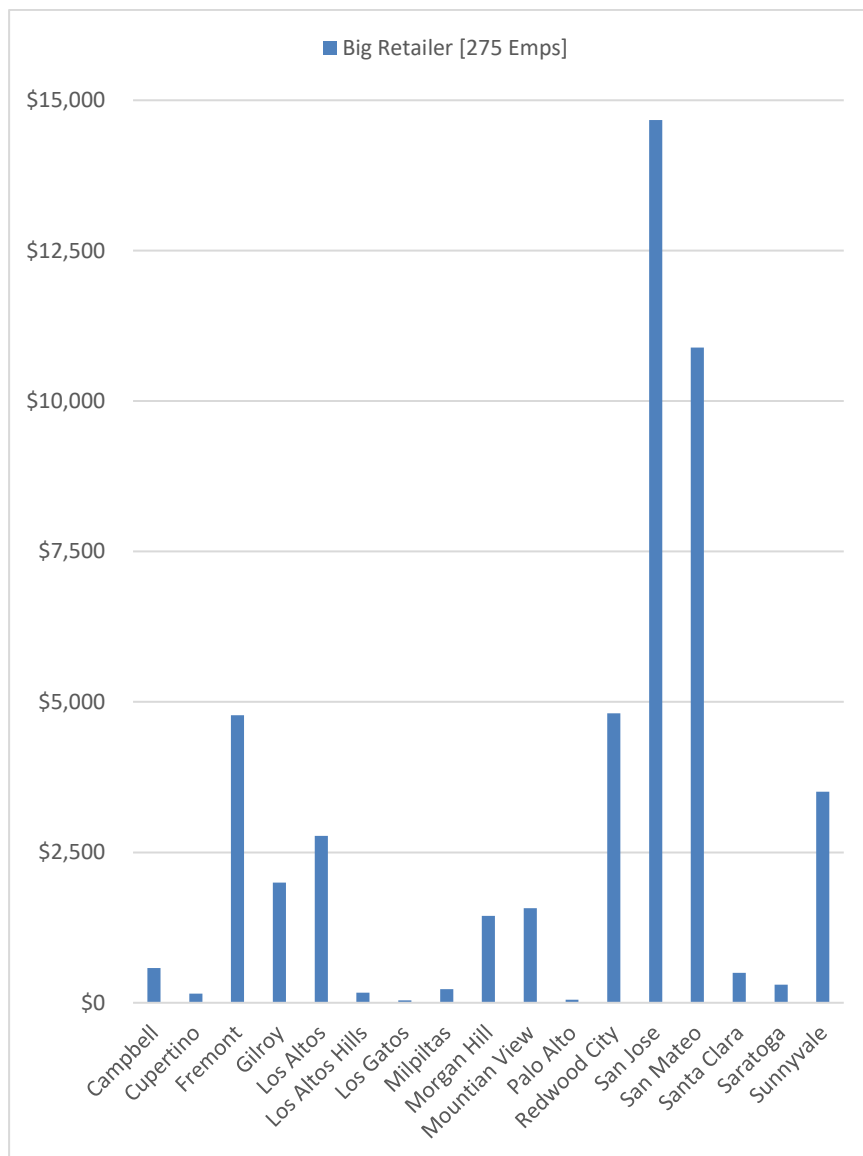
## Current Rate Comparison Table (Continued)

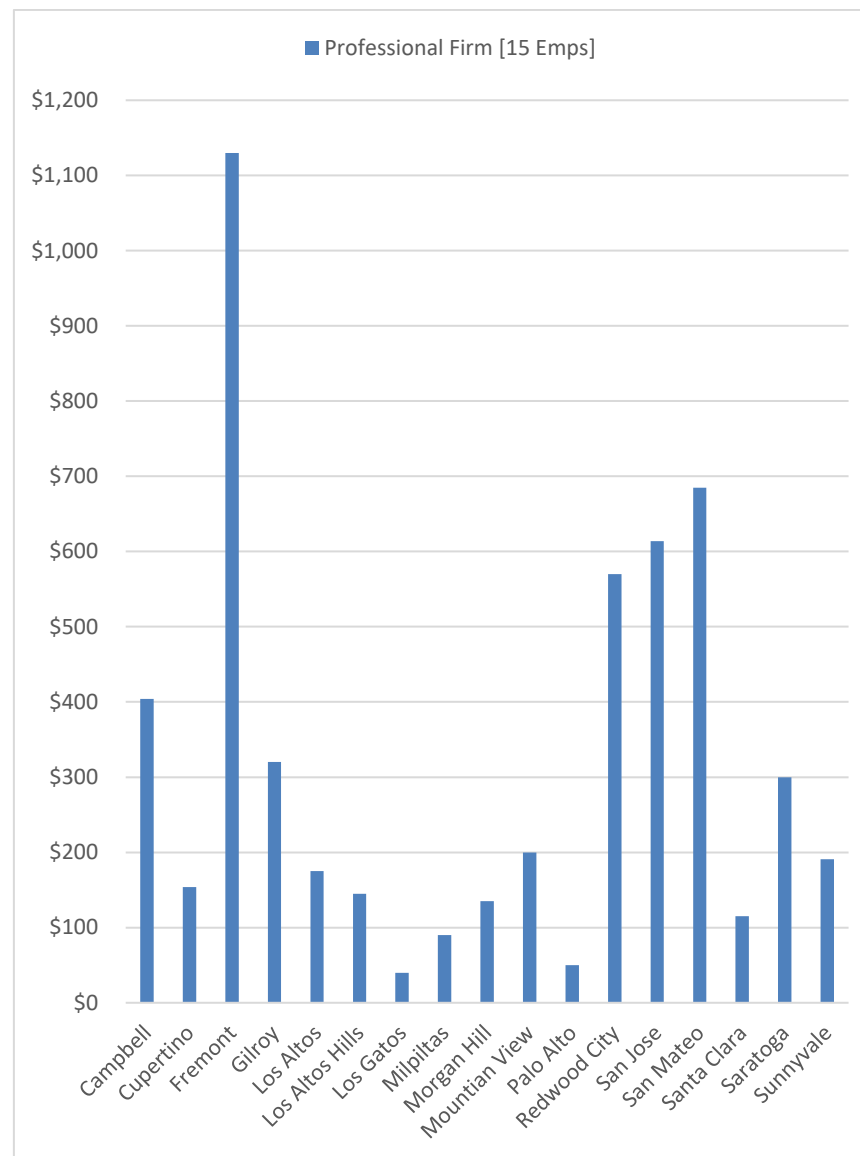
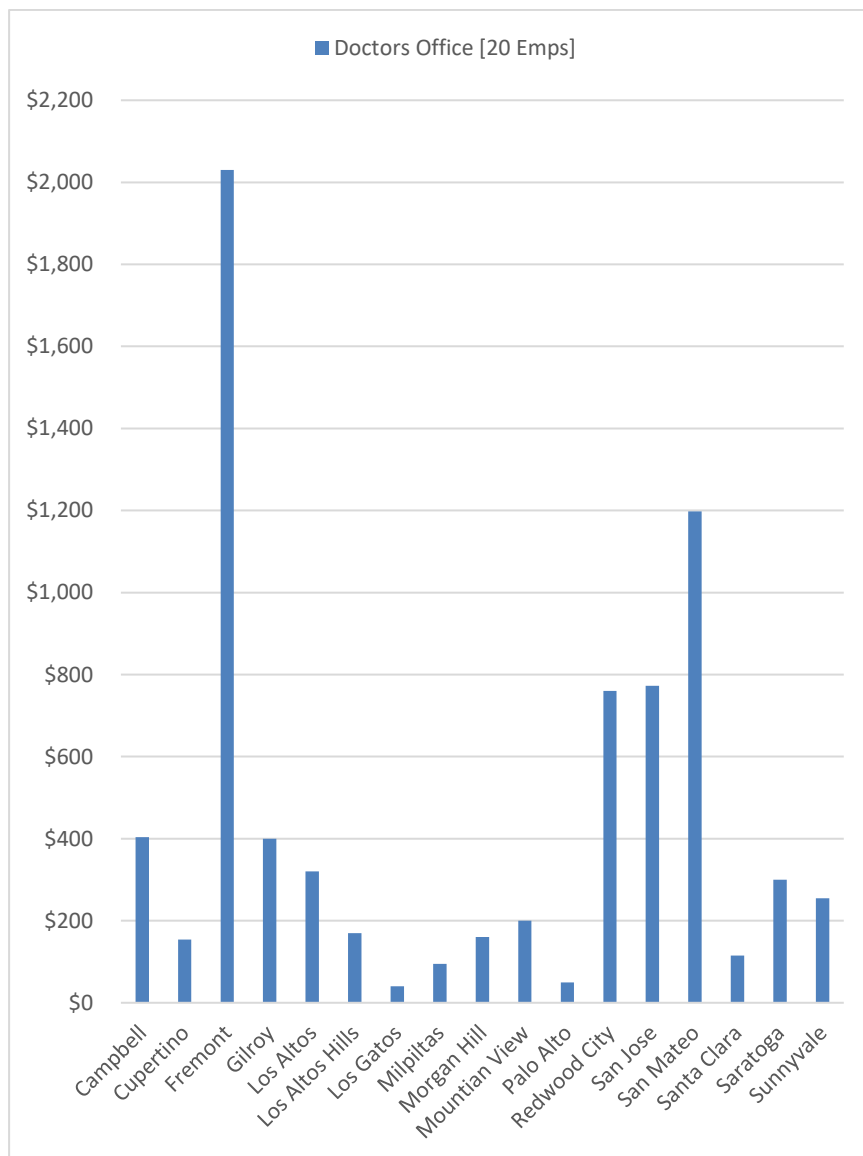
Sample Business	Mountain View Current Rates	Palo Alto Current Rate	Redwood City Current Rates	San Jose Current Rates	San Mateo Current Rates	Santa Clara Current Rates	Saratoga Current Rates	Sunnyvale Current Rates
Small Craft Business 1 employee	\$75	\$50	\$38	\$201	\$25	\$15	\$100	\$38
Restaurant – 25 Employees	\$195	\$50	\$1,008	\$932	\$963	\$175	\$200	\$319
Big Retailer – 275 Employees	\$1,570	\$50	\$4,811	\$14,670	\$10,888	\$500	\$300	\$3,509
Hotel / Rental Property 50 Employees	\$445	\$50	\$1,900	\$996	\$913	\$330	\$300	\$638
Doctors Office- 20 Employees	\$200	\$50	\$760	\$773	\$1,198	\$115	\$300	\$255
Professional Firm- 15 Employees	\$200	\$50	\$570	\$614	\$685	\$115	\$300	\$191
Small Contractor – 1 Employee	\$75	\$50	\$39	\$200	\$86	\$15	\$45	\$38
Contracting Firm– 3 Employees	\$90	\$50	\$39	\$232	\$71	\$30	\$130	\$64

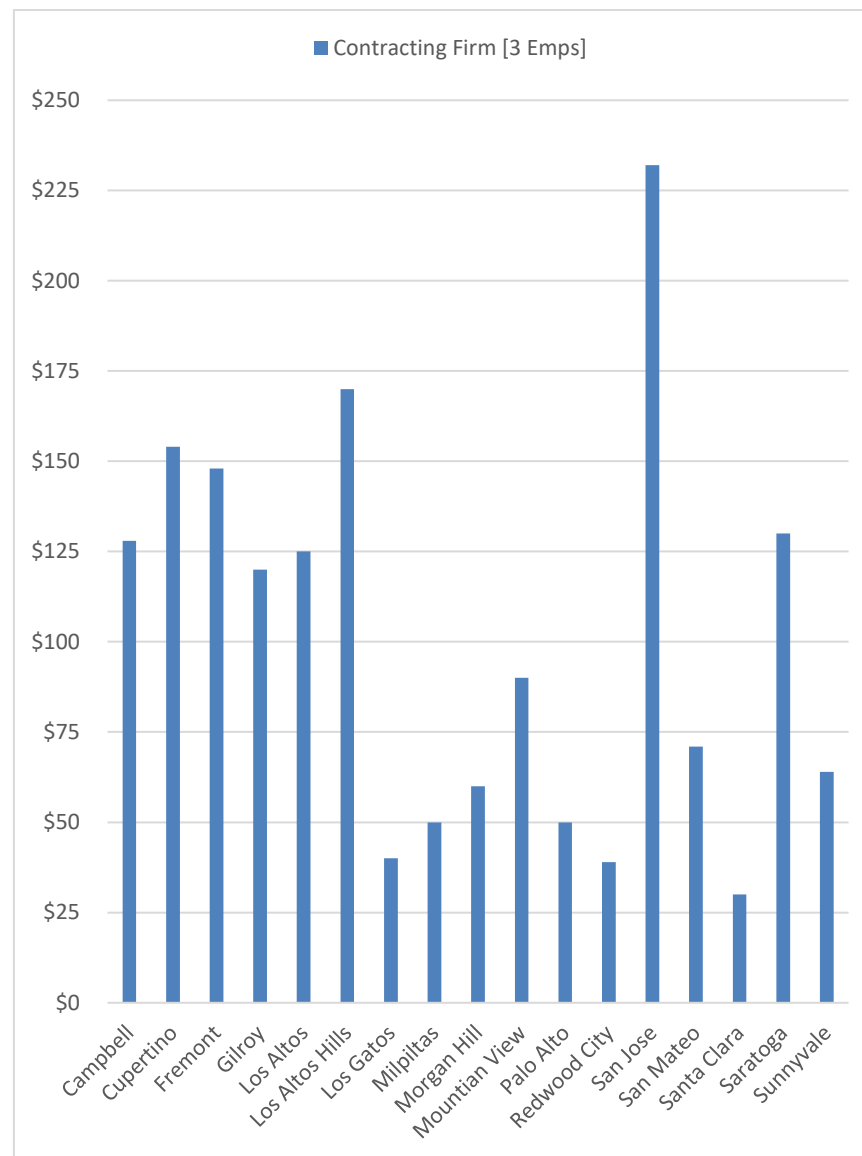
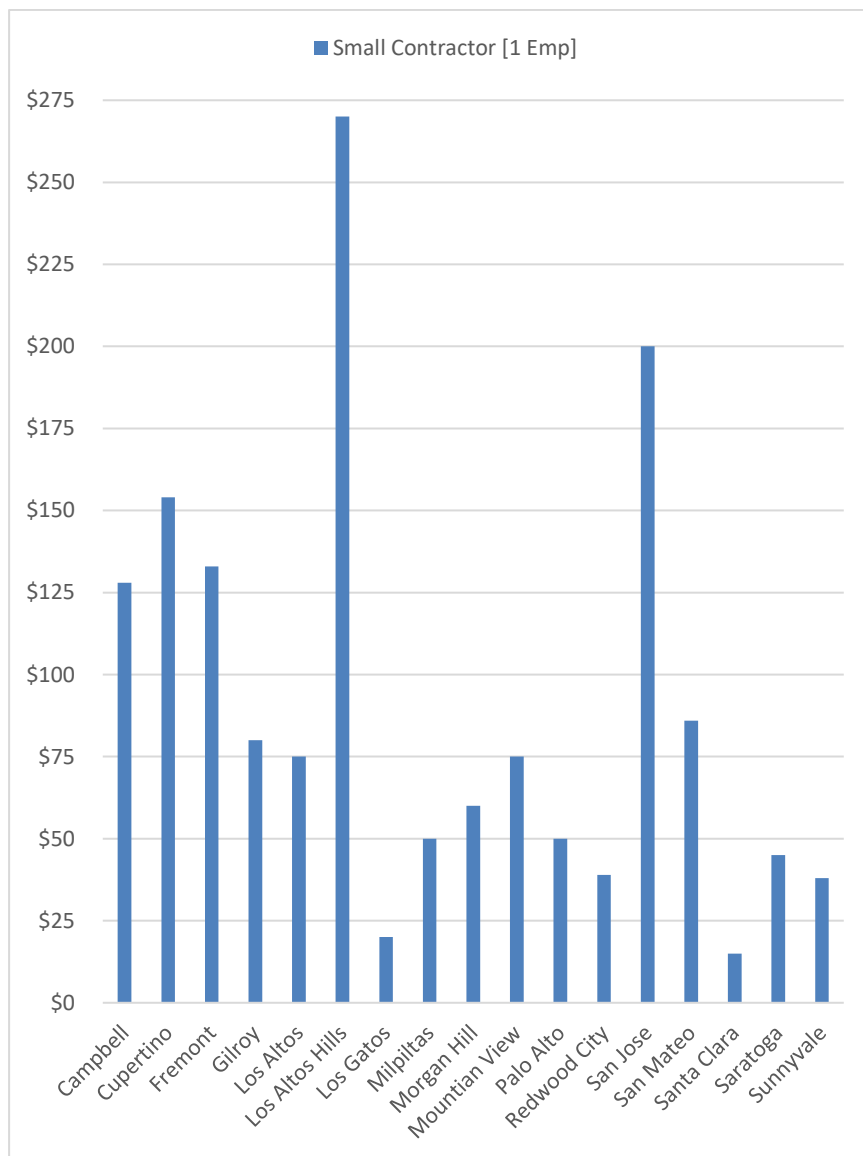
## City of Sunnyvale vs. Neighboring Jurisdictions

Current Rate Comparison Chart









## Proposed Rates Comparison Table

Sample Business	Sunnyvale Current Rates	Sunnyvale Employee Tax Model 1 (0% & No Cap)	Sunnyvale Employee Tax Model 1 (60% & No Cap)	Sunnyvale Emp Tax Model 2 (\$20 Per)	Sunnyvale Emp Tax Model 3 (\$15-\$25 Per)	Sunnyvale Emp Tax Model 4 (Sliding Scale)	Sunnyvale Gross Receipts Tax Model 1 (\$1/thousand)
Small Craft Business 1 employee <20K Gross	\$38	\$38	\$61	\$20	\$15	\$40	\$25
Restaurant – 25 Employees / \$1.25M Gross	\$656	\$656	\$1,050	\$500	\$375	\$540	\$1,250
Big Retailer – 275 Employees / \$19M Gross	\$3,509	\$3,509	\$5,615	\$5,500	\$4,125	\$6,770	\$19,000
Rental Property 50 Units / \$1.5M Gross	\$638	\$638	\$1,021	\$1,000	\$1,250	\$1,250	\$1,500
Doctors Office- 20 Employees / \$2M Gross	\$255	\$255	\$408	\$400	\$500	\$420	\$2,000
Service Firm- 15 Employees / \$1.1M Gross	\$191	\$191	\$306	\$300	\$375	\$320	\$1,100
Small Contractor – 1 Employee / \$75K Gross	\$38	\$38	\$61	\$20	\$25	\$40	\$75
“Avg Tax Capped” Business– 2855 Employees / \$171M Gross	\$12,122	\$36,430	\$66,895	\$57,200	\$71,375	\$92,320	\$171,000
Estimated Business Tax Revenue	\$1,769,852	\$2,161,137	\$3,363,295	\$2,920,000	\$3,214,405	\$4,041,240	\$5,867,325



## Additional Information

### Ordinance Review

HdL conducted a review of the ordinance sections related to business tax. The recommended changes indicated in section 2 are technical recommendations based on the information available and direction provided by the City. Should the City elect to move forward with specific changes, HdL recommends the office of the City Attorney or their designee review each proposed change and craft language that accomplishes the City's final objectives.

