



**Board of Directors
Meeting Agenda**
[Revised Version]

**November 12, 2020
Virtual Meeting via Zoom**

**Meeting begins at 7PM or at end of City
Selection Committee Meeting**

Register for Zoom webinar [\[HERE\]](#)

Meeting also livestreamed on YouTube by “Cities Association of Santa Clara County” [\[LINK\]](#)

More info on public comment and accessibility given at the end of the agenda.

Discussion & action may be taken on any of the items below. Times are approximate.

1. Welcome and Roll Call (Klein)	
2. Consent Agenda	Attachments
2a. Approval of minutes from October 8, 2020.	- Minutes
2b. Approval of October financial report.	- Management Report
2c. Approval of SCSC Roundtable Consultant Invoice: ESA September 2020 Invoice 157488 Dated 9/9/2020 16,203.75 Total billing to date 39,057.50 of \$180,000 total contract	- Invoice
2d. Approval of audit report from Joseph Rois, Auditor, City of San José	- Audit Report - SCSC Roundtable Financials
3. Committees and Community Presentations	Attachments
3a. SF Bay Conservation and Development Commission (BCDC) • Presentation of Bay Adapt, an initiative to establish regional agreement on actions to protect people and the natural and built environment from rising sea levels. • Feedback on and consideration of supporting actions as described in their draft Joint Platform. (info/action)	- Letter of request to present - Bay Adapt website
3b. BAAQMD update • Given by Councilmember & BAAQMD Chair Rod Sinks, Councilmember Liz Kniss (info)	
3c. Housing Methodology Committee update • Consideration of sending a letter regarding the RHNA methodology to the ABAG Executive Board. (info/action)	
4. General Membership Meeting - Dec 4th, 2020 5:30-6:30PM	

• Consideration of nominees for Cities Champion award, to be presented at meeting ○ Supervisor Cindy Chavez (Santa Clara County) ○ Councilmember Liz Kniss (Palo Alto).	
5. HR Policies	Attachments
Consideration of adoption of HR policies. (Koplow – action)	- HR Policy
6. Election of 2021 Executive Board:	Attachments
Consideration and election of the Slate of Candidates for the 2021 Executive Board: • President: Councilmember Marico Sayoc (Los Gatos) • 1st Vice President: Vice Mayor Chappie Jones (San José) • 2nd Vice President: Mayor Margaret Abe-Koga (Mountain View) • Secretary Treasurer: Vice Mayor Neysa Fligor (Los Altos) • Legislative Action Committee Chair: Mayor Rich Constantine (Morgan Hill) • Past President: Mayor Larry Klein (Sunnyvale)	- Slate
6. Board Discussions	
• Elections • Covid 19 • Other items	
7. SCCCMA update (Steffens)	
8. Executive Director Update (Jordan)	
9. Public comment	
10. Adjournment	

PUBLIC COMMENT

Members of the public wishing to comment on an item on the agenda may do so in the following ways:

1. Email comments to csc@citiesassociation.org.
 - Emails will be forwarded to the City Selection Committee.
 - IMPORTANT: identify the Agenda Item number in the subject line of your email. All emails received will be entered into the record for the meeting.

2. Provide oral public comments during the meeting:

Click the following link to register in advance to access the meeting via Zoom Webinar or copy and paste: bit.ly/register-CSC

- You will be asked to enter an email address and a name.
- Your email address will not be disclosed to the public. After registering, you will receive an email with instructions on how to connect to the meeting.
- When the Chair announces the item on which you wish to speak, click the “raise hand” feature in Zoom. Speakers will be notified shortly before they are called to speak.
- When called to speak, please limit your comments to the time allotted (up to 3 minutes, at the discretion of the Chair).
- Phone participants:
 - *6 - Toggle mute/unmute
 - *9 - Raise hand

ACCESSIBILITY

We strive for our meetings and materials to be accessible to all members of the public. Those requiring accommodations to participate in this meeting may contact our Office Assistant at audin@citiesassociation.org. Notification at least three business days prior to the meeting will allow us to best meet your needs.

- BOARD OF DIRECTORS MEETING AGENDA
OCTOBER 8, 2020 | 7:00 PM or immediately following closed session
VIRTUAL MEETING VIA ZOOM

- Steve Preminger – Director, Santa Clara County Office of Strategic and Intergovernmental Affairs
- Yvonne Martinez Beltran – Mayor Pro Tempore, Morgan Hill

2. Consent Agenda – *action*:

- a) Board Meeting Minutes: September 10, 2020
- b) September Financials
- c) SCSC Roundtable: August 2020 \$16,203.75 for a total of \$32,707.50 YTD (contract total \$180,000.00)
- d) Tax Consultant Bill (Poprowski): \$5400 (Organizational status – final bill from Mr. Poprowski).
- e) Electronic Signature Policy

Motion to approve by Vice Mayor Bernald

Seconded by Councilmember Davis

Motion passed 13-0-0-2

AYES: 13

Scharf (Cupertino), Tucker (Gilroy), Pepper (Los Altos), Wu (Los Altos Hills), Rennie (Los Gatos), Montano (Milpitas), Turner (Monte Sereno), Constantine (Morgan Hill), Abe-Koga (Mountain View), Jones (San José), Davis (Santa Clara), Bernald (Saratoga), Klein (Sunnyvale)

NAYES: 0

ABSTENSIONS: 0

ABSENCES: 2

Resnikoff (Campbell), Constantine (Morgan Hill)

3. Committee Actions or Presentations

- a) Legislative Action Committee: Consideration of recommendations for Statewide Ballot Measures 15, 16, 19, & 21 - information/action
No action taken.
- b) Housing Methodology Committee/ABAG Executive Board: Regional Housing Needs Association Update, discussion of Contra Costa County

Mayors letter to ABAG – *information/action* (Vice Mayor Fligor/Vice Mayor Gibbons)

No action taken.

- c) Nominating Committee Announcement – *information* (Klein)
- d) City Selection Committee (CSC) policy discussion and consideration of whether the CSC should adopt a formal policy on appointments made if elected official terms out of elected office – *action*

Motion to continue supporting policies and procedures of the 2008 City Selection Committee by Kniss (Palo Alto)

Seconded by Montano (Milpitas)

Motion passed 13-0-0-2

AYES:

Scharf (Cupertino), Tucker (Gilroy), Pepper (Los Altos), Wu (Los Altos Hills), Rennie (Los Gatos), Montano (Milpitas), Constantine (Morgan Hill), Abe-Koga (Mountain View), Jones (San José), Davis (Santa Clara), Bernald (Saratoga), Klein (Sunnyvale)

NAYES: 0

ABSTENSIONS: 0

ABSENCES: 2

Resnikoff (Campbell), Turner (Monte Sereno)

4. Planning Collaborative Budget (\$160,000)

Motion to approve budget by Jones (San Jose)

Seconded by Kniss (Palo Alto)

Motion passed 15-0-1-0

AYES: 15

Resnikoff (Campbell), Scharff (Cupertino), Tucker (Gilroy), Pepper (Los Altos), Rennie (Los Gatos), Montano (Milpitas), Turner (Monte Sereno), Constantine

(Morgan Hill), Abe-Koga (Mountain View), Kniss (Palo Alto), Jones (San Jose), Davis (Santa Clara), Bernald (Saratoga), Klein (Sunnyvale), Preminger (Santa Clara County)

NAYES: 0

ABSTENTIONS: 1
Wu (Los Altos Hills)

ABSENCES: 0

5. General Discussion and Updates
 - a) Local Successes and Challenges
 - b) COVID-19
 - c) Santa Clara County City Managers Association Report (Kent Steffens, Sunnyvale)
 - d) Executive Director Report (Andi Jordan, Executive Director)

6. Public comment on items not on the agenda.

7. Adjourn until November 12, 2020.

8:31 PM

Respectfully submitted,
Audin Leung
Office Assistant/Board Clerk

Approved on DATE

Motion
Second
0-0-0-0

AYES:

NAYES:

ABSTENTIONS:

ABSENT:

