



# CITY of NAPA

First Quarter Report  
FY 2012-2013



**CITY MANAGER**  
955 School Street  
Mailing Address:  
P.O. Box 660  
Napa, California 94559-0660  
(707)- 257-9501  
FAX (707) 257-9534

November 20, 2012

Honorable Mayor and Council Members:

Presented for your review and approval is the City of Napa's 1<sup>st</sup> quarter financial report for FY2012-13. The intent of this report is to provide Council with current information regarding the status of the City's financial position and to provide regular updates regarding the status of departmental priority projects. The report describes the revenue collection numbers from major sources and also provides information on fiscal year expenditures.

The report also includes a section addressing the City's investment portfolio. This section outlines the status of the investment portfolio and provides information on the performance, or return on investments.

In addition, the report contains reports describing ongoing priority projects being addressed by the various City departments. Each project includes a description of the underlying goal for the project, describes the process and timeline being followed to complete the effort, and assigns responsibility for each activity. These reports are intended to keep the Council informed of the status of projects that have been assigned with priority status. It also serves as a communication vehicle to ensure that the City Council and staff are working on the right priorities and the direction of each project is consistent with the goals of the City Council. We anticipate coming back to you in future reports with updates to project timelines as we continue to adjust City priorities based on workload demand and changing resources.

The fourth section of the report contains a summary status of select Capital Improvement Projects for review and consideration. These reports provide an overview and map of the projects, as well as updates on the status, schedule, and costs to-date.

The last section of the report provides information collected from our *Customer Service* software system. This information allows the Council to track the nature and number of service requests received from the public and to monitor the administration's responsiveness to those requests.

In order to better serve your needs, please let me know if you have comments or suggestions regarding the content or organization of this report.

Sincerely,

A handwritten signature in black ink, appearing to read "Mike Parness". The signature is fluid and cursive, with a large initial "M" and a long, sweeping underline.

Mike Parness  
City Manager

## **Introduction**

This report provides an analysis of the City's General Fund revenues and expenditures for the first quarter of the 2012-13 fiscal year.

## **Management's Overview**

The City's two year budget for fiscal years 2011-12 and 2012-13 was adopted by the City Council on June 21, 2011. The Mid-Cycle review, which included adjustments to structurally balance FY 2012-13 was adopted by the City Council on June 5, 2012. The purpose of the quarterly report is to provide regular updates to the Council regarding revenue and expenditure trends to ensure the City Council has a strong understanding of the City's current financial condition. The numbers in this report are based on the FY 2012-13 revenues and expenditures through September 30, 2012. A discussion of the significant budget items is presented below.

## **FY 2012-13 Budget**

The FY 2012-13 budget as originally adopted estimated revenues of \$59.2 million to fund expenditures of \$63.1 million with the resulting \$3.9 million shortfall to be funded from operating reserves. The Mid-Cycle adjustment increased the FY2012-13 revenue by \$3.0 million to \$62.2 million, and reduced the expenditures by \$1.0 million to \$62.1 million, resulting in a positive operating position of \$0.1 million.

## **Budget Update**

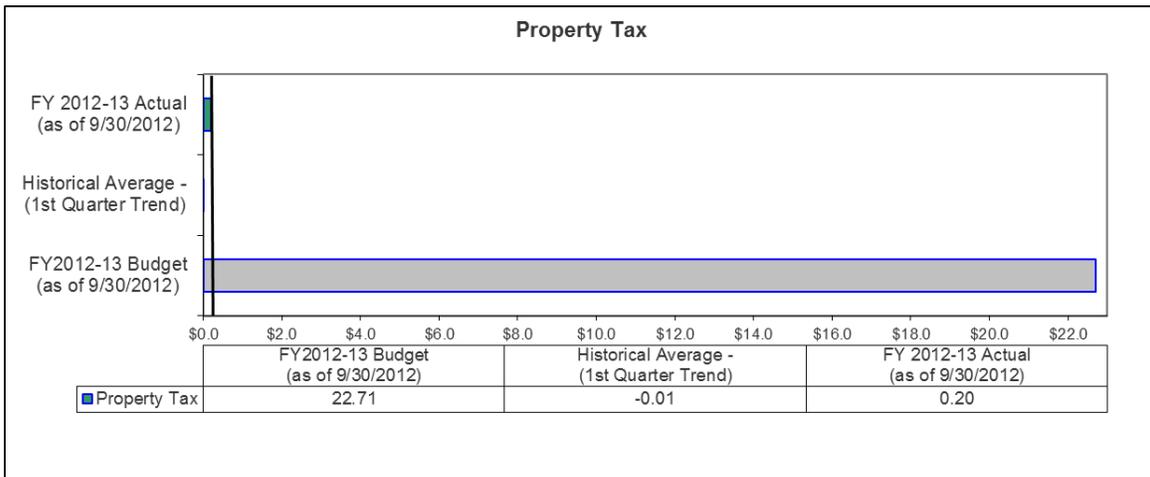
Additional information on the City's major revenue sources has been gathered during the first quarter of this fiscal year. Operating revenues are now projected to be \$64.1 million, \$1.8 million over the current budget (September 30, 2012) amount of \$62.3 million due to expected increases in property tax (\$400 thousand), sales tax (\$700 thousand) and TOT (\$700 thousand).

## **Major Revenues**

Property Tax - The FY 2011-12 Property Tax Receipts were budgeted at \$22.4 million (as of June 30, 2012), however the unaudited receipts for FY 2011-12 actually totaled \$22.8 million (\$0.4 million over projections). The Mid-Cycle budget amended FY 2012-13 Property Tax receipts to total \$22.7 million, however, based on the current estimates provided by the County (which

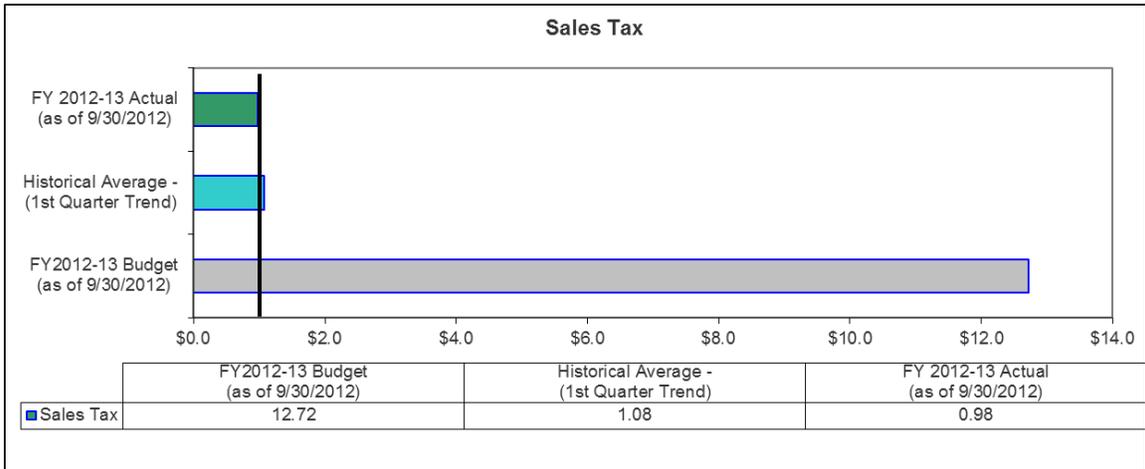
projected an increase of 1.11% in assessed valuation) FY 2012-13 receipts are now projected to total \$23.1 million. Therefore, an increase of \$0.4 million to the revenue budget is being requested to more accurately reflect current projections.

The City's major source of property tax revenue to the General Fund is residential property (77.6%), followed by commercial property (12.2%) and industrial property (5.1%). The first Property Tax installment for FY 2012-13 will be received in the 2<sup>nd</sup> Quarter. The \$0.2 million received to date is deferred revenue (Teeter payment) from FY 2011-12 received after the accrual period had closed. We should expect our normal property tax distribution in the second quarter.



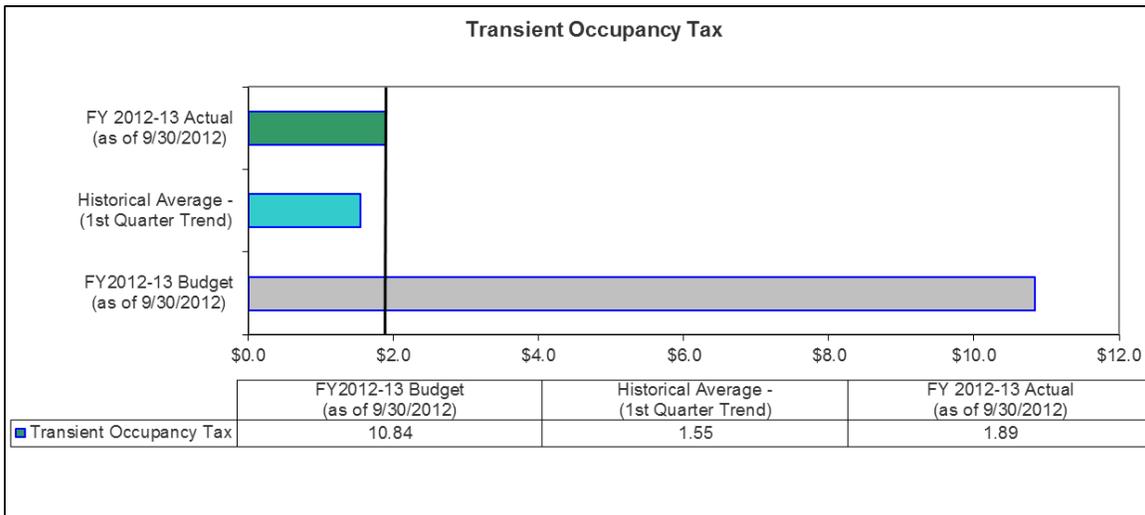
Sales Tax – Sales Tax for FY 2011-12 was budgeted at \$12.3 million, which is \$0.7 million less than the unaudited Sales Tax receipts of \$13.0 million. FY 2012-13 Sales Tax revenue was amended to \$12.7 million during the Mid-Cycle review, but is now projected to be \$13.4 million. An increase of \$0.7 million to the Sales Tax revenue budget is being requested to more accurately reflect current projections. This reflects an increase of 3 percent over FY 2011-12 sales tax revenue indicating continued economic recovery.

The following graph tracks the Sales Tax (on sales through July 31, 2012) as compared to the first quarter average trend over the past five years and indicates that we are slightly below that trend by \$0.1 million.



Transient Occupancy Tax - One additional indication of a possible economic recovery is the improvement in the City’s tourism business. FY 2011-12 TOT Revenue was budgeted at \$10.6 million (as of June 30, 2012). Unaudited receipts through June 30, 2012, however total \$11.5 million, reflecting the relatively strong rebound of the tourism industry in the Napa Valley. FY 2012-13 TOT revenue was amended during the Mid-Cycle review to \$10.8 million, but is now estimated to exceed that budget by \$0.7 million – for a total of \$11.5 million. An increase of \$0.6 million to the TOT revenue budget is currently being requested to more accurately reflect current projections. There are currently 24 hotels, 19 bed and breakfast establishments and 39 vacation rentals generating transient occupancy tax revenue within the City.

The following graph tracks the Transient Occupancy Tax (as remitted by hotels, inns, etc. for stays through July 31, 2012) as compared to the first quarter average trend over the past five years.



## **Other Revenue Adjustments:**

Non Recurring General Fund – The 2011-12 Excess ERAF payment from the County was received by the City in September 2012. The budget anticipated the Excess ERAF payment to be \$1.0 million; however a total of \$2.1 million was received. An increase of \$1.1 million is currently being requested to more accurately reflect the funding available for capital or other one-time expenditures.

## **Expenditures**

As of September 30, 2012 departments were operating within their approved budgets.

The following table provides the expenditure budget and actual spent to date for each department through September 30, 2012.

| <b>Expenditures by Department</b> | <b>Budget<br/>9/30/2012<br/>(\$ in Millions)</b> | <b>Actual<br/>9/30/2012<br/>(\$ in Millions)</b> | <b>%</b>      |
|-----------------------------------|--|--|---------------|
| City Council / City Clerk         | 0.99   | 0.19   | 18.92%        |
| City Manager                      | 1.17   | 0.22   | 19.02%        |
| Finance                           | 5.06   | 0.95   | 18.69%        |
| City Attorney                     | 0.93   | 0.18   | 19.48%        |
| Human Resources                   | 1.06   | 0.22   | 20.27%        |
| Community Development             | 3.11   | 0.56   | 17.93%        |
| General Government                | 2.90   | 0.56   | 19.50%        |
| Police Department                 | 21.10  | 4.40   | 20.87%        |
| Fire Department                   | 12.90  | 2.96   | 22.91%        |
| Public Works                      | 6.54   | 1.54   | 23.61%        |
| Parks & Recreation                | 6.44   | 1.46   | 22.60%        |
| <i>Subtotal Expenditures</i>      | <i>62.21</i>                                     | <i>13.24</i>                                     | <i>21.28%</i> |

## **Operating Position**

With the proposed revenue adjustments, the FY 2012-13 General Fund budget will have a positive position of \$1.8 million.

## **Other City Funds**

In addition to the General Fund, the Quarterly Report also provides a snapshot of the City's Proprietary Funds. These funds are made up of Enterprise Funds and Internal Service Funds. A listing of these funds and summary of the quarterly activity follows below:

**Enterprise Funds** – Enterprise Funds are those that provide goods or services to the public for a fee that makes the entity self-supporting. Napa’s Enterprise Funds include: Solid Waste & Materials Diversion, Golf and Water.

**Internal Service Funds** - Internal Service Funds are used to account for the financing of goods and services provided by one department to other departments of the city. Napa’s Internal Service Funds include: Fleet Management, Central Stores, Information Technology Replacement, Risk Management, and Post-Employment Benefits.

The table below lists the activity for each of the Proprietary Funds through September 30, 2012.

| Proprietary Fund                          |                                      | FY 2012-13<br>Budget<br>(as of<br>9/30/2012) | FY 2012-13<br>Actual<br>(as of<br>9/30/2012) | Actual to Date<br>% |
|---|--------------------------------------|--|--|---------------------|
| Solid Waste & MDF                         | Revenues                             | 28,406,100                                   | 6,138,216                                    | 21.61%              |
| Solid Waste & MDF                         | Operating Expenditures               | 31,701,256                                   | 3,729,575                                    | 11.76%              |
| Solid Waste & MDF                         | Capital & Non Recurring Expenditures | 250,000                                      | 40,388                                       | 16.16%              |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>(3,545,156)</i>                           | <i>2,368,253</i>                             | <i>-</i>            |
| Golf Operating Revenue                    | Operating Revenues                   | 1,709,137                                    | 448,198                                      | 26.22%              |
| Golf Operating Expenditures               | Operating Expenditures               | 1,663,186                                    | 431,281                                      | 25.93%              |
| <i>Fiscal Year Net Operating Position</i> |                                      | <i>45,951</i>                                | <i>16,917</i>                                |                     |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>45,951</i>                                | <i>16,917</i>                                | <i>-</i>            |
| Water                                     | Revenues                             | 22,883,424                                   | 5,381,202                                    | 23.52%              |
| Water                                     | Operating Expenditures               | 26,073,127                                   | 3,542,270                                    | 13.59%              |
| Water Capital Expenditures                | Capital & Non Recurring Expenditures | 3,534,962                                    | 356,398                                      | 10.08%              |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>(6,724,665)</i>                           | <i>1,482,534</i>                             | <i>-</i>            |
| Fleet Replacement Revenues                |                                      | 3,519,322                                    | 885,356                                      | 25.16%              |
| Fleet Replacement Expenditures            |                                      | 3,471,516                                    | 596,229                                      | 17.17%              |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>47,806</i>                                | <i>289,127</i>                               |                     |
| Central Stores Revenues                   |                                      | 674,957                                      | 102,866                                      | 15.24%              |
| Central Stores Expenditures               |                                      | 644,432                                      | 130,653                                      | 20.27%              |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>30,525</i>                                | <i>(27,787)</i>                              |                     |
| IT Replacement Revenues                   |                                      | 169,550                                      | 41,838                                       | 24.68%              |
| IT Replacement Expenditures               |                                      | 169,550                                      | 6,588  | 3.89%               |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>-</i>                                     | <i>35,250</i>                                |                     |
| Risk Management Revenues                  |                                      | 3,938,644                                    | 901,441                                      | 22.89%              |
| Risk Management Expenditures              |                                      | 4,152,861                                    | 1,030,633                                    | 24.82%              |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>(214,217)</i>                             | <i>(129,192)</i>                             |                     |
| Post Employment Benefit Revenues          |                                      | 1,255,969                                    | 188,953                                      | 15.04%              |
| Post Employment Benefit Expenditures      |                                      | 1,255,969                                    | 452,115                                      | 36.00%              |
| <i>Fund Balance Addition/(Reduction)</i>  |                                      | <i>-</i>                                     | <i>(263,162)</i>                             |                     |

Additional Items of Note:

**Establish a new fund to account for Damage to City Property caused by the Public:** Damage to city facilities by the public occurs every year, although due to the inherent unpredictability, funding for these repairs has not been included in either the operating or capital budget requests. This damage can be characterized as accidents (such as vehicular damage to signs, signals or trees, graffiti, etc.). Reimbursement for these damages is typically provided through

insurance claims; however it often lags behind the repair by months. The cost of the repairs, which typically need to occur immediately, are “fronted” by the operating budget of the impacted department, which may negatively impact their ability to complete their scheduled repairs/replacements.

The establishment of a new Special Revenue Fund to track and fund these repairs will improve the City’s ability to respond to damage by not forcing the re-prioritization of planned activities in order to temporarily fund damage repairs. All damage repairs (expenses) will be maintained in the fund, as well as the insurance recoveries (revenue) to offset those costs. Any under-recovery (or over-recovery) will be provided through a transfer either to or from the Risk Management Fund (General Liability).

To establish this fund, a transfer of \$150,000 from the Risk Management Fund (General Liability) is requested to prefund FY 2012-13 damages. All damages to city facilities or insurance recoveries since July 1, 2012 will be transferred to the new fund after Council approval of the fund.

The financial impact of this request is \$0, however the departmental ability to respond to damages, and the tracking of the related costs will both be improved.

**Five Year Budget Staffing Plan:** An updated copy of the Five Year Budget Staffing Plan (Position Control Report) has been attached to document all the position adjustments (additions, deletions, division reassignments) that have occurred since the adoption of the FY 2011-2013 budget in June, 2011.

### **What We Are Watching**

#### Nationally:

We continue to be cautiously optimistic for the future as the recovery from the economic recession makes slow but steady progress. In particular, we will continue to pay close attention to various federal budget and tax issues that are fluid in their outcome as we near the end of the calendar year, and to make sure we understand how this will affect the national, state and local economies.

The National League of Cities released its 2012 City Fiscal Conditions Report in September 2012. The report reveals that city revenues continued to fall for the sixth consecutive year. Ending balances, or “reserves,” have declined by over 25% in four years as cities use these balances to weather the effects of the downturn. A survey of finance officers named a number of concerns and fiscal pressures that are playing a role in the fiscal health of cities. Most cited increased health care costs, pension costs, infrastructure costs, and public safety demands.

"While there are signs of improvement, it is still too early to say that cities have turned the corner," said Christopher Hoene, co-author of the report and Director

of the Center for Research and Innovation at NLC. He continued, "The broader economy is still growing at a slow rate, and housing values, income levels, and consumer spending - the main determinants of tax receipts - are not improving significantly. It all points to a difficult 2013 for cities."

#### State:

At the State level, the condition of the economy remains fragile. Even with the passage of Proposition 30 on the November 6 ballot, the true economic impact to the state remains uncertain as the tax increases will have an impact on both businesses and citizens. Additionally, the financial impacts to local communities of the dissolution of the Redevelopment Agencies across the state continue to be unclear. On a positive note, the unemployment rate in the state, although still high (10.2% in September as reported by the U.S. Bureau of Labor Statistics) has fallen 0.5% since the beginning of the fiscal year (July 1, 2012)

#### Local Economic Condition:

During the recently completed fiscal year, the City of Napa saw real growth in its major taxes (property, sales and TOT). Additionally there has been positive news on unemployment, as local rates fell from 8.1% in July, 2012 to 7.2% in September 2012, and also on the housing market as prices continued to rebound, with July's median price being the highest recorded since August 2008. We are continuing to monitor these trends to ensure they are solid and sustainable.

Proposals for strategic recovery from the recession will be included in the Long Term Financial Plan (anticipated for early 2013), and the biennial budget (anticipated for spring 2013), to allow the Council both near-term and long-term reinstatement of services and programs.

## **Recommendation**

Adopt a Resolution Approving and Adopting Amendments to the Budget for the 2011-12 Fiscal Year, with the following adjustments:

### Increased Revenues:

- Increase Property Tax Revenues by \$0.4 million *(IFAS 41940.31111)*
- Increase Sales Tax Revenues by \$0.7 million *(IFAS 41940.31301)*
- Increase Transient Occupancy Tax Revenues by \$0.7 million *(IFAS 41940.31402)*
- Increase ERAF Revenues (one-time) by \$1.1 million *(IFAS 49940.31111)*

### Increased Expenditures:

- Risk Management Fund contribution to new Special Revenue Fund of \$0.15 million *(IFAS 41940.62520)*

| Financial Update - General Fund  |  |   | Attachment A                               |                             |
|--|--|---|--|-----------------------------|
|  | FY 2012-13<br>Budget<br><i>(as of 9/30/2012)</i> | FY 2012-13<br>YTD<br><i>(as of 9/30/2012)</i> | % to date<br><i>(Budget to<br/>Actual)</i> | First Quarter<br>Adjustment |
| <b>Operating Revenues</b>  |  |   |  |                             |
| Property Tax   | 22,709,826                                       | 200,877                                       | 1%   | 400,000                     |
| Sales Tax  | 12,715,172                                       | 978,967                                       | 8%   | 700,000                     |
| Transient Occupancy Tax  | 10,840,293                                       | 1,889,852                                     | 17%  | 700,000                     |
| Business License Tax   | 2,800,000  | 598,756                                       | 21%  | -                           |
| Other Taxes  | 1,709,922  | 8,498   | 0%   | -                           |
| Licenses and Permits   | 1,200,000  | 313,074                                       | 26%  | -                           |
| Charges for Services   | 4,945,107  | 1,591,830                                     | 32%  | -                           |
| Intergovernmental  | 780,460  | 86,016  | 11%  | -                           |
| Investment Earnings  | 150,000  | 7,867   | 5%   | -                           |
| Miscellaneous Revenues   | 303,239  | 48,804  | 16%  | -                           |
| Transfers In   | 4,148,293  | 859,940                                       | 21%  | -                           |
| <b>Sub-Total Operating Revenues</b>  | <b>62,302,313</b>                                | <b>6,584,481</b>                              | <b>11%</b>                                 | <b>1,800,000</b>            |
| <b>Operating Expenditures</b>  |  |   |  |                             |
| City Council / City Clerk  | 991,857  | 187,706                                       | 19%  | -                           |
| City Manager   | 1,171,363  | 222,837                                       | 19%  | -                           |
| Finance  | 5,063,219  | 946,534                                       | 19%  | -                           |
| City Attorney  | 929,657  | 181,121                                       | 19%  | -                           |
| Human Resources  | 1,063,517  | 215,611                                       | 20%  | -                           |
| Community Development  | 3,109,455  | 557,619                                       | 18%  | -                           |
| General Government   | 2,895,495  | 564,637                                       | 20%  | -                           |
| Police Department  | 21,098,273                                       | 4,403,272                                     | 21%  | -                           |
| Fire Department  | 12,898,442                                       | 2,955,257                                     | 23%  | -                           |
| Public Works   | 6,543,263  | 1,544,644                                     | 24%  | -                           |
| Parks & Recreation   | 6,442,383  | 1,456,237                                     | 23%  | -                           |
| <b>Sub-Total Operating Expenditures</b>  | <b>62,206,924</b>                                | <b>13,235,475</b>                             | <b>21%</b>                                 | <b>-</b>                    |
| <b>Operating Surplus/ (Deficit)</b><br><i>(Operating Revenues less Total Expenditures)</i> | <b>95,389</b>                                    |   |  | <b>1,895,389</b>            |

| <b>Financial Update - General Fund</b>                           |  | <b>Attachment A (continued)</b>                     |   |                                     |
|--|--|---|---|-------------------------------------|
|  | <b>FY 2012-13<br/>Budget<br/>(as of 9/30/2012)</b> | <b>FY 2012-13<br/>YTD<br/>(as of<br/>9/30/2012)</b> | <b>% to date<br/>(Budget to<br/>Actual)</b> | <b>First Quarter<br/>Adjustment</b> |
| <b>Non-Recurring Revenues</b>                                    |  |   |   |                                     |
| <i>Property Tax (Excess ERAF)</i>                                | 1,000,000  | 2,115,591   | 212%  | 1,115,591                           |
| <i>Charges for Services</i>                                      | 8,408  | 19,068  | 227%  | -                                   |
| <i>Intergovernmental</i>   | 19,585   | 213,829   | 1092%                                       | -                                   |
| <i>Miscellaneous Revenues</i>                                    | -  | 4,000   |   | -                                   |
| <b>Non-Recurring Revenues</b>                                    | <b>1,027,993</b>                                   | <b>2,352,489</b>                                    | <b>229%</b>                                 | <b>1,115,591</b>                    |
| <b>Non Recurring Expenditures</b>                                |  |   |   |                                     |
| <i>City Council / City Clerk</i>                                 | 94,600   | -   |   | -                                   |
| <i>Human Resources</i>   | 17,771   | -   | 0%  | -                                   |
| <i>Community Development</i>                                     | 333,693  | 50,678  | 15%   | -                                   |
| <i>Police Department</i>   | 570,701  | 159,631   | 28%   | -                                   |
| <i>Public Works</i>  | 38,408   | (11,976)  | -31%  | -                                   |
| <b>Non-Recurring Expenditures</b>                                | <b>1,055,172</b>                                   | <b>198,332</b>                                      | <b>19%</b>                                  | <b>-</b>                            |
| <b>Net Impact of Non Recurring</b>                               | <b>(27,179)</b>                                    |   |   | <b>1,115,591</b>                    |
| <b>Other Non-General Fund Requested Expenditure Adjustments:</b> |  |   |   |                                     |
|  | <b>FY 2012-13<br/>Budget<br/>(as of 9/30/2012)</b> | <b>YTD<br/>(as of<br/>9/30/2012)</b>                | <b>% to date<br/>(Budget to<br/>Actual)</b> | <b>3rd Quarter<br/>Adjustment</b>   |
| <i>Risk Management</i>   | 4,152,861  | 1,030,633   | 24.82%                                      | 150,000                             |

| Department/<br>Division | Position Title                           | 2008-09     | 2009-10     | 2010-11     | 2010-11     | 2011-12     | 2012-13     | Mid Cycle                                 | 2012-13     |
|-------------------------|--|-------------|-------------|-------------|-------------|-------------|-------------|---|-------------|
|                         |  |             |             | Adopted     | Revised     | Budget      | Budget      | Review & Other<br>Approved<br>Adjustments | Current     |
| <b>City Manager</b>     |  |             |             |             |             |             |             |   |             |
| <i>City Manager</i>     | City Manager                             | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Secretary to the City Manager            | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Community Outreach Coordinator, LT       | 1.00        | 1.00        | -           | -           | -           | -           |   | -           |
|                         | Community Outreach Coordinator           | -           | -           | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Asst City Manager                        | 2.00        | 2.00        | 2.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Management Analyst II                    | 2.00        | 2.60        | 2.60        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | * Risk Management Analyst II             | -           | 1.00        | 1.00        | 1.00        | -           | -           |   | -           |
|                         | Part Time -FTE                           | -           | 0.18        | 0.18        | -           | -           | -           |   | -           |
|                         |  | 7.00        | 8.78        | 8.78        | 6.00        | 5.00        | 5.00        | -   | 5.00        |
|                         | Total full time employees                | 7.00        | 8.60        | 8.60        | 6.00        | 5.00        | 5.00        |   | 5.00        |
|                         | Total part time employees                | -           | 0.18        | 0.18        | -           | -           | -           |   | -           |
|                         | <b>Total City Manager</b>                | <b>7.00</b> | <b>8.78</b> | <b>8.78</b> | <b>6.00</b> | <b>5.00</b> | <b>5.00</b> | <b>-</b>                                  | <b>5.00</b> |
| <b>City Clerk</b>       |  |             |             |             |             |             |             |   |             |
|                         | City Clerk                               | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Deputy City Clerk                        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Office Assistant I/II                    | 2.00        | 2.00        | 2.00        | 2.00        | 2.00        | 2.00        |   | 2.00        |
|                         | Imaging Clerk                            | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Part Time -FTE                           | -           | -           | -           | -           | -           | -           | 0.40                                      | 0.40        |
|                         |  | 5.00        | 5.00        | 5.00        | 5.00        | 5.00        | 5.00        | 0.40                                      | 15.40       |
|                         | Total full time employees                | 5.00        | 5.00        | 5.00        | 5.00        | 5.00        | 5.00        | -   | 5.00        |
|                         | Total part time employees                | -           | -           | -           | -           | -           | -           | 0.40                                      | 0.40        |
|                         | <b>Total City Clerk</b>                  | <b>5.00</b> | <b>5.00</b> | <b>5.00</b> | <b>5.00</b> | <b>5.00</b> | <b>5.00</b> | <b>0.40</b>                               | <b>5.00</b> |
| <b>City Attorney</b>    |  |             |             |             |             |             |             |   |             |
|                         | City Attorney                            | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Deputy City Attorney                     | 2.00        | 2.00        | 2.00        | 2.00        | 2.00        | 2.00        |   | 2.00        |
|                         | Legal Sec to the Attorney                | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | <b>Total City Attorney</b>               | <b>4.00</b> | <b>4.00</b> | <b>4.00</b> | <b>4.00</b> | <b>4.00</b> | <b>4.00</b> | <b>-</b>                                  | <b>4.00</b> |
| <b>Human Resources</b>  |  |             |             |             |             |             |             |   |             |
|                         | Human Resources Director                 | -           | -           | -           | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Personnel Director                       | 1.00        | 1.00        | 1.00        | -           | -           | -           |   | -           |
|                         | Civil Service Manager/Personnel Director | -           | -           | -           | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Administrative Services Officer          | 1.00        | 1.00        | 1.00        | 1.00        | -           | -           |   | -           |
|                         | Management Analyst II                    | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | * Risk Management Analyst II             | -           | -           | -           | -           | 1.00        | 1.00        | (1.00)                                    | -           |
|                         | * Worker's Comp. & Safety Analyst        | -           | 1.00        | 1.00        | 1.00        | 1.00        | -           |   | -           |
|                         | * Safety Officer                         |             |             |             |             |             |             | 1.00                                      | 1.00        |
|                         | Secretary                                | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Personnel Assistant                      | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        | 1.00        |   | 1.00        |
|                         | Part Time -FTE                           | 0.89        | 0.48        | 0.48        | 0.48        | 0.43        | 0.43        |   | 0.43        |
|                         | Total full time employees                | 5.00        | 6.00        | 6.00        | 7.00        | 7.00        | 6.00        | -   | 6.00        |
|                         | Total part time employees                | 0.89        | 0.48        | 0.48        | 0.48        | 0.43        | 0.43        | 0.05                                      | 0.48        |
|                         | <b>Total Human Resources</b>             | <b>5.89</b> | <b>6.48</b> | <b>6.48</b> | <b>7.48</b> | <b>7.43</b> | <b>6.43</b> | <b>0.05</b>                               | <b>6.48</b> |

