



CITY COUNCIL MEETING

COUNCIL CHAMBERS, 33 SOUTH MAIN STREET, COLFAX, CA

MAYOR TONY HESCH • MAYOR PRO-TEM KIM DOUGLASS
COUNCILMEMBERS • DONNA BARKLE • JASON MCKINNEY • TOM PARNHAM



REGULAR MEETING AGENDA

October 8, 2014 • Closed Session 6:00 PM • Regular Session begins at 7:00 PM

1) CONVENE CLOSED SESSION

- 1A. **Call to Order**
- 1B. **Roll Call**
- 1C. **Public Comment – Closed Session Items**
- 1D. **Closed Session Agenda**

Conference with real property negotiators pursuant to Government Code Section 54956.8.

Property: Colfax Theater, 49 S. Main Street, City Negotiators: City Manager Mark Miller and City Attorney Alfred "Mick" Cabral. Under negotiation: price and terms.

2) CONVENE OPEN SESSION

- 2A. **Pledge of Allegiance**
- 2B. **Roll Call**
- 2C. **Approval of Agenda Order**

This is the time for changes to the agenda to be considered including removal, postponement, or change to the agenda sequence.

RECOMMENDED ACTION: By motion, accept the agenda as presented or amended.

3) CONSENT CALENDAR

RECOMMENDED ACTION: Approve Consent Calendar

All matters listed under the Consent Agenda are considered routine in nature and will be approved by one blanket motion with a roll call vote. There will be no separate discussion of these items unless persons request specific items to be removed from the Consent Agenda for discussion and separate action. Any items removed will be considered after the motion to approve the Consent Agenda. If you wish to have an item pulled from the Consent Agenda for discussion, please notify the City staff.

- 3A. **Minutes City Council Meeting of September 24, 2014**
Recommendation: Approve the Minutes of the Regular Meeting of September 10, 2014.
- 3B. **Quality Assurance Program 2014**
Recommendation: Adopt Resolution 27-2014 Approval and Adoption of the City of Colfax Quality Assurance Program (QAP)-2014, for Federal-Aid Transportation Projects, and Authorizing the City Engineer to Execute and Sign the QAP.
- 3C. **Grass Valley Street Notice of Acceptance**
RECOMMENDATION: Adopt Resolution 28-2014 Accepting the Grass Valley Street Road Rehabilitation Project as complete and directing the City Clerk to file a Notice of Completion.



4) COUNCIL, STAFF AND OTHER REPORTS

The purpose of these reports is to provide information to the Council and public on projects, programs, and issues discussed at committee meetings and other items of general information. No decisions will be made on these issues. If a member of the Council prefers formal action be taken on any committee reports or other information, the issue will be placed on a future Council meeting agenda.

- 4A. **Committee Reports and Informational Items - All Councilmembers**
- 4B. **Operations Update – City staff**
- 4C. **Additional Reports – Agency partners**

5) PUBLIC COMMENT

Members of the audience are permitted to address the Council on matters of concern to the public that are not listed on this agenda. Please make your comments as brief as possible. Comments should not exceed three (3) minutes in length. The Council cannot act on items not included on this agenda; however, if action is required it will be referred to staff.

6) COUNCIL BUSINESS

- 6A. **Administrative Policies and Procedures Updates**
STAFF PRESENTATION: Mark Miller, City Manager
RECOMMENDATIONS:
 - Adopt Resolution 29-2014 Adopting the City of Colfax Accounting Policy, Investment Policy and Whistleblower Policy.
 - Audit committee Formation
- 6B. **Procurement of Insurance in Lieu of Bonds for Designated Employees**
STAFF PRESENTATION: Mark Miller, City Manager
RECOMMENDATION: Adopt Resolution 30-2014 Authorizing the City Manager to obtain a Government Crime or Employee Dishonesty Insurance Policy in Lieu of an Official Bond
- 6C. **Consideration of Railroad Museum Support Request**
STAFF PRESENTATION: Mark Miller, City Manager
RECOMMENDATION: Discuss the plans for potential involvement in development of a Railroad Museum in the City of Colfax.
- 6D. **Assign Interim Representatives to fill Jason McKinney's Committee Assignments**
STAFF PRESENTATION: Mark Miller, City Manager
RECOMMENDATION: Assign interim representatives to, Bianchini Advisory Board/Sierra Vista Liaison, and Placer Sierra Fire Safe Council

7) ADJOURNMENT

IN WITNESS THEREOF, I have hereunto set my hand and posted this agenda at Colfax City Hall and Colfax Post Office.



Lorraine Cassidy, City Clerk

Administrative Remedies must be exhausted prior to action being initiated in a court of law. If you challenge City Council action in court, you may be limited to raising only those issues you or someone else raised at a public hearing described in this notice/agenda, or in written correspondence delivered to the City Clerk of the City of Colfax at, or prior to, said public hearing.



City of Colfax
 City Council Minutes
 Regular Meeting of Wednesday, September 24, 2014
 City Hall Council Chambers
 33 S. Main Street, Colfax CA

1 CALL CLOSED SESSION TO ORDER

1A. Call to Order:

Mayor Pro-tem Douglass called the meeting to order at 6:04 pm.

1B. Roll Call:

Councilmembers present – Barkle, Douglass, McKinney, Parnham

Councilmembers absent – Hesch

1C. Public Comment:

None

1D. Closed Session Agenda:

Public employee performance evaluation pursuant to Government Code
 Section 54957 Title: City Manager

Closed Session Adjourned at 6:54 PM.

2 CALL REGULAR MEETING TO ORDER

The Regular Council meeting was called to order at 7:00 PM by Mayor Pro-tem Douglass.

Mayor Pro-tem Douglass stated that there was no reportable action taken during Closed Session, but discussion will follow during Item 7A

2A. The Pledge of Allegiance was led by Frank Klein, President of the Colfax Chamber of Commerce.

2B. Roll Call:

Councilmembers present: Douglass, McKinney and Parnham

Councilmembers absent: Barkle, Hesch

2C. Approval of Agenda:

On a motion by Councilmember McKinney, seconded by Councilmember Parnham, the City Council approved the agenda.

AYES: Douglass, McKinney and Parnham

NOES: None

3 CONSENT CALENDAR

3A. Minutes City Council Meeting of September 10, 2014

Recommendation: Approve the Minutes of the Regular Meeting of September 10, 2014.

3B. Cash Summary Report August 30, 2014

Recommendation: Receive and File

3C. Appropriation Limits Correction: Approve corrections to Resolution 22-2014.

On a motion by Councilmember McKinney, seconded by Councilmember Parnham, the City Council approved the Consent Calendar.

AYES: Douglass, McKinney and Parnham

NOES: None

4. COUNCIL, STAFF AND OTHER REPORTS

4A Committee Reports and Informational Items – All Council Members

Councilmember McKinney

- Reported about the Bianchini Board meeting. The Board voted down the proposed change of by-laws to allow the Board to use the principal of the endowment for capital projects. The issue may be revisited at a future date if a large-scale project can be agreed upon. A new student representative from the High School participated in the meeting.

Councilmember Parnham

- Attended the Weimar Applegate Colfax Municipal Advisory Council (WACMAC) meeting. They discussed the proposed Parker Dam on Bear River. Since the proposed site is downstream, it will not benefit Colfax. The proposal is in the early stages of discussion.

Mayor Pro-tem Douglass

- Attended the Bianchini Board meeting. He expects that the issue of changing the by-laws will be addressed again. It is great to see students active in the community and politics.
- Project Go is expecting a large grant, some of the funds may be available to direct towards Mink Creek.
- Visited the Acres of Hope project which provides temporary housing for homeless/disfranchised women and children. Acres of Hope provides a two year program to help the women find a job and get on their feet. It is open for tours on the Third Friday of the month from 6:30 to 8:30.
- At the Placer County Transportation Planning Agency (PCTPA) meeting, there was no specific topic pertaining to Colfax, but as always, it was a positive networking opportunity.

4B Operations Updates – City Staff

City Manager Miller

- Update on the grass fire that started just before six tonight: it is mostly contained and in mop-up stage.
- The I-80 overcrossing work was delayed but is underway.
- The Colfax Mom's Group and other volunteer groups are patrolling our parks. The City has received positive feedback and appreciates their efforts and involvement.
- Staff continues to paint and repair signage around town.
- Progress continues at the burned building at Number 10 Auburn Street. They have reconsidered using some of the old and now will demo the entire structure.

- Our Community Services Director and City Attorney are working on the final abatement process for the burned building on Gearhart – one more hearing will be scheduled. If no progress ensues the City will demo the building and put a lien on the property.
- Staff is reviewing the request to aid in the development of a Railroad Museum and will bring a recommendation back to City Council on what City involvement might be appropriate.
- Maintenance Staff, both Jeff and Brett, will be taking Wastewater Operator exams in October.
- The Water Treatment Plant has had one of the longest online runs since it was built – in a few days it should set a record for the longest period of online operation.
- Please put the Thursday, October 23 City/County Officials Dinner on your calendar. The Town of Loomis is hosting. Lorraine will be in contact with you to coordinate the City's RSVP.

4C Additional Reports – Agency Partners

Chris Nave, California Highway Patrol (CHP) Officer and PIO

- I-80 was closed to the bridges over I-80 at Magra last night. The closure last night went well, but the work was not completed. I-80 will be closed again tonight. Several more bridges will be raised in the next few months, but this is the only expected closure of the Highway.
- “Street Vibrations” will be held in Reno soon, so expect more motorcycle traffic in the area. CHP will be increasing enforcement.

Frank Klein, President of the Chamber of Commerce

- The next Mixer will be hosted by Crispin Cider at Dine-n-Dash on October 23, from 5:30-7:30PM.
- The Colfax Mom's club will be hosting a Chili Cook-off to raise funds for the Caboose in early November.

5. PUBLIC COMMENT

Steve Harvey, Colfax resident

- Thanked Councilmember McKinney for his vote on the Bianchini Board.
- Agreed with Mayor Pro-tem Douglass that networking at the Agency Board meetings is very important.

Richard Mullaly, 225 Incline Drive

- Read a letter to Council explaining concerns for the condition of the roads in Canyon Creek Village. Staff will send a maintenance crew to assess the situation.

6. PUBLIC HEARINGS

- 6A. **Second Reading and Adoption of Ordinance No. 525:** An Ordinance of the City of Colfax amending Chapter 9.04 of Title 9 of the Colfax Municipal Code pertaining to alcoholic beverage possession and consumption
STAFF PRESENTATION: Mark Miller, City Manager
RECOMMENDED ACTION: Conduct Public Hearing; Consider Public and Staff Comments; Waive Second Reading and Adopt Ordinance No. 525 to become effective in 30 days.

City Manager Miller recommended opening the Public Hearing for Ordinance, discussion, and approval of the ordinance.

Mayor Pro-tem Douglass opened the Public Hearing. There being no public comments or Council discussion, the Public Hearing was closed.

On a motion by Councilmember McKinney, seconded by Councilmember Parnham, the City Council waived the second reading of the proposed ordinance and voted to adopt Ordinance 525 to be effective in 30 days.