### Procedure / Ordinance Conflicts

In many cities, HdL has identified a number of processes and procedures currently in place, that do not appear to conform to the city tax code. Some of these are the result of unclear language that requires subjective interpretation of the code. Over time, various administrators can create policies in isolation, without considering the impact on the business community as a whole, or on how those policies might conflict with city laws.

Should the City wish to review current policies and practices prior to implementation of a new code, HdL will participate in a process and procedure review with the City. Based on the final direction, HdL will provide a full detailed analysis of the potential conflicts as well as recommended changes designed to align practices and procedures with the code.

### Voter & Additional Approvals

Some of the changes may or may not require voter or additional approval. The City should review each change and determine which changes can be made via powers granted to the collector or other City staff members and which changes will require additional processes.

Additionally, the City does have codified increase language, allowing the City Council to make modifications to the rates. The City should investigate if this would allow the City to make these rate adjustments through a simple council resolution rather than a ballot measure.

### General Regulatory Provisions

In general, HdL recommends that any City Ordinance for business license where the intent is to generate revenue be limited to the scope of generating revenue. Some of the City current ordinance provisions are designed to stop people for paying for or being issued a license. Many of these requirements can be burdensome on licensing staff and many times create review requirements that are outside the scope of their expertise.

The City would be better served and the intent of generating revenue preserved if the requirements for things like building and safety are kept with the sections and regulatory provisions that govern those items. HdL feels additional discussion of these items is warranted to review the implications of removing those sections and others potentially affected.

### Additional Support

While HdL is not able to provide specific legal advice, HdL will work with the City's designee to assist in crafting the final changes as well as provide advice and additional analysis should the City elect to move

forward with modification of its ordinances. Should the City wish to contract out legal services, HdL can provide references for firms that specialize in local government ordinances.

### **Comparative Jurisdictions**

The analysis of surrounding jurisdictions was conducted to provide background of the overall structure and taxes imposed by neighboring cities. This information can be valuable and may be considered by the City when making its final determinations to ensure that changes made to the tax structure remain competitive with other cities.

### **Additional Cities**

HdL selected cities from surrounding jurisdictions that were similar in size or tax structure. Should the City wish to expand the analysis to additional jurisdictions, HdL can provide further details as an addendum to this report.

### **Rate Structure Modification and Modernization**

The primary focus of the rate analysis and change review was the current tax structure. Options indicated in this report represent a few of the potential structures available for the City's consideration. Additionally, each proposed structure has the flexibility to be modified with rates that may be more in line with the City's ultimate goals. HdL will work with the City to craft any additional classifications or structures that the City feels may be worth considering.

## Addendum

### Campbell, CA



#### Demographics:

- Population: 41,544
- County: Santa Clara
- Incorporation: March 28, 1952
- Estimated median household income: \$119,366
- Land area: 5.89 square miles
- Population Density: 6,953 people per square mile

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#### Rate Structures and Fees - Renewal Cycles:

##### Issuance Period: 5.01.065

Annual licenses shall date from the first day of the month in which the license is purchased, effective for one year from the effective date; monthly licenses shall date from the first day of the calendar month for which they are issued; daily or weekly licenses shall be due and payable each day or week in advance.

##### Rate Structures and Fees - Penalties: 5.01.080

**Penalties:** If any annual or quarterly license remains unpaid at the end of the calendar month in which it becomes due and payable, a penalty of five percent per month shall be added to the same for each month that it remains unpaid, not exceeding in the aggregate a total of fifty percent of the amount of the license fee. Any such penalty so imposed shall be collected by the person in charge of the collection of the license to which the penalty is added.

**Delinquency:** All annual license fees, under the provisions of this chapter, shall be issued on an anniversary date basis and shall be due and payable in advance on the anniversary date, which is the first day of the month in which the license was effective. No annual license issued on an anniversary date basis shall be prorated.

**City of Campbell License Tax Rates & Fees:**

**In – City**

**5.04.010**

*\* All out of City businesses pay a flat \$103*

Commercial Zoned	# of Employees	Tax Rate
	1 to 5 employees	\$128
	6 to 15 employees	\$202
	16 to 50 employees	\$289
	51 or more employees	\$576

Industrial Zoned	# of Employees	Tax Rate
	1 to 5 employees	\$128
	6 to 50 employees	\$202
	51 or more employees	\$346

Professionals	# of Employees	Tax Rate
	1 to 3 employees	\$128
	4 to 10 employees	\$232
	11 to 50 employees	\$404
	51 or more employees	\$576

Lodging	# of Units	Tax Rate
Apartments	1 <sup>st</sup> unit	\$71
	Each add. unit in excess of 1	\$3 per unit in excess of 1
Hotels	Base Tax	\$175
	+ # of Rooms	\$3 per room
Mobile Home Parks	Base Tax	\$175
	+ # of Rooms	\$3 per room



# Cupertino, CA

## Demographics:

- Population: 64,344
- County: Santa Clara
- Incorporation: September 27, 1955
- Estimated median household income: \$134,872
- Land area: 11.31 square miles
- Population Density: 5,331 people per square mile

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### Rate Structures and Fees - Renewal Cycles: 5.04.210

#### Issuance Period:

Unless otherwise proscribed in this chapter, a business license shall be issued for a twelve-month period and shall automatically expire at the end of said period.

### Rate Structures and Fees - Penalties: 5.04.250

**Interest:** Any person who fails to pay any tax required to be paid by this chapter shall pay interest at the rate of one percent per month, or fraction thereof, on the amount of the tax, exclusive of penalties, from the date on which the tax first becomes due and payable until paid. Interest shall run during any period of time for which an extension of time has been granted by the City for payment of the tax. Interest required by any of the provisions of this chapter shall be subject to waiver or compromise by the Collector. The interest shall not be compounded, but shall be on principle only.

**Penalties:** All taxes imposed by this chapter shall be subject to the following penalties:

**Delinquency:** Any person who fails to pay any tax, or any fraction thereof required to be paid by this chapter within the time required, shall pay a penalty of twenty percent per month of the amount of unpaid tax. Such penalty shall not exceed one hundred percent of the tax for any calendar year for each year that the tax is unpaid. This penalty shall accrue on the first day of each calendar month for which the tax remains unpaid.

**Fraud:** If the Collector, after notice to the applicant or licensee and hearing, determines that the nonpayment of any tax due under this chapter is due to fraud, a penalty of ninety percent of the amount of the unpaid tax shall be added thereto, in addition to any other penalties set forth in this section. Where after notice and hearing to the applicant or licensee, the Collector determines that a corporate officer, director or shareholder is responsible for the fraud resulting in the nonpayment of the tax of a corporation, the Collector may designate the tax, interest and penalties unpaid, including the penalty provided for in this subsection due to such fraud, as a personal debt of the officer, director or shareholder.

**Merger of Interest and Penalties:** Such interest as is accrued, and every penalty imposed under the provisions of this section, shall become a part of the tax required to be paid under this chapter.

**Penalties on Principle:** All penalties imposed hereunder shall be calculated on principle only, and shall not be compounded.

**City of Cupertino License Tax Rates & Fees:**

In – City

**5.04.280**

Business Tax Generally	Square Feet	Rate per Square Foot
	0 - 5,000	0.0200
	5,001 - 25,000	0.0175
	25,001 - 75,000	0.0150
	75,001 - 100,000	0.0125
	100,001 - 150,000	0.0100
	150,001 and above	0.0025

City of Cupertino License Tax Rates & Fees:	Tax	Equation to Calculate “Current Year Tax Rate”
Agents, Solicitors, and Salespersons	\$75.00	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Amusement Center	\$150 plus \$5 per machine	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Amusements Generally	\$75 per day	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Apartment House	\$100 first 4 units and \$7 per additional unit	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Seasonal Lot Sales	\$150	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Concerts, Circuses and Performances	\$150 first day and \$25 per day thereafter	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Lumberyard, Building Material Yard, Junkyard-Plant Nurseries	\$75 per plus \$5 per day per acre owned leased or rented the amount shall not exceed the index	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Coin-operated Device	\$75 per year plus \$5 for each machine	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Contractors	\$75 per year	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Home Occupations	\$75	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate

Hotels, Motels, Auto Courts and Lodginghouses	\$75 plus \$5 per year each room	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Peddling	\$150	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Rest, Convalescent, Guest and Family Care Homes	\$150	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Private Schools	\$150	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Taxicab or Automobiles for Hire	\$175	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Theaters and Shows	\$150 plus \$2 per seat	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate
Small-Income Businesses	\$25	A divided by B times C equals D A = current year CPI; B = base year CPI; C = base year tax rate; D = current year tax rate



## Fremont, CA

### Demographics:

- Population: 237,807
- County: Alameda County
- Incorporation: February 18, 1874
- Estimated median household income: \$114,684
- Land area: 87.62 square miles
- Population Density: 2,604 people per square mile

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### Rate Structures and Fees - Renewal Cycles: 5.04.010 – Definitions

All business taxes due under the terms of this chapter shall be payable in advance of the applicable tax period prescribed as follows:

- (1) Businesses subject to daily business taxes: Taxes shall be paid on their effective date and shall be delinquent at 5:00 p.m. on that date.
- (2) Businesses subject to monthly business taxes: Taxes shall be paid on the first day of each month for which the business tax is sought and shall be delinquent at 5:00 p.m. on the tenth day of that month.
- (3) Businesses subject to quarterly business taxes: Taxes shall be paid on the first day of January, April, July and October and shall be delinquent at 5:00 p.m. on the last day of the first month in which the quarterly business tax is due.
- (4) Existing businesses subject to annual business taxes: Taxes shall be paid on the first day of January and shall be delinquent at 5:00 p.m. on the last day of February.
- (5) New businesses subject to annual business taxes: Taxes shall be paid on the first day of January, April, July and October. Taxes due on January 1st shall be delinquent at 5:00 p.m. on the last day of February; all other businesses with due dates of April 1st, July 1st and October 1st shall be considered delinquent at 5:00 p.m. on the last day of the month of their due date

### Rate Structures and Fees - Penalties: 5.05.150 – Penalties

**Penalties:** For failure to pay a business tax when due, the collector shall add a penalty of five percent per month of said business tax, including the registration tax, and shall in no event exceed 25 percent of the business tax due. Where an audit or inspection of the books or records of a business reveals the amount of business tax paid for any business tax period is less than the amount which was actually due, it shall be deemed for purposes of this subsection that such deficiency was a failure to pay a business tax when due. All taxes imposed and remaining unpaid after delinquency, including any deficiency in payment of taxes, shall bear interest at the rate of one percent per month or fraction thereof until paid. Penalties and interest as provided in this subsection shall be assessed from the date when said deficiency was required to be paid pursuant to this chapter.

### City of Fremont Business Tax Rates & Fees:

#### Professionals 5.05.206

- (a) Generally. Every person conducting, carrying on, or engaged in a profession or vocation requiring a period of specialized training and certification shall pay an annual business tax of \$1.30 for each \$1,000 of gross receipts.



(b) Real Estate Broker.

(1) A real estate broker who has a fixed place of business in the city shall pay an annual business tax of \$38.00 for each fixed place of business, plus an additional business tax of \$25.00 for each person performing services at such fixed place of business as a licensed real estate salesperson, not including the broker, office manager or other salesperson in charge of the office.

(2) A real estate broker who does not have a fixed place of business in the city shall not be deemed to be doing business in the city unless in a calendar year he or she has been engaged in three or more revenue-generating transactions with respect to real property in the city or earned \$10,000 or more in commissions or fees with respect to real property in the city, whichever occurs first. Whenever such a real estate broker has earned such amount in fees or commissions, or has been engaged in three or more revenue-generating transactions with respect to real property in a calendar year, whichever occurs first, he or she shall be required to pay a business tax of \$30.00 for such calendar year.

(3) As used in this section, "transaction" shall mean performance of services as a selling broker with respect to real property, or performance of services as a listing broker with respect to real property which has been sold during the listing period, or performance of service as an appraiser of real property. Where a sale of real property is consummated by a broker who is also the listing broker with respect to the property involved, two transactions shall be deemed to have occurred with respect to such broker.

(4) If a real estate broker, who has a fixed place of business in the city, also operates a real estate office in another city, any Fremont listings or sales generated from the out-of-town location shall be deemed to be operations of a real estate broker not having a fixed place of business in the city of Fremont for purposes of this section. (Ord. 1876 § 2, 6-6-89; Ord. 16-2009 § 9, 7-21-09. 1990 Code § 5-1203.)

**Contractors 5.05.270**

(a) Every person conducting, carrying on or managing a business as a licensed contractor and who undertakes to, or offers to undertake to, or purports to have the capacity to undertake to, or submits bids to, or does himself or herself or by or through others, construct, alter, repair, add to, subtract from, improve, move, wreck or demolish any building, highway, road, railroad, excavation, or other structure, project, development or improvement, or to do any part thereof, including the erection of scaffolding or other structures or works in connection therewith, is defined as a contractor. The term "contractor" as used in this section also includes subcontractors and specialty contractors.

(1) Every contractor with a fixed place of business in the city shall pay an annual business tax of \$95.00 per calendar year, plus \$0.10 for each \$1,000 of gross receipts.

(2) Every contractor who does not have a fixed place of business in the city shall pay a business tax of \$30.00 per calendar quarter, plus \$0.10 for each \$1,000 of gross receipts.

(b) Any newly established contractor with a fixed place of business in the city may have the business taxes prorated depending upon the calendar quarter said business begins operating. A contractor who does not have a fixed place of business in the city may elect to pay a business tax on an annual basis in accordance with subsection (a)(1) of this section.

(c) For purposes of this section, the gross receipts of a contractor shall not include the gross receipts only of any persons attributable to construction, structural additions, or improvements for which a tax is required pursuant to Section [5.05.280](#) (where such person is required to pay a tax pursuant to such section); provided, that such contractor lists his/her subcontractors and the amounts paid or payable to such subcontractors for any such construction. (Ord. 1876 § 2, 6-6-89; amended during 2012 reformat. 1990 Code § 5-1204.)

#### **Construction Tax 5.05.280**

(a) Every person who constructs a new dwelling, makes additions in habitable space to any existing dwelling, or improves land as a mobile home lot shall be subject to a business tax consisting of a flat rate for new residential construction or mobile home lots, or a square footage tax on all additions to existing residential structures for such construction. The collector shall set the annual rates effective July 1st of each year based on the changes in the gross national product (GNP) deflator.

The addition to a dwelling of a patio structure, garage or shed shall not be deemed to add habitable space to a dwelling. The number of square feet of floor area shall be determined by the building official based on the data submitted by the applicant.