| Department/<br>Division              | Position Title                        | 2008-09      | 2009-10      | 2010-11      | 2010-11      | 2011-12      | 2012-13      | Mid Cycle                                 | 2012-13      |
|--------------------------------------|---------------------------------------|--------------|--------------|--------------|--------------|--------------|--------------|---|--------------|
|                                      |                                       |              |              | Adopted      | Revised      | Budget       | Budget       | Review & Other<br>Approved<br>Adjustments | Current      |
| <b>Finance</b>                       |                                       |              |              |              |              |              |              |   |              |
| <i>Administration</i>                | Finance Director                      | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Finance Manager                       | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Administrative Secretary              | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Finance Analyst                       | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      |                                       | 4.00         | 4.00         | 4.00         | 4.00         | 4.00         | 4.00         | -   | 4.00         |
| <i>Accounting &amp;<br/>Auditing</i> | Accounting & Audit Supervisor         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Accountant                            | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         | 3.00         |   | 3.00         |
|                                      | Accounting Technician/Tech Entry      | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         |   | 2.00         |
|                                      | Account Clerk I/II                    | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         |   | 2.00         |
|                                      | Account Tech Entry, LT (Expires 8/09) | 1.00         | 1.00         | -            | -            | -            | -            |   | -            |
|                                      | Account Tech Entry, LT (Expires 7/10) | 1.00         | 1.00         | -            | -            | -            | -            |   | -            |
|                                      | Part Time -FTE                        | 0.48         | 0.48         | 0.48         | 0.48         | 0.96         | 0.96         | (0.96)                                    | 0.00         |
|                                      |                                       | 9.48         | 9.48         | 7.48         | 7.48         | 7.96         | 8.96         | (0.96)                                    | 8.00         |
| <i>Revenue</i>                       | Revenue Supervisor                    | 1.00         | 1.00         | 1.00         | -            | -            | -            |   | -            |
|                                      | Accounting Technician/Tech Entry      | 4.00         | 4.00         | 4.00         | 4.00         | 4.00         | 4.00         |   | 4.00         |
|                                      | Account Tech Entry, LT (Expires 8/09) | 1.00         | 1.00         | -            | -            | -            | -            |   | -            |
|                                      | Account Clerk I/II                    | 3.00         | 3.00         | 3.00         | 4.00         | 4.00         | 4.00         |   | 4.00         |
|                                      | Part Time -FTE                        | 0.66         | 0.66         | 0.66         | 0.66         | 0.48         | 0.48         | (0.48)                                    | 0.00         |
|                                      |                                       | 9.66         | 9.66         | 8.66         | 8.66         | 8.48         | 8.48         | (0.48)                                    | 8.00         |
| <i>Purchasing</i>                    | Purchasing Services Manager           | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | *** Storeskeeper                      | 1.00         | 1.00         | 1.00         | -            | -            | -            |   | -            |
|                                      | *** Purchasing & Inventory Specialist | -            | -            | -            | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      |                                       | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         | -   | 2.00         |
| <i>Information<br/>Technology</i>    | Information Technology Manager        | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Systems Administrator                 | 4.00         | 4.00         | 4.00         | 3.00         | 3.00         | 3.00         |   | 3.00         |
|                                      | ** Systems Administrator              | -            | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Systems Analyst                       | -            | -            | -            | 2.00         | 2.00         | 2.00         |   | 2.00         |
|                                      | MIS Technician                        | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         | 2.00         |   | 2.00         |
|                                      | GIS Coordinator                       | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Telephony Systems Technician          | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | (1.00)                                    | -            |
|                                      | Office Assistant                      | 1.00         | 1.00         | 1.00         | -            | -            | -            |   | -            |
|                                      | Telecommunication Technician          | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
|                                      | Telecommunication Specialist          | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         | 1.00         |   | 1.00         |
| Part Time -FTE                       | 0.24                                  | 0.48         | 0.48         | 0.48         | -            | -            |              | -   |              |
|                                      |                                       | 12.24        | 13.48        | 13.48        | 13.48        | 13.00        | 13.00        | (1.00)                                    | 12.00        |
|                                      | Total full time employees             | 36.00        | 37.00        | 34.00        | 34.00        | 34.00        | 35.00        |   | 35.00        |
|                                      | Total part time employees             | 1.38         | 1.62         | 1.62         | 1.62         | 1.44         | 1.44         |   | 1.44         |
|                                      | <b>Total Finance</b>                  | <b>37.38</b> | <b>38.62</b> | <b>35.62</b> | <b>35.62</b> | <b>35.44</b> | <b>36.44</b> | <b>(2.44)</b>                             | <b>34.00</b> |

| Department/<br>Division                  | Position Title                               | 2008-09      | 2009-10      | 2010-11<br>Adopted | 2010-11<br>Revised | 2011-12<br>Budget | 2012-13<br>Budget | Mid Cycle<br>Review & Other |                    |
|--|--|--------------|--------------|--------------------|--------------------|-------------------|-------------------|-----------------------------|--------------------|
|  |  |              |              |                    |                    |                   |                   | Approved<br>Adjustments     | 2012-13<br>Current |
| <b>Parks &amp; Recreation Services</b>   |  |              |              |                    |                    |                   |                   |                             |                    |
| <i>Administration</i>                    | Parks & Recreation Services Director         | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Management Analyst II                        | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Secretary                                    | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Receptionist                                 | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Senior Office Assistant                      | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Office Assistant II                          | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Part Time -FTE                               | 0.40         | 0.33         | 0.33               | 0.33               | -                 | -                 |                             | -                  |
|  |  | 6.40         | 6.33         | 6.33               | 5.33               | 5.00              | 5.00              | -                           | 5.00               |
| <i>Recreation</i>                        | Recreation Superintendent                    | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Recreation Supervisor                        | 2.00         | 2.00         | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  | Recreation Coordinator                       | 4.00         | 4.00         | 4.00               | 4.00               | 4.00              | 4.00              |                             | 4.00               |
|  | Part Time -FTE                               | 25.60        | 20.75        | 20.89              | 20.89              | 15.75             | 15.85             |                             | 15.85              |
|  |  | 32.60        | 27.75        | 27.89              | 26.89              | 21.75             | 21.85             | -                           | 21.85              |
| <i>Parks</i>                             | Parks Superintendent                         | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Irrigation Specialist                        | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Park Maintenance Worker II/III               | 19.00        | 19.00        | 19.00              | 17.00              | 17.00             | 17.00             | 2.00                        | 19.00              |
|  | # Laborer                                    | -            | -            | -                  | -                  | 2.00              | 2.00              |                             | 2.00               |
|  | Parks Sup/Parks Trees & Facilities Supv      | 3.00         | 3.00         | 3.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  | Part Time -FTE                               | -            | 1.96         | 1.96               | 1.96               | 3.05              | 2.15              |                             | 2.15               |
|  |  | 24.00        | 25.96        | 25.96              | 21.96              | 25.05             | 24.15             | 2.00                        | 26.15              |
| <i>Bldg and Facility<br/>Maintenance</i> | Custodian                                    | 6.00         | 6.00         | 6.00               | 4.00               | 4.00              | 4.00              |                             | 4.00               |
|  | Maintenance Crafts worker                    | 2.00         | 2.00         | 2.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Parks, Trees & Facilities Supervisor         | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Part Time -FTE                               | -            | -            | -                  | 1.03               | 1.03              | 0.41              |                             | 0.41               |
|  |  | 9.00         | 9.00         | 9.00               | 7.03               | 7.03              | 6.41              | -                           | 6.41               |
|  | Total full time employees                    | 46.00        | 46.00        | 46.00              | 37.00              | 39.00             | 39.00             | 2.00                        | 41.00              |
|  | Total part time employees                    | 26.00        | 23.04        | 23.18              | 24.21              | 19.83             | 18.40             | -                           | 18.40              |
|  | <b>Total Parks &amp; Recreation Services</b> | <b>72.00</b> | <b>69.04</b> | <b>69.18</b>       | <b>61.21</b>       | <b>58.83</b>      | <b>57.40</b>      | <b>2.00</b>                 | <b>59.40</b>       |
| <b>Community Development</b>             |  |              |              |                    |                    |                   |                   |                             |                    |
| <i>Administration</i>                    | Community Development Director               | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Secretary                                    | 2.00         | 2.00         | 2.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Management Analyst                           | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Account Technician Entry                     | -            | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Office Assistant                             | 1.00         | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  |  | 4.00         | 4.00         | 4.00               | 4.00               | 4.00              | 4.00              | -                           | 4.00               |
| <i>Planning</i>                          | Planning Manager                             | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Principal Planner                            | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Senior Planner                               | 2.00         | 2.00         | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  | Associate Planner                            | 3.00         | 3.00         | 3.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  | Assistant Planner                            | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Part Time -FTE                               | -            | 0.23         | 0.23               | 0.23               | 0.46              | 0.46              |                             | 0.46               |
|  |  | 7.00         | 7.23         | 7.23               | 6.23               | 6.46              | 6.46              | -                           | 6.46               |
| <i>Building</i>                          | Chief Building Official                      | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Senior Building Inspector                    | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Building Inspection Supervisor (LT)          | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Plans Examiner                               | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Plan Check Engineer                          | 1.00         | -            | -                  | -                  | -                 | -                 |                             | -                  |
|  | Building Inspector                           | 4.00         | 4.00         | 4.00               | 3.00               | 3.00              | 3.00              |                             | 3.00               |
|  | Permit Technician                            | 2.00         | 2.00         | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  |  | 10.00        | 9.00         | 9.00               | 9.00               | 9.00              | 9.00              | -                           | 9.00               |
| <i>Code Enforcement</i>                  | Code Enforcement Officer                     | 3.00         | 3.00         | 3.00               | 3.00               | 3.00              | 3.00              |                             | 3.00               |
|  | Part Time -FTE                               | -            | -            | -                  | -                  | -                 | -                 |                             | -                  |
|  |  | 3.00         | 3.00         | 3.00               | 3.00               | 3.00              | 3.00              | -                           | 3.00               |
| <i>Economic<br/>Development</i>          | Economic Development Director                | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Econ Dev & Redevelopment Manager             | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Senior Development Project Coordinator       | 2.00         | 2.00         | 2.00               | 1.00               | 1.00              | 1.00              | (1.00)                      | -                  |
|  | Development Project Coordinator              | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Management Analyst                           | 1.00         | 0.40         | 0.40               | -                  | -                 | -                 |                             | -                  |
|  | Sustainability Coordinator (LT)              | -            | -            | -                  | 1.00               | 1.00              | -                 | 1.00                        | 1.00               |
|  | Secretary                                    | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  |  | 6.00         | 5.40         | 5.40               | 5.00               | 5.00              | 4.00              | -                           | 4.00               |

| Department/<br>Division              | Position Title                      | 2008-09      | 2009-10      | 2010-11<br>Adopted | 2010-11<br>Revised | 2011-12<br>Budget | 2012-13<br>Budget | Mid Cycle<br>Review & Other |                    |
|--------------------------------------|-------------------------------------|--------------|--------------|--------------------|--------------------|-------------------|-------------------|-----------------------------|--------------------|
|                                      |                                     |              |              |                    |                    |                   |                   | Approved<br>Adjustments     | 2012-13<br>Current |
| <b>Community Development (cont.)</b> |                                     |              |              |                    |                    |                   |                   |                             |                    |
| <i>Housing</i>                       | Housing Manager                     | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Assistant Housing Manager           | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                      | Housing Services Specialist         | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                      | Affordable Housing Prgm Supervisor  | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Rental Assistant Prgm Supervisor    | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Housing Rehab Prgm Supervisor       | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Housing Rehabilitation Specialist   | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                      | Affordable Housing Representative   | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Housing Services Technician         | 6.00         | 6.00         | 6.00               | -                  | -                 | -                 |                             | -                  |
|                                      | Housing Specialist                  | -            | -            | -                  | 5.00               | 5.00              | 5.00              |                             | 5.00               |
|                                      | Housing Specialist (Limited Term)   | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Management Analyst I                | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                      | Secretary                           | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Office Assistant II                 | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Part Time -FTE                      | 0.48         | 0.48         | 0.48               | 0.48               | 0.75              | 0.75              |                             | 0.75               |
|                                      |                                     | 13.48        | 13.48        | 13.48              | 13.48              | 13.75             | 13.75             | -                           | 13.75              |
|                                      | Total full time employees           | 43.00        | 41.40        | 41.40              | 40.00              | 40.00             | 39.00             |                             | 39.00              |
|                                      | Total part time employees           | 0.48         | 0.71         | 0.71               | 0.71               | 1.21              | 1.21              |                             | 1.21               |
|                                      | <b>Total Community Development</b>  | <b>43.48</b> | <b>42.11</b> | <b>42.11</b>       | <b>40.71</b>       | <b>41.21</b>      | <b>40.21</b>      | <b>-</b>                    | <b>40.21</b>       |
| <b>Public Works</b>                  |                                     |              |              |                    |                    |                   |                   |                             |                    |
| <i>Administration</i>                | Public Works Director               | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Deputy PW Director - Engineering    | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Deputy PW Director - Operations     | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Sr. Development Project Coordinator |              |              |                    |                    |                   |                   | 1.00                        | 1.00               |
|                                      | Sr. Development Project Coordinator |              |              |                    |                    |                   |                   | (1.00)                      | (1.00)             |
|                                      | Finance Analyst                     | -            | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Management Analyst                  | 1.00         | -            | -                  | -                  | -                 | -                 |                             | -                  |
|                                      | Administrative Secretary            | 1.00         | 1.00         | 1.00               | 1.00               | -                 | -                 |                             | -                  |
|                                      | Secretary                           | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Accounting Technician (Entry)       |              |              |                    |                    |                   |                   | 1.00                        | 1.00               |
|                                      | Office Assistant I/II               | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      |                                     | 7.00         | 7.00         | 7.00               | 7.00               | 6.00              | 6.00              | 1.00                        | 7.00               |
| <i>Maintenance</i>                   | Public Works Maintenance Manager    | -            | -            | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Street Field Supervisor             | 3.00         | 3.00         | 3.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|                                      | Heavy Equipment Operator            | 2.00         | 2.00         | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|                                      | Street Maintenance Worker I/II/III  | 12.00        | 12.00        | 12.00              | 12.00              | 12.00             | 12.00             |                             | 12.00              |
|                                      | Streets & Electrical Manager        | 1.00         | 1.00         | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                      | Electrical Supervisor               | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Electrician II/III                  | 4.00         | 4.00         | 4.00               | 4.00               | 4.00              | 4.00              |                             | 4.00               |
|                                      | Part Time -FTE                      | 0.70         | 1.38         | 1.38               | 1.38               | 1.86              | 1.86              |                             | 1.86               |
|                                      |                                     | 23.70        | 24.38        | 24.38              | 23.38              | 23.86             | 23.86             | -                           | 23.86              |
| <i>Real Property</i>                 | Property Manager                    | 1.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
| <i>Engineering</i>                   | Senior Civil Engineer               | 2.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Senior Civil Engineer               |              |              |                    |                    |                   |                   | 1.00                        | 1.00               |
|                                      | Associate Civil Engineer            | 3.00         | 4.00         | 1.00               | 3.00               | 3.00              | 3.00              |                             | 3.00               |
|                                      | Junior Engineer                     | -            | 1.00         | 2.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Senior Engineering Aide             | 1.00         | 2.00         | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|                                      | Engineering Assistant               | 2.00         | 1.00         | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                      | Part Time -FTE                      | 0.48         | 0.69         | 0.69               | 0.69               | 0.69              | 0.69              |                             | 0.69               |
|                                      |                                     | 8.48         | 9.69         | 7.69               | 8.69               | 8.69              | 8.69              | 1.00                        | 9.69               |

| Department/<br>Division                | Position Title                           | 2008-09 | 2009-10 | 2010-11<br>Adopted | 2010-11<br>Revised | 2011-12<br>Budget | 2012-13<br>Budget | Mid Cycle<br>Review & Other |                    |
|--|--|---------|---------|--------------------|--------------------|-------------------|-------------------|-----------------------------|--------------------|
|  |  |         |         |                    |                    |                   |                   | Approved<br>Adjustments     | 2012-13<br>Current |
| <b>Public Works (Con't.d)</b>          |  |         |         |                    |                    |                   |                   |                             |                    |
| <i>Development<br/>Engineering</i>     | Senior Civil Engineer                    | -       | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Associate Civil Engineer                 | 4.00    | 3.00    | 3.00               | 1.00               | 1.00              | 1.00              | 1.00                        | 2.00               |
|  | Engineering Assistant                    | -       | -       | -                  | 3.00               | 3.00              | 3.00              |                             | 3.00               |
|  | Senior Engineering Aide                  | 4.00    | 4.00    | 4.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Senior Traffic Engineer                  | 1.00    | 1.00    | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Associate Traffic Engineer               | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              | (1.00)                      | -                  |
|  | Part Time -FTE                           | -       | 0.69    | 0.69               | 0.69               | 0.69              | 0.69              |                             | 0.69               |
|  |  | 10.00   | 10.69   | 10.69              | 7.69               | 7.69              | 7.69              | -                           | 7.69               |
| <i>Construction</i>                    | Senior Civil Engineer                    | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Junior Engineer                          | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Construction Inspector                   | 2.00    | 2.00    | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  | Construction Inspector Assistant         | -       | -       | -                  | -                  | -                 | -                 | 1.00                        | 1.00               |
|  | Part Time -FTE                           | -       | 0.46    | 0.46               | 0.46               | 0.46              | 0.46              |                             | 0.46               |
|  |  | 4.00    | 4.46    | 4.46               | 4.46               | 4.46              | 4.46              | 1.00                        | 5.46               |
| <i>Material Diversion<br/>Services</i> | Materials Diversion Administrator        | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Materials Diversion Analyst              | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Scalehouse Attendant                     | 2.00    | 2.00    | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  | Office Assistant                         | 1.00    | -       | -                  | -                  | -                 | -                 |                             | -                  |
|  | Account Technician (Entry)               | -       | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              | (1.00)                      | -                  |
|  | Part Time -FTE                           | 1.66    | 1.44    | 1.36               | 1.36               | 2.26              | 2.26              |                             | 2.26               |
|  |  | 6.66    | 6.44    | 6.36               | 6.36               | 7.26              | 7.26              | (1.00)                      | 6.26               |
| <i>Water</i>                           | General Manager                          | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Senior Civil Engineer                    | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Associate Civil Engineer                 | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Associate Civil Engineer, Limited Term   | -       | 1.00    | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Water Operations Supervisor              | 1.00    | 1.00    | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Water Treatment Chief Operator           | -       | -       | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Quality Analyst                    | 1.00    | 1.00    | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Water Quality Supervisor                 | -       | -       | -                  | 1.00               | -                 | -                 |                             | -                  |
|  | Water Quality Manager                    | -       | -       | -                  | -                  | 1.00              | 1.00              |                             | 1.00               |
|  | Senior Engineering Aide                  | 2.00    | 2.00    | 2.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|  | Engineering Assistant                    | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Resource Analyst                   | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Resource Specialist                | -       | -       | -                  | -                  | -                 | -                 |                             | -                  |
|  | Water Systems Specialist                 | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Conservation Representative        | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Distribution System Superintendent | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Treatment Facility Supervisor      | 1.00    | 1.00    | 1.00               | -                  | -                 | -                 |                             | -                  |
|  | Water Treatment Facility Operator        | 9.00    | 9.00    | 9.00               | 9.00               | 9.00              | 9.00              |                             | 9.00               |
|  | Plant Maintenance Mechanic II/III        | 3.00    | 3.00    | 3.00               | 3.00               | 3.00              | 3.00              |                             | 3.00               |
|  | Laboratory Technician                    | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Construction Inspector                   | -       | -       | -                  | -                  | -                 | -                 |                             | -                  |
|  | Plant Maintenance Supervisor             | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Facilities Supervisor              | 4.00    | 3.00    | 3.00               | 3.00               | 3.00              | 3.00              |                             | 3.00               |
|  | Electrician II                           | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Facilities Worker I/II/III         | 5.00    | 5.00    | 5.00               | 6.00               | 6.00              | 7.00              |                             | 7.00               |
|  | Supervising Water Service Worker         | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Water Service Worker                     | 4.00    | 5.00    | 5.00               | 5.00               | 5.00              | 5.00              |                             | 5.00               |
|  | Heavy Equipment Operator                 | 4.00    | 4.00    | 4.00               | 3.00               | 3.00              | 2.00              |                             | 2.00               |
|  | Water Meter Specialist                   | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Secretary                                | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|  | Senior Office Assistant                  | -       | -       | -                  | -                  | 1.00              | 1.00              |                             | 1.00               |
|  | Office Assistant II                      | 1.00    | 1.00    | 1.00               | 1.00               | -                 | -                 |                             | -                  |
| Purchasing & Inventory Specialist      | 1.00                                     | 1.00    | 1.00    | 1.00               | 1.00               | 1.00              |                   | 1.00                        |                    |
| Part Time -FTE                         | 2.50                                     | 3.57    | 3.57    | 3.57               | 4.23               | 5.17              |                   | 5.17                        |                    |
|  |  | 52.50   | 54.57   | 54.57              | 52.57              | 53.23             | 54.17             | -                           | 54.17              |

| Department/<br>Division         | Position Title                    | 2008-09       | 2009-10       | 2010-11<br>Adopted | 2010-11<br>Revised | 2011-12<br>Budget | 2012-13<br>Budget | Mid Cycle<br>Review & Other |                    |
|---------------------------------|-----------------------------------|---------------|---------------|--------------------|--------------------|-------------------|-------------------|-----------------------------|--------------------|
|                                 |                                   |               |               |                    |                    |                   |                   | Approved<br>Adjustments     | 2012-13<br>Current |
| <b>Public Works (Con't.d)</b>   |                                   |               |               |                    |                    |                   |                   |                             |                    |
|                                 | Fleet Manager                     | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
| <i>Fleet Management</i>         | Fleet Shop Supervisor             | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Office Assistant II               | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Equipment Mechanic                | 4.00          | 4.00          | 4.00               | 4.00               | 4.00              | 4.00              |                             | 4.00               |
|                                 |                                   | 7.00          | 7.00          | 7.00               | 7.00               | 7.00              | 7.00              | -                           | 7.00               |
|                                 | Total full time employees         | 115.00        | 117.00        | 115.00             | 110.00             | 109.00            | 109.00            |                             | 109.00             |
|                                 | Total part time employees         | 5.34          | 8.23          | 8.15               | 8.15               | 10.19             | 11.13             |                             | 11.13              |
|                                 | <b>Total Public Works</b>         | <b>120.34</b> | <b>125.23</b> | <b>123.15</b>      | <b>118.15</b>      | <b>119.19</b>     | <b>120.13</b>     | <b>2.00</b>                 | <b>122.13</b>      |
| <b>Police</b>                   |                                   |               |               |                    |                    |                   |                   |                             |                    |
| <i>Administration</i>           | Police Chief                      | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Public Safety Manager             | -             | -             | -                  | 0.50               | 0.50              | 0.50              |                             | 0.50               |
|                                 | Police Commander                  | 1.00          | 1.00          | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                 | Management Analyst II             | 1.00          | 1.00          | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                 | Administrative Secretary          | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Secretary                         | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Part Time -FTE                    | 0.94          | 0.46          | 0.46               | 0.46               | 0.46              | 0.46              |                             | 0.46               |
|                                 |                                   | 5.94          | 5.46          | 5.46               | 3.96               | 3.96              | 3.96              | -                           | 3.96               |
| <i>Special Operations</i>       | Police Captain                    | -             | -             | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Police Commander                  | 1.00          | 1.00          | -                  | -                  | -                 | -                 |                             | -                  |
|                                 | Police Lieutenant                 | -             | 1.00          | 2.00               | 2.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Police Sergeant                   | 3.00          | 3.00          | 3.00               | 3.00               | 3.00              | 2.00              | 2.00                        | 4.00               |
|                                 | Police Officer                    | 20.00         | 18.00         | 18.00              | 18.00              | 15.00             | 15.00             |                             | 15.00              |
|                                 | Homeless Outreach Specialist      | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Police Forensic Specialist        | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Community Service Officer         | 2.00          | 1.00          | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                 | Communications Manager            | 1.00          | -             | -                  | -                  | -                 | -                 |                             | -                  |
|                                 | Public Safety Dispatch Supervisor | 4.00          | 4.00          | 4.00               | 4.00               | 4.00              | 4.00              |                             | 4.00               |
|                                 | Public Safety Dispatcher I/II     | 18.00         | 18.00         | 18.00              | 18.00              | 18.00             | 18.00             | 2.00                        | 20.00              |
|                                 | Public Safety Call Taker          | 4.00          | 4.00          | 4.00               | 4.00               | 4.00              | 4.00              | 1.00                        | 5.00               |
|                                 | Part Time -FTE                    | 4.72          | 4.07          | 3.58               | 3.58               | 5.36              | 5.71              |                             | 5.71               |
|                                 |                                   | 59.72         | 56.07         | 55.58              | 55.58              | 53.36             | 52.71             | 5.00                        | 56.71              |
| <i>Parking Enforcement ****</i> | Parking Enforcement Officer       | 2.00          | 2.00          | 2.00               | -                  | -                 | -                 |                             | -                  |
| <i>Operations</i>               | Police Commander                  | 1.00          | 1.00          | 1.00               | -                  | -                 | -                 |                             | -                  |
|                                 | Police Captain                    | -             | -             | -                  | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Police Lieutenant                 | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Police Sergeant                   | 6.00          | 7.00          | 7.00               | 7.00               | 7.00              | 7.00              |                             | 7.00               |
|                                 | Police Officer                    | 42.00         | 41.00         | 41.00              | 40.00              | 43.00             | 43.00             | (1.00)                      | 42.00              |
|                                 | Community Service Officer         | 5.00          | 6.00          | 6.00               | 5.00               | 5.00              | 5.00              |                             | 5.00               |
|                                 | Part Time -FTE                    | 2.76          | 0.46          | 0.46               | 0.46               | 0.46              | 0.46              |                             | 0.46               |
|                                 |                                   | 57.76         | 56.46         | 56.46              | 54.46              | 57.46             | 57.46             | (1.00)                      | 56.46              |
| <i>Support Services</i>         | Police Records Supervisor         | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Senior Police Records Assist.     | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Police Records Assist II          | 6.00          | 6.00          | 6.00               | 5.00               | 5.00              | 5.00              |                             | 5.00               |
|                                 | Police Records Assistant I        | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Community Service Officer         | -             | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                                 | Part Time -FTE                    | 3.43          | 2.80          | 3.28               | 3.28               | 1.40              | 1.40              |                             | 1.40               |
|                                 |                                   | 12.43         | 12.80         | 13.28              | 12.28              | 10.40             | 10.40             | -                           | 10.40              |
|                                 | Total full time employees         | 126.00        | 125.00        | 125.00             | 118.50             | 117.50            | 116.50            |                             | 116.50             |
|                                 | Total part time employees         | 11.85         | 7.79          | 7.78               | 7.78               | 7.69              | 8.03              |                             | 8.03               |
|                                 | <b>Total Police</b>               | <b>137.85</b> | <b>132.79</b> | <b>132.78</b>      | <b>126.28</b>      | <b>125.19</b>     | <b>124.53</b>     | <b>4.00</b>                 | <b>127.53</b>      |

| Department/<br>Division | Position Title                        | 2008-09       | 2009-10       | 2010-11<br>Adopted | 2010-11<br>Revised | 2011-12<br>Budget | 2012-13<br>Budget | Mid Cycle<br>Review & Other |                    |
|-------------------------|---------------------------------------|---------------|---------------|--------------------|--------------------|-------------------|-------------------|-----------------------------|--------------------|
|                         |                                       |               |               |                    |                    |                   |                   | Approved<br>Adjustments     | 2012-13<br>Current |
| <b>Fire</b>             |                                       |               |               |                    |                    |                   |                   |                             |                    |
| <i>Administration</i>   | Fire Chief                            | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                         | Secretary                             | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                         | Administrative Services Officer       | 1.00          | 1.00          | 1.00               | -                  | -                 | -                 |                             | -                  |
|                         | Public Safety Manager                 | -             | -             | -                  | 0.50               | 0.50              | 0.50              |                             | 0.50               |
|                         | Part Time -FTE                        | 0.02          | 0.16          | 0.16               | 0.16               | 0.17              | 0.17              |                             | 0.17               |
|                         |                                       | <b>3.02</b>   | <b>3.16</b>   | <b>3.16</b>        | <b>2.66</b>        | <b>2.67</b>       | <b>2.67</b>       | -                           | <b>2.67</b>        |
| <i>Prevention</i>       | Fire Division Chief                   | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                         | Fire Captain                          | 1.00          | 1.00          | 1.00               | -                  | -                 | -                 |                             | -                  |
|                         | Firefighter                           | -             | -             | -                  | -                  | -                 | -                 |                             | -                  |
|                         | Fire Prevention Inspector III         | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                         | Fire Prevention Inspector I/II        | 3.00          | 3.00          | 3.00               | 2.00               | 2.00              | 2.00              |                             | 2.00               |
|                         | Fire Prevention Technician            | -             | -             | -                  | -                  | -                 | -                 |                             | -                  |
|                         | Fire Education Specialist             | -             | -             | -                  | -                  | -                 | -                 |                             | -                  |
|                         | Secretary                             | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                         | Part Time -FTE                        | 0.39          | 0.31          | 0.31               | 0.31               | 0.75              | 0.78              |                             | 0.78               |
|                         |                                       | <b>7.39</b>   | <b>7.31</b>   | <b>7.31</b>        | <b>5.31</b>        | <b>5.75</b>       | <b>5.78</b>       | -                           | <b>5.78</b>        |
| <i>Operations</i>       | Fire Division Chief                   | 1.00          | 1.00          | 1.00               | 1.00               | 1.00              | 1.00              |                             | 1.00               |
|                         | Fire Battalion Chief                  | 3.00          | 3.00          | 3.00               | 3.00               | 3.00              | 3.00              |                             | 3.00               |
|                         | Fire Captain                          | 17.00         | 17.00         | 17.00              | 16.00              | 16.00             | 16.00             |                             | 16.00              |
|                         | Firefighter                           | 13.00         | 13.00         | 13.00              | 11.00              | 11.00             | 11.00             |                             | 11.00              |
|                         | Firefighter/Paramedic                 | 25.00         | 24.00         | 24.00              | 24.00              | 24.00             | 24.00             |                             | 24.00              |
|                         | Emergency Medical Services Specialist |               |               |                    |                    |                   |                   | 1.00                        | 1.00               |
|                         | Part Time -FTE                        | 1.15          | 2.46          | 2.39               | 2.39               | 2.15              | 2.15              | (0.50)                      | 1.65               |
|                         |                                       |               | <b>60.15</b>  | <b>60.46</b>       | <b>60.39</b>       | <b>57.39</b>      | <b>57.15</b>      | <b>57.15</b>                | <b>0.50</b>        |
|                         | Total full time employees             | 69.00         | 68.00         | 68.00              | 62.50              | 62.50             | 62.50             | 1.00                        | 63.50              |
|                         | Total part time employees             | 1.56          | 2.93          | 2.86               | 2.86               | 3.07              | 3.10              | (0.50)                      | 2.60               |
|                         | <b>Total Fire</b>                     | <b>70.56</b>  | <b>70.93</b>  | <b>70.86</b>       | <b>65.36</b>       | <b>65.57</b>      | <b>65.60</b>      | <b>0.50</b>                 | <b>66.10</b>       |
|                         | <b>Total City Staff</b>               | <b>503.50</b> | <b>502.98</b> | <b>497.96</b>      | <b>469.81</b>      | <b>466.86</b>     | <b>464.75</b>     | <b>6.51</b>                 | <b>469.86</b>      |

