

AGENDA

COVID-19 Meeting Notice

To address concerns relating to COVID-19, this meeting will be accessible by remote video conferencing, as authorized by Governor Newsom's Executive Order N-29-20.

Members of the public who wish to observe the meeting and/or offer public comment by video conferencing should contact the District at least 24 hours before the meeting at (805) 967-4519 or RMangus@GoletaSanitary.org to obtain the meeting ID and passcode.

Members of the public with disabilities who wish to request a reasonable modification or accommodation to observe the meeting and/or offer public comment should contact the District at least 24 hours before the meeting at the foregoing telephone number or email address for instructions on how to access the meeting.

A G E N D A
REGULAR MEETING OF THE GOVERNING BOARD
OF THE GOLETA SANITARY DISTRICT
A PUBLIC AGENCY

One William Moffett Place
Goleta, California 93117

May 17, 2021

CALL TO ORDER: 6:30 p.m.

ROLL CALL OF MEMBERS

BOARD MEMBERS: Jerry D. Smith
Steven T. Majoewsky
George W. Emerson
Sharon Rose
Edward Fuller

CONSIDERATION OF THE MINUTES OF THE BOARD MEETING

The Board will consider approval of the Minutes of the Regular Meeting of May 3, 2021.

PUBLIC COMMENTS - Members of the public may address the Board on items within the jurisdiction of the Board.

POSTING OF AGENDA – The agenda notice for this meeting was posted at the main gate of the Goleta Sanitary District and on the District’s website 72 hours in advance of the meeting.

BUSINESS:

1. CONSIDERATION OF CONSULTANT PROPOSAL TO PERFORM 2021 EMPLOYEE COMPENSATION AND BENEFITS SURVEY
(Board may take action on this item.)
2. CONSIDERATION OF CONSULTANT PROPOSAL FOR CLIMATE ADAPTATION PLAN
(Board may take action on this item.)
3. CONSIDERATION AND ADOPTION OF RESOLUTION No. 21-663 AMENDING POLICIES #206 AND #410 OF HUMAN RESOURCES POLICY AND PROCEDURE MANUAL REGARDING EXEMPT POSITIONS AND UNIFORMS
(Board may take action on this item.)

4. CLOSED SESSION
 - A. PUBLIC COMMENTS ON CLOSED SESSION MATTER
 - B. CLOSED SESSION PURSUANT TO GOVERNMENT CODE SECTION 54957(b)(1)
PUBLIC EMPLOYEE PERFORMANCE EVALUATION
TITLE: GENERAL MANAGER
 - C. PUBLIC REPORT ON CLOSED SESSION MATTER
5. GENERAL MANAGER'S REPORT
6. LEGAL COUNSEL'S REPORT
7. COMMITTEE/DIRECTOR'S REPORTS AND APPROVAL/RATIFICATION OF DIRECTOR'S ACTIVITIES
8. PRESIDENT'S REPORT
9. ITEMS FOR FUTURE MEETINGS
10. CORRESPONDENCE
(The Board will consider correspondence received by and sent by the District since the last Board Meeting.)
11. APPROVAL OF BOARD COMPENSATION AND EXPENSES AND RATIFICATION OF CLAIMS PAID BY THE DISTRICT
(The Board will be asked to ratify claims.)

ADJOURNMENT

Any public records which are distributed less than 72 hours prior to this meeting to all, or a majority of all, of the District's Board members in connection with any agenda item (other than closed sessions) will be available for public inspection at the time of such distribution at the District's office located at One William Moffett Place, Goleta, California 93117.

MINUTES

MINUTES
REGULAR MEETING OF THE GOVERNING BOARD
GOLETA SANITARY DISTRICT
A PUBLIC AGENCY
DISTRICT OFFICE CONFERENCE ROOM
ONE WILLIAM MOFFETT PLACE
GOLETA, CALIFORNIA 93117

May 3, 2021

CALL TO ORDER: President Smith called the meeting to order at 6:31 p.m.

BOARD MEMBERS PRESENT: Jerry D. Smith, Steven T. Majoewsky, George W. Emerson, Sharon Rose, Edward Fuller

BOARD MEMBERS ABSENT: None

STAFF MEMBERS PRESENT: Steve Wagner, General Manager/District Engineer, Rob Mangus, Finance and Human Resources Manager/Board Secretary, John Crisman, Plant Operations Manager and Richard Battles, Legal Counsel from Howell Moore & Gough LLP.