(b) The business tax shall be due and payable upon the issuance of the building permit. No building permit shall be issued until such tax has been paid.

(1) In the case of improvement of land in a mobile home lot, the business tax shall be due and payable upon commencement of the improvement. No work shall be commenced until the tax has been paid. Delinquency penalties for failure to pay when due shall be as prescribed in Section [5.05.150](#)(a).

(2) The tax shall be paid by or on behalf of the contractor/owner as taxpayer to the collector, who shall certify such payment to the building official.

(c) The business tax shall be refundable in the event that the building permit is issued and has thereafter expired and become null and void because the building and work authorized by such permit was not commenced within 180 days from the date of such permit.

(d) Any person who is required to pay a business tax pursuant to this section shall only be required to pay the contractors flat rate as prescribed in Section [5.05.270](#). (Ord. 1876 § 2, 6-6-89. 1990 Code § 5-1204.1.)

#### **Wholesalers, Manufacturers, Other Businesses**

(a) Every person conducting, carrying on or managing any business consisting of manufacturing or selling at wholesale any goods or merchandise, maintaining administrative offices with minimal sale of goods, merchandise or services, or providing telephone or telegraph services shall pay an annual business tax of \$0.30 for each \$1,000 of gross payroll.

(b) Every person conducting, carrying on or managing a business of quarrying shall pay an annual business tax of \$1.00 for each \$1,000 of gross payroll. For the purposes of this section, "quarrying" shall also mean producing earth, rock, crushed stone, building stone, slate, limestone, gravel, sand, minerals, or other similar material products. (Ord. 1876 § 2, 6-6-89. 1990 Code § 5-1205.)

### **Recreation and Entertainment 5.05.310**

(a) Every person conducting, carrying on, or managing any business of offering for lease or rental any residential real property, commercial real property or industrial real property shall pay an annual business tax of \$1.30 for each \$1,000 of gross receipts. For purposes of this section, persons who rent, lease or manage no more than four residential dwelling units shall not be deemed to be in business. This exception shall not apply to persons who rent five or more residential dwelling units, or who rent any commercial or industrial real property in the city. Persons who rent commercial or industrial real property in the city shall also report all residential units.

(b) Every person conducting, carrying on or managing a trailer court, mobile home park or similar enterprise shall pay an annual business tax of \$12.00 for each \$1,000 of gross receipts.

Each person who rents real property to others and is subject to this tax shall not be required to pay more than one registration tax for all lots (including buildings) in the city.

The business taxes provided for herein are cumulative. If the same lot, dwelling unit, office or other space, or any portion thereof is leased and subleased to more than one person in the same time period, each separate lease or sublease to each person shall constitute the rental of a rental unit. Taxes provided for herein are in addition to any business taxes which may be required to be paid by real estate brokers, agents or other persons engaged in business and taxes pursuant to other provisions of this chapter.

(c) Every person conducting, carrying on or managing any business of renting out accommodations substantially on a transient occupancy basis shall pay a business tax of \$1.00 for each \$1,000 of gross receipts. This classification includes but is not limited to hotels, motels, bed-and-breakfast inns, etc. (Ord. 1876 § 2, 6-6-89. 1990 Code § 5-1207.)

### **Transportation – Out-of-town businesses 5.05.320**

Every person with no fixed place of business in the city who is engaged within the city in a business of conducting, managing or running, driving or operating any vehicle used for transportation, selling, collecting, or delivery of goods, merchandise, or other personal property of any kind, or of soliciting for work, labor or services to be performed upon the public streets in or from a vehicle shall pay a business tax of \$30.00 per year in advance per vehicle used in the city. However, such persons may elect to pay a tax pursuant to Section [5.05.250](#) for all remaining tax periods other than the original tax period. (Ord. 1876 § 2, 6-6-89. 1990 Code § 5-1208.)

### **Miscellaneous businesses 5.05.330**

(a) Carnival or Circus. Any person conducting, carrying on or managing any business which consists of operating a carnival or circus shall pay a business tax of \$420.00 for the first day of operation and \$210.00 for each additional day of operation.

(b) Canvassers and Solicitors. Any person who engages in the business of going from house to house, place to place, on or along the streets within the city, or by telephone, selling or taking orders for, or offering to sell or take orders for, goods, merchandise or other things of value for future delivery or for service to be performed in the future shall pay a business tax of \$85.00 per person per calendar quarter or \$35.00 per person per month.

Any business which conducts its business through the use of persons assigned as solicitors to established and defined routes regularly serviced by such solicitors may, pursuant to Section [5.05.240](#), pay an annual business tax in lieu of the tax for each solicitor prescribed by this section, based on the total annual gross receipts derived from all orders

solicited by such solicitors. Regular service to a route shall be deemed to have been accomplished if in each quarter not less than 50 percent of the houses and places upon a route from which an order was taken in the same or previous quarter are solicited, canvassed or an order taken.

(c) Christmas Tree Lots. Any person conducting, carrying on or managing any business consisting of selling Christmas trees shall pay a business tax of \$65.00 per month.

(d) Itinerant Vendors. Any person who engages in a temporary business in the city by selling or offering for sale any goods, merchandise or things or articles of value for a period of not more than 120 days in any calendar year shall pay a business tax of \$75.00 per month per location per person.

(e) Peddlers.

(1) Any person who engages in the business of going from house to house, place to place, on or along the streets within the city and making immediate delivery or offering for sale and immediate delivery such items as food, beverages, home-manufactured articles, novelties, notions, toys, souvenirs, flowers, medicines, or patent medicines shall pay a business tax of \$45.00 per person or vehicle per calendar quarter.

(2) Any person who engages in the peddling of wearing apparel, cloth, furs, jewelry, cosmetics, perfume, toilet articles, silver or plated ware, household furnishings, auto parts or accessories, cooking utensils or any other goods, wares or merchandise not otherwise specifically taxed pursuant to this chapter shall pay a business tax of \$210.00 per person per month.

(f) Tool Sharpeners and Curb Painters. Any person traveling from house to house or place to place for the purpose of grinding or sharpening scissors, knives, cutlery or mechanical tools, making keys, or painting house or address numbers upon private real property or an adjacent street curb shall pay a business tax of \$25.00 per person per day.

(g) Warehousing. Any person conducting, carrying on or managing any business consisting of maintaining or renting warehouse and storage space shall pay an annual business tax of \$65.00 for every 50,000 square feet of floor space. (Ord. 1876 § 2, 6-6-89. 1990 Code § 5-1209.)



# Gilroy, CA

## Demographics:

- Population: 57,664
- County: Santa Clara
- Incorporation: March 12, 1870
- Estimated median household income: \$81,056
- Land area: 16.15 square miles
- Population Density: 3,021.7 people per square mile

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## Rate Structures and Fees - Renewal Cycles: 13.22

**Annual License:** The license year for businesses with fixed fees shall be the fiscal year commencing on July 1 and ending on June 30 next succeeding. The license year for licenses based on gross receipts shall be the calendar year commencing on January 1 and ending on December 31 next succeeding. The annual licenses shall be due and payable, and shall constitute a debt due and owing, to the city on the first day of each tax year.

Any person doing business for less than the full fiscal year for which an annual fixed license fee is provided shall be required to pay the full annual rate; provided, that any such person commencing any business after January first of any fiscal year shall be required to pay only one-half of the full annual rate for the balance of such fiscal year.

## Rate Structures and Fees

**Penalties: 13.29:** If any license provided by this chapter shall remain unpaid after the last business day of the month due, or if received in the mail with a postmark after the month due, a penalty of twenty-five (25) per cent shall be added to the amount of such license and be collected by the employee having charge of the collection of the licenses. An additional penalty of ten (10) percent shall be added for each additional month, or fraction thereof, during which the license remains unpaid.

**Delinquency: 13.20:** The city administrator may at any time bring suit in the name of the city for the recovery of license tax. In such actions a penalty of fifty (50) percent and costs shall be added to the amount of any judgment recovered by the city in addition to any other penalty or penalties then due or owing.

## Rate Schedule

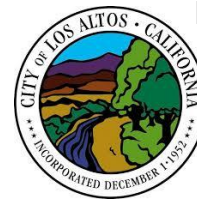
### Business Tax Rates

The rates of license fees for all businesses in the city shall be fixed and established by council resolution, and the same shall be paid by all persons engaged in business in the city.

**City of Gilroy License Tax Rates & Fees:**

<b>Inside – Fixed Place</b>	<b>Gross Receipt</b>	<b>Rate per Gross Receipt</b>
	\$0 - \$40,000	\$40
	\$40,001 - \$140,000	\$80
	\$140,001 - \$240,000	\$120
	\$240,001 - \$340,000	\$160
	\$340,001 - \$540,000	\$200
	\$540,001 - \$740,000	\$240
	\$740,001 - \$940,000	\$280
	\$940,001 - \$1,140,000	\$320
	\$1,140,001 - \$17,740,000	\$320 + \$20 per \$200,000
	\$17,740,001 or more	\$2,000

<b>Apartments</b>	<b>Number of Units</b>	<b>Rate per Units</b>
	0 - 2	\$0
	3 - 5	\$40
	6 - 20	\$80
	21 - 40	\$120
	41 - 60	\$180
	61 - 80	\$200
	81 - 100	\$240
	101 - Over	\$280



# Los Altos, CA

## Demographics:

- Population: 30,743
- County: Santa Clara
- Incorporation: December 1, 1952
- Estimated median household income: \$157,500
- Land area: 6.4 square miles
- Population Density: 28,976 people per square mile

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## Rate Structures and Fees - Renewal Cycles:

**Issuance:** 4.04.070 Every person required to have a license under the provisions of this chapter shall make application for the same to the finance director. Upon the payment of the prescribed license tax, and after issuance of any other license or permit required by law, the finance director shall issue a license to the applicant.

**Anniversary License:** 4.04.120 Unless otherwise specifically provided, all licenses shall be issued for a period of twelve (12) months and shall be renewed annually on the anniversary date of the first issue. Failure to receive a renewal notice from the city shall not excuse nonpayment or the imposition of late charges where applicable.

## Rate Structures and Fees - Penalties: 4.04.130

- A. For failure to pay a license tax within sixty (60) days after commencing business in the city, the finance director shall impose a penalty fee in an amount set by the annual fee schedule.
- B. For failure to renew a license tax on or before the due date, the finance director shall add a penalty of twenty-five (25) percent of such license tax for each month, or fraction thereof, after the due date thereof; provided, however, the amount of such penalty to be added in no event shall exceed fifty percent of the amount of the license tax due.

## Rate Schedule

### Business Tax Rates

The rates of license fees for all businesses in the city shall be fixed and established by council resolution, and the same shall be paid by all persons engaged in business in the city.

**City of Los Altos License Tax Rates & Fees:**

**Inside Contractors**

<b>Business Type</b>	<b>License Duration</b>	<b>Base Fee</b>
General Contractor (A or B)	One (1) Year	\$150
Sub-Contractor	One (1) Year	\$75

**Outside Contractors**

<b>Business Type</b>	<b>License Duration</b>	<b>Base Fee</b>
General Contractor (A or B)	Six (6) Months	\$75
General Contractor (A or B)	One (1) Year	\$150
Sub-Contractor	Six (6) Months	\$37.50
Sub-Contractor	One (1) Year	\$75

**All Other Businesses**

	<b>Base Fee</b>	<b>Additional Fee</b>
Retail / Service / Manufacturing, Wholesaling or Processing	\$75 first 5 employees	\$10/additional employee
Business Professional / Real Estate	\$180 up to 5 non-professional and 1 professional	\$75/additional professional. \$10/additional non-professional
Vehicle Delivery / Beauty Salon / Nail Salon / Barber	\$75 for 1 vehicle or chair	\$25/additional vehicle or chair





# Los Altos Hills, CA

## Demographics:

- Population: 8,580
- County: Santa Clara
- Incorporation: January 27, 1956
- Estimated median household income: \$244,000
- Land area: 8.92 square miles
- Population Density: 4,535 people per square mile

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## Rate Structures and Fees - Renewal Cycles:

**Annual License: 3-1.117:** All annual license taxes shall be due and payable in advance on the first business day in January of each year.

## Rate Structures and Fees:

**Penalties: 3-1.117:** All annual license taxes shall be due and payable in advance on the first business day in January of each year and shall become delinquent thirty (30) days thereafter. License taxes covering new business operations commenced after January 1st shall be due and payable on the day such business is commenced and shall be delinquent thirty (30) days thereafter. The license fee for a new business commenced after July 1st shall be fifty (50) percent of the annual license fee specified in this chapter for that business.

**Delinquencies: 3-1.118:** For failure to pay a license tax when due, the City Clerk shall add a penalty of a percent of the license tax on the last day of each month after the due date thereof and the amount of which shall be set by resolution; provided, however, the amount of such penalty to be added shall in no event exceed a certain percent of the amount of the license tax due, the amount of which also shall be set by resolution.

## Rate Schedule

### Business Tax Rates: 3-1.201

Every person engaged in business in the Town shall pay a license tax in the amount to be set by resolution.

**City of Los Altos License Tax Rates & Fees:**

<b>Contractors</b>		<b>Description</b>	<b>Fee</b>
		General	\$270
		Sub-Contract (1 person)	\$130
		Sub- Contract (2 or more)	\$170
<b>Real Estate Broker</b>		<b>Description</b>	<b>Fee</b>
		First Broker	\$160
		Each additional Broker exceeding 1	\$40
		Each additional Broker exceeding 3	\$15
		First 3 Employees	\$15
		Each additional Emp. Exceeding 3	\$5
<b>Other Licenses</b>			<b>Fee</b>
Home Occupation			\$110
Services			\$60



# Los Gatos, CA

## Demographics:

- Population: 30,724
- County: Santa Clara
- Incorporation: August 10, 1887
- Estimated median household income: \$122,860
- Land area: 11.25 square miles
- Population Density: 2,635.7 people per square mile

## Rate Structures and Fees- Renewal Cycles:

**Issuance Period:** 14.10.070A: Unless otherwise specifically provided, all annual license taxes under the provisions of this chapter shall be due and payable in advance on the second day of January of each year; provided, that annual license taxes covering new operations commenced after the first day of January shall be due and payable in advance at the time of filing the application..

## Rate Structures and Fees:

**Penalties:** 14.10.075: For failure to pay a license tax under this chapter when due, the Tax and License Collector shall add a penalty of twenty-five (25) percent of such license tax on the last day of each month after the due date thereof; provided, that the amount of such penalty to be added shall in no event exceed one hundred (100) percent of the amount of the license tax due. No license shall be issued to or renewed for any applicant who is delinquent in the payment of such license tax or penalty until such license tax and penalty are both paid in full.

**To Be A Debt To The Town:** 14.10.085: The amount of any license tax and penalty imposed by the provisions of this chapter shall be deemed a debt to the Town and any person carrying on any business without first having procured a license from the Town to do so shall be liable to an action in the name of the Town, in any court of competent jurisdiction, for the amount of license tax and penalties imposed on such business.