AYES: Douglass, McKinney and Parnham

NOES: None

- 6B. **Public Hearing to Discuss and Consider Adopting Resolution No. 24-2014:** A Resolution Of The City Council Of The City Of Colfax Accepting And Approving the Annual AB 1600 Mitigation Fee Report And Making Findings Pursuant To Colfax Municipal Code Chapter 3.56 And The Mitigation Fee Act (Government Code §66000 Et Seq).
STAFF PRESENTATION: .Mark Miller, City Manager
RECOMMENDED ACTION: Conduct Public Hearing, Review Annual Report, Consider Public and Staff Comments and Adopt Resolution No. 24-2014

City Manager Miller explained that the mitigation fee report with findings is required by state law. The City is in compliance.

Mayor Pro-tem Douglass opened the hearing.

Steve Harvey commented that most fees are collected from Developments so the City should encourage more development along the I-80 Corridor.

There being no further public comment or Council discussion, the hearing was closed.

On a motion by Councilmember McKinney, seconded by Councilmember Parnham, the City Council adopted Resolution 24-2014 accepting and approving the Annual AB 1600 Mitigation Fee report.

AYES: Douglass, McKinney and Parnham

NOES: None

7. COUNCIL BUSINESS**7A. Discuss City Manager Evaluation and Consider Resolution Approving Adjustment to the City Manager Employment Agreement****STAFF PRESENTATION:** Mick Cabral, City Attorney**RECOMMENDATION:** Adopt Resolution No. 25-2014 Authorizing adjustment to the City Manager Agreement.

City Attorney Cabral explained that the City Manager agreement requires a yearly evaluation and determination of a satisfactory performance bonus up to 10%. Staff needs a discussion of the compensation from the public and Council.

Councilmember McKinney pointed out an apparent typographical error in the contract regarding vacation leave. The correction will be made to reflect the regular week/year vacation package.

Councilmember Parnham stated that City Manager Miller should receive a 10% bonus. Mayor Pro-tem Douglass agreed.

On a motion by Councilmember Parnham, seconded by Mayor Pro-tem Douglass, the City Council adopted Resolution 25-2014 authorizing a 10% bonus to the City Manager Agreement.

AYES: Douglass, and Parnham

ABSTAIN: McKinney

NOES: None

The Resolution was passed unanimously.

Councilmember McKinney stated that City Manager Miller has excelled in the area of community relations both within the City and with other agencies. He requested that City Manager Miller reach out at least annually to local civic and community organizations.

7B. Interim contract for Wastewater Treatment Plant Operations**STAFF PRESENTATION:** Mark Miller, City Manager**RECOMMENDATION:** Adopt Resolution No. 26-2014: A Resolution of the City Council of the City of Colfax authorizing the City Manager to execute an Interim Agreement with Fishers Wastewater Services to provide Chief Plant Operator Services at the Wastewater Treatment Plant

City Manager Miller stated that the good run for the Wastewater Treatment Plant (WWTP) has been due largely to the efforts of our current WWTP Operator, Mark Fisher. Mr. Fisher has recently separated from the firm which currently contracts with the City for a WWTP operator. Staff proposes that the City execute an agreement with Fishers Wastewater Services while staff prepares an RFP for a more permanent WWTP staffing solution. There are no problems with the legality of changing contractors since the contracts are at-will with 7 days' notice. The goal for announcing the RFP is October with permanent employees on-board by the end of the year. The City will look into

multiple solutions for staffing the WWTP including hiring one of the larger contractors or public agencies such as Placer County, contracting with a Consulting Firm and hiring full-time WWTP employees.

Steve Harvey spoke against the proposed contract.

On a motion by Councilmember Parnham, seconded by Councilmember McKinney, the City Council adopted Resolution 26-2014 authorizing the City Manager to execute an Interim Agreement with Fishers Wastewater Services to provide Chief Plant Operator Services at the Wastewater Treatment Plant

AYES: Douglass, McKinney and Parnham

NOES: None

7C. **Draft Active Contract Report:** For information only.

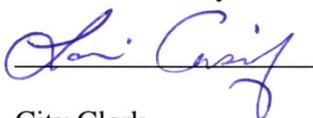
City Manager Miller stated that a report which shows all active contracts including those that are small and not subject to Council approval will be brought to Council on a quarterly basis. The current report is a draft which will be refined in the future to include progress and expenditures.

7. ADJOURNMENT

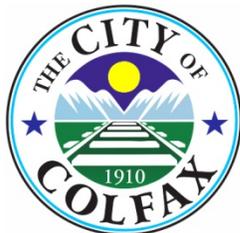
Mayor Pro-tem Douglass adjourned the meeting at 7:52 PM.

Respectfully submitted to City Council this 8th day of October, 2014.

Lorraine Cassidy



City Clerk



STAFF REPORT TO THE COLFAX CITY COUNCIL

For the October 8, 2014 Council Meeting

FROM: Staff

PREPARED: October 2, 2014

SUBJECT: Quality Assurance Program 2014

<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>	FUNDED	<input type="checkbox"/>	UN-FUNDED	AMOUNT: N/A	FROM FUND:
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RECOMMENDED ACTION: Adopt Resolution No. 27 -2014: Approval and Adoption of the City of Colfax Quality Assurance Program (QAP)-2014, for Federal-Aid Transportation Projects, and Authorizing the City Engineer to Execute and Sign the QAP

ISSUE STATEMENT AND DISCUSSION:

A Quality Assurance Program (QAP) describes sampling and testing procedures to ensure that the materials and workmanship incorporated into a construction project are in conformance with the contract specification. A QAP should be updated as needed, and at least once every five years. The City’s QAP is no longer current, and an update is required by Caltrans for the upcoming federally-funded projects.

Staff has taken a sample QAP provided by Caltrans and modified it slightly. Council authorization for the City Engineer to sign the document is requested, as the QAP must be approved by a CA Registered Engineer.

RECOMMENDATION

Approve Resolution No. 27-2014, which approves the City of Colfax Quality Assurance Program (QAP) – 2014 and authorizes the City Engineer to sign the document.

SUPPORTING DOCUMENTS:

1. Resolution 27-2014
2. Quality Assurance Program including six attachments

City of Colfax

City Council

Resolution № 27-2014

APPROVAL AND ADOPTION OF THE CITY OF COLFAX QUALITY ASSURANCE PROGRAM (QAP)-2014, FOR FEDERAL-AID TRANSPORTATION PROJECTS, AND AUTHORIZING THE CITY ENGINEER TO EXECUTE AND SIGN THE QAP

WHEREAS, the City of Colfax is responsible for the maintenance and upgrade of the City's transportation system; and

WHEREAS, the City establishes various projects to maintain and upgrade the City's transportation system: and

WHEREAS, Federal and State Share funds may be used for improvements associated with the various projects; and

WHEREAS, Caltrans requires that every local agency receiving funds for a Federal-aid transportation project must have a Quality Assurance Program (QAP) that describes sampling and testing procedures to ensure that the materials and workmanship incorporated into a construction project are in conformance with the contract specification; and

WHEREAS, the City prepared the City of Colfax Quality Assurance Program (QAP)-2014 in accordance with State requirements, which must be signed by a CA Registered Engineer.

NOW, THEREFORE BE IT RESOLVED by the City Council of the City of Colfax, to approve the adoption of the City of Colfax Quality Assurance Program (QAP)-2014, and authorize the City Engineer to sign it on the City's behalf.

The foregoing Resolution was duly and regularly adopted at a regular meeting of the City Council of the City of Colfax held on the 8th day of October, 2014 by the following vote of the Council:

AYES:

NOES:

ABSENT:

ABSTAIN:

ATTEST:

Tony Hesch, Mayor

Lorraine Cassidy, City Clerk

CITY OF COLFAX QUALITY ASSURANCE PROGRAM (QAP) 2014

PURPOSE

The purpose of this Program is to provide assurance that materials incorporated into construction projects are in conformance with contract specifications. This Program should be updated every five years or more frequently if there are changes to testing frequencies or to the tests themselves. To accomplish this purpose, the following terms and definitions will be used:

DEFINITION OF TERMS

- Acceptance Testing (AT) - Sampling and testing, or inspection, to determine the degree of compliance with contract requirements.
- Independent Assurance Program (IAP) - Verification that AT is being performed correctly by qualified testers and laboratories.
- Quality Assurance Program (QAP) - A sampling and testing program that will provide assurance that the materials and workmanship incorporated into the construction project are in conformance with the contract specifications. The main elements of a QAP are the AT, and IAP.
- Source Inspection - AT of manufactured and prefabricated materials at locations other than the job site, generally at the manufactured location.

APPLICABILITY

This Program shall be used by the City of Colfax for all federal-aid transportation projects on the State Highway System (SHS). Its use is mandatory for federal-aid projects and recommended for other City projects.

California Test methods will be used to meet the QAP requirements for projects on the State Highway System (SHS). The following QAP documents are to be used: The California Department of Transportation (Caltrans) Construction Manual and The Caltrans Independent Assurance (IA) Manual.

MATERIALS LABORATORY

The City of Colfax will use their own materials laboratory or a private consultant materials laboratory to perform AT on Federal-aid and other designated projects. The materials laboratory shall be under the responsible management of a California Registered Engineer with experience in sampling, inspection and testing of construction materials. The Engineer shall certify the results of all tests performed by laboratory personnel under the Engineer's supervision. The materials laboratory shall contain certified test equipment capable of performing the tests conforming to the provisions of this QAP.

The materials laboratory used shall provide documentation that the laboratory complies with the following procedures:

1. Correlation Testing Program - The materials laboratory shall be a participant in one or more of the following testing programs:
 - a) AASHTO Materials Reference Laboratory (AMRL)
 - b) Cement and Concrete Reference Laboratory (CCRL)
 - c) Caltrans' Reference Samples Program (RSP)

2. Certification of Personnel - The materials laboratory shall employ personnel who are certified by one or more of the following:
 - a) Caltrans District Materials Engineer
 - b) Nationally recognized non-Caltrans organizations such as the American Concrete Institute, Asphalt Institute, National Institute of Certification of Engineering Technologies, etc.
 - c) Other recognized organizations approved by the State of California and/or recognized by local governments or private associations.

3. Laboratory and Testing Equipment - The materials laboratory shall only use laboratory and testing equipment that is in good working order. All such equipment shall be calibrated at least once each year. All testing equipment must be calibrated by impartial means using devices of accuracy traceable to the National Institute of Standards and Technology. A decal shall be firmly affixed to each piece of equipment showing the date of the last calibration. All testing equipment calibration decals shall be checked as part of the IAP.

ACCEPTANCE TESTING (AT)

AT will be performed by a materials laboratory certified to perform the required tests. The tests results will be used to ensure that all materials incorporated into the project are in compliance with the contract specifications.

Testing methods will be in accordance with the CT Methods or a nationally recognized standard (i.e., AASHTO, ASTM, etc.) as specified in the contract specifications. Sample locations and frequencies may be in accordance with the contract specifications. If not so specified in the contract specifications, samples shall be taken at the locations and frequencies as shown in Attachment 1, "Acceptance Sampling and Testing Frequencies".