OTHERS PRESENT: Larry Meyer, Director, Goleta West Sanitary District
Tom Evans, Director, Goleta Water District

APPROVAL OF MINUTES: Director Majoewsky made a motion, seconded by Director Fuller, to approve the minutes of the Regular Board meeting of 04/19/21. The motion carried by the following vote:

(21/05/2193)

AYES: 5 Smith, Majoewsky, Emerson, Rose,
Fuller

NOES: None

ABSENT: None

ABSTAIN: None

POSTING OF AGENDA: The agenda notice for this meeting was posted at the main gate of the Goleta Sanitary District and on the District's website 72 hours in advance of the meeting.

PUBLIC COMMENTS: None

BUSINESS:

1. **PRESENTATION ON THE CURRENT STATE OF OPERATIONS AT THE DISTRICT'S WATER RESOURCE RECOVERY FACILITY**
Mr. Wagner began the staff report and introduced John Crisman, Plant Operations Manager who gave a PowerPoint presentation to the Board.

No Board action was taken on this presentation item.

2. CONSIDERATION OF LITIGATION FUNDING REQUEST FROM THE SOUTHERN CALIFORNIA ALLIANCE OF PUBLICLY OWNED TREATMENT WORKS

Mr. Wagner gave the staff report.

Director Majoewsky made a motion, seconded by Director Rose to authorize and approve funding of \$2,500 to SCAP towards the litigation effort.

The motion carried by the following vote:

(21/05/2194)

AYES:	5	Smith, Majoewsky, Emerson, Rose, Fuller
NOES:		None
ABSENT:		None
ABSTAIN:		None

3. CONSIDERATION OF PROPOSED ANNEXATION OF 1045 LA VISTA ROAD, SANTA BARBARA APN 055-110-007

Mr. Wagner gave the staff report.

Director Rose made a motion, seconded by Director Fuller to direct the General Manager to inform LAFCO that the Board has no objection to the proposed annexation of 1045 La Vista Road, Santa Barbara, APN 055-110-007.

The motion carried by the following vote:

(21/05/2195)

AYES:	5	Smith, Majoewsky, Emerson, Rose, Fuller
NOES:		None
ABSENT:		None
ABSTAIN:		None

4. GENERAL MANAGER'S REPORT

Mr. Wagner gave the report.

5. LEGAL COUNSEL'S REPORT

Mr. Battles reported on changes to one of the three different bills related to the Brown Act that he previously reported on, AB339. He reminded the Board that this bill contained the most modifications related to providing access to meetings, translation and other requirements and was most recently amended to exclude Special Districts.

He also reported on a coastal access encroachment case that resulted in a multimillion dollar fine.

6. COMMITTEE/DIRECTORS' REPORTS AND APPROVAL/RATIFICATION OF DIRECTORS' ACTIVITIES

Director Fuller – No report.

Director Emerson – No report.

Director Rose – Reported on the Santa Barbara County CSDA meeting and announced the forthcoming meeting.

Director Majoewsky – Reported that the Personnel Committee met.

7. PRESIDENT'S REPORT

President Smith – No report.

8. ITEMS FOR FUTURE MEETINGS

There was Board consensus to add a closed session to the next meeting agenda related to the General Manager's performance review.

9. CORRESPONDENCE

The Board reviewed and discussed the list of correspondence to and from the District in the agenda.

10. APPROVAL OF BOARD COMPENSATION AND EXPENSES AND RATIFICATION OF CLAIMS PAID BY THE DISTRICT

Director Emerson made a motion, seconded by Director Majoewsky, to ratify and approve the claims, for the period 04/20/21 to 05/03/21 as follows:

Running Expense Fund #4640	\$ 492,197.83
Depreciation Replacement Reserve Fund #4655	\$ 36,697.55
Retiree Health Insurance Sinking Fund #4660	\$ 9,706.84

The motion carried by the following vote:

(21/05/2196)

AYES: 5 Smith, Majoewsky, Emerson, Rose, Fuller
NOES: None
ABSENT: None

ABSTAIN: None

ADJOURNMENT

There being no further business, the meeting was adjourned at 8:02 p.m.

Jerry D. Smith
Governing Board President

Robert O. Mangus, Jr.
Governing Board Secretary

Steven T. Majoewsky

George W. Emerson

Sharon Rose

Edward Fuller

AGENDA ITEM #1

AGENDA ITEM: 1

MEETING DATE: May 17, 2021

I. NATURE OF ITEM

Consideration of Consultant Proposal to Perform 2021 Employee Compensation and Benefits Survey

II. BACKGROUND INFORMATION

The District conducts periodic employee compensation and benefits surveys in order to attract and retain qualified employees pursuant to Resolution No. 11-522. The last survey was completed in 2016. The completion of an employee compensation and benefit survey every 5 years is a goal included in the District's FY 2020-21 Strategic Plan and Annual Action Plan.

On February 17, 2021, the Board discussed the possibility of hiring an outside consulting firm to perform a compensation and benefits survey. After the discussion, the Board directed staff to request proposals from qualified firms based on the following two-phased approach:

Phase 1 Consultant to review District's existing survey process/methodology and submit any recommended modifications to the Board for consideration.

