



EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY

Joint Exercise of Powers

Board of Directors Meeting

AGENDA

Wednesday, August 9, 2017

9:30 a.m. – 12:00 p.m.

San Joaquin County – Robert J. Cabral Agricultural Center
2101 E. Earhart Avenue – Assembly Room #1, Stockton, California

I. Call to Order/Pledge of Allegiance & Safety Announcement/Roll Call

II. SCHEDULED ITEMS

A. Discussion/Action Items:

1. Approval of Minutes of July 12, 2017 (see attached).
2. Public Hearing for and possible adoption of Authority's proposed Conflict of Interest Code (see attached).
3. Discussion and possible action to adopt Bylaws for the Eastern San Joaquin Groundwater Authority (see attached red-line and clean versions).
4. Discussion and possible action to authorize Authority Chairman to enter into a contract with GEI regarding "Proposal for Preparing Prop 1 GSP Grant Application," not to exceed \$35,000 base cost, and not to exceed a total cost of \$43,000 (see attached).

B. Informational Items:

1. Facilitation Grant Application to DWR (see attached).

III. Public Comment

IV. Directors Comments

V. Future Agenda Items

VI. Workshop/Shirtsleeve Session: Equitable GSP Cost Apportionment

VII. Adjournment

Next Regular Meeting

September 13, 2017 at 9:30 a.m.

San Joaquin County - Robert J. Cabral Agricultural Center
2101 E. Earhart Ave., Assembly Rm. #1, Stockton, California

Action may be taken on any item

Agendas and Minutes may also be found at <http://www.ESJGroundwater.org>

Note: If you need disability-related modification or accommodation in order to participate in this meeting, please contact San Joaquin County Public Works Water Resources Staff at (209) 468-3089 at least 48 hours prior to the start of the meeting.

ATTACHMENT II
A.1.



**Eastern San Joaquin Groundwater Authority
Board Meeting Summary
Wednesday, July 12, 2017**

I. Call to Order/Pledge of Allegiance & Safety Announcement: The Eastern San Joaquin Groundwater Authority (Authority) Board meeting was convened at 10:40 a.m., on July 12, 2017, at the Robert J. Cabral Agricultural Center, 2101 E. Earhart Ave. Stockton, CA. The pledge of allegiance was conducted. Ms. Lynn Hoffman provided the required safety information.

Roll Call:

In attendance were Directors Biagi, Flinn, Herrick, Holman, McCoy, Milleman, Rietkerk, Silverman, Thomas, Thorburn, Alternates Brennan, Heberle, Henry, Roberts, Swimley, Vice-Chair Panizza, and Chair Winn. Roll was taken and a quorum was present.

II. SCHEDULED ITEMS

A. Discussion/Action Items:

1. **Election of Officers:** Interim elections were held at the prior month’s Authority meeting. Formal election of officers was conducted.

Motion: Interim Chair Winn was nominated and unanimously approved as Chair (Panizza/Thomas).

Motion: Interim Vice-Chair Panizza was nominated and unanimously approved as Vice-Chair (Roberts/Silverman).

2. **Approval of Minutes of June 14, 2017:** Motion: The minutes of June 14, 2017 were unanimously approved (Heberle/Swimley).

3. **Discussion and Possible Action Adopting FY 2017-18 Budget:** Mr. Nakagawa identified Objectives for Governance to the Authority. He then presented Budget Considerations which included administrative items, cost to staff board meetings and secure the venue, GSP scoping and GSP development with proposed budget amounts. He identified “Zero-Based” Budget Expenditures as follows:

Budget Item Consideration	Proposed Amount/Source
Direct Expenses (meeting location, postage, envelopes, staff support, legal counsel, website operation, misc.)	\$150,000 (Zone 2 Initial Contribution)
GSP Grant Support (Consultant)	\$85,000 (not-to-exceed) (17 members at \$5,000 each)
GSP Cost-share	Cost per member is TBD (17 members at “x” each)

The total revenues and expenditures of above proposed budget are \$235,000 for fiscal year 2017-18. Mr. Nakagawa also presented revenue detail and member agency contributions.

Motion: Proposed FY 2017-18 budget was unanimously approved. (Herrick/Flinn).

4. **Discussion and Possible Action to Direct Staff to Work with GSAs on Consultant Selection Process for GSP Scoping:** Mr. Nakagawa described the assistance that will be needed from consultants as well as GSAs in the process of scoping the GSP. He noted that the cost of the GSP is unknown and remains the biggest question. He also provided a proposed schedule to develop the work plan and GSP grant application. Staff recommendation to the Authority included approval the following course of action:

- Engage with consultant to develop a scope of work;
- Direct staff to work with GSAs to select consultant from GBA's consultant on-call list;
- Develop a consultant scope of work, schedule and cost proposal for Board consideration;
- Present recommendation to the Authority Board at August meeting;
- Cost to be covered by Authority members' \$5,000 contributions in the adopted 2017-2018 budget; and
- Consultants shall be warned that the initial GSP scoping work shall be substantially less than \$85,000.

There were some questions and discussion regarding future cost apportionment. Mr. Nakagawa interjected that at this point in time, the consultant can help define overall costs but cost apportionment would be done at the Board level.

Motion: The Authority unanimously approved above stated staff recommendation regarding selection process for GSP scoping (Brennan/Thomas).

5. **Update on Potential Upcoming Public Hearing for Authority's Proposed Conflict of Interest Code:** Mr. Nakagawa stated that in accordance with the Political Reform Act, it is required that the Authority group adopt a Conflict of Interest Code (Code). He provided an update that the Authority has taken steps to notice the proposed Code and that a possible public hearing may take place at the upcoming August 9, 2017 Authority meeting of the Board of Directors. He noted that the proposed Code identifies designated positions and disclosure categories for the purpose of completing the required annual Form 700. Mr. Rod Attebery, Neumiller & Beardslee/The Authority Counsel on governance matters, emphasized that each Board member must complete a Form 700 at this time and further clarified to be sure to complete the form identifying you are "entering office." He reminded the Directors and Alternates that since this JPA covers a territory that may be greater than your own, you must complete your Form 700 being mindful of the entire area that is included within the JPA. He concluded by stating that if any Board Director or Alternate members were not in attendance at last meeting to be sworn in, to come see him to make arrangements to do so. Completed Form 700s should be sent to Kelly Villalpando at the County (1810 E. Hazelton Ave., Stockton, CA 95205).

6. **Discussion and Possible Action to Direct Staff to Maintain and Update www.ESJGroundwater.org:** Mr. Nakagawa explained that it is required by law to post the Conflict of Interest notice as well as other essential documents on a website designated for this Authority. A new website, basic and expandable in nature, was created for compliance purposes. His presentation included a view of the home page of the new website, and the Authority logo. The recommendation he presented to the Authority is to give direction to staff to maintain and update the website.

Motion: Action to direct staff to maintain and update ESJGroundwater.org was unanimously approved (Panizza/Silverman).

7. **Discussion and Possible Action to Direct Staff to Submit Application to DWR for**

Facilitation Services: Mr. Nakagawa reviewed the history of the County's use of facilitation services on water issues and highlighted what facilitation services can accomplish. He noted the value of facilitation and emphasized that the role of facilitator is truly neutral and unbiased. He stated that the Department of Water Resources (DWR) has a facilitation support grant opportunity available. DWR will fund the facilitation services at 100% and, other than the cost of completing the application, there are no additional costs. The facilitation services provided by DWR include: stakeholder identification & engagement, meeting facilitation, consensus building and public outreach facilitation. He identified stakeholders recognized under SGMA. DWR requires an application be submitted for such services and that DWR is giving priority for those areas where basins are critically overdrafted. He reviewed DWR's facilitation eligibility criteria for GSAs developing GSPs. He outlined staff's recommendation as follows:

- Authorize staff to submit facilitation application to DWR;
- Seek facilitation support for the following activities: GSP Scoping, GSP development, GSP outreach/stakeholder engagement, and consensus building efforts; and
- Authority acknowledges that it can comply with the four eligibility criteria set forth by DWR.

Mr. Swimley inquired if DWR would be the service provider, to which Mr. Nakagawa replied that DWR subcontracts the service through Stantec and Ms. Carolyn Lott is approved for such services through them. He further stated that if authorized, we would request Ms. Lott's facilitation services. Chairman Winn spoke highly of Ms. Lott's facilitation skills in various roles and supports the staff recommendation to request her services.

Motion: Authority approved above stated staff recommendation to submit application to DWR for facilitation services (Thomas/Swimley).

8. **Discussion and Possible Action to Adopt Bylaws for the Eastern San Joaquin**

Groundwater Authority: Mr. Nakagawa reminded the Authority of the discussion held on the draft Bylaws in June. He reviewed some pending matters pertaining to the Bylaws and emphasized the importance of complying to Brown Act in the Authority's governance. A suggested edit to the Bylaws was made related to Article IX to specify that the affirmative vote of two-thirds of the Board pertains to the number of Board members present (consistent with language in Article V, Section 4.D.). After discussion, the Authority (by consensus) provided direction to include the following edits in the next draft of the Bylaws:

- Terms of office shall be two years
- Adopt Rosenberg's Rules of Order

After discussion about a regular meeting time, it was agreed to survey the Authority Board and check into room availability regarding the potential of changing the Authority meeting to the 2nd Wednesday in the afternoon, the 3rd Wednesday in the morning, or leaving the meeting time unchanged.

Mr. Nakagawa discussed the use of advisory committees and inquired of the Authority, "Where do we foresee the need for extended debates, technical discussion, and intense stakeholder interactions?" He identified two potential options: 1) the Authority meets with expanded participation / "shirtsleeve session" for the more technical or controversial issues – with more people at the table; or 2) Designate standing committees/advisory bodies for specific items, ensure there is not a quorum at that level, and meet as needed. He stated that facilitation services from DWR may be used with either option. Discussion was held among the Authority regarding the pros and cons of either option and it was suggested to

give Option #1 a try one time and then the Authority can revisit that decision. Mr. Nakagawa reflected that this is new and innovative and that it is the pleasure of the Board to determine the best process moving forward. He stated that at this point only broad concepts have been discussed and suggested more thought be given to the details as we prepare to try out a new meeting structure (meeting design, seating arrangement, etc.)

It was requested that a copy of the Bylaws in Word version be distributed to the Authority to enable proposed edits to be tracked electronically. Mr. Attebery suggested that any proposed edits be sent to him for consolidation.

B. Informational Items:

There was no discussion on informational items distributed in the agenda packet.

III. PUBLIC COMMENTS

A. Ms. Mary Elizabeth, a member of the public, offered several suggestions and comments as follows:

1. Allow public comment prior to voting on an item.
2. On the subject of cost allocations, it was suggested to prepare a table of alternatives to show how costs are allocated so folks of different jurisdictions may see how they may be impacted.
3. Expected to have a discussion about the mission of the JPA at this meeting.
4. Suggested revisiting the idea of moving away from mailing out hard copies.
5. Stated that people who are on the email distribution should also receive all notifications.
6. If the Authority moves away from providing detailed minutes, and make an audio available, it was suggested that speakers identify themselves before speaking.

B. Ms. Muriah Kendall Grabner, a member of the public, commented as follows:

1. She concurred with comments provided by Ms. Elizabeth.
2. She inquired about the list of on-call consultants mentioned earlier in the meeting.
3. On the topic of facilitation, she stated that the person should not be an internal representative, but a neutral third party. Chair Winn clarified that the facilitator would not come from within, but provided by the State, and therefore would be a neutral third party.

IV. DIRECTORS' COMMENTS

Director Holman reiterated that the City of Stockton recently voted unanimously to support this JPA and he wanted to express that the City is fully committed to the success of the effort.

V. FUTURE AGENDA ITEMS

No discussion held.

VI. Adjournment

Chair Winn adjourned the meeting at 12:10 p.m.

Next Regular Meeting: August 9, 2017, at 9:30 a.m. San Joaquin County – Robert J. Cabral Agricultural Center 2101 E. Earhart Ave., Assembly Rm. #1, Stockton, California

Submitted by: Kelly Villalpando, San Joaquin County

EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY

Joint Exercise of Powers Board of Directors Meeting

MEETING ATTENDANCE RECORD

Location: SJ COUNTY ROBERT J. CABRAL AG CENTER Date: 07/12/17 Time: 10:15 AM

NAME	AFFILIATION	E-MAIL ADDRESS	PHONE
Jamie Barney	SJC PW-WR	dbarney@sjgov.org	468-3080
DAVID MILLS	CALAVASS CO	DMILLS@CO.CALAVASS.CA.US	559-2400
Brent Williams	Stakeholder	Same	
Lynne Hoffman	SJC PW-WR	lhoffman@sjgov.org	468-3531
Kelly Villalpando	SJC PW-WR	KRVillalpando@sjgov.org	468-3073
REGINA RUBIER	CITY OF STOCKTON	REGINA.RUBIER@STOCKTON.CA.GOV	937-8782
Michael Colloban	SJCPW	mcolloban@sjgov.org	468-9360
Ali Taghavi	PMC/W&C	ataghavi@woodwardclark.com	916-999-8760
Amardeep Singh	CA DWR	amardeep@water.ca.gov	916-376-9655
Paul Wells	DWR	pwells@water.ca.gov	916-376-9656
MC) DAN RIZO	SEWD		
Mel Lytle	COS		
Dante John Mendelsohn	CDWA		
PAUL BRENNAN	LWD	pthbrennan@verizon.net	209-403-1537
Cathy Lee	SEWD	dee@send.net	444-3119
SCOT MOOBY	SRWD		
DALE KUIL	SSJID		6705829
Greg McIlhenny	Cal Water	gmcilhenny@calwater.com	
RICH SILVERMAN	MANTECA	RSILVERMAN@ci.manteca.ca.gov	
MIKE HENY	LCSJ	midot@att.net	712-4014
TOR SALZMANN	LCSJ	torcsj@saft.com.net	
TIM MCCOY	Lathrop		
Greg Gibson	Lathrop		
ARON NAKAWIS	LWD		
TOM FLINN	NSJWD		
SAM BOLOGNA	SSJID	sbologna@ssjid.com	249-4617
Peter Riedkerke	SSJID	priedkerke@ssjid.com	249-4645
Andrew Walker	SEWD		

ATTACHMENT II
A.2.

EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY

NOTICE OF INTENTION TO ADOPT A CONFLICT OF INTEREST CODE

NOTICE IS HEREBY GIVEN, pursuant to California Code of Regulations, Title 2, Section 18750, subdivision (a)(3), that the Eastern San Joaquin Groundwater Authority, a joint powers authority (“Authority”), intends to adopt a Conflict of Interest Code pursuant to Government Code section 87300 and California Code of Regulations, Title 2, Section 18750, subdivision (a).

Pursuant to Government Code section 87302, the code will designate individuals who must disclose certain investments, income, interests in real property, and business positions, and who must disqualify themselves from making or participating in the making of governmental decisions affecting those interests.

The exact terms of the proposed Conflict of Interest Code, and all of the information upon which the Conflict of Interest Code is based, are available for inspection and copying by interested persons by contacting the Authority representative listed below or by visiting the Authority’s website (<http://www.esjgroundwater.org/>).

A 45-Day public comment period has been established commencing on June 23, 2017 and terminating at 5:00 p.m. on August 8, 2017. Any interested person may present written comments concerning the proposed code no later than August 8, 2017 to the Authority at the address listed below. Any interested person or his or her representative may request a public hearing no later than 15 days prior to the close of the written comment period.

The Board of the Authority will consider adoption of the proposed Conflict of Interest Code during its regular meeting on August 9, 2017 at 9:30 a.m. located at 2101 East Earhart Avenue, Assembly Room #1, in Stockton, CA.

Any general inquiries concerning the proposed Conflict of Interest Code should be directed to the Authority representative listed below.

Brandon Nakagawa, P. E.
Water Resources Coordinator
San Joaquin County, Department of Public Works
1810 E. Hazelton Avenue
Stockton, CA 95205
(209) 468-3089
Email: bnakagawa@sjgov.org

CONFLICT OF INTEREST CODE

EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY

The Political Reform Act (Government Code section 81000 et seq) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission (“FPPC”) has adopted a regulation, 2 California Code of Regulations (“CCR”) section 18730, which contains the terms of a standard conflict of interest code. CCR 18730 may be incorporated by reference in an agency’s code, and may be amended by the FPPC after public notice and hearing to conform to amendments in the Political Reform Act. Therefore, the terms of CCR 18730 and any amendments to it duly adopted by the FPPC are hereby incorporated by reference. This regulation and the attached Appendices in which members and employees are designated and disclosure categories are set, shall constitute the conflict of interest code of Eastern San Joaquin Groundwater Authority.

Individuals holding designated positions shall file their statements of economic interests with the Secretary of the Eastern San Joaquin Groundwater Authority, who will retain the statements and make the statements available for public inspection and reproduction. (See Government Code § 81010 and 2 CCR § 18115.)

APPENDIX A

DESIGNATED POSITIONS

GOVERNED BY THE CONFLICT OF INTEREST CODE

DESIGNATED POSITIONS TITLE OR FUNCTION	DISCLOSURE CATEGORIES
Members and Alternates of the Board	ALL
Secretary of the Board	ALL
Attorney	ALL
Consultants ¹	ALL

¹ Consultants shall be included in the list of designated employees and shall disclose pursuant to the broadest disclosure category in the code, subject to the following limitation: The President of the Board may determine in writing that a particular consultant, although a “designated position,” is hired to perform a range of duties that is limited in scope and thus is not required to fully comply with the disclosure requirements described in this section. Such a written determination shall include a description of the consultant’s duties and, based upon that description, a statement of the extent of disclosure requirements. The President’s determination is a public record and shall be retained for public inspection in the same manner and location as this Conflict of Interest Code.