Management Report

CITIES ASSOCIATION OF SANTA CLARA COUNTY

For the period ended October 31, 2020



Prepared by

BestBooks4U Bookkeeping & QuickBooks Consulting

Prepared on

November 3, 2020

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Profit and Loss by Class11

Profit and Loss

July - October, 2020

	Total
INCOME	
4000 INCOME	
4010 Membership Dues	149,957.07
4020 Roundtable Income	187,597.78
4060 LAIF INCOME	450.07
Total 4000 INCOME	338,004.92
Total Income	338,004.92
GROSS PROFIT	338,004.92
EXPENSES	
6000 GENERAL OFFICE	
6120 Bank Service Charges	12.00
6180 Insurance	600.67
6220 Dues and Subscriptions	400.00
6350 Roundtable consultant and technical services	50,122.50
6550 Supplies and Equipment	2,199.25
6610 Postage and Delivery	136.50
6620 Software Licenses	749.32
Total 6000 GENERAL OFFICE	54,220.24
6700 Reimbursable Expense	437.50
Office	
6880 Telephone	40.30
Total Office	40.30
OFFICE PERSONNEL_CONSULTANTS	
6153 Contractors	24,975.00
6300 Legal & Professional Fees	5,700.00
6310 Accounting Services	7,503.75
6320 Attorney Services	2,226.00
Total 6300 Legal & Professional Fees	15,429.75
6565 Payroll Service Fees	222.00
6568 Workers Compensation	229.26
6575 Payroll Wages/Salary	40,232.02
6580 Payroll Taxes	3,152.30
Total OFFICE PERSONNEL_CONSULTANTS	84,240.33
Total Expenses	138,938.37
NET OPERATING INCOME	199,066.55
NET INCOME	\$199,066.55

Balance Sheet

As of October 31, 2020

	Total
ASSETS	
Current Assets	
Bank Accounts	
1001 Checking - Union Bank	203,477.09
Total Bank Accounts	203,477.09
Accounts Receivable	
1200 Accounts Receivable	49,821.18
Total Accounts Receivable	49,821.18
Other Current Assets	
1300 LAIF Funds	123,798.57
1310 Venue Prepaid Deposit	1,000.00
1395 Accrued Interest	44.60
Total Other Current Assets	124,843.17
Total Current Assets	378,141.44
Fixed Assets	
1500 Machinery and Equipment	2,203.41
1700 Accumulated Depreciation	-1,926.59
Total Fixed Assets	276.82
TOTAL ASSETS	\$378,418.26
LIABILITIES AND EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
2000 Accounts Payable	14,515.00
Total Accounts Payable	14,515.00
Credit Cards	
2200 First National Bank of Omaha	324.18
Total Credit Cards	324.18
Total Current Liabilities	14,839.18
Total Liabilities	14,839.18
Equity	
1110 Unrestricted Fund Balance	129,544.61
3000 Opening Bal Equity	-34.00
3010 Reserves	0.00
3013 Reserve for New Equip.	1.92
3014 Reserve for Operations	35,000.00
Total 3010 Reserves	35,001.92
Net Income	199,066.55
Total Equity	363,579.08
TOTAL LIABILITIES AND EQUITY	\$378,418.26

Statement of Cash Flows

July - October, 2020

	Total
OPERATING ACTIVITIES	
Net Income	199,066.55
Adjustments to reconcile Net Income to Net Cash provided by operations:	
1200 Accounts Receivable	-49,821.18
1300 LAIF Funds	-450.07
2000 Accounts Payable	-23,292.50
2200 First National Bank of Omaha	-936.97
Total Adjustments to reconcile Net Income to Net Cash provided by operations:	-74,500.72
Net cash provided by operating activities	124,565.83
FINANCING ACTIVITIES	
3013 Reserves:Reserve for New Equip.	-2,327.17
Net cash provided by financing activities	-2,327.17
NET CASH INCREASE FOR PERIOD	122,238.66
Cash at beginning of period	81,238.43
CASH AT END OF PERIOD	\$203,477.09

Monthly Summary Expenses by VENDOR

October 2020

	Total
Acrobat	33.98
Andi Jordan	12,562.02
AP Intego	79.14
Best Buy	776.26
Bestbooks4U	522.50
EDD	105.78
Environmental Science Associates	16,203.75
Great American Insurance Group	150.16
Gusto	1,095.39
Intuit	95.00
Koplow Law Offices	774.00
Kristen Leung	720.00
Microsoft	32.91
Union Bank	3.00
USPS	74.75
Verizon	40.30
Zoom.us	54.99
TOTAL	\$33,323.93

Transaction Detail by Account

October 2020

Date	Transaction Type	Num	Adj	Name	Class	Memo/Description	Split	Amount	Balance
1001 Checking - Union Bank									
10/01/2020	Expense		No	Best Buy			6550 GENERAL OFFICE:Supplies and Equipment	-776.26	-776.26
10/01/2020	Expense		No	Koplow Law Offices			6320 OFFICE PERSONNEL_CONSULTANTS:Legal & Professional Fees:Attorney Services	-774.00	-1,550.26
10/02/2020	Expense		No	Gusto			6565 OFFICE PERSONNEL_CONSULTANTS:Payroll Service Fees	-57.00	-1,607.26
10/05/2020	Expense		No	AP Intego			6568 OFFICE PERSONNEL_CONSULTANTS:Workers Compensation	-50.36	-1,657.62
10/05/2020	Journal Entry	Gusto	No			Debit tax	-Split-	-1,710.56	-3,368.18
10/05/2020	Journal Entry	Gusto	No			Debit net pay	-Split-	-3,671.94	-7,040.12
10/06/2020	Expense		No	Great American Insurance Grouop			6180 GENERAL OFFICE:Insurance	-150.16	-7,190.28
10/13/2020	Deposit		No	Los Gatos Town			1499 Undeposited Funds	8,697.51	1,507.23
10/16/2020	Bill Payment (Check)		No	Rolf Poprowski, EA			2000 Accounts Payable	-5,400.00	-3,892.77
10/19/2020	Expense		No	Bestbooks4U			6310 OFFICE PERSONNEL_CONSULTANTS:Legal & Professional Fees:Accounting Services	-356.25	-4,249.02
10/19/2020	Expense		No	AP Intego			6568 OFFICE PERSONNEL_CONSULTANTS:Workers Compensation	-28.78	-4,277.80
10/21/2020	Journal Entry	Gusto	No			Debit net pay	-Split-	-2,114.23	-6,392.03
10/21/2020	Journal Entry	Gusto	No			Debit tax	-Split-	-1,081.10	-7,473.13
10/22/2020	Credit Card Payment		No				2200 First National Bank of Omaha	-227.19	-7,700.32
10/23/2020	Journal Entry	Gusto	No		CASCC	Debit net pay	-Split-	-629.75	-8,330.07
10/23/2020	Journal Entry	Gusto	No		CASCC	Debit tax	-Split-	-167.65	-8,497.72
10/27/2020	Payment		No	Mountain View			1200 Accounts Receivable	8,500.00	2.28
10/27/2020	Expense		No	USPS			6610 GENERAL OFFICE:Postage and Delivery	-7.75	-5.47
10/27/2020	Expense		No	Environmental Science Associates			6350 GENERAL OFFICE:Roundtable consultant and technical services	-16,203.75	-16,209.22
10/28/2020	Expense		No	EDD			6580 OFFICE PERSONNEL_CONSULTANTS:Payroll Taxes	-105.78	-16,315.00
10/28/2020	Journal Entry	Gusto	No			Debit net pay	-Split-	-3,057.76	-19,372.76
10/28/2020	Journal Entry	Gusto	No			Debit tax	-Split-	-1,887.42	-21,260.18
10/29/2020	Expense		No	Bestbooks4U			6310 OFFICE PERSONNEL_CONSULTANTS:Legal & Professional Fees:Accounting Services	-166.25	-21,426.43
10/30/2020	Expense		No	Union Bank			6120 GENERAL OFFICE:Bank Service Charges	-3.00	-21,429.43