Phase 2 If the Board concurs with the recommendations and/or elects to move forward with the survey, a scope of work and fee would be brought back for Board consideration.

A Request for Qualifications (RFQ) was issued, and six firms submitted their Statements of Qualification (SOQ). Staff evaluated submissions and selected three firms with qualifications that best matched the District's needs and asked them to submit proposals for the first phase of the survey.

The selected consulting firms were asked to submit cost proposals for the first phase of the survey only. If selected, the firm would complete the phase 1 evaluation, and submit findings and recommendations to the Board along with a cost proposal for phase 2. The submittal of the first phase is a stand-alone project, and completion of the first phase does not commit the District to going forward with the second phase of the project.

The District also recently received the California Association of Sanitation Agencies (CASA) Salary and Benefits Survey for 2021. This data will inform the District's compensation survey process as it includes salary and benefit information from 28 wastewater agencies throughout California.

III. COMMENTS AND RECOMMENDATIONS

Staff reviewed and evaluated the three proposals submitted and recommends the Board consider moving forward with Koff and Associates (K&A) for the first phase of the study. K&A has performed numerous surveys for other wastewater agencies and presented a detailed proposal at a reasonable cost. A copy of their proposal is attached to this report. K&A is highly recommended by CASA, having performed several compensation and benefits studies for the organization, most recently in 2020. The Board's Personnel Committee reviewed the proposal on Friday, May 14, 2021.

If the Board supports having K&A conduct phase 1 of survey as recommended, staff would prepare an addendum to proposal in an amount not to exceed \$5,760. A report of the K&A findings along with a cost proposal for phase 2 of the study would be brought back to the Board for further consideration at a future date.

IV. REFERENCE MATERIALS

Statement of Qualifications for Compensation and Benefits Study from Koff & Associates dated March 26, 2021

Koff and Associates Proposal dated April 29, 2021



Submittal date: March 26, 2021

Proposal for Compensation and Benefits Survey

Goleta Sanitary District

Koff & Associates

GEORG S. KRAMMER

Chief Executive Officer

2835 Seventh Street

Berkeley, CA 94710

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Fax: 510.652.5633

March 26, 2021

Mr. Steve Wagner, P.E. CSDM
General Manager/District Engineer
Goleta Sanitary District
One William Moffett Place,
Goleta, CA 93117

Dear Mr. Wagner:

Thank you for the opportunity to respond to your request for proposal for a Compensation and Benefits Survey for the **Goleta Sanitary District** (“District”), for approximately 32 classifications. We are most interested in assisting the District with this important study and feel that we are uniquely qualified to provide value to your organization based on our extensive experience working with other sanitary and water districts throughout California.

Koff & Associates is an experienced public-sector Human Resources and Recruitment Services firm that has been conducting similar classification and compensation studies for cities, counties, and special districts, for 37 years. The firm has achieved a reputation for working successfully with management, employees, and union representatives. We believe in a high level of dialogue and input from employees and management and our proposal speaks to that level of effort. That extra effort has resulted in close to 100% implementation of all of our classification and compensation studies. We are very proud of the fact that we have only had a handful of formal appeals in our firm’s entire history.

I can be reached at our Berkeley address. My phone number is 510.274.2760 and my email is gkrammer@koffassociates.com. Please call me with any questions or if you wish additional information.

We look forward to the opportunity to provide professional assistance to the Goleta Sanitary District with this important project.

Sincerely yours,



Georg S. Krammer
Chief Executive Officer



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QUALIFICATIONS OF FIRM

Koff & Associates (“K&A”) is a full-spectrum, public sector human resources and recruitment services firm that was founded by Gail Koff in 1984, and has been assisting special districts, cities, counties, other public agencies, and non-profit organizations with their human resources needs for 37 years.

We are a private **California corporation, #2785458**, and our **legal name is Kaneko & Krammer Corp. dba Koff & Associates, Inc.** Our headquarters are in Berkeley, CA, and we have satellite offices in Southern California, the Central Valley, and the Sacramento Region.

We are a California State-certified Small Business Enterprise (**#58366**), and, locally through the County of Alameda, we are also a certified Local, Small Local, and Very Small Local Business Enterprise.

We are familiar with the various public sector organizational structures, agency missions, operational and budgetary requirements, and staffing expectations. We have extensive experience working in both union and non-union environments (including service as the management representative in meet & confer and negotiation meetings), working with Boards of Directors, Boards of Commissioners, Boards of Supervisors, City Councils, County Commissions, Boards of Trustees, Merit Boards, and Joint Power Authorities.