## Town of Los Gatos License Tax Rates & Fees:

Business Type	Tax Rate
Contractor	\$224
Professional	\$200
Semiprofessional	\$200

Retail	Gross Receipts	Tax Rate
	\$0 to \$50,000	\$75
	\$50,001 to \$100,000	\$112
	\$100,001 to \$150,000	\$150
	\$150,001 to \$200,000	\$188
	\$200,001 to \$250,000	\$225
	\$250,001 to \$300,000	\$263
	\$300,001 to \$350,000	\$300
	\$350,001 to \$400,000	\$338
	\$400,001 to \$450,000	\$375
	\$450,001 to \$500,000	\$413
	\$500,001 to \$600,000	\$450
	\$600,001 to \$700,000	\$488
	\$700,001 to \$800,000	\$525
	\$800,001 to \$900,000	\$563
	\$900,001 to \$1,000,000	\$600
	\$1,000,001 to \$1,100,000	\$638
	\$1,100,001 to \$1,200,000	\$675
	\$1,200,001 to \$1,300,000	\$713
	\$1,300,001 to \$1,400,000	\$750
	\$1,400,001 to \$1,500,000	\$788
	\$1,500,001 to \$1,600,000	\$825
	\$1,600,001 to \$1,700,000	\$863
	\$1,700,001 to \$1,800,000	\$900
	\$1,800,001 to \$1,900,000	\$938
	1,900,001 and Over	\$975

**Manufacturing &  
Wholesaling**

Gross Receipts	Tax Rate
\$0 to \$200,000	\$150
\$200,001 to \$300,000	\$188
\$300,001 to \$400,000	\$263
\$400,001 to \$500,000	\$338
\$500,001 to \$600,000	\$450
\$600,001 to \$700,000	\$563
\$700,001 to \$800,000	\$675
\$800,001 to \$900,000	\$788
\$900,001 to \$1,000,000	\$900
\$1,000,001 to \$1,200,000	\$1,013
\$1,200,001 to \$1,400,000	\$1,125
\$1,400,001 to \$1,600,000	\$1,238
\$1,600,001 to \$1,800,000	\$1,350
\$1,800,001 to \$2,000,000	\$1,463
\$2,000,001 to \$2,500,000	\$1,575
\$2,500,001 to \$3,000,000	\$1,688
\$3,000,001 to \$3,500,000	\$1,800
\$3,500,001 to \$4,000,000	\$1,913
\$4,000,001 to \$4,500,000	\$2,025
\$4,500,001 to \$5,000,000	\$2,138
\$5,000,001 to \$5,500,000	\$2,250
\$5,500,001 to \$6,000,000	\$2,363
\$6,000,001 to \$6,500,000	\$2,175
\$6,500,001 to \$7,000,000	\$2,588
\$7,000,001 to \$7,500,000	\$2,700
\$7,500,001 to \$8,000,000	\$2,813
\$8,000,001 to \$8,500,000	\$2,925
\$8,500,001 to \$9,000,000	\$3,038
\$9,000,001 to \$9,500,000	\$4,500
\$9,500,001 to \$10,000,000	\$4,613
\$10,000,001 to \$11,000,000	\$4,725
\$11,000,001 to \$12,000,000	\$4,838
\$12,000,001 and Over	\$4,838 + plus \$75 for each \$550,000 or fraction thereof in excess of \$12,000,000



# Milpitas, CA

## Demographics:

- Population: 80,430
- County: Santa Clara County
- Incorporation: January 26, 1954
- Estimated median household income: \$110,752
- Land area: 13.62 square miles
- Population Density: 5,922 people per square mile

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### Rate Structures and Fees - Renewal Cycles: *Title III Chapter 1.16.01:*

**Annual License:** Licenses are due first day of January of year and expire December 31<sup>st</sup> every year.

### Rate Structures and Fees - Penalties *Title III Section 21:*

**Penalties:** For failure to pay a license tax when due, the license tax collector shall add a penalty of 10% of said license tax on the last day of each month after the due date thereof, providing that the amount of such penalty to be added shall in no event exceed 100% of the amount of the license tax due.

### Rate Schedule

#### Business Tax Rates

Every person conducting a business (other than those specifically enumerated in this article) from a fixed place of business within the City shall pay a license fee according to the following schedule:

**Business License Rates**

**Flat Rate Tax**

Retail Sales or Service	
Basic rate per year	\$35.00
First 10 employees in excess of owner/manager	5.00 per person
Next 100 employees in excess of 10 employees	1.00 per person
Each additional employee in excess of 100 employees	0.25 per person
Manufacturing, wholesaling or processing	
Basic rate per year	\$35.00
First 10 employees in excess of owner/manager	5.00 per person
Next 100 employees in excess of 10 employees	1.00 per person
Each additional employee in excess of 100 employees	0.25 per person
Business or Profession	
Basic rate per year	\$35.00
First 10 employees in excess of owner/manager	5.00 per person
Each additional employee in excess of 10 employees	1.00 per person
Real Estate	
Basic rate per year	\$35.00
First 10 employees in excess of owner/manager	5.00 per person
Each additional employee in excess of 10 employees	1.00 per person

- 17-01-1.1 Real estate businesses located without a fixed place of business within the City of Milpitas shall pay the same license fees as stated in this Subsection, except that employees counted shall be those working within the City of Milpitas.

**Business License Rates**

**Flat Rate Tax**

Barber shops or beauty shops	
Basic rate per year	\$35.00
First 10 employees in excess of owner/manager	5.00 per person
Each additional employees in excess of 10 employees	1.00 per person
General contractors or subcontractors	
Basic rate per year	\$50.00
Rate per six month	\$35.00
Apartment, hotels, motels, or mobile home parks	
First four units, rooms or space	\$30.00 annually
Each additional unit, room, or space	2.00 annually
Home Occupations	
Basic Rate per year	\$25.00
All businesses not classified or enumerated	
Basic rate per year	\$35.00

- 17-01-2.1 General contractors or subcontractors located without a fixed place of business within the City of Milpitas shall pay the same license fees as stated in this Subsection for those having a fixed place of business within the City of Milpitas.
- III-1-17.03 - No Fixed Place of Business—Wholesale Deliveries or Services
  - A. Every person not having a fixed place of business within the City of Milpitas and providing wholesale sales or services shall pay an annual license tax of Fifty Dollars plus an additional sum of Ten Dollars for each vehicle in use in the City (and regardless of the number of vehicles in the City at any one time) in excess of one vehicle.
  - B. Provided, however, that the total tax under this Section shall not exceed One Hundred and Ten Dollars plus the fee for identification tags specified in Subsection III-1-17.08. (Ord. 76.9, 4/6/71)
- III-1-17.04 - Transient Vendors Every individual who does not have a fixed place of business within a commercial or industrial zoned area in the City of Milpitas and who goes in or upon any private residence in the City of Milpitas not having been requested or invited to do so by an owner or occupant of said premises for the purpose of soliciting orders for or selling, renting or delivering or agreeing to sell, rent or deliver any goods, wares or merchandise, or soliciting orders for or providing or agreeing to provide any work, labor or services shall pay an annual license tax of One Hundred Dollars.
- 17.04-1 The license tax imposed under this Subsection III-1-17.04 is a license tax upon individuals, and each individual is subject to the provisions of this Subsection III-1-17.04, regardless of whether he is an employee of another.
- 17.04-2 As used herein, "individual" shall not include salesmen or agents of wholesale businesses or firms who solicit orders from licensed retail dealers for resale, or who solicit orders from licensed manufacturers for manufacturing purposes, or to bidders for public works or supplies.



## Morgan Hill, CA



### Demographics:

- Population: 45,037
- County: Santa Clara
- Incorporation: November 10, 1906
- Estimated median household income: \$107,161
- Land area: 12.76 square miles
- Population Density: 3,277 people per square mile

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### Rate Structures and Fees - Renewal Cycles: 5.04.130:

**Annual License:** All license taxes required to be paid by this chapter, except where otherwise specifically provided in this chapter shall be due and payable as follows:

- A. Annual licenses, July 1 of each year.

### Rate structures and fees- Penalties: 5.04.340

**Penalties:** Every annual license which is not paid within a period of thirty days from the time the same becomes due and payable is declared to be delinquent, and the license administrator shall thereupon add to the license and collect a penalty of ten percent of the license so delinquent, and if such license is not paid within sixty days from the time such license becomes due and payable, an additional sum of fifteen percent of the license tax due shall be added and collected as a penalty.

**City of Morgan Hill License Tax Rates & Fees:**

**In City:**

<b>Business License Rates</b>	<b>Flat Rate Tax</b>
Home-based businesses	\$20
Construction Contractors	\$60
Apartments	\$15 + \$3 per unit

**Outside City:**

<b>Business License Rates</b>	<b>Flat Rate Tax</b>
No Fixed	\$45
Construction Contractors	\$60

<b>Business License Rates</b>	<b>Flat Rate Tax</b>	<b>Employee Type</b>	<b>Employee</b>
In City Commercial	\$20 + # of employees	Full-time	\$6
	\$20 + # of employees	Part-time	\$3
In City Professionals	\$60 + # of employees	Full-time	\$5
	\$60 + # of employees	Part-time	\$3



# Mountain View, CA

## Demographics:

- Population: 83,377
- County: Santa Clara County
- Incorporation: November 07, 1902
- Estimated median household income: \$120,351
- Land area: 12 square miles
- Population Density: 6,174 people per square mile

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### Rate Structures and Fees - Renewal Cycles: Chapter 18 - 18.10:

**Annual License:** The annual business license taxes shall be due and payable to the city on the first day of January of each year, unless otherwise established by resolution of the city council. All business license taxes under this chapter shall be paid by the due date in the legal currency of the United States at the office of the tax administrator

### Rate Structures and Fees - Penalties 18.12:

**Original Delinquency:** Any person who is subject to the business license tax who fails to remit any amount imposed by this chapter within the time required shall pay a penalty of ten (10) percent of the amount of the business license tax owed in addition to the amount due.

**Continued Delinquency:** Any person who is subject to the business license tax who fails to remit any delinquent remittance on or before a period of thirty (30) days following the date on which the remittance first became delinquent shall pay a second delinquency penalty of ten (10) percent of the amount of the business license tax owed in addition to the amount of the tax and the ten (10) percent penalty first imposed.

**Fraud:** If the tax administrator determines that the nonpayment of any remittance due under this chapter is due to fraud, a penalty of twenty-five (25) percent of the amount of the business license tax shall be added thereto in addition to the penalties stated in subparagraphs a. and b. of this section.

**Interest:** In addition to the penalties imposed, any person engaged in a business who fails to remit any business license tax imposed by this chapter shall pay interest at the rate of one (1) percent per month or fraction thereof on the amount of the business license tax, exclusive of penalties, from the date on which the remittance first became delinquent until paid.

**Penalties Merged With Tax:** Every penalty imposed and such interest as accrues under the provisions of this section shall become a part of the business license tax herein required to be paid.

## Rate Schedule

### Business Tax Rates

**Sec.18.16 License Tax Imposed; Method of Calculation:** Every Business operator in the city shall pay an annual business registration and license tax based on the average number of employees of the business in the city, in the most recent four (4) quarters completed before the date of the payment as set forth. The average number of employees of the business shall be the number of employees reported to the Employment Development Department. The average number of employees of the business may also be disclosed in a manner as approved by the tax administrator.

Business Type	Code Sec.	Base Registration Tax	Employee Rate
In City Businesses	18.16	Number of Employees	Authorized Maximum Business Registration and License Tax
		1	\$75
		2-25	\$75 + \$5/employee for each employee over 1
		26-50	\$195 + \$10/employee for each employee over 25
		51-500	\$445 + \$75/employee for each employee over 50 employees
		501-1,000	\$34,195 + \$100/employee for each employee over 500 employees
		1,001 – 5,000	\$84,195 + \$125/employee for each employee over 1,000
		5,001 +	\$584,195 + \$150/employee for each employee over 5,000

Business Type	Code Sec.	Annual Rate
Out-of-Town Businesses	18.16	6-64 Days 25%
		65-129 Days 50%
		130+ Days 100%

# Palo Alto, CA



## Demographics:

- Population: 67,1785
- County: Santa Clara
- Incorporation: April 21, 1894
- Estimated median household income: \$137,000
- Land area: 25.77 square miles
- Population Density: 2,497 people per square mile

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### Rate Structures and Fees - Renewal Cycles: 4.04.070:

**Annual License:** Unless otherwise specified in the provisions covering a particular license ... annual licenses shall expire on June 30th.

### Rate structures and fees- Penalties: 4.04.080

**Debt to City:** The amount of any license or permit fee imposed under any section of this title shall be deemed a debt owing to the city at the time of the commencement of the business, occupation, or activity requiring such license or permit fee and payment thereof.

**Delinquent Fees:** All license and permit fees delinquent for thirty days or more shall be subject to a charge of fifty percent of the original fee, which charge shall be added to the amount of the fee collected; provided, however, the minimum charge shall be as set forth in the municipal fee schedule.

### City of Palo Alto License Tax Rates & Fees:

Business Registry	Fee
	\$50 per Business

# Redwood City, CA



## Demographics:

- Population: 86,201
- County: San Mateo County
- Incorporation: 1867
- Estimated median household income: \$90,461
- Land Area: 19 square miles
- Population Density: 4,546 people per square mile

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## Rate Structures and Fees - Renewal Cycles: Chapter 5 Article V:

**Annual License:** All license taxes due hereunder shall be paid in advance in the lawful money of the United States at the office of the Director. All license taxes due hereunder shall be due and payable and delinquent as follows:

General: Except as provided in subdivision B hereinafter, all license taxes shall be due and payable on or before the first day of the period for which the license is issued and shall become delinquent thirty (30) calendar days thereafter.

Daily, Weekly, Monthly Period: All license taxes issued for a daily, weekly or monthly period shall be payable in advance of the commencement of business of the business specified therein and shall be delinquent upon commencement of such business.

## Rate Structures and Fees - Penalties Sec. 32.108:

To all delinquent license taxes there shall be added a penalty of ten percent (10%) of the amount of the tax due plus an additional ten percent (10%) for each month delinquent thereafter providing that the amount of any penalty shall in no event exceed one hundred percent (100%) of the amount of the license tax due.

**Base Tax Rate:** The annual rate for the base tax is:

\$43.00 effective July 1, 2012;  
\$50.00 effective July 1, 2013; and  
\$58.00 effective July 1, 2014.

**Incremental Tax Rate:** Except where some other rate is set forth in [Section 32.154](#), the rate for the incremental tax is:

\$28.00 per employee, effective July 1, 2012;  
\$33.00 per employee, effective July 1, 2013; and  
\$38.00 per employee, effective July 1, 2014.

The number of employees for a business shall be the average number of persons employed, including employees of contractors, subcontractors and professional persons engaged in or to be engaged in such business.

**Business Tax Rates**

Business Tax	Base Rate	Unit Tax (add to base tax)
Residential Property Rental	\$21	per unit of dwelling space in excess of 3 units
Non-Residential Property	\$21	per 1,000 sq.ft or fraction
Real Estate Brokerage	\$39	per salesperson or employee
Dance Hall Operator	\$579	Flat annual
Vehicle Wrecking Facility	\$579	Flat annual
Christmas Tree Lot Sales	\$579	Flat annual
Commercial Advertising	\$579	Flat annual
Fortunetelling	\$579	Flat annual
Junk Collector	\$579	Flat annual
Pawnbroker	\$579	Flat annual
Itinerant Vendor	\$39	Per week
Solicitors/Hawkers	\$39	Per day
Peddlers	\$39	Per person
Curb Painters	\$21	Per day per person
Carnival Operator	\$482	Per day
Coin-operated Device	\$11	Per device
Com. Advertising Vehicle	\$58	Per vehicle (base tax not applicable)
Contracting	\$39	Flat annual

**Sec. 32.155. - Maximum Tax:**

Notwithstanding anything to the contrary contained in this Article, the annual business license tax payable for any one business shall not exceed:

\$3,535.00 effective July 1, 2012;  
\$4,124 effective July 1, 2013; and  
\$4,811 effective July 1, 2014.

## San Jose, CA

### Demographics:



- Population: 1,043,058
- County: Santa Clara County
- Incorporation: March 27, 1850
- Estimated median household income: \$104,675
- Land area: 180 square miles
- Population Density: 5,789 people per square mile

### Rate Structures and Fees - Renewal Cycles:

**Annual License:** Due 15<sup>th</sup> day of the calendar month in which the business began

### Rate Structures and Fees - Penalties

**Penalties:** If the tax is unpaid by the due date, a penalty of 25% will be added. If the tax is unpaid for one calendar month beyond the due date, and additional 25% penalty will be added. An interest rate of 1.5% will also be added unpaid tax and penalties.

### City of San Jose Business License Tax Rates & Fees:

Businesses	Employee Count	Tax
	Base Tax 1-2 employees	\$201
	Incremental Tax: 3-35	\$32
	Incremental Tax: 36 - 100	\$42
	Incremental Tax: 101-500	\$53
	Incremental Tax: 501+	\$64
	Cap	\$159,135

- Businesses Choose between calculating the number of employees based on full-time equivalent (FTE) or based on the number employees report to the California Employment Development Department (EDD).
- Incremental Tax rates are applicable per employee.
- As prescribed in San Jose Municipal Code Section 4.76.365, the base tax shall be adjusted annually if the cost of living in the City has increased over the preceding base period as shown by the Consumer Price Index (All Urban Consumers for all items for the San Francisco-Oakland-San Jose area) using February to February data; limited to 1.5% per year on the minimum base tax 3.0% per year on the incremental tax brackets and 3.0% per year on the Cap.



Residential Landlords	Rental Units	Tax
	Base Tax: 1-2 Units	\$201
	Incremental Tax: 3-35 <sup>1</sup>	\$11
	Incremental Tax: 36-100 <sup>1</sup>	\$16
	Incremental Tax: 101-500 <sup>1</sup>	\$22
	Incremental Tax: 501+ <sup>1</sup>	\$27
	Cap	\$159,135

Commercial Landlords	Square Foot	Tax
	Base Tax	\$201
	Flat Incremental Tax: per Square Foot <sup>1</sup>	\$0.0265
	Cap	\$159,135

Mobile Home Parks	Rental Lot	Tax
	Base Tax 1-2 Lots	\$201
	Incremental Tax: 3+ lots <sup>1</sup>	\$11
	CAP	\$159,135

Water Meter Connections	Gross Receipts Tax	Tax
	Base Tax 1-2 employees	\$201
	Flat Incremental Tax: 1+ connections <sup>1</sup>	\$1
	CAP	\$159,135

#### Out of Town Business Employee Count

Employee Count	5 or less days	6 - 29 Days	30 - 89 Days	90 - 119 Days	120 Days
Base Tax 1-2 employees	\$0	\$50	\$75	\$100	\$201
Flat Incremental Tax 3-35	\$0	\$8	\$12	\$16	\$32
Flat Incremental Tax 101-500	\$0	\$13	\$20	\$27	\$53
Flat Incremental Tax 500+	\$0	\$16	\$24	\$32	\$64
CAP	\$0	\$159,135	\$159,135	\$159,135	\$159,135

For businesses in San Jose only 5 or less days, there is no fee, but the business is still required to submit registration.