INDEPENDENT ASSURANCE PROGRAM (IAP)

IAP shall be provided by personnel from Caltrans, the City's certified materials laboratory, or consultant's certified materials laboratory. IAP will be used to verify that sampling and testing procedures are being performed properly and that all testing equipment is in good condition and properly calibrated.

IAP personnel shall be certified in all required testing procedures, as part of IAP, and shall not be involved in any aspect of AT.

IAP shall be performed on every type of materials test required for the project. Proficiency tests shall be performed on Sieve Analysis, Sand Equivalent, and Cleanness Value tests. All other types of IAP shall be witness tests.

Poor correlation between acceptance tester's results and other test results may indicate probable deficiencies with the acceptance sampling and testing procedures. In cases of unresolved discrepancies, a complete review of AT shall be performed by IAP personnel, or an independent materials laboratory chosen by the City. IAP samples and tests are not to be used for determining compliance with contract requirements. Compliance with contract requirements is determined only by AT.

REPORTING ACCEPTANCE TESTING RESULTS

The following are time periods for reporting material test results to the Resident Engineer:

- When the aggregate is sampled at material plants, test results for Sieve Analysis, Sand Equivalent and Cleanness Value should be submitted to the Resident Engineer within 24 hours after sampling.
- When materials are sampled at the job site, test results for compaction and maximum density should be submitted to the Resident Engineer within 24 hours after sampling.
- When soils and aggregates are sampled at the job site:
 - (1) Test results for Sieve Analysis, Sand Equivalent and Cleanness Value should be submitted to the Resident Engineer within 72 hours after sampling.
 - (2) Test results for "R" Value and asphalt concrete extraction should be submitted to the Resident Engineer within 96 hours after sampling.

When sampling products such as Portland Cement Concrete (PCC), cement-treated base (CTB), hot mix asphalt (HMA), and other such materials; the time of such sampling shall be varied with respect to the time of the day insofar as possible, in order to avoid a predictable sampling routine. The reporting of AT results, if not performed by the Resident Engineer's staff, shall be done on an expedited basis such as by electronic mail, fax or telephone.

TESTING OF MANUFACTURED MATERIALS

During the Design phase of the project, the Project Engineer may submit a "Source Inspection Request" (See Attachment 2) to the City, consultant, or Caltrans for inspection and testing of manufactured and prefabricated materials by their materials laboratory. A list of materials that can be typically accepted on the basis of certificates of compliance during construction is found in see Attachment 3 "Construction Materials Accepted by a Certificate of Compliance". All certificates of compliance shall conform to the requirements of the contract specifications. See Attachment 4 "Examples of Vendor's Certificate of Compliance".

Should the City request Caltrans to conduct the source inspection, and the request is accepted, all sampling, testing, and acceptance of manufactured and prefabricated materials will be performed by Caltrans' Office of Materials Engineering and Testing Services.

For Federal-aid projects on the National Highway System (NHS), Caltrans will assist in certifying the materials laboratory, and the acceptance samplers and testers. For Federal-aid projects off the NHS, Caltrans may be able to assist in certifying the materials laboratory, and the acceptance samplers and testers.

PROJECT CERTIFICATION

Upon completion of a Federal-aid project, a "Materials Certificate" shall be completed by the Resident Engineer. The City shall include a "Materials Certificate" in the Report of Expenditures submitted to the Caltrans District Director, Attention: District Local Assistance Engineer. A copy of the "Materials Certificate" shall also be included in the City's construction records. The Resident Engineer in charge of the construction function for the City shall sign the certificate. All materials incorporated into the work which did not conform to specifications must be explained and justified on the "Materials Certification", including changes by virtue of contract change orders. See Attachment 5 "Example of Materials Certificates Exceptions".

RECORDS

All material records of samples and tests, material releases and certificates of compliance for the construction project shall be incorporated into the Resident Engineer's project file. If a Federal-aid project:

- The files shall be organized as described in Section 16.8 "Project Files" of the Local Assistance Procedures Manual.
- It is recommended that the complete project file be available at a single location for inspection by Caltrans and Federal Highway Administration (FHWA) personnel.
- The project files shall be available for at least three years following the date of final project voucher.
- The use of a "Log Summary," (Attachment 6), facilitates reviews of material sampling and testing by Caltrans and FHWA, and assists the Resident Engineer in tracking the frequency of testing.

When two or more projects are being furnished identical materials simultaneously from the same plant, it is not necessary to take separate samples or perform separate tests for each project; however, copies of the test reports are to be provided for each of the projects to complete the records.

APPROVED BY: _____
(Signature)

(CE# and Expiration Date)

NAME: Nicholas J. Ponticello
TITLE: City Engineer

DATE: _____

Attachment 1 - Acceptance Sampling and Testing Frequencies

Note: It may be desirable to sample and store some materials. If warranted, testing can be performed at a later date.

Portland Cement (Hydraulic Cement)

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Cement/fly ash (Sampling only)	8-lb. sample	If possible, take a least one sample per job, even if the material is accepted based on a Certificate of Compliance.	ASTM D75, C494 CT 125 AASHTO T127, M85, M295	Standard for sampling hydraulic cement or fly ash.
Cement (Testing Only)	8-lb. sample	If the product is accepted based on a Certificate of Compliance, testing is not required. If the product is not accepted using a Certificate of Compliance, test at least once per job.	ASTM C109 CT 515 AASHTO T106	If testing appears warranted, fabricate six 2-in. mortar cubes using the Portland (or hydraulic cement). Test for compressive strength.

Portl and Cement Concrete (Hydraulic Cement Concrete)

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Aggregate for Hydraulic Cement Concrete (Sampling & Testing)	50-lb. sample	Take one aggregate sample for each 1000 cu. yd. of PCC/HCC concrete. Test at least one sample per job.	ASTM D75 CT 125 AASHTO M6, T2, M80	Sample aggregate from belt or hopper (random basis).
Water (Sampling & Testing)	Take a two-quart sample using a clean plastic jug (with lining) and sealed lid. Sample at the point of use.	If the water is clean with no record of chlorides or sulfates greater than 1%, no testing is required. If the water is dirty do not use it. Test only when the chloride or sulfates are suspected to be greater than 1%.	CT 405, CT 422, CT 417 AASHTO R23	If testing appears warranted, test for chlorides and sulfates.

Attachment 1 (continued)

Portland Cement Concrete (Hydraulic Cement Concrete) – Continued

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description of Comments
Air Entraining Admixtures (Sampling & Testing)	Take a one-quart sample using a clean, lined can or plastic bottle, if liquid. If powder, take a 2.5 lb. sample.	If the product is accepted based on a Certificate of Compliance, testing is not required. Take one sample per job. Prior to sampling, check with Caltrans (METS) for acceptable brands and dosage rates.	ASTM C233 AASHTO M154, T157, C260	If testing appears warranted, test for sulfates and chlorides Admixtures with sulfates and chlorides greater than 1% should not be used.
Water Reducers or Set Retarders (Sampling & Testing)	If liquid, take a 1-qt. sample using a clean plastic can. If powder, take a 2.5 lb. sample.	If the product is accepted based on a Certificate of Compliance, no testing is required. If not, test once per job. Prior to using this product, please check with Caltrans (METS) for acceptable brands and dosage rates.	ASTM C494 AASHTO M194	If testing appears warranted, test for sulfates and chlorides. Admixtures with sulfates and chlorides greater than 1% should not be used.
Freshly-Mixed Concrete (Sampling)	Approx. 150lb. (or 1 cu. ft.) near mixer discharge.	When tests are required, take at least one sample for each 500 to 1000 cu. yd. of PCC/HCC.	ASTM C172, C685 CT 539 AASHTO T141, M157	This describes a method to sample freshly-mixed concrete.
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge.	On projects with 500 cu. yd., or more, test at least one sample per job.	ASTM C143 AASHTO T119	This test determines the slump of the freshly-mixed concrete.
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	On projects with 500 cu. yd., or more, test at least one sample per job.	ASTM C360 CT 533	This test determines the ball penetration of the freshly-mixed concrete.
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	On projects with 500 cu. yd., or more, test at least one sample per job.	ASTM C231 CT 504 AASHTO T152	This test determines the air content of freshly-mixed concrete (pressure method).
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	On projects with 500 cu. yd., or more, test at least one sample per job.	ASTM C138 CT 518 AASHTO T121	This test determines the unit weight of freshly mixed concrete.

Attachement 1 (continued)

Portland Cement Concrete (Hydraulic Cement Concrete) – Continued

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Freshly-Mixed Concrete (Testing)	Approx. 150 lb/ (or 1 cu. ft.) near mixer discharge	Fabricate at least two concrete cylinders per project. Test for compressive strength at least once for each 500 to 1,000 cu. yd. of structural concrete.	ASTM C39 CT 521 AASHTO T22	This test is used to fabricate 6" x 12" concrete cylinders. Compressive strengths are determined, when needed.
Freshly-Mixed Concrete (Testing)	Approximately 210 lb. of concrete are needed to fabricate three concrete beams.	One sample set for every 500 to 1,000 cu. yd. of concrete.	ASTM C78 CT 31 AASHTO T97 & T23	This test is used to determine the flexural strength of simple concrete beams in third-point loading

Soils and Aggregates

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Aggregate (Sampling)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D75 CT 125 AASHTO T2	This test describes the procedures to sample aggregate from the belt or hopper (random basis).
Fine Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C128 CT 208 AASHTO T84	This test determines the apparent specific gravity of fine aggregates for bituminous mixes, cement treated bases and aggregate bases.
Fine Aggregate (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C128 CT 207 AASHTO T84	This test determines the bulk specific gravity (SSD) and the absorption of material passing the No. 4 sieve.
Coarse Aggregate (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	CT 206	This test determines the cleanness of coarse aggregate.

Attachment 1 (continued)

Soils and Aggregates - Continued

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Coarse Aggregate (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C127 CT 227 AASHTO T85	This test determines the specific gravity and absorption of coarse aggregate (material retained on the No. 4 sieve).
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C136 CT 202 AASHTO T27	This test determines the gradation of soils and aggregates by sieve analysis.
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D2419 CT 217 AASHTO T176	This test determines the Sand Equivalent of soils and aggregates.
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM C117 AASHTO T11	This test determines the gradation for materials finer than the No. 200 sieve (by washing method).
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D3744 CT 229 AASHTO T210	This test determines the Durability Index of soils and aggregates.
Soils and Aggregates (Testing)	One 50-lb. sample	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D2844 CT 301 AASHTO T190	This test determines the Resistance Value (R-) and expansion pressure of compacted materials.
Soils and Aggregates (Testing)	One random location for every 2,500 sq. ft.	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D2922 CT 231 AASHTO T238	This test determines field densities using the nuclear gage.
Soils and Aggregates (Testing)	One random location for every 2,500 sq. ft.	Take one sample for every 500 to 1,000 tons of materials. Test at least one sample per project.	ASTM D3017 CT 231 AASHTO T239	This test determines the water content using the nuclear gage.