\* Funded by Risk Management Fund

\*\* Funded by Water Fund

\*\*\* Funded by Central Stores Fund

\*\*\*\* Funded by Parking Fund

# Position title is placeholder pending classification review and allocation approval.

FTE Full Time Equivalent

| Department/<br>Division   | Position Title                 | 2008-09       | 2009-10       | 2010-11       | 2010-11       | 2011-12       | 2012-13       | Mid Cycle<br>Review & Other | 2012-13       |
|---------------------------|--------------------------------|---------------|---------------|---------------|---------------|---------------|---------------|-----------------------------|---------------|
|                           |                                |               |               | Adopted       | Revised       | Budget        | Budget        | Approved<br>Adjustments     | Current       |
| <b>City Staff by Fund</b> |                                |               |               |               |               |               |               |                             |               |
|                           | General Fund - full time       | 391.00        | 389.00        | 384.00        | 359.00        | 359.00        | 358.00        | 7.96                        | 364.56        |
|                           | General Fund - part time       | 43.34         | 39.97         | 40.03         | 40.88         | 37.36         | 36.32         | (0.45)                      | 35.87         |
|                           | General Fund subtotal          | 434.34        | 428.97        | 424.03        | 399.88        | 396.36        | 394.32        | 7.51                        | 400.43        |
|                           | Central Stores Fund            | 1.00          | 1.00          | 1.00          | 1.00          | 1.00          | 1.00          | -                           | 1.00          |
|                           | Risk Management Fund           | -             | 2.00          | 2.00          | 2.00          | 1.00          | -             | -                           | -             |
|                           | Fleet Management Fund          | 7.00          | 7.00          | 7.00          | 7.00          | 7.00          | 7.00          | -                           | 7.00          |
|                           | Parking Fund                   | 2.00          | 2.00          | 2.00          | -             | -             | -             | -                           | -             |
|                           | Material Diversion - full time | 5.00          | 5.00          | 5.00          | 5.00          | 5.00          | 5.00          | (1.00)                      | 4.00          |
|                           | Material Diversion - part time | 1.66          | 1.44          | 1.36          | 1.36          | 2.26          | 2.26          | -                           | 2.26          |
|                           | Material Diversion subtotal    | 6.66          | 6.44          | 6.36          | 6.36          | 7.26          | 7.26          | (1.00)                      | 6.26          |
|                           | Water - full time              | 50.00         | 52.00         | 52.00         | 50.00         | 50.00         | 50.00         | -                           | 50.00         |
|                           | Water - part time              | 2.50          | 3.57          | 3.57          | 3.57          | 4.23          | 5.17          | -                           | 5.17          |
|                           | Water subtotal                 | 52.50         | 55.57         | 55.57         | 53.57         | 54.23         | 55.17         | -                           | 55.17         |
|                           | <b>Total City Staff</b>        | <b>503.50</b> | <b>502.98</b> | <b>497.96</b> | <b>469.81</b> | <b>466.86</b> | <b>464.75</b> | <b>6.51</b>                 | <b>469.86</b> |
| <b>City Staff by Type</b> |                                |               |               |               |               |               |               |                             |               |
|                           | Full Time Employees            | 456.00        | 458.00        | 453.00        | 424.00        | 423.00        | 421.00        | 3.40                        | 424.00        |
|                           | Part Time Employees            | 47.50         | 44.98         | 44.96         | 45.81         | 43.86         | 43.75         | (0.45)                      | 43.30         |
|                           | <b>Total City Staff</b>        | <b>503.50</b> | <b>502.98</b> | <b>497.96</b> | <b>469.81</b> | <b>466.86</b> | <b>464.75</b> | <b>2.95</b>                 | <b>467.30</b> |



## **Introduction**

This report represents the City's investment portfolio as of September 30, 2012. The report includes all invested City funds with the exception of bond proceeds. All investments are in compliance with the City's adopted Statement of Investment Policy.

## **Investment Approach**

The City's investments are guided by an Investment Policy which is reviewed and approved by the Council annually. The Investment Policy was last approved by the City Council in June 2012 and is provided as an appendix to this report for reference. The policy directs that investment goals, in order by priority, are safety, liquidity, and yield. This conservative approach ensures assets are available for use while also allowing the City to earn additional resources on idle funds. The City relies on an investment advisor and the State investment pool known as the Local Agency Investment Fund (LAIF).

## **Current Market Conditions**

Interest rates hit record lows in the third quarter as the U.S. economy continues its slow recovery. Interest rates are expected to remain at low levels through mid-2015 due to Federal Reserve monetary policy. The City will continue to monitor all investments for negative market exposures and react as necessary to preserve assets. LAIF rates have remained fairly constant around 0.35% – 0.45% since December 2009.

### **Total Return Comparison Periods Ending September 30, 2012**

|  | Past<br>Quarter | Past<br>Year | Past<br>3 Years | Past<br>5 Years |
|--|-----------------|--------------|-----------------|-----------------|
| City of Napa                               | 0.63%           | 2.13%        | 2.69%           | 4.35%           |
| Merrill Lynch 1-5 Year<br>Government Index | 0.47%           | 1.33%        | 2.52%           | 3.90%           |
| LAIF                                       | 0.09%           | 0.37%        | 0.46%           | 1.36%           |

*\* Returns for periods under one year are periodic; all other returns are annualized.*

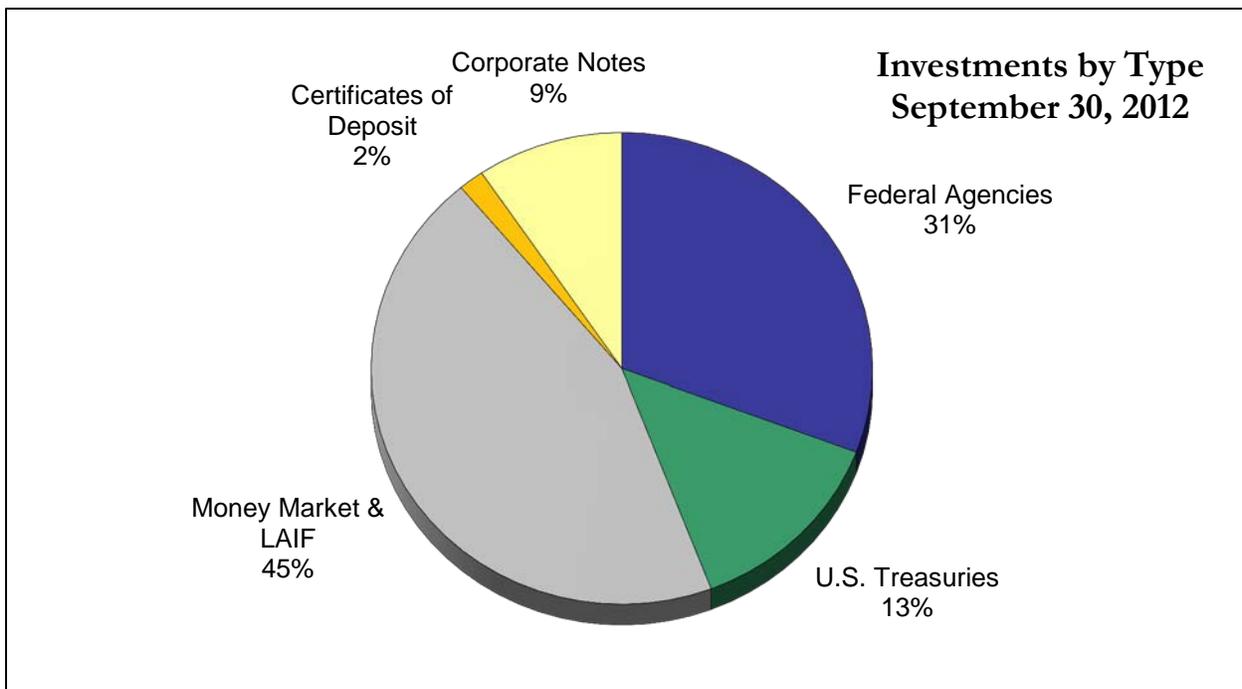


# CITY of NAPA

## Portfolio Information

The City's cash, excluding bond proceeds, is pooled for investment purposes. As of September 30, 2012 invested funds totaled \$91,874,216, which is \$3.6 million less than the \$95.4 million invested funds total at the end of the 4<sup>th</sup> quarter of FY 2011-12. These investments belong to the General Fund and to restricted funds such as the Developer, Special District, Water, Solid Waste, and Recycling Funds.

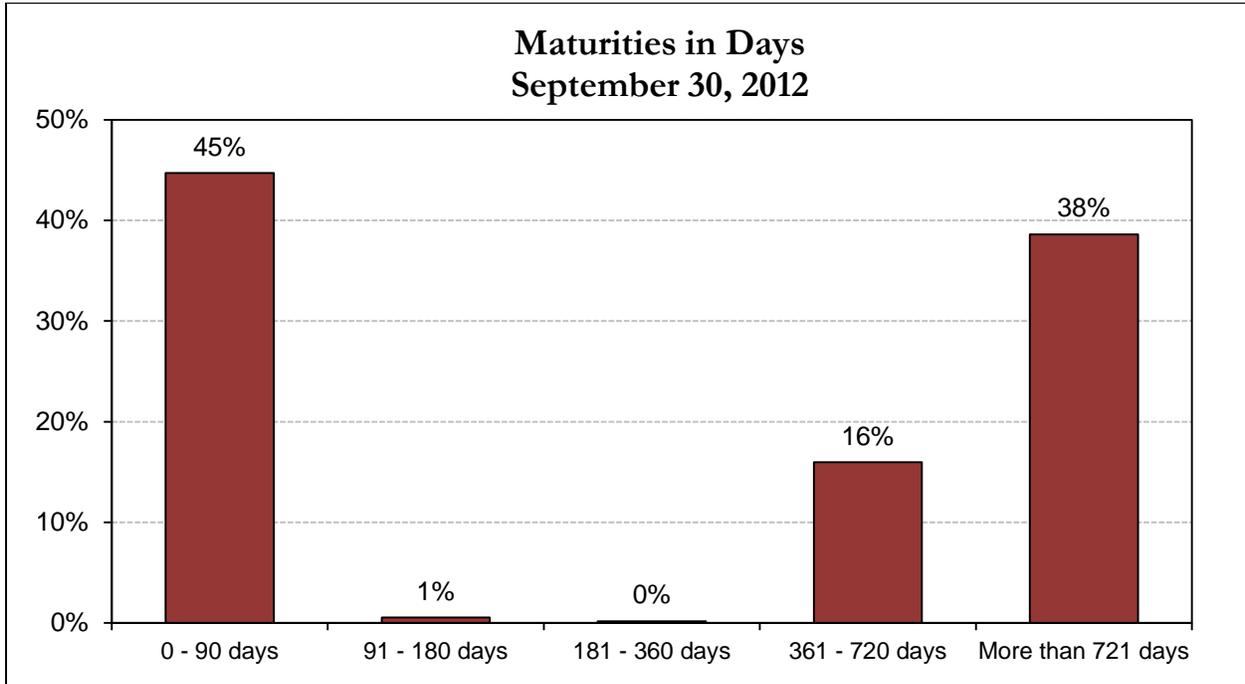
The current City portfolio consists of six types of investments: U.S. Treasuries, Federal Agencies, Corporate Debt, Negotiable Certificates of Deposit, and Cash instruments such as money markets and LAIF. As noted in the chart below and on the attached investment detail report, the City's investment portfolio as of September 30, 2012 was heavily weighted towards the State Local Agency Investment Fund (LAIF) and high-quality (AA+ rated) Federal Agency securities to maintain the focus on safety and liquidity.



The City's Investment Policy allows for a 5-year time horizon with an emphasis on liquidity. As of September 30, 2012, 45% of the City's funds were invested in very short-term liquid investments, 17% of the funds were invested with maturities between 90 days and 2 years, and 38% of the investment portfolio had a maturity ranging from 2 to 5 years. This distribution allows the City the necessary liquidity to meet operational and



emergency cash needs while maximizing returns on funds not needed in the immediate future.



### **Conclusion**

All City funds are invested in accordance with the approved Investment Policy with an emphasis on safety, liquidity, and yield (in that order). The City's investment strategy of balancing the investment portfolio between short-term investments (to meet cash flow needs) and longer-term maturities (to realize a higher rate of return) is appropriate given the current market conditions. With short-term interest rates anchored by the Federal Reserve's zero interest rate policy through mid-2015, longer-term rates continue to trade within a set range.

The investment portfolio will continue to be closely monitored to ensure the avoidance of risk and to respond to changes in market conditions.



**City of Napa**  
**Quarterly Investment Report - Holdings Report**  
as of September 30, 2012

| CUSIP                              | Description                            | S&P Rating      |                 | Par Value            | Purchase Date | Coupon Rate | Maturity Date | Original Cost        | Yield to Maturity | Accrued Interest | Market Value         |
|------------------------------------|--|-----------------|-----------------|----------------------|---------------|-------------|---------------|----------------------|-------------------|------------------|----------------------|
|                                    |  | FY Quarter 4Q12 | FY Quarter 1Q13 |                      |               |             |               |                      |                   |                  |                      |
| <b>LAIF and Money Market</b>       |  |                 |                 |                      |               |             |               |                      |                   |                  |                      |
| N/A                                | California Asset Management Trust      | AAAm            | AAAm            | 262,188.84           | 9/30/2012     | 0.24%       | 10/1/2012     | 262,188.84           | 0.24%             | -                | 262,188.84           |
| N/A                                | Local Agency Investment Fund           | NR              | NR              | 40,812,052.95        | 9/30/2012     | 0.35%       | 10/1/2012     | 40,812,052.95        | 0.35%             | -                | 40,812,052.95        |
| <b>Total LAIF and Money Market</b> |  |                 |                 | <b>41,074,241.79</b> |               |             |               | <b>41,074,241.79</b> | <b>0.35%</b>      | <b>-</b>         | <b>41,074,241.79</b> |
| <b>U.S. Treasuries</b>             |  |                 |                 |                      |               |             |               |                      |                   |                  |                      |
| 912828LC2                          | U.S. Treasury                          | AA+             | AA+             | 935,000.00           | 10/31/2011    | 2.63%       | 7/31/2014     | 990,223.44           | 0.46%             | 4,135.09         | 975,687.46           |
| 912828RQ5                          | U.S. Treasury                          | AA+             | AA+             | 1,000,000.00         | 11/30/2011    | 0.38%       | 11/15/2014    | 999,375.00           | 0.40%             | 1,416.44         | 1,002,421.88         |
| 912828MH0                          | U.S. Treasury                          | AA+             | AA+             | 1,415,000.00         | 1/27/2012     | 2.25%       | 1/31/2015     | 1,497,191.60         | 0.31%             | 5,363.93         | 1,480,002.27         |
| 912828MH0                          | U.S. Treasury                          | AA+             | AA+             | 785,000.00           | 6/29/2012     | 2.25%       | 1/31/2015     | 822,808.79           | 0.38%             | 2,975.75         | 821,061.33           |
| 912828MR8                          | U.S. Treasury                          | AA+             | AA+             | 100,000.00           | 3/2/2010      | 2.38%       | 2/28/2015     | 100,296.87           | 2.31%             | 203.38           | 105,031.20           |
| 912828MR8                          | U.S. Treasury                          | AA+             | AA+             | 205,000.00           | 3/30/2010     | 2.38%       | 2/28/2015     | 203,118.17           | 2.57%             | 416.94           | 215,313.96           |
| 912828NP1                          | U.S. Treasury                          | AA+             | AA+             | 650,000.00           | 4/7/2011      | 1.75%       | 7/31/2015     | 643,476.79           | 1.99%             | 1,916.44         | 676,406.25           |
| 912828PJ3                          | U.S. Treasury                          | AA+             | AA+             | 200,000.00           | 11/30/2010    | 1.38%       | 11/30/2015    | 198,554.69           | 1.53%             | 924.18           | 206,453.20           |
| 912828PJ3                          | U.S. Treasury                          | AA+             | AA+             | 665,000.00           | 5/19/2011     | 1.38%       | 11/30/2015    | 657,572.93           | 1.63%             | 3,072.90         | 686,456.89           |
| 912828PS3                          | U.S. Treasury                          | AA+             | AA+             | 650,000.00           | 5/19/2011     | 2.00%       | 1/31/2016     | 658,711.16           | 1.70%             | 2,190.22         | 685,394.45           |
| 912828QA1                          | U.S. Treasury                          | AA+             | AA+             | 650,000.00           | 7/28/2011     | 2.25%       | 3/31/2016     | 676,433.82           | 1.35%             | 40.18            | 692,250.00           |
| 912828KZ2                          | U.S. Treasury                          | AA+             | AA+             | 1,500,000.00         | 2/23/2012     | 3.25%       | 6/30/2016     | 1,660,488.28         | 0.75%             | 12,319.97        | 1,657,500.00         |
| 912828LP3                          | U.S. Treasury                          | AA+             | AA+             | 1,100,000.00         | 11/15/2011    | 3.00%       | 9/30/2016     | 1,209,914.06         | 0.90%             | 90.66            | 1,210,430.10         |
| 912828LU2                          | U.S. Treasury                          | AA+             | AA+             | 800,000.00           | 7/6/2012      | 3.13%       | 10/31/2016    | 886,343.75           | 0.59%             | 10,461.96        | 885,687.20           |
| 912828SM3                          | U.S. Treasury                          | AA+             | AA+             | 705,000.00           | 7/31/2012     | 1.00%       | 3/31/2017     | 717,695.51           | 0.61%             | 19.37            | 719,100.00           |
| 912828NR7                          | U.S. Treasury                          | AA+             | AA+             | 305,000.00           | 9/10/2012     | 2.38%       | 7/31/2017     | 330,448.44           | 0.64%             | 1,220.41         | 330,829.84           |
| <b>Total U.S. Treasuries</b>       |  |                 |                 | <b>11,665,000.00</b> |               |             |               | <b>12,252,653.30</b> | <b>0.87%</b>      | <b>46,767.82</b> | <b>12,350,026.03</b> |
| <b>Federal Agencies</b>            |  |                 |                 |                      |               |             |               |                      |                   |                  |                      |
| 3135G0EZ2                          | Federal National Mortgage Association  | AA+             | AA+             | 350,000.00           | 10/26/2011    | 0.41%       | 10/25/2013    | 349,858.57           | 0.35%             | 264.83           | 350,688.45           |
| 3135G0FG3                          | Federal National Mortgage Association  | AA+             | AA+             | 400,000.00           | 11/14/2011    | 0.60%       | 11/14/2013    | 400,000.00           | 0.60%             | 913.33           | 400,130.80           |
| 3133762C8                          | Federal Home Loan Banks                | AA+             | AA+             | 1,635,000.00         | 11/30/2011    | 0.38%       | 11/27/2013    | 1,632,727.35         | 0.45%             | 2,111.88         | 1,637,864.52         |
| 3133762C8                          | Federal Home Loan Banks                | AA+             | AA+             | 280,000.00           | 1/12/2012     | 0.38%       | 11/27/2013    | 280,193.20           | 0.34%             | 361.67           | 280,490.56           |
| 3137EACZ0                          | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 900,000.00           | 7/6/2012      | 0.38%       | 11/27/2013    | 900,531.00           | 0.33%             | 1,162.50         | 901,542.60           |
| 3133XSP93                          | Federal Home Loan Banks                | AA+             | AA+             | 230,000.00           | 6/29/2011     | 3.13%       | 12/13/2013    | 243,220.40           | 0.76%             | 2,156.25         | 237,983.76           |
| 31398A5W8                          | Federal National Mortgage Association  | AA+             | AA+             | 390,000.00           | 6/29/2011     | 0.75%       | 12/18/2013    | 389,980.50           | 0.75%             | 836.88           | 392,589.21           |
| 31398A5W8                          | Federal National Mortgage Association  | AA+             | AA+             | 125,000.00           | 8/3/2011      | 0.75%       | 12/18/2013    | 125,370.00           | 0.62%             | 268.23           | 125,829.88           |
| 31398A5W8                          | Federal National Mortgage Association  | AA+             | AA+             | 415,000.00           | 6/7/2012      | 0.75%       | 12/18/2013    | 417,734.85           | 0.32%             | 890.52           | 417,755.19           |
| 3134G3BF6                          | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 800,000.00           | 12/21/2011    | 0.63%       | 12/23/2013    | 802,312.80           | 0.48%             | 1,361.11         | 803,588.80           |
| 313376UF0                          | Federal Home Loan Banks                | AA+             | AA+             | 650,000.00           | 2/6/2012      | 0.38%       | 1/29/2014     | 650,754.00           | 0.32%             | 419.79           | 651,189.50           |
| 3137EACR8                          | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 280,000.00           | 2/4/2011      | 1.38%       | 2/25/2014     | 280,817.60           | 1.28%             | 385.00           | 284,395.44           |
| 31331GTJ8                          | Federal Farm Credit Bureau             | AA+             | AA+             | 615,000.00           | 10/6/2010     | 2.63%       | 4/17/2014     | 649,230.90           | 1.02%             | 7,354.38         | 637,267.92           |
| 31398AXJ6                          | Federal National Mortgage Association  | AA+             | AA+             | 450,000.00           | 11/23/2011    | 2.50%       | 5/15/2014     | 470,106.00           | 0.68%             | 4,250.00         | 466,231.05           |
| 31331JQA4                          | Federal Farm Credit Bureau             | AA+             | AA+             | 825,000.00           | 6/14/2010     | 1.90%       | 6/2/2014      | 822,995.25           | 1.96%             | 5,181.46         | 847,186.73           |
| 3137EACD9                          | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 520,000.00           | 8/5/2009      | 3.00%       | 7/28/2014     | 521,024.40           | 2.96%             | 2,730.00         | 545,049.96           |
| 3137EACD9                          | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 775,000.00           | 8/8/2009      | 3.00%       | 7/28/2014     | 775,406.10           | 2.99%             | 4,068.75         | 812,334.08           |
| 3137EACU1                          | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 250,000.00           | 12/14/2011    | 1.00%       | 7/30/2014     | 252,517.50           | 0.61%             | 423.61           | 253,237.50           |
| 3137EACV9                          | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 250,000.00           | 7/5/2011      | 1.00%       | 8/27/2014     | 249,515.00           | 1.06%             | 236.11           | 253,517.50           |
| 31331GL80                          | Federal Farm Credit Bureau             | AA+             | AA+             | 160,000.00           | 12/4/2009     | 3.00%       | 9/22/2014     | 164,934.40           | 2.32%             | 120.00           | 168,602.56           |