The firm’s areas of focus are classification and compensation studies (approximately 70% of our workload); executive search and staff recruitments; organizational development/assessment studies; performance management and incentive compensation programs; development of strategic management tools; policy/procedure development and employee handbooks; public agency consolidations and separations; Human Resources audits; and serving as off-site Human Resources Director for our smaller public agencies that need the expertise of an Human Resources Director but do not need a full-time, on-site professional.

Without exception, all of our studies have successfully met all of our intended commitments; communications were successful with employees, supervisors, management, and union representatives; and we were able to assist each agency in successfully implementing our recommendations. All studies were brought to completion within stipulated time limits and proposed budgets.

The firm’s long list of clients (please see <https://koffassociates.com/our-clients/>) is indicative of its reputation as being a quality organization that can be relied on for producing comprehensive, sound and cost-effective recommendations and solutions. K&A has a reputation for being “hands on” with the ability and expertise to implement its ideas and recommendations through completion in both union and non-union environments.

K&A relies on our stellar reputation and the recommendations and referrals of current and recent past clients to attract new clients. Our work speaks for itself and our primary goal is to provide professional and technical human resources assistance with integrity, honesty, and a commitment to excellence.

We are very proud of the fact that we have only had a handful of formal appeals in our entire history, working with hundreds of public agency clients and completing hundreds of studies and other projects.



KEY PERSONNEL

All members of our team have worked on multiple classification and compensation studies and are well acquainted with the wide array of public sector classification plans and compensation structures, as well as the challenges and issues that arise when conducting studies such as this one for the District. K&A has a team of 32 professionals.

Georg Krammer, Chief Executive Officer, will serve as the Director for this project; he will coordinate all of K&A's efforts, will attend all meetings with the District, and will be responsible for all work products and deliverables.

Georg brings over 20 years of management-level human resources experience to Koff & Associates with an emphasis in classification and compensation design; market salary studies; organizational development; executive recruitment; performance management; and employee relations, in the public sector and in large corporations as well as small, minority-owned businesses.

After obtaining a Master of Arts in English and Russian and teaching credentials at the University of Vienna, Austria, Georg came to the United States to further his education and experience and attained his Master of Business Administration from the University of San Francisco. After starting his HR career in Wells Fargo's college recruiting department, he moved on to HR management positions in the banking and high-tech consulting industries. He had five years in the private sector where he served as an HR Manager, and Administrative Officer, and then HR Director before entering the public sector. With his wide-ranging and deep experience as a well-rounded senior HR generalist, his education in business and teaching, his depth and breadth of experience with public sector HR needs, programs, and functions, Georg's contribution to K&A's variety of projects greatly complements the Koff & Associates Human Resources and Recruitment Services team.

He has spearheaded several hundred classification, compensation, organizational, strategic planning, etc., studies for hundreds of cities, towns, counties, and special districts throughout the State of California and has contributed to more than quadrupling the size of Koff & Associates as a result of the success of his projects and the subsequent expansion of the business through referrals from satisfied clients. Georg joined K&A in 2003 and has been the firm's Chief Executive Officer since 2005.

In the last few years, Georg has been the Project Director/Key Personnel for classification and/or compensation studies, organizational assessments, and other HR projects, at the following agencies:

- **Wastewater:** California Association of Sanitation Agencies, Central Marin Sanitation Agency, Encina Wastewater Authority, Leucadia Wastewater District, Napa Sanitation District, Ojai Valley Sanitary District, Orange County Sanitation District, Oro Loma Sanitary District, Truckee Sanitary District, Union Sanitary District, Vallejo Flood and Wastewater District
- **Water:** Bay Area Water Supply & Conservation Agency, Beaumont Cherry Valley Water District, Central Coast Water Authority, Cucamonga Valley Water District, Eastern Municipal Water District, Joshua Basin Water District, Marina Coast Water District, Metropolitan Water District of Southern California, Min-Peninsula Water District, Mojave Water Agency, Monte Vista Water District, Mt. View Sanitary District, Oakwood Lake Water District, Paradise Irrigation District,



Rancho California Water District, San Bernardino Valley Water Conservation District, Santa Clarita Valley Water Agency, Sonoma County Water Agency, South Coast Water District, State Water Contractors, Sweetwater Authority, Trabuco Canyon Water District, Vallecitos Water District, Valley County Water District, West Basin Municipal Water District, Western Municipal Water District, Zone 7 Water Agency