Attachment 1 (continued)

Asphalt Binder

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Binder (Sampling)	One 0.5-gal. sample placed in a clean, sealed can.	Sample once per job at the asphalt concrete plant.	CT 125 ASTM D 979 AASHTO T 168, T48	This procedure describes the proper method to sample the asphalt binder.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Sample once per job at the asphalt concrete plant.	ASTM D92, D117 AASHTO T 48	This test determines the flash point of the asphalt binder (by Cleveland open cup).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D2872 & D92 CT 346 AASHTO T240 &T48	This test determines the rolling thin-film oven test (RTFO).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D2042 AASHTO T44	This test determines the solubility of asphalt material in trichloroethylene.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D2171 AASHTO T202	This test determines the dynamic viscosity, (absolute viscosity of asphalt @ 140 degrees F by the Vacuum Capillary Viscometer Poises).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D5 AASHTO T49	This test determines the penetration of bituminous material @ 77 degrees F and percentage of original penetration from the residue.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D113 AASHTO T51	This test determines the ductility of asphalt @ 77 degrees F.
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D2170 AASHTO T201	This test determines the kinematic viscosity of asphalt @275 degrees F (Centistoke).

Attachment 1 (continued)

Asphalt Binder - Continued

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D2171 AASHTO T202	This test determines the dynamic viscosity. (absolute viscosity of asphalt @ 140 degrees F by the Vacuum Capillary Viscometer Poises).
Asphalt Binder (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D36 AASHTO T53	This test determines the softening point of asphalt.

Asphalt Emulsified

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Emulsified Asphalt (Sampling)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D140, D979 CT 125 AASHTO T 40, T168	This test describes the procedure to sample the emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D244 AASHTO T59	This test determines the sieve retention of emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D244 AASHTO T59	This test determines the weight per gallon of emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D244 AASHTO T59	This test determines the penetration of the emulsified asphalt.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D244 CT 330 AASHTO T59	This test determines the residue @ 325 degrees F evaporation of emulsified asphalt.

Attachment 1 (continued)

Asphalt Emulsified - Continued

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D4402 AASHTO T201	This test determines the Brookfield viscosity.
Emulsified Asphalt (Testing)	One 0.5-gal. sample placed in a clean, sealed can.	Obtain one sample at the asphalt concrete plant for each 1,000 tons of asphalt concrete placed.	ASTM D88 AASHTO T72	This test determines the Saybolt-Furol viscosity of emulsified asphalt @ 77 degrees F (seconds).

Hot Mix Asphalt (Asphalt Concrete) – Concrete

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Concrete (Sampling)	Obtain one 30-lb. sample each day of production	Obtain one sample at the asphalt concrete plant for each 5,000 tons of asphalt concrete placed.	ASTM D75, D140, D979 CT 125 AASHTO T 40, T168	This test describes the procedure to sample the asphalt concrete.
Asphalt Concrete (Testing)	4" x 8" cores	Take one 4" x 8" core for every 500 ft of paved roadway.	ASTM D1188, D1560, D1561, D5361 CT 304 AASHTO T246, T247	This test determines the field density of street samples.
Asphalt Concrete (Testing)	Obtain one 30-lb. sample for each day of production	Obtain one sample for every five cores taken.	ASTM D1188, D1560, D1561, D5361 CT 304 AASHTO T246, T247	This test determines the laboratory density and relative compaction of asphalt concrete.
Asphalt Concrete (Testing)	4" x 8" cores	Obtain one sample for every five cores taken.	ASTM D2726, D1188, D5361	This test determines the specific gravity of compacted bituminous mixture dense-graded or non-absorptive.

Attachment 1 (continued)

Hot Mix Asphalt (Asphalt Concrete) –Continued

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Asphalt Concrete (Testing)	One 30-lb sample	Obtain one sample for every 1,000 tons of asphalt concrete.	ASTM D1559 AASHTO T245	This test determines the resistance to plastic flow of prepared mixes as determined by the Marshall Method.
Asphalt Concrete (Testing)	One 30-lb sample	Obtain one sample for every 1,000 tons of asphalt concrete.	ASTM C117, D2172 (use Method B) AASHTO T164	This test determines the screen analysis of aggregates recovered from asphalt materials.
Geotextile Fabric (Placed Under the Asphalt Concrete) (Testing)	One 12 ft. x 3 ft. sample	Obtain one sample per job.	ASTM D4632 AASHTO M288	This test determines the weight per sq. yd. and grabs strength of geotextile fabrics.
Asphalt Concrete (Testing)	Sample any test location (random basis)	Obtain one sample for every 1,000 tons of asphalt concrete.	ASTM D2950 CT 375	This test determines the nuclear field density of in-place asphalt concrete.
Asphalt Concrete (Testing)	One 10-lb sample	Obtain one sample during every day of production.	ASTM D1560, D1561 CT 366 AASHTO T246, T247	This test determines the stability value of asphalt concrete.
Slurry Seals (Sample)	One 0.5 gal. sample in a clean, dry plastic container.	Obtain one sample per truck	ASTM D979 CT 125 AASHTO T 40, T168	This test describes the procedure for sampling the slurry seal.
Aggregate for Slurry Seals (Testing)	One 30-lb. sample.	Obtain at least one sample per project from the belt or hopper or stockpile and test for Sand Equivalent	ASTM D2419 CT 217 AASHTO T176	This test determines the Sand Equivalent of aggregates.

Attachment 1 (continued)

Slurry Seals

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Aggregate for Slurry Seals (Testing)	One 30-lb. sample.	Obtain at least one sample per project from the belt, hopper, or stockpile and test for sieve analysis of fine sand.	ASTM C117 AASHTO T11	This test determines the sieve analysis of fine sand (gradation of materials finer than No. 200 sieve by wash grading).
Slurry Seals (Testing)	One 0.5 gal. sample in a clean, dry plastic container.	Test one sample per project and test for Abrasion.	ASTM D3910	This test determines the Wet Track Abrasion Test (2) (WTAT).

Steel

Materials to be Sampled or Tested	Sample Size	Sampling/Testing Frequency	Typical Test Methods	Description or Comments
Steel Strand (Testing)	Sample strand at various sizes.	This item may be accepted using a Certificate of Compliance. Sample and test at least two steel strands per job when a Certificate of Compliance is not used.	ASTM A370, A416, E328 AASHTO T244	This test determines the tensile strength of uncoated seven-wire stress-relieved strand for pre-stressed concrete.
Steel Rebar (Testing)	Sample rebar at various sizes.	This item may be accepted using a Certificate of Compliance. Sample and test at least two steel rebar per job when a Certificate of Compliance is not used.	ASTM A615, A370 AASHTO T244	This test determines the steel reinforcement bar tensile strength and bend capability.



CITY of COLFAX

C A L I F O R N I A

CITY HALL, 33 SOUTH MAIN STREET, COLFAX, CA



Source Inspection Request From the City of Colfax to CALTRANS' District Local Assistant Engineer

October 2, 2014

To: Caltrans' District Local Assistance Engineer
Caltrans Local Assistance Office
703 B Street, PO Box 911
Marysville, CA 95901

Federal Project Number: _____
Project Description: _____
Project Location: _____

Subject:

We are requesting that Caltrans provide Source Inspection (reimbursed) services for the above mentioned project. We understand that we are responsible for paying for this service provided by the State. Listed below are the materials for which we are requesting Caltrans' Source Inspection (reimbursed) services.

Materials that will require source inspection:

Justification for the request: (Based on the requirements in Section 16.14 under "Source Inspection")

Any questions you might have about the above materials should be directed to:

_____, at _____

Approved:

District Local Assistance Engineer

Nick Ponticello

(Date)

City Engineer
City of Colfax
PO Box 702
Colfax, CA 95713



Attachment 3 - Construction Materials Accepted by a Certificate of Compliance *

Soil Amendment
Fiber
Mulch
Stabilizing Emulsion
Plastic Pipe
Lime
Reinforcing Steel
Structural Timber and Lumber
Treated Timber and Lumber
Timber and Lumber
Culvert and Drainage Pipe Joints
Reinforced Concrete Pipe
Corrugated Steel Pipe and Corrugated Steel Pipe Arches
Structural Metal Plate Pipe Arches and Pipe Arches
Perforated Steel Pipe
Polyvinyl Chloride Pipe and Polyethylene Tubing
Steel Entrance Tapers, Pipe Down drains, Reducers, Coupling Bands and Slip Joints
Aluminum Pipe (Entrance Tapers, Arches, Pipe Down drains, Reducers, Coupling Bands and Slip Joints)
Metal Target Plates
Electrical Conductors
Portland Cement
Minor Concrete
Waterstop

* If Caltrans Standard Specifications May 2006 is part of contract specifications.

Note: Usually these items are inspected at the site of manufacture or fabrication and reinspected after delivery to the job site.



Attachment 4 - Example of a Vendor's Certificate of Compliance

No. 583408

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
VENDOR'S CERTIFICATE OF COMPLIANCE
 MR-0543 (REV. 5/93) #CT-7541-6020-2

PRECAST CONCRETE PRODUCTS OR SOUNDWALL

TO: BILL SYNDER

STATE HIGHWAY ENGINEER
RESIDENT ENGINEER - CITY OF FLATLAND

We certify that the portland cement, chemical and mineral admixtures contained in the material described below are brands stated and comply with specifications for:

CONTRACT NUMBER:	
CEMENT BRAND <u>XYZ CEMENT CO.</u>	MILL LOCATION <u>MIDLAND, CALIFORNIA</u>
TYPE <u>II MODIFIED</u>	
CHEMICAL ADMIXTURE	
1. BRAND <u>ABC. ADMIXTURE</u>	MANUFACTURER <u>XYZ SUPPLIER</u>
TYPE <u>WATER REDUCER</u>	
2. BRAND	MANUFACTURER
TYPE	

CHECK BOX IF A CHEMICAL ADMIXTURE WAS NOT USED

MINERAL ADMIXTURE	
MANUFACTURER <u>POZZ. INC.</u>	CLASS <u>F</u>

CHECK BOX IF A MINERAL ADMIXTURE WAS NOT USED

DELIVERY DATE (Ready-Mix) <u>7/7/07</u>	DATES OF FABRICATION (Precast)
--	--------------------------------

LIST PRODUCTS TO WHICH CERTIFICATE APPLIES. (Show size and lin. ft. of pipe, etc., delivery slip numbers for ready-mix.)

Portland Cement
Flyash
Water Reducer

MANUFACTURER OF CONCRETE PRODUCTS <u>A. & B. READY MIX</u>

By: AUTHORIZED REPRESENTATIVE SIGNATURE
Joe Anderson



Attachment 4 - Example of a Certificate of Compliance for Portland Cement (continued)

This is to certify that the

Portland Cement

Supplied by ABC Cement Company complies with all requirements for Type II Portland Cement when tested in accordance with ASTM C - 494.

Local Agency Project No.

HP21L – 5055 – 111

Albert Howakowa

Quality Assurance Engineer
ABC Cement Company

Date: 07/07/07



**Cwcej o gpv'7'': Materials Certificates/Exceptions
(Signed by the Resident Engineer at the Completion
of the Project)**

Federal-aid Project No.: _____

Subject: Materials Certification

This is to certify that the results of the tests on acceptance samples indicate that the materials incorporated in the construction work and the construction operations controlled by sampling and testing were in conformity with the approved plans and specifications.

All materials exceptions to the plans and specifications on this project are noted below.