**City of Napa**  
**Quarterly Investment Report - Holdings Report**  
as of September 30, 2012

| CUSIP                                | Description                            | S&P Rating      |                 | Par Value            | Purchase Date | Coupon Rate | Maturity Date | Original Cost        | Yield to Maturity | Accrued Interest  | Market Value         |
|--------------------------------------|--|-----------------|-----------------|----------------------|---------------|-------------|---------------|----------------------|-------------------|-------------------|----------------------|
|                                      |  | FY Quarter 4Q12 | FY Quarter 1Q13 |                      |               |             |               |                      |                   |                   |                      |
| 31331GL80                            | Federal Farm Credit Bureau             | AA+             | AA+             | 285,000.00           | 12/4/2009     | 3.00%       | 9/22/2014     | 293,880.60           | 2.31%             | 213.75            | 300,323.31           |
| 31331GL80                            | Federal Farm Credit Bureau             | AA+             | AA+             | 330,000.00           | 1/7/2010      | 3.00%       | 9/22/2014     | 333,903.90           | 2.73%             | 247.50            | 347,742.78           |
| 31398AZV7                            | Federal National Mortgage Association  | AA+             | AA+             | 255,000.00           | 5/27/2011     | 2.63%       | 11/20/2014    | 266,505.60           | 1.29%             | 2,435.78          | 267,725.27           |
| 31359MA45                            | Federal National Mortgage Association  | AA+             | AA+             | 385,000.00           | 8/29/2011     | 5.00%       | 4/15/2015     | 443,897.30           | 0.72%             | 8,876.39          | 429,966.80           |
| 3135G0KM4                            | Federal National Mortgage Association  | AA+             | AA+             | 890,000.00           | 4/19/2012     | 0.50%       | 5/27/2015     | 887,427.90           | 0.59%             | 1,532.78          | 892,755.44           |
| 3135G0NG4                            | Federal National Mortgage Association  | AA+             | AA+             | 2,300,000.00         | 8/7/2012      | 0.50%       | 8/7/2015      | 2,299,770.00         | 0.50%             | 1,725.00          | 2,298,557.90         |
| 3137EACM9                            | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 220,000.00           | 10/7/2010     | 1.75%       | 9/10/2015     | 222,318.80           | 1.53%             | 224.58            | 228,638.08           |
| 3137EACM9                            | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 1,000,000.00         | 9/9/2011      | 1.75%       | 9/10/2015     | 1,036,030.00         | 0.83%             | 1,020.83          | 1,039,264.00         |
| 3137EACM9                            | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 1,450,000.00         | 9/30/2011     | 1.75%       | 9/10/2015     | 1,494,312.00         | 0.96%             | 1,480.21          | 1,506,932.80         |
| 313370JB5                            | Federal Home Loan Banks                | AA+             | AA+             | 650,000.00           | 8/5/2011      | 1.75%       | 9/11/2015     | 665,496.00           | 1.15%             | 631.94            | 675,578.80           |
| 31398A4M1                            | Federal National Mortgage Association  | AA+             | AA+             | 1,000,000.00         | 9/27/2011     | 1.63%       | 10/26/2015    | 1,027,010.00         | 0.95%             | 6,996.53          | 1,036,557.00         |
| 31331J6C2                            | Federal Farm Credit Bureau             | AA+             | AA+             | 370,000.00           | 3/29/2011     | 2.35%       | 12/22/2015    | 371,339.40           | 2.27%             | 2,391.13          | 392,533.00           |
| 3136FPDC8                            | Federal National Mortgage Association  | AA+             | AA+             | 325,000.00           | 8/25/2011     | 2.00%       | 3/8/2016      | 336,167.00           | 1.22%             | 415.28            | 341,606.53           |
| 3135G0AL7                            | Federal National Mortgage Association  | AA+             | AA+             | 645,000.00           | 7/28/2011     | 2.25%       | 3/15/2016     | 660,848.30           | 1.70%             | 645.00            | 683,116.28           |
| 3135G0BA0                            | Federal National Mortgage Association  | AA+             | AA+             | 650,000.00           | 5/24/2011     | 2.38%       | 4/11/2016     | 659,456.85           | 2.06%             | 7,289.93          | 692,888.95           |
| 3135G0BA0                            | Federal National Mortgage Association  | AA+             | AA+             | 725,000.00           | 7/31/2012     | 2.38%       | 4/11/2016     | 773,038.50           | 0.56%             | 8,131.08          | 772,837.68           |
| 3137EACT4                            | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 635,000.00           | 7/29/2011     | 2.50%       | 5/27/2016     | 656,720.81           | 1.76%             | 5,468.06          | 681,048.30           |
| 3137EACT4                            | Federal Home Loan Mortgage Corporation | AA+             | AA+             | 475,000.00           | 9/10/2012     | 2.50%       | 5/27/2016     | 508,511.25           | 0.58%             | 4,090.28          | 509,445.58           |
| 313373SZ6                            | Federal Home Loan Banks                | AA+             | AA+             | 650,000.00           | 7/29/2011     | 2.13%       | 6/10/2016     | 658,989.50           | 1.83%             | 4,258.85          | 685,802.00           |
| 3135G0ES8                            | Federal National Mortgage Association  | AA+             | AA+             | 1,565,000.00         | 6/7/2012      | 1.38%       | 11/15/2016    | 1,600,431.60         | 0.85%             | 8,129.31          | 1,613,646.46         |
| 3135G0JA2                            | Federal National Mortgage Association  | AA+             | AA+             | 725,000.00           | 8/16/2012     | 1.13%       | 4/27/2017     | 733,678.25           | 0.86%             | 3,489.06          | 738,416.85           |
| 313379DD8                            | Federal Home Loan Banks                | AA+             | AA+             | 800,000.00           | 6/29/2012     | 1.00%       | 6/21/2017     | 803,112.00           | 0.92%             | 2,222.22          | 809,730.40           |
| 3135G0MZ3                            | Federal National Mortgage Association  | AA+             | AA+             | 840,000.00           | 9/10/2012     | 0.88%       | 8/28/2017     | 842,083.20           | 0.82%             | 673.75            | 844,230.24           |
| <b>Total Federal Agencies</b>        |  |                 |                 | <b>27,470,000.00</b> |               |             |               | <b>27,954,158.58</b> | <b>1.05%</b>      | <b>108,085.54</b> | <b>28,256,820.46</b> |
| <b>Certificates of Deposit</b>       |  |                 |                 |                      |               |             |               |                      |                   |                   |                      |
| 85325BQV9                            | Standard Chartered Bank                | A-1+            | A-1+            | 500,000.00           | 9/21/2012     | 0.65%       | 3/18/2013     | 500,000.00           | 0.65%             | 90.28             | 500,029.15           |
| 06417EYU1                            | Bank of Nova Scotia                    | AA-             | AA-             | 500,000.00           | 2/10/2012     | 0.92%       | 2/10/2014     | 500,000.00           | 0.99%             | 623.90            | 501,626.50           |
| 96121TLT3                            | Westpac Bank                           | AA-             | AA-             | 500,000.00           | 2/16/2012     | 1.42%       | 2/14/2014     | 500,000.00           | 1.47%             | 924.67            | 505,125.00           |
| <b>Total Certificates of Deposit</b> |  |                 |                 | <b>1,500,000.00</b>  |               |             |               | <b>1,500,000.00</b>  | <b>1.04%</b>      | <b>1,638.85</b>   | <b>1,506,780.65</b>  |
| <b>Corporate Notes</b>               |  |                 |                 |                      |               |             |               |                      |                   |                   |                      |
| 06406HBK4                            | Bank of New York Mellon                | A+              | A+              | 160,000.00           | 8/29/2008     | 5.13%       | 8/27/2013     | 160,593.60           | 5.04%             | 774.44            | 166,891.20           |
| 46623EJE0                            | JPMorgan Chase                         | A               | A               | 125,000.00           | 1/11/2012     | 2.05%       | 1/24/2014     | 125,357.50           | 1.91%             | 476.91            | 127,209.88           |
| 46623EJE0                            | JPMorgan Chase                         | A               | A               | 140,000.00           | 1/12/2012     | 2.05%       | 1/24/2014     | 140,432.60           | 1.89%             | 534.14            | 142,475.06           |
| 717081AR4                            | Pfizer                                 | AA              | AA              | 225,000.00           | 5/11/2009     | 4.50%       | 2/15/2014     | 236,047.50           | 3.37%             | 1,293.75          | 237,527.78           |
| 717081AR4                            | Pfizer                                 | AA              | AA              | 30,000.00            | 5/21/2009     | 4.50%       | 2/15/2014     | 31,590.00            | 3.28%             | 172.50            | 31,670.37            |
| 14912L4F5                            | Caterpillar Financial                  | A               | A               | 230,000.00           | 5/29/2012     | 6.13%       | 2/17/2014     | 250,562.00           | 0.87%             | 1,721.81          | 247,734.84           |
| 14912L4F5                            | Caterpillar Financial                  | A               | A               | 100,000.00           | 7/3/2012      | 6.13%       | 2/17/2014     | 108,559.00           | 0.80%             | 748.61            | 107,710.80           |
| 24422ERA9                            | Deere & Company                        | A               | A               | 75,000.00            | 3/3/2011      | 1.60%       | 3/3/2014      | 74,925.75            | 1.63%             | 93.33             | 76,195.13            |
| 459200GW5                            | IBM                                    | AA-             | AA-             | 650,000.00           | 5/12/2011     | 1.25%       | 5/12/2014     | 649,389.00           | 1.28%             | 3,137.15          | 658,953.10           |
| 36962G4C5                            | General Electric Capital Corporation   | AA+             | AA+             | 45,000.00            | 8/12/2009     | 5.90%       | 5/13/2014     | 47,779.65            | 4.44%             | 1,017.75          | 48,673.62            |
| 36962G4C5                            | General Electric Capital Corporation   | AA+             | AA+             | 385,000.00           | 8/12/2009     | 5.90%       | 5/13/2014     | 408,327.15           | 4.47%             | 8,707.42          | 416,429.86           |
| 36962G4C5                            | General Electric Capital Corporation   | AA+             | AA+             | 140,000.00           | 9/30/2010     | 5.90%       | 5/13/2014     | 158,544.40           | 2.08%             | 3,166.33          | 151,429.04           |
| 46625HHN3                            | JPMorgan Chase                         | A               | A               | 130,000.00           | 1/9/2012      | 4.65%       | 6/1/2014      | 137,361.90           | 2.21%             | 2,015.00          | 137,795.97           |
| 06406HBZ1                            | Bank of New York Mellon                | A+              | A+              | 260,000.00           | 11/23/2011    | 1.70%       | 11/24/2014    | 259,727.00           | 1.74%             | 1,559.28          | 265,741.58           |



**City of Napa**  
**Quarterly Investment Report - Holdings Report**  
as of September 30, 2012

| CUSIP                            | Description                          | S&P Rating      |                 | Par Value            | Purchase Date | Coupon Rate | Maturity Date | Original Cost        | Yield to Maturity | Accrued Interest  | Market Value         |
|----------------------------------|--------------------------------------|-----------------|-----------------|----------------------|---------------|-------------|---------------|----------------------|-------------------|-------------------|----------------------|
|                                  |                                      | FY Quarter 4Q12 | FY Quarter 1Q13 |                      |               |             |               |                      |                   |                   |                      |
| 713448BM9                        | PepsiCo                              | A-              | A-              | 210,000.00           | 6/10/2010     | 3.10%       | 1/15/2015     | 216,552.00           | 2.38%             | 1,374.33          | 221,728.92           |
| 713448BM9                        | PepsiCo                              | A-              | A-              | 100,000.00           | 6/30/2010     | 3.10%       | 1/15/2015     | 102,363.00           | 2.55%             | 654.44            | 105,585.20           |
| 713448BM9                        | PepsiCo                              | A-              | A-              | 70,000.00            | 10/18/2010    | 3.10%       | 1/15/2015     | 75,110.00            | 1.32%             | 458.11            | 73,909.64            |
| 713448BM9                        | PepsiCo                              | A-              | A-              | 90,000.00            | 10/26/2010    | 3.10%       | 1/15/2015     | 96,694.20            | 1.28%             | 589.00            | 95,026.68            |
| 46625HHP8                        | JPMorgan Chase                       | A               | A               | 210,000.00           | 3/23/2010     | 3.70%       | 1/20/2015     | 212,662.80           | 3.41%             | 1,532.42          | 222,408.69           |
| 46625HHP8                        | JPMorgan Chase                       | A               | A               | 100,000.00           | 3/25/2010     | 3.70%       | 1/20/2015     | 100,810.00           | 3.51%             | 729.72            | 105,908.90           |
| 46625HHP8                        | JPMorgan Chase                       | A               | A               | 165,000.00           | 2/24/2011     | 3.70%       | 1/20/2015     | 169,849.35           | 2.90%             | 1,204.04          | 174,749.69           |
| 084670AV0                        | Berkshire Hathaway                   | AA+             | AA+             | 395,000.00           | 2/11/2010     | 3.20%       | 2/11/2015     | 394,672.15           | 3.22%             | 1,755.56          | 419,002.97           |
| 084670AV0                        | Berkshire Hathaway                   | AA+             | AA+             | 70,000.00            | 6/14/2010     | 3.20%       | 2/11/2015     | 71,690.50            | 2.65%             | 311.11            | 74,253.69            |
| 742718DM8                        | Procter & Gamble                     | AA-             | AA-             | 250,000.00           | 11/18/2010    | 3.50%       | 2/15/2015     | 268,127.50           | 1.72%             | 1,118.06          | 267,451.00           |
| 06406HCC1                        | Bank of New York Mellon              | A+              | A+              | 435,000.00           | 9/18/2012     | 1.20%       | 2/20/2015     | 441,520.65           | 0.58%             | 594.50            | 440,865.54           |
| 002824AX8                        | Abbott Laboratories                  | AA              | AA              | 500,000.00           | 5/17/2011     | 2.70%       | 5/27/2015     | 516,855.00           | 1.83%             | 4,650.00          | 528,811.00           |
| 14912L5D9                        | Caterpillar Financial                | A               | A               | 530,000.00           | 5/30/2012     | 1.10%       | 5/29/2015     | 529,830.40           | 1.11%             | 1,959.53          | 536,436.32           |
| 24422ERV3                        | Deere & Company                      | A               | A               | 350,000.00           | 9/7/2012      | 0.70%       | 9/4/2015      | 349,762.00           | 0.72%             | 163.33            | 350,626.50           |
| 36962G4T8                        | General Electric Capital Corporation | AA+             | AA+             | 640,000.00           | 11/9/2010     | 2.25%       | 11/9/2015     | 639,520.00           | 2.27%             | 5,680.00          | 662,804.48           |
| 742718DS5                        | Procter & Gamble                     | AA-             | AA-             | 150,000.00           | 11/18/2010    | 1.80%       | 11/15/2015    | 148,773.00           | 1.97%             | 1,020.00          | 155,511.45           |
| 931142DC4                        | Wal-Mart Stores                      | AA              | AA              | 300,000.00           | 4/18/2011     | 2.80%       | 4/15/2016     | 298,893.00           | 2.88%             | 3,873.33          | 321,926.70           |
| 478160AY0                        | Johnson & Johnson                    | AAA             | AAA             | 250,000.00           | 5/20/2011     | 2.15%       | 5/15/2016     | 249,237.50           | 2.21%             | 2,030.56          | 263,455.75           |
| 25468PCS3                        | Walt Disney                          | A               | A               | 540,000.00           | 6/14/2012     | 1.13%       | 2/15/2017     | 538,066.80           | 1.20%             | 776.25            | 546,072.30           |
| 25468PCS3                        | Walt Disney                          | A               | A               | 300,000.00           | 6/14/2012     | 1.13%       | 2/15/2017     | 299,442.00           | 1.17%             | 431.25            | 303,373.50           |
| <b>Total Corporate Notes</b>     |                                      |                 |                 | <b>8,350,000.00</b>  |               |             |               | <b>8,509,628.90</b>  | <b>2.04%</b>      | <b>56,323.96</b>  | <b>8,686,347.15</b>  |
| <b>Total LAIF and Securities</b> |                                      |                 |                 | <b>90,059,241.79</b> |               |             |               | <b>91,290,682.57</b> | <b>0.81%</b>      | <b>212,816.17</b> | <b>91,874,216.08</b> |



**City of Napa**  
**Quarterly Investment Report - Maturity Report**  
 as of September 30, 2012

| CUSIP                              | Description                            | S&P Rating | Par Value            | Purchase Date | Coupon Rate | Maturity Date | Original Cost        | Yield to Maturity | Accrued Interest | Market Value         | Days to Maturity |
|------------------------------------|--|------------|----------------------|---------------|-------------|---------------|----------------------|-------------------|------------------|----------------------|------------------|
| <b>LAIF and Money Market</b>       |  |            |                      |               |             |               |                      |                   |                  |                      |                  |
| N/A                                | California Asset Management Trust      | AAAm       | 262,188.84           | 9/30/2012     | 0.24%       | 10/1/2012     | 262,188.84           | 0.24%             | -                | 262,188.84           | 1                |
| N/A                                | Local Agency Investment Fund           | NR         | 40,812,052.95        | 9/30/2012     | 0.35%       | 10/1/2012     | 40,812,052.95        | 0.35%             | -                | 40,812,052.95        | 1                |
| <b>Total LAIF and Money Market</b> |  |            | <b>41,074,241.79</b> |               |             |               | <b>41,074,241.79</b> |                   | <b>-</b>         | <b>41,074,241.79</b> |                  |
| <b>Other</b>                       |  |            |                      |               |             |               |                      |                   |                  |                      |                  |
| 85325BQV9                          | Standard Chartered Bank                | A-1+       | 500,000.00           | 9/21/2012     | 0.65%       | 3/18/2013     | 500,000.00           | 0.65%             | 90.28            | 500,029.15           | 169              |
| 06406HBK4                          | Bank of New York Mellon                | A+         | 160,000.00           | 8/29/2008     | 5.13%       | 8/27/2013     | 160,593.60           | 5.04%             | 774.44           | 166,891.20           | 331              |
| 3135G0EZ2                          | Federal National Mortgage Association  | AA+        | 350,000.00           | 10/26/2011    | 0.41%       | 10/25/2013    | 349,858.57           | 0.35%             | 264.83           | 350,688.45           | 390              |
| 3135G0FG3                          | Federal National Mortgage Association  | AA+        | 400,000.00           | 11/14/2011    | 0.60%       | 11/14/2013    | 400,000.00           | 0.60%             | 913.33           | 400,130.80           | 410              |
| 3133762C8                          | Federal Home Loan Banks                | AA+        | 1,635,000.00         | 11/30/2011    | 0.38%       | 11/27/2013    | 1,632,727.35         | 0.45%             | 2,111.88         | 1,637,864.52         | 423              |
| 3133762C8                          | Federal Home Loan Banks                | AA+        | 280,000.00           | 1/12/2012     | 0.38%       | 11/27/2013    | 280,193.20           | 0.34%             | 361.67           | 280,490.56           | 423              |
| 3137EACZ0                          | Federal Home Loan Mortgage Corporation | AA+        | 900,000.00           | 7/6/2012      | 0.38%       | 11/27/2013    | 900,531.00           | 0.33%             | 1,162.50         | 901,542.60           | 423              |
| 3133XSP93                          | Federal Home Loan Banks                | AA+        | 230,000.00           | 6/29/2011     | 3.13%       | 12/13/2013    | 243,220.40           | 0.76%             | 2,156.25         | 237,983.76           | 439              |
| 31398A5W8                          | Federal National Mortgage Association  | AA+        | 390,000.00           | 6/29/2011     | 0.75%       | 12/18/2013    | 389,980.50           | 0.75%             | 836.88           | 392,589.21           | 444              |
| 31398A5W8                          | Federal National Mortgage Association  | AA+        | 125,000.00           | 8/3/2011      | 0.75%       | 12/18/2013    | 125,370.00           | 0.62%             | 268.23           | 125,829.88           | 444              |
| 31398A5W8                          | Federal National Mortgage Association  | AA+        | 415,000.00           | 6/7/2012      | 0.75%       | 12/18/2013    | 417,734.85           | 0.32%             | 890.52           | 417,755.19           | 444              |
| 3134G3BF6                          | Federal Home Loan Mortgage Corporation | AA+        | 800,000.00           | 12/21/2011    | 0.63%       | 12/23/2013    | 802,312.80           | 0.48%             | 1,361.11         | 803,588.80           | 449              |
| 46623EJE0                          | JPMorgan Chase                         | A          | 125,000.00           | 1/11/2012     | 2.05%       | 1/24/2014     | 125,357.50           | 1.91%             | 476.91           | 127,209.88           | 481              |
| 46623EJE0                          | JPMorgan Chase                         | A          | 140,000.00           | 1/12/2012     | 2.05%       | 1/24/2014     | 140,432.60           | 1.89%             | 534.14           | 142,475.06           | 481              |
| 313376UF0                          | Federal Home Loan Banks                | AA+        | 650,000.00           | 2/6/2012      | 0.38%       | 1/29/2014     | 650,754.00           | 0.32%             | 419.79           | 651,189.50           | 486              |
| 06417EYU1                          | Bank of Nova Scotia                    | AA-        | 500,000.00           | 2/10/2012     | 0.92%       | 2/10/2014     | 500,000.00           | 0.99%             | 623.90           | 501,626.50           | 498              |
| 96121TLT3                          | Westpac Bank                           | AA-        | 500,000.00           | 2/16/2012     | 1.42%       | 2/14/2014     | 500,000.00           | 1.47%             | 924.67           | 505,125.00           | 502              |
| 717081AR4                          | Pfizer                                 | AA         | 225,000.00           | 5/11/2009     | 4.50%       | 2/15/2014     | 236,047.50           | 3.37%             | 1,293.75         | 237,527.78           | 503              |
| 717081AR4                          | Pfizer                                 | AA         | 30,000.00            | 5/21/2009     | 4.50%       | 2/15/2014     | 31,590.00            | 3.28%             | 172.50           | 31,670.37            | 503              |
| 14912L4F5                          | Caterpillar Financial                  | A          | 230,000.00           | 5/29/2012     | 6.13%       | 2/17/2014     | 250,562.00           | 0.87%             | 1,721.81         | 247,734.84           | 505              |
| 14912L4F5                          | Caterpillar Financial                  | A          | 100,000.00           | 7/3/2012      | 6.13%       | 2/17/2014     | 108,559.00           | 0.80%             | 748.61           | 107,710.80           | 505              |
| 3137EACR8                          | Federal Home Loan Mortgage Corporation | AA+        | 280,000.00           | 2/4/2011      | 1.38%       | 2/25/2014     | 280,817.60           | 1.28%             | 385.00           | 284,395.44           | 513              |
| 24422ERA9                          | Deere & Company                        | A          | 75,000.00            | 3/3/2011      | 1.60%       | 3/3/2014      | 74,925.75            | 1.63%             | 93.33            | 76,195.13            | 519              |
| 31331GTJ8                          | Federal Farm Credit Bureau             | AA+        | 615,000.00           | 10/6/2010     | 2.63%       | 4/17/2014     | 649,230.90           | 1.02%             | 7,354.38         | 637,267.92           | 564              |
| 459200GW5                          | IBM                                    | AA-        | 650,000.00           | 5/12/2011     | 1.25%       | 5/12/2014     | 649,389.00           | 1.28%             | 3,137.15         | 658,953.10           | 589              |
| 36962G4C5                          | General Electric Capital Corporation   | AA+        | 45,000.00            | 8/12/2009     | 5.90%       | 5/13/2014     | 47,779.65            | 4.44%             | 1,017.75         | 48,673.62            | 590              |
| 36962G4C5                          | General Electric Capital Corporation   | AA+        | 385,000.00           | 8/12/2009     | 5.90%       | 5/13/2014     | 408,327.15           | 4.47%             | 8,707.42         | 416,429.86           | 590              |
| 36962G4C5                          | General Electric Capital Corporation   | AA+        | 140,000.00           | 9/30/2010     | 5.90%       | 5/13/2014     | 158,544.40           | 2.08%             | 3,166.33         | 151,429.04           | 590              |
| 31398AXJ6                          | Federal National Mortgage Association  | AA+        | 450,000.00           | 11/23/2011    | 2.50%       | 5/15/2014     | 470,106.00           | 0.68%             | 4,250.00         | 466,231.05           | 592              |
| 46625HHN3                          | JPMorgan Chase                         | A          | 130,000.00           | 1/9/2012      | 4.65%       | 6/1/2014      | 137,361.90           | 2.21%             | 2,015.00         | 137,795.97           | 609              |
| 31331JQA4                          | Federal Farm Credit Bureau             | AA+        | 825,000.00           | 6/14/2010     | 1.90%       | 6/2/2014      | 822,995.25           | 1.96%             | 5,181.46         | 847,186.73           | 610              |
| 3137EACD9                          | Federal Home Loan Mortgage Corporation | AA+        | 520,000.00           | 8/5/2009      | 3.00%       | 7/28/2014     | 521,024.40           | 2.96%             | 2,730.00         | 545,049.96           | 666              |
| 3137EACD9                          | Federal Home Loan Mortgage Corporation | AA+        | 775,000.00           | 8/8/2009      | 3.00%       | 7/28/2014     | 775,406.10           | 2.99%             | 4,068.75         | 812,334.08           | 666              |
| 3137EACU1                          | Federal Home Loan Mortgage Corporation | AA+        | 250,000.00           | 12/14/2011    | 1.00%       | 7/30/2014     | 252,517.50           | 0.61%             | 423.61           | 253,237.50           | 668              |
| 912828LC2                          | U.S. Treasury                          | AA+        | 935,000.00           | 10/31/2011    | 2.63%       | 7/31/2014     | 990,223.44           | 0.46%             | 4,135.09         | 975,687.46           | 669              |
| 3137EACV9                          | Federal Home Loan Mortgage Corporation | AA+        | 250,000.00           | 7/5/2011      | 1.00%       | 8/27/2014     | 249,515.00           | 1.06%             | 236.11           | 253,517.50           | 696              |
| 31331GL80                          | Federal Farm Credit Bureau             | AA+        | 160,000.00           | 12/4/2009     | 3.00%       | 9/22/2014     | 164,934.40           | 2.32%             | 120.00           | 168,602.56           | 722              |
| 31331GL80                          | Federal Farm Credit Bureau             | AA+        | 285,000.00           | 12/4/2009     | 3.00%       | 9/22/2014     | 293,880.60           | 2.31%             | 213.75           | 300,323.31           | 722              |



**City of Napa**  
**Quarterly Investment Report - Maturity Report**  
as of September 30, 2012

| CUSIP     | Description                            | S&P Rating | Par Value    | Purchase Date | Coupon Rate | Maturity Date | Original Cost | Yield to Maturity | Accrued Interest | Market Value | Days to Maturity |
|-----------|--|------------|--------------|---------------|-------------|---------------|---------------|-------------------|------------------|--------------|------------------|
| 31331GL80 | Federal Farm Credit Bureau             | AA+        | 330,000.00   | 1/7/2010      | 3.00%       | 9/22/2014     | 333,903.90    | 2.73%             | 247.50           | 347,742.78   | 722              |
| 912828RQ5 | U.S. Treasury                          | AA+        | 1,000,000.00 | 11/30/2011    | 0.38%       | 11/15/2014    | 999,375.00    | 0.40%             | 1,416.44         | 1,002,421.88 | 776              |
| 31398AZV7 | Federal National Mortgage Association  | AA+        | 255,000.00   | 5/27/2011     | 2.63%       | 11/20/2014    | 266,505.60    | 1.29%             | 2,435.78         | 267,725.27   | 781              |
| 06406HBZ1 | Bank of New York Mellon                | A+         | 260,000.00   | 11/23/2011    | 1.70%       | 11/24/2014    | 259,727.00    | 1.74%             | 1,559.28         | 265,741.58   | 785              |
| 713448BM9 | PepsiCo                                | A-         | 210,000.00   | 6/10/2010     | 3.10%       | 1/15/2015     | 216,552.00    | 2.38%             | 1,374.33         | 221,728.92   | 837              |
| 713448BM9 | PepsiCo                                | A-         | 100,000.00   | 6/30/2010     | 3.10%       | 1/15/2015     | 102,363.00    | 2.55%             | 654.44           | 105,585.20   | 837              |
| 713448BM9 | PepsiCo                                | A-         | 70,000.00    | 10/18/2010    | 3.10%       | 1/15/2015     | 75,110.00     | 1.32%             | 458.11           | 73,909.64    | 837              |
| 713448BM9 | PepsiCo                                | A-         | 90,000.00    | 10/26/2010    | 3.10%       | 1/15/2015     | 96,694.20     | 1.28%             | 589.00           | 95,026.68    | 837              |
| 46625HHP8 | JPMorgan Chase                         | A          | 210,000.00   | 3/23/2010     | 3.70%       | 1/20/2015     | 212,662.80    | 3.41%             | 1,532.42         | 222,408.69   | 842              |
| 46625HHP8 | JPMorgan Chase                         | A          | 100,000.00   | 3/25/2010     | 3.70%       | 1/20/2015     | 100,810.00    | 3.51%             | 729.72           | 105,908.90   | 842              |
| 46625HHP8 | JPMorgan Chase                         | A          | 165,000.00   | 2/24/2011     | 3.70%       | 1/20/2015     | 169,849.35    | 2.90%             | 1,204.04         | 174,749.69   | 842              |
| 912828MH0 | U.S. Treasury                          | AA+        | 1,415,000.00 | 1/27/2012     | 2.25%       | 1/31/2015     | 1,497,191.60  | 0.31%             | 5,363.93         | 1,480,002.27 | 853              |
| 912828MH0 | U.S. Treasury                          | AA+        | 785,000.00   | 6/29/2012     | 2.25%       | 1/31/2015     | 822,808.79    | 0.38%             | 2,975.75         | 821,061.33   | 853              |
| 084670AV0 | Berkshire Hathaway                     | AA+        | 395,000.00   | 2/11/2010     | 3.20%       | 2/11/2015     | 394,672.15    | 3.22%             | 1,755.56         | 419,002.97   | 864              |
| 084670AV0 | Berkshire Hathaway                     | AA+        | 70,000.00    | 6/14/2010     | 3.20%       | 2/11/2015     | 71,690.50     | 2.65%             | 311.11           | 74,253.69    | 864              |
| 742718DM8 | Procter & Gamble                       | AA-        | 250,000.00   | 11/18/2010    | 3.50%       | 2/15/2015     | 268,127.50    | 1.72%             | 1,118.06         | 267,451.00   | 868              |
| 06406HCC1 | Bank of New York Mellon                | A+         | 435,000.00   | 9/18/2012     | 1.20%       | 2/20/2015     | 441,520.65    | 0.58%             | 594.50           | 440,865.54   | 873              |
| 912828MR8 | U.S. Treasury                          | AA+        | 100,000.00   | 3/2/2010      | 2.38%       | 2/28/2015     | 100,296.87    | 2.31%             | 203.38           | 105,031.20   | 881              |
| 912828MR8 | U.S. Treasury                          | AA+        | 205,000.00   | 3/30/2010     | 2.38%       | 2/28/2015     | 203,118.17    | 2.57%             | 416.94           | 215,313.96   | 881              |
| 31359MA45 | Federal National Mortgage Association  | AA+        | 385,000.00   | 8/29/2011     | 5.00%       | 4/15/2015     | 443,897.30    | 0.72%             | 8,876.39         | 429,966.80   | 927              |
| 002824AX8 | Abbott Laboratories                    | AA         | 500,000.00   | 5/17/2011     | 2.70%       | 5/27/2015     | 516,855.00    | 1.83%             | 4,650.00         | 528,811.00   | 969              |
| 3135G0KM4 | Federal National Mortgage Association  | AA+        | 890,000.00   | 4/19/2012     | 0.50%       | 5/27/2015     | 887,427.90    | 0.59%             | 1,532.78         | 892,755.44   | 969              |
| 14912L5D9 | Caterpillar Financial                  | A          | 530,000.00   | 5/30/2012     | 1.10%       | 5/29/2015     | 529,830.40    | 1.11%             | 1,959.53         | 536,436.32   | 971              |
| 912828NP1 | U.S. Treasury                          | AA+        | 650,000.00   | 4/7/2011      | 1.75%       | 7/31/2015     | 643,476.79    | 1.99%             | 1,916.44         | 676,406.25   | 1,034            |
| 3135G0NG4 | Federal National Mortgage Association  | AA+        | 2,300,000.00 | 8/7/2012      | 0.50%       | 8/7/2015      | 2,299,770.00  | 0.50%             | 1,725.00         | 2,298,557.90 | 1,041            |
| 24422ERV3 | Deere & Company                        | A          | 350,000.00   | 9/7/2012      | 0.70%       | 9/4/2015      | 349,762.00    | 0.72%             | 163.33           | 350,626.50   | 1,069            |
| 3137EACM9 | Federal Home Loan Mortgage Corporation | AA+        | 220,000.00   | 10/7/2010     | 1.75%       | 9/10/2015     | 222,318.80    | 1.53%             | 224.58           | 228,638.08   | 1,075            |
| 3137EACM9 | Federal Home Loan Mortgage Corporation | AA+        | 1,000,000.00 | 9/9/2011      | 1.75%       | 9/10/2015     | 1,036,030.00  | 0.83%             | 1,020.83         | 1,039,264.00 | 1,075            |
| 3137EACM9 | Federal Home Loan Mortgage Corporation | AA+        | 1,450,000.00 | 9/30/2011     | 1.75%       | 9/10/2015     | 1,494,312.00  | 0.96%             | 1,480.21         | 1,506,932.80 | 1,075            |
| 313370JB5 | Federal Home Loan Banks                | AA+        | 650,000.00   | 8/5/2011      | 1.75%       | 9/11/2015     | 665,496.00    | 1.15%             | 631.94           | 675,578.80   | 1,076            |
| 31398A4M1 | Federal National Mortgage Association  | AA+        | 1,000,000.00 | 9/27/2011     | 1.63%       | 10/26/2015    | 1,027,010.00  | 0.95%             | 6,996.53         | 1,036,557.00 | 1,121            |
| 36962G4T8 | General Electric Capital Corporation   | AA+        | 640,000.00   | 11/9/2010     | 2.25%       | 11/9/2015     | 639,520.00    | 2.27%             | 5,680.00         | 662,804.48   | 1,135            |
| 742718DS5 | Procter & Gamble                       | AA-        | 150,000.00   | 11/18/2010    | 1.80%       | 11/15/2015    | 148,773.00    | 1.97%             | 1,020.00         | 155,511.45   | 1,141            |
| 912828PJ3 | U.S. Treasury                          | AA+        | 200,000.00   | 11/30/2010    | 1.38%       | 11/30/2015    | 198,554.69    | 1.53%             | 924.18           | 206,453.20   | 1,156            |
| 912828PJ3 | U.S. Treasury                          | AA+        | 665,000.00   | 5/19/2011     | 1.38%       | 11/30/2015    | 657,572.93    | 1.63%             | 3,072.90         | 686,456.89   | 1,156            |
| 31331J6C2 | Federal Farm Credit Bureau             | AA+        | 370,000.00   | 3/29/2011     | 2.35%       | 12/22/2015    | 371,339.40    | 2.27%             | 2,391.13         | 392,533.00   | 1,178            |
| 912828PS3 | U.S. Treasury                          | AA+        | 650,000.00   | 5/19/2011     | 2.00%       | 1/31/2016     | 658,711.16    | 1.70%             | 2,190.22         | 685,394.45   | 1,218            |
| 3136FPDC8 | Federal National Mortgage Association  | AA+        | 325,000.00   | 8/25/2011     | 2.00%       | 3/8/2016      | 336,167.00    | 1.22%             | 415.28           | 341,606.53   | 1,255            |
| 3135G0AL7 | Federal National Mortgage Association  | AA+        | 645,000.00   | 7/28/2011     | 2.25%       | 3/15/2016     | 660,848.30    | 1.70%             | 645.00           | 683,116.28   | 1,262            |
| 912828QA1 | U.S. Treasury                          | AA+        | 650,000.00   | 7/28/2011     | 2.25%       | 3/31/2016     | 676,433.82    | 1.35%             | 40.18            | 692,250.00   | 1,278            |
| 3135G0BA0 | Federal National Mortgage Association  | AA+        | 650,000.00   | 5/24/2011     | 2.38%       | 4/11/2016     | 659,456.85    | 2.06%             | 7,289.93         | 692,888.95   | 1,289            |
| 3135G0BA0 | Federal National Mortgage Association  | AA+        | 725,000.00   | 7/31/2012     | 2.38%       | 4/11/2016     | 773,038.50    | 0.56%             | 8,131.08         | 772,837.68   | 1,289            |
| 931142DC4 | Wal-Mart Stores                        | AA         | 300,000.00   | 4/18/2011     | 2.80%       | 4/15/2016     | 298,893.00    | 2.88%             | 3,873.33         | 321,926.70   | 1,293            |
| 478160AY0 | Johnson & Johnson                      | AAA        | 250,000.00   | 5/20/2011     | 2.15%       | 5/15/2016     | 249,237.50    | 2.21%             | 2,030.56         | 263,455.75   | 1,323            |
| 3137EACT4 | Federal Home Loan Mortgage Corporation | AA+        | 635,000.00   | 7/29/2011     | 2.50%       | 5/27/2016     | 656,720.81    | 1.76%             | 5,468.06         | 681,048.30   | 1,335            |