Date	Transaction Type	Num	Adj	Name	Class	Memo/Description	Split	Amount	Balance
Total for 1001 Checking - Union Bank								\$ -21,429.43	
1200 Accounts Receivable									
10/07/2020	Payment		No	Condensed Customer (deleted)			-Split-		
10/13/2020	Payment	bank of west 142919	No	Los Gatos Town			1499 Undeposited Funds	-8,697.51	-8,697.51
10/27/2020	Payment		No	Mountain View			1001 Checking - Union Bank	-8,500.00	-17,197.51
Total for 1200 Accounts Receivable								\$ -17,197.51	
1499 Undeposited Funds									
10/13/2020	Deposit		No	Los Gatos Town		Town of Los Gatos Bank of Wet 142919 mobile deposit	1001 Checking - Union Bank	-8,697.51	-8,697.51
10/13/2020	Payment	bank of west 142919	No	Los Gatos Town		Town of Los Gatos Bank of Wet 142919 mobile deposit	1200 Accounts Receivable	8,697.51	0.00
Total for 1499 Undeposited Funds								\$0.00	
2000 Accounts Payable									
10/16/2020	Bill Payment (Check)		No	Rolf Poprowski, EA			1001 Checking - Union Bank	-5,400.00	-5,400.00
Total for 2000 Accounts Payable								\$ -5,400.00	
2200 First National Bank of Omaha									
10/05/2020	Expense		No	Acrobat			6620 GENERAL OFFICE:Software Licenses	33.98	33.98
10/13/2020	Expense		No	Zoom.us			6620 GENERAL OFFICE:Software Licenses	54.99	88.97
10/19/2020	Expense		No	Verizon			6880 Office:Telephone	40.30	129.27
10/19/2020	Expense		No	Microsoft			6620 GENERAL OFFICE:Software Licenses	32.91	162.18
10/19/2020	Expense		No	Intuit			6620 GENERAL OFFICE:Software Licenses	25.00	187.18
10/19/2020	Expense		No	Intuit			6620 GENERAL OFFICE:Software Licenses	70.00	257.18
10/22/2020	Credit Card Payment		No				1001 Checking - Union Bank	-227.19	29.99
10/26/2020	Expense		No	USPS			6610 GENERAL OFFICE:Postage and Delivery	67.00	96.99
Total for 2200 First National Bank of Omaha								\$96.99	
6000 GENERAL OFFICE									
6120 Bank Service Charges									
10/30/2020	Expense		No	Union Bank	CASCC	CHECK IMAGE FEE	1001 Checking - Union Bank	3.00	3.00
Total for 6120 Bank Service Charges								\$3.00	
6180 Insurance									
10/06/2020	Expense		No	Great American Insurance Group	CASCC	GreatAmer - Grea VENDOR PMT PPD *****9638	1001 Checking - Union Bank	150.16	150.16
Total for 6180 Insurance								\$150.16	

Date	Transaction Type	Num	Adj	Name	Class	Memo/Description	Split	Amount	Balance
6350 Roundtable consultant and technical services									
10/27/2020	Expense		No	Environmental Science Associates	Roundtable	ENVIRONMENTAL SCIENCE ASSOCI-1353 ONLINE PMT WEB DRAFT #8008	1001 Checking - Union Bank	16,203.75	16,203.75
Total for 6350 Roundtable consultant and technical services								\$16,203.75	
6550 Supplies and Equipment									
10/01/2020	Expense		No	Best Buy	CASCC	BEST BUY 760 E EL CAMINO SUNNYVALE CA	1001 Checking - Union Bank	776.26	776.26
Total for 6550 Supplies and Equipment								\$776.26	
6610 Postage and Delivery									
10/26/2020	Expense		No	USPS	CASCC	usps	2200 First National Bank of Omaha	67.00	67.00
10/27/2020	Expense		No	USPS	CASCC	USPS PO 0 1525 MIR LOS ALTOS CA	1001 Checking - Union Bank	7.75	74.75
Total for 6610 Postage and Delivery								\$74.75	
6620 Software Licenses									
10/05/2020	Expense		No	Acrobat	CASCC	ACROBAT PRO SUBS - 8004438158, CA	2200 First National Bank of Omaha	33.98	33.98
10/13/2020	Expense		No	Zoom.us	CASCC	ZOOM.US - 8887999666, CA	2200 First National Bank of Omaha	54.99	88.97
10/19/2020	Expense		No	Intuit	CASCC	INT*QuickBooks Online - 800-446-8848, CA	2200 First National Bank of Omaha	70.00	158.97
10/19/2020	Expense		No	Intuit	CASCC	INT*QuickBooks Online - 800-446-8848, CA	2200 First National Bank of Omaha	25.00	183.97
10/19/2020	Expense		No	Microsoft	CASCC	MSFT * E0100CF04P - MSBILL.INFO, WA	2200 First National Bank of Omaha	32.91	216.88
Total for 6620 Software Licenses								\$216.88	
Total for 6000 GENERAL OFFICE								\$17,424.80	
Office									
6880 Telephone									
10/19/2020	Expense		No	Verizon	CASCC	VZWRLSS*PREPAID PYMNT - 888-294-6804, FL	2200 First National Bank of Omaha	40.30	40.30
Total for 6880 Telephone								\$40.30	
Total for Office								\$40.30	
OFFICE PERSONNEL_CONSULTANTS									
6300 Legal & Professional Fees									
6310 Accounting Services									
10/19/2020	Expense		No	Bestbooks4U	CASCC	ADELE LEVIN T/A SALE WEB	1001 Checking - Union Bank	356.25	356.25
10/29/2020	Expense		No	Bestbooks4U	CASCC	bestbooks4u	1001 Checking - Union Bank	166.25	522.50
Total for 6310 Accounting Services								\$522.50	

Date	Transaction Type	Num	Adj	Name	Class	Memo/Description	Split	Amount	Balance
6320 Attorney Services									
10/01/2020	Expense		No	Koplow Law Offices	Roundtable	koplow	1001 Checking - Union Bank	774.00	774.00
Total for 6320 Attorney Services								\$774.00	
Total for 6300 Legal & Professional Fees								\$1,296.50	
6565 Payroll Service Fees									
10/02/2020	Expense		No	Gusto	CASCC	GUSTO FEE 697668 CCD 6semjou7fv1	1001 Checking - Union Bank	57.00	57.00
Total for 6565 Payroll Service Fees								\$57.00	
6568 Workers Compensation									
10/05/2020	Expense		No	AP Intego	CASCC	APIntego ACHTRANS CCD 67487624	1001 Checking - Union Bank	50.36	50.36
10/19/2020	Expense		No	AP Intego	CASCC	APIntego ACHTRANS CCD 68069368	1001 Checking - Union Bank	28.78	79.14
Total for 6568 Workers Compensation								\$79.14	
6575 Payroll Wages/Salary									
10/05/2020	Journal Entry	Gusto	No		CASCC	Additional Earnings	-Split-	5,000.00	5,000.00
10/21/2020	Journal Entry	Gusto	No		CASCC	Regular Wages	-Split-	2,968.27	7,968.27
10/23/2020	Journal Entry	Gusto	No		CASCC	Regular Wages	-Split-	720.00	8,688.27
10/28/2020	Journal Entry	Gusto	No		CASCC	Regular Wages	-Split-	4,593.75	13,282.02
Total for 6575 Payroll Wages/Salary								\$13,282.02	
6580 Payroll Taxes									
10/05/2020	Journal Entry	Gusto	No		CASCC	Employer Taxes	-Split-	382.50	382.50
10/21/2020	Journal Entry	Gusto	No		CASCC	Employer Taxes	-Split-	227.06	609.56
10/23/2020	Journal Entry	Gusto	No		CASCC	Employer Taxes	-Split-	77.40	686.96
10/28/2020	Expense		No	EDD	CASCC	EMPLOYMENT DEVEL EDD EFTPMT CCD 2100932640	1001 Checking - Union Bank	105.78	792.74
10/28/2020	Journal Entry	Gusto	No		CASCC	Employer Taxes	-Split-	351.43	1,144.17
Total for 6580 Payroll Taxes								\$1,144.17	
Total for OFFICE PERSONNEL_CONSULTANTS								\$15,858.83	
Not Specified									
10/07/2020	Payment		No	Condensed Customer (deleted)		Created by QB Online to link credits to charges.	1200 Accounts Receivable		
Total for Not Specified									