# San Mateo, CA

## Demographics:

- Population: 104,748
- County: San Mateo County
- Incorporation: September 3, 1894
- Estimated median household income: \$103,400
- Land area: 15.88 square miles
- Population Density: 8,013.8 people per square mile

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### Rate Structures and Fees- Renewal Cycles: 5.06.030:

**Annual License:** Business Taxes. As established by resolution of the Council or, in the case of a new business, prior to its commencement. They shall be valid only for the period of the certificate issued. *(Current Council resolution defines effective period of all annual licenses as expiring on December 31 of any given year)*

**6 Month License:** *(Council resolution defines effective period of all 6 month licenses as expiring at the end of the 6<sup>th</sup> month from the date of issuance)*

**3 Month License:** *(Council resolution defines effective period of all 3 month licenses as expiring at the end of the 3<sup>rd</sup> month from the date of issuance)*

**Daily License:** *(Council resolution defines effective period of all daily licenses as expiring at the end of the same day that the license was issued)*

### Rate Structures and Fees- Penalties 5.27.010:

**Delinquency:** If a tax certificate is not renewed by payment of the annual business tax by the 45th day after the tax becomes due, the Tax Collector shall add to the amount due, as a penalty, 5% thereof for each 30 days or fraction thereof after the 45th day that the tax is unpaid, provided that after 150 days from said 45th day, and after 7 days' notice from the Tax Collector, the penalty shall be 100% of the tax.

**Double Business Taxes:** Notwithstanding any other provision of this title, any person who has conducted any business in this city for which a tax payment is required, without first having paid the business tax due, and after having received seven days' notice from the collector in any year of the need to pay the tax, shall pay a business tax as follows:

If such a tax is payable in advance for a certain period the tax shall be double the amount otherwise required for such purpose and period, or double the amount otherwise required for the period during which the business has been conducted without paying the tax, whichever is the greater.

**License Tax Imposed 5.06.010:** It is unlawful for any person, either for himself or for any person, to commence or carry on any business in the City, without first having paid the applicable business taxes

and having obtained the tax certificate provided for in this title as proof of payment to the City, to do so, or without complying with any and all regulations of such business, contained in this title.

Business Type	Code Sec.	Annual Gross Receipts	Tax Rate
All Businesses Other Than Below	5.24.190	\$30,000 and under	\$31.00
		30,001 – 40,000	\$37.50
		40,001 – 45,000	\$47.00
		45,001 – 50,000	\$56.50
		50,001 – 55,000	\$67.50
		55,001 – 65,000	\$77.00
		65,001 – 70,000	\$86.50
		70,001 – 75,000	\$97.50
		75,001 – 80,000	\$107.00
		80,001 – 85,000	\$116.50
		85,001 – 90,000	\$127.50
		90,001- 95,000	\$137.00
		95,001 – 100,000	\$143.50
		Over 100,000	\$143.50 + \$3.60 per \$5,000 gross receipts over \$100,000

Business Type	Code Sec.	Classification	Tax Rate
Contractors	5.24.090	General Contractor	\$128.00
		Specialty Contractor	\$53.00

Business Type	Code Sec.	Classification	Tax Rate
Automotive Industry	5.24.030	Automobile Sales	\$93.00
		Automobile Repair	\$37.00
		Gasoline Sales	\$106.00
		Public Garage/ Parking Lot	\$30.00

Business Type	Code Sec.	Classification	Tax Rate
Minor Business Class	5.24.020	Auctioneer	\$100 + \$50 per day
	5.24.060	Carnival	\$30 per day
	5.24.070	Tree & pumpkin sale lots	\$50 per season
	5.24.080	Circus	\$150 + \$30 per day
	5.24.140	Pawnbroker	\$30 annual
	5.24.150	Peddler	\$30 annual
	5.24.130	Newspaper/ magazine publishing	\$100 for daily publishers, \$75 for non-daily publishers
	5.24.170	Public dance	\$30 per night or \$120 annual
	5.24.180	Real estate broker	\$50 + \$5 per salesman
	5.24.200	Private school	\$50 annual
	5.24.210	Shows – exhibitions	\$200 annual or \$50 per quarter
	5.24.220	Solicitor	\$75/ quarter + \$5 per solicitor over 2
	5.24.240	Street vendor	\$10 per day
	5.24.250	Temporary vendor	\$20 per day + \$5 per employee over 3
	5.24.260	Hauling, draying or moving	\$30 per vehicle, annual
	5.24.280	Water company	1.35% of gross receipts



# Santa Clara, CA

## Demographics:

- Population: 128,717
- County: Santa Clara County
- Incorporation: July 05, 1852
- Estimated median household income: \$108,609
- Land area: 18.41 square miles
- Population Density: 6,905 people per square mile

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### Rate Structures and Fees - Renewal Cycles: 3.40.100:

**Annual License:** The annual business tax imposed under the provision of this chapter shall be due and payable at the time of commencement of business activity or upon occupying space in the business community and such certificate shall expire twelve (12) months after the date of application. The tax for the renewal of such certificate shall be due and payable upon expiration of the prior certificate. No tax paid herein shall be refundable.

### Rate Structures and Fees- Penalties 3.40.110:

(a) Any person who fails to apply for a tax certificate and fails to pay the tax as determined on or within thirty (30) days after opening, engaging in business, or occupying space in the business community, shall be subject to a penalty of one hundred percent (100%) of the tax due.

(b) Every annual tax which is not received and paid within a period of thirty (30) days after the tax became due is hereby declared to be delinquent, and a penalty of one hundred percent (100%) of the tax will be added to the tax due.

(c) Whenever a check is submitted in payment of a business tax and said check is subsequently returned unpaid by the bank upon which said check is drawn for any reason, the taxpayer shall be liable to pay a nonsufficient funds charge, the correct tax amount due, and a penalty.

(d) If any person fails to pay the annual renewal tax within ninety (90) days after the tax becomes due, his or her business tax certificate is considered revoked. The City is not required to send a notice of revocation for the revocation to be valid. Following revocation, the person must reapply for a new business tax certificate, pursuant to SCCC 3.40.061, and pay all associated penalties. Failure to reapply for a new business tax certificate shall constitute a violation, pursuant to SCCC.

**City of Santa Clara Business License Tax Rates & Fees:**

Every person having a fixed place of business within the city and who engages in any business not listed in SCCC [3.40.330](#) shall pay a tax based on the number of employees as defined and set forth in this chapter, according to the following rate schedules:

**3.40.350 Rental units.**

(a) Every person engaged in the business of renting rooms, apartments, single-family houses, or other accommodations for dwelling, sleeping or lodging purposes, in the city shall pay the following tax:

- (1) Three dollars (\$3.00) per annum for each rental unit;
- (2) Provided, however, that no tax shall be payable under this section, unless the person engaged in such business operates three or more rental units in the city.

(b) As used in this section, unit means a room or suite of two or more rooms (including, but not limited to single-family houses) designed for or used as separate accommodations for dwelling, sleeping or lodging purposes by a person living alone or two or more persons living together.

Business Type	Code Sec.	Commercial Employees	Employee Rate
Schedule 100	3.40.310	1	\$15
		2-5	\$30
		6-10	\$70
		11-15	\$90
		16-20	\$115
		21-25	\$175
		26-30	\$225
		31-40	\$280
		41-55	\$330
		56-75	\$380
		76-100	\$460
		101+	\$500

Professionals	Code Sec.	Professional Employee	Professional Rate
Schedule 200	3.40.310	1	\$15
		2-3	\$30
		4-6	\$70
		7-10	\$90
		11-20	\$115
		21-25	\$175
		26-35	\$225
		36-40	\$280
		41-45	\$330
		46-50	\$380
		51-55	\$460
		56+	\$500

Manufacturing	Code Sec.	Employees	Tax
Schedule 300	3.40.310	1-3	\$15
		4-20	\$45
		21-30	\$65
		31-50	\$100
		51-75	\$135
		46-100	\$175
		101-125	\$225
		126-175	\$280
		226-300	\$380
		301-400	\$460
		401+	\$500

-Business Subject to fixed 3.40.330

<b>Business Type</b>	<b>Fee.</b>	<b>Description</b>
<b>Total number of units</b>		
Ambulance Service	\$45	Plus \$15 per ambulance used in such service
Carnival	\$150	Per day
Carnival	\$15	Concession, Ride, sideshow per each, per day
Christmas Tree	\$150	Christmas Tree sales (as defined in SCCC 5.15.030)
Circus	\$150	Per day
Circus	\$15	Concession, Ride, Sideshow, per each, per day
Detective	\$150	Detective agency
Entertainment	\$263	Entertainment permit Class I first year
Entertainment	\$210	Annual Renewal
Entertainment	\$90	Entertainment Class II first year
Entertainment	\$75	Annual renewal
Entertainment	\$413	Entertainment Class III first year
Entertainment	\$360	Annual Renewal
Escort	\$150	Escort Service (personal)
Escort	\$150	Escort Service (funeral)
Fortuneteller	\$15	As defined in SCCC 5.45.010
Bus	\$150	Intercity bus service and public transportation
Itinerant	\$225	Itinerant Merchant (maximum 190 Days)
Parade	\$15	Parade Vendor (per Parade)
Pawnbroker	\$150	As defined by SCCC 5.05.010
Peddler	\$113	As defined by SCCC 5.05.10
Promotional	\$150	Promotional show per day
Promotional	\$15	Concession, ride, sideshow per each, per day
Pumpkin	\$150	Pumpkin Sale lots (as defined by SCCC 5.15.030)
Seasonal	\$150	Seasonal items sales lot (as defined in SCCC 5.15.030)
Secondhand Dealer	\$150	Secondhand dealer (as defined in SCCC <a href="#">5.30.020</a> )
Solicitor	\$113	Solicitor as defined by SCCC 5.05.010
State Licensed	\$45	State licensed contractors
Taxicab	\$15	Taxicab per vehicle
Taxicab	\$90	Taxicab stand





## Saratoga, CA

### Demographics:

- Population: 30,905
- County: Santa Clara
- Incorporation: October 22, 1956
- Estimated median household income: \$173,136
- Land area: 12.48 square miles
- Population Density: 2,396 people per square mile

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### Rate Structures and Fees - Renewal Cycles: 4-05.090:

**Annual License:** All licenses required to be obtained pursuant to this Article shall be annual licenses issued for a period commencing on the date of issuance of the license and expiring one year later.

### Rate Structures and Fees- Penalties 4-05.110:

**Original delinquency:** Any person who fails to pay any business license fee within thirty days after the time it is due and payable under the terms of this Article, shall pay a penalty of ten percent of the amount of the fee in addition thereto...

**Continued delinquency.** An additional ten percent of the amount of such fee for each month of continued delinquency after the first month; provided, however, that the amount of such penalty shall in no event exceed the amount of the original license fee.

**New business delinquency.** In the case of a new business these penalties will be assessed if the license fee is not paid within thirty days of notification that a business license is required.

### License Tax Imposed 4-05.050:

It shall be unlawful for any person, whether as principal or agent, clerk or employee, either for himself or for any other person, to commence, engage in, conduct or carry on any business in the City not otherwise excluded by this Article, without first having registered such business with the City and having procured a license from the City to conduct such business, or without complying with any and all provisions contained in this Article.

Business Type	Code Sec.	Classification In excess of 100	Tax Rate
Major Business Class	4-06.030	Contractor/ Subcontractor	\$45
	4-06.070	Home Occupation	\$100 per occupation
	4-06.140	All Other Businesses	\$100 + \$10 per employee up to \$200

Business Type	Code Sec.	Classification In excess of 100	Tax Rate
Property Leasing	4-06.090	Commercial Property	\$100 + \$3 per 1,000 sq. ft. in excess of 5,000; up to 72,000 sq. ft.
	4-06.130	Residential Property	\$100 + \$5 per unit over 4 units, maximum of 40 units

Business Type	Code Sec.	Classification In excess of 100	Tax Rate
Minor Business Class	4-06.020	Jukebox/ Amusement Device	\$50 per device
	4-06.040	Delivery Systems	\$100 per business
	4-06.020	Theatrical Performance	\$100 per year or \$10 per performance
	4-06.020	Carnival/ Circus	\$250 per day
	4-06.050	Escort Service or Bureau	\$500 + \$100 per employee

Business Type	Code Sec.	Classification In excess of 100	Tax Rate
Vending Machines	4-06.120	Products sold for \$0.25 or less	\$25 per machine
		Products sold for \$0.26 to \$1.00	\$45 per machine
		Products sold for \$0.26 to \$2.00	\$55 per machine
		Products sold for \$0.26 to \$3.00	\$65 per machine
		Products sold for more than \$3.00	\$75 per machine





## 2019 &amp; 2020 BUSINESS LICENSE TAX STRUCTURE

Amount due = 2019 Tax + 2020 Tax + \$4.00 State CASp Fee

To determine the tax due, look up the # of Employees / # of Rental Units in Sunnyvale (which ever one is higher). The amount due is the total found in the column 2019 + 2020 + CASp. Sunnyvale collects on a 2 year cycle and the base year amounts are listed for reference purposes only. If you have any questions, please contact our office at BusinessLicense@sunnyvale.ca.gov or 408-730-7620.