- **Other Special Districts:** Air Quality, Community Services District, Fire and Police Protection, Housing/Economic Development, Open Space, Public Utilities, and Transportation.
- **Cities/Towns:** Alameda, American Canyon, Anaheim, Arroyo Grande, Bellflower, Campbell, Citrus Heights, Coachella, Concord, Cotati, Gilroy, La Cañada Flintridge, Lomita, Los Altos, Los Altos Hills, Menifee, Menlo Park, Morro Bay, Murrieta, National City, Newport Beach, Oakland, Oxnard, Palm Desert, Perris, Pleasant Hill, Port Hueneme, Redlands, Redwood City, Sacramento, San Diego, San Jose, San Marino, Santa Ana, Santa Barbara, Santa Clara, Saratoga, Sausalito, Seal Beach, Spokane (Washington), Vallejo, West Sacramento, Westminster, Yucca Valley, Yreka
- **Counties:** Bernalillo (New Mexico), Fresno, Monterey, Orange, Placer, San Joaquin, Sonoma, and Trinity.
- **Courts:** Habeas Corpus Resource Center, Superior Court of Kern County, Superior Court of Orange County, Superior Court of Santa Barbara.

METHODOLOGY / SCOPE OF WORK / DELIVERABLES

COMPENSATION AND BENEFITS SURVEY

Deliverable A. Meetings with Study Project Team and Management Staff and Initial Documentation Review

- Identify client project team, contract administrator, and reporting relationships.
- Orientation and briefing sessions with the study project team and staff to explain methodology.
- Gather all pertinent documentation, including class descriptions, organizational charts, personnel policies, memoranda of understanding, etc.
- Review and confirm comparator agencies, benchmark classifications, and identify benefits to be surveyed.

Deliverable B. List of Comparator Agencies, Benchmark Classifications and Benefits to be Collected

- Identify appropriate comparator agencies based on a number of evaluation criteria (such as type of organization, size of organization, number of employees, size of budgets, population served, cost of living, etc.); if the District has a list of past/current comparator agencies, recommend changes as appropriate.
- Identify/Confirm classifications to be studied based on an internal relationship analysis of all classifications. Due to the small number of classifications, we will likely survey most of them. Exceptions would be, for example, the Plant Operator OIT/I/II/III/IV class series – most likely we would survey the II-level and then internally align the other levels by applying standard internal alignment differentials.
- Identify/Confirm benefits to be collected .

Deliverable C. Data from Comparators and Preliminary Data Review

- K&A to conduct all of the data collection and analysis to ensure validity of data and quality control; compare job description to job description; ensure matches of at least 70%.



- Review the District’s existing job descriptions to ensure understanding of each position to be surveyed.
- Collect job descriptions, organization charts, and other information from comparator agencies via website, in person, or by telephone.
- Make preliminary “matches” using “whole position methodology” and then schedule appointments by telephone, and sometimes in person, with knowledgeable individuals to answer specific questions. Our “whole position methodology” includes factors such as education, experience, problem solving, supervision exercised, etc.
- Ensure a very high validity rate and produce data that is substantiated before management, employee representation as well as governing bodies.
- Enter data into spreadsheet format designed for ease of interpretation and use.
- Present information in a format that will identify the comparator positions used for each class comparison.
- Calculate information based upon average and median figures, allowing the District to make informed compensation decisions.
- Collect and display benefit data in an easy-to-read format.
- Submit three sets of spreadsheets per classification, one with base pay, one with the benefits detail, and one with total compensation statistical data.

Deliverable D. Draft Compensation Findings and Meeting with Project Team

- Distribute draft findings to the District.
- After the District’s preliminary review, meet with the project team and various stakeholders to clarify data, receive requests for reanalysis of certain comparators; and answer questions and address concerns.
- Provide an opportunity for the project team and other stakeholders to review and question any of our recommended benchmark comparator matches.
- If questions arise, conduct follow-up analysis to reconfirm original analysis and/or make corrections.

Deliverable E. Analysis of Internal Relationships and Alignment

- Determine internal equity for both market driven and non-benchmarked positions.
- Develop internal position hierarchy based on the “whole position” classification methodology which we use to do the internal alignment.
- Make recommendations regarding vertical salary differentials across the organization.

Deliverable F. Compensation Recommendations

- Review and make recommendations regarding internal alignment and salary structure within which classifications are allocated, based upon the District’s preferred compensation plan.
- Discuss draft recommendations with management team prior to developing Interim Report.

Deliverable G. Draft Compensation Report, Final Report and Guidelines for Implementation

- Complete Draft Report and submit to the District for review, comment, and recommendations, including detailed compensation findings and recommendations; proposed salary ranges, and implementation issues; methodology for continued implementation and maintenance of recommendations.



- After the District’s questions/concerns are addressed and discussed, create Final Compensation Report.

Deliverable H. Final Presentation

- Our proposal includes one initial overview, one interim study session (to discuss the initial findings of the market salary study), and one final presentation to the Board, as needed.