APPENDIX B

DISCLOSURE CATEGORIES

The following financial interests shall be disclosed by the designated positions identified in Appendix A:

1. Each investment in a business entity engaged in the business of providing services or supplies, including equipment or machinery or office supplies, to the Authority with a fair market value equal to or exceeding \$2,000 or more.
2. Each interest in real property located in whole or in part within the boundaries of the Authority, or within a two-mile radius of the Authority, with a fair market value equal to or exceeding \$2,000 or more (excluding the personal residence of the filer).
3. Each source of gross income of \$500 or more (including loans) that is located in or doing business in the boundaries of the Authority.

DECLARATION OF BOARD CHAIR
Multi-County Agency Conflict of Interest Code for

Eastern San Joaquin Groundwater Authority

The proposed conflict of interest code specifically includes each agency position that involves the making or participation in the making of decisions which may foreseeably have a material financial effect on an economic interest. Positions that do not make or participate in decisions are not included.

The disclosure categories are written to address the agency's current programs and require disclosure of only foreseeable interests that may create a conflict of interest.

The agency has satisfied all of the requirements of Title 2, Division 6 of the California Code of Regulations Section 18750 preliminary to approval of the proposed code.

Eastern San Joaquin Groundwater Authority

By: _____
Chuck Winn, Board Chair
Eastern San Joaquin Groundwater Authority

Date

**BEFORE THE BOARD OF DIRECTORS OF THE
EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY**

RESOLUTION R-17-__

**RESOLUTION ADOPTING A CONFLICT OF INTEREST CODE FOR
THE EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY**

WHEREAS, the Political Reform Act of 1974, Government Code §81000 *et seq.*, requires state and local government agencies to adopt and promulgate a Conflict of Interest Code; and

WHEREAS, the Eastern San Joaquin Groundwater Authority is a Joint Powers Authority pursuant to the State of California statute, which is a public entity separate and apart from the Members; and

WHEREAS, the Fair Political Practices Commission has adopted a regulation found at California Code of Regulations, Title 2, Section 18730, which contains the terms of a standard Conflict of Interest code; and

WHEREAS, after public notice, the Conflict of Interest Code found in the California Code of Regulations may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act of 1974.

NOW, THEREFORE, BE IT RESOLVED that the terms of California Code of Regulations, Title 2, Section 18730 and any amendments thereto duly adopted by the Fair Political Practices Commission are hereby incorporated into this Resolution by reference; and

BE IT FURTHER RESOLVED that this Resolution, and the attached Appendix "A" and "B" designating members and employees and establishing disclosure categories shall constitute the Conflict of Interest Code of the Eastern San Joaquin Groundwater Authority; and

BE IT FURTHER RESOLVED that designated members and employees shall file their Form 700 statements with, and shall be retained by, the Secretary of the Eastern San Joaquin Groundwater Authority, and such statements are available for public inspection and reproduction; and

BE IT FURTHER RESOLVED that persons holding designated positions shall file a Fair Political Practices Commission Form 700, or such other form as may be prescribed; and

BE IT FURTHER RESOLVED that this Conflict of Interest Code shall become effective on the 30th day following the date of approval by the Fair Political Practices Commission, the Authority's code reviewing body; and

RESOLUTION ADOPTING CONFLICT OF INTEREST CODE FOR THE
EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY

BE IT FURTHER RESOLVED by the Board of Directors of the Eastern San Joaquin Groundwater Authority, as follows:

1. That the Conflict of Interest Code (“Code”) for the Eastern San Joaquin Groundwater Authority is hereby approved and adopted by the Board of Directors.
2. That the Chair of the Board of Directors is authorized to execute the attached Declaration to be sent to the Fair Political Practices Committee.
3. That the Secretary to the Eastern San Joaquin Groundwater Authority is hereby authorized and directed to forward said Declaration and Code to the Fair Political Practices Commission for approval.
4. That the Code shall be effective on the 30th day following the date of approval by the Fair Political Practices Commission.

PASSED AND ADOPTED this 9th day of August, 2017, by the following vote of the Board of Directors of the Eastern San Joaquin Groundwater Authority, to wit:

AYES:

NOES:

ABSENT:

ATTEST: KRIS BALAJI, PMP, P.E.
Secretary of the
Eastern San Joaquin
Groundwater Authority

CHUCK WINN, Chairman
Board of Directors of the
Eastern San Joaquin
Groundwater Authority

2016/2017 Statement of Economic Interests



Form 700

A Public Document

Also available on the FPPC website:

- ***Form 700 in Excel format***
- ***Reference Pamphlet for Form 700***

California Fair Political Practices Commission

Email Advice: advice@fppc.ca.gov

Toll-free advice line: 1 (866) ASK-FPPC • 1 (866) 275-3772

Telephone: (916)322-5660 • Website: www.fppc.ca.gov

December 2016

What's New

Gift Limit Increase

The gift limit increased to \$470 for calendar years 2017 and 2018. The gift limit during 2016 was \$460.

Gifts of Travel

If an individual receives a payment that is a reportable gift for travel taken on or after January 1, 2016, he or she must disclose the travel destination. (See Schedule E instructions for other details that must be disclosed.)

Who must file:

- Elected and appointed officials and candidates listed in Government Code Section 87200
- Employees, appointed officials, and consultants filing pursuant to a conflict of interest code ("code filers").
Obtain your disclosure categories, which describe the interests you must report, from your agency; they are not part of the Form 700
- Candidates running for local elective offices that are designated in a conflict of interest code (e.g., county sheriffs, city clerks, school board trustees, and water board members)

Exception: Candidates for a county central committee are not required to file the Form 700.

- Members of newly created boards and commissions not yet covered under a conflict of interest code
- Employees in newly created positions of existing agencies

See Reference Pamphlet, page 3, at www.fppc.ca.gov.

Where to file:

87200 Filers

State offices	➔	Your agency
Judicial offices	➔	The clerk of your court
Retired Judges	➔	Directly with FPPC
County offices	➔	Your county filing official
City offices	➔	Your city clerk
Multi-County offices	➔	Your agency

Code Filers — State and Local Officials, Employees, and Consultants Designated in a Conflict of Interest

Code: File with your agency, board, or commission unless otherwise specified in your agency's code (e.g., Legislative staff files directly with FPPC). In most cases, the agency, board, or commission will retain the statements.

Members of Boards and Commissions of Newly Created Agencies:

File with your newly created agency or with your agency's code reviewing body.

Employees in Newly Created Positions of Existing Agencies:

File with your agency or with your agency's code reviewing body. See Reference Pamphlet, page 3.

Candidates: File with your local elections office.

How to file:

The Form 700 is available at www.fppc.ca.gov. Form 700 schedules are also available in Excel format. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions.

When to file:

Annual Statements

➔ March 1, 2017

- Elected State Officers
- Judges and Court Commissioners
- State Board and State Commission Members listed in Government Code Section 87200

➔ April 3, 2017

- Most other filers

Individuals filing under conflict of interest codes in city and county jurisdictions should verify the annual filing date with their local filing officers.

Statements postmarked by the filing deadline are considered filed on time.

Assuming Office and Leaving Office Statements

Most filers file within 30 days of assuming or leaving office or within 30 days of the effective date of a newly adopted or amended conflict of interest code.

Exception:

If you assumed office between October 1, 2016, and December 31, 2016, and filed an assuming office statement, you are not required to file an annual statement until March 1, 2018, or April 2, 2018, whichever is applicable. The annual statement will cover the day after you assumed office through December 31, 2017. See Reference Pamphlet, pages 6 and 7, for additional exceptions.

Candidate Statements

File no later than the final filing date for the declaration of candidacy or nomination documents.

Amendments

Statements may be amended at any time. You are only required to amend the schedule that needs to be revised. It is not necessary to amend the entire filed form. Obtain amendment schedules at www.fppc.ca.gov.

There is no provision for filing deadline extensions unless the filer is serving in active military duty.

Statements of 30 pages or less may be faxed by the deadline as long as the originally signed paper version is sent by first class mail to the filing official within 24 hours.

Introduction

The Political Reform Act (Gov. Code Sections 81000-91014) requires most state and local government officials and employees to publicly disclose their personal assets and income. They also must disqualify themselves from participating in decisions that may affect their personal economic interests. The Fair Political Practices Commission (FPPC) is the state agency responsible for issuing the attached Statement of Economic Interests, Form 700, and for interpreting the law's provisions.

Gift Prohibition

Gifts received by most state and local officials, employees, and candidates are subject to a limit. During 2015 and 2016, the gift limit was \$460 from a single source per calendar year. For years 2017-2018, the limit increased to \$470 from a single source during a calendar year.

In addition, state officials, state candidates, and certain state employees are subject to a \$10 limit per calendar month on gifts from lobbyists and lobbying firms registered with the Secretary of State. See Reference Pamphlet, page 10.

State and local officials and employees should check with their agency to determine if other restrictions apply.

Disqualification

Public officials are, under certain circumstances, required to disqualify themselves from making, participating in, or attempting to influence governmental decisions that will affect their economic interests. This may include interests they are not required to disclose (i.e., a personal residence is often not reportable, but may be disqualifying). Specific disqualification requirements apply to 87200 filers (e.g., city councilmembers, members of boards of supervisors, planning commissioners, etc.). These officials must publicly identify the economic interest that creates a conflict of interest and leave the room before a discussion or vote takes place at a public meeting. For more information, consult Government Code Section 87105, Regulation 18707, and the Guide to Recognizing Conflicts of Interest at www.fppc.ca.gov.

Honorarium Ban

Most state and local officials, employees, and candidates are prohibited from accepting an honorarium for any speech given, article published, or attendance at a conference, convention, meeting, or like gathering. See Reference Pamphlet, page 10.

Loan Restrictions

Certain state and local officials are subject to restrictions on loans. See Reference Pamphlet, page 14.

Post-Governmental Employment

There are restrictions on representing clients or employers before former agencies. The provisions apply to elected state officials, most state employees, local elected officials, county chief administrative officers, city managers, including the chief administrator of a city, and general managers or chief administrators of local special districts and JPAs. The FPPC website has fact sheets explaining the provisions.

Late Filing

The filing officer who retains originally-signed or electronically filed statements of economic interests may impose on an individual a fine for any statement that is filed late. The fine is \$10 per day up to a maximum of \$100. Late filing penalties may be reduced or waived under certain circumstances.

Persons who fail to timely file their Form 700 may be referred to the FPPC's Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

For assistance concerning reporting, prohibitions, and restrictions under the Act:

- Email questions to advice@fppc.ca.gov.
- Call the FPPC toll-free at (866) 275-3772.

Form 700 is a Public Document Public Access Must Be Provided

Statements of Economic Interests are public documents. The filing officer must permit any member of the public to inspect and receive a copy of any statement.

- Statements must be available as soon as possible during the agency's regular business hours, but in any event not later than the second business day after the statement is received. Access to the Form 700 is not subject to the Public Records Act procedures.
- No conditions may be placed on persons seeking access to the forms.
- No information or identification may be required from persons seeking access.
- Reproduction fees of no more than 10 cents per page may be charged.

Types of Form 700 Filings

Assuming Office Statement:

If you are a newly appointed official or are newly employed in a position designated, or that will be designated, in a state or local agency's conflict of interest code, your assuming office date is the date you were sworn in or otherwise authorized to serve in the position. If you are a newly elected official, your assuming office date is the date you were sworn in.

- Investments, interests in real property, and business positions held on the date you assumed the office or position must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date you assumed the office or position is reportable.

For positions subject to confirmation by the State Senate or the Commission on Judicial Performance, your assuming office date is the date you were appointed or nominated to the position.

Example:

Maria Lopez was nominated by the Governor to serve on a state agency board that is subject to state Senate confirmation. The assuming office date is the date Maria's nomination is submitted to the Senate. Maria must report investments, interests in real property, and business positions she holds on that date, and income (including loans, gifts, and travel payments) received during the 12 months prior to that date.

If your office or position has been added to a newly adopted or newly amended conflict of interest code, use the effective date of the code or amendment, whichever is applicable.

- Investments, interests in real property, and business positions held on the effective date of the code or amendment must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the effective date of the code or amendment is reportable.

Annual Statement:

Generally, the period covered is January 1, 2016, through December 31, 2016. If the period covered by the statement is different than January 1, 2016, through December 31, 2016, (for example, you assumed office between October 1, 2015, and December 31, 2015 or you are combining statements), you must specify the period covered.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2016.

- If your disclosure category changes during a reporting period, disclose under the old category until the effective date of the conflict of interest code amendment and disclose under the new disclosure category through the end of the reporting period.

Leaving Office Statement:

Generally, the period covered is January 1, 2016, through the date you stopped performing the duties of your position. If the period covered differs from January 1, 2016, through the date you stopped performing the duties of your position (for example, you assumed office between October 1, 2015, and December 31, 2015, or you are combining statements), the period covered must be specified. The reporting period can cover parts of two calendar years.

- Investments, interests in real property, business positions held, and income (including loans, gifts, and travel payments) received during the period covered by the statement must be reported. Do not change the preprinted dates on Schedules A-1, A-2, and B unless you are required to report the acquisition or disposition of an interest that did not occur in 2016.

Candidate Statement:

If you are filing a statement in connection with your candidacy for state or local office, investments, interests in real property, and business positions held on the date of filing your declaration of candidacy must be reported. In addition, income (including loans, gifts, and travel payments) received during the 12 months prior to the date of filing your declaration of candidacy is reportable. Do not change the preprinted dates on Schedules A-1, A-2, and B.

Candidates running for local elective offices (e.g., county sheriffs, city clerks, school board trustees, or water district board members) must file candidate statements, as required by the conflict of interest code for the elected position. The code may be obtained from the agency of the elected position.

Amendments:

If you discover errors or omissions on any statement, file an amendment as soon as possible. You are only required to amend the schedule that needs to be revised; it is not necessary to refile the entire form. Obtain amendment schedules from the FPPC website at www.fppc.ca.gov.

Instructions Cover Page

Enter your name, mailing address, and daytime telephone number in the spaces provided. **Because the Form 700 is a public document, you may list your business/office address instead of your home address.**

Part 1. Office, Agency, or Court

- Enter the name of the office sought or held, or the agency or court. Consultants must enter the public agency name rather than their private firm's name. (Examples: State Assembly; Board of Supervisors; Office of the Mayor; Department of Finance; Hope County Superior Court)
- Indicate the name of your division, board, or district, if applicable. (Examples: Division of Waste Management; Board of Accountancy; District 45). **Do not use acronyms.**
- Enter your position title. (Examples: Director; Chief Counsel; City Council Member; Staff Services Analyst)
- If you hold multiple positions (i.e., a city council member who also is a member of a county board or commission), you may be required to file statements with each agency. To simplify your filing obligations, you may complete an expanded statement.
- To do this, enter the name of the other agency(ies) with which you are required to file and your position title(s) in the space provided. **Do not use acronyms.** Attach an additional sheet if necessary. Complete one statement covering the disclosure requirements for all positions. Each copy must contain an original signature. Therefore, before signing the statement, make a copy for each agency. Sign each copy with an original signature and file with each agency.

If you assume or leave a position after a filing deadline, you must complete a separate statement. For example, a city council member who assumes a position with a county special district after the April 1 annual filing deadline must file a separate assuming office statement. In subsequent years, the city council member may expand his or her annual filing to include both positions.

Example:

Scott Baker is a city council member for the City of Lincoln and a board member for the Camp Far West Irrigation District – a multi-county agency that covers Placer and Yuba counties. Scott will complete one Form 700 using full disclosure (as required for the city position) and covering interests in both Placer and Yuba counties (as required for the multi-county position) and list both positions on the Cover Page. Before signing the statement, Scott will make a copy and sign both statements. One statement will be filed with City of Lincoln and the other will be filed with Camp Far West Irrigation District. Both will contain an original signature.

Part 2. Jurisdiction of Office

- Check the box indicating the jurisdiction of your agency and, if applicable, identify the jurisdiction. Judges, judicial candidates, and court commissioners have statewide jurisdiction. All other filers should review the Reference Pamphlet, page 13, to determine their jurisdiction.
- If your agency is a multi-county office, list each county in which your agency has jurisdiction.

- If your agency is not a state office, court, county office, city office, or multi-county office (e.g., school districts, special districts and JPAs), check the "other" box and enter the county or city in which the agency has jurisdiction.

Example:

This filer is a member of a water district board with jurisdiction in portions of Yuba and Sutter Counties.

1. Office, Agency, or Court	
Agency Name (Do not use acronyms) Feather River Irrigation District	
Division, Board, Department, District, if applicable N/A	Your Position Board Member
▶ If filing for multiple positions, list below or on an attachment. (Do not use acronyms)	
Agency: N/A	Position: _____
2. Jurisdiction of Office (Check at least one box)	
<input type="checkbox"/> State	<input type="checkbox"/> Judge or Court Commissioner (Statewide Jurisdiction)
<input checked="" type="checkbox"/> Multi-County Yuba & Sutter Counties	<input type="checkbox"/> County of _____
<input type="checkbox"/> City of _____	<input type="checkbox"/> Other _____

Part 3. Type of Statement

Check at least one box. The period covered by a statement is determined by the type of statement you are filing. If you are completing a 2016 annual statement, **do not** change the pre-printed dates to reflect 2017. Your annual statement is used for reporting the **previous year's** economic interests. Economic interests for your annual filing covering January 1, 2017, through December 31, 2017, will be disclosed on your statement filed in 2018. See Reference Pamphlet, page 4.