## TWO-YEAR BUSINESS LICENSE TAX TABLE

# of Employees or Rental Units	2019 + 2020 + CASp	2019 Tax	2020 Tax	# of Employees or Rental Units	2019 + 2020 + CASp	2019 Tax	2020 Tax	# of Employees	2019 + 2020 + CASp	2019 Tax	2020 Tax	# of Employees	2019 + 2020 + CASp	2019 Tax	2020 Tax
1	\$ 81.15	\$ 38.26	\$ 38.89	241-245	\$ 6,389.68	\$ 3,126.20	\$ 3,259.48	481-485	\$ 12,645.04	\$ 6,188.60	\$ 6,452.44	726-730	\$ 19,030.72	\$ 9,314.80	\$ 9,711.92
2-5	\$ 134.32	\$ 63.80	\$ 66.52	246-250	\$ 6,520.00	\$ 3,190.00	\$ 3,326.00	486-490	\$ 12,775.36	\$ 6,252.40	\$ 6,518.96	731-735	\$ 19,161.04	\$ 9,378.60	\$ 9,778.44
6-10	\$ 264.64	\$ 127.60	\$ 133.04	251-255	\$ 6,650.32	\$ 3,253.80	\$ 3,392.52	491-495	\$ 12,905.68	\$ 6,316.20	\$ 6,585.48	736-740	\$ 19,291.36	\$ 9,442.40	\$ 9,844.96
11-15	\$ 394.96	\$ 191.40	\$ 199.56	256-260	\$ 6,780.64	\$ 3,317.60	\$ 3,459.04	496-500	\$ 13,036.00	\$ 6,380.00	\$ 6,652.00	741-745	\$ 19,421.68	\$ 9,506.20	\$ 9,911.48
16-20	\$ 525.28	\$ 255.20	\$ 266.08	261-265	\$ 6,910.96	\$ 3,381.40	\$ 3,525.56	501-505	\$ 13,166.32	\$ 6,443.80	\$ 6,718.52	746-750	\$ 19,552.00	\$ 9,570.00	\$ 9,978.00
21-25	\$ 655.60	\$ 319.00	\$ 332.60	266-270	\$ 7,041.28	\$ 3,445.20	\$ 3,592.08	506-510	\$ 13,296.64	\$ 6,507.60	\$ 6,785.04	751-755	\$ 19,682.32	\$ 9,633.80	\$ 10,044.52
26-30	\$ 785.92	\$ 382.80	\$ 399.12	271-275	\$ 7,171.60	\$ 3,509.00	\$ 3,658.60	511-515	\$ 13,426.96	\$ 6,571.40	\$ 6,851.56	756-760	\$ 19,812.64	\$ 9,697.60	\$ 10,111.04
31-35	\$ 916.24	\$ 446.60	\$ 465.64	276-280	\$ 7,301.92	\$ 3,572.80	\$ 3,725.12	516-520	\$ 13,557.28	\$ 6,635.20	\$ 6,918.08	761-765	\$ 19,942.96	\$ 9,761.40	\$ 10,177.56
36-40	\$ 1,046.56	\$ 510.40	\$ 532.16	281-285	\$ 7,432.24	\$ 3,636.60	\$ 3,791.64	521-525	\$ 13,687.60	\$ 6,699.00	\$ 6,984.60	766-770	\$ 20,073.28	\$ 9,825.20	\$ 10,244.08
41-45	\$ 1,176.88	\$ 574.20	\$ 598.68	286-290	\$ 7,562.56	\$ 3,700.40	\$ 3,858.16	526-530	\$ 13,817.92	\$ 6,762.80	\$ 7,051.12	771-775	\$ 20,203.60	\$ 9,889.00	\$ 10,310.60
46-50	\$ 1,307.20	\$ 638.00	\$ 665.20	291-295	\$ 7,692.88	\$ 3,764.20	\$ 3,924.68	531-535	\$ 13,948.24	\$ 6,826.60	\$ 7,117.64	776-780	\$ 20,333.92	\$ 9,952.80	\$ 10,377.12
51-55	\$ 1,437.52	\$ 701.80	\$ 731.72	296-300	\$ 7,823.20	\$ 3,828.00	\$ 3,991.20	536-540	\$ 14,078.56	\$ 6,890.40	\$ 7,184.16	781-785	\$ 20,464.24	\$ 10,016.60	\$ 10,443.64
56-60	\$ 1,567.84	\$ 765.60	\$ 798.24	301-305	\$ 7,953.52	\$ 3,891.80	\$ 4,057.72	541-545	\$ 14,208.88	\$ 6,954.20	\$ 7,250.68	786-790	\$ 20,594.56	\$ 10,080.40	\$ 10,510.16
61-65	\$ 1,698.16	\$ 829.40	\$ 864.76	306-310	\$ 8,083.84	\$ 3,955.60	\$ 4,124.24	546-550	\$ 14,339.20	\$ 7,018.00	\$ 7,317.20	791-795	\$ 20,724.88	\$ 10,144.20	\$ 10,576.68
66-70	\$ 1,828.48	\$ 893.20	\$ 931.28	311-315	\$ 8,214.16	\$ 4,019.40	\$ 4,190.76	551-555	\$ 14,469.52	\$ 7,081.80	\$ 7,383.72	796-800	\$ 20,855.20	\$ 10,208.00	\$ 10,643.20
71-75	\$ 1,958.80	\$ 957.00	\$ 997.80	316-320	\$ 8,344.48	\$ 4,083.20	\$ 4,257.28	556-560	\$ 14,599.84	\$ 7,145.60	\$ 7,450.24	801-805	\$ 20,985.52	\$ 10,271.80	\$ 10,709.72
76-80	\$ 2,089.12	\$ 1,020.80	\$ 1,064.32	321-325	\$ 8,474.80	\$ 4,147.00	\$ 4,323.80	561-565	\$ 14,730.16	\$ 7,209.40	\$ 7,516.76	806-810	\$ 21,115.84	\$ 10,335.60	\$ 10,776.24
81-85	\$ 2,219.44	\$ 1,084.60	\$ 1,130.84	326-330	\$ 8,605.12	\$ 4,210.80	\$ 4,390.32	566-570	\$ 14,860.48	\$ 7,273.20	\$ 7,583.28	811-815	\$ 21,246.16	\$ 10,399.40	\$ 10,842.76
86-90	\$ 2,349.76	\$ 1,148.40	\$ 1,197.36	331-335	\$ 8,735.44	\$ 4,274.60	\$ 4,456.84	571-575	\$ 14,990.80	\$ 7,337.00	\$ 7,649.80	816-820	\$ 21,376.48	\$ 10,463.20	\$ 10,909.28
91-95	\$ 2,480.08	\$ 1,212.20	\$ 1,263.88	336-340	\$ 8,865.76	\$ 4,338.40	\$ 4,523.36	576-580	\$ 15,121.12	\$ 7,400.80	\$ 7,716.32	821-825	\$ 21,506.80	\$ 10,527.00	\$ 10,975.80
96-100	\$ 2,610.40	\$ 1,276.00	\$ 1,330.40	341-345	\$ 8,996.08	\$ 4,402.20	\$ 4,589.88	581-585	\$ 15,251.44	\$ 7,464.60	\$ 7,782.84	826-830	\$ 21,637.12	\$ 10,590.80	\$ 11,042.32
101-105	\$ 2,740.72	\$ 1,339.80	\$ 1,396.92	346-350	\$ 9,126.40	\$ 4,466.00	\$ 4,656.40	586-590	\$ 15,381.76	\$ 7,528.40	\$ 7,849.36	831-835	\$ 21,767.44	\$ 10,654.60	\$ 11,108.84
106-110	\$ 2,871.04	\$ 1,403.60	\$ 1,463.44	351-355	\$ 9,256.72	\$ 4,529.80	\$ 4,722.92	591-595	\$ 15,512.08	\$ 7,592.20	\$ 7,915.88	836-840	\$ 21,897.76	\$ 10,718.40	\$ 11,175.36
111-115	\$ 3,001.36	\$ 1,467.40	\$ 1,529.96	356-360	\$ 9,387.04	\$ 4,593.60	\$ 4,789.44	596-600	\$ 15,642.40	\$ 7,656.00	\$ 7,982.40	841-845	\$ 22,028.08	\$ 10,782.20	\$ 11,241.88
116-120	\$ 3,131.68	\$ 1,531.20	\$ 1,596.48	361-365	\$ 9,517.36	\$ 4,657.40	\$ 4,855.96	601-605	\$ 15,772.72	\$ 7,719.80	\$ 8,048.92	846-850	\$ 22,158.40	\$ 10,846.00	\$ 11,308.40
121-125	\$ 3,262.00	\$ 1,595.00	\$ 1,663.00	366-370	\$ 9,647.68	\$ 4,721.20	\$ 4,922.48	606-610	\$ 15,903.04	\$ 7,783.60	\$ 8,115.44	851-855	\$ 22,288.72	\$ 10,909.80	\$ 11,374.92
126-130	\$ 3,392.32	\$ 1,658.80	\$ 1,729.52	371-375	\$ 9,778.00	\$ 4,785.00	\$ 4,989.00	611-615	\$ 16,033.36	\$ 7,847.40	\$ 8,181.96	856-860	\$ 22,419.04	\$ 10,973.60	\$ 11,441.44
131-135	\$ 3,522.64	\$ 1,722.60	\$ 1,796.04	376-380	\$ 9,908.32	\$ 4,848.80	\$ 5,055.52	616-620	\$ 16,163.68	\$ 7,911.20	\$ 8,248.48	861-865	\$ 22,549.36	\$ 11,037.40	\$ 11,507.96
136-140	\$ 3,652.96	\$ 1,786.40	\$ 1,862.56	381-385	\$ 10,038.64	\$ 4,912.60	\$ 5,122.04	621-625	\$ 16,294.00	\$ 7,975.00	\$ 8,315.00	866-870	\$ 22,679.68	\$ 11,101.20	\$ 11,574.48
141-145	\$ 3,783.28	\$ 1,850.20	\$ 1,929.08	386-390	\$ 10,168.96	\$ 4,976.40	\$ 5,188.56	626-630	\$ 16,424.32	\$ 8,038.80	\$ 8,381.52	871-875	\$ 22,810.00	\$ 11,165.00	\$ 11,641.00
146-150	\$ 3,913.60	\$ 1,914.00	\$ 1,995.60	391-395	\$ 10,299.28	\$ 5,040.20	\$ 5,255.08	631-635	\$ 16,554.64	\$ 8,102.60	\$ 8,448.04	876-880	\$ 22,940.32	\$ 11,228.80	\$ 11,707.52
151-155	\$ 4,043.92	\$ 1,977.80	\$ 2,062.12	396-400	\$ 10,429.60	\$ 5,104.00	\$ 5,321.60	636-640	\$ 16,684.96	\$ 8,166.40	\$ 8,514.56	881-885	\$ 23,070.64	\$ 11,292.60	\$ 11,774.04
156-160	\$ 4,174.24	\$ 2,041.60	\$ 2,128.64	401-405	\$ 10,559.92	\$ 5,167.80	\$ 5,388.12	641-645	\$ 16,815.28	\$ 8,230.20	\$ 8,581.08	886-890	\$ 23,200.96	\$ 11,356.40	\$ 11,849.56
161-165	\$ 4,304.56	\$ 2,105.40	\$ 2,195.16	406-410	\$ 10,690.24	\$ 5,231.60	\$ 5,454.64	646-650	\$ 16,945.60	\$ 8,294.00	\$ 8,647.60	891-895	\$ 23,331.28	\$ 11,420.20	\$ 11,907.08
166-170	\$ 4,434.88	\$ 2,169.20	\$ 2,261.68	411-415	\$ 10,820.56	\$ 5,295.40	\$ 5,521.16	651-655	\$ 17,075.92	\$ 8,357.80	\$ 8,714.12	896-900	\$ 23,461.60	\$ 11,484.00	\$ 11,973.60
171-175	\$ 4,565.20	\$ 2,233.00	\$ 2,328.20	416-420	\$ 10,950.88	\$ 5,359.20	\$ 5,587.68	656-660	\$ 17,206.24	\$ 8,421.60	\$ 8,780.64	901-905	\$ 23,591.92	\$ 11,547.80	\$ 12,040.12
176-180	\$ 4,695.52	\$ 2,296.80	\$ 2,394.72	421+	\$ 11,081.20	\$ 5,423.00	\$ 5,654.20	661-665	\$ 17,336.56	\$ 8,485.40	\$ 8,847.16	906-910	\$ 23,722.24	\$ 11,611.60	\$ 12,106.64
181-185	\$ 4,825.84	\$ 2,360.60	\$ 2,461.24	Rental Unit Cap				666-670	\$ 17,466.88	\$ 8,549.20	\$ 8,913.68	911-915	\$ 23,852.56	\$ 11,675.40	\$ 12,173.16
186-190	\$ 4,956.16	\$ 2,424.40	\$ 2,527.76	426-430	\$ 11,211.52	\$ 5,486.80	\$ 5,720.72	671-675	\$ 17,597.20	\$ 8,613.00	\$ 8,980.20	916-920	\$ 23,982.88	\$ 11,739.20	\$ 12,239.68
191-195	\$ 5,086.48	\$ 2,488.20	\$ 2,594.28	431-435	\$ 11,341.84	\$ 5,550.60	\$ 5,787.24	676-680	\$ 17,727.52	\$ 8,676.80	\$ 9,046.72	921-925	\$ 24,113.20	\$ 11,803.00	\$ 12,306.20
196-200	\$ 5,216.80	\$ 2,552.00	\$ 2,660.80	436-440	\$ 11,472.16	\$ 5,614.40	\$ 5,853.76	681-685	\$ 17,857.84	\$ 8,740.60	\$ 9,113.24	926-930	\$ 24,243.52	\$ 11,866.80	\$ 12,372.72
201-205	\$ 5,347.12	\$ 2,615.80	\$ 2,727.32	441-445	\$ 11,602.48	\$ 5,678.20	\$ 5,920.28	686-690	\$ 17,988.16	\$ 8,804.40	\$ 9,179.76	931-935	\$ 24,373.84	\$ 11,930.60	\$ 12,439.24
206-210	\$ 5,477.44	\$ 2,679.60	\$ 2,793.84	446-450	\$ 11,732.80	\$ 5,742.00	\$ 5,986.80	691-695	\$ 18,118.48	\$ 8,868.20	\$ 9,246.28	936-940	\$ 24,504.16	\$ 11,994.40	\$ 12,505.76
211-215	\$ 5,607.76	\$ 2,743.40	\$ 2,860.36	451-455	\$ 11,863.12	\$ 5,805.80	\$ 6,053.32	696-700	\$ 18,248.80	\$ 8,932.00	\$ 9,312.80	941-945	\$ 24,634.48	\$ 12,058.20	\$ 12,572.28
216-220	\$ 5,738.08	\$ 2,807.20	\$ 2,926.88	456-460	\$ 11,993.44	\$ 5,869.60	\$ 6,119.84	701-705	\$ 18,379.12	\$ 8,995.80	\$ 9,379.32	946+	\$ 24,764.80	\$ 12,122.00	\$ 12,638.80
221-225	\$ 5,868.40	\$ 2,871.00	\$ 2,993.40	461-465	\$ 12,123.76	\$ 5,933.40	\$ 6,186.36	706-710	\$ 18,509.44	\$ 9,059.60	\$ 9,445.84	Employee Cap			
226-230	\$ 5,998.72	\$ 2,934.80	\$ 3,059.92	466-470	\$ 12,254.08	\$ 5,997.20	\$ 6,252.88	711-715	\$ 18,639.76	\$ 9,123.40	\$ 9,512.36				
231-235	\$ 6,129.04	\$ 2,998.60	\$ 3,126.44	471-475	\$ 12,384.40	\$ 6,061.00	\$ 6,319.40	716-720	\$ 18,770.08	\$ 9,187.20	\$ 9,578.88				
236-240	\$ 6,259.36	\$ 3,062.40	\$ 3,192.96	476-480	\$ 12,514.72	\$ 6,124.80	\$ 6,385.92	721-725	\$ 18,900.40	\$ 9,251.00	\$ 9,645.40				

**SUNNYVALE MUNICIPAL CODE CHAPTER 5.04 (BUSINESS LICENSE TAX)**  
**DRAFT AMENDMENTS (JUNE 30, 2020) FOR PROPOSED BALLOT MEASURE**

**5.04.010-020**

[Text unchanged].

**5.04.030. General provisions—Definitions.**

(1) [Text unchanged].

(2) “Business” means professions, trades and occupations and all and every kind of calling or enterprise, including the rental of real property, and carried on for profit or livelihood, but not including the services rendered by an employee to an employer. Independent contractors, the self-employed and sole proprietors are also engaged in a business as defined here.

(3) – (7) [Text unchanged].

(8) “Employee” means any person ~~working in, or engaged in, the operation or conduct of~~ who works under the direction and control of any business, including, but not limited to the owner, a member of the owner’s family, partner, officer, agent, manager, servant, or solicitor.

(9) – (11) [Text unchanged].

(12) “Person” means ~~all firms; domestic and foreign corporations; associations; syndicates; partnerships; joint ventures; clubs; Massachusetts business or common law trusts; societies; and any officer or agent thereof; and any natural person transacting, engaging in or carrying on any business in the city of Sunnyvale, but excluding an employee who is not also an owner.~~ any natural individual, firm, partnership, joint venture, association, corporation, limited liability company, estate, trust, receiver, syndicate, society, or any group or combination of individuals acting as a unit.

(13-14) [Text unchanged].

**5.04.040- 5.04.100**

[Text unchanged].



#### 5.04.110. License tax—Imposed.

There is hereby imposed a yearly license tax upon every person transacting, engaging in, or carrying on any business within the city. The amount of the tax is calculated as follows:

(a) ~~(For the tax due January 1, 2007) For businesses based on employees or rental units, twenty dollars for the first employee, thirty dollars for two to five employees or rental units, or portion thereof, and an additional twenty five dollars for each additional group of five employees or rental units, or portion thereof, up to a maximum of four thousand seven hundred dollars for employees and two thousand five hundred dollars for rental units.~~

~~—(b) (For the tax due January 1, 2008) For businesses based on employees or rental units, thirty dollars for the first employee, fifty dollars for two to five employees or rental units, or portion thereof, and fifty dollars for each additional group of five employees or rental units, or portion thereof, up to a maximum of seven thousand dollars for employees and three thousand five hundred dollars for rental units.~~

~~—(c) (For the tax due January 1, 2009) For businesses based on employees or rental units, thirty-eight dollars and eighty nine cents for the first employee, sixty-six dollars and fifty-two cents fifty dollars for two to five employees or rental units, or portion thereof, and fifty dollars sixty-six dollars and fifty-two cents for each additional group of five employees or rental units, or portion thereof, up to a maximum of nine thousand five hundred dollars for employees and four thousand two hundred fifty dollars for rental units.~~

(db) For businesses with both employees and rental units, the tax shall be based on the greater number of employees or rental units.

(ec) ~~(For the tax due January 1, 2009 and thereafter)~~ The amount of the tax ~~and cap~~ shall be indexed annually, based upon the San Francisco/Oakland/Hayward Consumer Price Index for the September to September period for the preceding year, or comparable successor index established by the Bureau of Labor Statistics of the United States Department of Labor. The indexed amounts shall be set forth each year in the city's master fee resolution.

#### 5.04.120-5.04.420

[Text unchanged].



# City of Sunnyvale

## Agenda Item

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20-0638

Agenda Date: 6/30/2020

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### REPORT TO COUNCIL

#### **SUBJECT**

Adopt a Resolution Amending the City's Salary Resolution and the Schedule of Pay to Increase the Salary Ranges for Unclassified Department Director Positions (Pay Plan Category F) Effective July 12, 2020

#### **BACKGROUND**

Unclassified department directors (pay plan category F) are at-will employees, appointed by the City Manager. They are not organized and do not negotiate for any changes to their wages, hours, and/or other terms and conditions of employment. Instead, the City Manager makes recommendations to the City Council regarding such changes on behalf of this employee group.

In September 2017, a new compensation program was approved by the Council (RTC No. 17-0872), that adjusted salary ranges for department director classifications to address gender equality pay, attract talent, retain highly qualified employees, and to resolve salary compaction with bargaining unit represented positions. With the salary increases other bargaining units will receive in July, the salary ranges of department directors will become out of alignment with the compensation program and philosophy that was adopted by Council in 2017. In September 2019, the program was amended to include the classification of Deputy City Manager.