**City of Napa**  
**Quarterly Investment Report - Maturity Report**  
as of September 30, 2012

| CUSIP                            | Description                            | S&P Rating | Par Value            | Purchase Date | Coupon Rate | Maturity Date | Original Cost        | Yield to Maturity | Accrued Interest  | Market Value         | Days to Maturity |
|----------------------------------|--|------------|----------------------|---------------|-------------|---------------|----------------------|-------------------|-------------------|----------------------|------------------|
| 3137EACT4                        | Federal Home Loan Mortgage Corporation | AA+        | 475,000.00           | 9/10/2012     | 2.50%       | 5/27/2016     | 508,511.25           | 0.58%             | 4,090.28          | 509,445.58           | 1,335            |
| 313373SZ6                        | Federal Home Loan Banks                | AA+        | 650,000.00           | 7/29/2011     | 2.13%       | 6/10/2016     | 658,989.50           | 1.83%             | 4,258.85          | 685,802.00           | 1,349            |
| 912828KZ2                        | U.S. Treasury                          | AA+        | 1,500,000.00         | 2/23/2012     | 3.25%       | 6/30/2016     | 1,660,488.28         | 0.75%             | 12,319.97         | 1,657,500.00         | 1,369            |
| 912828LP3                        | U.S. Treasury                          | AA+        | 1,100,000.00         | 11/15/2011    | 3.00%       | 9/30/2016     | 1,209,914.06         | 0.90%             | 90.66             | 1,210,430.10         | 1,461            |
| 912828LU2                        | U.S. Treasury                          | AA+        | 800,000.00           | 7/6/2012      | 3.13%       | 10/31/2016    | 886,343.75           | 0.59%             | 10,461.96         | 885,687.20           | 1,492            |
| 3135G0ES8                        | Federal National Mortgage Association  | AA+        | 1,565,000.00         | 6/7/2012      | 1.38%       | 11/15/2016    | 1,600,431.60         | 0.85%             | 8,129.31          | 1,613,646.46         | 1,507            |
| 25468PCS3                        | Walt Disney                            | A          | 540,000.00           | 6/14/2012     | 1.13%       | 2/15/2017     | 538,066.80           | 1.20%             | 776.25            | 546,072.30           | 1,599            |
| 25468PCS3                        | Walt Disney                            | A          | 300,000.00           | 6/14/2012     | 1.13%       | 2/15/2017     | 299,442.00           | 1.17%             | 431.25            | 303,373.50           | 1,599            |
| 912828SM3                        | U.S. Treasury                          | AA+        | 705,000.00           | 7/31/2012     | 1.00%       | 3/31/2017     | 717,695.51           | 0.61%             | 19.37             | 719,100.00           | 1,643            |
| 3135G0JA2                        | Federal National Mortgage Association  | AA+        | 725,000.00           | 8/16/2012     | 1.13%       | 4/27/2017     | 733,678.25           | 0.86%             | 3,489.06          | 738,416.85           | 1,670            |
| 313379DD8                        | Federal Home Loan Banks                | AA+        | 800,000.00           | 6/29/2012     | 1.00%       | 6/21/2017     | 803,112.00           | 0.92%             | 2,222.22          | 809,730.40           | 1,725            |
| 912828NR7                        | U.S. Treasury                          | AA+        | 305,000.00           | 9/10/2012     | 2.38%       | 7/31/2017     | 330,448.44           | 0.64%             | 1,220.41          | 330,829.84           | 1,765            |
| 3135G0MZ3                        | Federal National Mortgage Association  | AA+        | 840,000.00           | 9/10/2012     | 0.88%       | 8/28/2017     | 842,083.20           | 0.82%             | 673.75            | 844,230.24           | 1,793            |
| <b>Total Other</b>               |  |            | <b>48,985,000.00</b> |               |             |               | <b>50,216,440.78</b> |                   | <b>212,816.17</b> | <b>50,799,974.29</b> |                  |
| <b>Total LAIF and Securities</b> |  |            | <b>90,059,241.79</b> |               |             |               | <b>91,290,682.57</b> |                   | <b>212,816.17</b> | <b>91,874,216.08</b> |                  |

RESOLUTION R2012 77

RESOLUTION OF THE CITY COUNCIL OF THE CITY OF NAPA, STATE OF CALIFORNIA, TO ADOPT AN UPDATE TO THE CITY'S STATEMENT OF INVESTMENT POLICY, AND DELEGATE AUTHORITY TO THE CITY TREASURER TO INVEST FUNDS IN ACCORDANCE WITH THE STATEMENT OF INVESTMENT POLICY

WHEREAS, consistent with California Government Code Section 53646, the City Treasurer annually renders to the City Council a statement of investment policy; and

WHEREAS, consistent with Government Code Section 53607, the City Council annually delegates authority to the City Treasurer to make investments on behalf of the City; and

WHEREAS, the Council appointed the Finance Director to serve as the City Treasurer on October 3, 2006; and

WHEREAS, the City Council has considered all information related to this matter, as presented at the public meetings of the City Council identified herein, including any supporting reports by City staff, and any information provided during public meetings.

NOW, THEREFORE, BE IT RESOLVED, by the City Council of the City of Napa, as follows:

1. The City Council hereby finds that the facts set forth in the recitals to this resolution are true and correct, and establish the factual basis for the City Council's adoption of this resolution.
2. The City Council of the City of Napa, State of California hereby adopts the update of the City's Statement of Investment Policy attached hereby as Exhibit "A".
3. The City Council hereby delegates authority to the City Treasurer to invest funds in accordance with the City's Statement of Investment Policy.
4. This Resolution shall take effect immediately upon its adoption.

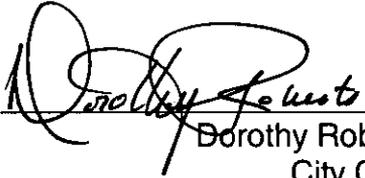
I HEREBY CERTIFY that the foregoing Resolution was duly adopted by the City Council of the City of Napa at a public meeting of said City Council held on the 19<sup>th</sup> day of June, 2012, by the following vote:

AYES: van Gorder, Mott, Inman, Krider, Techel

NOES: None

ABSENT: None

ABSTAIN: None

ATTEST:   
Dorothy Roberts  
City Clerk

Approved as to form:

  
Michael W. Barrett  
City Attorney

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

**1. Policy**

It is the policy of the City of Napa to invest public funds in a manner which will provide maximum security, meet the daily cash flow demands of the City, and provide highest investment return while conforming to all California laws and local statutes governing the investment of public funds.

**2. Scope**

This investment policy applies to all the funds and investment activities under the direct authority of the City of Napa, including that of the Housing Authority of the City of Napa and the Napa Community Redevelopment Agency. Excluded from these funds are the employees' retirement funds which are separately administered and the reserve requirements of certain debt issues which are invested by trustees appointed under indenture agreements. Funds are accounted for in the City's Comprehensive Financial Report and include the following:

- General Fund
- Special Revenue Funds
- Capital Project Funds
- Debt Service Funds
- Enterprise Funds
- Internal Service Funds
- Trust and Agency Funds

**3. Prudence**

All persons authorized to make investment decisions on behalf of the City are trustees and therefore fiduciaries subject to the prudent investor standard: "When investing, reinvesting, purchasing, acquiring, exchanging, selling, or managing public funds, a trustee shall act with care, skill, prudence, and diligence under the circumstances then prevailing, including, but not limited to, the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the agency.

**4. Objective**

The primary objectives in priority order, of the City of Napa's investment activities shall be:

4.1 Safety: Safety of principal is the foremost objective of the investment program. Investments of the City of Napa shall be undertaken in a manner that seeks to ensure that capital losses are avoided, whether from securities default, broker-dealer default, or erosion of market value. To attain this objective, diversification is required in order that potential losses on individual securities do not exceed the income generated from the remainder of the portfolio. The City may elect to sell a security prior to its maturity and record a capital gain or loss in order to improve the quality, liquidity or yield of the portfolio in response to market conditions or the City's risk preferences.

4.2 Liquidity: The City of Napa's investment portfolio will remain sufficiently liquid to enable the City to meet all operating requirements which might be reasonably anticipated.

CITY OF NAPA,  
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June 2012

4.3 Return on Investment: The City of Napa's investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account the City's investment risk constraints and the cash flow characteristics of the portfolio.

### **5. Delegation of Authority**

Pursuant to the City of Napa Municipal Code Section 2.32.030(g), the Finance Director/Treasurer is delegated investment authority and is responsible for investment decisions and activities. Section 53607 of the California Government Code requires that delegation of authority is only valid for a one-year period or until the delegation of the authority is revoked or expires. Authority must be renewed each year. The Treasurer shall establish written procedures for the operation of the investment program consistent with this investment policy. Procedures should include reference to: Safekeeping, master repurchase agreement, wire transfer agreement, collateral/depository agreement and banking service contract. Such procedures shall include explicit delegation of authority to persons responsible for investment transactions. No City personnel may engage in an investment transaction except as provided under the terms of this policy and the procedures established by the Treasurer. He or she shall be responsible for all transactions undertaken and shall establish a system of controls to regulate the activities of subordinate officials. The City may engage the services of one or more external investment managers to assist in the management of the City's investment portfolio in a manner consistent with the City's objectives. Such external managers may be granted discretion to purchase and sell investment securities in accordance with this Investment Policy. Such managers must be registered under the Investment Advisors Act of 1940.

### **6. Ethics and Conflicts of Interest**

Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions. Employees and investment officials shall disclose to the City Manager any material financial interests in financial institutions that conduct business within the jurisdiction, and they shall further disclose any large personal financial/investment positions that could be related to the performance of the City of Napa's portfolio. Employees and officers shall subordinate their personal investment transactions to those of the City's, particularly with regard to the time of purchases and sales.

### **7. Authorized Money Managers, Financial Dealers and Institutions**

The City may contract with professional money managers to assist in the management of all or part of its investment portfolio in compliance with the investment guidelines detailed in "Appendix A".

If the City Treasurer directly invests in individual securities, then the City will maintain a list of financial institutions and primary dealers authorized to provide investment services. Professional money managers working with the City may maintain their own list. "Primary" dealers include those that regularly report to the Federal Reserve Bank and should qualify under Securities and Exchange Commission Rule 15C3-1 (uniform net capital rule).

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

All financial institutions, dealers and cash managers who desire to become qualified bidders for investment transactions must supply the City with the following: audited financial statements, proof of National Association of Security Dealers certification when applicable, trading resolution, proof of State of California registration when applicable, completed questionnaire and certification of having read the City of Napa's investment policy and depository contracts.

A current audited financial statement is required to be on file for each financial institution and dealer.

**8. Authorized Investments**

The City is governed by the California Government Code Sections 53600 et seq. Authorized investments of the City are detailed in Appendix "A" which is made part of this investment policy.

**9. Collateralization**

Collateralization will be required as indicated in Appendix "A". Collateral will always be held by an independent third party with whom the City has a current custodial agreement. A clearly marked evidence of ownership (safekeeping receipt) must be supplied to the city and retained. The right of collateral substitution may be granted.

**10. Safekeeping and Custody**

All securities owned by the City, shall be held in safekeeping by the City's custodian bank or a third party bank trust department, acting as agent for the City under the terms of a custody or trustee agreement executed by the bank and by the City. All securities will be received and delivered using standard delivery-versus-payment (DVP) procedures.

**11. Diversification**

The City will diversify its investments by security type and institution as detailed in Appendix "A".

**12. Maximum Maturities**

Unless matched to a specific cash flow, the City will not directly invest in securities maturing more than 5 years from the date of purchase (See exception indicated in Appendix "A").

**13. Internal Control**

The Treasurer shall establish a system of written internal controls which shall be reviewed by an independent auditor. This review will provide internal control by assuring compliance with policies and procedures. The controls shall be designed to prevent losses of public funds arising from fraud, employee error, misrepresentation of third parties, unanticipated changes in financial markets, or imprudent actions by employees and officers of the city. Controls deemed most important include: control of collusion, separation of duties, separation of transaction authority from accounting and recordkeeping, clear delegation of authority, specific limitations regarding securities losses and remedial action, written confirmation of telephone transactions, minimizing the number of authorized investment officials, documentation of transactions and strategies, and code of ethics standards.

**14. Performance Standards**

The investment portfolio shall be designed to attain a market average rate of return through budgetary and economic cycles, taking into account the investment risk constraints and cash flow needs. The specific investment performance objective for the portfolio shall be to earn a total rate of return over a market cycle which is approximately equal to a market benchmark index. The current benchmark index for the portfolio is the Merrill Lynch U.S. Treasuries/Agencies 1-5 Year Index.

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

**15. Reporting**

Per California Government Code section 53607, the Finance Director/Treasurer shall provide monthly transactions to the City Council.

Per California Government Code section 53646, the Finance Director/Treasurer shall render a quarterly report to the City Council. This report shall include:

- Type of investment, issuer,
- Date of maturity,
- Par and dollar amount invested on all securities,

The quarterly report shall state compliance of the portfolio to the statement of investment policy, or manner in which the portfolio is not in compliance. The quarterly report shall also include a statement denoting the ability of the local agency to meet its pool's expenditure requirements for the next six months, or provide an explanation as to why sufficient money shall, or may, not be available.

Monthly statements generated by the City's contracted investment managers shall provide the following information:

- Type of investment
- Issuer
- Maturity date
- Par and dollar amount invested on all securities
- Market value as of the date of the report and source of valuation

**16. Investment Policy Adoption**

The City of Napa's investment policy shall be adopted by City Council resolution. Any modifications made thereto must be approved by the City Council.

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

ALLOWABLE INVESTMENTS AND ADDITIONAL INVESTMENT GUIDELINES

**A. INVESTMENTS**—all credit and concentration limits shall apply at time of purchase.

**1. U.S. Treasury Securities (bills, notes and bonds)** are sold to finance gaps between the federal government's receipts and expenditures.

A treasury bill (or T-bill) is an obligation of the U.S. government to pay the bearer a fixed sum on a specific date. Bills are sold by the Treasury at a discount from their par (face) value through a competitive auction.

Treasury notes are coupon securities paying interest every six months and have a fixed maturity of not less than one year and not more than 10 years.

Treasury bonds are coupon securities paying interest every six months with maturities of more than 10 years.

California Government Code Section 53601 Requirement: No limit specified:

City of Napa Limitation:

- 1) Maximum maturity - 5 years
- 2) Maximum par value total size - None
- 3) Maximum par value per issue - None
- 4) Credit - Full faith and credit of the Federal Government

**2. U.S. Agency & Government Sponsored Enterprise Securities** are not direct obligations of the United States but rather are direct obligations of agencies of the federal government or government-sponsored enterprises.

Securities issued by U.S. government agencies are backed by the full faith and credit of the U.S. government. They include the following agencies:

- Government National Mortgage Association (GNMA)
- Export-Import Bank (EXIMBANK)
- Small Business Administration (SBAs)
- Farmers Home Administration (FHA)
- General Services Administration (GSA)
- Maritime Administration

The federal government has sponsored the creation of, or the financial support of several corporations, also known as government-sponsored enterprises. None of these organizations carry the federal government guarantee.

They include:

- Federal National Mortgage Association (FNMA)
- Federal Farm Credit Bank (FFCB)
- Federal Home Loan Bank (FHLB)
- Federal Home Loan Mortgage Corporation (FHLMC)
- Tennessee Valley Authority (TVA)

FDIC-guaranteed securities were a new fixed-income asset class in 2008 that resulted from the Federal Depository Insurance Corporation's creation of the Temporary Liquidity Guarantee Program (TLGP). Eligible banking institutions participating in the TLGP Program were able to issue debt guaranteed by the FDIC through 10/31/09. The Program covers commercial paper

CITY OF NAPA,  
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June 2012

ALLOWABLE INVESTMENTS AND ADDITIONAL INVESTMENT GUIDELINES

and corporate debt issued by participating banks and bank holding companies for issues that are greater than 30 days maturity, but maturing on or before 12/31/2012.

California Government Code Section 53601 Requirement: No limit specified.

City of Napa Limitation:

- 1) Maximum maturity - 5 years
- 2) Maximum par value total size - no limitation
- 3) Maximum par value per issue - no limitation
- 4) Credit - Despite having no statutory limitation concerning this category, prudent investment practice necessitates constant analysis of the issuing agency. Although these issues have either the implicit or explicit guarantee of the federal government, market perception often limits the liquidity of these issues.

**3. Bankers acceptances** are typically created from a letter of credit issued in a foreign trade transaction. It is a time draft drawn on and accepted by a bank to pay a specified amount of money on a specified date.

California Government Code Section 53601 Requirement:

- 1) Purchases may not exceed 180 days.
- 2) Purchases are restricted to 40% of the agency's surplus money.
- 3) No more than 30% of the City's surplus money may be invested in the bankers acceptances of any one commercial bank.
- 4) Include only those that are eligible for discounting with the Federal Reserve System.

1) City of Napa Limitation:

- 1) Maximum par value size 30% of portfolio
- 2) 2) Maximum par value per institution – regardless of sector, \$2,000,000 or 5% whichever is lower.
- 3) Credit - financial institutions that shall only include banks that have short-term credit ratings of A-1, P-1 or equivalent ratings from other recognized rating services.

**4. Certificate of Deposit**

**4A. Certificate of Deposit (Time Deposit)** is a time deposit in a financial institution documented by a certificate that bears a specified dollar amount of the deposit, a specified maturity date and a specified interest rate.

California Government Code Section 53635.8 Requirement: No limit specified.

City of Napa Limitation:

- 1) Maximum maturity - 2 years
- 2) Maximum par value total size - No restriction
- 3) Maximum par value per institution - \$500,000
- 4) Credit - from City authorized financial institutions. Collateralization must comply with statutory regulations.

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

ALLOWABLE INVESTMENTS AND ADDITIONAL INVESTMENT GUIDELINES

**4B. Negotiable Certificate of Deposits** are issued by large American banks or savings and loan associations and are traditionally trade in lots of at least \$1,000,000.

California Government Code Section 53601 Requirement: Shall not exceed the net worth of the institution.

City of Napa Limitation:

- 1) Maximum Maturity – 2 years
- 2) Maximum par value total size - 30%
- 3) Maximum par value per institution - \$1,000,000
- 4) Credit - Must be rated A or higher by a nationally recognized statistical-rating organization.

**5. Commercial Paper** are short-term unsecured promissory notes issued by various economic entities in the open market to finance certain short-term credit needs.

California Government Code Section 53601 Requirement:

- 1) Prime quality of the highest ranking or of the highest letter and numerical rating as provided for by nationally recognized statistical-rating organization.
- 2) Issuing corporation must be organized and operating within the United States.
- 3) Issuing corporation must have total assets in excess of five hundred million dollars (\$500,000,000).
- 4) Issuing corporation must have an "A" or higher rating by a nationally recognized statistical-rating organization for the issuer's debt, other than commercial paper.
- 5) Purchases may not exceed 270 days maturity.
- 6) Purchases may not represent more than 10% of the outstanding paper of an issuing corporation.
- 7) Purchases may not exceed 25% of the agency's surplus money.

City of Napa Limitation:

- 1) Maximum maturity - 270 days
- 2) Maximum par value per name - 5% per issuer regardless of sector.
- 3) Credit - CA GC Section 53601 requirements.

**6. Medium Term Notes (MTNs)** issued by corporations organized and operating within the United States.

California Government Code Section 53601 Requirement:

- 1) Maximum of five years maturity
- 2) Shall be rated A or better by a nationally recognized statistical ratings organization.
- 3) May not exceed 30% of surplus money

City of Napa Limitation:

- 1) Maximum par value per issuer – 5%
- 2) Credit – from City authorized institutions that shall only include institutions rated A or higher by a nationally recognized statistical-rating organization. Any downgrading of these issues after purchase shall be reported to the Council in the quarterly reports.

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

ALLOWABLE INVESTMENTS AND ADDITIONAL INVESTMENT GUIDELINES

**7. Local Agency Investment Fund (LAIF)** was established by the State to enable treasurers to place funds in a pool for investments.

City of Napa Limitation: None

LAIF Limitations:

- 1) \$50,000,000 per account
- 2) No more than 15 transactions in a month

**8. A Repurchase Agreement** is not a security but a contractual agreement. It consists of two simultaneous transactions. First, an investor purchases securities (collateral) from a bank or dealer. At the same time, the selling bank or dealer contractually agrees to repurchase the collateral security at the same price (plus interest) at some mutually agreed future date.

California Government Code Section 53601 Requirement:

- 1) Term of repurchase agreements shall be for 1 year or less.
- 2) All securities under a repurchase agreement shall be held by the agency's safekeeping agent.
- 3) The seller of repurchase securities shall not be entitled to substitute securities, except as authorized by the City. New or substitute securities should be reasonably identical to the original securities in terms of maturity, yield, quality and liquidity.

City of Napa Limitation: This investment vehicle, although allowed by the City's policy, is not currently recommended. However, when utilized, the following guidelines will be further followed:

- 1) Maximum maturity - 30 days
- 2) Maximum par value total size - 20%
- 3) Maximum par value per institution - 20%
- 4) Credit -
  - a) Securities shall be marked to market daily and shall be maintained at a value no lower than \$102.
  - b) Securities acceptable as collateral shall be U.S. Treasury obligations only.
  - c) It should be covered by a master repurchase agreement.
- 5) Repurchase agreements shall only be made with primary dealers of the Federal Reserve Bank of New York.

**9. Money market funds** The City is authorized to invest in shares of beneficial interest issued by diversified management companies that are money market funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940 and are subject to either one of the following requirements:

- 1) The institutions shall have the highest rating provided by not less than two nationally recognized rating services.
- 2) The institutions' investment advisors shall be registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience managing money market mutual funds with assets under management in excess of five hundred million dollars (\$500,000,000). The purchase price of shares of beneficial interest purchased shall not include any commission that these companies may charge.

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

ALLOWABLE INVESTMENTS AND ADDITIONAL INVESTMENT GUIDELINES

City of Napa Limitation:

- 1) Maximum par value total size – 20% of agency's funds
- 2) Maximum of 10% per any one money market mutual fund.

**10. California Asset Management Program** The City is authorized to invest in shares of the California Asset Management Program, a joint powers authority established to provide investment services for California public agencies under section 53601(p).

- 1) City of Napa Limitation: None
- 2) CAMP Limitations: City's investment may not comprise more than 10% of the CAMP Pool.

**Other investments not authorized by the City of Napa (with the exception of LAIF and CAMP):**

- 1) Reverse repurchase agreement
- 2) Mutual funds
- 3) Derivatives such as financial futures and options, step-ups, floaters, inverse floaters, collateralized mortgage obligations (CMO's), Interest-only (IOs), Principal-only (POs), forwards, currency and interest rate swaps, caps, floors, collars, STRIPS except those already owned as of 12/31/83), etc.
- 4) Local government investment pools other than LAIF unless specifically approved by the City Council.
- 5) Eurodollar and Yankee CDs
- 6) Federal (Fed) funds.

**B. ADDITIONAL GUIDELINES**

- 1) Adequate liquidity equivalent to six-month expenditures shall be maintained.
- 2) No more than 50% of the overall City portfolio shall mature beyond 2 years.
- 3) Securities shall not be purchased with trading or speculation (such as anticipating an appreciation of capital value through changes in market interest rates) as the dominant criterion for the selection of the security,
- 4) Transfer of funds to any one institution of more than \$5,000,000 should be approved by the Treasurer.
- 5) All new financial institutions or primary dealers not already approved by professional money managers working with the City shall be approved by the Treasurer.
- 6) Trading is prohibited when cash or securities are not available to pay for the securities being purchased. Taking of short position, i.e. selling securities which the City does not own, is also prohibited.
- 7) Written policies and procedures for the delegation of authority for all investment activities shall be strictly followed.
- 8) Written investment procedures shall be strictly followed.
- 9) In case a financial institution or depository is downgraded, the Treasurer shall promptly make and implement an informed decision on whether to sell, withdraw, or retain any security or deposit in the City portfolio issued or held by such affected financial institution or depository.

CITY OF NAPA,  
STATEMENT OF INVESTMENT POLICY  
June 2012

ALLOWABLE INVESTMENTS AND ADDITIONAL INVESTMENT GUIDELINES

- 10) Written policies and procedures for the selection and maintenance of qualified financial institutions should be strictly followed. The Treasurer shall continue to monitor financial institutions' credit characteristics and financial history throughout the period in which City funds are deposited or invested.