No exceptions were found to the plans and specifications on this project.

Resident Engineer (Print Name)

Resident Engineer (Signature)

(Date)

Note: The signed original of this certificate is placed in the Resident Engineer’s project files and one copy is mailed to the DLAE and filed under “Report of Expenditures.”

See the attachment (next page)



Cwcej o gpv'7 (continued)

Attachments: Materials Exceptions (Acceptance Testing)

Type of Test	Description of Work	Total Tests Performed On the Project	Number of Failed Tests	Action Taken
Slump Test	Concrete Sidewalk	8	1	When the measured slump exceeded the maximum limit, the entire concrete load was rejected.
Sand Equivalent	Aggregate for Structural Concrete	10	1	The tested S.E. was 70 and the contract compliance specification was 71 minimum. However, the concrete 28-day compressive strength was 4800 psi. The concrete was considered adequate and no materials deductions were taken.
Compaction	Sub grade Material	12	1	One failed test was noted. The failed area was watered and reworked. When this was completed, a retest was performed. The retest was acceptable.
Compaction	Hot Mix Asphalt	12	1	One failed area was noted. It was reworked and retested. The second test met specifications.

 Resident Engineer (Print Name)

 Resident Engineer (Signature)

 Date



Attachment 6 - Example of a Log Summary Sheet

Subgrade Materials

Date	CT	Station	Elevation	Test Results	Minimum Spec.	Passed or Failed	Action Taken
5/15/07	231	1+ 00 (30' L)	99.00	93	90 or greater	Passed	N/A
5/16/07	231	1+ 50 (20' R)	100.50	94	90 or greater	Passed	N/A
5/17/07	231	2+ 25 (25' R)	101.00	96	90 or greater	Passed	N/A
5/18/07	231	1+ 50 (30' L)	101.50	95	95 or greater	Passed	N/A
5/19/07	231	2+ 50 (20' L)	102.00	92 *	95 or greater	Failed	See Note 1
5/19/07	231	2+ 50 (20' L)	102.00	95	95 or greater	Passed	N/A

CT 231 = Compaction (Nuclear Gage)

* Note 1: The Contractor used a water tank to dampen the soil surface at the failed subgrade location. Using a sheep's foot compactor, he reworked the subgrade (making at least 10 passes) from Station 2+ 00 to Station 3+ 00. After approximately 30 minutes, another compaction test was taken. This time the relative compaction was 95.

Aggregates and Base Materials

Date	CT	Station	Elevation	Test Results	Minimum Spec.	Passed or Failed	Action Taken
6/20/07	202	1+ 00 (10' R)	102.50	See data sheet	See data sheet	Passed	N/A
6/20/07	202	2+ 00 (20' L)	102.50	See data sheet	See data sheet	Passed	N/A
6/22/07	217	1+ 00 (10' R)	102.50	75	25 or greater	Passed	N/A
6/22/07	217	2+ 00 (20' L)	102.50	83	25 or greater	Passed	N/A
6/20/07	227	1+ 00 (20' R)	102.50	86	71 or greater	Passed	N/A
6/20/07	227	1+ 50 (20' L)	102.50	85	71 or greater	Passed	N/A
6/24/07	231	2+ 00 (20' R)	102.50	98	95 or greater	Passed	N/A
6/24/07	231	2+ 50 (20' L)	102.50	97	95 or greater	Passed	N/A

CT 202 = Sieve Analysis, CT 217 = Sand Equivalent, CT 227 = Cleanness Value,
 CT 231 = Compaction (Nuclear Gage)



Attachment 6 (continued)

Hot Mix Asphalt

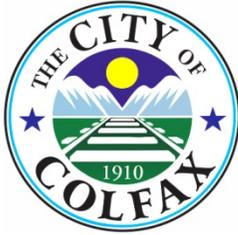
Date	CT	Station	Elevation	Test Results	Minimum Spec.	Passed or Failed	Action Taken
7/10/07	339	1+ 00 (10' R)	103.00 0.	08 gal/ sq yd	0.05 -0.10 gal/sq yd	Passed	N/A
7/10/07	366	2+ 00 (20' L)	103.00	32	>23	Passed	N/A
7/10/07	366	1+ 00 (10' R)	103.00	41	>23	Passed	N/A
7/10/07	375	2+ 00 (20' L)	103.00	94	RC = 93 to 97	Passed	N/A
7/15/07	375	1+ 00 (20' R)	103.00	96	RC = 93 to 97	Passed	N/A
7/15/07	375	1+ 50 (20' L)	103.00	95	RC = 93 to 97	Passed	N/A

CT 339 = Distributor Spread Rate, CT 366 = Stabilometer Value
 CT 375 = In-Place Density & Relative Compaction

Portland Cement Concrete

Date	CT	Station	Elevation	Test Results	Minimum Spec.	Passed or Failed	Action Taken
9/25/07	504	10 + 50 (50' R)	102.50 6.	5%	>6.0%	Passed	N/A
9/25/07	533	12 + 50 (50' R)	102.50 1.	5"	<2"	Passed	N/A
9/25/07	518	11 + 50 (50' R)	102.50	151 lb/cu ft	> 145 lb/cu ft	Passed	N/A
9/25/07	521	10 + 50 (50' R)	102.50	28 day = 4200 psi	>3800 psi	Passed	N/A
9/28/07	521	11 + 50 (50' R)	102.50	28 day = 4290 psi	>3800 psi	Passed	N/A
9/30/07	521	12 + 50 (50' R)	102.50	28 day = 4160 psi	>3800 psi	Passed	N/A

CT 504 = Air Content, CT 518 = Unit Weight, CT 521 = Compressive Strength,
 CT 533 = Ball Penetration



STAFF REPORT TO THE COLFAX CITY COUNCIL

FOR THE OCTOBER 14, 2014 COUNCIL MEETING

FROM: Mark Miller, City Manager

PREPARED BY: Jim Fletter, Assistant City Engineer

SUBJECT: Project Acceptance
Grass Valley Street Road Rehabilitation, Project No. 12-01.01

<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>	FUNDED	<input type="checkbox"/>	UN-FUNDED	AMOUNT: \$146,777.72	FROM FUND: Prop1B & RSTP
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RECOMMENDED ACTION: Accept the Grass Valley Street Road Rehabilitation Project as complete and direct the City Clerk to file a Notice of Completion.

ISSUE STATEMENT AND DISCUSSION:

On June 11, 2014, through Resolution 19-2014, City Council awarded a construction contract to VSS International for \$146,777.72. The construction work included pavement crack repair and crack sealing, placement of a double chip seal over the existing pavement, signing and striping for a shared bike route within this roadway section, and the installation of a bike corral next to the Colfax Market; all on Grass Valley Street from west of the Main & Grass Valley intersection through to Rising Sun.

At this time, construction has been completed to the satisfaction of the Project Engineer and the City Engineer. The final cost of the work was \$126,121.65. Staff recommends that City Council accept the project as complete and direct the City Clerk to file a Notice of Completion with the Placer County Recorder.

FINANCIAL AND/OR POLICY IMPLICATIONS:

The project is funded with State Proposition 1B (\$61,000) and RSTP Rural Exchange (\$205,000). Funds remaining from this project will be allocated to the follow-on project to repave Grass Valley from the Main Street intersection to South Auburn and the “Grass Valley UPRR Ped Xing and Bike Improvements slated for construction in 2015.

SUPPORTING DOCUMENTS:

Resolution 28-2014

City of Colfax

City Council

Resolution №.28-2014

AUTHORIZING THE CITY MANAGER TO EXECUTE AND RECORD A NOTICE OF COMPLETION FOR THE GRASS VALLEY STREET ROAD REHABILITATION, PROJECT Number 12-01.01

WHEREAS, on June 11, 2014, the City awarded a contract to VSS International, Inc., for placement of a double chip seal and other work on Grass Valley Street, City Project Number 12-01.01 (the "Project"); and

WHEREAS, the Project was completed on August 29, 2014.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF COLFAX AS FOLLOWS:

1. The foregoing recitals are true and correct statements of fact and are incorporated by reference into this Resolution.
2. The City Council of the City of Colfax hereby accepts the Project as complete and authorizes the City Manager to execute and record a Notice of Completion in the form attached to this Resolution.

The foregoing Resolution was duly and regularly adopted at a regular meeting of the City Council of the City of Colfax held on the 8th day of October, 2014 by the following roll call vote of the Council:

AYES:

NOES:

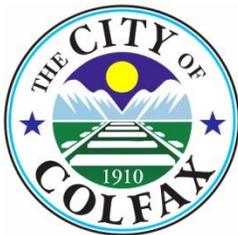
ABSENT:

ABSTAIN:

Tony Hesch, Mayor

ATTEST:

Lorraine Cassidy, City Clerk



STAFF REPORT TO THE COLFAX CITY COUNCIL

For the October 8, 2014 Council Meeting

FROM: Staff

PREPARED: October 1, 2014

SUBJECT: Administrative Policies and Procedures Updates

<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>	FUNDED	<input type="checkbox"/>	UN-FUNDED	AMOUNT: N/A	FROM FUND:
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RECOMMENDED ACTION: Adopt Resolution No. 29 -2014: Affirming Administrative Policies and Procedures for Financial Management, Investment and Whistleblowers

ISSUE STATEMENT AND DISCUSSION:

In the annual financial audit report prepared by Richardson and Co Inc., it was recommended that the City implement a formal ethics or Whistleblower policy. It was also noted that the City had not updated its Investment policy for several years. In reviewing these items, staff determined that a revision of the City Financial Policy was also warranted.

The audit report also recommended that the City develop a risk assessment plan to identify those risks within the City that could result in fraud or material misstatement of the financial statements, and then to implement internal controls to mitigate those identified risks. Further, it was recommended that a Committee of the City Council, serving as the Audit Committee, should be involved in the risk assessment process.

RECOMMENDATION

Staff has drafted a comprehensive set of administrative policies including: 1) Financial Policies, 2) Investment Policy, and 3) Whistleblowers Policy. Due to the importance of these policies staff is recommending the Council adopt the Policies by resolution. The Policies should be reviewed and updated on periodic basis, normally as part of the biennial budget process.

Staff also recommends the formation of an audit committee to include:

1. Council Members (2)
2. City Manager
3. Finance Director

The first item of business for the committee would be to conduct a risk assessment meeting and provide a report back to Council.

SUPPORTING DOCUMENTS:

1. Resolution 29-2014
2. Financial Policy
3. Investment Policy
4. Whistleblower Policy
5. Whistleblower Form

City of Colfax

City Council

Resolution № 29-2014

AFFIRMING ADMINISTRATIVE POLICIES AND PROCEDURES FOR FINANCIAL MANAGEMENT, INVESTMENT AND WHISTLEBLOWERS

Whereas, the Colfax City Council has determined that the administrative policies for financial management, investment and whistleblowers are important to the smooth and consistent financial operations of the City; and,

Whereas, these policies have not been updated for several years; and

Whereas, the annual independent audit recommended such policies be updated and in place; and,

Whereas, the Council has reviewed the attached policies,

Now Therefore, Be It Resolved by the City Council of the City of Colfax that the administrative policies attached hereto are hereby affirmed.