Combining Statements: Certain types of statements may be combined. For example, if you leave office after January 1, but before the deadline for filing your annual statement, you may combine your annual and leaving office statements. File by the earliest deadline. Consult your filing officer or the FPPC.

Part 4. Schedule Summary

- Complete the Schedule Summary after you have reviewed each schedule to determine if you have reportable interests.
- Enter the total number of completed pages including the cover page and either check the box for each schedule you use to disclose interests; **or** if you have nothing to disclose on any schedule, check the "No reportable interests" box. Please **do not** attach any blank schedules.

Part 5. Verification

Complete the verification by signing the statement and entering the date signed. All statements must have an original "wet" signature or be duly authorized by your filing officer to file electronically under Government Code Section 87500.2. Instructions, examples, FAQs, and a reference pamphlet are available to help answer your questions. **When you sign your statement, you are stating, under penalty of perjury, that it is true and correct.** Only the filer has authority to sign the statement. An unsigned statement is not considered filed and you may be subject to late filing penalties.

FPPC Form 700 (2016/2017)

FPPC Advice Email: advice@fppc.ca.gov

FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

Instructions – 1

COVER PAGE

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

Division, Board, Department, District, if applicable Your Position

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: Position:

2. Jurisdiction of Office (Check at least one box)

- State Judge or Court Commissioner (Statewide Jurisdiction)
- Multi-County _____ County of _____
- City of _____ Other _____

3. Type of Statement (Check at least one box)

- Annual:** The period covered is January 1, 2016, through December 31, 2016.
-or- The period covered is ____/____/____, through December 31, 2016.
- Assuming Office:** Date assumed ____/____/____
- Candidate:** Election year _____ and office sought, if different than Part 1: _____
- Leaving Office:** Date Left ____/____/____ (Check one)
 - The period covered is January 1, 2016, through the date of leaving office.
 - or- The period covered is ____/____/____, through the date of leaving office.

4. Schedule Summary (must complete) ► Total number of pages including this cover page: _____

Schedules attached

- Schedule A-1 - Investments** – schedule attached **Schedule C - Income, Loans, & Business Positions** – schedule attached
- Schedule A-2 - Investments** – schedule attached **Schedule D - Income – Gifts** – schedule attached
- Schedule B - Real Property** – schedule attached **Schedule E - Income – Gifts – Travel Payments** – schedule attached

- or- **None - No reportable interests on any schedule**

5. Verification

MAILING ADDRESS STREET CITY STATE ZIP CODE
(Business or Agency Address Recommended - Public Document)

DAYTIME TELEPHONE NUMBER E-MAIL ADDRESS
()

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed _____ Signature _____
(month, day, year) (File the originally signed statement with your filing official.)

Which Schedule Do I Use?

Common Reportable Interests

Schedule A-1	Stocks, including those held in an IRA or a 401K
Schedule A-2	Business entities (including certain independent contracting), sole proprietorships, partnerships, LLCs, corporations, and trusts
Schedule B	Rental property in the jurisdiction, or within two miles of the boundaries of the jurisdiction
Schedule C	Non-governmental salaries of public official and spouse/registered domestic partner
Schedule D	Gifts from businesses (such as tickets to sporting or entertainment events)
Schedule E	Travel payments from third parties (not your employer)

Common Non-Reportable Interests

Schedule A-1	Insurance policies, government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
Schedule A-2	Savings and checking accounts and annuities
Schedule B	A residence used exclusively as a personal residence (such as a home or vacation cabin)
Schedule C	Governmental salary (such as a school district)
Schedule D	Gifts from family members
Schedule E	Travel paid by your government agency

Remember:

- ✓ Mark the “No reportable interests” box on Part 4 of the Schedule Summary on the Cover Page if you determine you have nothing to disclose and file the Cover Page only. **Make sure you carefully read all instructions to ensure proper reporting.**
- ✓ The Form 700 is a public document.
- ✓ **Most individuals must consult their agency’s conflict of interest code for reportable interests.**
- ✓ Most individuals file the Form 700 with their agencies.

Questions and Answers

General

- Q. What is the reporting period for disclosing interests on an assuming office statement or a candidate statement?
- A. On an assuming office statement, disclose all reportable investments, interests in real property, and business positions held on the date you assumed office. In addition, you must disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you assumed office.

On a candidate statement, disclose all reportable investments, interests in real property, and business positions held on the date you file your declaration of candidacy. You must also disclose income (including loans, gifts and travel payments) received during the 12 months prior to the date you file your declaration of candidacy.

- Q. I hold two other board positions in addition to my position with the county. Must I file three statements of economic interests?
- A. Yes, three are required. However, you may complete one statement listing the county and the two boards on the Cover Page or an attachment as the agencies for which you will be filing. Report your economic interests using the largest jurisdiction and highest disclosure requirements assigned to you by the three agencies. Make two copies of the entire statement before signing it, sign each copy with an original signature, and distribute one original to the county and to each of the two boards. Remember to complete separate statements for positions that you leave or assume during the year.
- Q. I am a department head who recently began acting as city manager. Should I file as the city manager?
- A. Yes. File an assuming office statement as city manager. Persons serving as “acting,” “interim,” or “alternate” must file as if they hold the position because they are or may be performing the duties of the position.
- Q. As a designated employee, I left one state agency to work for another state agency. Must I file a leaving office statement?
- A. Yes. You may also need to file an assuming office statement for the new agency.

- Q. My spouse and I are currently separated and in the process of obtaining a divorce. Must I still report my spouse’s income, investments, and interests in real property?
- A. Yes. A public official must continue to report a spouse’s economic interests until such time as dissolution of marriage proceedings is final. However, if a separate property agreement has been reached prior to that time, your estranged spouse’s income may not have to be reported. Contact the FPPC for more information.

Investment Disclosure

- Q. I have an investment interest in shares of stock in a company that does not have an office in my jurisdiction. Must I still disclose my investment interest in this company?
- A. Probably. The definition of “doing business in the jurisdiction” is not limited to whether the business has an office or physical location in your jurisdiction. See Reference Pamphlet, page 13.
- Q. My spouse and I have a living trust. The trust holds rental property in my jurisdiction, our primary residence, and investments in diversified mutual funds. I have full disclosure. How is this trust disclosed?
- A. Disclose the name of the trust, the rental property and its income on Schedule A-2. Your primary residence and investments in diversified mutual funds registered with the SEC are not reportable.
- Q. I am required to report all investments. I have an IRA that contains stocks through an account managed by a brokerage firm. Must I disclose these stocks even though they are held in an IRA and I did not decide which stocks to purchase?
- A. Yes. Disclose on Schedule A-1 or A-2 any stock worth \$2,000 or more in a business entity located in or doing business in your jurisdiction.

Questions and Answers Continued

Q. I am the sole owner of my business, an S-Corporation. I believe that the nature of the business is such that it cannot be said to have any "fair market value" because it has no assets. I operate the corporation under an agreement with a large insurance company. My contract does not have resale value because of its nature as a personal services contract. Must I report the fair market value for my business on Schedule A-2 of the Form 700?

A. Yes. Even if there are no *tangible* assets, intangible assets, such as relationships with companies and clients are commonly sold to qualified professionals. The "fair market value" is often quantified for other purposes, such as marital dissolutions or estate planning. In addition, the IRS presumes that "personal services corporations" have a fair market value. A professional "book of business" and the associated goodwill that generates income are not without a determinable value. The Form 700 does not require a precise fair market value; it is only necessary to check a box indicating the broad range within which the value falls.

Q. I own stock in IBM and must report this investment on Schedule A-1. I initially purchased this stock in the early 1990s; however, I am constantly buying and selling shares. Must I note these dates in the "Acquired" and "Disposed" fields?

A. No. You must only report dates in the "Acquired" or "Disposed" fields when, during the reporting period, you initially purchase a reportable investment worth \$2,000 or more or when you dispose of the entire investment. You are not required to track the partial trading of an investment.

Q. On last year's filing I reported stock in Encoe valued at \$2,000 - \$10,000. Late last year the value of this stock fell below and remains at less than \$2,000. How should this be reported on this year's statement?

A. You are not required to report an investment if the value was less than \$2,000 during the **entire** reporting period. However, because a disposed date is not required for stocks that fall below \$2,000, you may want to report the stock and note in the "comments" section that the value fell below \$2,000. This would be for informational purposes only; it is not a requirement.

Q. We have a Section 529 account set up to save money for our son's college education. Is this reportable?

A. If the Section 529 account contains reportable interests (e.g., common stock valued at \$2,000 or more), those interests are reportable (not the actual Section 529 account). If the account contains solely mutual funds, then nothing is reported.

Income Disclosure

Q. I reported a business entity on Schedule A-2. Clients of my business are located in several states. Must I report all clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2, Part 3?

A. No, only the clients located in or doing business on a regular basis in your jurisdiction must be disclosed.

Q. I believe I am not required to disclose the names of clients from whom my pro rata share of income is \$10,000 or more on Schedule A-2 because of their right to privacy. Is there an exception for reporting clients' names?

A. Regulation 18740 provides a procedure for requesting an exemption to allow a client's name not to be disclosed if disclosure of the name would violate a legally recognized privilege under California or Federal law. This regulation may be obtained from our website at www.fppc.ca.gov. See Reference Pamphlet, page 14.

Q. I am sole owner of a private law practice that is not reportable based on my limited disclosure category. However, some of the sources of income to my law practice are from reportable sources. Do I have to disclose this income?

A. Yes, even though the law practice is not reportable, reportable sources of income to the law practice of \$10,000 or more must be disclosed. This information would be disclosed on Schedule C with a note in the "comments" section indicating that the business entity is not a reportable investment. The note would be for informational purposes only; it is not a requirement.

Questions and Answers Continued

Q. I am the sole owner of my business. Where do I disclose my income - on Schedule A-2 or Schedule C?

A. Sources of income to a business in which you have an ownership interest of 10% or greater are disclosed on Schedule A-2. See Reference Pamphlet, page 8, for the definition of “business entity.”

Q. My husband is a partner in a four-person firm where all of his business is based on his own billings and collections from various clients. How do I report my community property interest in this business and the income generated in this manner?

A. If your husband’s investment in the firm is 10% or greater, disclose 100% of his share of the business on Schedule A-2, Part 1 and 50% of his income on Schedule A-2, Parts 2 and 3. For example, a client of your husband’s must be a source of at least \$20,000 during the reporting period before the client’s name is reported.

Q. How do I disclose my spouse’s or registered domestic partner’s salary?

A. Report the name of the employer as a source of income on Schedule C.

Q. I am a doctor. For purposes of reporting \$10,000 sources of income on Schedule A-2, Part 3, are the patients or their insurance carriers considered sources of income?

A. If your patients exercise sufficient control by selecting you instead of other doctors, then your patients, rather than their insurance carriers, are sources of income to you. See Reference Pamphlet, page 14, for additional information.

Q. I received a loan from my grandfather to purchase my home. Is this loan reportable?

A. No. Loans received from family members are not reportable.

Q. Many years ago, I loaned my parents several thousand dollars, which they paid back this year. Do I need to report this loan repayment on my Form 700?

A. No. Payments received on a loan made to a family member are not reportable.

Real Property Disclosure

Q. During this reporting period we switched our principal place of residence into a rental. I have full disclosure and the property is located in my agency’s jurisdiction, so it is now reportable. Because I have not reported this property before, do I need to show an “acquired” date?

A. No, you are not required to show an “acquired” date because you previously owned the property. However, you may want to note in the “comments” section that the property was not previously reported because it was used exclusively as your residence. This would be for informational purposes only; it is not a requirement.

Q. I am a city manager, and I own a rental property located in an adjacent city, but one mile from the city limit. Do I need to report this property interest?

A. Yes. You are required to report this property because it is located within 2 miles of the boundaries of the city you manage.

Q. Must I report a home that I own as a personal residence for my daughter?

A. You are not required to disclose a home used as a personal residence for a family member unless you receive income from it, such as rental income.

Q. I am a co-signer on a loan for a rental property owned by a friend. Since I am listed on the deed of trust, do I need to report my friend’s property as an interest in real property on my Form 700?

A. No. Simply being a co-signer on a loan for property does not create a reportable interest in real property for you.

Gift Disclosure

Q. If I received a reportable gift of two tickets to a concert valued at \$100 each, but gave the tickets to a friend because I could not attend the concert, do I have any reporting obligations?

A. Yes. Since you accepted the gift and exercised discretion and control of the use of the tickets, you must disclose the gift on Schedule D.

Questions and Answers Continued

- Q. Mary and Joe Benson, a married couple, want to give a piece of artwork to a county supervisor. Is each spouse considered a separate source for purposes of the gift limit and disclosure?
- A. Yes, each spouse may make a gift valued at the gift limit during a calendar year. For example, during 2016 the gift limit was \$460, so the Bensons may have given the supervisor artwork valued at no more than \$920. The supervisor must identify Joe and Mary Benson as the sources of the gift.
- Q. I am a Form 700 filer with full disclosure. Our agency holds a holiday raffle to raise funds for a local charity. I bought \$10 worth of raffle tickets and won a gift basket valued at \$120. The gift basket was donated by Doug Brewer, a citizen in our city. At the same event, I bought raffle tickets for, and won a quilt valued at \$70. The quilt was donated by a coworker. Are these reportable gifts?
- A. Because the gift basket was donated by an outside source (not an agency employee), you have received a reportable gift valued at \$110 (the value of the basket less the consideration paid). The source of the gift is Doug Brewer and the agency is disclosed as the intermediary. Because the quilt was donated by an employee of your agency, it is not a reportable gift.
- Q. My agency is responsible for disbursing grants. An applicant (501(c)(3) organization) met with agency employees to present its application. At this meeting, the applicant provided food and beverages. Would the food and beverages be considered gifts to the employees? These employees are designated in our agency's conflict of interest code and the applicant is a reportable source of income under the code.
- A. Yes. If the value of the food and beverages consumed by any one filer, plus any other gifts received from the same source during the reporting period total \$50 or more, the food and beverages would be reported using the fair market value and would be subject to the gift limit.
- Q. I received free admission to an educational conference related to my official duties. Part of the conference fees included a round of golf. Is the value of the golf considered informational material?
- A. No. The value of personal benefits, such as golf, attendance at a concert, or sporting event, are gifts subject to reporting and limits.

Instructions – Schedules A-1 and A-2 Investments

“Investment” means a financial interest in any business entity (including a consulting business or other independent contracting business) that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency’s jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more at any time during the reporting period. See Reference Pamphlet, page 13.

Reportable investments include:

- Stocks, bonds, warrants, and options, including those held in margin or brokerage accounts and managed investment funds (See Reference Pamphlet, page 13.)
- Sole proprietorships
- Your own business or your spouse’s or registered domestic partner’s business (See Reference Pamphlet, page 8, for the definition of “business entity.”)
- Your spouse’s or registered domestic partner’s investments even if they are legally separate property
- Partnerships (e.g., a law firm or family farm)
- Investments in reportable business entities held in a retirement account (See Reference Pamphlet, page 15.)
- If you, your spouse or registered domestic partner, and dependent children together had a 10% or greater ownership interest in a business entity or trust (including a living trust), you must disclose investments held by the business entity or trust. See Reference Pamphlet, page 15, for more information on disclosing trusts.
- Business trusts

You are not required to disclose:

- Government bonds, diversified mutual funds, certain funds similar to diversified mutual funds (such as exchange traded funds) and investments held in certain retirement accounts. See Reference Pamphlet, page 13, for detailed information. (Regulation 18237)
- Bank accounts, savings accounts, money market accounts and certificates of deposits
- Insurance policies
- Annuities
- Commodities
- Shares in a credit union
- Government bonds (including municipal bonds)
- Retirement accounts invested in non-reportable interests (e.g., insurance policies, mutual funds, or government bonds) (See Reference Pamphlet, page 15.)

- Government defined-benefit pension plans (such as CalPERS and CalSTRS plans)
- Certain interests held in a blind trust (See Reference Pamphlet, page 16.)

Use Schedule A-1 to report ownership of less than 10% (e.g., stock). Schedule C (Income) may also be required if the investment is not a stock or corporate bond. See second example below.

Use Schedule A-2 to report ownership of 10% or greater (e.g., a sole proprietorship).

To Complete Schedule A-1:

Do not attach brokerage or financial statements.

- Disclose the name of the business entity.
- Provide a general description of the business activity of the entity (e.g., pharmaceuticals, computers, automobile manufacturing, or communications).
- Check the box indicating the highest fair market value of your investment during the reporting period. If you are filing a candidate or an assuming office statement, indicate the fair market value on the filing date or the date you took office, respectively.
- Identify the nature of your investment (e.g., stocks, warrants, options, or bonds).
- An acquired or disposed of date is only required if you initially acquired or entirely disposed of the investment interest during the reporting period. The date of a stock dividend reinvestment or partial disposal is not required. Generally, these dates will not apply if you are filing a candidate or an assuming office statement.

Examples:

John Smith holds a state agency position. His conflict of interest code requires full disclosure of investments. John must disclose his stock holdings of \$2,000 or more in any company that is located in or does business in California, as well as those stocks held by his spouse or registered domestic partner and dependent children.

Susan Jones is a city council member. She has a 4% interest, worth \$5,000, in a limited partnership located in the city. Susan must disclose the partnership on Schedule A-1 and income of \$500 or more received from the partnership on Schedule C.

Reminders

- Do you know your agency’s jurisdiction?
- Did you hold investments at any time during the period covered by this statement?
- Code filers – your disclosure categories may only require disclosure of specific investments.