# CITY of NAPA

FY 2012-2013

Project Tracking

1<sup>st</sup> Quarter

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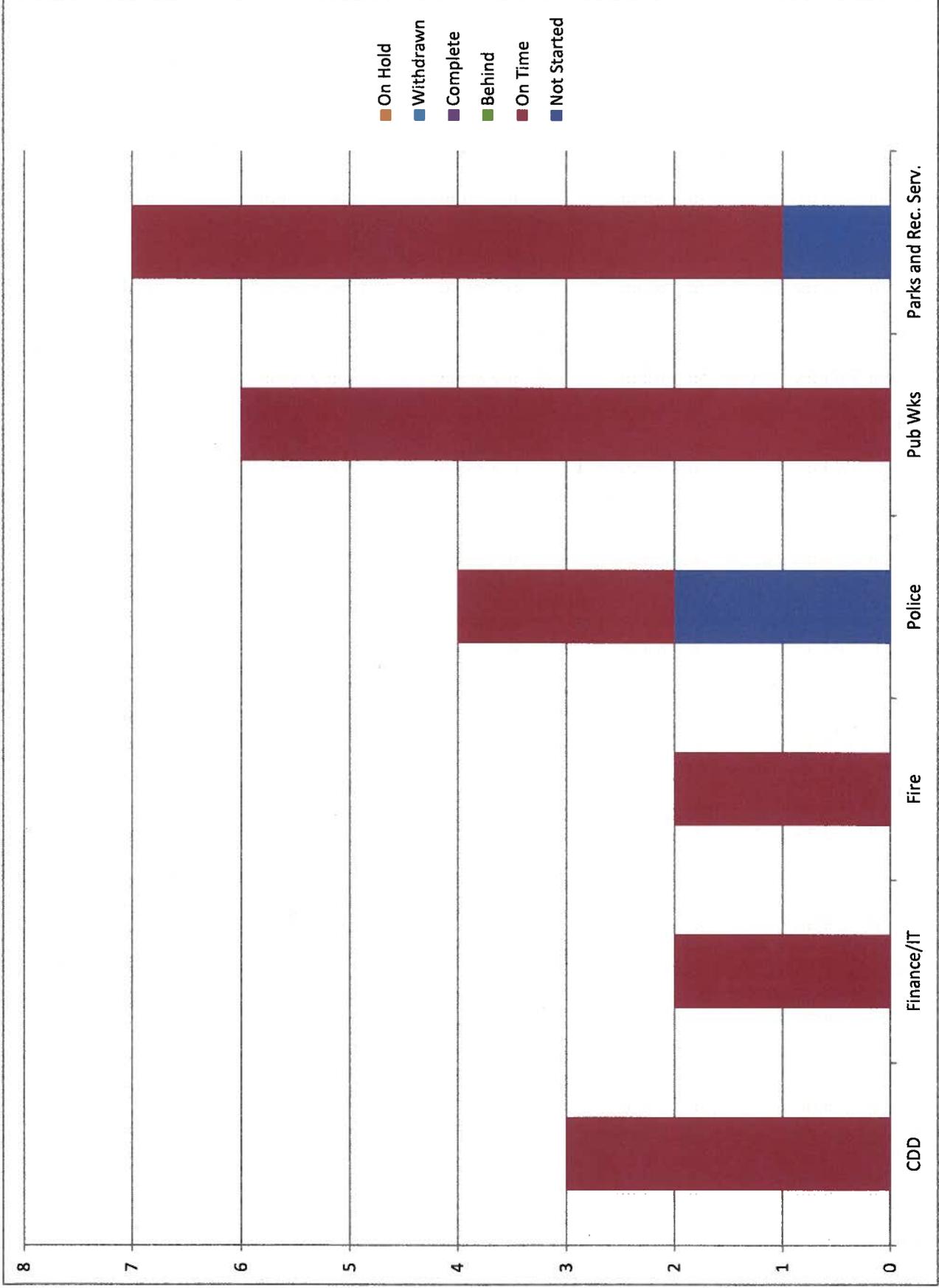
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# Project Status by Department





**CITY of NAPA**

# Project Tracking Summary

by Department

## CDD, Planning

| <u>Project #</u> | <u>Project Title</u>                  | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|---------------------------------------|--------------|---------------|-----------------|-----------------------|
| CDD-00594        | Public Art Master Plan and Guidelines | 2 of 2       | On Time       | 6/30/2013       | Julianne Ward         |
| CDD-00610        | Heritage Napa                         | 4 of 4       | On Time       | 6/30/2013       | Kevin Eberle          |

Total Projects for CDD, Planning: 2

## Finance, Administration

| <u>Project #</u> | <u>Project Title</u>                   | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|--|--------------|---------------|-----------------|-----------------------|
| FIN-00615        | Finance Operations & Procedures Review | 1 of 1       | On Time       | 3/31/2013       | Joe Gray              |

Total Projects for Finance, Administration: 1

## Fire

| <u>Project #</u> | <u>Project Title</u>                               | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|--|--------------|---------------|-----------------|-----------------------|
| FD-00571         | American Medical Response (AMR) Ambulance Contract | 1 of 1       | On Time       | 3/31/2013       | Mike Randolph         |
| FD-00572         | Fire Station 5 Development Plan                    | 1 of 1       | On Time       |                 | Mike Randolph         |

Total Projects for Fire: 2

## Housing

| <u>Project #</u> | <u>Project Title</u>                 | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|--------------------------------------|--------------|---------------|-----------------|-----------------------|
| HSG-00583        | Laurel Manor Phase IV Rehabilitation | 1 of 3       | On Time       | 6/30/2013       | Lark Ferrell          |

Total Projects for Housing: 1



**CITY of NAPA**

# Project Tracking Summary

by Department

## Information Technology

| <u>Project #</u> | <u>Project Title</u>        | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|-----------------------------|--------------|---------------|-----------------|-----------------------|
| IT-00618         | Key IT Projects for FY 2013 | 1 of 1       | On Time       | 6/30/2013       | Scott Nielsen         |

Total Projects for Information Technology: 1

## Police

| <u>Project #</u> | <u>Project Title</u>                               | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|--|--------------|---------------|-----------------|-----------------------|
| PD-00576         | Geographic Neighborhood Policing                   | 1 of 1       | On Time       | 2/1/2013        | Steve Potter          |
| PD-00578         | Analyze & Implement Police Reserve Officer Program | 1 of 1       | Not Started   | 6/30/2013       | Steve Potter          |
| PD-00579         | Analyze & Implement Plan for 311 Non-Emergency No. | 1 of 1       | Not Started   | 6/30/2013       | Shirley Perkins       |
| PD-00580         | Analyze Housing Authority Building for 9-1-1 Ctr.  | 1 of 1       | On Time       | 6/30/2013       | Shirley Perkins       |

Total Projects for Police: 4

## PW, Admin

| <u>Project #</u> | <u>Project Title</u>                          | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|---|--------------|---------------|-----------------|-----------------------|
| PW-00560         | Napa 9/11 Memorial Garden                     | 3 of 3       | On Time       | 6/11/2013       | Whan/Project Team     |
| PW-00563         | Sustainability Plan Implementation            | 1 of 1       | On Time       | 6/29/2013       | Phil Brun             |
| PW-00566         | City Hall - Public Safety Facilities Planning | 2 of 2       | On Time       | 6/30/2013       | Eric Whan             |
| PW-00613         | Downtown Two-Way Street Conversion            | 1 of 1       | On Time       | 6/28/2013       | Eric Whan             |

Total Projects for PW, Admin: 4

## PW, Maintenance

| <u>Project #</u> | <u>Project Title</u> | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|----------------------|--------------|---------------|-----------------|-----------------------|
|------------------|----------------------|--------------|---------------|-----------------|-----------------------|



**CITY of NAPA**

# Project Tracking Summary

by Department

## PW, Maintenance

| <u>Project #</u> | <u>Project Title</u>         | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|------------------------------|--------------|---------------|-----------------|-----------------------|
| PW-00612         | Sidewalk Improvement Program | 2 of 2       | On Time       | 6/30/2013       | Phil Brun             |

Total Projects for PW, Maintenance: 1

## PW, Transportation Engineering

| <u>Project #</u> | <u>Project Title</u> | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|----------------------|--------------|---------------|-----------------|-----------------------|
| PW-00616         | 5-Way Intersection   | 1 of 1       | On Time       | 6/30/2013       | Jason Holley          |

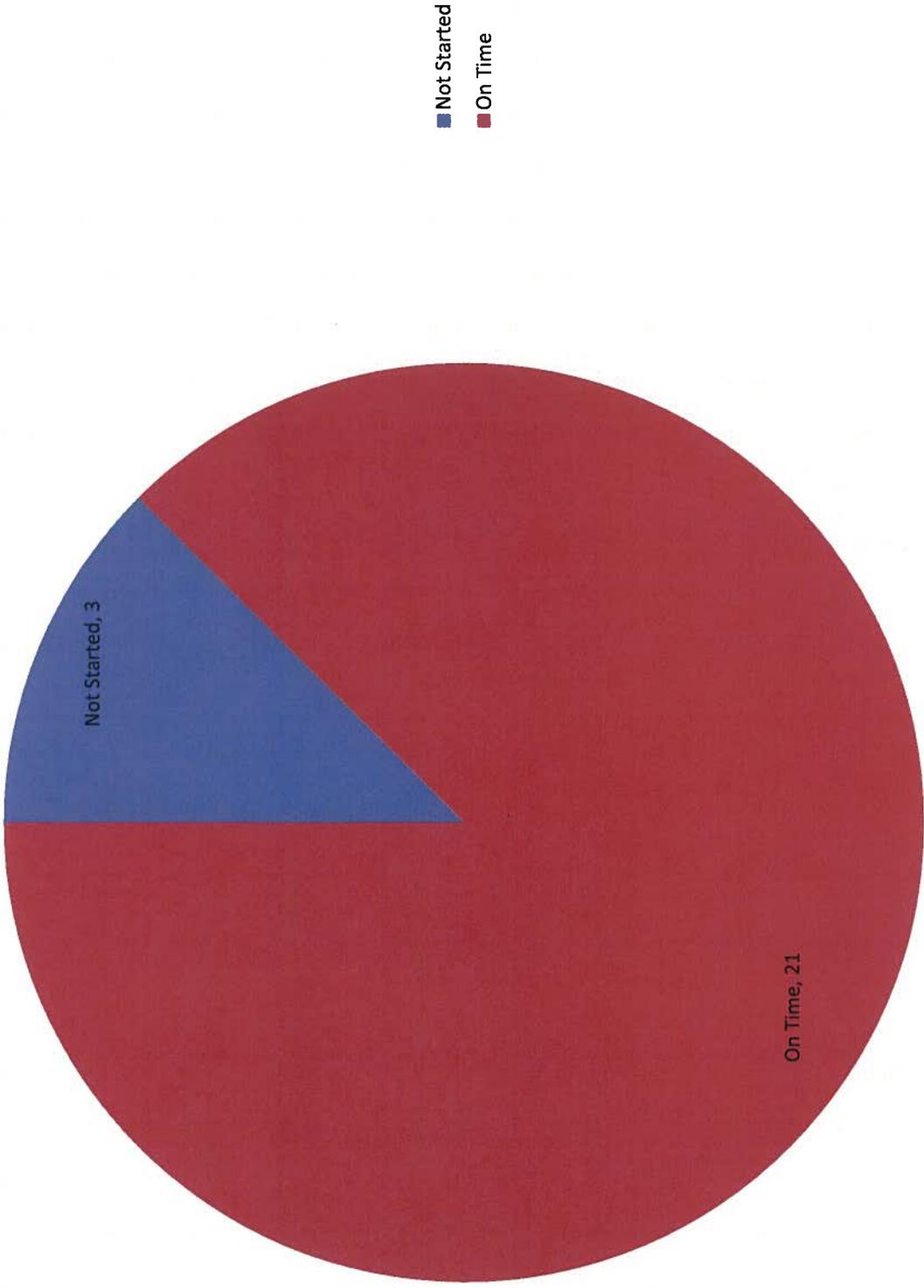
Total Projects for PW, Transportation Engineering: 1

## Recreation

| <u>Project #</u> | <u>Project Title</u>                          | <u>Phase</u> | <u>Status</u> | <u>Due Date</u> | <u>Project Leader</u> |
|------------------|---|--------------|---------------|-----------------|-----------------------|
| REC-00561        | Parking Garage Renovations                    | 1 of 1       | On Time       | 5/30/2013       | Dave Perazzo          |
| REC-00562        | Playground Equipment Replacement              | 2 of 2       | On Time       | 11/4/2012       | Dave Perazzo          |
| REC-00565        | Las Flores Community Center Roof Replacement  | 1 of 1       | On Time       | 6/28/2013       | Dave Perazzo          |
| REC-00573        | RecWare Upgrade- Implementation to Active.Net | 1 of 1       | On Time       | 1/31/2013       | Cindy Bannister       |
| REC-00589        | Skate Board Park Project                      | 1 of 1       | On Time       | 6/30/2013       | L. Mazzuca            |
| REC-00590        | Kennedy Park Master Plan                      | 1 of 1       | Not Started   | 5/21/2013       | L. Mazzuca            |
| REC-00591        | Golf Course Lease/Alternative Use Options     | 1 of 1       | On Time       | 12/11/2012      | Larry Mazzuca         |

Total Projects for Recreation: 7

# Project Summary by Status





**CITY of NAPA**

# Project Tracking Summary

by Project Status

## Not Started

| <u>Project #</u> | <u>Project Title</u>                               | <u>Phase</u> | <u>Due Date</u> | <u>Lead Department</u> | <u>Project Leader</u> |
|------------------|--|--------------|-----------------|------------------------|-----------------------|
| PD-00578         | Analyze & Implement Police Reserve Officer Program | 1 of 1       | 6/30/2013       | Police                 | Steve Potter          |
| PD-00579         | Analyze & Implement Plan for 311 Non-Emergency No. | 1 of 1       | 6/30/2013       | Police                 | Shirley Perkins       |
| REC-00590        | Kennedy Park Master Plan                           | 1 of 1       | 5/21/2013       | Recreation             | L. Mazzuca            |

Total Projects with Not Started Status: 3

## On Time

| <u>Project #</u> | <u>Project Title</u>                              | <u>Phase</u> | <u>Due Date</u> | <u>Lead Department</u> | <u>Project Leader</u> |
|------------------|---|--------------|-----------------|------------------------|-----------------------|
| CDD-00594        | Public Art Master Plan and Guidelines             | 2 of 2       | 6/30/2013       | CDD, Planning          | Julianne Ward         |
| CDD-00610        | Heritage Napa                                     | 4 of 4       | 6/30/2013       | CDD, Planning          | Kevin Eberle          |
| FD-00571         | American Medical Response (AMR) Ambulance Contra  | 1 of 1       | 3/31/2013       | Fire                   | Mike Randolph         |
| FD-00572         | Fire Station 5 Development Plan                   | 1 of 1       |                 | Fire                   | Mike Randolph         |
| FIN-00615        | Finance Operations & Procedures Review            | 1 of 1       | 3/31/2013       | Finance, Administratio | Joe Gray              |
| HSG-00583        | Laurel Manor Phase IV Rehabilitation              | 1 of 3       | 6/30/2013       | Housing                | Lark Ferrell          |
| IT-00618         | Key IT Projects for FY 2013                       | 1 of 1       | 6/30/2013       | Information Technolog  | Scott Nielsen         |
| PD-00576         | Geographic Neighborhood Policing                  | 1 of 1       | 2/1/2013        | Police                 | Steve Potter          |
| PD-00580         | Analyze Housing Authority Building for 9-1-1 Ctr. | 1 of 1       | 6/30/2013       | Police                 | Shirley Perkins       |
| PW-00560         | Napa 9/11 Memorial Garden                         | 3 of 3       | 6/11/2013       | PW, Admin              | Whan/Project Team     |
| PW-00563         | Sustainability Plan Implementation                | 1 of 1       | 6/29/2013       | PW, Admin              | Phil Brun             |
| PW-00566         | City Hall - Public Safety Facilities Planning     | 2 of 2       | 6/30/2013       | PW, Admin              | Eric Whan             |
| PW-00612         | Sidewalk Improvement Program                      | 2 of 2       | 6/30/2013       | PW, Maintenance        | Phil Brun             |



**CITY of NAPA**

# Project Tracking Summary

by Project Status

| <u>On Time</u> | <u>Project #</u> | <u>Project Title</u>                          | <u>Phase</u> | <u>Due Date</u> | <u>Lead Department</u> | <u>Project Leader</u> |
|----------------|------------------|---|--------------|-----------------|------------------------|-----------------------|
|                | PW-00613         | Downtown Two-Way Street Conversion            | 1 of 1       | 6/28/2013       | PW, Admin              | Eric Whan             |
|                | PW-00616         | 5-Way Intersection                            | 1 of 1       | 6/30/2013       | PW, Transportation En  | Jason Holley          |
|                | REC-00561        | Parking Garage Renovations                    | 1 of 1       | 5/30/2013       | Recreation             | Dave Perazzo          |
|                | REC-00562        | Playground Equipment Replacement              | 2 of 2       | 11/4/2012       | Recreation             | Dave Perazzo          |
|                | REC-00565        | Las Flores Community Center Roof Replacement  | 1 of 1       | 6/28/2013       | Recreation             | Dave Perazzo          |
|                | REC-00573        | RecWare Upgrade- Implementation to Active.Net | 1 of 1       | 1/31/2013       | Recreation             | Cindy Bannister       |
|                | REC-00589        | Skate Board Park Project                      | 1 of 1       | 6/30/2013       | Recreation             | L. Mazzuca            |
|                | REC-00591        | Golf Course Lease/Alternative Use Options     | 1 of 1       | 12/11/2012      | Recreation             | Larry Mazzuca         |

Total Projects with On Time Status: 21



**CITY of NAPA**

# Project Tracking Report

|                             |  |                           |           |                       |         |
|-----------------------------|--|---------------------------|-----------|-----------------------|---------|
| <b>Project Priority</b>     | High                                   | <b>Project Number</b>     | FIN-00615 | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | Finance Operations & Procedures Review |                           |           | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>   | 10/1/2012                              | <b>Project Due Date</b>   | 3/31/2013 |                       |         |
| <b>Requested Start Date</b> |  | <b>Requested Due Date</b> |           |                       |         |
| <b>Lead Department</b>      | Finance, Administration                | <b>Project Leader</b>     | Joe Gray  |                       |         |
| <b>Project Budget</b>       | \$40,000                               |                           |           |                       |         |
| <b>Funding Sources</b>      | Finance Admin - Professional Services  |                           |           |                       |         |

**City Manager's Report**     **City Council's Report**

## Project Description

The purpose of the Financial Operations and Procedures Control review is to evaluate and analyze general processes within the City of Napa Finance Department and how they interact with other city departments. The consultant will understand and evaluate transactions and provide an analysis of where the city does not have adequate financial controls in place. A summary report will analyze operations for efficiency, best practices and provide a comparison to other municipalities in the areas of operations and staff size. The financial operating system will also be reviewed for adequacy and recommendations on useful financial reports for senior level management.

The discovery process will include interviews with key finance department staff, key personnel in other departments and consultants as appropriate, to understand major business processes including: disbursement/purchasing, receipts/billing, accounting/reporting, grants and CIP. Key areas to research are centered around job responsibilities; objectives, risks and controls; current business processes and workflow; capabilities of the financial system; perceived strengths and weaknesses in current process; city management's needs related to accounting and budget information; budgetary (non-GAAP) presentation vs. current presentation for end of year balances; and historical problems/concerns.

The consultant will analyze the data received, and then develop findings and recommendations for improvement (including an assessment of financial operations and financial controls). At conclusion, the consultant will meet with city management to present findings and recommendations, which is expected by March 2013.

## Status Update

10/10/2012 - jgray: the consultant has been on site during October conducting interviews and gathering data. Prior to their visit, various documents (eg. The FY11/12 approved budget, Annual Financial Statements, etc.) were provided for their review to provide background and context for their interviews.

## Project Milestones

| <u>Task</u>                     | <u>Department</u>       | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|---------------------------------|-------------------------|-----------------|---------------------|----------------|---------------|
| Review and Provide Data         | Finance, Administration | Joe Gray        | 10 %                | 9/21/2012      | Complete      |
| Conduct Interviews of Key Staff | Finance, Administration | Joe Gray        | 30 %                | 10/19/2012     | On Time       |
| Analyze Data & Interviews       | Finance, Administration | Joe Gray        | 20 %                | 11/30/2012     | Not Started   |
| Report Findings/Recommendations | Finance, Administration | Joe Gray        | 40 %                | 2/28/2013      | Not Started   |

**Project Progress: 10% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

|                             |                             |                           |                       |         |
|-----------------------------|-----------------------------|---------------------------|-----------------------|---------|
| <b>Project Priority</b>     | <b>Project Number</b>       | IT-00618                  | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | Key IT Projects for FY 2013 |                           | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>   | 11/11/2012                  | <b>Project Due Date</b>   | 6/30/2013             |         |
| <b>Requested Start Date</b> |                             | <b>Requested Due Date</b> |                       |         |
| <b>Lead Department</b>      | Information Technology      | <b>Project Leader</b>     | Scott Nielsen         |         |
| <b>Project Budget</b>       | \$1,000,000                 |                           |                       |         |
| <b>Funding Sources</b>      | Various                     |                           |                       |         |

**City Manager's Report**     **City Council's Report**

## Project Description

### Agenda & Records Management System Upgrade:

With the SIRE Server Upgrade to Version 6.5 the organization is afforded the opportunity to look again at how the Agenda Management system was deployed and how it is used within the organization. As a function of the SIRE systems upgrade interviews of users at all levels agenda approval process will be conducted by the Deputy City Clerk and the Systems Administrator for Administrative Services. This user feedback will be used to redeploy and train staff in advance of the upgraded system rollout.

### Computer systems integration between Napa Central Dispatch and Napa County Fire Dispatch:

Annually, Napa 911 Dispatch processes approximately 5000 Emergency Medical Services (EMS) and Fire 911 emergency calls that are dispatched by Cal Fire ECC for the Napa County Fire, St. Helena and Calistoga Fire Departments. Currently most information is shared via telephone between the dispatch centers. InterCAD will provide rapid up to the second information sharing between dispatch centers that will share emergency event information all the way to field unit Mobile Data Computers (MDC's).

InterCAD will also improve emergency response times to EMS/Fire events in these jurisdictions.

I/InterCAD is an Intergraph customized interface that will provide an automated means of sending and receiving incident information between Napa 911 Dispatch Intergraph CAD system and Cal Fire ECC Altaris CAD system. This integration will allow Dispatch staff at either dispatch center to create emergency events and share information between CAD systems.

### Municipal Network Expansion and Enhancement:

Currently the City of Napa and the County of Napa computer data networks and Public Safety Radio systems are connected via 32 copper wires running through a conduit just below the asphalt on 4th street between the Police Department and Napa County Administration. The copper connection is limited in bandwidth and is in danger of damage due to the pending reconfiguration of streets in downtown.

It is time to move beyond connected networks to shared infrastructure. Opportunities exist to eliminate parallel connections to City and County office buildings that will result in cost saving for both agencies.

The municipal network as envisioned is a sharing of City, County, School, and Court infrastructure wherever it is available to connect local government facilities in the most efficient manner possible. Two projects are already under way that begin to build the enhanced data network that will be the backbone of

the future Municipal Network.

1 Project one is the establishment of a new conduit path between the Napa Housing Authority Office at 1115 Seminary and the County Administration Building via Pearl Street. The majority of the path was accomplished through the Napa River Flood Project. The remaining work is being completed via installation of conduit on Pearl St. and Seminary St. Completion of this project is anticipated by October of 2012.

2 Project two is the Lincoln Ave. Signal interconnect. This conduit install from the Napa Corporation Yard to California Ave via Lincoln Ave. will complete a path from the City of Napa Police Department to the City of Napa Corporation Yard. Completion of this project is anticipated by October of 2012.

The City of Napa has taken on the projects listed above because they provided badly needed connectivity to City facilities. Along the path of this new conduit are County, School, and Court facilities that could as well benefit from their use. In order to facilitate the discussion and awareness of opportunities to share infrastructure, Information Technology staff have established a working group of our counter parts within the County, Courts and School District. This group will meet on monthly basis to keep each other aware on new infrastructure projects and needs in an effort to share infrastructure where available.

Online Bidding web portal for City bid processes:

Implement Public Purchase Online Bidding web portal for City bid processes and make available to user departments in order to meet competitive bidding requirements. Additional Online Bidding systems automate complicated processes for bid creation, response and award. Online tools can be accessed and used anytime, anywhere. Online bids can contact all vendors without the need to copy, collate and mail bid documents. Online notifications can also contact current vendors and attract vendors State wide from across the country, decreasing the time and resources necessary for advertising.

Water Utility Billing Application Replacement Request for Proposal:

The City's current water utility billing system was in-house written starting in 1982. The current application though stable lacks any e-government functionality and is costly to maintain. It is long overdue for us to implement this critical function with an updated system that meets our needs to bill and collect our revenue as well as provides improved customer service (i.e. process credit card transactions.)

## **Status Update**

11/6/2012 - snielsen:

Municipal Network - Path development has been completed between Napa Police and County Administration ITS Computer Room. Conduit repair and cleaning scheduled to be complete by end of December.

Dispatch Interconnect - Contracts are in place kick off meeting scheduled for November 2012.

Agenda Management - Sire Server has been built and software is being installed with completion of this phase by end of November.

## Project Milestones

| <u>Task</u>                 | <u>Department</u>      | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|-----------------------------|------------------------|-----------------|---------------------|----------------|---------------|
| Agenda & Records Management | Information Technology | Scott Nielsen   | 25 %                | 3/31/2013      | On Time       |
| Water Utility Billing RFP   | Water                  | Joy Eldredge    | 25 %                | 6/30/2013      | Not Started   |
| Municipal Network           | Information Technology | Scott Nielsen   | 25 %                | 6/30/2013      | On Time       |
| Dispatch Interconnect       | Information Technology | Gus Ulloth      | 25 %                | 6/30/2013      | On Time       |

**Project Progress: 0% of 100% Complete**





**CITY of NAPA**

# Project Tracking Report

**Project Priority** Medium      **Project Number** CDD-00610      **Project Status** On Time  
**Project Title** Heritage Napa      **Phase** 4 of 4  
**Project Start Date** 7/1/2012      **Project Due Date** 6/30/2013  
**Requested Start Date**      **Requested Due Date**  
**Lead Department** CDD, Planning      **Project Leader** Kevin Eberle  
**Project Budget** \$40,000  
**Funding Sources** General fund

**City Manager's Report**     **City Council's Report**

## Project Description

Heritage Napa is a multi-year project started in 2008 to update the City's Historic Resources Inventory and Historic Preservation Ordinance. For FY 2012/13, staff is continuing with Phase 4 of the project which includes updating the Historic Resources Inventory to include new survey data, switching to the State's resource rating system, and amending the Historic Preservation Ordinance.

## Status Update

11/6/2012 - rtooker:

7/15/2012 - keberle: Draft document completed. Met with City Attorney. Working on second draft.

## Project Milestones

| <u>Task</u>                            | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|--|-------------------|-----------------|---------------------|----------------|---------------|
| Update Inventory to include new data   | CDD, Planning     | Kevin Eberle    | 20 %                | 2/1/2013       | On Time       |
| Revise Historic Preservation Ordinance | CDD, Planning     | Kevin Eberle    | 60 %                | 4/1/2013       | On Time       |
| Switch to State resource rating system | CDD, Planning     | Kevin Eberle    | 20 %                | 4/1/2013       | On Time       |

**Project Progress: 0% of 100% Complete**







**CITY of NAPA**

# Project Tracking Report

|                             |   |                           |              |                       |         |
|-----------------------------|---|---------------------------|--------------|-----------------------|---------|
| <b>Project Priority</b>     | High                                    | <b>Project Number</b>     | HSG-00583    | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | Laurel Manor Phase IV Rehabilitation    |                           |              | <b>Phase</b>          | 1 of 3  |
| <b>Project Start Date</b>   | 7/1/2012                                | <b>Project Due Date</b>   | 6/30/2013    |                       |         |
| <b>Requested Start Date</b> |   | <b>Requested Due Date</b> |              |                       |         |
| <b>Lead Department</b>      | Housing                                 | <b>Project Leader</b>     | Lark Ferrell |                       |         |
| <b>Project Budget</b>       | \$2,700,000                             |                           |              |                       |         |
| <b>Funding Sources</b>      | CDBG Rehab Ln Fnd & Laurel Mnr Cap Fund |                           |              |                       |         |

**City Manager's Report**     **City Council's Report**

## Project Description

The Laurel Manor Phase IV Rehabilitation Project will fully renovate Laurel Manor, the 50-unit senior apartment complex owned by the City of Napa Housing Authority. The rehabilitation will be undertaken in seven consecutive phases over the next three fiscal years. This will minimize the cost and impact of temporarily relocating the residents. The scope of work will include both exterior improvements, including installing more water efficient landscaping, and interior improvements, including window replacement and kitchen and bath updating. Clubhouse renovations will include converting the existing restroom to a single restroom that meets ADA requirements. Work will commence with a community meeting this fall.

Fiscal Year 2012/13 work will include completion of renovations on the first group of eight units and hiring a landscape architect to develop landscape and drainage plans.

During Fiscal Year 2013/14, renovations will continue with work being completed on an estimated 29 additional units. Tenants will be temporarily relocated and work completed on the next three phases of renovation. A new drainage system will be installed.

During Fiscal Year 2014/15, tenants will be temporarily relocated, and work will be completed on the final three phases of renovation of units. Exterior lighting, concrete work, patios, fencing, exterior painting of all buildings, clubhouse renovations, and landscaping will also be completed.

## Status Update

10/26/2012 - lferrell: Community meeting was held at Laurel Manor on October 25, 2012. The residents in attendance were enthusiastic about the proposed renovations and had lots of questions. Staff passed out a survey to obtain additional feedback.

10/5/2012 - lferrell: Staff has begun setting up a community meeting to discuss the renovation project with the tenants. The meeting will be held in October.

## Project Milestones

| <u>Task</u>                             | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|---|-------------------|-----------------|---------------------|----------------|---------------|
| Community meeting to kick off project   | Housing           | Lark Ferrell    | 5 %                 | 10/31/2012     | Complete      |
| Bid package prepared                    | Housing           | Joe Wiencek     | 20 %                | 12/31/2012     | Not Started   |
| RFP for landscape architect             | Housing           | Joe Wiencek     | 10 %                | 1/31/2013      | Not Started   |
| Bids solicited for 1st phase of 8 units | Housing           | Joe Wiencek     | 10 %                | 1/31/2013      | Not Started   |
| Agreement signed w/ landscape architect | Housing           | Joe Wiencek     | 10 %                | 2/28/2013      | Not Started   |
| Agreement signed with contractor        | Housing           | Joe Wiencek     | 10 %                | 3/31/2013      | Not Started   |
| Begin remodel of 1st eight units        | Housing           | Joe Wiencek     | 10 %                | 4/30/2013      | Not Started   |
| Complete remodel of 1st eight units     | Housing           | Joe Wiencek     | 25 %                | 6/30/2013      | Not Started   |

**Project Progress: 5% of 100% Complete**





**CITY of NAPA**

# Project Tracking Report

**Project Priority** High                      **Project Number** REC-00562                      **Project Status** On Time  
**Project Title** Playground Equipment Replacement                      **Phase** 2 of 2  
**Project Start Date** 7/1/2012                      **Project Due Date** 11/4/2012  
**Requested Start Date**                      **Requested Due Date**  
**Lead Department** Recreation                      **Project Leader** Dave Perazzo  
**Project Budget** \$760,000  
**Funding Sources** Park Quadrant Funds

**City Manager's Report**     **City Council's Report**

## Project Description

This is a carryover project from the FY 2011-12 CIP. The project will replace aging playground equipment in 11 City parks. The equipment and surfacing no longer meets the State of California standards. Playground locations were chosen from a priority list related to age, condition of existing equipment and use of area. Upgrades will assure these areas are in compliance with State standards and ADA accessibility. The City has entered into a CMAS agreement with the manufacturer for the specific type of equipment and lowest and best possible bid. The design and bidding has been completed. Replacement of two locations are community build and have been scheduled for the third and final installation.

## Status Update

10/12/2012 - dperazzo: the following 10 park playgrounds have been installed and opened to the public. Dry Creek, Klamath, Valley, Las Flores, Beckworth, Montclair, Norfolk, Tallac, Sequoia and Playground Fantastico. The playground at Fairview Park is set for a community build with help from the Kiwanis Club on November 2-3.

8/20/2012 - dperazzo: Delivery of equipment for first 5 playgrounds was received today. Play area at Dry Creek Park was closed in preparation of demolition this week.

## Project Milestones

| <u>Task</u>  | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|--------------|-------------------|-----------------|---------------------|----------------|---------------|
| Construction | Recreation        | Dave Perazzo    | 100 %               | 11/4/2012      | On Time       |

**Project Progress: 0% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

|                             |                          |                           |            |                       |         |
|-----------------------------|--------------------------|---------------------------|------------|-----------------------|---------|
| <b>Project Priority</b>     | Medium                   | <b>Project Number</b>     | REC-00589  | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | Skate Board Park Project |                           |            | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>   | 9/1/2012                 | <b>Project Due Date</b>   | 6/30/2013  |                       |         |
| <b>Requested Start Date</b> |                          | <b>Requested Due Date</b> |            |                       |         |
| <b>Lead Department</b>      | Recreation               | <b>Project Leader</b>     | L. Mazzuca |                       |         |
| <b>Project Budget</b>       | \$1,400,000              |                           |            |                       |         |
| <b>Funding Sources</b>      | Quadrant Funds           |                           |            |                       |         |

City Manager's Report     City Council's Report

## Project Description

Design and construction of a new skate board park facility. Includes site selection, design and build. Department, with input and involvement from the community, users, Parks and Recreation Commission and staff will present a preferred project site and design to the City Council for approval. Project will begin in September 2012 and be completed by the end of June 2013. A skate board park design firm will be selected to assist staff in developing the preferred site selection. Staff will use an RFP to select the best qualified design firms. Members of the community, Parks and Recreation Commission, skate board park users and staff will participate in a panel interview to select the most qualified design firm.