TIMELINE

Our professional experience is that classification and compensation studies of this scope and for this size organization take approximately three months to complete, allowing for adequate, compensation data collection and analysis, review steps by the District, the development of final reports, any appeals, meetings, and presentations.

Following is a suggested timeline (which can be modified based on the District’s needs):

Deliverables	Compensation and Benefits Survey	Completion by:
A.	Meetings with Study Project Team and Management Staff and Initial Documentation Review	Week 1
B.	List of Comparator Agencies, Classifications, and Benefits to be Collected	Week 1
C.	Data from Comparators and Preliminary Data Review	Week 9
D.	Draft Compensation Findings and Meeting with Project Team	Week 10
E.	Analysis of Internal Relationships and Alignment	Week 11
F.	Compensation Structure Development	Week 11
G.	Draft Compensation Report, Final Report and Guidelines for Implementation	Week 12
H.	Final Presentation	As Scheduled



Submittal date: April 29, 2021

Proposal for Compensation and Benefits Study- Phase One

Goleta Sanitary District

Koff & Associates

GEORG S. KRAMMER

Chief Executive Officer

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Berkeley, CA 94710

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Tel: 510.274.2760

Fax: 510.652.5633

April 29, 2021

Mr. Steve Wagner, P.E. CSDM
General Manager
Goleta Sanitary District
One William Moffett Place,
Goleta, CA 93117

Dear Mr. Wagner:

Thank you for the opportunity to respond to your request for proposal for Phase One of a Compensation and Benefits Study for the **Goleta Sanitary District** ("District"), for approximately 32 classifications. We are most interested in assisting the District with this important study and feel that we are uniquely qualified to provide value to your organization based on our extensive experience working with other sanitary and water districts throughout California.

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We are familiar with the various public sector organizational structures, agency missions, operational and budgetary requirements, and staffing expectations. We have extensive experience working in both union and non-union environments (including service as the management representative in meet & confer and negotiation meetings), working with Boards of Directors, Boards of Commissioners, Boards of Supervisors, City Councils, County Commissions, Boards of Trustees, Merit Boards, and Joint Power Authorities.

The firm’s areas of focus are classification and compensation studies (approximately 70% of our workload); executive search and staff recruitments; organizational development/assessment studies; performance management and incentive compensation programs; development of strategic management tools; policy/procedure development and employee handbooks; public agency consolidations and separations; Human Resources audits; and serving as off-site Human Resources Director for our smaller public agencies that need the expertise of an Human Resources Director but do not need a full-time, on-site professional.

Without exception, all of our studies have successfully met all of our intended commitments; communications were successful with employees, supervisors, management, and union representatives; and we were able to assist each agency in successfully implementing our recommendations. All studies were brought to completion within stipulated time limits and proposed budgets.

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In the last few years, Georg has been the Project Director/Key Personnel for classification and/or compensation studies, organizational assessments, and other HR projects, at the following agencies:

- **Wastewater:** California Association of Sanitation Agencies, Central Marin Sanitation Agency, Encina Wastewater Authority, Leucadia Wastewater District, Napa Sanitation District, Ojai Valley Sanitary District, Orange County Sanitation District, Oro Loma Sanitary District, Truckee Sanitary District, Union Sanitary District, Vallejo Flood and Wastewater District
- **Water:** Bay Area Water Supply & Conservation Agency, Beaumont Cherry Valley Water District, Central Coast Water Authority, Cucamonga Valley Water District, Eastern Municipal Water District, Joshua Basin Water District, Marina Coast Water District, Metropolitan Water District of Southern California, Min-Peninsula Water District, Mojave Water Agency, Monte Vista Water District, Mt. View Sanitary District, Oakwood Lake Water District, Paradise Irrigation District,



Rancho California Water District, San Bernardino Valley Water Conservation District, Santa Clarita Valley Water Agency, Sonoma County Water Agency, South Coast Water District, State Water Contractors, Sweetwater Authority, Trabuco Canyon Water District, Vallecitos Water District, Valley County Water District, West Basin Municipal Water District, Western Municipal Water District, Zone 7 Water Agency

- **Other Special Districts:** Air Quality, Community Services District, Fire and Police Protection, Housing/Economic Development, Open Space, Public Utilities, and Transportation.
- **Cities/Towns:** Alameda, American Canyon, Anaheim, Arroyo Grande, Bellflower, Campbell, Citrus Heights, Coachella, Concord, Cotati, Gilroy, La Cañada Flintridge, Lomita, Los Altos, Los Altos Hills, Menifee, Menlo Park, Morro Bay, Murrieta, National City, Newport Beach, Oakland, Oxnard, Palm Desert, Perris, Pleasant Hill, Port Hueneme, Redlands, Redwood City, Sacramento, San Diego, San Jose, San Marino, Santa Ana, Santa Barbara, Santa Clara, Saratoga, Sausalito, Seal Beach, Spokane (Washington), Vallejo, West Sacramento, Westminster, Yucca Valley, Yreka
- **Counties:** Bernalillo (New Mexico), Fresno, Monterey, Orange, Placer, San Joaquin, Sonoma, and Trinity.
- **Courts:** Habeas Corpus Resource Center, Superior Court of Kern County, Superior Court of Orange County, Superior Court of Santa Barbara.