SCHEDULE A-1

Investments

Stocks, Bonds, and Other Interests (Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

Name _____

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
____/____/16 ____/____/16
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
____/____/16 ____/____/16
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
____/____/16 ____/____/16
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
____/____/16 ____/____/16
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
____/____/16 ____/____/16
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY _____

GENERAL DESCRIPTION OF THIS BUSINESS _____

FAIR MARKET VALUE
 \$2,000 - \$10,000 \$10,001 - \$100,000
 \$100,001 - \$1,000,000 Over \$1,000,000

NATURE OF INVESTMENT
 Stock Other _____
(Describe)

Partnership Income Received of \$0 - \$499
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:
____/____/16 ____/____/16
ACQUIRED DISPOSED

Comments: _____

Instructions – Schedule A-2

Investments, Income, and Assets of Business Entities/Trusts

Use Schedule A-2 to report investments in a business entity (including a consulting business or other independent contracting business) or trust (including a living trust) in which you, your spouse or registered domestic partner, and your dependent children, together or separately, had a 10% or greater interest, totaling \$2,000 or more, during the reporting period and which is located in, doing business in, planning to do business in, or which has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13. A trust located outside your agency's jurisdiction is reportable if it holds assets that are located in or doing business in the jurisdiction. Do not report a trust that contains non-reportable interests. For example, a trust containing only your personal residence not used in whole or in part as a business, your savings account, and some municipal bonds, is not reportable.

Also report on Schedule A-2 investments and real property held by that entity or trust if your pro rata share of the investment or real property interest was \$2,000 or more during the reporting period.

To Complete Schedule A-2:

Part 1. Disclose the name and address of the business entity or trust. If you are reporting an interest in a business entity, check "Business Entity" and complete the box as follows:

- Provide a general description of the business activity of the entity.
- Check the box indicating the highest fair market value of your investment during the reporting period.
- If you initially acquired or entirely disposed of this interest during the reporting period, enter the date acquired or disposed.
- Identify the nature of your investment.
- Disclose the job title or business position you held with the entity, if any (i.e., if you were a director, officer, partner, trustee, employee, or held any position of management). A business position held by your spouse is not reportable.

Part 2. Check the box indicating **your pro rata** share of the **gross** income received **by** the business entity or trust. This amount includes your pro rata share of the **gross** income **from** the business entity or trust, as well as your community property interest in your spouse's or registered domestic partner's share. Gross income is the total amount of income before deducting expenses, losses, or taxes.

Part 3. Disclose the name of each source of income that is located in, doing business in, planning to do business in, or that has done business during the previous two years in your agency's jurisdiction, as follows:

- Disclose each source of income and outstanding loan **to the business entity or trust** identified in Part 1 if your pro rata share of the **gross** income (including your community property interest in your spouse's or registered domestic partner's share) to the business entity or trust from that source was \$10,000 or more during the reporting

period. See Reference Pamphlet, page 11, for examples. Income from governmental sources may be reportable if not considered salary. See Regulation 18232. Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.

- Disclose each individual or entity that was a source of commission income of \$10,000 or more during the reporting period through the business entity identified in Part 1. See Reference Pamphlet, page 8, for an explanation of commission income.

You may be required to disclose sources of income located outside your jurisdiction. For example, you may have a client who resides outside your jurisdiction who does business on a regular basis with you. Such a client, if a reportable source of \$10,000 or more, must be disclosed.

Mark "None" if you do not have any reportable \$10,000 sources of income to disclose. Using phrases such as "various clients" or "not disclosing sources pursuant to attorney-client privilege" may trigger a request for an amendment to your statement. See Reference Pamphlet, page 14, for details about requesting an exemption from disclosing privileged information.

Part 4. Report any investments or interests in real property held or leased **by the entity or trust** identified in Part 1 if your pro rata share of the interest held was \$2,000 or more during the reporting period. Attach additional schedules or use FPPC's Form 700 Excel spreadsheet if needed.

- Check the applicable box identifying the interest held as real property or an investment.
- If investment, provide the name and description of the business entity.
- If real property, report the precise location (e.g., an assessor's parcel number or address).
- Check the box indicating the highest fair market value of your interest in the real property or investment during the reporting period. (Report the fair market value of the portion of your residence claimed as a tax deduction if you are utilizing your residence for business purposes.)
- Identify the nature of your interest.
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property or investment during the reporting period.

SCHEDULE A-2

Investments, Income, and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name _____

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one
 Trust, go to 2 Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF THIS BUSINESS

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/16 ____/____/16</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

NATURE OF INVESTMENT

 Partnership Sole Proprietorship _____ Other

YOUR BUSINESS POSITION _____

▶ 1. BUSINESS ENTITY OR TRUST

Name _____

Address (Business Address Acceptable) _____

Check one
 Trust, go to 2 Business Entity, complete the box, then go to 2

GENERAL DESCRIPTION OF THIS BUSINESS

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$0 - \$1,999 <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/16 ____/____/16</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

NATURE OF INVESTMENT

 Partnership Sole Proprietorship _____ Other

YOUR BUSINESS POSITION _____

▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)

<input type="checkbox"/> \$0 - \$499	<input type="checkbox"/> \$10,001 - \$100,000
<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> OVER \$100,000
<input type="checkbox"/> \$1,001 - \$10,000	

▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)

<input type="checkbox"/> \$0 - \$499	<input type="checkbox"/> \$10,001 - \$100,000
<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> OVER \$100,000
<input type="checkbox"/> \$1,001 - \$10,000	

▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)

None or Names listed below

▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)

None or Names listed below

▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST

Check one box:
 INVESTMENT REAL PROPERTY

Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____

Description of Business Activity or City or Other Precise Location of Real Property _____

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/16 ____/____/16</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

NATURE OF INTEREST

 Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Yrs. remaining Other _____

Check box if additional schedules reporting investments or real property are attached

▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST

Check one box:
 INVESTMENT REAL PROPERTY

Name of Business Entity, if Investment, or Assessor's Parcel Number or Street Address of Real Property _____

Description of Business Activity or City or Other Precise Location of Real Property _____

<p>FAIR MARKET VALUE</p> <input type="checkbox"/> \$2,000 - \$10,000 <input type="checkbox"/> \$10,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000	<p>IF APPLICABLE, LIST DATE:</p> <p style="text-align: center;">____/____/16 ____/____/16</p> <p style="text-align: center;">ACQUIRED DISPOSED</p>
--	--

NATURE OF INTEREST

 Property Ownership/Deed of Trust Stock Partnership

Leasehold _____ Yrs. remaining Other _____

Check box if additional schedules reporting investments or real property are attached

Comments: _____

Instructions – Schedule B Interests in Real Property

Report interests in real property located in your agency's jurisdiction in which you, your spouse or registered domestic partner, or your dependent children had a direct, indirect, or beneficial interest totaling \$2,000 or more any time during the reporting period. Real property is also considered to be "within the jurisdiction" of a local government agency if the property or any part of it is located within two miles outside the boundaries of the jurisdiction or within two miles of any land owned or used by the local government agency. See Reference Pamphlet, page 13.

Interests in real property include:

- An ownership interest (including a beneficial ownership interest)
- A deed of trust, easement, or option to acquire property
- A leasehold interest (See Reference Pamphlet, page 14.)
- A mining lease
- An interest in real property held in a retirement account (See Reference Pamphlet, page 15.)
- An interest in real property held by a business entity or trust in which you, your spouse or registered domestic partner, and your dependent children together had a 10% or greater ownership interest (Report on Schedule A-2.)
- Your spouse's or registered domestic partner's interests in real property that are legally held separately by him or her

You are not required to report:

- A residence, such as a home or vacation cabin, used exclusively as a personal residence (However, a residence in which you rent out a room or for which you claim a business deduction may be reportable. If reportable, report the fair market value of the portion claimed as a tax deduction.)

Please note: A non-reportable residence can still be grounds for a conflict of interest and may be disqualifying.

- Interests in real property held through a blind trust (See Reference Pamphlet, page 16, for exceptions.)

To Complete Schedule B:

- Report the precise location (e.g., an assessor's parcel number or address) of the real property.
- Check the box indicating the fair market value of your interest in the property (regardless of what you owe on the property).
- Enter the date acquired or disposed only if you initially acquired or entirely disposed of your interest in the property during the reporting period.
- Identify the nature of your interest. If it is a leasehold, disclose the number of years remaining on the lease.

Reminders

- Income and loans already reported on Schedule B are not also required to be reported on Schedule C.
- Real property already reported on Schedule A-2, Part 4 is not also required to be reported on Schedule B.
- Code filers – do your disclosure categories require disclosure of real property?

- If you received rental income, check the box indicating the gross amount you received.
- If you had a 10% or greater interest in real property and received rental income, list the name of the source(s) if your pro rata share of the gross income from any single tenant was \$10,000 or more during the reporting period. If you received a total of \$10,000 or more from two or more tenants acting in concert (in most cases, this will apply to married couples), disclose the name of each tenant. Otherwise, mark "None."
- Loans from a private lender that total \$500 or more and are secured by real property may be reportable. **Loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status are not reportable.**

When reporting a loan:

- Provide the name and address of the lender.
- Describe the lender's business activity.
- Disclose the interest rate and term of the loan. For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period. The term of a loan is the total number of months or years given for repayment of the loan at the time the loan was established.
- Check the box indicating the highest balance of the loan during the reporting period.
- Identify a guarantor, if applicable.

If you have more than one reportable loan on a single piece of real property, report the additional loan(s) on Schedule C.

Example:

Joe Nelson is a city planning commissioner. Joe received rental income of \$12,000 during the reporting period from a single tenant who rented property Joe owned in the city's jurisdiction. If Joe had received the \$12,000 from two or more tenants, the tenants' names would not be required as long as no single tenant paid \$10,000 or more. A married couple would be considered a single tenant.

ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS 4600 24th Street	
CITY Sacramento	
FAIR MARKET VALUE	IF APPLICABLE, LIST DATE:
<input type="checkbox"/> \$2,000 - \$10,000	<input type="checkbox"/> 16 / 16
<input type="checkbox"/> \$10,001 - \$100,000	ACQUIRED / DISPOSED
<input checked="" type="checkbox"/> \$100,001 - \$1,000,000	
<input type="checkbox"/> Over \$1,000,000	
NATURE OF INTEREST	
<input checked="" type="checkbox"/> Ownership/Deed of Trust	<input type="checkbox"/> Easement
<input type="checkbox"/> Leasehold	<input type="checkbox"/> Other
IF RENTAL PROPERTY, GROSS INCOME RECEIVED	
<input type="checkbox"/> \$0 - \$499	<input type="checkbox"/> \$500 - \$1,000
<input type="checkbox"/> \$1,001 - \$10,000	<input type="checkbox"/> OVER \$100,000
<input checked="" type="checkbox"/> \$10,001 - \$100,000	
SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.	
<input type="checkbox"/> None	
Henry Wells	
NAME OF LENDER*	
Sophia Petroillo	
ADDRESS (Business Address Acceptable)	
2121 Blue Sky Parkway, Sacramento	
BUSINESS ACTIVITY, IF ANY, OF LENDER	
Restaurant Owner	
INTEREST RATE	TERM (Months/Years)
8 % <input type="checkbox"/> None	15 Years
HIGHEST BALANCE DURING REPORTING PERIOD	
<input type="checkbox"/> \$500 - \$1,000	<input type="checkbox"/> \$1,001 - \$10,000
<input checked="" type="checkbox"/> \$10,001 - \$100,000	<input type="checkbox"/> OVER \$100,000
<input type="checkbox"/> Guarantor, if applicable	

FPPC Form 700 (2016/2017)

FPPC Advice Email: advice@fppc.ca.gov

FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

Instructions – 12

SCHEDULE B
Interests in Real Property
(Including Rental Income)

Name _____

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:
 \$2,000 - \$10,000 _____/_____/ **16** _____/_____/ **16**
 \$10,001 - \$100,000 _____/_____/ **16** _____/_____/ **16**
 \$100,001 - \$1,000,000 ACQUIRED DISPOSED
 Over \$1,000,000

NATURE OF INTEREST
 Ownership/Deed of Trust Easement
 Leasehold _____ _____
Yrs. remaining Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED
 \$0 - \$499 \$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.
 None

▶ ASSESSOR'S PARCEL NUMBER OR STREET ADDRESS _____

CITY _____

FAIR MARKET VALUE IF APPLICABLE, LIST DATE:
 \$2,000 - \$10,000 _____/_____/ **16** _____/_____/ **16**
 \$10,001 - \$100,000 _____/_____/ **16** _____/_____/ **16**
 \$100,001 - \$1,000,000 ACQUIRED DISPOSED
 Over \$1,000,000

NATURE OF INTEREST
 Ownership/Deed of Trust Easement
 Leasehold _____ _____
Yrs. remaining Other

IF RENTAL PROPERTY, GROSS INCOME RECEIVED
 \$0 - \$499 \$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 OVER \$100,000

SOURCES OF RENTAL INCOME: If you own a 10% or greater interest, list the name of each tenant that is a single source of income of \$10,000 or more.
 None

* You are not required to report loans from commercial lending institutions made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)
_____% None _____

HIGHEST BALANCE DURING REPORTING PERIOD
 \$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 OVER \$100,000
 Guarantor, if applicable

NAME OF LENDER* _____

ADDRESS (Business Address Acceptable) _____

BUSINESS ACTIVITY, IF ANY, OF LENDER _____

INTEREST RATE TERM (Months/Years)
_____% None _____

HIGHEST BALANCE DURING REPORTING PERIOD
 \$500 - \$1,000 \$1,001 - \$10,000
 \$10,001 - \$100,000 OVER \$100,000
 Guarantor, if applicable

Comments: _____

Instructions – Schedule C

Income, Loans, & Business Positions

(Income Other Than Gifts and Travel Payments)

Reporting Income:

Report the source and amount of gross income of \$500 or more you received during the reporting period. Gross income is the total amount of income before deducting expenses, losses, or taxes and includes loans other than loans from a commercial lending institution. See Reference Pamphlet, page 11. You must also report the source of income to your spouse or registered domestic partner if your community property share was \$500 or more during the reporting period.

The source and income must be reported only if the source is located in, doing business in, planning to do business in, or has done business during the previous two years in your agency's jurisdiction. See Reference Pamphlet, page 13, for more information about doing business in the jurisdiction. Reportable sources of income may be further limited by your disclosure category located in your agency's conflict of interest code.

Reporting Business Positions:

You must report your job title with each reportable business entity even if you received no income during the reporting period. Use the comments section to indicate that no income was received.

Commonly reportable income and loans include:

- Salary/wages, per diem, and reimbursement for expenses including travel payments provided by your employer
- Community property interest (50%) in your spouse's or registered domestic partner's income - **report the employer's name and all other required information**
- Income from investment interests, such as partnerships, reported on Schedule A-1
- Commission income not required to be reported on Schedule A-2 (See Reference Pamphlet, page 8.)
- Gross income from any sale, including the sale of a house or car (Report your pro rata share of the total sale price.)
- Rental income not required to be reported on Schedule B
- Prizes or awards not disclosed as gifts
- Payments received on loans you made to others
- An honorarium received prior to becoming a public official (See Reference Pamphlet, page 10, concerning your ability to receive future honoraria.)
- Incentive compensation (See Reference Pamphlet, page 12.)

Reminders

- Code filers – your disclosure categories may not require disclosure of all sources of income.
- If you or your spouse or registered domestic partner are self-employed, report the business entity on Schedule A-2.
- Do not disclose on Schedule C income, loans, or business positions already reported on Schedules A-2 or B.

You are **not** required to report:

- Salary, reimbursement for expenses or per diem, or social security, disability, or other similar benefit payments received by you or your spouse or registered domestic partner from a federal, state, or local government agency.
- Stock dividends and income from the sale of stock unless the source can be identified.
- Income from a PERS retirement account.

See Reference Pamphlet, page 11, for more exceptions to income reporting.

To Complete Schedule C:

Part 1. Income Received/Business Position Disclosure

- Disclose the name and address of each source of income or each business entity with which you held a business position.
- Provide a general description of the business activity if the source is a business entity.
- Check the box indicating the amount of gross income received.
- Identify the consideration for which the income was received.
- For income from commission sales, check the box indicating the gross income received and list the name of each source of commission income of \$10,000 or more. See Reference Pamphlet, page 8. **Note: If you receive commission income on a regular basis or have an ownership interest of 10% or more, you must disclose the business entity and the income on Schedule A-2.**
- Disclose the job title or business position, if any, that you held with the business entity, even if you did not receive income during the reporting period.

Part 2. Loans Received or Outstanding During the Reporting Period

- Provide the name and address of the lender.
- Provide a general description of the business activity if the lender is a business entity.
- Check the box indicating the highest balance of the loan during the reporting period.
- Disclose the interest rate and the term of the loan.
 - For variable interest rate loans, disclose the conditions of the loan (e.g., Prime + 2) or the average interest rate paid during the reporting period.
 - The term of the loan is the total number of months or years given for repayment of the loan at the time the loan was entered into.
- Identify the security, if any, for the loan.

Instructions – Schedule D Income – Gifts

A gift is anything of value for which you have not provided equal or greater consideration to the donor. A gift is reportable if its fair market value is \$50 or more. In addition, multiple gifts totaling \$50 or more received during the reporting period from a single source must be reported.

It is the acceptance of a gift, not the ultimate use to which it is put, that imposes your reporting obligation. Except as noted below, you must report a gift even if you never used it or if you gave it away to another person.