While the City will not limit its site selection to only city owned properties, selection of city owned property is preferred as land costs could drive up the project cost, thus reducing the actual amount of project funds that can be used for the project. If city owned property is selected as the preferred site, remaining project funds can be used to expand the existing project and include additional and necessary park amenities.

## Status Update

10/12/2012 - Imazzuca: The Feasibility Study and Design RFP have been combined as a single effort since the last update. This was done to ensure "fairness" when selecting a design firm. Staff wants to make sure that the firm selected to conduct the Feasibility Study doesn't get an unfair advantage if that firm were to also demonstrate interest in designing the skate park. The design RFP is remains scheduled to be released towards the end of November.

9/7/2012 - Imazzuca: Staff is in discussions with a skate park design firm to develop the Feasibility Study.

## Project Milestones

| <u>Task</u>                              | <u>Department</u> | <u>Assigned</u>  | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|--|-------------------|------------------|---------------------|----------------|---------------|
| Develop feasibility study/site selection | Recreation        | Larry Mazzuca    | 5 %                 | 10/20/2012     | On Time       |
| Design firm selection process            | Recreation        | Larry Mazzuca    | 15 %                | 11/20/2012     | Not Started   |
| Project design                           | PW, Engineering   | Andrilla/Perazzo | 25 %                | 3/30/2013      | Not Started   |
| Project construction                     | PW, Engineering   | Andrilla/Perazzo | 50 %                | 6/5/2013       | Not Started   |
| Project closeout                         | Recreation        | Dave Perazzo     | 5 %                 | 6/30/2013      | Not Started   |

**Project Progress: 0% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

**Project Priority** Medium      **Project Number** REC-00590      **Project Status** Not Started  
**Project Title** Kennedy Park Master Plan      **Phase** 1 of 1  
**Project Start Date** 12/7/2012      **Project Due Date** 5/21/2013  
**Requested Start Date**      **Requested Due Date**  
**Lead Department** Recreation      **Project Leader** L. Mazzuca  
**Project Budget** \$90,000  
**Funding Sources** Quadrant Funds

**City Manager's Report**     **City Council's Report**

## Project Description

Development of a Site Master Plan for Kennedy Park. The City's Park and Recreation Facilities Park Master Plan has placed a high priority for the design of future recreation elements at this park. Approximately 40% of the park is currently undeveloped. The City's Parks and Recreation Facilities Master Plan states that future city developed recreation elements should be designed for the unmet space needs at Kennedy Park.

This project will focus on determining where future unmet recreational facility needs will need to be located. Unmet recreational facility needs are prioritized in the City's Park and Facilities Master Plan and were determined by a process that included input from residents and local sports groups and organizations.

## Status Update

10/12/2012 - Imazzuca: No change. This project is not scheduled to begin until early 2013.

9/7/2012 - Imazzuca: Not started.

## Project Milestones

| <u>Task</u>                              | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|--|-------------------|-----------------|---------------------|----------------|---------------|
| RFP, Firm Interview/Selection/Recommend. | Recreation        | L. Mazzuca      | 25 %                | 1/16/2013      | Not Started   |
| Public outreach meetings                 | Recreation        | L. Mazzuca      | 25 %                | 2/22/2013      | Not Started   |
| Draft MP to commission/council           | Recreation        | L. Mazzuca      | 30 %                | 4/16/2013      | Not Started   |
| Final MP to city council adoption        | Recreation        | L. Mazzuca      | 20 %                | 5/21/2013      | Not Started   |

**Project Progress: 0% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

|                             |   |                           |                 |                       |         |
|-----------------------------|---|---------------------------|-----------------|-----------------------|---------|
| <b>Project Priority</b>     | High  | <b>Project Number</b>     | REC-00573       | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | RecWare Upgrade- Implementation to Active.Net |                           |                 | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>   | 7/1/2012                                      | <b>Project Due Date</b>   | 1/31/2013       |                       |         |
| <b>Requested Start Date</b> |   | <b>Requested Due Date</b> |                 |                       |         |
| <b>Lead Department</b>      | Recreation                                    | <b>Project Leader</b>     | Cindy Bannister |                       |         |
| <b>Project Budget</b>       | \$25,000                                      |                           |                 |                       |         |
| <b>Funding Sources</b>      | General Fund                                  |                           |                 |                       |         |

City Manager's Report     City Council's Report

## Project Description

Under supervision and direction of Scott Nielsen, Information Technology Manager, replace current RecWare Safari software program with web-based Active.Net software program. Both products are owned by the ActiveNetwork and are considered an upgrade to our current product. By changing to a web-based program, the ActiveNetwork will assume the responsibility to maintain servers, provide the highest level of security for credit card processing and the management of personal information, and overall future upgrades and maintenance of the software. This will reduce the demands on the City's IT Department and provide additional staff capacity for other tasks and projects.

RecWare is no longer supported by the ActiveNetwork. To motivate the City of Napa to upgrade during FY 12/13, the ActiveNetwork offered a number of financial incentives including the waiver of RecWare software maintenance fees for FY 11/12 and 12/13. This results in a \$26,000 savings to the General Fund that can be re-directed to cover the City's costs of implementation.

Once the upgrade is fully implemented, customers using the online product will see an improved platform for viewing and registering for recreation programs. Staff will see improved performance, streamlined report generation, added functionality and increased ease of use. Part of the implementation includes having new capabilities to load city GIS information to help attain accurate addresses and provide facility location information. There is also a financial download component that is stated to streamline staff time for transferring revenue information directly from the software into the City's financial program.

Currently, software maintenance fees are charged by the ActiveNetwork as an annual flat rate, based on the number of licenses. The transition to the Active.Net program results in maintenance charges assessed for a per-transaction fee instead of the flat fee. However, as part of the incentives offered by the ActiveNetwork to upgrade, our new fees will be fixed for the first two year period and will be similar to the software expenses currently budgeted in the operating budget of Parks and Recreation.

## Status Update

10/12/2012 - cbannister: Staff training and system set up began on October 1st, 2012 and continues on a schedule through November 2nd. One of the major changes with implementation is that the new

software will be set-up to match the city's modified accrual method of financial recordkeeping. This change will also result in an automated "upload" of financial data from the department transactions directly into the financial software. Staff from the Finance Department have been participating in these discussions and set-up.

The project remains on schedule for a public "go live" date in mid-January 2013.

### **Project Milestones**

| <b><u>Task</u></b>                    | <b><u>Department</u></b> | <b><u>Assigned</u></b> | <b><u>Contribution</u></b> | <b><u>DueDate</u></b> | <b><u>Status</u></b> |
|---------------------------------------|--------------------------|------------------------|----------------------------|-----------------------|----------------------|
| Technical Assessment and Review       | Information Technology   | Scott Nielsen          | 5 %                        | 7/1/2012              | Complete             |
| Negotiating and Executing Contract    | Information Technology   | Scott Nielsen          | 5 %                        | 7/1/2012              | Complete             |
| Finalize Implementation Plan          | Parks and Recreation     | Cindy Bannister        | 5 %                        | 9/1/2012              | Complete             |
| Data Entry- Go Live For Winter/Spring | Parks and Recreation     | Cindy Bannister        | 15 %                       | 11/30/2012            | Not Started          |
| Software set-up, training, testing    | Parks and Recreation     | Cindy Bannister        | 50 %                       | 11/30/2012            | On Time              |
| Community Outreach                    | Parks and Recreation     | Cindy Bannister        | 5 %                        | 1/15/2013             | Not Started          |
| Go Live Tasks                         | Parks and Recreation     | Cindy Bannister        | 10 %                       | 1/25/2013             | On Time              |
| Debrief and follow-up                 | Parks and Recreation     | Cindy Bannister        | 5 %                        | 2/28/2013             | Not Started          |

**Project Progress: 15% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

**Project Priority** High      **Project Number** REC-00591      **Project Status** On Time  
**Project Title** Golf Course Lease/Alternative Use Options      **Phase** 1 of 1  
**Project Start Date** 8/1/2012      **Project Due Date** 12/11/2012  
**Requested Start Date** 8/1/2012      **Requested Due Date** 12/11/2012  
**Lead Department** Recreation      **Project Leader** Larry Mazzuca  
**Project Budget** \$0  
**Funding Sources** Not Required

**City Manager's Report**     **City Council's Report**

## Project Description

Negotiate a lease agreement with CourseCo, Inc. for the Napa Golf Course at Kennedy Park. If unsuccessful, provide the City Council with alternative use options for the NGC.

## Status Update

10/12/2012 - lmazzuca: The process of developing a Lease Agreement with CourseCo remains on time with a staff presentation to the City Council scheduled for November 20, 2012.

9/7/2012 - lmazzuca: Staff is in the process of drafting a lease agreement with CourseCo for the Napa Golf Course for golf, food and beverage operations.

## Project Milestones

| <u>Task</u>                              | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|--|-------------------|-----------------|---------------------|----------------|---------------|
| Draft discussion points with CourseCo    | Recreation        | Larry Mazzuca   | 20%                 | 8/17/2012      | Complete      |
| City Manager/Attorney review draft lease | City Attorney     | M. Barrett      | 40%                 | 10/29/2012     | On Time       |
| Make changes to draft lease              | Recreation        | Larry Mazzuca   | 20%                 | 11/12/2012     | Not Started   |
| Final CM and CA review                   | City Attorney     | L. Mazzuca      | 10%                 | 11/23/2012     | Not Started   |
| Present lease to CC for Approval         | Recreation        | Larry Mazzuca   | 10%                 | 12/11/2012     | Not Started   |

**Project Progress: 20% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

**Project Priority** High                      **Project Number** REC-00565                      **Project Status** On Time  
**Project Title** Las Flores Community Center Roof Replacement                      **Phase** 1 of 1  
**Project Start Date** 10/1/2012                      **Project Due Date** 6/28/2013  
**Requested Start Date**                      **Requested Due Date**  
**Lead Department** Recreation                      **Project Leader** Dave Perazzo  
**Project Budget**  
**Funding Sources** Las Flores Fund

**City Manager's Report**     **City Council's Report**

## Project Description

This project will address issues related to water penetration and damage due to insufficient insulation and ventilation of the roof at the Las Flores Community Center. Condensation buildup from exposed fasteners and lack of an adequate vapor barrier has caused damage to existing insulation and the interior ceiling. The project will remove and replace the existing metal outer roof and damaged insulation. A new vented ridge and standing seam metal roof system along with insulation and vapor barrier will be installed.

## Status Update

10/12/2012 - dperazzo: PRSD and PW staff are currently working with a consultant on design for this project

## Project Milestones

| <u>Task</u>  | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|--------------|-------------------|-----------------|---------------------|----------------|---------------|
| Design       | Recreation        | Dave Perazzo    | 15 %                | 12/31/2012     | On Time       |
| Bidding      | Recreation        | Dave Perazzo    | 15 %                | 3/1/2013       | Not Started   |
| Construction | Recreation        | Dave Perazzo    | 70 %                | 6/28/2013      | Not Started   |

**Project Progress: 0% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

|                             |                                  |                           |              |                       |         |
|-----------------------------|----------------------------------|---------------------------|--------------|-----------------------|---------|
| <b>Project Priority</b>     |                                  | <b>Project Number</b>     | PD-00576     | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | Geographic Neighborhood Policing |                           |              | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>   | 7/1/2012                         | <b>Project Due Date</b>   | 2/1/2013     |                       |         |
| <b>Requested Start Date</b> |                                  | <b>Requested Due Date</b> |              |                       |         |
| <b>Lead Department</b>      | Police                           | <b>Project Leader</b>     | Steve Potter |                       |         |
| <b>Project Budget</b>       | \$0                              |                           |              |                       |         |

## Funding Sources

City Manager's Report     City Council's Report

## Project Description

The purpose of this project is to transition the Police Patrol Bureau to a Geographic Neighborhood Policing model. This change will be used to address quality of life as well as crime issues. The concept of this project is to encourage the established neighborhoods in Napa to address their self-recognized issues and to improve access to the various governmental, private and for-profit organizations that can best address their various concerns. We also believe that a neighborhood focus and better access to Police services will increase interaction between community members and Officers and will help citizens to seek out appropriate non-Police resources. It is understood that issues affecting one area of town are not necessarily the same that affect the other areas of town. To do this we will:

- \* Establish a web-based neighborhood map that allows community members to directly contact the Officers assigned to their neighborhood. The Officers will then have a better opportunity to share information and address concerns affecting any given neighborhood.
- \* Establish a link that provides community members a list of frequently used federal, state, county, city, non-profit and for-profit organizations. We believe that by providing this information directly to members of the community this will improve customer service and reduce non-emergency calls to the 911 emergency center.
- \* Officers will be assigned to work specific neighborhoods for one-year deployment periods. This will allow for more consistent community member/Officer interaction through direct contact and community meetings.
- \* Neighborhood residents will be encouraged to interact with their neighbors to heighten awareness, security and address issues in their infancy.

## Status Update

10/9/2012 - spotter: Sgt. Hunter continues to address milestones and is on time thus far. She has developed the community survey and is awaiting feedback from other affected departments and organizations.

## Project Milestones

| <u>Task</u>                           | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|---------------------------------------|-------------------|-----------------|---------------------|----------------|---------------|
| Review/Develop Crime Analysis reports | Police            | Steve Potter    | 30 %                | 12/31/2012     | Not Started   |
| Conduct Community Survey              | Police            | Steve Potter    | 20 %                | 12/31/2012     | On Time       |
| Establish a list/line of Resources    | Police            | Steve Potter    | 10 %                | 12/31/2012     | On Time       |
| Begin Neighborhood meetings           | Police            | Steve Potter    | 10 %                | 1/31/2013      | Not Started   |
| Train Department Staff                | Police            | Steve Potter    | 30 %                | 1/31/2013      | Not Started   |

**Project Progress: 0% of 100% Complete**









**CITY of NAPA**

# Project Tracking Report

|                             |                              |                           |              |                       |         |
|-----------------------------|------------------------------|---------------------------|--------------|-----------------------|---------|
| <b>Project Priority</b>     | High                         | <b>Project Number</b>     | PW-00616     | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | 5-Way Intersection           |                           |              | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>   | 7/1/2012                     | <b>Project Due Date</b>   | 6/30/2013    |                       |         |
| <b>Requested Start Date</b> |                              | <b>Requested Due Date</b> |              |                       |         |
| <b>Lead Department</b>      | PW, Transportation Engineeri | <b>Project Leader</b>     | Jason Holley |                       |         |
| <b>Project Budget</b>       | \$2,053,000                  |                           |              |                       |         |
| <b>Funding Sources</b>      | SIF, Developers, Caltrans    |                           |              |                       |         |

City Manager's Report     City Council's Report

## Project Description

As identified in the Soscol Gateway Implementation Plan (2005), the project involves modifying the intersection to improve level of service. This may include widening, travel lane reconfiguration, and signal modification.

In addition to typical engineering, environmental review, and construction phases, the project will include property acquisition, Caltrans design approval and permitting, and significant stakeholder outreach. This highly complex project will take several years to design a preferred alternative and complete construction.

The tasks in FY12/13 will surround the preparation of Project Initiation Documents (PID). Approval of PIDs is the first step in the Caltrans approval process. This will require a Council appropriation of funds and the selection of a consultant through a competitive RFP process.

## Status Update

10/12/2012 - jholley: City has accumulated special mitigation fees from various private developers towards improvements at this intersection as mitigation for traffic impacts. Staff has begun to research the existing right-of-way boundaries and is exploring various options for preliminary roadway plan lines and lane configuration. Notably, one such option that will be analyzed includes the elimination of the south-bound approach from East Avenue for all movements (west-bound Third Street, south-bound Silverado Trail and east-bound Coombsville Road) except for the right-turn movement onto north-bound Silverado Trail.

## Project Milestones

| <u>Task</u>           | <u>Department</u>        | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|-----------------------|--------------------------|-----------------|---------------------|----------------|---------------|
| Request appropriation | PW, Transportation Engin | Jason Holley    | 25 %                | 1/30/2013      | Not Started   |
| Prepare RFP           | PW, Transportation Engin | Jason Holley    | 50 %                | 4/30/2013      | Not Started   |
| Select consultant     | PW, Transportation Engin | Jason Holley    | 25 %                | 6/30/2013      | Not Started   |

**Project Progress: 0% of 100% Complete**





**CITY of NAPA**

# Project Tracking Report

|                             |   |                           |                       |         |
|-----------------------------|---|---------------------------|-----------------------|---------|
| <b>Project Priority</b>     | <b>Project Number</b>                         | PW-00566                  | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | City Hall - Public Safety Facilities Planning |                           | <b>Phase</b>          | 2 of 2  |
| <b>Project Start Date</b>   | 7/2/2012                                      | <b>Project Due Date</b>   | 6/30/2013             |         |
| <b>Requested Start Date</b> |   | <b>Requested Due Date</b> |                       |         |
| <b>Lead Department</b>      | PW, Admin                                     | <b>Project Leader</b>     | Eric Whan             |         |
| <b>Project Budget</b>       | \$120,000                                     |                           |                       |         |
| <b>Funding Sources</b>      | General Fund                                  |                           |                       |         |

City Manager's Report     City Council's Report

## Project Description

Following the 2009 Napa Consolidated City Hall and Asset Analysis Study effort and recent efforts to explore a consolidated City-County Center last year, three options have emerged for further consideration and evaluation. These include the "Do Nothing" status quo approach, construct a new City Hall, or purchase of an existing building or development site. The goal is to consolidate current outlying City departments, including CDD and Public Works (CSB Building), Parks & Recreation, Housing, Water and Human Resources with current City Hall administrative facilities on one site. Short-term and long-term needs as well as service delivery with respect to condition, age and overall function of City Hall and other facilities must be considered. The study will include an updated economic evaluation of City-owned downtown property assets and potential market value. This will provide information that the City can use to move forward in developing a preferred approach.

Evaluation of potential consolidation and relocation of Fire Station #1 and Police Department off the City Hall block is already underway. This would free up the entire City Hall block which in turn provides greater options as part of the overall facilities analysis. The Public Safety Feasibility Study would determine the current and future space needs of both Police and Fire and look into programming a new joint facility at the existing CSB Building site located off of First Street and a combination of sites. This project was initiated as part of the City-County Center concept in FY11-12.

## Status Update

10/12/2012 - ewhan: Further direction provided to consultant to refine draft final report recommendations on Building Site Program. Delivery is expected later this year and will include a cost estimate and recommended building square footages.

8/7/2012 - mhinkle: Project consultant revising scope and deliverables to reflect changes in project approach in order to reduce overall building footprint and construction costs. New programmatic approach is to place core public safety operations in the downtown site and relocate non downtown operations to other facilities in the community.

## Project Milestones

| <u>Task</u>                             | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|---|-------------------|-----------------|---------------------|----------------|---------------|
| Public Safety Building Program          | PW, Admin         | Whan/LaRochelle | 10 %                | 10/1/2012      | On Time       |
| Public Safety Cost Estimating           | PW, Admin         | Whan/LaRochelle | 15 %                | 11/1/2012      | On Time       |
| Public Safety Final Program             | PW, Admin         | Whan/LaRochelle | 25 %                | 12/31/2012     | On Time       |
| CH-Developmt of Consolidation Scenarios | PW, Admin         | Whan/LaRochelle | 10 %                | 1/25/2013      | On Time       |
| CH-Economic Valuation of City Assets    | PW, Admin         | Whan/LaRochelle | 20 %                | 3/29/2013      | Not Started   |
| CH-Valuation Report                     | PW, Admin         | Whan/LaRochelle | 20 %                | 6/30/2013      | Not Started   |

**Project Progress: 0% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

|                             |                                    |                           |           |                       |         |
|-----------------------------|------------------------------------|---------------------------|-----------|-----------------------|---------|
| <b>Project Priority</b>     | High                               | <b>Project Number</b>     | PW-00613  | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | Downtown Two-Way Street Conversion |                           |           | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>   | 10/4/2012                          | <b>Project Due Date</b>   | 6/28/2013 |                       |         |
| <b>Requested Start Date</b> |                                    | <b>Requested Due Date</b> |           |                       |         |
| <b>Lead Department</b>      | PW, Admin                          | <b>Project Leader</b>     | Eric Whan |                       |         |
| <b>Project Budget</b>       | \$900,000                          |                           |           |                       |         |
| <b>Funding Sources</b>      | General Fund & PBID                |                           |           |                       |         |

City Manager's Report     City Council's Report

## Project Description

The Downtown Specific Plan was adopted in May 2012. One of the outcomes of the Specific Plan was the goal to convert the east-west one-way streets in Downtown to two-way. In an effort to achieve that goal, the Public Works Department analyzed each street to assess what changes would be necessary to accommodate the reconfiguration of the Downtown street circulation pattern. Implementation of the conversion will require the completion of many tasks such as: sign replacement, removal or reconfiguration; minor roadway widening; installation of ADA accessible curb ramps; changes to traffic signage; relocation of crosswalks; changes in roadway striping; changes to on-street parking; relocation of storm drain facilities; addition or reconfiguration of left-turn or right-turn pockets; grinding and repaving/resurfacing of road surfaces; reconfiguration of medians and other improvements.

The process will be implemented in two phases. Phase 1 will be First and Second Streets, and Phase 2 will be Third and Fourth Streets. Phase 1 will be further divided with First Street improvements occurring first and Second Street improvements following. It is anticipated that this process will be completed in late 2013.

Each phase will require a coordinated effort not only for the installation of the improvements and reconfigurations, but with regard to the logistics of each improvement element so that it can be accomplished with as little disruption to traffic flow and with as much communication and outreach to downtown merchants and residents as possible.

## Status Update

10/12/2012 - jward: The overall scope of the project has been defined and basic layouts at each location that will be modified have been completed. Efforts are underway to determine material costs and crew hours needed to complete each task. Next steps include further development of an implementation schedule and community outreach plan.

## Project Milestones

| <u>Task</u>                         | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|-------------------------------------|-------------------|-----------------|---------------------|----------------|---------------|
| Project Scoping                     | PW, Engineering   | Eric Whan       | 5 %                 | 10/19/2012     | Complete      |
| Design Development                  | PW, Engineering   | Eric Whan       | 10 %                | 11/16/2012     | On Time       |
| Cost Estimating                     | PW, Engineering   | Eric Whan       | 5 %                 | 11/30/2012     | On Time       |
| Implementation Schedule Development | PW, Engineering   | Eric Whan       | 5 %                 | 12/14/2012     | Not Started   |
| Phase 1A                            | PW, Engineering   | Eric Whan       | 75 %                | 6/28/2013      | Not Started   |

**Project Progress: 5% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

|                             |                                     |                           |           |                       |         |
|-----------------------------|-------------------------------------|---------------------------|-----------|-----------------------|---------|
| <b>Project Priority</b>     | High                                | <b>Project Number</b>     | PW-00612  | <b>Project Status</b> | On Time |
| <b>Project Title</b>        | Sidewalk Improvement Program        |                           |           | <b>Phase</b>          | 2 of 2  |
| <b>Project Start Date</b>   | 7/1/2012                            | <b>Project Due Date</b>   | 6/30/2013 |                       |         |
| <b>Requested Start Date</b> |                                     | <b>Requested Due Date</b> |           |                       |         |
| <b>Lead Department</b>      | PW, Maintenance                     | <b>Project Leader</b>     | Phil Brun |                       |         |
| <b>Project Budget</b>       | \$1,335,584                         |                           |           |                       |         |
| <b>Funding Sources</b>      | General Fund CIP, Gas Tax, and CDBG |                           |           |                       |         |

City Manager's Report     City Council's Report

## Project Description

The Sidewalk Improvement Program consists of a dedicated City crew of street and tree maintenance staff aimed at addressing deteriorated, damaged, and dangerous concrete issues in the City. The crews will replace damaged curb, gutter, and sidewalk and install handicap accessible sidewalk ramps at intersections. 1,200 cubic-yards of concrete will be installed annually. Crews will focus their efforts in the neighborhoods where 10-mile paving is being done so we "complete" the neighborhood in terms of streets and sidewalks. Neighborhoods scheduled for this year include MAC Streets, Young area, Twin Oaks area (west side), and Robinson Lane area.

The program will also complete sidewalk and ADA ramps in CDBG eligible areas. Sidewalk improvements on Central Avenue from Jefferson to Yajome and work in the ABC streets is scheduled this year. Some work in the CDBG areas will be completed by outside contractors.

Additionally, the program will address maintenance needs in other areas of the City for liability claims, tree damage, drainage issues, and other priority repairs.

The program requires integrated coordination and performance from the Parks and Recreation Department to address tree issues associated with concrete repairs. Additionally, the Engineering Division of Public Works is providing design services to identify scope of work.

## Status Update

10/1/2012 - pbrun: The MAC Street area is complete. ADA ramps are nearly complete in the Young area and crews are working on sidewalk and curb repairs.

Total Production in First Quarter:

ADA Ramps = 24  
 Curb and Gutter = 700 feet  
 Sidewalk = 500 feet  
 Tree Removal and Replacement = 42

Total Concrete = 270 cubic yards

### Project Milestones

| <u>Task</u>                         | <u>Department</u> | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|-------------------------------------|-------------------|-----------------|---------------------|----------------|---------------|
| MAC Streets                         | PW, Maintenance   | Jeff Folks      | 15 %                | 9/30/2012      | Complete      |
| Young Area                          | PW, Maintenance   | Jeff Folks      | 20 %                | 11/16/2012     | On Time       |
| Robinson Area                       | PW, Maintenance   | Jeff Folks      | 15 %                | 1/30/2013      | Not Started   |
| Twin Oaks Area                      | PW, Maintenance   | Jeff Folks      | 20 %                | 4/30/2013      | Not Started   |
| Maintenance in Other Areas of City  | PW, Maintenance   | Jeff Folks      | 10 %                | 6/30/2013      | On Time       |
| ABC Streets - CDBG work             | PW, Maintenance   | Jeff Folks      | 10 %                | 6/30/2013      | Not Started   |
| Central Avenue Sidewalk - CDBG work | PW, Maintenance   | Jeff Folks      | 10 %                | 6/30/2013      | Not Started   |

**Project Progress: 15% of 100% Complete**



**CITY of NAPA**

# Project Tracking Report

|  |  |                           |           |                       |         |
|--|--|---------------------------|-----------|-----------------------|---------|
| <b>Project Priority</b>  | Medium                                   | <b>Project Number</b>     | PW-00563  | <b>Project Status</b> | On Time |
| <b>Project Title</b>   | Sustainability Plan Implementation       |                           |           | <b>Phase</b>          | 1 of 1  |
| <b>Project Start Date</b>  | 9/10/2012                                | <b>Project Due Date</b>   | 6/29/2013 |                       |         |
| <b>Requested Start Date</b>  |  | <b>Requested Due Date</b> |           |                       |         |
| <b>Lead Department</b>   | PW, Admin                                | <b>Project Leader</b>     | Phil Brun |                       |         |
| <b>Project Budget</b>  | \$0                                      |                           |           |                       |         |
| <b>Funding Sources</b>   | General Fund, Materials Diversion, Fleet |                           |           |                       |         |
| <input type="checkbox"/> <b>City Manager's Report</b> <input checked="" type="checkbox"/> <b>City Council's Report</b> |  |                           |           |                       |         |

## Project Description

City Council adopted the Sustainability Plan on July 24, 2012. Staff has identified five (5) actions from the City Government section of the Sustainability Plan to implement in FY12/13. The target areas and associated actions include the following:

### Energy Reduction

1. LED Streetlights - Replace 4,600 high pressure sodium streetlights with LED's. Seek California Energy Commission Loan to fund program using energy cost savings to pay loan payments.

### Vehicle Miles Traveled and Fuel Reduction

1. Commuter Challenge - Promote staff participation in the Napa Commute Challenge sponsored by the Solano-Napa Commuter Information Network.
2. Anti-Idling Policy - Develop, implement, and provide training for City vehicle policy.
3. EV Charging Stations - Identify options, costs, and potential funding sources for electric vehicles and/or plug-in hybrid vehicles in the City's fleet and electric vehicle charging stations at the Corporation Yard and/or in City parking garages or other locations.

### Waste Diversion

1. Implement Sustainable Purchasing Policy - Determine and prioritize products and services to be purchased per the policy.

Additionally, Staff identified the need to participate in the plastic bag reduction initiative in the Community Sustainability Plan section. A staff liaison will be assigned to the community group CanDo which is exploring options for a plastic bag ban. The Staff liaison will be tasked with developing an assessment of the options and risks/rewards associated with a plastic bag ban and will report findings to City Council.

Implementation of each of these action plans will utilize staff currently funded in their respective Departments, therefore the project budget is shown as \$0. However, costs for construction, outside consultants, or other expenses are not currently budgeted and would require grant/loan funding or

consideration for funding in the next budget cycle.

## **Status Update**

10/2/2012 - pbrun:

**Plastic Bag Assessment** - The City's Sustainability Coordinator, Andrea Fox, attended several meetings with CanDo and began preparing an assessment of a potential plastic bag ban in the City. Andrea resigned from the City effective September 7, 2012. Staff is attempting to fill the vacancy for the remainder of the limited term position thru June 30, 2013. Existing staff is not available to pick-up Andrea's involvement with CanDo, therefore, this action is delayed.

**LED Streetlight Upgrades** - The City applied for a loan from the California Energy Commission and expects the loan to be approved in October. Staff has ordered demo LED's from two leading manufacturers to test various wattages in the field to ensure proper sizing of the new lights. Staff expects to complete testing in November. An RFP for a turn-key project to design and install LED's is expected to be complete in December.

**Anti-Idling Policy** - A draft anti-idling policy document has been created. While attending the Green Fleet Conference, the City's Fleet Manager networked with several other agencies that had either planned or existing anti-idling policies. A comparison of policies will be made, and any features that would benefit our own policy will be incorporated. Fleet is looking at some new technologies, also discovered during attendance at the Green Fleet Conference, which will facilitate a reduction in idling in some of our more serious idlers.