METHODOLOGY / SCOPE OF WORK / DELIVERABLES

COMPENSATION AND BENEFITS STUDY - PHASE ONE

Deliverable A: Meetings with Study Project Team and Management Staff and Initial Documentation Review

This task includes identifying the District’s Study Project Team (management, HR, etc.), contract administrator, and reporting relationships. Our team will conduct an orientation and briefing session with the Study Project Team to explain process and methodology; create the specific work plan and work schedule; identify subsequent tasks to be accomplished; reaffirm the primary objectives and specific end products; determine deadline dates for satisfactory completion of the overall assignment; determine who will be responsible for coordinating/scheduling communications with employees, managers, and other stakeholders; and develop a timetable for conducting the same.

Included in this task will be the gathering of written documentation, identifying current incumbents, and assembling current class descriptions, organizational charts, salary schedules, budgets, employment contracts, personnel policies, previous compensation studies, and any other relevant documentation to gain a general understanding of District operations.

District terminology and methods of current compensation procedures will be reviewed and agreed to. We will discuss methodology, agree to formats for compensation results, identify/confirm appropriate comparator agencies, benchmark classifications and benefits to be surveyed for compensation survey purposes. We will respond to any questions that may arise from the various stakeholders.

Deliverable A. List of Comparator Agencies, Benchmark Classifications, and Benefits to be Collected

As part of Phase One of the project, we will identify/confirm appropriate, logical and defensible comparator agencies that will be included in the external market survey, which will be the foundation for



ensuring that the District’s salaries for the studied classifications are competitively aligned with the external labor market.

We will also identify/confirm those classifications that will be surveyed in the market (i.e., benchmark classifications), with the intention of internally aligning the remaining classifications with those that were surveyed.

Finally, we will determine the list of benefits that the District wants to include in the total compensation data gathering process.

1. Determination of Comparator Agencies

The selection of comparator agencies is a critical step in the study process. We typically use the following factors to identify appropriate comparators and will receive approval before proceeding with the total compensation study.

Our recommended methodology is that we involve management, Human Resources, and the Board, in the decision-making process of selecting which comparable agencies are included, **PRIOR** to beginning the study. Our experience has shown that this is the most successful approach. The factors that we typically review when selecting and recommending appropriate comparator agencies include:

- **Organizational type and structure** – While various organizations may provide overlapping services and employ some staff having similar duties and responsibilities, the role of each organization is somewhat unique, particularly in regard to its relationship to the citizens it serves and level of service expectation. During this iterative process, the District’s current/previous list of comparators, if any, and the advantages/disadvantages of including them or others would be discussed.
- **Similarity of population served, District demographics, District staff, and operational budgets** – These elements provide guidelines in relation to resources required (staff and funding) and available for the provision of services.
- **Scope of services provided** – While having an organization that provides all of the services at the same level of citizen expectation is ideal for comparators, as long as the *majority* of services are provided in a similar manner, sufficient data should be available for analysis. When reviewing this factor, the District’s unique services would be evaluated in order to ensure that the majority of comparators provide the same services. This ensures that each comparator yields a sufficient number of matches for the District’s jobs.
- **Labor market** – The reality of today’s labor market is that many agencies are in competition for the same pool of qualified employees, because large portions of the workforce don’t live in the communities they serve, are accustomed to lengthy commutes, and are more likely to consider changing jobs in a larger geographic area than in the past. Therefore, the geographic labor market area (where the District may be recruiting from or losing employees to) is taken into consideration when selecting potential comparator organizations. As part of this analysis, we will determine whether the District has identified agencies that it competes with for qualified talent; those agencies are taken into consideration for purposes of our analysis. It is important to understand and consider the District’s competitive landscape and include agencies in the study to whom the District loses talent.



- **Cost-of-living** – The price of housing and other cost-of-living related issues are some of the biggest factors in determining labor markets. We review overall cost-of-living of various geographic areas, median house prices, and median household incomes to determine the appropriateness of various potential comparator agencies.

We typically recommend using 10-12 comparator agencies for all survey benchmarks in order to achieve statistical significance but are flexible and can easily use a different approach based on the District’s preferences.

2. Determination of Benchmark Classifications

In the same collaborative manner as described in Step 1 above, we will work with the District’s stakeholders to select those classifications that will be surveyed.