If the exact amount of a gift is unknown, you must make a good faith estimate of the item's fair market value. Listing the value of a gift as "over \$50" or "value unknown" is not adequate disclosure. In addition, if you received a gift through an intermediary, you must disclose the name, address, and business activity of both the donor and the intermediary. You may indicate an intermediary either in the "source" field after the name or in the "comments" section at the bottom of Schedule D.

Commonly reportable gifts include:

- Tickets/passes to sporting or entertainment events
- Tickets/passes to amusement parks
- Parking passes not used for official agency business
- Food, beverages, and accommodations, including those provided in direct connection with your attendance at a convention, conference, meeting, social event, meal, or like gathering
- Rebates/discounts not made in the regular course of business to members of the public without regard to official status
- Wedding gifts (See Reference Pamphlet, page 16)
- An honorarium received prior to assuming office (You may report an honorarium as income on Schedule C, rather than as a gift on Schedule D, if you provided services of equal or greater value than the payment received. See Reference Pamphlet, page 10, regarding your ability to receive future honoraria.)
- Transportation and lodging (See Schedule E.)
- Forgiveness of a loan received by you

You are not required to disclose:

- Gifts that were not used and that, within 30 days after receipt, were returned to the donor or delivered to a charitable organization or government agency without

Reminders

- Gifts from a single source are subject to a \$460 limit during 2016. See Reference Pamphlet, page 10.
- Code filers – you only need to report gifts from reportable sources.

Gift Tracking Mobile Application

- FPPC has created a gift tracking app for mobile devices that helps filers track gifts and provides a quick and easy way to upload the information to the Form 700. Visit FPPC's website to download the app.

being claimed by you as a charitable contribution for tax purposes

- Gifts from your spouse or registered domestic partner, child, parent, grandparent, grandchild, brother, sister, and certain other family members (See Regulation 18942 for a complete list.). The exception does not apply if the donor was acting as an agent or intermediary for a reportable source who was the true donor.
- Gifts of similar value exchanged between you and an individual, other than a lobbyist registered to lobby your state agency, on holidays, birthdays, or similar occasions
- Gifts of informational material provided to assist you in the performance of your official duties (e.g., books, pamphlets, reports, calendars, periodicals, or educational seminars)
- A monetary bequest or inheritance (However, inherited investments or real property may be reportable on other schedules.)
- Personalized plaques or trophies with an individual value of less than \$250
- Campaign contributions
- Up to two tickets, for your own use, to attend a fundraiser for a campaign committee or candidate, or to a fundraiser for an organization exempt from taxation under Section 501(c)(3) of the Internal Revenue Code. The ticket must be received from the organization or committee holding the fundraiser.
- Gifts given to members of your immediate family if the source has an established relationship with the family member and there is no evidence to suggest the donor had a purpose to influence you. (See Regulation 18943.)
- Free admission, food, and nominal items (such as a pen, pencil, mouse pad, note pad or similar item) available to all attendees, at the event at which the official makes a speech (as defined in Regulation 18950(b)(2)), so long as the admission is provided by the person who organizes the event.
- Any other payment not identified above, that would otherwise meet the definition of gift, where the payment is made by an individual who is not a lobbyist registered to lobby the official's state agency, where it is clear that the gift was made because of an existing personal or business relationship unrelated to the official's position and there is no evidence whatsoever at the time the gift is made to suggest the donor had a purpose to influence you.

To Complete Schedule D:

- Disclose the full name (not an acronym), address, and, if a business entity, the business activity of the source.
- Provide the date (month, day, and year) of receipt, and disclose the fair market value and description of the gift.

SCHEDULE D
Income – Gifts

▶ NAME OF SOURCE *(Not an Acronym)*

 ADDRESS *(Business Address Acceptable)*

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

 ADDRESS *(Business Address Acceptable)*

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

 ADDRESS *(Business Address Acceptable)*

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

 ADDRESS *(Business Address Acceptable)*

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

 ADDRESS *(Business Address Acceptable)*

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____

▶ NAME OF SOURCE *(Not an Acronym)*

 ADDRESS *(Business Address Acceptable)*

 BUSINESS ACTIVITY, IF ANY, OF SOURCE

DATE (mm/dd/yy)	VALUE	DESCRIPTION OF GIFT(S)
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____
___/___/___	\$ _____	_____

Comments: _____

Instructions – Schedule E Travel Payments, Advances, and Reimbursements

Travel payments reportable on Schedule E include advances and reimbursements for travel and related expenses, including lodging and meals.

Gifts of travel may be subject to the gift limit. In addition, certain travel payments are reportable gifts, but are not subject to the gift limit. To avoid possible misinterpretation or the perception that you have received a gift in excess of the gift limit, you may wish to provide a specific description of the purpose of your travel. See the FPPC fact sheet entitled "Limitations and Restrictions on Gifts, Honoraria, Travel, and Loans" at www.fppc.ca.gov.

You are **not** required to disclose:

- Travel payments received from any state, local, or federal government agency for which you provided services equal or greater in value than the payments received, such as reimbursement for travel on agency business from your government agency employer.
- A payment for travel from another local, state, or federal government agency and related per diem expenses when the travel is for education, training or other inter-agency programs or purposes.
- Travel payments received from your employer in the normal course of your employment that are included in the income reported on Schedule C.
- A travel payment that was received from a non-profit entity exempt from taxation under Internal Revenue Code Section 501(c)(3) for which you provided equal or greater consideration, such as reimbursement for travel on business for a 501(c)(3) organization for which you are a board member.

Note: Certain travel payments may not be reportable if reported on Form 801 by your agency.

To Complete Schedule E:

- Disclose the full name (not an acronym) and address of the source of the travel payment.
- Identify the business activity if the source is a business entity.
- Check the box to identify the payment as a gift or income, report the amount, and disclose the date(s).
 - **Travel payments are gifts** if you did not provide services that were equal to or greater in value than the payments received. You must disclose gifts totaling \$50 or more from a single source during the period covered by the statement.

When reporting travel payments that are gifts, you must provide a description of the gift and the **date(s)** received. If the travel occurred on or after January 1, 2016, you must also disclose the **travel destination**.

- **Travel payments are income** if you provided services that were equal to or greater in value than the payments received. You must disclose income totaling \$500 or more from a single source during the period covered by the statement. You have the burden of proving the payments are income rather than gifts. When reporting travel payments as income, you must describe the services you provided in exchange for the payment. You are not required to disclose the date(s) for travel payments that are income.

Example:

City council member Rick Chandler is the chairman of a 501 (c)(6) trade association and the association pays for Rick's travel to attend its meetings. Because Rick is deemed to be providing equal or greater consideration for the travel payment by virtue of serving on the board, this payment may be reported as income. Payments for Rick to attend other events for which he is not providing services are likely considered gifts.

▶ NAME OF SOURCE (Not an Acronym)	
Health Services Trade Association	
ADDRESS (Business Address Acceptable)	
1230 K Street, Suite 610	
CITY AND STATE	
Sacramento, CA	
<input type="checkbox"/> 501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE	
Association of Healthcare Workers	
DATE(S):	AMT: \$ 150.00
(If gift)	
▶ MUST CHECK ONE: <input type="checkbox"/> Gift -or- <input checked="" type="checkbox"/> Income	
<input type="radio"/> Made a Speech/Participated in a Panel	
<input checked="" type="radio"/> Other - Provide Description <u>Travel reimbursement for board meeting</u>	

Name _____

SCHEDULE E
Income – Gifts
Travel Payments, Advances,
and Reimbursements

- Mark either the gift or income box.
- Mark the “501(c)(3)” box for a travel payment received from a nonprofit 501(c)(3) organization or the “Speech” box if you made a speech or participated in a panel. These payments are not subject to the gift limit, but may result in a disqualifying conflict of interest.
- For gifts of travel, provide the travel destination.

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

▶ NAME OF SOURCE *(Not an Acronym)* _____

ADDRESS *(Business Address Acceptable)* _____

CITY AND STATE _____

501 (c)(3) or DESCRIBE BUSINESS ACTIVITY, IF ANY, OF SOURCE _____

DATE(S): ____/____/____ - ____/____/____ AMT: \$ _____
(If gift)

▶ MUST CHECK ONE: Gift **-or-** Income

Made a Speech/Participated in a Panel

Other - Provide Description _____

▶ If Gift, Provide Travel Destination _____

Comments: _____

ATTACHMENT II
A.3.

**EASTERN SAN JOAQUIN
GROUNDWATER AUTHORITY
BYLAWS**

DRAFT

**BYLAWS
OF
EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY**

**ARTICLE I
NAME**

This joint powers agency shall be known as the EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY (“Authority”) and shall exercise its powers within the geographical area of the Eastern San Joaquin Subbasin as set forth in the joint powers agreement entered into by Calaveras County Water District, Central Delta Water Agency, Central San Joaquin Water Conservation District, City of Lathrop, City of Lodi, City of Manteca, City of Stockton, Linden County Water District, Lockeford Community Services District, North San Joaquin Water Conservation District, Oakdale Irrigation District, San Joaquin County, South Delta Water Agency, South San Joaquin Irrigation District, Stockton East Water District, and Woodbridge Irrigation District (“Party” or collectively “Parties”) establishing Authority.

**ARTICLE II
PURPOSE**

The purposes of Authority as set forth in the joint powers agreement are for the following reasons:

- A. Provide for coordination among the Members to develop and implement a GSP and/or facilitate a coordination agreement, to the extent necessary;
- B. Provide for the joint exercise of powers common to each of the Members and powers granted to SGMA (subject to the restrictions contained in the joint powers agreement);
- C. Cooperatively carry out the purposes of the Sustainable Groundwater Management Act (SGMA);
- D. Develop, adopt and implement a legally sufficient Ground Water Sustainability Plan covering those portions of the Basin that are within the jurisdictional boundaries of the Members, subject to the limitations set forth in the joint powers agreement; and
- E. Satisfy the requirements of SGMA for coordination among Groundwater Sustainability Agencies.
- F. Allocation of Resources. The Members share common mission and issues, and at the same time, have different needs and priorities and are affected in different ways by these issues. The resources of Authority should be allocated in a manner so that the needs of any portion of the area are not ignored, recognizing, however, that resources are limited and that not all needs can be met, nor all portions of the area assisted equally at any one time.

ARTICLE III MEMBERSHIP

Section 1. Board. Authority shall be governed by a Board of Directors, herein referred to as the Authority Board, which shall be comprised of:

A. One (1) member appointed from each of the Member's. Members of the Board of Directors are not required to be members of the governing board of the appointing Member; however, it is the strong preference that members of the Board of Directors be members of the governing board of the appointing member.

B. In the event multiple Members establish a single Groundwater Sustainability Agency (GSA) pursuant to a separate agreement, the GSA so established will thereafter have one representative on the Board of Directors and the vote of the GSA member will be exercised in accordance with the separate agreement.

Section 2. Appointment. Members shall be appointed by the governing body of each Party and shall serve at the pleasure of their appointing body or until their respective successors are appointed. If a Member of the Board of Directors is a member of the governing body of the appointing member, termination of that member's mayor, councilperson, supervisor, director or trustee status shall constitute automatic termination of that person's membership on the Authority Board. The appointing body of a Party may appoint a new member or alternate immediately upon any vacancy in the Party's representation.

Section 3. Alternates. The governing body of each Party shall appoint an alternate member to the Authority Board. The alternate need not be a member of the governing board of the appointing member. During the absence of a regular member from any meeting of the Authority Board, the alternate shall be entitled to participate in all respects as a regular member of the Authority Board.

ARTICLE IV OFFICERS

Section 1. Elected Officers.

The elected officers shall be chosen by the Board from the members of the Board and shall consist of a Chair and a Vice-Chair.

Section 2. Terms of Elected Officers.

Elected officers of the Board shall be elected by the Board at the June meeting and shall serve for ~~one~~ two (12) year, said term to commence upon election.

Section 3. Duties of Elected Officers.

A. Chair.

1. The Chair shall preside at all meetings of the Board and such other meetings approved by the Board.
2. The Chair shall serve as official spokesperson for the Board.
3. The Chair shall appoint such committees and other working groups as prescribed by the Board.
4. The Chair shall designate Directors or others to represent the Board at various meetings, hearings, and conferences.
5. The Chair shall perform such other duties as necessary to carry out the work of the Board.
6. The Chair shall perform such duties as prescribed by law.

B. Vice-Chair.

1. The Vice-Chair shall serve in the absence of the Chair.

C. Absences.

1. In the absence of both the Chair and Vice-Chair, a majority of the Board shall select a Director to serve as Chair Pro Tem.

**ARTICLE V
MEETINGS**

Section 1. Regular and Special Meetings.

A. The Authority Board shall hold a regular meeting on the second Wednesday of each month, at 9:30 a.m., or at a time, specified by the Authority Board. The Authority's Board may designate the location of such regular meetings in a duly adopted Resolution of the Authority Board. Such regular meetings shall be for considering reports of the affairs of Authority and for transacting such other business as may be properly brought before the meeting. Any regular meeting may be rescheduled on an individual basis as to date, time and place, by motion of the Authority Board or at the direction of the Authority Secretary, in the event of a conflict with holidays, Directors' schedules, or similar matters, or, in the event of a lack of a quorum, as specified below.

B. Special meetings may be called in accordance with the California Ralph M. Brown Act. Special meetings may be called by the Chair, or by any nine Directors.

C. All meetings shall be conducted in accordance with the Ralph M. Brown Act.

Section 2. Closed Sessions.

A. All information presented in closed session shall be confidential.

B. Under Government Code section 54956.96, Authority adopts a joint powers agency limited disclosure policy as follows:

1. All information received by the legislative body of the local agency member in a closed session related to the information presented to Authority in closed session shall be confidential. However, a member of the legislative body of a member local agency may disclose information obtained in a closed session that has ~~directed~~direct financial or liability implications for that local agency to the following individuals:

(a). Legal counsel of that member local agency for purposes of obtaining advice on whether the matter has directed financial or liability implications for that member local agency.

(b). Other members of the legislative body of the local agency present in a closed session of that member local agency.

2. Any designated alternate member of the legislative body of the Authority who is also a member of the legislative body of a local agency member and who is attending a properly noticed meeting of the joint powers agency in lieu of a local agency member's regularly appointed member may attend closed sessions of Authority.

Section 3. Quorum.

A. A quorum for conducting all matters of business shall be a majority of the Members.

Section 4. Voting.

A. Voting shall only be conducted at properly noticed meeting where a quorum has been established and members are physically present, except as provided in Government Code section 54953 for teleconferencing.

B. Voting shall be by voice, show of hands, or roll call vote. Any Director may request a roll call vote.

C. In all cases, a vote to "abstain" shall be counted as an "aye" vote unless there is a majority vote to defeat the motion and then the vote to abstain shall be counted as a "no" vote.

D. Supermajority Vote Requirement for Certain Actions. The following actions will require two-thirds (2/3) vote by the directors present:

1. Approval or modification or amendment of the Authority's annual budget;
2. Decision related to the levying of taxes, assessments or property-related fees and charges;
3. Decisions related to the expenditure of funds by the Authority beyond expenditures approved in the Authority's annual budget;
4. Adoption of rules, regulations, policies, bylaws and procedures related to the function of the Authority;
5. Decisions related to the establishment of the Members' percentage obligations for payment of the Authority's operating and administrative costs as provided in Article 5.1 of the joint powers agreement;
6. Approval of any contracts over \$250,000 or contracts for terms that exceed two (2) years;
7. Setting the amounts of any contributions or fees to be paid to the Authority by any Member;
8. Decisions regarding the acquisition by any means and the holding, use, sale, letting and disposal of real and personal property of every kind, including lands, water rights, structures, buildings, rights-of-way, easements, and privileges, and the construction, maintenance, alteration and operation of any and all works or improvements, within or outside the Authority, necessary or proper to carry out any of the purposes of the Authority;
9. Decisions related to the limitation or curtailment of groundwater pumping; and
10. Approval of a Groundwater Sustainability Plan.

Section 5. Notice of Regular and Special Meetings.

A. Notices of regular meetings shall be sent in writing to each Director at the Director's address at least seventy-two (72) hours prior to such meetings. Directors may choose to receive notices of regular meetings electronically and such electronic notices shall also be sent at least seventy-two (72) hours prior to such meetings. Such notices shall specify the place, the day, and the hour of the meeting and accompanying the notice shall be a copy of the agenda for that meeting.

B. In the case of special meetings, the written or electronic notice shall specify the specific nature of the business to be transacted.

Section 6. Lack of Quorum.

A. If less than a quorum of the Directors are present at any properly called regular, adjourned regular, special, or adjourned special meeting, the member(s) who are present may adjourn the meeting to a time and place specified in the order of adjournment. A copy of the order or notice of adjournment shall be conspicuously posted on or near the door of the place where the meeting was to have been held within 24 hours after adjournment.

B. If all the members are absent from any regular or adjourned regular meeting, the Administrator of the Authority may so adjourn the meeting and post the order or notice of adjournment as provided, and additionally shall cause a written notice of the adjournment to be given in the same manner as for a notice of a special meeting.

C. If the notice or order of adjournment fails to state the hour at which the adjourned meeting is to be held, it shall be held at the hour specified for the regular meeting of Authority.

Section 7. Agenda.

Any Director or the Administrator may cause an item to be placed on the agenda.

Section 8. Adjournment.

Except as provided in Section 6 above, a meeting may be adjourned by the presiding officer's own action; however, any Director may object to such adjournment by the presiding officer and then a motion and action is required in order to adjourn the meeting in accordance with Rosenberg's Rules of Order.

Section 9. Decorum.