Profit and Loss by Class

July - October, 2020

	CASCC	Roundtable	TOTAL
INCOME			
4000 INCOME			0.00
4010 Membership Dues	149,957.07		149,957.07
4020 Roundtable Income		187,597.78	187,597.78
4060 LAIF INCOME	450.07		450.07
Total 4000 INCOME	150,407.14	187,597.78	338,004.92
Total Income	150,407.14	187,597.78	338,004.92
GROSS PROFIT	150,407.14	187,597.78	338,004.92
EXPENSES			
6000 GENERAL OFFICE			0.00
6120 Bank Service Charges	12.00		12.00
6180 Insurance	600.67		600.67
6220 Dues and Subscriptions	400.00		400.00
6350 Roundtable consultant and technical services		50,122.50	50,122.50
6550 Supplies and Equipment	2,199.25		2,199.25
6610 Postage and Delivery	136.50		136.50
6620 Software Licenses	749.32		749.32
Total 6000 GENERAL OFFICE	4,097.74	50,122.50	54,220.24
6700 Reimbursable Expense	437.50		437.50
Office			0.00
6880 Telephone	40.30		40.30
Total Office	40.30		40.30
OFFICE PERSONNEL_CONSULTANTS			0.00
6153 Contractors			0.00
6300 Legal & Professional Fees	5,700.00		5,700.00
6310 Accounting Services	7,503.75		7,503.75
6320 Attorney Services	1,202.00	1,024.00	2,226.00
Total 6300 Legal & Professional Fees	14,405.75	1,024.00	15,429.75
6565 Payroll Service Fees	222.00		222.00
6568 Workers Compensation	229.26		229.26
6575 Payroll Wages/Salary	40,232.02		40,232.02
6580 Payroll Taxes	3,152.30		3,152.30
Total OFFICE PERSONNEL_CONSULTANTS	58,241.33	1,024.00	59,265.33
Total Expenses	62,816.87	51,146.50	113,963.37
NET OPERATING INCOME	87,590.27	136,451.28	224,041.55
NET INCOME	\$87,590.27	\$136,451.28	\$224,041.55



Environmental Science Associates
550 Kearny Street, Suite 800
San Francisco, CA 94108
(415) 896-5900

INVOICE

Andi Jordan
Executive Director
Cities Association of Santa Clara County
PO Box 3144
Los Altos, CA 94024

October 9, 2020
Invoice No: 158284
Project Manager: Steven Alverson

Project D201801353.02 SCSC Roundtable Facilitation-FY 2020-2021

Professional Services from September 1, 2020 to September 30, 2020

Task 0000001 Prepare for, facilitate, and Follow-up 12 Meetings

Professional Personnel

	Hours	Rate	Amount
Senior Director III			
Alverson, Steven	.50	300.00	150.00
Totals	.50		150.00
Total Labor			150.00

Billing Limits	Current	Prior	To-Date
Total Billings	150.00	15,562.50	15,712.50
Limit			90,000.00
Remaining			74,287.50
TOTAL THIS TASK:			\$150.00

Task 0000002 Roundtable Meeting Planning

Professional Personnel

	Hours	Rate	Amount
Senior Director III			
Alverson, Steven	.50	300.00	150.00
Senior Associate I			
Wasserman, Evan	.50	150.00	75.00
Totals	1.00		225.00
Total Labor			225.00

Billing Limits	Current	Prior	To-Date
Total Billings	225.00	900.00	1,125.00
Limit			6,000.00
Remaining			4,875.00
TOTAL THIS TASK:			\$225.00

Task 0000003 Support Work Plan Assignments

Professional Personnel

	Hours	Rate	Amount
Senior Director III			
Alverson, Steven	2.50	300.00	750.00

Project	D201801353.02	SCSC Roundtable Facilitation-FY 2020-20	Invoice	158284
---------	---------------	---	---------	--------

Senior Associate I

Wasserman, Evan

22.50

150.00

3,375.00

Totals

25.00

4,125.00

Total Labor

4,125.00

Billing Limits

Current

Prior

To-Date

Total Billings

4,125.00

10,316.25

14,441.25

Limit

45,000.00

Remaining

30,558.75

TOTAL THIS TASK:

\$4,125.00

Task 0000004 Respond to Inquiries

Professional Personnel

Hours

Rate

Amount

Senior Director III

Alverson, Steven

.50

300.00

150.00

Totals

.50

150.00

Total Labor

150.00

Billing Limits

Current

Prior

To-Date

Total Billings

150.00

2,441.25

2,591.25

Limit

13,000.00

Remaining

10,408.75

TOTAL THIS TASK:

\$150.00

Task 0000005 Prepare/Post Website Content

Billing Limits

Current

Prior

To-Date

Total Billings

0.00

3,487.50

3,487.50

Limit

18,000.00

Remaining

14,512.50

TOTAL THIS TASK:

0.00

Task 0000006 Other Direct Costs(ANR, Website Support, Letter Tracker)

Reimbursable Expenses

Project Materials

1,700.00

Total Reimbursables

1.0 times

1,700.00

1,700.00

Billing Limits

Current

Prior

To-Date

Total Billings

1,700.00

0.00

1,700.00

Limit

8,000.00

Remaining

6,300.00

TOTAL THIS TASK:

\$1,700.00

TOTAL INVOICE AMOUNT:

\$6,350.00

Outstanding Invoices

Number

Date

Balance

157488

9/9/2020

16,203.75

Total

16,203.75

Billings to Date

Current
6,350.00

Prior
32,707.50

Total
39,057.50

Project	D201801353.02	SCSC Roundtable Facilitation-FY 2020-20	Invoice	158284
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Remit to:

E S A
P.O. Box 92170
Elk Grove, IL 60009

TIN #: 94-1698350

Billing Backup

Friday, October 9, 2020

Environmental Science Associates

Invoice 158284 Dated 10/9/2020

2:30:15 PM

Project	D201801353.02	SCSC Roundtable Facilitation-FY 2020-2021
---------	---------------	---

Task	0000001	Prepare for, facilitate, and Follow-up 12 Meetings
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Professional Personnel

			Hours	Rate	Amount
	Senior Director III				
358	Alverson, Steven	9/30/2020	.50	300.00	150.00
	Review Possible Agenda Items				
	Totals		.50		150.00
	Total Labor				150.00

TOTAL THIS TASK: \$150.00

Task	0000002	Roundtable Meeting Planning
------	---------	-----------------------------

Professional Personnel

			Hours	Rate	Amount
	Senior Director III				
358	Alverson, Steven	9/30/2020	.50	300.00	150.00
	Monthly Planning Meeting				
	Senior Associate I				
11165	Wasserman, Evan	9/30/2020	.50	150.00	75.00
	.5hr for meeting with Steve, Mary-Lynne, Andi, and Kris to discuss the next full Roundtable meeting in October				
	Totals		1.00		225.00
	Total Labor				225.00

TOTAL THIS TASK: \$225.00

Task	0000003	Support Work Plan Assignments
------	---------	-------------------------------

Professional Personnel

			Hours	Rate	Amount
	Senior Director III				
358	Alverson, Steven	9/2/2020	1.00	300.00	300.00
	Review Roundtable Coordinator Job Description				
358	Alverson, Steven	9/21/2020	.50	300.00	150.00
	Coordinate Admin Dickson Letter				
358	Alverson, Steven	9/22/2020	.50	300.00	150.00
	Review Admin Dickson Letter				
358	Alverson, Steven	9/23/2020	.50	300.00	150.00
	Follow-up on the Dickson Letter				
	Senior Associate I				
11165	Wasserman, Evan	9/2/2020	4.00	150.00	600.00
	4 hrs for correspondence tracking, updates to action tracking matrix, and 2018 FAA Reauthorization tracking spreadsheet				
11165	Wasserman, Evan	9/3/2020	1.00	150.00	150.00
	1 hr for correspondence tracking				
11165	Wasserman, Evan	9/4/2020	.25	150.00	37.50
	.25 for sending out ANR notification				

Project	D201801353.02	SCSC Roundtable Facilitation-FY 2020-20	Invoice	158284
11165	Wasserman, Evan	9/9/2020	2.00	150.00
	2 hrs for correspondence tracking, and updates to FAA Reauthorization tracking table.			
11165	Wasserman, Evan	9/10/2020	.50	150.00
	.5 hr for article posting and document posting			
11165	Wasserman, Evan	9/11/2020	.50	150.00
	.5 hr for communication/sending ANR to Roundtable			
11165	Wasserman, Evan	9/22/2020	4.50	150.00
	4.5 hrs for edits to and communications regarding QSC Letter to Congressional Reps and FAA			
11165	Wasserman, Evan	9/23/2020	1.50	150.00
	1.5 hrs for correspondence tracking			
11165	Wasserman, Evan	9/25/2020	.25	150.00
	.25 hr for sending out the ANR			
11165	Wasserman, Evan	9/28/2020	2.50	150.00
	.5 hr for posting article to website; 2 hrs for tracking correspondence			
11165	Wasserman, Evan	9/29/2020	2.00	150.00
	2 hrs for tracking correspondence			
11165	Wasserman, Evan	9/30/2020	3.50	150.00
	2.5 hrs for tracking correspondence; 1 hr for communication regarding and edits to SCSC Roundtable actions tracking sheet, and FAA 2018 Reauthorization tracking sheet			
	Totals		25.00	4,125.00
	Total Labor			4,125.00
			TOTAL THIS TASK:	\$4,125.00