Passed and Adopted this 8th day of October by the following vote:

Ayes:

Noes:

Absent:

Abstain:

Tony Hesch, Mayor

ATTEST:

Lorraine Cassidy, City Clerk

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Financial Policies
Effective Date: October 8, 2014
Resolution: Resolution №. 29-2014

PURPOSE

The City of Colfax is accountable to the community for the use of public dollars. Municipal resources will be used wisely to ensure adequate funding for the services, public facilities and infrastructure necessary to meet the community's present and future needs.

This policy document establishes a comprehensive set of financial guidelines for the City that will assist elected officials and staff in the development of fiscal management practices and serve as a guideline for operational and strategic decision-making related to financial management of the City.

These policies will be reviewed annually as part of the budget process and amended as necessary to guide the City in maintaining its financial stability.

GOALS AND OBJECTIVES

- Guide the City Council and management policy decisions that have significant fiscal impact
- Maintain and protect City assets and infrastructure
- Employ balanced and fair revenue policies that provide adequate funding for desired programs
- Set forth operating principles that minimize the cost of government services and minimize financial risk
- Promote sound financial management by providing accurate and timely information on the City's financial condition
- Ensure the legal use of financial resources through an effective system of internal controls
- Promote cooperation and coordination with other governments and the private sector in the financing and delivery of services
- Protect the City's credit rating and provide for adequate resources to meet the provision of the City's debt obligations on all municipal debt
- Maintain appropriate financial capacity for present and future needs

PROCEDURES AND GUIDELINES

This document discusses the most important elements of financial management in one comprehensive centralized format and is organized into the following areas of discussion:

- A. Operating Budget
- B. Revenues
- C. Expenditures
- D. Cash Management and Investments
- E. Capital Financing and Debt Management
- F. Fund Accounting and Reserve Fund Policies
- G. Financial Reporting

A. Operating Budget

1. The budget will be adopted by the City Council no later than June 30th of each year.
 - a. The City Manager will develop and present a biennial budget.
 - b. The City should strive to develop a multi-year financial plan that is updated as part of the periodic budget process.
2. A calendar of events related to budget development will be presented to City Council by April 1st of each year.
 - a. Scheduled activities will encourage early involvement with the City Council and the public.
3. A balanced provisional budget will be presented to City Council for review and adoption with total projected expenditures not exceeding total estimated revenues.
 - a. The budget will be developed in a way that facilitates public study and effectively communicates key economic and fiscal issues to City Council and the public.
 - b. Actual revenues, expenditures, reserve balances and fund balances for the prior fiscal year and estimates for the current year will be provided.
 - c. Forecasts require clearly stated assumptions. Estimations should be conservative but reasonable.
 - d. The City budget must comply with the annual determination of the City's appropriations limit calculated in accordance with Article XIII B of the Constitution of the State of California and must adopt an annual resolution to this effect.
 - e. One-time revenue sources are not to be relied upon to fund ongoing operations.
 - f. Should it be necessary, City Council may approve a planned use of accumulated fund balances in prior years for inclusion in the budget.
 - g. A multi-year capital improvement plan should be developed so that project priorities and debt capacity can be analyzed.
4. The Finance Department will maintain a system for monitoring the City's budget performance.
 - a. The City Manager will provide the City Council with a mid-year review of the City's financial activities. The review will be presented in February and compare annual budget projections with actual results.

B. Revenues

1. The City will strive to maintain a diversified and stable revenue base to minimize the impact of economic fluctuation.
 - a. Revenue forecasts shall be realistically estimated and based on the best information available. The City will follow a vigorous policy of collecting revenues.
 - b. Trends analyzing the dependence on distinct revenue sources shall be included in the budget documents for consideration by the City Council.
2. The City will seek out, apply for, and effectively administer federal, state, and other grants that address the City's current operating and capital priorities.
 - a. All potential grants will be carefully examined for matching requirements.
 - b. Grants may be rejected if programs must be continued with local resources after grant funds are exhausted.
3. The City shall develop and maintain a comprehensive list of various fees and charges.
 - a. The City should strive to cover the full cost of providing non-tax and discretionary fee-based service operations except to the extent that City Council approves defined subsidy levels by program area.
 - b. Enterprise funds will have revenues sufficient to meet all cash operating expenses, capital expenses, approved cash reserves and any debt service.
 - c. Rate studies should be conducted periodically (three to five years) to ensure the proper balance of costs and service charges.
4. Economic downturns and gaps in cash flow will be addressed as soon as recognized.
 - a. Council may approve inter-fund loans to address short term downturns in revenues or temporary gaps in cash flow.
 - b. Deficit financing and borrowing to support on-going operations is not the policy of the City as a response to long-term revenue shortfalls
 - i. Revenue forecast will be revised and expenses will be reduced to conform to the revised long-term forecast
 - ii. Revenue increases will be considered as appropriate.
5. The City will review contracts and leases, which result in revenues to the City on a timely basis in order to provide for careful evaluation by the City Council.

C. Expenditures

1. The City will propose operating expenditures, which can be supported from ongoing revenues.
 - a. Before the City undertakes any agreements that would create fixed on-going expenses, the cost implications of such agreements will be fully determined for current and future years.
 - b. The City will invest in technology and other efficiency tools to maximize productivity
 - c. The City will hire additional staff only after the need of such positions has been demonstrated and documented.
 - d. The City will strive to pay competitive market level compensation to its employees.
 - e. All compensation planning and collective bargaining will focus on the total cost of compensation, which includes salary, health care benefits, paid leave, pension contribution and other benefits.

2. The City will maintain expenditure categories according to state statute and administrative regulation.
3. Costs of service will be budgeted and charged to the fund performing the service. Cost allocation methodology will be reviewed and approved in the annual budgeting process.

D. Cash Management and Investments

1. The City's investment policy will be reviewed annually as part of the budget process.
2. The responsibility of investing City funds rests with the City Manager and Finance Director who are to exercise due diligence to adhere to the investment policy. Quarterly (or more frequent) reports will be provided to City Council presenting a summary of the portfolio status and compliance with the conditions set forth in the investment policy.
3. Investments shall be made in conformance with the City's investment policy with the primary objectives of:
 - a. Preservation of Capital and protection of Principal
 - b. Maintenance of sufficient liquidity to meet operating needs
 - c. Security of City Funds and investments
 - d. Maximization of return on the portfolio

E. Capital Financing and Debt Management

1. The City will seek to maintain a high credit rating through sound financial practices as a basis for minimizing borrowing costs.
2. Major capital improvement projects will be funded using the most financially prudent method available.
 - a. The City will make every effort to use pay-as-you-go financing for capital improvement projects. Debt financing for a project can be used if the overall project cost exceeds anticipated available resources and/or if the cost of financing is favorable as compared to the use of City investment holdings over the financing term.
3. The City will monitor all forms of debt annually in conjunction with the budget preparation process and report concerns and remedies, if necessary, to City Council. The City will diligently monitor its compliance with bond covenants.
4. The City will not issue long-term debt to finance current operations. Debt financing should only be used for long-term capital improvement projects with a useful life exceeding the term of the financing and for which the project revenues or specific identified revenue sources are sufficient to service the long term debt.
5. The City will use a lease-purchase method of financing for equipment if the lease rates are more favorable than the City's expected overall investment rate of return.

F. Fund Accounting and Reserve Fund Policies

1. The City will use Governmental Accounting Standards Board (GASB) definitions of fund balance for the annual financial reports (audits) and for all other financial reporting.
2. Fund Descriptions are as follows:
 - a. Governmental Funds

- i. General Fund – The General Fund is the primary operating fund of the City. It accounts for all financial resources of the general government, except those required to be accounted for in another fund.
 - ii. Special Revenue Funds – Used to account for revenues derived from specific taxes or other earmarked revenue sources. They are usually required by statute or other local ordinance to finance particular governmental functions or activities.
 - iii. Capital Projects Funds – Used to account for and report financial resources that are restricted, committed or assigned to expenditures for capital outlays
 - iv. Debt Service Funds – Used to account for and report financial resources that are restricted, committed or assigned to expenditure for principal and interest, even if it is being accumulated for future year’s payments.
 - b. Business Activity Funds
 - i. Enterprise Funds (Sewer) – Used to account for the operations of self-supporting governmental activities that render services or goods to the public.
 1. The intent of the City is that the costs of providing goods and services to the general public on a continuing basis be financed and recovered primarily through user charges.
3. The City will maintain Reserve Fund Balances in an effort to stabilize the City’s fiscal base for unpredictable fluctuations in major revenues, protect against reducing service levels or raising taxes and fees due to revenue shortfalls or unpredicted one-time expenditures, and provide for innovative opportunities for the betterment of the community.
 - a. General Fund Revenue Reserve – The City’s fiscal goal is to maintain annual expenditure increases at a sustainable growth rate, and to limit expenditures to anticipated revenue in order to maintain a balanced budget. The City target is to maintain an unrestricted fund balance of 25% of annual operating expenditures for the fiscal year. This target will:
 - i. Provide liquidity necessary to accommodate the City’s uneven cash flow, which is inherent in its periodic tax collection schedule.
 - ii. Provide approximately three (3) months of operating expenses,
 - iii. Adhere to Government Finance Officers Association (GFOA) recommendation that a minimum General Fund unrestricted fund balance to be maintained of no less than either two (2) months of regular operating revenues or expenditures.
 - iv. Provide liquidity to respond to contingent liabilities.
 - b. Sewer Revenue Reserve – The City target is to maintain a fund balance reserve of 17% of annual operating expenditures for the fiscal year. This target will:
 - i. Provide approximately two (2) months of operating expenses which is the same as the bi-monthly billing cycle.
 - c. General or Sewer Fund revenues remaining at the end of the City’s fiscal year, unless encumbered, will be allocated to the revenue reserves.
 - i. Additional reserve funds may be established by the City Council based on recommendation of the City Manager such as:
 1. Capital Improvement Reserve
 2. Equipment Reserves
 3. Community Fund Reserve
 - d. City Council action is required for appropriation of reserves (except replacement reserves).

G. Financial Reporting

1. The City's accounting and financial reports are to be maintained in conformance with Generally Accepted Accounting Practices (GAAP) as applied to governmental units.
2. An annual financial audit will be performed by an independent public accounting firm familiar with municipal government activities. The independent auditor will issue an audit opinion and will present the audit report and discuss audit findings to the City Council. The City encourages the rotation of audit service providers on a periodic basis.
3. A fiscal impact statement will be provided in each staff report submitted to the City Council as part of the City Council agenda process.
4. The City has established Capitalization thresholds as follows:
 - a. Land purchases at any value
 - b. Equipment - \$5,000
 - c. Buildings and facility improvements - \$25,000
 - d. Infrastructure - \$100,000
5. All grants and other federal and state funds shall be managed to comply with the laws, regulations, and guidance of the grantor.

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Investment Policy
Effective Date: October 8, 2014
Resolution: Resolution No. 29-2014

SCOPE AND AUTHORITY

The purpose of this policy is to establish a prudent and systematic Investment Policy, and to organize and formalize investment-related activities.

The City's Investment Policy is authorized under the California Government Code, section 53600, et, seq.as it applies to the investment of public funds.