All Directors, and staff, shall conduct themselves in accordance with Rosenberg's Rules of Order and in a civil and polite manner toward other board members, employees, and the public. Using derogatory names, interrupting the speaker having the floor, or being disorderly or disruptive, are prohibited actions. If any meeting is willfully interrupted by any individual so as to render the orderly conduct of that meeting infeasible, that individual may be removed from the meeting. If any group or groups of persons willfully interrupts a meeting so as to render the orderly conduct of that meeting infeasible, the presiding officer, or a majority of the Board, may clear the meeting room in accordance with Government Code section 54957.9.

**ARTICLE VI
COMMITTEES**

Section 1. Advisory Committee.

A. The Board may establish an Advisory Committee which contains no more than 8 representatives from the Board of the Authority. The Advisory Committee shall consist of twenty-three (23) total members.

B. The members of the Advisory Committee shall elect one (1) of their members to serve as Chairperson.

C. A majority of the Advisory Committee members attending a meeting of the Committee, given notice in writing not less than 72 hours in advance, shall constitute a quorum for discussion and action delegated to the Committee.

D. The Advisory Committee shall conduct the preliminary review of all Federal and State mandates. In conducting such reviews, the Advisory Committee will draw upon the expertise and assistance of any persons, committees, groups, or agencies it deems appropriate.

E. The Advisory Committee shall ensure maximum inter-agency coordination and consistence with adopted comprehensive plans.

F. The Advisory Committee shall carry out any duties as assigned by the Authority Board.

Section 2. Other Committees.

The Authority Board may appoint other committees as necessary. The Chair may appoint ad hoc committees.

**ARTICLE VII
REFERRALS**

The San Joaquin County may accept by letter or resolution referrals for study and report from any duly constituted advisory or legislative body or their representatives. Reports will be made and returned to the referring body within a reasonable time.

**ARTICLE VIII
PARLIAMENTARY AUTHORITY**

Rosenberg's Rules of Order, current edition or such other authority as may be subsequently adopted by resolution of the Board is to apply to all questions of procedure and parliamentary law not specified in these Bylaws or otherwise by law.

**ARTICLE IX
AMENDMENTS**

The Bylaws may be repealed or amended, or new Bylaws may be proposed, by the affirmative vote of two-thirds of the Board of Directors present on a resolution presented at any regular meeting of the Board, provided notice of such proposal shall have been electronically mailed to each Director at least five (5) calendar days prior to the meeting at which the matter is

to be acted upon.

DRAFT

Summary report:	
Litéra® Change-Pro TDC 10.1.0.121 Document comparison done on 8/3/2017 10:47:26 AM	
Style name: Default Style	
Intelligent Table Comparison: Active	
Original DMS: iw://WORKSITE2.NEUMILLER.NB.COM/imanage/1126878/2	
Modified DMS: iw://WORKSITE2.NEUMILLER.NB.COM/imanage/1126878/4	
Changes:	
<u>Add</u>	9
Delete	5
Move From	0
<u>Move To</u>	0
<u>Table Insert</u>	0
Table Delete	0
<u>Table moves to</u>	0
Table moves from	0
Embedded Graphics (Visio, ChemDraw, Images etc.)	0
Embedded Excel	0
Format changes	0
Total Changes:	14

**EASTERN SAN JOAQUIN
GROUNDWATER AUTHORITY
BYLAWS**

**BYLAWS
OF
EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY**

**ARTICLE I
NAME**

This joint powers agency shall be known as the EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY (“Authority”) and shall exercise its powers within the geographical area of the Eastern San Joaquin Subbasin as set forth in the joint powers agreement entered into by Calaveras County Water District, Central Delta Water Agency, Central San Joaquin Water Conservation District, City of Lathrop, City of Lodi, City of Manteca, City of Stockton, Linden County Water District, Lockeford Community Services District, North San Joaquin Water Conservation District, Oakdale Irrigation District, San Joaquin County, South Delta Water Agency, South San Joaquin Irrigation District, Stockton East Water District, and Woodbridge Irrigation District (“Party” or collectively “Parties”) establishing Authority.

**ARTICLE II
PURPOSE**

The purposes of Authority as set forth in the joint powers agreement are for the following reasons:

- A. Provide for coordination among the Members to develop and implement a GSP and/or facilitate a coordination agreement, to the extent necessary;
- B. Provide for the joint exercise of powers common to each of the Members and powers granted to SGMA (subject to the restrictions contained in the joint powers agreement);
- C. Cooperatively carry out the purposes of the Sustainable Groundwater Management Act (SGMA);
- D. Develop, adopt and implement a legally sufficient Ground Water Sustainability Plan covering those portions of the Basin that are within the jurisdictional boundaries of the Members, subject to the limitations set forth in the joint powers agreement; and
- E. Satisfy the requirements of SGMA for coordination among Groundwater Sustainability Agencies.
- F. Allocation of Resources. The Members share common mission and issues, and at the same time, have different needs and priorities and are affected in different ways by these issues. The resources of Authority should be allocated in a manner so that the needs of any portion of the area are not ignored, recognizing, however, that resources are limited and that not all needs can be met, nor all portions of the area assisted equally at any one time.

ARTICLE III MEMBERSHIP

Section 1. Board. Authority shall be governed by a Board of Directors, herein referred to as the Authority Board, which shall be comprised of:

A. One (1) member appointed from each of the Member's. Members of the Board of Directors are not required to be members of the governing board of the appointing Member; however, it is the strong preference that members of the Board of Directors be members of the governing board of the appointing member.

B. In the event multiple Members establish a single Groundwater Sustainability Agency (GSA) pursuant to a separate agreement, the GSA so established will thereafter have one representative on the Board of Directors and the vote of the GSA member will be exercised in accordance with the separate agreement.

Section 2. Appointment. Members shall be appointed by the governing body of each Party and shall serve at the pleasure of their appointing body or until their respective successors are appointed. If a Member of the Board of Directors is a member of the governing body of the appointing member, termination of that member's mayor, councilperson, supervisor, director or trustee status shall constitute automatic termination of that person's membership on the Authority Board. The appointing body of a Party may appoint a new member or alternate immediately upon any vacancy in the Party's representation.

Section 3. Alternates. The governing body of each Party shall appoint an alternate member to the Authority Board. The alternate need not be a member of the governing board of the appointing member. During the absence of a regular member from any meeting of the Authority Board, the alternate shall be entitled to participate in all respects as a regular member of the Authority Board.

ARTICLE IV OFFICERS

Section 1. Elected Officers.

The elected officers shall be chosen by the Board from the members of the Board and shall consist of a Chair and a Vice-Chair.

Section 2. Terms of Elected Officers.

Elected officers of the Board shall be elected by the Board at the June meeting and shall serve for a two (2) year, said term to commence upon election.

Section 3. Duties of Elected Officers.

A. Chair.

1. The Chair shall preside at all meetings of the Board and such other meetings approved by the Board.
2. The Chair shall serve as official spokesperson for the Board.
3. The Chair shall appoint such committees and other working groups as prescribed by the Board.
4. The Chair shall designate Directors or others to represent the Board at various meetings, hearings, and conferences.
5. The Chair shall perform such other duties as necessary to carry out the work of the Board.
6. The Chair shall perform such duties as prescribed by law.

B. Vice-Chair.

1. The Vice-Chair shall serve in the absence of the Chair.

C. Absences.

1. In the absence of both the Chair and Vice-Chair, a majority of the Board shall select a Director to serve as Chair Pro Tem.

**ARTICLE V
MEETINGS**

Section 1. Regular and Special Meetings.

A. The Authority Board shall hold a regular meeting on the second Wednesday of each month, at 9:30 a.m., or at a time, specified by the Authority Board. The Authority's Board may designate the location of such regular meetings in a duly adopted Resolution of the Authority Board. Such regular meetings shall be for considering reports of the affairs of Authority and for transacting such other business as may be properly brought before the meeting. Any regular meeting may be rescheduled on an individual basis as to date, time and place, by motion of the Authority Board or at the direction of the Authority Secretary, in the event of a conflict with holidays, Directors' schedules, or similar matters, or, in the event of a lack of a quorum, as specified below.

B. Special meetings may be called in accordance with the California Ralph M. Brown Act. Special meetings may be called by the Chair, or by any nine Directors.

C. All meetings shall be conducted in accordance with the Ralph M. Brown Act.

Section 2. Closed Sessions.

A. All information presented in closed session shall be confidential.

B. Under Government Code section 54956.96, Authority adopts a joint powers agency limited disclosure policy as follows:

1. All information received by the legislative body of the local agency member in a closed session related to the information presented to Authority in closed session shall be confidential. However, a member of the legislative body of a member local agency may disclose information obtained in a closed session that has direct financial or liability implications for that local agency to the following individuals:

(a). Legal counsel of that member local agency for purposes of obtaining advice on whether the matter has directed financial or liability implications for that member local agency.

(b). Other members of the legislative body of the local agency present in a closed session of that member local agency.

2. Any designated alternate member of the legislative body of the Authority who is also a member of the legislative body of a local agency member and who is attending a properly noticed meeting of the joint powers agency in lieu of a local agency member's regularly appointed member may attend closed sessions of Authority.

Section 3. Quorum.

A. A quorum for conducting all matters of business shall be a majority of the Members.

Section 4. Voting.

A. Voting shall only be conducted at properly noticed meeting where a quorum has been established and members are physically present, except as provided in Government Code section 54953 for teleconferencing.

B. Voting shall be by voice, show of hands, or roll call vote. Any Director may request a roll call vote.

C. In all cases, a vote to "abstain" shall be counted as an "aye" vote unless there is a majority vote to defeat the motion and then the vote to abstain shall be counted as a "no" vote.

D. Supermajority Vote Requirement for Certain Actions. The following actions will require two-thirds (2/3) vote by the directors present:

1. Approval or modification or amendment of the Authority's annual budget;
2. Decision related to the levying of taxes, assessments or property-related fees and charges;
3. Decisions related to the expenditure of funds by the Authority beyond expenditures approved in the Authority's annual budget;
4. Adoption of rules, regulations, policies, bylaws and procedures related to the function of the Authority;
5. Decisions related to the establishment of the Members' percentage obligations for payment of the Authority's operating and administrative costs as provided in Article 5.1 of the joint powers agreement;
6. Approval of any contracts over \$250,000 or contracts for terms that exceed two (2) years;
7. Setting the amounts of any contributions or fees to be paid to the Authority by any Member;
8. Decisions regarding the acquisition by any means and the holding, use, sale, letting and disposal of real and personal property of every kind, including lands, water rights, structures, buildings, rights-of-way, easements, and privileges, and the construction, maintenance, alteration and operation of any and all works or improvements, within or outside the Authority, necessary or proper to carry out any of the purposes of the Authority;
9. Decisions related to the limitation or curtailment of groundwater pumping; and
10. Approval of a Groundwater Sustainability Plan.

Section 5. Notice of Regular and Special Meetings.

A. Notices of regular meetings shall be sent in writing to each Director at the Director's address at least seventy-two (72) hours prior to such meetings. Directors may choose to receive notices of regular meetings electronically and such electronic notices shall also be sent at least seventy-two (72) hours prior to such meetings. Such notices shall specify the place, the day, and the hour of the meeting and accompanying the notice shall be a copy of the agenda for that meeting.

B. In the case of special meetings, the written or electronic notice shall specify the specific nature of the business to be transacted.

Section 6. Lack of Quorum.

A. If less than a quorum of the Directors are present at any properly called regular, adjourned regular, special, or adjourned special meeting, the member(s) who are present may adjourn the meeting to a time and place specified in the order of adjournment. A copy of the order or notice of adjournment shall be conspicuously posted on or near the door of the place where the meeting was to have been held within 24 hours after adjournment.

B. If all the members are absent from any regular or adjourned regular meeting, the Administrator of the Authority may so adjourn the meeting and post the order or notice of adjournment as provided, and additionally shall cause a written notice of the adjournment to be given in the same manner as for a notice of a special meeting.

C. If the notice or order of adjournment fails to state the hour at which the adjourned meeting is to be held, it shall be held at the hour specified for the regular meeting of Authority.

Section 7. Agenda.

Any Director or the Administrator may cause an item to be placed on the agenda.

Section 8. Adjournment.

Except as provided in Section 6 above, a meeting may be adjourned by the presiding officer's own action; however, any Director may object to such adjournment by the presiding officer and then a motion and action is required in order to adjourn the meeting in accordance with Rosenberg's Rules of Order.

Section 9. Decorum.

All Directors, and staff, shall conduct themselves in accordance with Rosenberg's Rules of Order and in a civil and polite manner toward other board members, employees, and the public. Using derogatory names, interrupting the speaker having the floor, or being disorderly or disruptive, are prohibited actions. If any meeting is willfully interrupted by any individual so as to render the orderly conduct of that meeting infeasible, that individual may be removed from the meeting. If any group or groups of persons willfully interrupts a meeting so as to render the orderly conduct of that meeting infeasible, the presiding officer, or a majority of the Board, may clear the meeting room in accordance with Government Code section 54957.9.

**ARTICLE VI
COMMITTEES**

Section 1. Advisory Committee.

A. The Board may establish an Advisory Committee which contains no more than 8 representatives from the Board of the Authority. The Advisory Committee shall consist of twenty-three (23) total members.

B. The members of the Advisory Committee shall elect one (1) of their members to serve as Chairperson.

C. A majority of the Advisory Committee members attending a meeting of the Committee, given notice in writing not less than 72 hours in advance, shall constitute a quorum for discussion and action delegated to the Committee.

D. The Advisory Committee shall conduct the preliminary review of all Federal and State mandates. In conducting such reviews, the Advisory Committee will draw upon the expertise and assistance of any persons, committees, groups, or agencies it deems appropriate.

E. The Advisory Committee shall ensure maximum inter-agency coordination and consistence with adopted comprehensive plans.

F. The Advisory Committee shall carry out any duties as assigned by the Authority Board.

Section 2. Other Committees.

The Authority Board may appoint other committees as necessary. The Chair may appoint ad hoc committees.

ARTICLE VII REFERRALS

The San Joaquin County may accept by letter or resolution referrals for study and report from any duly constituted advisory or legislative body or their representatives. Reports will be made and returned to the referring body within a reasonable time.

ARTICLE VIII PARLIAMENTARY AUTHORITY

Rosenberg's Rules of Order, current edition or such other authority as may be subsequently adopted by resolution of the Board is to apply to all questions of procedure and parliamentary law not specified in these Bylaws or otherwise by law.

ARTICLE IX AMENDMENTS

The Bylaws may be repealed or amended, or new Bylaws may be proposed, by the affirmative vote of two-thirds of the Board of Directors present on a resolution presented at any regular meeting of the Board, provided notice of such proposal shall have been electronically mailed to each Director at least five (5) calendar days prior to the meeting at which the matter is to be acted upon.

ATTACHMENT II
A.4.



INDEPENDENT CONSULTANT AGREEMENT

EASTERN SAN JOAQUIN GROUNDWATER AUTHORITY

CONTRACT ID# 2017- 01

Contract Amount Not to Exceed \$42,989

PARTIES:

GWA: Eastern San Joaquin
Groundwater Authority
c/o County of San Joaquin
1810 E. Hazelton Avenue
Stockton, CA 95205

Consultant Name: GEI Consultants, Inc.
2868 Prospect Park Drive Suite 400
Rancho Cordova, CA 95260

This Agreement is made and entered into this _____ day of _____, 2017 by and between GEI Consultants, Inc., a Massachusetts Corporation (hereinafter "CONSULTANT"), and the Eastern San Joaquin Groundwater Authority, a Joint Powers Authority, (hereinafter "GWA").

1. Scope of Work for Services:

CONSULTANT agrees to provide professional engineering services in support of the GWA to prepare and submit an application for the State Proposition 1 Groundwater Sustainability Plans and Projects Grant Program. CONSULTANT shall perform the tasks identified in "Exhibit A – Scope of Work", which is attached hereto and incorporated herein by this reference. CONSULTANT shall perform the CONSULTANT'S work in accordance with currently approved methods and standards of practice in the CONSULTANT'S professional specialty.

2. Term of Agreement:

This Agreement shall commence when fully executed and continue through the 31 day of December, 2017, unless the work contemplated in this Agreement is completed on a date prior thereto or unless terminated earlier as provided herein or extended upon mutual agreement.

3. Interpretation

This Agreement shall not be interpreted in favor of any Party by virtue of said Party not having prepared this Agreement.

If any time period provided for in this Agreement ends on the day other than a Business Day, the time period shall be extended to the next Business Day.

4. Compensation:

GWA agrees to pay CONSULTANT in accordance with the schedule of costs and fees listed in Exhibit B, which is attached hereto and incorporated herein by reference, hereinafter referred to as "FEE SCHEDULE". Mileage reimbursement rate cannot exceed the Internal Revenue Services (IRS) established mileage reimbursement rate. The FEE SCHEDULE shall remain in effect for the duration of the Agreement.

Any services or expenses not mentioned in the FEE SCHEDULE must be pre-approved in writing by the GWA prior to such services and expenses becoming eligible for reimbursement and/or payment by GWA. GWA is not liable for or obligated to pay CONSULTANT costs, expenses and/or services not specified in the FEE SCHEDULE if such are not pre-approved in writing by GWA.

The total payments pursuant to this Agreement shall not exceed \$42,989.

5. Invoicing:

CONSULTANT shall submit one original and one copy of each invoice to Eastern San Joaquin Groundwater Authority, c/o County of San Joaquin, PO Box 1810, Stockton, CA 95201-1810. All invoices must reference this Agreement/Contract ID # and the service performed, itemized by labor category and direct expenses. Payments shall be made by GWA within 30 days of receipt of invoice from CONSULTANT.