This report recommends adjustments to the salary ranges for unclassified department director classifications (pay plan category F) to maintain a consistent differential with bargaining unit represented positions.

#### **EXISTING POLICY**

Council Policy 7.3.1 Legislative Management - Goals and Policies, Goal 7.3D: Maintain a quality work force, Consistent with state and federal laws, City Charter, and adopted policies in order to assure that City services are provided in an effective, efficient, and high-quality manner.

#### **ENVIRONMENTAL REVIEW**

The action being considered does not constitute a "project" with the meaning of the California Environmental Quality Act ("CEQA") pursuant to CEQA Guidelines section 15378(b)(4) in that is a fiscal activity that does not involve any commitment to any specific project which may result in a potential significant impact on the environment.

#### **DISCUSSION**

On September 12, 2017 (RTC No. 17-0872), the City Council approved a compensation philosophy for department directors that adjusted salary ranges and offered more salary growth opportunity based on performance. It also established a pre-determined differential between classifications to

prevent compaction issues in the future as identified below:

- The minimum of the salary range of the Director of Public Safety shall be 12% above the maximum of the salary range of the Deputy Chief with education premium. The maximum shall be 20% above the minimum.
- The minimum of the salary range of the Assistant City Manager shall be 3% above the minimum of the salary range of the Director of Public Safety. The maximum shall be 20% above the minimum.
- The Chief Information Officer, the Directors of Public Works, Environmental Services, Community Development, Finance, Human Resources, and Library and Community Services shall be consolidated to a single salary range. The minimum of the salary range shall be 3% above the maximum of the salary range of the Deputy Chief with education premium. The maximum shall be 20% above the minimum.
- The Director of Employment Development shall continue to have a separate salary range due to the salary cap of the Workforce Investment Act guidelines. The minimum of the salary range shall remain at the current rate of \$169,167. The maximum shall be 20% above the minimum to allow for future adjustment in accordance to the WIA guidelines.

Additionally, on September 24, 2019 (RTC No. 19-0940), the City Council approved a pre-determined differential between the Deputy City Manager and other director classifications as indicated below:

- The minimum of the salary range the Deputy City Manager should be 10% below the minimum of the salary range of directors. The maximum shall be 20% above the minimum.
  - Directors include: Chief Information Officer, the Directors of Public Works, Environmental Services, Community Development, Finance, Human Resources, and Library and Community Services.

The Deputy Chief classification is represented by the Public Safety Managers Association (PSMA). PSMA members will receive salary increases of 3.97% in July 2020. With the scheduled increases for PSMA, the salary ranges for department directors will be out of alignment from the compensation program approved in September 2017. Without adjustment, the current minimum of the salary range of the Director of Public Safety would be only 8% above the maximum of the salary range of the Deputy Chief with education premium. Under the 2017 compensation philosophy, the differential should be 12%.

### **FISCAL IMPACT**

The FY 2020/21 Budget includes assumptions in total compensation includes assumptions on increases in total compensation, which include salaries, benefits, and retirement. Adjustments in salary also affect salary related benefits, including retirement. The increases are within the assumptions used in the FY 2020/21 Budget.

### **PUBLIC CONTACT**

Public contact was made by posting the Council agenda on the City's official-notice bulletin board

outside City Hall, Sunnyvale Public Library and Department of Public Safety; and by making the agenda and report available at the Office of the City Clerk and on the City's website.

**ALTERNATIVES**

1. Adopt a Resolution Amending the City's Salary Resolution and Schedule of Pay to Increase the Salary Ranges for Unclassified Department Director Positions (Pay Plan Category F) Effective July 12, 2020
2. Do Not Adopt a Resolution Amending the City's Salary Resolution and Schedule of Pay to Increase the Salary Ranges for Unclassified Department Director Positions (Pay Plan Category F) Effective July 12, 2020

**STAFF RECOMMENDATION**

Alternative 1: Adopt a Resolution Amending the City's Salary Resolution and Schedule of Pay to Increase the Salary Ranges for Unclassified Department Director Positions (Pay Plan Category F) Effective July 12, 2020

Approved by: Kent Steffens, City Manager

**ATTACHMENTS**

1. Resolution Amending the City's Salary Resolution and Schedule of Pay to Increase the Salary Ranges for Unclassified Department Director Positions (Pay Plan Category F)



DRAFT 6/22/2020 MCT

**RESOLUTION NO. \_\_\_\_\_**

**A RESOLUTION OF THE CITY COUNCIL OF THE CITY  
OF SUNNYVALE AMENDING RESOLUTION NO. 190-05,  
THE CITY'S SALARY RESOLUTION, BY AMENDING  
THE PAY SCHEDULE TO INCREASE THE SALARY  
RANGES FOR UNCLASSIFIED DEPARTMENT  
DIRECTOR POSITIONS (PAY PLAN CATEGORY F)**

WHEREAS, the City desires to amend the salary schedule for department directors (pay plan category F) to reflect salary range differentials between the unclassified department directors (pay plan category F) and bargaining unit positions.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SUNNYVALE THAT:

1. Resolution No. 190-05 is hereby amended by amending the pay rates in Pay Plan Category F, as set forth in Exhibit "A" attached and incorporated by reference.
2. All other provisions of Resolution No. 190-05 shall remain in full force and effect.
3. The Salary Resolution amendments and pay rates noted above shall be effective July 12, 2020.

Adopted by the City Council of the City of Sunnyvale at a regular meeting held on \_\_\_\_\_, 201\_\_\_\_, by the following vote:

AYES:  
NOES:  
ABSTAIN:  
ABSENT:  
RECUSAL:

ATTEST:

APPROVED:

\_\_\_\_\_  
City Clerk  
(SEAL)

\_\_\_\_\_  
Mayor

APPROVED AS TO FORM:

\_\_\_\_\_  
City Attorney

## City of Sunnyvale Salary Table

Section 1: [Regular Classifications](#)

Section 2: [Casual/Seasonal Classifications](#)

Section 3: [Council Members](#)

### Revisions:

**Current revision:** July 12, 2020

#### **Regular/Part Time Classifications - Revisions since 2011:**

10/2/2011, 11/21/2011, 3/29/2012, 5/15/2012, 8/27/2012, 10/2/2012, 12/26/2012, 2/6/2013, 3/3/2013, 6/3/2013, 7/7/2013, 9/30/2013, 12/4/2013, 12/22/2013, 2/25/2014, 7/6/2014, 8/17/2014, 8/31/2014, 12/7/2014, 12/9/2014, 7/5/2015, 9/27/2015, 12/1/2015, 12/15/2015, 1/03/2016, 7/03/2016, 8/24/2016, 9/25/2016, 2/12/2017, 3/12/2017, 7/2/2017, 7/16/2017, 9/10/2017, 9/12/2017, 2/11/2018, 3/11/2018, 4/22/2018, 6/17/2018, 7/1/2018, 7/15/2018, 8/26/2018, 9/23/2018, 12/18/2018, 1/1/2019, 2/10/2019, 3/10/2019, 5/30/2019, 7/14/2019, 7/28/2019, 8/11/2019, 9/8/2019, 9/22/2019, 12/10/2019, 3/8/2020, 5/31/2020, 7/12/2020

#### **Casual/Temporary Classifications - Revisions since 2011:**

1/20/2013, 3/29/2012, 4/27/2014, 6/22/2014, 12/21/2014, 5/10/2015, 2/14/2016, 4/5/2016, 7/1/2016, 1/1/2017, 1/1/2018, 1/1/2019, 12/10/2019, 12/29/2019

#### **City Council - Revisions since 2011:**

1/1/2012, 1/1/2013, 1/1/2014, 1/1/2015, 1/1/2016, 1/1/2017, 1/1/2018, 1/1/2019, 1/1/2020

**City of Sunnyvale**  
**Salary Table - Regular Classifications**

Job Code	Job Title	Unit	Pay Cat.	Range / Scale	Annual Range			Effective Date
					Minimum	Control Point	Maximum	
0140	Director of NOVA Workforce Services	Mgmt-DIR	F	22ED1	169,167	203,000	203,000	5/31/20
0113	Deputy City Manager	Mgmt-DIR	F	30	231,409	277,691	277,691	7/12/20
0190	Chief Information Officer	Mgmt-DIR	F	31	257,121	308,545	308,545	7/12/20
0120	Director of Community Development	Mgmt-DIR	F	31	257,121	308,545	308,545	7/12/20
0185	Director of Environmental Services	Mgmt-DIR	F	31	257,121	308,545	308,545	7/12/20
0130	Director of Finance	Mgmt-DIR	F	31	257,121	308,545	308,545	7/12/20
0145	Director of Human Resources	Mgmt-DIR	F	31	257,121	308,545	308,545	7/12/20
0155	Director of Library & Community Services	Mgmt-DIR	F	31	257,121	308,545	308,545	7/12/20
0180	Director of Public Works	Mgmt-DIR	F	31	257,121	308,545	308,545	7/12/20
0170	Director of Public Safety	Mgmt-DIR	F	24PS	279,588	335,505	335,505	7/12/20
0110	Assistant City Manager	Mgmt-DIR	F	25	287,975	345,571	345,571	7/12/20



# City of Sunnyvale

## Agenda Item

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**20-0456**

**Agenda Date:** 6/30/2020

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Tentative Council Meeting Agenda Calendar



## City of Sunnyvale

### Tentative Council Meeting Agenda Calendar

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#### **Tuesday, July 14, 2020 - City Council**

##### **Closed Session**

**20-0652** 5:30 P.M. SPECIAL COUNCIL MEETING (Closed Session)  
CONFERENCE WITH LEGAL COUNSEL-PENDING LITIGATION  
Closed Session held pursuant to California Government Code Section 54956.9 (d)(1).  
Name of Case: Katrina (Silver) Cortese v. City of Sunnyvale (Workers Compensation Appeal Board Case Nos. ADJ11406539 and ADJ11406540)

**20-0642** 5:45 P.M. SPECIAL COUNCIL MEETING (Closed Session)  
Closed Session Held Pursuant to California Government Code Section 54957.6:  
CONFERENCE WITH LABOR NEGOTIATORS  
Agency Designated Representatives: Ad Hoc Committee on City Attorney Compensation Members Larry Klein, Gustav Larsson and Russ Melton  
Unrepresented Employee: City Attorney

##### **Study Session**

**20-0597** 6:15 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Local Campaign Finance

##### **Public Hearings/General Business**

**20-0053** Approve Art in Private Development Project - Hunter Properties/CityLine: Double Drip (Phase I)

**20-0328** Adopt a Resolution to Approve the Final Engineer's Report, Confirm the Assessment, and Levy and Collect an Annual Assessment for The Downtown Parking Maintenance District for Fiscal Year 2020/21

**20-0471** Adoption of a Resolution of the City of Sunnyvale City Council Calling a General Municipal Election for November 3, 2020 for the Purpose of Submitting to City Voters an Ordinance to Amend Chapter 5.04 (Business License Tax) of the Sunnyvale Municipal Code; Requesting Consolidation With the Statewide General Election and Election Services From Santa Clara County; Directing the City Attorney to Prepare an Impartial Analysis; and Setting Priorities for Ballot Arguments.

**Tuesday, July 28, 2020 - City Council**

**Public Hearings/General Business**

- 20-0233** Recommend Adoption of the Draft 2020-2025 HUD Consolidated Plan and Draft 2020 HUD Action Plan
- 20-0249** Adoption of the Active Transportation Plan
- 20-0512** Adopt a Resolution Confirming the Report and Assessment List for Unpaid Administrative Citations to be Placed on the FY 2020/21 County of Santa Clara Property Tax Roll, and Find that this Action is Exempt from CEQA
- 20-0641** Consider Amending (1) the Salary Schedule of the City's Salary Resolution to Increase the Control Point for the City Attorney Classification and (2) the Employment Agreement between the City of Sunnyvale and City Attorney John A. Nagel to Increase the Salary
- 20-0648** Proposed Project: Related applications on a 0.82-acre site:  
REZONE: Introduce an Ordinance to extend the PD Combining District boundary to include the 585 and 595 Columbia Avenue parcels.  
SPECIAL DEVELOPMENT PERMIT: To allow demolition of existing residential structures and construction of 18-unit residential subdivision consisting of three-story townhomes with associated site improvements and deviations from minimum rear setback, maximum distance between main buildings and maximum distance to a trash enclosure, and  
VESTING TENTATIVE MAP: To create 18 residential lots and one common area lot.  
Location: 475 N. Fair Oaks and 585 & 595 Columbia Ave.  
File #: 2019-7415  
Zoning: R-3/PD and R-3  
Applicant / Owner: ADL 11 LLC (applicant) / Henry E Shepherd Trustee and Chung Tai Intl Chan Buddhist Assn (owner)  
Environmental Review: Class 32 Categorical Exemption (Infill Development)  
Project Planner: Cindy Hom, 408-730-7411, [chom@sunnyvale.ca.gov](mailto:chom@sunnyvale.ca.gov)

**Tuesday, August 11, 2020 - City Council**

**Study Session**

- 20-0010** 5 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Board and Commission Interviews (as needed)
- 20-0381** 6 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Moffett Park Specific Plan Update

**Public Hearings/General Business**

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**20-0407** Approval of the Conceptual Design for the Plaza del Sol Phase II Project

**Tuesday, August 25, 2020 - City Council**

**Study Session**

**20-0227** 6 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Public Art Master Plan

**Special Order of the Day**

**20-0389** SPECIAL ORDER OF THE DAY - Library Card Sign-Up Month

**Public Hearings/General Business**

**20-0244** Adoption of the Roadway Safety Plan

**20-0012** Appoint Applicants to Boards and Commissions (As Needed)

**Tuesday, September 15, 2020 - City Council**

**Study Session**

**20-0329** 5:30 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Review of Solid Waste Franchise Collection Proposal

**Special Order of the Day**

**20-0014** SPECIAL ORDER OF THE DAY - Ceremonial Oath of Office for Board and  
Commission Members (As Needed)

**20-0390** SPECIAL ORDER OF THE DAY - Hispanic Heritage Month

**20-0391** SPECIAL ORDER OF THE DAY - POW/MIA Recognition Day

**Public Hearings/General Business**

**20-0047** Proposed Project: General Plan Amendment Initiation to change the  
General Plan designation of the site from Low Density Residential to  
Low-Medium Density Residential.  
Location: 640 Lakehaven Drive (APN: 110-16-040)  
File #: 2020-7030  
Zoning: R-0/PD  
Applicant / Owner: GSJ &2 LLC  
Environmental Review: The project is exempt from the California  
Environmental Quality Act (CEQA) pursuant to CEQA Guidelines Section  
15378(a).  
Project Planner: Aastha Vashist, (408) 730-7458, avashist@sunnyvale.ca.gov

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**20-0293** Proposed Project: General Plan Amendment Initiation to consider amending the General Plan designation from Commercial to Medium Density Residential to allow construction of a new 30-unit three-story townhomes and a stand-alone commercial building.  
Location: 1313 South Wolfe Road (APN: 309-10-026)  
File #: 2020-7031  
Zoning: C-1 (Neighborhood Business)  
Applicant / Owner: 4Terra Investments (applicant) / Desmond Family Real Estate Limited Partner (owner)  
Environmental Review: The project is exempt from the California Environmental Quality Act (CEQA) pursuant to CEQA Guidelines Section 15378(a).  
Project Planner: Mary Jeyaprakash, (408) 730-7449, [mjeyaprakash@sunnyvale.ca.gov](mailto:mjeyaprakash@sunnyvale.ca.gov)

**Tuesday, September 29, 2020 - City Council**

**Public Hearings/General Business**

**20-0037** Agenda Items Pending - to be scheduled

**Tuesday, October 13, 2020 - City Council**

**Public Hearings/General Business**

**20-0319** Public Art Master Plan

**Tuesday, October 27, 2020 - City Council**

**Public Hearings/General Business**

**20-0314** Introduce an Ordinance to Amend Chapter 9.28 (Regulation of Smoking) of Title 9 (Public Peace, Safety or Welfare) of the Sunnyvale Municipal Code to Prohibit the Sale of Flavored Tobacco Products (Study Issue)

**Tuesday, November 10, 2020 - City Council**

**Study Session**

**20-0011** 6 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Board and Commission Interviews (as needed)

**Public Hearings/General Business**

**20-0049** Third Quarter General Plan Initiation Request

**Tuesday, November 17, 2020 - City Council**

**Study Session**



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**20-0425** SPECIAL COUNCIL MEETING (Study Session)  
Joint Meeting of City Council with Board and Commission Chairs and Vice  
Chairs to Review and Improve Overall Effectiveness of Commission Meetings