It is intended that this policy cover all funds and investment activities under the direct authority of the City of Colfax. Investments authorized by Fiscal Agents pursuant to bonded debt are controlled by the terms and conditions of the specific bond, and may not necessarily coincide with the Investment Policy outlined herein. Investments must conform to Government Code Section 53600.5 concerning safekeeping of purchased securities by financial advisers, fiscal agent, or consultants. Wherever practical, investments made by a Fiscal Agent on behalf of the City will be consistent with this Policy.

INVESTMENT OBJECTIVES

Safety – It is the primary duty and responsibility of the City Staff to protect, preserve and maintain cash and investments on behalf of the citizens of Colfax.

Liquidity – An adequate percentage of the City's investment portfolio should be maintained in liquid short-term securities which can be converted to cash if necessary to meet disbursement requirements. Since all cash requirements cannot be anticipated, investments in securities with active secondary or resale markets is highly recommended. Emphasis should be on marketable securities with low sensitivity to market risk.

Yield – Yield should become a consideration only after the basic requirements of safety and liquidity have been met.

- A. The overall yield should be designed to attain a market-average rate of return throughout budgetary and economic cycles, taking into account the City's risk constraints, the cash flow characteristics of the portfolio, and State and local laws, ordinances or resolutions that restrict investments.

Public Trust – All participants in the investment process shall act as custodians of the public trust. Investment officials shall recognize that the investment portfolio is subject to public review and evaluation. The overall investment program shall be designed and managed with a degree of professionalism that is worthy of the public trust.

Diversification – The investment portfolio will be diversified to avoid incurring unreasonable and avoidable risks regarding specific security types or individual financial institutions.

- A. In a diversified portfolio it must be recognized that occasional measured losses are inevitable, and must be considered within the context of the overall portfolio's investment return, provided that adequate diversification has been implemented.

Prudence – The City adheres to the "prudent person rule" which obligates a fiduciary to insure that: "...investments shall be made with the exercise of that degree of judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation but for investment considering the probable safety of their capital as well as the probable income to be derived."

INVESTMENT STRATEGY

The most effective method of increasing investment yields without sacrificing safety is to extend the investment horizon commensurate with the City's cash requirements. To that end, improved cash forecasting and management is the preferred investment strategy for the City.

- A. Cash management activities include accurate cash projections, the expeditious collection of revenue, the control of disbursements, cost-effective banking relations, and a short-term borrowing program, when needed, that coordinates working capital requirements and investment opportunity.

ALLOWABLE INVESTMENT INSTRUMENTS

The Government Code, Sections 53601, 53601.1 and 53635 shall govern the City's allowable investments, and the length of those investments, unless specifically limited by this policy. Although the maximum maturity for any deposit or investment is five years, most investments should be for no longer than 2-3 years. All investments of City funds shall be made in accordance with California Government Code Sections 53601, et seq. and 53635 et seq., or in accordance with California Government Code 16429.1 authorizing investments into the State Local Agency Investment Fund (LAIF). Investments will be authorized by the City Manager, City Treasurer, Finance Director or Mayor only.

REPORTING REQUIRMENTS

City staff shall submit a quarterly investment report to the City Council. The report must be submitted to the City Manager for the agenda within 30 days following the end of the month covered by the report, and is required under Government Code Section 53646. Such report shall include at least the following information:

- Types of investments;
- Name of the institution in which funds are invested or deposited;
- Date of maturity, if applicable;
- Par and dollar amount investment for all securities;
- Percent distribution of each type of investment or deposit; current market value as of the date of the report, including source of the valuation except those under LAIF;
- Rate of interest;

- Average weighted yield of all investments;
- A statement relating the report to the City's Investment Policy; and
- A statement that there are sufficient funds to meet the City's next six months' financial obligations.

Staff shall also submit the above information annually to the external auditors.

Periodic reports shall be prepared as required by circumstances or as directed by Council. Such circumstances include, but are not limited to, notification that any City investment may be in jeopardy or a sudden and significant drop in the current market value of any City investment.

INTERNAL CONTROLS AND GENERAL GUIDELINES

A system of internal control shall be implemented 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:

- The control of collusion and separation of duties;
- Custodial safekeeping of funds invested or on deposit;
- Minimizing the number of authorized Investment Officers; and
- Written documentation of procedures and transactions.

In selecting financial institutions for the deposit or investment of City funds, the City shall consider the credit-worthiness of the institution. Such credit-worthiness shall be monitored on a regular basis throughout the period in which City funds are deposited or invested.

- A. Any deposit or investment of funds shall be in writing, signed by the City and the authorized representative of the institution.
- B. All transfers must be made by authorized personnel and properly logged and documented.

City staff shall encourage peer review of the City's investments and investment practices. In addition, the City's cash management and investment practices shall be included in any outside financial audit of the City.

An annual Cash Flow Forecast may be prepared by the City, and would be used to assist in the development of the annual operating budget for the City.

This Investment Policy shall be reviewed by the City Council on an annual basis as part of the budget process.

CITY OF COLFAX
ADMINISTRATIVE POLICIES AND PROCEDURES

Subject: Whistleblower Policy
Effective Date: October 8, 2014
Resolution: Resolution №. 29-2014

PURPOSE

It is critical that the City foster and maintain a workplace with a high ethical standard of conduct in all activities and conduct its business in a fair, effective, efficient, and transparent manner. Further, the City must protect its assets and resources from fraudulent, illegal, and dishonest activities by protecting its assets and resources, by maintaining effective internal controls and by identifying and investigating any possibility of fraud or other improper activities. To this end, this Whistleblower Policy (“Policy”) establishes procedures for City employees and the Colfax community to report alleged illegal, fraudulent, and/or improper activity by City employees and to assure that such reports do not result in retaliation by the City.

POLICY

Community members and City employees are encouraged to report good faith suspicions of misconduct by City employees and any misuse of City property or resources. Any City employee who makes such a good faith report is protected against adverse employment actions by the City for raising such allegations, and shall not suffer any reprisals or retaliation by the City for making the report, whether or not the allegations are sustained. The whistleblower must exercise sound judgment to avoid baseless allegations. The intentional filing of a false report is itself considered an improper governmental activity which the City has the right to act upon.

PROHIBITED ACTIVITIES

Any person should report information related to one of the following prohibited activities which includes, but is not limited to:

- A. Violation of any law, regulation, ordinance.
- B. Conflict of interest.
- C. Fraud, waste, or misuse of City property, resources, or time.
- D. Abuse of authority.
- E. Creation of a specific and substantial danger to public health or safety by failing to perform duties required by the City position held.
- F. Theft, misuse of, or misappropriation of City resources, property, information, assets or funds, or an attempt to do any of the same.
- G. Intentional falsification of records (including failure to disclose material facts or making of false or misleading entries or statements with the intent to deceive on any City document or other official document, report, or form, including but not limited to, City financial records and environmental regulatory reporting), or the willful and unauthorized destruction and/or mutilation of any City document or other official document, report, or form, including City financial records.

- H. Intentionally submitting false claims for payment or reimbursement.
- I. Knowingly submitting and/or signing a timesheet that contains false information.
- J. Forgery or intentional unauthorized alteration of a City document or other official document, application, report, or form, including but not limited to, City financial documents.
- K. Improprieties in the handling or reporting of financial transactions for the City.
- L. Authorizing or receiving payment by the City for goods not received or services not performed.
- M. Computer-related activity involving unauthorized alteration, destruction of data, forgery, or manipulation of data or misappropriation of City-owned software.

PROCEDURES

A. When to report

A complaint filed under this Policy should be filed within 45 days of the date of the act or event which is subject of the complaint.

B. Whom to report to

If a City employee is making the report, all reports should first be made to the employee's supervisor, unless the report involves alleged misconduct of the supervisor. If the complaint is not against the supervisor, and action is within the supervisor's authority, the supervisor should take all actions necessary to curtail the behavior and determine the appropriate consequences and then inform the City Manager. If the action is not within the supervisor's authority, the supervisor should immediately report the matter to the City Manager.

If a City employee is making the report that involves alleged misconduct of her/his supervisor, the employee should report the matter directly to the Finance Director, the City Attorney, or the City Manager.

If someone other than a City employee is making the report, the report should be made to the Finance Director, the City Attorney, or the City Manager who will then follow up on the matter.

Although every effort will be made to protect the anonymity of the whistleblower, there may be situations where anonymity cannot be guaranteed.

C. How to Report

Use of the "Whistleblower Complaint Form" is desirable (located on the City website "Complaint Handling Process"; or in City Hall; see attached form). Submit the form to one of the following:

whistleblower@colfax-ca.gov ;

or mail to:

City of Colfax,
Attention Whistleblower Program,
PO Box 702
Colfax, CA 95713.

PROTECTION FROM RETALIATION

A. Retaliation Prohibited

No City officer or employee shall use or threaten to use any official authority to influence, restrain, or prevent any other person who is acting in good faith and upon a reasonable good faith belief as a whistleblower. No City officer or employee shall use or threaten to use any official authority or influence to cause any adverse employment action (including discharge, demotion, suspension, harassment, or other forms of discrimination) as retaliation against a City officer or employee who acts as a whistleblower in good faith and with reasonable belief that improper conduct has occurred. However, this Policy does not prohibit the City from taking an adverse action for legitimate or non-discriminatory reasons due to a mere causal connection to the protected Whistleblower activity. Such legitimate or non-discriminatory actions may include discipline for a legal cause or refusing to hire/promote/transfer or to take any other legitimate personnel action based on inadequate qualifications or poor performance reviews.

B. Investigation of Complaints

Depending upon on the nature of the complaint, the City Manager or her/his designee will investigate the complaint to determine if misconduct and/or violation of this Policy has occurred. To the extent permitted by personnel privacy laws, the City Manager or her/his designee will meet with the complainant to discuss the findings of the investigation and will use best efforts to ensure timely resolution of the matter.

C. Penalties

Any City officer or employee who violates this Policy shall be subject to discipline, up to and including dismissal. Under Section 8547.8 of the Government Code, any officer, manager, or supervisor who violates this Policy with malicious intent may be subject to a fine not to exceed \$10,000 and imprisonment in county jail for up to a period of one year. In addition to all penalties provided by law, any local officer, manager, or supervisor who has been found by a court to have violated this Policy and the State law under which it is promulgated may be individually liable for damages in an action brought against him or her by the injured employee.



CITY of COLFAX

C A L I F O R N I A

CITY HALL, 33 SOUTH MAIN STREET, COLFAX, CA



WHISTLEBLOWER COMPLAINT FORM

Instructions:

Complete this form and return it to a supervisor, the Finance Director, or the City Manager. This is a confidential format to report any wrongdoing; however, if your report results in criminal prosecution, you may be called upon to testify and confidentiality may not be maintained.

Name (Optional): _____

Address (Optional): _____

Are you a City of Colfax employee? Yes No

If yes, what is your position or relationship to the City (Optional)? _____

Work Phone (Optional): _____

Home/Cell Phone (Optional): _____

1. Identify the person or persons against whom your allegations are made.

2. Describe the nature of your complaint, the incident(s) or event(s), date(s), time(s), and place(s). Attach additional pages to this complaint if necessary.