**City Staff Commute Challenge** - The City registered for Napa Green Commute Challenge in August 2012 to allow our employees to participate. We have also registered for the Emergency Ride Home Program which is a support program offered to assist commuters with reimbursement for alternative transportation in emergencies. The Napa Green Commute Challenge promotion began in early September; information has been posted on the City's internal web site ICON, posters and brochures were distributed to all work locations for physical posting, and representatives from NCTPA attended the City Employee Picnic on September 28. The Commute Challenge takes place from September thru November 2012, we will continue to promote throughout the Challenge time frame.

**Sustainable Purchasing Implementation** - The sustainable purchasing team is working with a consultant, the Responsible Purchasing Network, to develop guidelines on products identified by the team as priority items that provide both environmental and economic sustainability opportunities. Specifically the identified products are remanufactured toner and recycled toner and recycled paper/overall paper usage reduction. Once a Sustainability Coordinator is hired that person will be able to further assist in this process.

## Project Milestones

| <u>Task</u>                           | <u>Department</u>       | <u>Assigned</u> | <u>Contribution</u> | <u>DueDate</u> | <u>Status</u> |
|---------------------------------------|-------------------------|-----------------|---------------------|----------------|---------------|
| Plastic Bag Assessment                | PW, Materials Diversion |                 | 20 %                | 12/3/2012      | Behind        |
| City Staff Commuter Challenge         | Human Resources         | Kay Pollard     | 15 %                | 12/3/2012      | On Time       |
| Anti-Idling Policy for City Vehicles  | Fleet                   | Chris Burgeson  | 10 %                | 2/28/2013      | On Time       |
| Explore Electric Vehicles             | Fleet                   | Chris Burgeson  | 15 %                | 6/30/2013      | Not Started   |
| Sustainable Purchasing Implementation | Finance, Purchasing     | Ann Mehta       | 20 %                | 6/30/2013      | On Time       |
| LED Streetlight Upgrades              | PW, Maintenance         | Phil Brun       | 20 %                | 6/30/2013      | On Time       |

**Project Progress: 0% of 100% Complete**



# CITY of NAPA

## FY 2012-2013 Capital Improvement Projects 1<sup>st</sup> Quarter

| <b>Project</b>                                      | <b>Page #</b> |
|---|---------------|
| ○ Big Ranch Road Widening Project                   | 89            |
| ○ China Point Overlook Project                      | 90            |
| ○ Fire Station No. 1 Seismic Retrofit Project       | 91            |
| ○ Main Street Boat Dock Project                     | 92            |
| ○ Napa Creek Box Culverts and Flood Terrace Project | 93            |
| ○ Napa River Dredging Project                       | 94            |
| ○ Saratoga Drive Extension Project                  | 95            |

# CAPITAL IMPROVEMENT PROJECT STATUS REPORT

## **BIG RANCH ROAD WIDENING PROJECT PROJECT NO. ST11PW02**

### **PROJECT DESCRIPTION:**

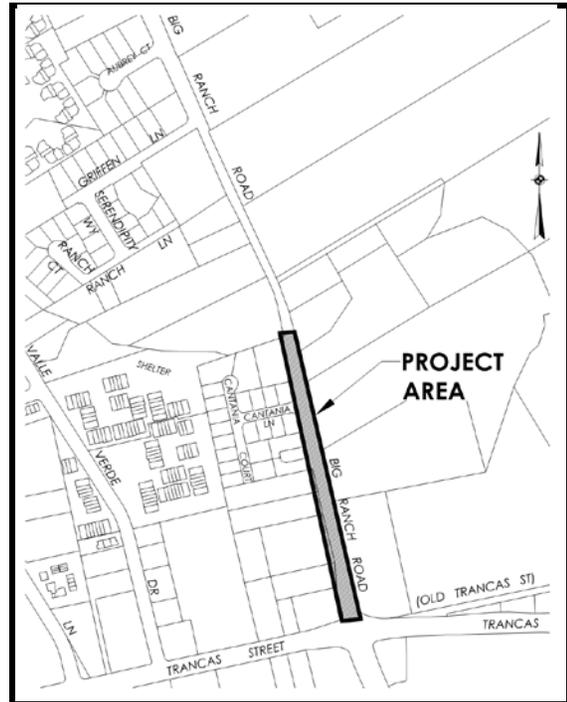
The Big Ranch Road Widening Project will provide four lanes of vehicular traffic on Big Ranch Road between Trancas Street and Salvador Creek.

### **PROJECT MANAGEMENT:**

Mark P. Andrilla, Senior Civil Engineer  
Public Works Department - Engineering Division

### **PROJECT STATUS:**

A preliminary design was developed by a consulting engineer pursuant to a development requirement. The road widening requires the acquisition of a strip of land between 20 and 25 feet in width west of the existing right-of-way, across four parcels. A total of \$1,807,000 has been appropriated from the Big Ranch Road Specific Plan Fee Fund to obtain the necessary right-of-way, complete the design, and construct the project. A contract with Riechers Spence Associates to complete the design is underway and is approximately 85% complete. Completion of design is scheduled for the spring of 2013. Right-of-way acquisition documents were completed in January 2012.



### **PROJECT SCHEDULE:**

|              | Q1   |     |     | Q2  |     |     | Q3   |     |     | Q4  |     |     |
|--------------|------|-----|-----|-----|-----|-----|------|-----|-----|-----|-----|-----|
|              | 2012 |     |     |     |     |     | 2013 |     |     |     |     |     |
|              | Jul  | Aug | Sep | Oct | Nov | Dec | Jan  | Feb | Mar | Apr | May | Jun |
| Design       |      |     | 82% |     |     |     |      |     |     |     |     |     |
| Bid & Award  |      |     |     |     |     |     |      |     |     |     |     |     |
| Construction |      |     |     |     |     |     |      |     |     |     |     |     |

### **BUDGET STATUS:**

PROJECT BUDGET: \$1,807,000

BUDGET EXPENDED TO DATE: Approximately \$64,000 was spent on the design prior to 2011, and approximately \$79,000 has been spent to date on the design and preparing right-of-way documents since January 2011.

# CAPITAL IMPROVEMENT PROJECT STATUS REPORT

## CHINA POINT OVERLOOK PROJECT PK06RA03

### PROJECT DESCRIPTION:

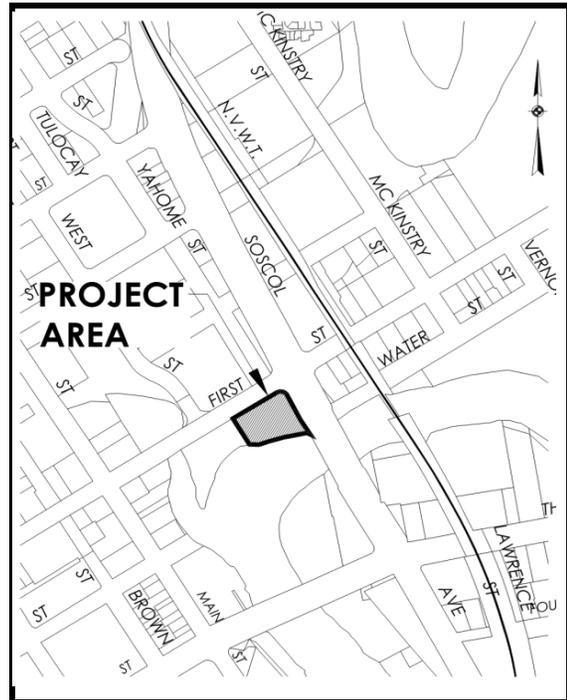
The China Point Overlook Project consists of the development of a park site located at the southwest corner of First Street and Soscol Avenue.

### PROJECT MANAGEMENT:

Mike Socorro, Junior Engineer  
Public Works Department, Engineering Division

### PROJECT STATUS:

The project is in the design phase. It is being designed for the Napa Redevelopment Agency by Gretchen Stranzl McCann Landscape Architects (GSM). Due to the project's location being adjacent to the Napa River, the City will be working closely with the Flood District and the Army Corps of Engineers, as was done with the Napa Riverfront Green project. GSM has provided 65% construction plans for review and comments. 95% plans for review should be submitted to the City by November 2012. Project advertisement is anticipated for Spring 2013 with construction to begin in Summer 2013. Project advertisement was postponed due to the dissolution of the Redevelopment Agency which was to provide funding for the construction phase of the project. Funding for construction was re-established by the General Fund as part of the 2012 mid-cycle budget adjustment and the project is continuing to move forward.



### PROJECT SCHEDULE:

|              | Q1   |     |     | Q2   |     |     | Q3  |     |     | Q4  |     |     |
|--------------|------|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|-----|
|              | 2012 |     |     | 2013 |     |     |     |     |     |     |     |     |
|              | Jul  | Aug | Sep | Oct  | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun |
| Design       |      |     | 90% |      |     |     |     |     |     |     |     |     |
| Bid & Award  |      |     |     |      |     |     |     |     |     |     |     |     |
| Construction |      |     |     |      |     |     |     |     |     |     |     |     |

### BUDGET STATUS:

PROJECT BUDGET: \$660,000

BUDGET EXPENDED TO DATE: Approximately \$6,000 of in-house engineering costs have been expended. The approximate percentage complete reflects the total design task progress to date.

# CAPITAL IMPROVEMENT PROJECT STATUS REPORT

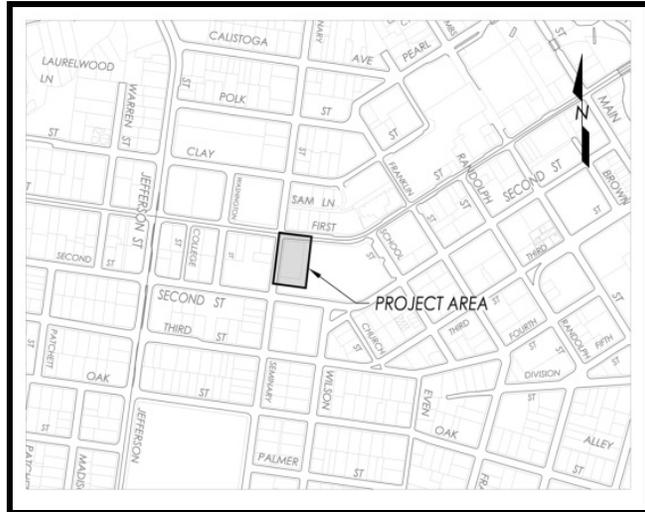
## FIRE STATION NO. 1 SEISMIC RETROFIT PROJECT NO. MS12FD02

### PROJECT DESCRIPTION:

This project will provide seismic retrofit upgrades to the Fire Station No. 1 structure as required to prevent catastrophic structural failure during a large earthquake event and will include the replacement of the chronically leaking roof.

### PROJECT MANAGEMENT:

Ernie Cabral, Associate Civil Engineer  
Public Works Department - Engineering Division



### PROJECT STATUS:

ZFA Structural Engineers completed the preliminary evaluation process this summer and have now begun the detailed design which will result in the delivery of a bid package for the fire station seismic retrofit and roof replacement. The seismic repairs will protect the building occupants and also provide a structure that is designed to be operational following a large seismic event. In addition, replacement of the chronically leaking roof structures over the offices and dormitory will be included as part of the retrofit project. Removal of the existing roof structures in preparation for replacement provides clear access to most of the seismic repair areas from above causing minimal disruption to the fire station daily activities below. By incorporating a roof replacement into the project, the costs associated with phasing and relocation of personnel and equipment will largely be avoided. Construction is planned to begin in spring 2013.

| PROJECT SCHEDULE: | Q1   |     |     | Q2   |     |     | Q3   |     |     | Q4   |     |     |
|-------------------|------|-----|-----|------|-----|-----|------|-----|-----|------|-----|-----|
|                   | 2012 |     |     | 2013 |     |     | 2013 |     |     | 2013 |     |     |
|                   | Jul  | Aug | Sep | Oct  | Nov | Dec | Jan  | Feb | Mar | Apr  | May | Jun |
| Design            |      |     | 40% |      |     |     |      |     |     |      |     |     |
| Bid & Award       |      |     |     |      |     |     |      |     |     |      |     |     |
| Construction      |      |     |     |      |     |     |      |     |     |      |     |     |

### BUDGET STATUS:

PROJECT BUDGET: \$174,000 (design costs only). During detailed design, a construction budget will be developed that reflects costs associated with both the retrofit and roof replacement.

BUDGET EXPENDED TO DATE: Approximately \$39,300 has been spent to date on consultant selection and the preliminary analysis.

# CAPITAL IMPROVEMENT PROJECT STATUS REPORT

## MAIN STREET BOAT DOCK PROJECT PROJECT NO. MS07PW01

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### PROJECT DESCRIPTION:

Design and construct a dock with a removable gangway in a flood event. The dock will be larger than the original dock, able to withstand a flood event, and compliment the new Riverfront development.

### PROJECT MANAGEMENT:

Mark P. Andrilla, Senior Civil Engineer  
Public Works Department - Engineering Division

### PROJECT STATUS:

**Schedule**            Project scheduled for construction in 2013, pending availability of funding. Per direction from City Management, construction in the 2012 season was postponed due to lack of funding.

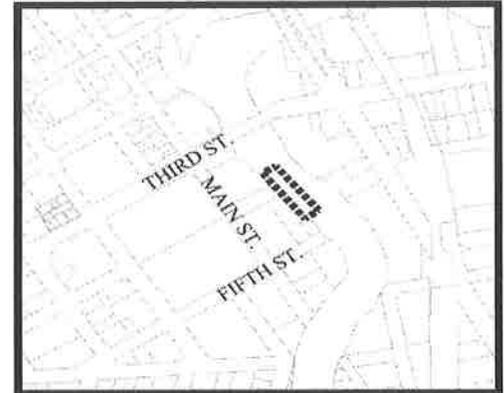
**Cost / Funding**    With a 50' reduced dock length, the total project cost has been reduced to be approximately \$1.5M. Despite staff attempts to obtain grant funding, none was available.

**Dredging**            All dredge sampling and analysis has been completed.

**Permitting**           The City has finally obtained its Water Quality Certification from the California Regional Water Quality Control Board and a permit from the Army Corps of Engineers. Staff is working with the California Department of Fish & Game to finalize the Draft Streambed Alteration Agreement. The California State Lands Commission is currently reviewing various project documents prior to issuance of a new lease agreement.

**Environmental**      City Council adopted the Initial Study / Mitigated Negative Declaration and Mitigation Monitoring Program on February 1, 2011. A revised Joint Aquatic Resource Permit Application has been submittal to the Regional Water Quality Control Board.

**Design**                Per direction from City Council, the dock has been shortened by 50 feet. Revised construction plans were received in June 2011. Final comments are being addressed by the dock designer.



PROJECT AREA

### PROJECT SCHEDULE

#### Actual Percentage Complete

| Component         | Start Date | FY<br>End Date | Actual Percentage Complete |     |     |     |     |     |     |     |     |      |     |     |    |  |  |
|-------------------|------------|----------------|----------------------------|-----|-----|-----|-----|-----|-----|-----|-----|------|-----|-----|----|--|--|
|                   |            |                | 2012                       |     |     | Q1  |     |     | Q2  |     |     | 2013 |     |     | Q3 |  |  |
|                   |            |                | Jul                        | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr  | May | Jun |    |  |  |
| Design/Permitting | Jan-09     | Feb-13         |                            |     | 96% |     |     |     |     |     |     |      |     |     |    |  |  |
| Bid & Award       | Feb-13     | Jul-13         |                            |     |     |     |     |     |     |     |     |      |     |     |    |  |  |
| Construction      | Aug-13     | Oct-13         |                            |     |     |     |     |     |     |     |     |      |     |     |    |  |  |

CURRENT PROJECT BUDGET: \$175,000

BUDGET EXPENDED TO DATE: \$163,000

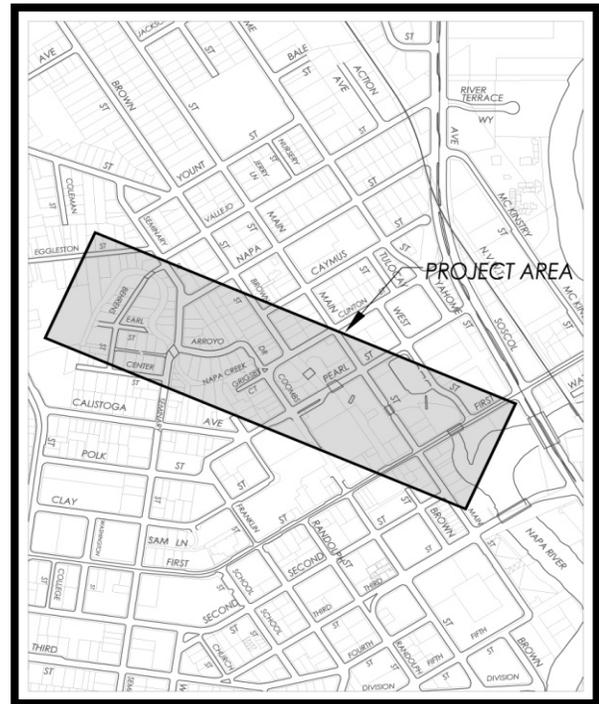
NOTES: Budget does not include design consultant costs; they are being funded out of NCRA's Riverfront Enhancement budget (12-5072-069-57). The \$175,000 includes Public Works administrative charges, permitting, and grant work.

# CAPITAL IMPROVEMENT PROJECT STATUS REPORT

## Napa Creek Box Culverts And Flood Terrace Project

### PROJECT DESCRIPTION:

The Napa Creek Box Culverts and Flood Terrace Project will install box culverts and improve the existing Napa Creek channel to handle a 100-year storm. This is another piece of the Napa River Flood Protection Project.



### PROJECT MANAGEMENT:

Army Corps of Engineers, Napa County Flood Control  
Public Works, Construction Division  
Mark Tomko

### PROJECT STATUS:

The controlling operation during this time period was construction of the in-creek work. The in-creek work includes work near Jefferson Street, Behrens Street, Seminary Street, and near Kohl's Department Store. In-creek work includes grading the banks, bank stabilization and planting, and the addition of environmental enhancements. There is a significant amount of activity with the off haul of dirt and working extended hours to stay on schedule. The Coombs Street Bridge and Behrens Street Bridge have been removed and footings are being poured on the Behrens Street Bridge. In-creek work, due to permits, will be completed by October 15. There will be additional bank and cleanup work that will need to be completed after October 15. The final portion of the project will be paving and punchlist items.

### PROJECT SCHEDULE:

|              | Q1   |     |     | Q2  |     |     | Q3   |     |     | Q4  |     |     |
|--------------|------|-----|-----|-----|-----|-----|------|-----|-----|-----|-----|-----|
|              | 2012 |     |     |     |     |     | 2013 |     |     |     |     |     |
|              | Jul  | Aug | Sep | Oct | Nov | Dec | Jan  | Feb | Mar | Apr | May | Jun |
| Design       |      |     |     |     |     |     |      |     |     |     |     |     |
| Bid & Award  |      |     |     |     |     |     |      |     |     |     |     |     |
| Construction |      |     | 85% |     |     |     |      |     |     |     |     |     |

### BUDGET STATUS:

CONTRACT BUDGET: \$15,000,000

BUDGET EXPENDED TO DATE: Unknown, City is not managing budget

# CAPITAL IMPROVEMENT PROJECT STATUS REPORT

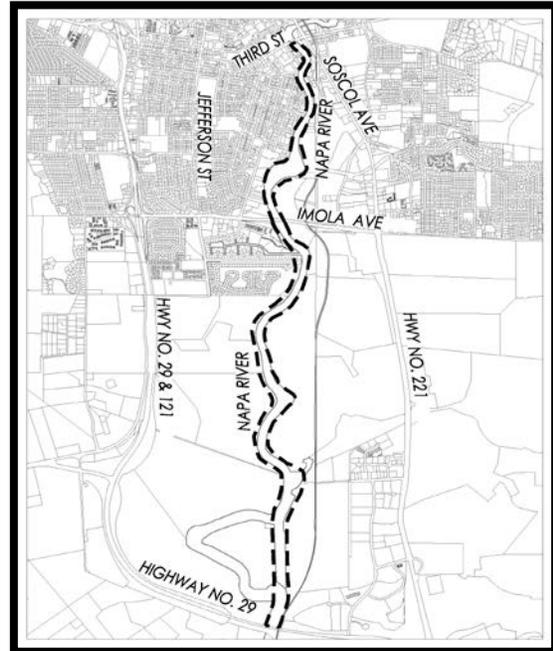
## **NAPA RIVER DREDGING PROJECT (NO PROJECT NUMBER CURRENTLY ASSIGNED)**

### **PROJECT DESCRIPTION:**

The Napa River Dredging Project is a limited-scope navigational maintenance dredging project of the Napa River by the Army Corps of Engineers from the Butler Bridge to Third Street.

### **PROJECT MANAGEMENT:**

Public Works Department - Engineering Division



PROJECT AREA

### **PROJECT STATUS:**

The Army Corps of Engineers ('Corps') currently has approximately \$410,000 out of a rough estimate of \$2M to perform limited maintenance dredging from the State Highway 29 (Butler) Bridge to Third Street (down from the previous balance of \$700,000). Nevertheless, the Corps has agreed to begin a dredge project for this reach. The Corps completed their new hydrographic survey in May 2012. In addition, the City and the Napa County Flood Control District started the dredge sampling and analysis process with the Corps' Dredged Materials Management Office ('DMMO') both for the river dredge and the City's project to dredge the Boat Ramp at JFK Park in October 2012. Depending on the Corps' ability to fund a river dredge project, the City remains open to contributing available funds as well.

### **PROJECT SCHEDULE:**

|                     | Q1   |     |     | Q2   |     |     | Q3   |     |     | Q4  |     |     |
|---------------------|------|-----|-----|------|-----|-----|------|-----|-----|-----|-----|-----|
|                     | 2012 |     |     | 2013 |     |     | 2013 |     |     |     |     |     |
|                     | Jul  | Aug | Sep | Oct  | Nov | Dec | Jan  | Feb | Mar | Apr | May | Jun |
| Design / Permitting |      |     | 0%  |      |     |     |      |     |     |     |     |     |
| Bid & Award         |      |     |     |      |     |     |      |     |     |     |     |     |
| Construction        |      |     |     |      |     |     |      |     |     |     |     |     |

### **BUDGET STATUS:**

PROJECT BUDGET: None.

BUDGET EXPENDED TO DATE: None

# CAPITAL IMPROVEMENT PROJECT STATUS REPORT

## Saratoga Drive Extension Project (ST04PW02)

### PROJECT DESCRIPTION:

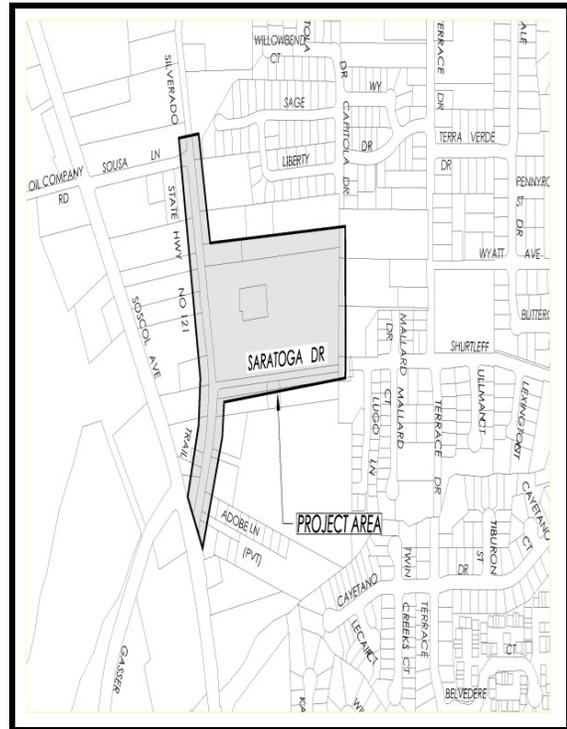
The Saratoga Drive Extension Project extends Saratoga Drive to connect to Silverado Trail. The work consists of street construction, water, sanitary sewer, storm drains, joint trench, street lighting, and a traffic signal. There is utility construction on Silverado Trail that is part of the project.

### PROJECT MANAGEMENT:

City of Napa, Public Works  
 Neil Mathiesen  
 Contractor:  
 Ghilotti Bros.

### PROJECT STATUS:

The Notice to Proceed was issued on September 12. The City has attended a Partnering Meeting with Ghilotti Bros. and the Construction Management team for the Alexander Crossing Apartments. The two projects are adjacent to each other and construction is occurring at the same time. Coordination is required to make each project successful. The work completed during this period was primarily mobilization, SWPPP, installation of a temporary signal at Soscol and Sousa, and clearing and grubbing. Work during the next quarter will include closing Silverado Trail between Sousa and Soscol on weekdays to install utilities in Silverado Trail and grading and utility work onsite. The project is expected to be completed by July 2013.



### PROJECT SCHEDULE:

|              | Q1   |      |     | Q2  |     |     | Q3   |     |     | Q4  |     |     |
|--------------|------|------|-----|-----|-----|-----|------|-----|-----|-----|-----|-----|
|              | 2012 |      |     |     |     |     | 2013 |     |     |     |     |     |
|              | Jul  | Aug  | Sep | Oct | Nov | Dec | Jan  | Feb | Mar | Apr | May | Jun |
| Design       |      |      |     |     |     |     |      |     |     |     |     |     |
| Bid & Award  |      | 100% |     |     |     |     |      |     |     |     |     |     |
| Construction |      |      | 5%  |     |     |     |      |     |     |     |     |     |

### BUDGET STATUS:

CONTRACT BUDGET: \$4,265,110  
 BUDGET EXPENDED TO DATE: No payments made



# CITY of NAPA

## Report on Service Center (CRM) activity Q1 FY 2012-13

The City of Napa Citizen Relationship Management (CRM) system is a web-based software system that contains a database of frequently asked questions and answers, allows a citizen to submit questions that are routed to staff based on the question content, and allows citizens to submit 27 different types of specific service requests.

This report focuses on the service request component of the CRM system, and specifically, the 24 service requests that are processed by the Public Works and Parks and Recreation Services departments. These two departments handle the bulk of external service requests.

Service requests can be fully completed online by the citizen through the Service Center portal accessed from [www.cityofnapa.org](http://www.cityofnapa.org). Internally, staff can generate service requests on behalf of the citizen as information is delivered in telephone calls, email, or in-person contact.

A total of **506 external service requests** were submitted to Public Works and Parks and Recreation via the CRM system in the first quarter of FY 2012-13. 502 of these were closed within the quarter. This is 33 more requests than submitted in the fourth quarter of FY 2011-12 and 50 fewer than the number submitted one year ago in the first quarter of FY 2011-12.

The accompanying table shows the total number of service requests made in the 24 request types handled by Public Works and Parks and Recreation Services during the period July 1-Sept. 30, 2012, and shows performance in responding to and closing requests within the City's expected timeframe, or Service Level Agreement (SLA.) Categories highlighted in green met or exceeded the SLA.

## **NOTES:**

**SLAs were not met or exceeded in 6 of 24 service request types for this reporting period. In 2 of the 5 non-conforming categories, the SLA was missed by less than one work day. This represents one of the best levels of performance since the CRM system was instituted.**

**Misc park/public space issue:** There were only 4 reports in this category in this reporting period. Two of the four were closed within the SLA. One of the others was kept open for 28 days; the remaining report was assigned to an employee who had retired but had not been removed from the CRM system, causing this item to remain open and “lost” in the system for 43 days. This is an error that has been remedied through changes to the process of administering the back-office function of the CRM.

**Sign problem:** 13 of the 21 items in this category were closed in less than two days. Seven of the remaining items were closed in 3-5 days. One item was left open in the CRM for 74 days due to operator error (although the issue had been addressed much earlier) which distorted the “average time to close” statistic, making it not representative of staff performance in this category.

**Graffiti:** The number of requests under the “graffiti” category is not reflective of the total number of graffiti issues submitted to the City. This is due to many graffiti reports being processed outside the CRM system.

**Traffic signal malfunction:** This service request needs to be modified to better reflect the types of reports that are being received from the public. The initial concept of this service request was to receive citizen reports of traffic signals that were fully malfunctioning, but more often the PW Department is receiving reports of signals with timing issues, or detection issues. These reports require a longer period of time to close, as staff often makes more than one site visit to evaluate and solve the problem. The SLA on the current request has been revised until the SR is split into two distinct reports.

## External Service Requests closed by Public Works and Parks and Recreation Services

*July 1-Sept 30, 2012*

| Service Request Type                  | Number this quarter | Average no. of days open | SLA |
|---------------------------------------|---------------------|--------------------------|-----|
| Bad sidewalk or curb                  | 7                   | 4.43                     | 5   |
| City landscaping issue                | 20                  | 5.64                     | 6   |
| Clogged storm drain                   | 0                   | 0                        | 1   |
| Construction site problems            | 1                   | 7.58                     | 1   |
| Dead Animal                           | 30                  | 0.73                     | 1   |
| Graffiti                              | 3                   | 1.44                     | 2   |
| Light out                             | 114                 | 1.84                     | 3   |
| Litter or debris                      | 28                  | 1.46                     | 2   |
| Miscellaneous park/public space issue | 4                   | 9.43                     | 5   |
| New streetlight                       | 2                   | 1.56                     | 5   |
| Ongoing drainage problem              | 0                   | 0                        | 5   |
| Park issue                            | 16                  | 5.01                     | 5   |
| Pollution report                      | 0                   | 0                        | 1   |
| Pothole                               | 40                  | 2.44                     | 2   |
| Rough road surface                    | 23                  | 4.36                     | 5   |
| Sign problem                          | 21                  | 5.27                     | 2   |
| Street sweeping                       | 8                   | 1.28                     | 2   |
| Traffic signal malfunction            | 10                  | 0.74                     | 1   |
| Tree issue                            | 162                 | 3.43                     | 5   |
| Utility pole issue                    | 6                   | 0.56                     | 5   |
| Water leak                            | 2                   | 1.92                     | 1   |
| Water pressure problem                | 1                   | 7.13                     | 1   |
| Water quality issue                   | 0                   | 0                        | 1   |
| Weeds                                 | 4                   | 2.27                     | 5   |

(Categories highlighted in green have an average time to close of request within the Service Level Agreement. )