**Public Hearings/General Business**

**20-0013** Appoint Applicants to Boards and Commissions (As Needed)

**Tuesday, December 1, 2020 - City Council**

**Special Order of the Day**

**20-0015** SPECIAL ORDER OF THE DAY - Ceremonial Oath of Office for Board and  
Commission Members (As Needed)

**Public Hearings/General Business**

**20-0041** Agenda Items Pending - to be scheduled

**Tuesday, December 8, 2020 - City Council**

**Study Session**

**20-0022** 6:30 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Discussion of Upcoming Selection of Vice Mayor for 2021

**20-0023** Discussion of 2021 Council Intergovernmental Assignments

**Public Hearings/General Business**

**20-0043** Agenda Items Pending - to be scheduled

**Tuesday, January 5, 2021 - City Council**

**Special Order of the Day**

**21-0005** SPECIAL ORDER OF THE DAY - Recognition of Elected, Re-elected and  
Outgoing Councilmembers

**21-0006** SPECIAL ORDER OF THE DAY - Ceremonial Oath of Office for  
Council-Elect

**Public Hearings/General Business**

**21-0004** Certification of November 3, 2020 Election Results

**21-0007** Selection of Vice Mayor for a One-Year Term Effective January 5, 2021

**21-0008** Appoint Councilmembers to Intergovernmental Assignments; Ratify  
Appointments of Councilmembers made by Outside Agencies; Take Action

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to Modify, Create, or Terminate Council Subcommittees

**21-0009** Determine the 2021 Seating Arrangements for City Council

**Tuesday, January 12, 2021 - City Council**

**Special Order of the Day**

**21-0010** SPECIAL ORDER OF THE DAY - Recognition of Outgoing Mayor and Vice Mayor

**21-0011** SPECIAL ORDER OF THE DAY - Ceremonial Oath of Office for Mayor and Vice Mayor

**Public Hearings/General Business**

**21-0016** Agenda Items Pending - to be scheduled

**Tuesday, January 26, 2021 - City Council**

**Public Hearings/General Business**

**21-0017** Agenda Items Pending - to be scheduled

**Thursday, January 28, 2021 - City Council**

**Study Session**

**21-0018** 8:30 A.M. SPECIAL COUNCIL MEETING  
Strategic Planning Workshop

**Tuesday, February 2, 2021 - City Council**

**Study Session**

**21-0001** 6 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Board and Commission Interviews (as needed)

**Public Hearings/General Business**

**21-0020** Fourth Quarter General Plan Initiation Request

**Tuesday, February 23, 2021 - City Council**

**Public Hearings/General Business**

**21-0002** Appoint Applicants to Boards and Commissions (As Needed)

**Thursday, February 25, 2021 - City Council**

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**Study Session**

**21-0021**                      8:30 A.M. SPECIAL COUNCIL MEETING  
Study/Budget Issues Workshop

**Date to be Determined - City Council**

**Study Session**

**20-0506**                      6 P.M. SPECIAL COUNCIL MEETING (Study Session)  
Water Pollution Control Plant Cleanwater Center Architectural Design  
Discussion

**Special Order of the Day**

**20-0007**                      SPECIAL ORDER OF THE DAY - Ceremonial Oath of Office for Board and  
Commission Members (As Needed)

**Public Hearings/General Business**

**20-0027**                      Consideration of Draft 2020 Housing Strategy (Study Issue)

**20-0366**                      Introduce an Ordinance to Amend Title 2 (Administration and Personnel);  
Chapters 2.08 (Purchases of Goods and Services) and 2.09 (Public Works  
Contracting) of the Sunnyvale Municipal Code to Change Purchasing and  
Contract Award Thresholds



# City of Sunnyvale

## Agenda Item

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**20-0556**

**Agenda Date:** 6/30/2020

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Board/Commission Meeting Minutes



# City of Sunnyvale

## Meeting Minutes - Final

### Sustainability Commission

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Tuesday, February 18, 2020

7:00 PM

West Conference Room, City Hall, 456 W.  
Olive Ave., Sunnyvale, CA 94086

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#### **CALL TO ORDER**

Chair Paton called the meeting to order at 7 p.m. in the West Conference Room.

#### **SALUTE TO THE FLAG**

Chair Paton led the salute to the flag.

#### **ROLL CALL**

**Present:** 7 - Chair Bruce Paton  
Vice Chair Kristel Wickham  
Commissioner Stephen Joesten  
Commissioner Douglas Kunz  
Commissioner Shana Padgett  
Commissioner Murali Srinivasan  
Commissioner Steven Zornetzer

Council Liaison - Russ Melton (absent)

Commissioner Kunz arrived at 7:02 p.m.

#### **PRESENTATION**

[20-0320](#)

PRESENTATION - Climate Action Playbook Quarterly Update

Nupur Hiremath, Environmental Programs Manager, provided an update on Climate Action Playbook (CAP) implementation, including a summary of the 2017 and 2018 annual greenhouse gas inventories. The presentation highlighted progress on selected Climate Action Playbook Moves (actions) and communitywide emissions reductions of 25 percent and 28 percent in 2017 and 2018, respectively, relative to 1990 levels. The Commission asked clarification questions and staff provided responses. Members of the public asked questions and staff provided clarifications.

**ORAL COMMUNICATIONS**

None.

**CONSENT CALENDAR**

- 1      [20-0321](#)      Approve the Sustainability Commission Meeting Minutes of January 21, 2020

Commissioner Joesten moved, and Vice Chair Wickham seconded, a motion to approve the minutes on the consent calendar. The motion carried by the following vote:

**Yes: 4 -**    Chair Paton  
                 Vice Chair Wickham  
                 Commissioner Joesten  
                 Commissioner Kunz

**No: 0**

**Abstain: 3 -**    Commissioner Padgett  
                 Commissioner Srinivasan  
                 Commissioner Zornetzer

Commissioners Padgett, Srinivasan and Zornetzer abstained as they were not present at the January 21, 2019, meeting.

**STANDING ITEM: CONSIDERATION OF POTENTIAL STUDY ISSUES**

No updates.

**NON-AGENDA ITEMS & COMMENTS**

### **-Commissioner Comments**

Vice Chair Wickham shared that the Sustainability Speaker Series event by Felicia Marcus entitled “California’s Rise to Water Resiliency: What Will It Take?” on January 29, 2020, was well received. Staff added that the event was attended by 87 attendees. Vice Chair Wickham requested the Commission to share information with their networks on the next Speaker Series event, which focuses on transportation and parking. The event entitled “Less Traffic, Better Places: How Do We Get There?” features Patrick Siegman and will be held in City Hall, Council Chambers on Wednesday, March 11, 2020, from 7 p.m. to 8:30 p.m.

Commissioner Zornetzer shared that he represented the Sustainability Commission at the El Camino Real Corridor Plan Advisory Committee meeting on January 23, 2020. He provided a summary of the vision statement, goal of the Plan, and upcoming outreach planned in March. He noted that the final Plan will be submitted to City Council in July 2020.

Chair Paton shared that he attended Joint Venture Silicon Valley’s State of the Valley event on February 14, 2020, and mentioned a study that found that a significant amount of housing in the area could be built in medium-density developments along transit-accessible “Grand Boulevards” like El Camino Real.

Commissioner Kunz shared that the Sunnyvale Elementary School District is working on electrifying its bus fleet.

Commissioner Padgett shared insights from the podcast Podship Earth, recommended by Vice Chair Wickham and Commissioner Zornetzer.

### **-Staff Comments**

Nupur Hiremath shared that the City will hold an event to celebrate the 50th anniversary of Earth Day, entitled “Gourmet Earth Day,” on Saturday, April 18, 2020, from 11 a.m. to 3 p.m. at the Sunnyvale Public Library. The event will feature induction cooking demos, food rescue and composting booths, a bike rodeo, and a home electrification showcase.

### **INFORMATION ONLY REPORTS/ITEMS**

[20-0325](#)

2020 Annual Work Plan

**ADJOURNMENT**

The meeting was adjourned at 8:10 p.m.





# City of Sunnyvale

## Meeting Minutes - Final Sustainability Commission

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Monday, May 18, 2020

7:00 PM

Telepresence Meeting

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### **CALL TO ORDER**

Pursuant to Section 3 of Executive Order N-29-20, issued by Governor Newsom on March 17, 2020, the meeting was conducted telephonically.

Chair Paton called the meeting to order at 7 p.m. via teleconference.

### **ROLL CALL**

**Present:** 7 - Chair Bruce Paton  
Vice Chair Kristel Wickham  
Commissioner Stephen Joesten  
Commissioner Douglas Kunz  
Commissioner Shana Padgett  
Commissioner Murali Srinivasan  
Commissioner Steven Zornetzer

Council Liaison – Melton (present)

Chair Paton, Vice Chair Wickham, Council Liaison Melton and all Commissioners attended via teleconference.

### **PRESENTATION**

[20-0536](#) PRESENTATION - Draft Downtown Specific Plan Amendment

Chair Paton announced that this agenda item was canceled and will be rescheduled to a later date.

### **ORAL COMMUNICATIONS**

None.

### **CONSENT CALENDAR**

- 1      [20-0331](#)      Approve the Sustainability Commission Meeting Minutes of February 18, 2020

Commissioner Kunz moved, and Commissioner Joesten seconded, a motion to approve the consent calendar.

The motion carried with the following vote:

**Yes:** 7 -    Chair Paton  
                 Vice Chair Wickham  
                 Commissioner Joesten  
                 Commissioner Kunz  
                 Commissioner Padgett  
                 Commissioner Srinivasan  
                 Commissioner Zornetzer

**No:** 0

**PUBLIC HEARINGS/GENERAL BUSINESS**

- 2      [20-0399](#)      Review Community Condition Indicators

Vice Chair Wickham presented the findings and recommendations of the Subcommittee formed to evaluate possible inclusion of sustainability metrics into the Community Condition Indicators in the City's Budget book. The Commission discussed the findings and recommendations.

Chair Paton opened the Public Hearing.

No public comments were made.

Chair Paton closed the Public Hearing.

Vice Chair Wickham moved, and Commissioner Joesten seconded, a motion to recommend that the following indicators (numbered N3-N12 in the Subcommittee's report) be included in the Community Condition indicators:

- N3. All-electric buildings permitted in the year (% of all new building permits)
- N4. Electric building retrofits (% of homes and businesses built before 2020 that use electricity for space and water heating or are all electric)
- N5. Registered vehicles that are zero emission (%)
- N6. Commutes by workers and students (% that are not single occupancy vehicles)

- N7. Landfilled disposal (pounds per person per day)
- N8. Tree canopy (% of total land area)
- N9. Community Climate Action touch points (#)
- N10. Air Quality Fine Particulate Matter PM2.5 (# days of 'Unhealthy for Sensitive Groups', 'Unhealthy', 'Very Unhealthy', and 'Hazardous')
- N11. Excessive heat advisory (# of days)
- N12. Drought D1 classification or above (# weeks)

The motion carried by the following vote:

**Yes: 7 -** Chair Paton  
Vice Chair Wickham  
Commissioner Joesten  
Commissioner Kunz  
Commissioner Padgett  
Commissioner Srinivasan  
Commissioner Zornetzer

**No: 0**

The Commission generally agreed to make additional recommendations regarding Community Condition Indicators as a part of Public Hearing Item 3.

- 3**      [20-0518](#)      Annual Review of the City Manager's Recommended Budget  
Full budget available online at:  
[Sunnyvale.ca.gov/government/budget.htm](http://Sunnyvale.ca.gov/government/budget.htm)

The Commission discussed the City Manager's Recommended Budget for FY 2020/21 (Recommended Budget) and asked clarification questions of staff.

Staff clarified that the main proposed expenditure reductions that affected the Sustainability budget were the hiring freeze on the Transportation Planner in the Department of Public Works and the Environmental Programs Specialist in the Environmental Services Department. Largest impacts to the Climate Action Playbook implementation, therefore, would be a delay in improving the City's Transportation Demand Management (TDM) program and in the implementation of community engagement and outreach programs.

Chair Paton opened the Public Hearing.

No public comments were made.

Chair Paton closed the Public Hearing.

Commissioner Kunz moved, and Commissioner Srinivasan seconded, a motion to provide the following recommendations on the Recommended Budget to the City Council:

- (1) Protect progress on Climate Action Playbook Strategies as a priority in case further budget cuts are needed.
- (2) Leverage opportunities offered during the pandemic, such as reduced traffic and improved air quality, to make more significant or new climate action changes and ensure transparency with the community. Specific suggestions include:
  - a. A six-month trial of closing Murphy Avenue to vehicle traffic. This could support the opening of these businesses sooner while enabling them to meet social distancing guidelines.
  - b. Delay purchase of fossil fuel infrastructure such as tank replacements and gas vehicles.
  - c. Identify priorities for potential state and/or federal stimulus funding to emphasize climate action projects, like protected bike lanes and green infrastructure, considering potentially lower construction costs.
  - d. Continue the benefits to City staff working from home and the reduction in vehicle miles traveled (VMT) by surveying City employees, offering staggered schedules, and continuing work from home options.
  - e. Evaluate incentives to businesses to increase work from home options or offer shifted work hours as part of TDM programs.
  - f. Utilize technology, such as a self-reporting online tool, for TDM program implementation instead of using personnel to gather data.
- (3) Conduct a full review and revision of the Community Condition Indicators to align with the Climate Action Playbook and other Council Priorities.
- (4) Add Departmental Performance Indicators that align with Playbook Strategies and Next Moves.
- (5) Support Budget Issue No. 1 “Bike Rack Installation Program in Commercial Areas” to help businesses and support transportation mode shift.

The motion carried by the following vote:

**Yes: 7 -** Chair Paton  
Vice Chair Wickham  
Commissioner Joesten  
Commissioner Kunz  
Commissioner Padgett  
Commissioner Srinivasan  
Commissioner Zornetzer

**No: 0**

Commissioner Kunz moved, and Commissioner Padgett seconded, a motion to nominate Vice Chair Wickham to present the Commission's recommendation on the FY 2020/21 Recommended Budget at the City Council Budget Workshop on May 21, 2020.

The motion carried by the following vote:

**Yes: 7 -** Chair Paton  
Vice Chair Wickham  
Commissioner Joesten  
Commissioner Kunz  
Commissioner Padgett  
Commissioner Srinivasan  
Commissioner Zornetzer

**No: 0**

**STANDING ITEM: CONSIDERATION OF POTENTIAL STUDY ISSUES**

None.

**NON-AGENDA ITEMS & COMMENTS**

**-Commissioner Comments**

Commissioner Kunz shared that the State Parent Teacher Association (PTA) convention rescheduled to an online meeting in June. This has resulted in a delay in the State PTA's vote on Cumberland Elementary School PTA's resolution to support schools phasing out greenhouse gas emissions.

Vice Chair Wickham shared that the Sustainability Speaker Series event, originally scheduled for March 11, 2020, has been rescheduled as a webinar on May 27,

2020. She also shared information on a new documentary entitled “Story of Plastic” and recommended it highly. She also commended staff for including useful information in the May edition of the Sustainable Sunnyvale e-newsletter.

Chair Paton shared insights from webinars he had attended about perceptions of sustainability in the media.

**-Staff Comments**

Nupur Hiremath, Environmental Programs Manager, announced that Madeline Willett has been hired as the new Sustainability Coordinator in the Environmental Services Department. She also shared that the sustainability team is examining ways to pivot outreach and community engagement opportunities to virtual platforms. She shared information on three virtual landscaping and gardening workshops being offered in June.

**INFORMATION ONLY REPORTS/ITEMS**

[20-0332](#)      2020 Annual Master Work Plan

**ADJOURNMENT**

The meeting was adjourned at 9:54 p.m.



# City of Sunnyvale

## Agenda Item

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**20-0600**

**Agenda Date:** 6/30/2020

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Information/Action Items

## Information/Action Items - Council Directions to Staff

Date Requested	Directive/Action Required	Dept	Due Date	Completed
2/7/19	Produce quarterly report on staff vacancies and include, actual staff total numbers for each department, including part-time positions.	HRD	July 2020	
2/7/20	How do we expect costs to change and what's budgeted for Washington Pool	DPW	June 2020	
3/31/20	Provide updates on staffing as the City Manager makes modifications on staffing or recruitment efforts in the next few months based on the state of the economy	OCM	June 2020	
4/7/20	Provide Council with utility delinquency data over the next several months	FIN	June 2020	
4/7/20	Provide Council with chart identifying what agencies have selected in regards to VMT levels at Citywide, Countywide or Regional	CDD	June 2020	
4/7/20	Provide Council with information on current projects and how the new VMT rules will impact these projects before the June meeting	CDD	June 2020	
5/21/20	Provide a quarterly status report of vacant positions that were frozen	OCM	Aug 2020	



## New Study/Budget Issues Sponsored by Council

Date Requested	Study/Budget Issue Topic	Requested By	Dept	Approved by City Manager
n/a				

Initial Sponsor in **Bold**.

Following approval by the City Manager, study issues papers are posted to:

<https://sunnyvale.ca.gov/government/council/study/studyissues.htm>

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