6. CONSULTANT'S Status:

In the performance of work, duties and obligations imposed by this Agreement, the CONSULTANT is at all times acting as an independent consultant practicing his or her profession and not as an employee of the GWA. **A copy of CONSULTANT'S current professional, local, state or other business licenses required to conduct the services, as applicable, stated herein will be provided to GWA.** The CONSULTANT shall not have any claim under this Agreement or otherwise against the GWA for vacation, sick leave, retirement benefits, social security or workers' compensation benefits. The CONSULTANT shall be responsible for federal and state payroll taxes such as social security and unemployment. GWA will issue a Form 1099 at the end of each calendar year for payments to CONSULTANT during that year.

7. Assignments:

Inasmuch as this Agreement is intended to secure the specialized services of the CONSULTANT, CONSULTANT may not assign, transfer, delegate or subcontract their obligation herein without the prior written consent of GWA. Any such assignment, transfer, delegation or subcontract without the prior written consent shall be considered null and void.

8. Non Exclusive Rights:

This Agreement does not grant to CONSULTANT any exclusive privileges or rights to provide services to GWA. CONSULTANT and GWA may each contract with other counties, private companies or individuals for similar services.

9. Indemnification:

CONSULTANT shall, at its expense, defend, indemnify and hold harmless the GWA and its members, staff, officers, directors, contractors and agents from and against any losses, liabilities, damages, penalties, costs, fees, including without limitation reasonable attorneys' fees, and expenses from any claim or action, including without limitation for bodily injury or death, to the extent

13. Notices:

Any notice required to be given pursuant to the terms and conditions hereof shall be in writing, and shall be effected by one of the following methods: personal delivery, prepaid Certified First-Class Mail, or prepaid Priority Mail with delivery confirmation. Unless otherwise designated in writing by either party, such notice shall be mailed to the addresses shown on page one (1) of this Agreement.

14. Termination:

If the CONSULTANT breaches or habitually neglects the CONSULTANT'S duties under this Agreement without curing such breach or neglect upon fifteen (15) working days written notice, the GWA may, by written notice, immediately terminate this Agreement without prejudice to any other remedy to which GWA may be entitled, either at law, in equity, or under this Agreement. In addition, either party may terminate this Agreement upon thirty (30) days written notice to other party.

If the GWA Board of Directors fails to appropriate funds to enable this Agreement, this Agreement will be cancelled immediately and CONSULTANT will be given written notice of such termination.

15. Conflict of Interest Statement:

CONSULTANT covenants that CONSULTANT, its officers, employees or their immediate family, presently has no interest, including, but not limited to, other projects or independent contracts, and shall not acquire any such interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. CONSULTANT further covenants that in the performance of this Agreement no person having any such interest shall be employed or retained by CONSULTANT under this Agreement. Performance of services under this Agreement by associates or employees of CONSULTANT shall not relieve CONSULTANT from any responsibility under this Agreement.

At the GWA's discretion, a potential conflict of interest may be waived or factored into final award decisions and/or a modified scope of work.

16. Drug Free Workplace:

CONSULTANT shall comply with the provisions of Government Code Section 8350 et seq., otherwise known as the Drug-Free Workplace Act.

17. Force Majeure:

It is agreed that neither party shall be responsible for delays in delivery, acceptance of delivery, or failure to perform when such delay or failure is attributable to Acts of God, war, strikes, riots, lockouts, accidents, rules or regulations of any governmental agencies or other matters or conditions beyond the control of either the CONSULTANT or the GWA.

18. Compliance:

CONSULTANT shall comply with all applicable federal, state and local laws, regulations and requirements necessary for the provision of contracted services. Furthermore, CONSULTANT shall comply with all laws applicable to wages and hours of employment, occupational safety, fire safety, health and sanitation. CONSULTANT shall maintain current throughout the life of this Agreement, all permits, licenses, certificates and insurances that are necessary for the provision of contracted services.

19. Governing Law and Venue:

The Laws of the State of California shall govern this Agreement. Venue is San Joaquin County. The provision of this paragraph shall survive expiration or other termination of this Agreement regardless of the cause of such termination.

20. Documents:

All drawings, specifications, documents and other memoranda or writings relating to the work and services hereunder, shall remain or become the property of the GWA whether executed by or for the CONSULTANT for GWA, or otherwise by or for the CONSULTANT, or by or for a subcontractor operating under the CONSULTANT'S supervision, or direction, and all such documents and copies thereof shall be returned or transmitted to GWA forthwith upon GWA written demand, termination or completion of the work under this Agreement.

GWA agrees that if GWA substantially and materially alters any of the instruments of service, including supporting studies, materials, plans, and other documents delivered to GWA by CONSULTANT upon completion of a specific work assignment pursuant to this Agreement, any use by GWA of such instruments of service for this or any other project shall be at the GWA's sole risk and responsibility.

21. Attorney Fees:

In any action brought to enforce any provision of this Agreement, the losing party shall pay the prevailing party's reasonable attorney fees and losses.

22. Work Product:

GWA and CONSULTANT acknowledge and agree that "Work Product", and all components of it, provided or developed by CONSULTANT hereunder or in connection herewith shall constitute "works made for hire" within the meaning of Title 17 United States Code Section 101 et seq. (the "Copyright Act"), and all right, title, and interest in and to the Custom Products shall vest in the GWA immediately upon development. To the extent any such Custom Products may not be the sole and exclusive property of the GWA and/or may not be a "work made for hire" as defined in the Copyright Act upon development, then CONSULTANT agrees to and hereby does sell, transfer, grant and assign to the GWA all copyrights, patents, trade secrets, inventions, and other proprietary rights, title, and interest in and to such Custom Products upon development. On all written material, whether in print, electronic, or any media form, constituting "Work Product", CONSULTANT shall place or cause to be placed the following legend preferably in the lower right corner:

© 201_ Eastern San Joaquin GWA. All rights reserved.

23. Entire Agreement and Modification:

This Agreement and all documents incorporated by reference supersedes all previous Agreements either oral or in writing and constitutes the entire understanding of the parties hereto. No changes, amendments or alterations shall be effective unless in writing and signed by both parties.

By the act of providing services, CONSULTANT acknowledges and agrees to be bound by the terms and conditions herein.

IN WITNESS WHEREOF, GWA and CONSULTANT have executed this Agreement on the day and year first written above.

GEI CONSULTANTS, INC.
"CONSULTANT"

EASTERN SAN JOAQUIN GROUNDWATER
AUTHORITY
"GWA"

By: _____
Signature, Authorized Agent

By: _____
CHUCK WINN
CHAIRMAN OF "GWA"

By: _____
Printed Name of Authorized Agent

RECOMMENDED FOR APPROVAL:

By: _____
KRIS BALAJI, PMP, PE
SECRETARY OF "GWA"

APPROVED AS TO FORM:

By: _____
ROD A. ATTEBERY
General Counsel

July 31, 2017



Geotechnical
Environmental
Water Resources
Ecological

Mr. Michael Callahan
Water Resources Division
San Joaquin County Public Works
1810 E. Hazelton Ave.
P.O. Box 1810
Stockton CA 95201
Transmitted via email mcallahan@sjgov.org

Subject: Proposal for Preparing Prop 1 GSP Grant Application

Mr. Callahan:

The Eastern San Joaquin Groundwater Subbasin achieved a significant milestone last month by successfully establishing the Eastern San Joaquin Groundwater Authority (Authority), a Joint Powers Authority to administer development of a Groundwater Sustainability Plan (GSP) for the basin. The GSP will be defined by regulations developed by the Department of Water Resources (DWR), which is also administering a grant program for GSP development. GEI was selected to develop this scope of work and budget to prepare an application for a Proposition 1 Sustainable Groundwater Planning Grant on behalf of the Authority.

GEI will provide overall grant writing development and its submittal. We request assistance from the Authority and/or County regarding collection of eligibility documentation for the various groundwater sustainability agencies (GSAs), agencies, water providers and cities within the subbasin. Alternatively, GEI can collect the eligibility documentation as an optional task. The County will also be asked to provide a description of DWR funding from previous SGWP Proposition 1 grant process for the *Counties with Stressed Basins Grant*. The current funding process cannot be duplicative or inconsistent with the previous funding.

The product of this effort will be a grant application for the preparation of a Groundwater Sustainability Plan (GSP) for the Eastern San Joaquin Subbasin for submittal to the California Department of Water Resources before January 30, 2020.

This work is scheduled to begin in August and will be completed with the submittal of the grant application package within the anticipated nine-week application period, expected to be in late October. Submittal of the application shortly after the Authority's expected October 11th approval to submit the application may allow an early completeness review by DWR and potential improvement of the submittal.

Tasks for Developing Grant Application Package

GEI recommends the following tasks:

Task 1: Project Management and Coordination

This task includes the coordination of the project activities, general communication with Authority member agencies, and overall administration of the project contract during the project duration.

Task 2: Grant Strategy, Eligibility, and Guideline Updates

The Draft DWR Proposal Solicitation Package (PSP) was released for review in May 2017. Over 40 commenters submitted comments on the draft. The final PSP is expected sometime in August 2017, at which time an expected nine-week application period will start. If this schedule holds, the applications will be due sometime in October. In public meetings on the Draft PSP, DWR suggested it would provide feedback on applications submitted before the deadline, so early completion could provide greater assurance of a successful application.

This task will consist of the following sub-tasks:

- Perform an immediate review of Final PSP requirements to determine new deadlines, participation requirements, and other changes that could affect the grant application and its timing.
- Confirm eligibility of JSA members. The Guidelines are ambiguous regarding compliance required for receiving grant funds; it is not clear whether non-compliant members of Groundwater Sustainability Agencies (GSAs) can receive the grant-funded benefits of basin-wide activities, such as development of water budgets. Depending on the requirements in the Final PSP, and the findings from optional Task 3, a recommendation will be made on whether the JPA should be the applicant or whether a GSA or other entity should apply.
- Recommend a regional/County-wide grant strategy. In the event that the County elects to be the applicant due to circumstances explained previously, the additional restrictions on grant funds that could be applied for areas outside of the Eastern San Joaquin Subbasin may be applicable. GEI will make a recommendation on how to optimize funding opportunities.

Task 3: Collect Compliance Documentation (Optional)

Demonstrated compliance with a number of existing programs is required for the applicant for a Proposition 1 GSP Grant. The Grant Program Guidelines are ambiguous regarding whether only the applicant or any beneficiary entity will be required to demonstrate this compliance. These compliance criteria include completion of Groundwater Management Plans, inclusion in the California Statewide Groundwater Elevation Monitoring (CASGEM) program, completion of Urban Water Management Plans and Agricultural Water Management Plans, filing of surface water diversion reports, and establishment of water conservation (SBx7-7) targets. If the Final Proposal Solicitation Package requires collection of these certifications for all benefiting agencies and GSAs, GEI will collect these from the 16 GSAs and their constituent political subdivisions (e.g. cities, water districts, etc.) as an optional task. If the County or other entity takes on this responsibility, this optional task will not be exercised. In either case, a hard deadline of one month before the application due date must be established for submittal of these materials.

The estimated cost is based on several assumptions regarding the Authority members' contribution to the grant package:

- Compliance with the requirements for CASGEM.
- DWR verifications for 2015 Agricultural and Urban Water Management Plans, as applicable, for each GSA. If the verifications are not available, the grant submittal will require an explanation and anticipated date for the verification.
- SWRCB verifications for surface water diversion reporting, as applicable, for each GSA. If the verifications are not available, the grant submittal will require an explanation and anticipated date for the verification.

Task 4: Authority Member Outreach

The Eastern San Joaquin Basin is a critically overdrafted (Tier 1) basin and can request a planning (Category 1) grant of up to \$1.5 million. An estimate of the duration, complexity, and cost of developing the GSP must be estimated in the application, and must be balanced with the ability for the JPA members to provide matching funds. The complexity and cost of developing the GSP will depend on Authority members coming to consensus on these four questions:

- Can current and future groundwater pumping rates be sustained? (Should historical use be considered? How will new uses be permitted?)
- What level of detail is needed by the community to achieve sustainability? (Can we manage with broad principles, or is detailed measurement and accounting needed?)
- What actions are required to reach sustainability at the Subbasin and GSA levels?
- How will future SGMA administration activities and GSP actions be funded? (Consider GSA administration, management actions, projects, monitoring and reporting costs at the GSA and Subbasin levels.)

To address these questions, GEI will modify the self-assessment questionnaire developed by DWR for SGMA scoping in the North Kings Subbasin. This questionnaire poses statements such as "Compliance with SGMA is a local, not state, responsibility", "The subbasin is currently sustainable", and "Rainfall into the subbasin is mutually shared by all groundwater users".

JPA members will be asked whether they agree or disagree, and whether any disagreement is important or not urgent. If most respondents agree with a statement, there is a high likelihood related tasks will be non-controversial and can be accomplished efficiently and with minimal budget. Areas of strong disagreement indicate areas of increased time, effort and budget.

The self-assessment results will be aggregated and reviewed at the JPA meeting (likely September 13th), and will serve as the guidepost for right-sizing the GSP effort for the grant application. The GSP can be accomplished with simple analytical techniques where there is agreement; more complex methods such as detailed modeling might be needed where community opinion is divergent.

Task 5: Meetings with ESJ Groundwater Authority

GEI will attend a series of meetings with the Authority to address stakeholder feedback, the draft application package, and the final package. Stakeholder feedback will provide background information on groundwater management issues as well as the goals of the GSP process. The Authority will provide valuable comments and revisions on the draft package and on the final grant application package.

Task 6: Grant Writing and Submittal

GEI will prepare a draft grant application package, including a document that contains information for the on-line entries and the attachment documents: Project Justification (Attachment #3), Work Plan (#4), Budget (#5), and Schedule (#6). The Authority will provide an appropriate resolution regarding the submittal of the application as Authorization attachment (#1) and the self-certification/compliance documents for the Eligibility attachment (#2). GEI will carefully review the draft to ensure all criteria have been addressed, and emphasize issues important to the funding agency. The scoring criteria for the grant are appended as Table 1.

Consideration will be given to the known issues facing sustainable groundwater management in the basin, known undesirable results as defined by SGMA, the complexity of the water supply system and number of management entities and stakeholders, demonstrated cooperation among these entities and stakeholders, and demonstrated ability to fund the local share of the planning effort.

The grant application will be structured to follow the DWR GSP Regulations (see Figure 1), and sequenced to follow a logical progression of activities. Other key tasks will include stakeholder outreach, inter-basin coordination, plan submittal, and development of a data management system and other tools. Use of work products already under development (e.g. groundwater model) will be integrated into the work plan. We will utilize the December 2016 DWR Preparation Checklist for GSP Submittal¹ supplemented with our working knowledge of SGMA to ensure completeness and efficiency.

Figure 1- Major GSP Topic Areas



The grant application will include all elements required by the PSP, including a project justification, work plan, itemized budget and schedule. The work plan will include a structured outreach and stakeholder engagement plan.

¹ http://www.water.ca.gov/groundwater/sgm/pdfs/GD_GSP_Checklist_Final_2016-12-23.pdf

We will start with the assumption that the full \$1.5 million cost match will be required, and develop a series of off-ramps or deductions should defined work items prove to be unneeded. We will use all available methods to minimize the local cost share, including estimating in-kind services and use of disadvantaged community waivers to the extent they can be applied to sub-areas within the basin.

GEI will incorporate comments from the Authority and produce a final package for submittal during the first filing phase. GEI will produce copies of the grant application package for the Authority member agencies.

Time is of the essence. The Program Guide prepared for the County by GEI in October 2016 anticipated an earlier start for basin setting and characterization of current conditions to allow establishment and testing of sustainability thresholds in early 2018, and to conclude negotiation of potentially complicated management measures and cost-sharing allocations by early 2019. Every effort will be made to regain this lost time through a well-planned sequencing of topics to be described in the grant application. The schedule of topics will be reviewed at each meeting, and critical topics will be prioritized for resolution.

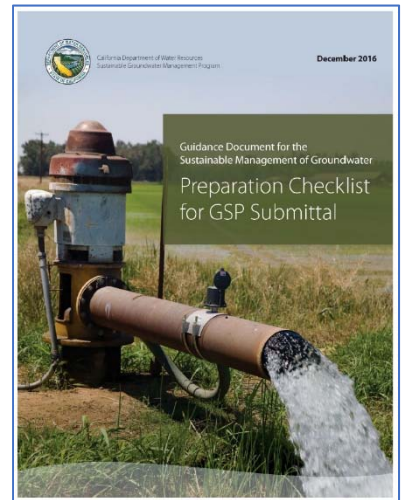
Project Staff

Mark S. Williamson will serve as Project Manager for this project. Mark has 38 years of experience working in water resources management, has worked in the basin over three decades and was the primary author for successful grant applicators totaling over \$65 million. Mark will be assisted by members of our staff of over 45 engineers, geologists, and programmers involved in SGMA efforts.

Project Schedule

We anticipate the following schedule:

- August 2017 – DWR publishes the Final Proposal Solicitation Package, starting a 9-week application period. Early submittals may be reviewed by DWR for completeness, providing an opportunity to discover and correct any potential flaws or weaknesses in the application.
- August 9, 2017 – Approval of grant writing contract by JPA Board.
- Late August 2017 – Notice to Proceed provided to GEI. SGMA questionnaire distributed to JPA members.
- September 13, 2017 – Workshop to discuss results of SGMA questionnaire and determine level of effort to include in grant request.
- September 2017 – Certifications for UWMPs, AgWMPs, surface water diversions, SBx7-7, etc. due.
- September 27, 2017 – SGMA Ad-Hoc Working Group Discussion of draft application.
- October 11, 2017 – Presentation of the final grant application for approval by the Authority.
- October 2017 – Submit grant application (9 weeks from release of Final PSP).