Task					
0000004	Respond to Inquiries				
Professional Personnel					
			Hours	Rate	Amount
	Senior Director III				
358	Alverson, Steven	9/29/2020	.50	300.00	150.00
	Respond to Andi's Inquiry Re: Marie-Jo Response				
	Totals		.50		150.00
	Total Labor				150.00
				TOTAL THIS TASK:	\$150.00

Task					0000006	Other Direct Costs(ANR, Website Support, Letter Tracker)			
Reimbursable Expenses									
Project Materials									
AP	149493	9/30/2020	LAMBERT-MERIDITH PUBLICATIONS, INC. / SUBSCRIPTION RENEWAL FOR SANTA CLARA/SANTA CRUZ ROUNDTABLE JAN-DEC 2021 / Invoice: 2020070, 9/19/2020				1,700.00		
Total Reimbursables							1.0 times	1,700.00	1,700.00
							TOTAL THIS TASK:		\$1,700.00
							Total this Project		\$6,350.00
							Total this Report		\$6,350.00

Approved by Steve Alverson
9/20/2020 5:15 PM

Airport Noise Report

43978 URBANCREST COURT
ASHBURN, VIRGINIA 20147
FAX: (703) 729-4528
TEL: (703) 729-4867

INVOICE NO.	2020070
DATE	9-19-2020
ACCOUNT NO.	

INVOICE

Steve Alverson
National Director
FSA Airports
2600 Capitol Ave., Suite 200
Sacramento CA 95816

DESCRIPTION	AMOUNT	
Subscription renewal for Santa Clara/Santa Cruz Roundtable		
Jan - Dec 2021	\$1,700	
PLEASE PAY FROM THIS INVOICE		

CITIES ASSOCIATION OF SANTA CLARA COUNTY

Profit and Loss by Class

September 2018 - June 2020

	Roundtable	TOTAL
Income		
4000 INCOME		0.00
4020 Roundtable Income	374,999.01	374,999.01
Total 4000 INCOME	\$ 374,999.01	\$ 374,999.01
Total Income	\$ 374,999.01	\$ 374,999.01
Gross Profit	\$ 374,999.01	\$ 374,999.01
Expenses		
6000 GENERAL OFFICE		0.00
6162 Hospitality	172.05	172.05
6350 Roundtable consultant and technical services	330,156.81	330,156.81
6610 Postage and Delivery	9.65	9.65
6620 Software Licenses	5.98	5.98
6665 Printing and Copying	357.90	357.90
Total 6000 GENERAL OFFICE	\$ 330,702.39	\$ 330,702.39
OFFICE PERSONNEL_CONSULTANTS		0.00
6300 Legal & Professional Fees	5,000.00	5,000.00
6320 Attorney Services	2,743.00	2,743.00
Total 6300 Legal & Professional Fees	\$ 7,743.00	\$ 7,743.00
Total OFFICE PERSONNEL_CONSULTANTS	\$ 7,743.00	\$ 7,743.00
Total Expenses	\$ 338,445.39	\$ 338,445.39
Net Operating Income	\$ 36,553.62	\$ 36,553.62
Net Income	\$ 36,553.62	\$ 36,553.62

Tuesday, Oct 27, 2020 12:51:36 PM GMT-7 - Accrual Basis

CITIES ASSOCIATION OF SANTA CLARA COUNTY

Profit and Loss by Class

July 1 - October 27, 2020

	Roundtable	TOTAL
Income		
4000 INCOME		0.00
4020 Roundtable Income	187,597.78	187,597.78
Total 4000 INCOME	\$ 187,597.78	\$ 187,597.78
Total Income	\$ 187,597.78	\$ 187,597.78
Gross Profit	\$ 187,597.78	\$ 187,597.78
Expenses		
6000 GENERAL OFFICE		0.00
6350 Roundtable consultant and technical services	33,918.75	33,918.75
Total 6000 GENERAL OFFICE	\$ 33,918.75	\$ 33,918.75
OFFICE PERSONNEL_CONSULTANTS		0.00
6300 Legal & Professional Fees		0.00
6320 Attorney Services	250.00	250.00
Total 6300 Legal & Professional Fees	\$ 250.00	\$ 250.00
Total OFFICE PERSONNEL_CONSULTANTS	\$ 250.00	\$ 250.00
Total Expenses	\$ 34,168.75	\$ 34,168.75
Net Operating Income	\$ 153,429.03	\$ 153,429.03
Net Income	\$ 153,429.03	\$ 153,429.03

Tuesday, Oct 27, 2020 12:53:25 PM GMT-7 - Accrual Basis

Column1	Column2	
SCSC Roundtable FY 21 Budget		
Resources		
Member Dues	\$	187,597.78
Reserves/Carryover *estimated	\$	36,553.62
	\$	224,151.40
Expenditures		
ESA Contract	\$	180,000.00
legal counsel	\$	5,000.00
	\$	185,000.00
estiimated ending fund balance	\$	39,151.40

Budget approved by SCSC Roundtable on July 2020 meeting
Reserve carryover based on expenditure audit

Memorandum

TO: BOARD OF DIRECTORS
CITIES ASSOCIATION OF SANTA
CLARA COUNTY

FROM: Joe Rois,
City Auditor

SUBJECT: CITIES ASSOCIATION OF
SANTA CLARA COUNTY EXPENDITURE
REVIEW, FISCAL YEARS ENDING
JUNE 30, 2019 & 2020

DATE: November 2, 2020

SUMMARY

The Office of the City Auditor has performed an expenditure review of the Cities Association of Santa Clara County (Association) for the fiscal years ending June 30, 2019 and 2020. We also reviewed the controls in place to protect Association assets. On a monthly basis, the Executive Director provides the Board with financial reports. However, because of transactions not being recorded in the correct accounting period, the reports have not been accurate. Adjustments have been made to account for these transactions and appear reasonable. However, they have led to sizable differences between the reports provided to the Board and the accounting records for the same reporting period.

Although there are controls in place, such as monthly account reconciliations approved by the Board Treasurer, there is room for improvement. Association assets and accounting records are currently commingled with those of the Santa Clara / Santa Cruz Roundtable (Roundtable). The Roundtable is an initiative the Association helped create and oversee but which is expected to separate from the Association within the current fiscal year. There is overlap among the members of the Association and the Roundtable, but not all members of the Association participate in the Roundtable. The Association also provides the Roundtable administrative and bookkeeping services, but these costs are currently being paid by the Association.

We had three recommendations related to recording transactions in the correct accounting period, keeping the Board apprised of accounting adjusting impacting financial reports previously provided to the them, and separating Association assets from those of the Roundtable. The Executive Director agreed with the recommendations.

BACKGROUND

The Association is a collaboration of the fifteen cities of Santa Clara County. It was formed in 1990 to improve cooperation among city governments in addressing issues of common interest. Its Board is composed of a representative from each member city.

Since the prior expenditure review in 2018, the Association has expanded its efforts to address aircraft noise mitigation and housing within the region through two new initiatives: the Santa Clara / Santa Cruz Roundtable and the Santa Clara County Planning Collaborative.

- **Santa Clara / Santa Cruz Roundtable:** In October 2018, the Association's Board of Directors helped create the Santa Clara / Santa Cruz Roundtable (Roundtable). The Roundtable is a permanent aircraft noise mitigation entity, and its members include 8 of the 15 cities that make up the Association, as well as Santa Clara County.¹ The Association also provides administration and bookkeeping services to the Roundtable. According to the Association's Executive Director, the Roundtable is expected to officially separate from the Association by the end of fiscal year 2020-21. The Roundtable has its own bylaws but has not yet been organized as a separate legal entity.
- **Santa Clara County Planning Collaborative:** The planning collaborative was launched in October 2019 and was created to help address the region's housing and homelessness challenges. Participating members include all the cities that make up Association, as well as the County of Santa Clara.

These two initiatives have resulted in a significant increase in Association assets as the membership dues and expenses of both initiatives are included in the Association's financial reports. As of June 30, 2020, financial reports showed total assets of \$206,000, increasing from \$58,000 two years earlier.