3. Identify others who may have observed or witnessed the incident(s) that you described.

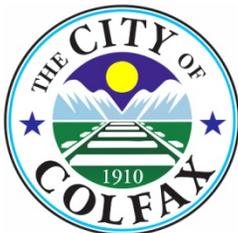
4. Do you have any documents that support your allegation? (Please list and attach copies).

Submit the completed form to one of the following:

Whistleblower@colfax-ca.gov

or mail to:

City of Colfax
Attention Whistleblower Program,
PO Box 702
Colfax, CA 94503.



STAFF REPORT TO THE COLFAX CITY COUNCIL

For The October 8, 2014 Council Meeting

FROM: City Manager, Mark Miller

PREPARED By: Staff

DATE: September 30, 2014

SUBJECT: Insurance Policy to Cover Government Crime

<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>	FUNDED	<input type="checkbox"/>	UN-FUNDED	AMOUNT: \$950	FROM FUND: Allocate between General and Sewer
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RECOMMENDED ACTION: Adopt Resolution 30-2014 authorizing the City Manager to bind coverage through Alliant Insurance Services, Inc. a Government Crime insurance policy, including faithful performance

ISSUE STATEMENT AND DISCUSSION:

Colfax Municipal Code Chapter 2.24 requires the City Clerk, ex-officio Assessor, City Treasurer, Chief of Police, ex officio Tax and License Collector, Building Inspector and Sewer Clerk to execute official bonds to the City in various penal sums (limits). Government Code §§36518 and 36519 also require the City Clerk, City Treasurer and other City officials designated by the City Council to execute bonds to the City. The penal sum or limits of the bonds range from \$1,000 to \$4,000 depending on the position covered.

Government Code §1481 allows a master official bond or other form of master bond to be used to provide coverage on more than one officer, employee or agent required by the City to give a bond. Government Code §1463 allows a government crime insurance policy or employee dishonesty policy, including faithful performance, to be provided as an alternative to any official City bond and to use any such insurance policy as a master bond as though it were an official bond, upon approval by the City Council.

The City officials required to be bonded have not been covered for many years. Staff has obtained a proposal from Alliant Insurance Services to obtain a government crime policy, including faithful performance, to cover all City officials. The policy provides coverage limits of \$1,000,000 subject to a \$2,500 deductible. The premium is \$950 per year.

Staff would ordinarily proceed without formal City Council action because the \$950 premium is well within the City Manager’s authority. However, City Council approval is legally required when insurance is obtained in lieu of an official bond.

Staff has reviewed the Alliant proposal and has determined that binding coverage as proposed is in the City's best interest. The scope of coverage is equivalent to coverage that would be provided under an official bond. The policy limits are \$1,000,000 instead of the \$1,000 - \$4,000 bonded amounts required by the Colfax Municipal Code. All City employees will be covered, not just those specified in the Colfax Municipal Code. Bonds must typically be fully collateralized. The proposed insurance does not require full collateralization but can be used as a master bond.

In order to authorize Staff to proceed as requested, the City Council must find that it is expedient to use a master official bond or other form of master bond to cover its employees and to use a government crime insurance policy or employee dishonesty policy, including faithful performance, to provide coverage to City employees in lieu of bonds. The required findings are contained in the Resolution that accompanies this staff report.

FINANCIAL AND/OR POLICY IMPLICATIONS:

The premium for Crime insurance is \$950 annually.

SUPPORTING DOCUMENTS:

Resolution No. 30-2014

Insurance application

City of Colfax

City Council

Resolution № 30-2014

AUTHORIZING THE CITY MANAGER TO OBTAIN A GOVERNMENT CRIME OR EMPLOYEE DISHONESTY INSURANCE POLICY IN LIEU OF AN OFFICIAL BOND

Whereas Colfax Municipal Code Chapter 2.24 requires the City Clerk, ex-officio Assessor, City Treasurer, Chief of Police, ex officio Tax and License Collector, Building Inspector and Sewer Clerk to execute official bonds to the City in various penal sums. Government Code §§36518 and 36519 also require the City Clerk, City Treasurer and other City officials designated by the City Council to execute bonds to the City, and

Whereas Government Code §1481 allows a master official bond or other form of master bond to be used to provide coverage on more than one officer, employee or agent required by the City to give a bond, and

Whereas Government Code §1463 allows a government crime insurance policy or employee dishonesty policy, including faithful performance, to be provided as an alternative to any official City bond and to use any such insurance policy as a master bond as though it were an official bond, upon approval by the City Council, and

Whereas The City Council deems it expedient to use a master official bond or other form of master bond to cover its employees and to use a government crime insurance policy or employee dishonesty policy to provide coverage to City employees.

Whereas Alliant Insurance Services has provided a proposal to provide a Government Crime Policy, including faithful performance, through National Union Fire Insurance Company of Pittsburgh, Pennsylvania (Chartis) with a limit of \$1,000,000 subject to a \$2,500 deductible, and

Whereas The City Council finds and determines that procuring the proposed Government Crime Policy through Alliant Insurance Services as proposed will satisfy the requirements of Colfax Municipal Code Chapter 2.24 and can and should be used as a master bond as though it were an official bond.

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

1. The foregoing recitals are true and correct statements of fact and are incorporated by reference into this resolution.
2. The City Manager is authorized to obtain on behalf of the City the Government Crime Policy, including faithful performance, through Alliant Insurance Services as proposed and to appropriate and encumber sufficient funds to pay for that policy of insurance.

The foregoing Resolution was duly and regularly adopted at a regular meeting of the City Council of the City of Colfax held on the 8th day of October, 2014 the following roll call vote of the Council:

AYES:

NOES:

ABSENT:

ABSTAIN:

Tony Hesch, Mayor

ATTEST:

Lorraine Cassidy, City Clerk

**ALLIANT CRIME INSURANCE PROGRAM (ACIP)
 GOVERNMENT CRIME
 INSURANCE APPLICATION
 2014-2015**

For Agency Use Only
 Producer Name: _____
 Producer Number: _____
 Office: Newport Beach

Note: Please complete one questionnaire for each legal entity to be insured.

Applicant: City of Colfax

Complete Named Insured:	<u>City of Colfax</u>

Insured Address: City of Colfax
 For overnight mail 33 S Main Street
 (No P.O. Box) Colfax, CA 95713

Mailing Address: City of Colfax
 Same as above PO Box 702
Colfax, CA 95713

Contact: Laurie Van Groningen Title: Finance Director
 Phone: (530) 346-2313 Ext. Fax: (530) 346-2313
 email: Laurie.vangroningen@colfax-ca.gov

• **CURRENT COVERAGE** •

Total Limit: N/A Deductible: _____ Policy Expiration Date: / /

Current Annual Premium: \$ _____

• **OPTIONAL QUOTATIONS** •

Limits Requested:	\$ 1,000,000 <input checked="" type="checkbox"/>	Deductible:	\$ 2,500 <input checked="" type="checkbox"/>
	\$ 3,000,000 <input type="checkbox"/>		\$ 25,000 <input type="checkbox"/>
	\$ 5,000,000 <input type="checkbox"/>		
	\$ 10,000,000 <input type="checkbox"/>		

• **RENEWAL INFORMATION REQUIRED** •

Description of Operations:	<u>City Services</u>		
Type of Entity to be Insured:	<input checked="" type="checkbox"/> Municipality	<input type="checkbox"/> Nonprofit Corporation	
	<input type="checkbox"/> District Hospital	<input type="checkbox"/> Other (please specify)	
	<input type="checkbox"/> Special District	_____	
Total Number of Employees (Break down as follows): Full Time:	<u>7</u>	Part Time:	<u>1</u>
Elected/Appointed Officials:	<u>6</u>	Volunteers:	<u>Please See Addendum</u>
Number of Employees who actually handle, have access to or maintain records of money, securities or other property:	<u>3</u>		
Number of Locations where all employees are located:	<u>3</u>		
Total Revenues:	<u>\$3.5 Million</u>	Total Assets:	<u>\$28.2 Million</u>
		Net Income or Revenue:	<u>\$.3 Million</u>
Total Fund Equity (Total Assets – Total Liabilities):	<u>\$ 1.7 Million</u>		

**ALLIANT CRIME INSURANCE PROGRAM (ACIP)
GOVERNMENT CRIME
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2014-2015**

Note: Please complete one questionnaire for each legal entity to be insured.

Have any control recommendations been made by your CPA in the past 2 years? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> (If yes, provide a list and explain): <u>No deficiencies in internal controls were identified as material weaknesses. Matters (copy of report included) were for attention only.</u>
Have any control recommendations made by your CPA within the last 2 years NOT been implemented? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, explain <u>City is reviewing matters identified and will implement as deemed necessary.</u>
Do you have separation of duties over wire fund transfer procedures (i.e. the same person does not authorize and execute the transfer?) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, explain <u>We do not utilize wires, but use ACH for payroll which requires two personnel to complete transaction</u>
Are any bank deposits or accounts reconciled on a monthly basis by someone NOT authorized to deposit or withdraw? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, explain <u>Clerk prepares all deposits and City Manager reviews/approves. Bank accounts reconciled by Finance Director monthly and reviewed by City Manager.</u>
Do you have counter signature on all checks? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If no, describe alternate procedures: <u>City Management staff approves all vouchers for payment and checks are then signed by elected Treasurer</u>
Is an authorized vendor list utilized? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Are your procedures designed so that no single employee can control a transaction from beginning to end (i.e. approve a voucher, request and sign a check?) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, explain _____
Do you have any employees on staff who act as internal claims adjuster? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, please attach an explanation of the internal controls over the establishment of claims files and issuance of claims settlement checks.
Please list any changes or revisions to your audit or internal control procedures during the last 12 months. <u>N/A</u>
Has the Insured had any Commercial Crime losses in the last six (6) years? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (If yes, please provide details): _____
Please provide the latest annual financial statement and CPA Memorandum on Internal Controls if excess limits are being requested.

NOTICE TO APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM CONTAINING ANY MATERIALLY FALSE INFORMATION OR, CONCEALS, FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO, COMMITS A FRAUDULENT ACT, WHICH IS A CRIME AND SUBJECTS SUCH PERSON TO CRIMINAL AND CIVIL PENALTIES.

The undersigned authorized officer/manager of the applicant declares that the statements set forth herein are true. The undersigned authorized officer/manager agrees that if the information supplied on this application changes between the date of this application and the effective date of the insurance, he/she (undersigned) will, in order for the information to be accurate on the effective date of the insurance, immediately notify the insurer of such changes, and the insurer may withdraw or modify any outstanding quotations and/or authorizations or agreements to bind the insurance

Signing of this application does not bind the applicant or the insurer to complete the insurance, but it is agreed that this application shall be the basis of the contract should a policy be issued.

All written statements and materials furnished to the insurer in conjunction with this application are hereby incorporated by reference into this application and made a part hereof.

Signed [Signature] Title City Manager
(Applicant)
Date 7/9/14

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GOVERNMENT CRIME
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2014-2015**

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Addendum

We Contract out Engineer and Planning Services.

Finance Director is an independent Consultant

City Clerk is currently through a temp agency.