Mr. Michael Callahan
July 31, 2017
Page 6

Project Budget

Appended as Table 2 is an estimated cost for the Grant Application Package. GEI proposes to perform this work for approximately \$35,000, plus \$8,000 for the optional task.

We look forward to discussing this grant writing and GSP development process with you further. Please contact Mark Williamson at MWilliamson@GEIConsultants.com or 916/631-4559 or if you have any questions.

Respectfully submitted,



Mark S. Williamson, PE
Vice President/Principal Engineer



Naser Bateni, PE
Senior Vice President

Table 1 - Draft DWR Prop 1 GSP Grant Scoring Criteria

May 2017

Table 7 – Application Evaluation Criteria for Category 2				
Q#	Questions	Attachment(s)	Possible Points	Scoring Guidance
Proposal Level Evaluation				
1	Does the Proposal Summary describe a well-coordinated Proposal including GSPs that encompass the entire basin or describes why a portion of the basin is not covered in the Proposal?	3	4	0 - No; 1 - Marginally addressed; 2 - Partially addressed, with activities necessary for the success of the Project not fully described or included in the Work Plan; 3 - Mostly addressed, with minor details not included or unclear; 4 - Fully addressed
2	Collectively, do the Budget and Schedule demonstrate that all of the projects will be completed by the SGMA deadline for the respective basin (January 31, 2020 for critically overdrafted basins or January 31, 2022 for other high and medium priority basins)?	5, 6	2	0 - No; 1 - Less than fully addressed, 2 - Fully addressed
Project Level Evaluation				
3	Has the applicant addressed all of the items requested in the Project Justification Section of Attachment 3 (i.e., Proposal Summary and Project Support)?	3	4	0 - No; 1 - Marginally addressed; 2 - Partially addressed, with activities necessary for the success of the Project not fully described or included in the Work Plan; 3 - Mostly addressed, with minor details not included or unclear; 4 - Fully addressed
4	Does the applicant provide an explanation of the Technical Need for the project?	3	2	0 - No; 1 - Less than fully addressed, 2 - Fully addressed
5	Does the applicant provide an explanation of the Financial Need for the project?	3	2	0 - No; 1 - Less than fully addressed, 2 - Fully addressed
6	Does the application contain a detailed Work Plan that includes tasks for developing, preparing, and submitting a complete GSP?	4	4	0 - No; 1 - Marginally addressed; 2 - Partially addressed, with activities necessary for the success of the Project not fully described or included in the Work Plan; 3 - Mostly addressed, with minor details not included or unclear; 4 - Fully addressed
7	Does the application contain a complete Budget that is reasonable to execute the Work Plan on the Schedule provided?	5	2	0 - No; 1 - Less than fully addressed, 2 - Fully addressed
8	Given the level of effort described in the Work Plan, does the Schedule seem reasonable?	6	1	0 - No; 1 - Yes
Total Range of Possible Points			0-21	
Total Project Level Score for all projects				
Average Project Level Score = (Total Project Score/# of Projects); rounded to nearest whole number				
Enter Proposal Level Score				
Total Proposal Score				

Table 2 - Level of Effort Estimate

**Estimated Level of GEI Effort
 2017 Prop1 SGWP Grant Writing Assistance**

	Williamson, Wang	Shatz, Petersen	Fricke	Troedson	Cansdale	Admin	Direct Cost	Total Hours	Total Cost
Grade:	8	7	6	5	3				
2017 Rate:	\$267	\$238	\$201	\$176	\$133	\$99	\$1		
<u>Task 1: Project Management and Coordination</u>	12							12	\$3,204
<u>Task 2: Grant Strategy, Eligibility, and Guideline Updates</u>	8		8		8			24	\$4,808
<u>Task 3: Collect Compliance Documentation (Optional)</u>	4		8		40			52	\$7,996
<u>Task 4: Stakeholder Outreach</u>	8	1	1	1	2	2	\$200	15	\$3,415
<u>Task 5: Meetings with ESJ Groundwater Authority</u>	18				6		\$180	24	\$5,784
<u>Task 6: Grant Writing & Submittal</u>									
Draft Grant Application Package	8		12		40	24		84	\$12,244
Final Grant Application Package	4		4		16			24	\$4,000
Maps/graphics				8			\$130	8	\$1,538
Total hours	62	1	33	9	112	26		243	\$42,479
Base Cost	\$15,486	\$238	\$5,025	\$1,584	\$9,576	\$2,574	\$510		\$34,993
Optional Task	\$1,068	\$0	\$1,608	\$0	\$5,320	\$0	\$0		\$7,996
Total with Optional Task	\$16,554	\$238	\$6,633	\$1,584	\$14,896	\$2,574	\$510		\$42,989

Before the Board of Directors

Eastern San Joaquin Groundwater Authority
A Joint Powers Agency, State of California

B-17- _____

MOTION:

APPROVE AGREEMENT 2017-01 WITH GEI CONSULTANTS, INC., A MASSACHUSETTS CORPORATION, FOR PROFESSIONAL ENGINEERING SERVICES FOR PREPARATION OF A PROPOSITION 1 GROUNDWATER SUSTAINABILITY PLAN AND PROJECTS GRANT APPLICATION

THIS BOARD OF DIRECTORS hereby approves Agreement (2017-01) with GEI Consultants, Inc., a Massachusetts Corporation, for Professional Engineering Services for preparation of a Proposition 1 Groundwater Sustainability Plan and Projects Grant Application, not to exceed \$35,000 base cost, and not to exceed a total cost of \$43,000; and

FURTHER, authorizes and directs the Chair to sign the Agreement.

I HEREBY CERTIFY that the above order was passed and adopted on August 9, 2017 by the following vote of the Board of Directors, to wit:

AYES:

NOES:

ABSENT:

KRIS BALAJI, PMP, P.E.
Secretary of the
Eastern San Joaquin Groundwater Authority

DWR Facilitation Support Services Application Questions
Groundwater Sustainability Plan (GSP) Development

The Department of Water Resources is offering facilitation support services to help Groundwater Sustainability Agencies (GSAs) and local water management groups foster discussions among diverse water management interests in support of developing GSPs.

Applications must be submitted using the online application tool. This document is provided as a resource to help applicants prepare for the online application.

- 1) Applicant Information
Applicant: **Eastern San Joaquin Groundwater Authority**
Applicant Point of Contact: **Brandon Nakagawa**
Phone Number: **209-468-3089**
Email Address: **bnakagawa@sjgov.org**
- 2) Which basin is the applicant applying for facilitation services for? 5-22.01 Eastern San Joaquin Subbasin
- 3) Is the applicant affiliated with a GSA? **Yes.**

If the applicant is not affiliated with a GSA, briefly describe how the request for professional facilitation will aid the development of a GSP(s) for the groundwater basin/subbasin identified above and how the applicant plans to work with the GSAs that are developing the GSP(s).

- 4) Please provide a brief narrative discussion of the applicant’s current involvement, roles, and responsibilities related to SGMA implementation activities within the groundwater basin/subbasin.

A total of 17 GSAs throughout the ESJ Subbasin, encompassing areas within three counties, have formed the Eastern San Joaquin Groundwater Authority (Authority), a Joint Powers Authority, to work towards the development of a single GSP. San Joaquin County is a GSA for a portion of the ESJ Subbasin and is a member agency of the Authority. San Joaquin County is the administrator of the Joint Powers Authority Agreement and provides staff support to carry out the activities of the Authority.

- 5) What other professional facilitation funding or services has the applicant received from the State?
 - None
 - DWR Prop 1
 - DWR Facilitation Support Services (GSA formation)
 - State Water Resources Control Board
 - Other:

- 6) Please explain the scope and current status of the non-DWR professional facilitation funding or services received.

DWR Facilitation Support Services for GSP development requires collaboration amongst GSAs and other local or regional water management groups at the groundwater basin/subbasin level, and encourages collaboration across groundwater basin/subbasin boundaries.

The establishment of the Authority as well as any future accomplishments will have been built on the experience of the community and the willingness of stakeholders to engage in a consensus building process. DWR has been an integral partner in these past efforts and has promoted the use of facilitation to achieve consensus. Past facilitated efforts include:

1. The Eastern San Joaquin County Groundwater Basin Authority (GBA) was formed in 2001 as a joint powers authority which strives to reach consensus and speak with one voice on behalf of its member agencies.
2. The GBA developed and adopted the 2007 IRWMP and the 2014 IRWMP Update with the assistance of the Proposition 50 and 84 funds.
3. The GBA co-sponsored the Mokelumne Watershed Interregional Sustainability Evaluation (MokeWISE Program) funded through a Prop 84 IRWM Planning Grant.
4. Since the passage of SGMA, the GBA also established the Sustainable Groundwater Management Act (SGMA) Work Group as well as a SGMA Work Group Ad Hoc Technical Review Committee.

The most recent successes utilizing facilitation support services from DWR have been achieved through the SGMA Work Group. Facilitation services were critical to the consensus building process in order to meet the June 30, 2017 deadline for establishing GSAs. Additionally, of the 17 total GSAs established, all 17 GSAs are members of the Eastern San Joaquin Groundwater Authority. Having facilitation amongst all agencies has been essential to developing a common understanding of SGMA requirements as well as the need for coordination amongst the mix of cities, water/irrigation districts, and Counties.

Since 2001, Ms. Carolyn Lott has been a critical fixture for many stakeholders in Eastern San Joaquin County. Ms. Lott has been the facilitator for the SGMA Work Group, and the Authority respectfully requests that she be available to the Authority to continue as the facilitator for the development of the GSP.

- 7) List all GSAs within the groundwater basin/subbasin that the applicant is collaborating with or intends to collaborate with.

The following GSAs (17) have entered into a Joint Exercise of Powers Agreement (JPA) and are collaborating on the development of a GSP: Central Delta Water Agency, Central San Joaquin Water Conservation District, Eastside GSA (Calaveras County Water District, Rock Creek Water District, and Stanislaus County), City of Lathrop, Linden County Water District, Lockeford Community Services District, City of Lodi, City of Manteca, North San Joaquin Water Conservation District, Oakdale Irrigation District, San Joaquin County GSAs 1 & 2 (California Water Service Company by separate agreement with San Joaquin County), South Delta Water Agency, South San Joaquin GSA (SSJID and the Cities of Ripon and Escalon), City of Stockton, Stockton East Water District, and Woodbridge Irrigation District. All 17 GSAs represent the entirety of the Eastern San Joaquin Subbasin.

- 8) Any other local or regional water management groups or GSAs at the groundwater basin/subbasin level and across groundwater basin/subbasin boundaries that the applicant is collaborating with or intends to collaborate with?

The GSA members comprising the Authority represent the entire Eastern San Joaquin Subbasin. Any further collaboration will be limited to the stakeholder identification and engagement process as described in response #10.

- 9) Please discuss the nature of collaboration. Are the GSAs collaborating on public outreach and stakeholder involvement, data sharing, GSP development, other?

Collectively, the GSAs through the Authority are beginning the process of developing a work plan for the GSP. Currently, coordination among GSAs on GSP development occurs through participation with the County on the development of a groundwater model utilizing the IWFM platform. The effort is funded through a DWR Counties with Stressed Basins Grant. The groundwater model is anticipated to be completed by the end of 2017 and it will provide a local fine grid model platform compatible with DWR's CV2SIM, establish model boundaries and hydrogeologic conditions, identify the hydrogeologic and calibration period, hydrogeologic features, define management regions and collect land use and cropping patterns from all GSAs, DWR and Land IQ.

In the future, the GSP development process will also help to define what activities are best carried out by each GSA or through a collection of GSAs. Based on the excellent communication and coordination occurring as part of the Counties with Stressed Basins Grant, there is early indication that a more regional approach to data collection and modeling information be done as a collective group of GSAs.

- 10) Which beneficial uses and users of groundwater has the applicant established a venue for engagement with, or plans to establish a venue for engagement with? (List all applicable uses and users of groundwater – see Water Code Section 10723.2)

We are currently identifying stakeholders and the appropriate venue for engagement of the following:

- a) Holders of overlying groundwater rights, including: 1) Agricultural users; and 2) Domestic well owners
- b) Municipal well operators
- c) Public water systems
- d) Local land use planning agencies
- e) Environmental users of groundwater
- f) Surface water users, if there is a hydrologic connection between surface and groundwater bodies
- g) The federal government, including, but not limited to, the military and managers of federal lands
- h) California Native American tribes
- i) Disadvantaged communities, including, but not limited to, those served by private domestic wells or small community water systems
- j) Designated CASGEM monitoring entities have elected to become GSAs and are members of the Authority (San Joaquin County, Stanislaus County and Calaveras County Water District)

- 11) Please explain the key challenges the applicant has encountered that has led to the need for professional facilitation.

Achieving consensus among a group as large as 17 GSAs efficiently and successfully, requires significant commitment to meeting design and preparation, an intense education for stakeholders on complex water management issues and SGMA requirements, and a truly neutral third-party facilitator to ensure that there is trust amongst the group. Having a facilitator has helped to put the GSAs in the Authority on solid footing as the forum used is collaborative and open to the public while being conducive to conducting the business of the Authority. In addition, GSAs' collective knowledge requirements of SGMA has grown exponentially in part due to the ability of GSA representatives to be able to hear each other's point of view and also the advice of DWR in the same forum at the same time. The County, serving as administrator to the Authority while also fulfilling its duties as a GSA, is in a tough position having to portray itself as a largely unbiased agency, but also having to represent groundwater users in its own GSA area can become a perceived conflict. Having a neutral third-party facilitator has and will continue to minimize this potential conflict.

- 12) DWR's Facilitation Support Services program requires applicants to have a well-defined goal for the requested services. What is the applicant's goal for professional facilitation?

The goal of Facilitation Support Services is to achieve unanimous adoption by all GSAs of the GSP for the Eastern San Joaquin Subbasin. To achieve this goal, facilitation support is intended to assist with the Authority achieving consensus on business related activities including the equitable apportionment of all Authority costs, the approach and effort in the development of a GSP, and identification and engagement of stakeholders as required by SGMA.

13) Which of these general categories are you seeking professional facilitation for? (please select all that apply)

- GSP development (please specify which topics the professional facilitation will focus on)
 - GSA governance
 - Basin setting
 - Water budget
 - Management areas
 - Sustainable management criteria (sustainability goal, undesirable results, minimum thresholds, measureable objectives)
 - Basin monitoring
 - Projects and management actions
 - Other:
- Stakeholder meeting facilitation
- Public workshops
- Coordination and collaboration between GSAs
- Interest-based negotiations/consensus building

14) Please provide additional information on the activities the professional facilitation will support.

Facilitation services are intended to assist the Authority in the conduct of business (i.e. cost apportionment, budget preparation, reaching consensus), the scoping and development of the GSP including developing a financing mechanism for GSP implementation, and for the identification and engagement of stakeholders as required by SGMA. Facilitation services are not intended to replace the services of individual GSA staff nor County staff in the administration of the Authority's Joint Powers Agreement.

15) DWR requires all of the following commitments from applicants benefiting from DWR's Facilitation Support Services program. Please review and select the commitments the applicant commits to providing.

- Commit to meet regularly and work diligently toward a clear and defined goal.
The Authority meets on the 2nd Wednesday of the month at 9:30 am at the Robert Cabral Agricultural Center in Stockton.
- Agree to work in an open, inclusive, and collaborative manner toward the development of a GSP.
The Authority conducts business in accordance with all applicable laws including the Brown Act. In addition, the Authority Joint Powers Agreement stipulates that the Authority will strive for consensus on action items and also requires a super majority vote on certain items as identified.
- Support an inclusive process that seeks, promotes, encourages, and welcomes the involvement of all stakeholders and interested parties.
The Authority is in the process of engaging a consultant to develop a work plan for the development of GSP. The GSP work plan will include efforts to identify and engage stakeholders as required by SGMA. The consultant will work with the facilitator to ensure an inclusive process.
- Commit to providing a meeting space that is suitably located and sized.
The Robert Cabral Agricultural Center in Stockton has sufficient space to accommodate meetings of the Authority. Additional meeting space will be secured as needed to meet the stakeholder identification and engagement objectives at the time of GSP development.

Please add additional notes on how the applicant will fulfill these commitments.

16) Any other considerations DWR should take into account?

Ms. Carolyn Lott has been the groundwater issues facilitator for the Eastern San Joaquin County Groundwater Basin Authority since its inception in 2001 and most recently as facilitator of the SGMA Work Group. The Authority respectfully requests that Ms. Lott continue as the Eastern San Joaquin Groundwater Authority facilitator through the development and adoption of the GSP. Ms. Lott is uniquely familiar with local stakeholders and the GSAs who are

members of the Authority, and is also well respected for her skills in building consensus and also as a former elected official in local government. Additionally, Ms. Lott is currently under contract with San Joaquin County to ensure that her services remain available to the Authority while this application is being made to DWR.

17) Please summarize anticipated tasks, deliverables, and completion dates to be completed with the support of the DWR Facilitation Support Service. (The applicant can use their own template for this section.)

Task Description	Anticipated Deliverables	Projected Completion Date
Authority Workshop Facilitation	Monthly Meeting Summary	January 2020
GSP Work Plan Development	Input into GSP Work Plan	October 2017
GSP Stakeholder Identification and Engagement	Stakeholder Identification List/Stakeholder Outreach/Engagement Design	October 2019
Authority GSP Development Facilitation	Polling/Surveys/Meeting Summaries/Interest Based Negotiations	October 2019