Prior Year Expenditure Reviews

The Office of the City Auditor has periodically issued expenditure reviews since 1996, the last of which was issued in August 2018 and covered the fiscal years ending June 30, 2017 and 2018.² Based on prior reviews, we have found that the Association had generally reported its expenditures accurately to its Board and had controls in place to protect Association assets. In past reports, we have made recommendations to improve controls, such as contracting a bookkeeper to help maintain accounting records and produce financial reports, adjusting accounting procedures to ensure more timely reporting of payroll expenditures and proper accounting of capital expenditures, and others.

ACCURACY OF REPORTED REVENUES AND EXPENDITURES

Because items have not been recorded in correct accounting periods, we found that the Board has not been receiving accurate financial reports. This has required adjustments being made later that have led to sizable differences between the financial records provided to the Board and those in the Association's accounting system for the same period.

For instance, the profit and loss statement provided to the Board for the fiscal year ending June 30, 2020 showed revenues of \$463,000. However, the Association's accounting system shows revenues of \$338,000 for the same period. The difference of \$125,000 was due to items being recorded in the wrong fiscal year. Later, accounting adjustments were made to correct the error, but this was after the reports had been provided to the Board. There were similar instances of this occurring in other periods that impacted financial reports provided to the

¹ Initial Roundtable members included the cities of Monte Sereno, Capitola, and Santa Cruz, as well as Santa Cruz County. These jurisdictions are no longer members of the Roundtable.

² Prior year reports can be found on the City Auditor's website at <http://www.sanjoseca.gov/audits>.

Board. In total, 8 of the 9 financial reports we reviewed contained discrepancies. The average amount of the discrepancies was \$62,000.

Although the adjustments appear reasonable, their effect on previously published financial reports had not been reported to the Board at the time of this review. We recommend that the Executive Director work with the bookkeeper to record transactions in the correct accounting period and establish a process to inform the Board when accounting adjustments materially change financial reports previously provided to them.

CONTROLS TO PROTECT ASSOCIATION ASSETS

Although the Association has controls in place to protect Association assets, there is room for improvement. Association assets and accounting records are currently commingled with those of the Roundtable. The Roundtable's bylaws require that expenses be paid from the Roundtable's fund.

A single bank account is used to manage all cash flows from the Association and Roundtable. According to the Executive Director, a separate bank account could not be opened because the Roundtable has not yet been established as a separate legal entity. Accounting records also do not fully distinguish between the assets of the Association and those of the Roundtable. Given the impending separation of the Roundtable from the Association, we recommend the Executive Director separate and reconcile the assets among the different initiatives, including establishing a separate bank account.

Currently, the Association is providing administrative services to the Roundtable. This includes preparing operating budgets, paying approved invoices, providing accounting services, and project management. The associated costs are currently being paid by the Association. Not all members of the Association are members of the Roundtable, therefore non-members are subsidizing the effort. The Executive Director estimates that approximately one-third of her time and one-third of the bookkeeper's time is spent providing these services. This could amount to \$35,000 to \$40,000 in services, based on Executive Director wages, including related fees and taxes, and bookkeeping services for the fiscal year ending June 30, 2020. If the Association remains involved in the operation after separation, the Association should negotiate cost reimbursement for providing its services.

Association Organizational Status

Currently, the Association is an unincorporated association and may have an obligation to file form 990 with the Internal Revenue Service (IRS). To date, it has not been filing that form, which potentially exposes the Association to a risk of IRS penalties. The Executive Director reports that the Association expects to reorganize as a joint powers association, and the Board has contracted a law firm to help with this matter.

CONCLUSION

Based on our review, we found that the Board has not been receiving accurate financial reports and additional controls are needed to protect Association assets. We recommend the Executive Director and the Board work together to establish additional controls to help ensure the Board is provided accurate financial reports and improve the protection Association assets.

We reviewed this memorandum with the Executive Director of the Association and thank her for her cooperation and assistance during our review.

A handwritten signature in black ink, appearing to read 'JR' with a stylized flourish.

Joe Rois
City Auditor

Audit staff: Juan Barragan
Attachments

SE

JR: lg
20-07

Appendix A

Objective, Scope, and Methodology

The mission of the City Auditor's Office is to independently assess and report on City operations and services. The audit function is an essential element of San José's public accountability, and our audits provide the City Council, City management, and the general public with independent and objective information regarding the economy, efficiency, and effectiveness of City operations and services. In accordance with the City Auditor's Fiscal Year 2020-21 Audit Work Plan, we have completed an expenditure review of the Cities Association of Santa Clara County.

We conducted this performance audit in accordance with generally accepted government auditing standards.³ Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

The objective of this review was to determine whether the Board of Directors has been receiving accurate financial reports and whether controls are in place to protect Association assets. To meet our audit objectives, we did the following:

- Reviewed financial reports provided to the Executive Board and compared reports to those currently available in the Association's internal accounting software, QuickBooks, for the same reporting period.
- Reviewed Association bank and Local Agency Investment Fund statements and Association-prepared bank reconciliations.
- Reconciled payroll tax reports prepared by the Association's outside payroll firms with payroll entries recorded in QuickBooks.
- Reviewed transaction detail and supporting documentation for selected asset, revenue, and expense categories.
- Reviewed reimbursements to the Executive Director.
- Reviewed user access and rights within QuickBooks.
- Reviewed whether the Board or Executive Board receive monthly financial reports.
- Reviewed the Association and Roundtable's bylaws.
- Interviewed the Association's Executive Director and Bookkeeper.

We would like to thank the Executive Director for her time and insight during the audit process.

³ A performance audit differs from a financial statement audit. As a result, we do not express an opinion on the attached unaudited financial statements.

Appendix A

CITIES ASSOCIATION OF SANTA CLARA COUNTY

BALANCE SHEET

As of June 30, 2020

	TOTAL	
	AS OF JUN 30, 2020	AS OF JUN 30, 2019 (PY)
ASSETS		
Current Assets		
Bank Accounts		
1001 Checking - Union Bank	81,238.43	151,132.22
Total Bank Accounts	\$81,238.43	\$151,132.22
Accounts Receivable		
1200 Accounts Receivable	0.00	0.00
Total Accounts Receivable	\$0.00	\$0.00
Other Current Assets		
1300 LAIF Funds	123,348.50	120,512.63
1310 Venue Prepaid Deposit	1,000.00	1,000.00
1395 Accrued Interest	44.60	44.60
1499 Undeposited Funds	0.00	0.00
Total Other Current Assets	\$124,393.10	\$121,557.23
Total Current Assets	\$205,631.53	\$272,689.45
Fixed Assets		
1500 Machinery and Equipment	2,203.41	2,203.41
1700 Accumulated Depreciation	-1,926.59	-1,926.59
Total Fixed Assets	\$276.82	\$276.82
TOTAL ASSETS	\$205,908.35	\$272,966.27

CITIES ASSOCIATION OF SANTA CLARA COUNTY

BALANCE SHEET

As of June 30, 2020

	TOTAL	
	AS OF JUN 30, 2020	AS OF JUN 30, 2019 (PY)
LIABILITIES AND EQUITY		
Liabilities		
Current Liabilities		
Accounts Payable		
2000 Accounts Payable	41,407.50	58,021.71
Total Accounts Payable	\$41,407.50	\$58,021.71
Credit Cards		
2200 First National Bank of Omaha	1,261.15	433.68
Total Credit Cards	\$1,261.15	\$433.68
Other Current Liabilities		
2100 Payroll Liabilities	0.00	0.00
2120 FICA		
2122 Company	0.00	0.00
Total 2120 FICA	0.00	0.00
2150 SDI	0.00	0.00
2160 State Withholding	0.00	0.00
2170 Payroll Taxes Payable	0.00	0.00
Total 2100 Payroll Liabilities	0.00	0.00
Total Other Current Liabilities	\$0.00	\$0.00
Total Current Liabilities	\$42,668.65	\$58,455.39
Total Liabilities	\$42,668.65	\$58,455.39
Equity		
1110 Unrestricted Fund Balance	177,215.79	21,454.86
3000 Opening Bal Equity	-34.00	-34.00
3010 Reserves	0.00	0.00
3011 Reserve for Equip. Replacement	0.00	0.00
3013 Reserve for New Equip.	2,329.09	2,329.09
3014 Reserve for Operations	35,000.00	35,000.00
3015 Reserve for Program/Opport.	0.00	0.00
3016 Unreserved	0.00	0.00
Total 3010 Reserves	37,329.09	37,329.09
Net Income	-51,271.18	155,760.93
Total Equity	\$163,239.70	\$214,510.88
TOTAL LIABILITIES AND EQUITY	\$205,908.35	\$272,966.27

Appendix B

CITIES ASSOCIATION OF SANTA CLARA COUNTY

PROFIT AND LOSS

July 2019 - June 2020

	TOTAL	
	JUL 2019 - JUN 2020	JUL 2018 - JUN 2019 (PY)
Income		
4000 INCOME		
4010 Membership Dues	150,290.19	144,901.05
4020 Roundtable Income	124,999.00	250,000.01
4030 Directory Income	15.00	195.00
4040 Planning Collaborative	53,333.28	
4050 Membership Dinners - Proceeds	6,911.41	8,100.00
4060 LAIF INCOME	2,835.87	1,882.35
Total 4000 INCOME	338,384.75	405,078.41
Reimbursement		18.42
Total Income	\$338,384.75	\$405,096.83
GROSS PROFIT	\$338,384.75	\$405,096.83
Expenses		
6000 GENERAL OFFICE		
6112 Advertising/Promotional		
6115 Website Update		2,000.00
Total 6112 Advertising/Promotional		2,000.00
6120 Bank Service Charges	36.00	43.00
6122 Merchant QB Payment Fees	299.21	1.12
Total 6120 Bank Service Charges	335.21	44.12
6125 Directory Production	317.00	241.00
6151 Conferences/Director's Expenses	148.55	373.30
6160 Dues & Subscriptions	225.00	400.00
6162 Hospitality	838.30	1,480.59
6180 Insurance	1,760.99	1,690.50
6190 Website SOS	600.00	
6350 Roundtable consultant and technical services	223,705.39	106,451.42
6370 Programs and Initiatives	1,100.00	1,000.00
6550 Supplies and Equipment	125.10	269.39
6610 Postage and Delivery	9.17	98.29
6611 Post Office Box	150.00	56.00
6615 Office/General Administrative Expenses	94.04	
6620 Software Licenses	1,776.84	1,287.76
6665 Printing and Copying	744.68	1,345.52
6670 Recognition	392.95	
Total 6000 GENERAL OFFICE	232,323.22	116,737.89
6700 Reimbursable Expense		122.00
6999 Uncategorized Expense		3.00

CITIES ASSOCIATION OF SANTA CLARA COUNTY

PROFIT AND LOSS

July 2019 - June 2020

	TOTAL	
	JUL 2019 - JUN 2020	JUL 2018 - JUN 2019 (PY)
EVENT EXPENSES		
6400 General Meeting - catering	300.00	1,034.11
6410 General meeting - office supplies/signage	1,251.72	884.15
6675 Membership Dinners - Cost	7,388.96	12,237.69
Total EVENT EXPENSES	8,940.68	14,155.95
Office		6.80
6155 Computer & Equipment		2,670.91
Internet - Web Hosting Services (deleted)		128.81
Total Office		2,806.52
OFFICE PERSONNEL_CONSULTANTS		
6153 Contractors	24,975.00	
6300 Legal & Professional Fees	5,000.00	
6310 Accounting Services	3,003.75	2,110.50
6320 Attorney Services	1,443.00	1,300.00
Total 6300 Legal & Professional Fees	9,446.75	3,410.50
6565 Payroll Service Fees	546.00	589.00
6568 Workers Compensation	623.32	684.02
6575 Payroll Wages/Salary	104,583.33	102,999.96
6580 Payroll Taxes	8,217.63	7,881.00
Total OFFICE PERSONNEL_CONSULTANTS	148,392.03	115,564.48
Other Miscellaneous Service Cost		7.17
void (deleted-1)		0.00
Total Expenses	\$389,655.93	\$249,397.01
NET OPERATING INCOME	\$ -51,271.18	\$155,699.82
Other Income		
General Membership Meeting		61.11
Total Other Income	\$0.00	\$61.11
NET OTHER INCOME	\$0.00	\$61.11
NET INCOME	\$ -51,271.18	\$155,760.93

NAME OF ORGANIZATION: SF BAY CONSERVATION AND DEVELOPMENT COMMISSION (BCDC)

Name of Contact Person: Jessica Fain
Phone: 401-924-1197 (cell); 415-352-3867 (office)
Email: Jessica.fain@bcdcc.ca.gov
Presenters: Jessica Fain, Dana Brechwald

REQUEST (WHAT WILL BE PRESENTED?):

Bay Adapt is an initiative to establish regional agreement on the actions necessary to protect people and the natural and built environment from rising sea levels. Through this collaborative action-setting initiative, Bay Area regional, local and community leadership have drafted a Joint Platform – a set of shared actions -- that will allow the Bay Area to adapt better and adapt faster to a rising Bay. In November and December, we are reaching out to city, county and community leaders across the Bay Area to seek feedback on and gain support for the draft Joint Platform

Ideally, we would present this to the Cities Association at their November meeting (11/12).

Visit www.bayadapt.org for more info.

RELEVANCE TO THE CITIES ASSOCIATION:

Adaptation to sea level rise will primarily occur at the local level. However, local action alone will lead to insufficient outcomes both locally and regionally. The Bay Adapt Joint Platform represents a roadmap, comprised of actions, for coordinated Bay Area sea level rise adaptation. It seeks to tackle the governance, financing, planning, and legislative challenges that stand in the way of coordinated, accelerated adaptation to sea level rise both locally and regionally. If implemented, the actions that make up the Joint Platform will guide the region towards common goals, identify how to pay for adaptation, empower cities and counties to become more resilient, and reduce risks from flooding for all Bay Area residents, ecosystems, the economy, and our built environment.

WHAT ACTION IS REQUESTED OF THE CITIES ASSOCIATION?

Feedback, and, ideally, support.

MATERIALS TO BE SENT TO SUPPORT PRESENTATION:

We will be sharing the draft Joint Platform document, including an Executive Summary, in early November. We will also have a PowerPoint presentation.



Purpose of the Code of Conduct Policy

The Cities Association of Santa Clara County (CASCC) has adopted this Code of Conduct for members¹ of the CASCC to assure both the public and CASCC members that the CASCC operates with integrity, fairness, efficiency, and respect.

This Code of Conduct applies to the members of CASCC during public meetings as well as during their interactions with other CASCC members and the public while CASCC members act in their capacity as CASCC representatives. This policy further applies to all committees, task forces, or other groups designated by the CASCC to work with or advise the CASCC, including the Planning Collaborative, and any bodies for whom CASCC serves as fiscal agent or sponsor, such as the Santa Cruz/Santa Clara Roundtable (“SCSC Roundtable”). SCSC Roundtable members and staff are similarly subject to the conditions and policies herein while they are acting as representatives of the SCSC Roundtable, as their actions and behavior reflect directly upon CASCC.

CASCC and all covered individuals under this policy are committed to:

- Behaving honestly, truthfully and with integrity in all our transactions and dealings;
- Treating our members, CASCC staff, and the public fairly;
- Treating every member, staff, and the public with dignity and respect;
- Treating our staff with respect, fairness and good faith;
- Ensuring compliance with both the spirit and the letter of the law;
- Avoiding conflicts of interest;
- Appropriately handling actual or apparent conflicts of interest in our relationships;
- Acting responsibly toward the communities in which we work and for the benefit of the communities that we serve;
- Being responsible, transparent and accountable for all of our actions; and
- Setting a robust example of accountability, transparency, ethical conduct and effectiveness for collaborative intergovernmental associations like CASCC.
- Commitment to open, honest communication in the spirit of transparency.

¹ For ease of reference in the Code of Conduct, the term “member” refers to any member of the Cities Association of Santa Clara County, including the individual representatives of Santa Clara County cities who have been appointed to the Executive Board and Board of Directors. “Member” further refers to staff and any member of the SCSC Roundtable.

Anti- Discrimination and Anti-Harassment Policy

Objective

CASCC is committed to a work environment in which all individuals, members and staff alike, are treated with respect and dignity. Each individual has the right to work in a professional atmosphere that promotes equal employment opportunities and prohibits unlawful discriminatory practices, including harassment. Therefore, CASCC expects that all relationships among members, including with other members, the public, and staff, will be business-like and free of unlawful or explicit bias, prejudice and harassment.

CASCC has developed this policy to ensure that all its employees can work in an environment free from unlawful harassment, discrimination and retaliation. CASCC will make every reasonable effort to ensure that all concerned are familiar with these policies and are aware that any complaint in violation of such policies will be investigated and resolved appropriately.

Any member or staff person who has questions or concerns about these policies should request a discussion with the President or 1st Vice-President of CASCC, CASCC Executive Director, CASCC attorney.

Dedication to Equal Employment Opportunity

It is the policy of CASCC to ensure equal employment opportunity without discrimination or harassment on the basis of race, color, religion, sex, sexual orientation, gender identity or expression, age, disability, marital status, citizenship, national origin, genetic information, or any other characteristic protected by law. CASCC prohibits any such discrimination or harassment.

Prohibition Against Retaliation

CASCC encourages reporting of all perceived incidents of discrimination or harassment. It is the policy of CASCC to promptly and thoroughly investigate such reports. CASCC prohibits retaliation against any individual who reports discrimination or harassment or participates in an investigation of such reports.

Prohibition Against Sexual Harassment

Sexual harassment constitutes discrimination and is illegal under federal, state and local laws. For the purposes of this policy, “sexual harassment” is defined, as in the Equal Employment Opportunity Commission Guidelines, as unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when, for example: a) submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment, b) submission to or rejection of such conduct by an individual is used as the basis for

employment decisions affecting such individual, or c) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Sexual harassment may include a range of subtle and not-so-subtle behaviors and may involve individuals of the same or different gender. Depending on the circumstances, these behaviors may include unwanted sexual advances or requests for sexual favors; sexual jokes and innuendo; verbal abuse of a sexual nature; commentary about an individual's body, sexual prowess or sexual deficiencies; leering, whistling or touching; insulting or obscene comments or gestures; display in the workplace of sexually suggestive objects or pictures; and other physical, verbal or visual conduct of a sexual nature. These behaviors are prohibited and CASC does not condone or permit any such conduct.

Prohibition Against Harassment and Hostile Work Environment

Harassment on the basis of any other protected characteristic is also strictly prohibited. Under this policy, harassment is verbal, written or physical conduct that denigrates or shows hostility or aversion toward an individual because of his or her race, color, religion, sex, sexual orientation, gender identity or expression, national origin, age, disability, marital status, citizenship, genetic information, or any other characteristic protected by law, or that of his or her relatives, friends or associates, and that: a) has the purpose or effect of creating an intimidating, hostile or offensive work environment, b) has the purpose or effect of unreasonably interfering with an individual's work performance, or c) otherwise adversely affects an individual's employment opportunities.

Harassing conduct includes epithets, slurs or negative stereotyping; threatening, intimidating or hostile acts; denigrating jokes; and written or graphic material that denigrates or shows hostility or aversion toward an individual or group that is placed on walls or elsewhere on the employer's premises or circulated in the workplace, on company time or using company equipment by e-mail, phone (including voice messages), text messages, social networking sites or other means.

CASC also prohibits the creation of a hostile work-environment. A hostile work environment is defined as inappropriate behavior in the workplace that is either severe *or* pervasive enough to create an abusive work atmosphere for one or more individuals, including members or staff.

CASC prohibits bullying behavior against members, staff, or the public, and prohibits members from improperly or abusively denigrating other members, staff, or the public while engaged in CASC related business, including in communications with other members, staff, or the public regarding CASC business.

Individuals and Conduct Covered

These policies apply to all members, staff employees and applicants for staff positions, whether related to conduct engaged in by fellow employees or by someone not directly connected to CASCC (e.g., an outside consultant).

The policies apply to the all committees, task forces, or other groups designated by the CASCC to work with or advise the CASCC, including the Planning Collaborative and SCSC Roundtable and its members, as well as staff employees and applicants for staff positions, so long as the CASCC continues to act as the fiscal agent for the SCSC Roundtable.

Conduct prohibited by these policies is unacceptable in the workplace, including during public meetings, while interacting with staff or members in person or via phone, email, and/or digital meeting, and in any work-related setting outside the workplace, such as business-related social events.

Reporting an Incident of Harassment, Discrimination or Retaliation

CASCC encourages reporting of all perceived incidents of discrimination, harassment or retaliation, regardless of the offender's identity or position. Individuals, including members or staff, who believe that they have been the victim of such conduct should immediately contact the CASCC President, 1st Vice-President, or Executive Director. CASCC encourages individuals who believe they are being subjected to such conduct to promptly advise the offender that his or her behavior is unwelcome and to request that it be discontinued. Often this action alone will resolve the problem. CASCC recognizes, however, that an individual may prefer to pursue the matter through complaint procedures described below.

Complaint Procedures

Individuals, including members or staff, who believe they have been the victims of conduct prohibited by this policy or believe they have witnessed such conduct should discuss their concerns with the CASCC Executive Director.

CASCC encourages the prompt reporting of complaints or concerns so that rapid and constructive action can be taken before relationships become irreparably strained. Therefore, while no fixed reporting period has been established, early reporting and intervention are the most effective method of resolving actual or perceived incidents of harassment.

Any reported allegations of harassment, discrimination or retaliation will be investigated promptly and referred to the CASCC Attorney. The investigation may include individual

interviews with the parties involved and, where necessary, with individuals who may have observed the alleged conduct or may have other relevant knowledge.

CASCC will maintain confidentiality throughout the investigatory process to the extent consistent with adequate investigation and appropriate corrective action.

Retaliation against an individual for reporting harassment or discrimination or for participating in an investigation of a claim of harassment or discrimination is a serious violation of this policy and, like harassment or discrimination itself, will be subject to disciplinary action. Acts of retaliation should be reported immediately and will be promptly investigated and addressed.

Misconduct constituting harassment, discrimination or retaliation will be dealt with appropriately.

If a party to a complaint does not agree with its resolution, that party may appeal to the CASCC Executive Board by informing the CASCC Executive Director that the party would like to appeal the resolution of the complaint.

False and malicious complaints of harassment, discrimination or retaliation (as opposed to complaints that, even if erroneous, are made in good faith) may be the subject of appropriate responsive action.

Conflicts of Interest Policy

Conflicts of interest can raise governance and decision-making concerns for CASCC. They also may raise concerns in the mind of the public and members of the media, potentially undermining CASCC's reputation and good standing. Generally speaking, a conflict of interest is a situation in which a CASCC member or any covered individual under this policy has a personal or financial interest that compromises or could compromise the member's independence of judgment in exercising his or her responsibilities to CASCC or for those whom CASCC acts as fiscal agent.

Members are expected to minimize conflicts of interest, disclose ethical, legal, financial, and other conflicts, and remove themselves from decision-making if they would otherwise be called on to act on a conflict involving themselves or entities with which they are closely associated.

Under this policy, members are required to disclose actual or potential conflicts of interest, as well as certain relationships and transactions, to enable to take steps it considers necessary or advisable to address conflicts of interest. Depending on the circumstances, a relationship and/or transaction disclosed under this policy will fall into one of three categories: the relationship/transaction 1) is not a conflict of interest, 2) is a conflict of interest that is permitted provided that certain procedures are followed, or 3) is a conflict that is prohibited altogether.

Members should contact the CASC Executive Director with any concerns regarding a potential or actual conflict of interest as soon as is practicable.

DRAFT



SLATE OF CANDIDATES 2021 EXECUTIVE BOARD OF DIRECTORS



PRESIDENT

Councilmember Marico Sayoc (12/2022)
Town of Los Gatos
Currently serves as 1st Vice President
Member of Executive Board for 3 years



1ST VICE PRESIDENT

Vice Mayor Charles "Chappie" Jones (12/2022)
City of San José
Currently serves as 2nd Vice President
Member of Executive Board for 2 years



2ND VICE PRESIDENT

Mayor Margaret-Abe Koga (1/2021)
City of Mountain View
Currently serves as Secretary -Treasurer
Member of Executive Board for 6 years, from
2011-14, 2019-2020



SECRETARY-TREASURER

Vice Mayor of Neysa Fligor (12/2022)
City of Los Altos
Currently serving as Legislative Action Committee
Chair
Member of the Executive Board for 1 year



LEGISLATIVE CHAIR

Mayor Rich Constantine
City of Morgan Hill
Member of the Executive Board 3 months



PAST PRESIDENT

Mayor Larry Klein (12/2020)
City of Sunnyvale
Currently serves as the President
Member of Executive Board for 3 years