“Benchmark classes” are ordinarily chosen to reflect a broad spectrum of class levels. In addition, those that are selected normally include classes that are most likely to be found in other similar agencies, and therefore provide a sufficient valid data sample for analysis. Internal relationships will be determined between the benchmarked and non-benchmarked classifications and internal equity alignments will be made for salary recommendation purposes. Due to the fact that the labor market typically yields reliable data, we recommend using approximately 60-65% of all classifications as benchmarks but we are happy to use a different model.

Due to the small number of classifications, we will likely recommend surveying most of them. Exceptions would be, for example, the Plant Operator OIT/I/II/III/IV class series – most likely we would survey the II-level and then internally align the other levels by applying standard internal alignment differentials. Of course, we will discuss this with the Study Project Team for input and feedback before finalizing our recommendation and developing a report.

3. Determination of Salary and Benefits Data to Be Collected

In addition to base salaries, benefit data elements for a total compensation study normally include at least the following (which are generally available to all staff in a specific job classification):

- **Monthly Salary** – The top of the normal, published salary range. All figures are presented on a monthly or annual basis. We normalize the salary data to reflect number of hours in the work week and/or roll-up of retirement or other benefits in base salaries.
- **Employee Retirement** – This includes two figures: the amount of the employee’s State or other public or private retirement contribution that is contributed by the agency and the amount of the agency’s Social Security contribution.
- **Retiree Healthcare** – Given that healthcare costs are rising and retiree healthcare and liabilities increasing for many public agencies, we collect this information to capture the costs.
- **Insurance** – This typically includes Health, Dental, Vision, and other insurance coverage.
- **Leave** – Other than sick leave, which is usage-based, leave is the amount of days off for which the organization is obligated. We will discuss with the whether leave days/hours should be converted to direct salary cost in dollars or represented in days/hours.
 - ❖ **Vacation:** The number of vacation days available to all employees after five years of employment.



- ❖ **Holidays:** The number of holidays (including floating) available to the employee on an annual basis.
- ❖ **Administrative/Personal Leave:** Administrative leave is normally the number of days available to management staff to compensate for the lack of payment for overtime. Personal leave may be available to other groups of employees to augment vacation or other time off.
- **Deferred Compensation** – We report any employer contribution made on the employee’s behalf, whether dollar amount or percentage of salary, that does not require an employee-matching contribution. We can also report employer contributions that do require an employee match and would do so as a separate report.
- **Other** – This category includes any other benefits that are available to all employees within a classification and not already specifically detailed.

Deliverable C. Phase One Report

Upon examination and evaluation of the District’s current salary survey process and methodology for data collection, including comparative agencies selected, position descriptions used, benefits chosen for comparative purposes, K&A will develop a written report with findings and recommendations of any changes to the District’s procedures along with a proposal, cost estimate and schedule to conduct the study as recommended. The report will include detailed information regarding:

- Method of collecting data and documentation from each comparator agency;
- Method of comparing the District’s jobs to those of the comparator agencies (i.e., job analysis or job matching);
- Development of a demographic employee profile to ensure an apples-to-apples comparison across all agencies;
- Design and format of market survey report and data spreadsheet to ensure data is displayed in an easily understood and “readable” manner for all study stakeholders to understand;
- Method of disseminating market survey data and mechanism for stakeholder review and feedback;
- Method of responding to stakeholder feedback through reanalysis, as appropriate;
- Method of facilitating a discussion among District leadership to discuss and determine a compensation philosophy;
- Method and format of designing a compensation structure per the District’s preferred compensation model;
- Method of internal job equity analysis and model of building organization-wide vertical and horizontal compensation relationships among all District jobs;
- Development of implementation plan and roadmap to transition the District’s workforce to the new/updated compensation plan;
- Manual of guidelines to implement and continuously administer and maintain the new/updated compensation plan; and
- Any other information the District deems pertinent as part of the process.



TIMELINE

Deliverables	Compensation and Benefits Study Phase One	Completion by:
A.	Meetings with Study Project Team and Management Staff and Initial Documentation Review	Week 1
B.	List of Comparator Agencies, Classifications, and Benefits to be Collected	Week 3
C.	Phase One Report	Week 4

COST PROPOSAL

Please note: for small studies such as this, it is often challenging to estimate the hours; of course, we will only bill for actual hours worked and this study may take fewer hours than our best estimate below.

Deliverables	Compensation and Benefits Study Phase One	Hours
A.	Meetings with Study Project Team and Management Staff and Initial Documentation Review	8
B.	List of Comparator Agencies, Benchmark Classifications, and Benefits to be Collected (including virtual meetings with study stakeholders to discuss and receive feedback, reanalyze as necessary, and develop final recommendation)	20
C.	Phase One Report	8
	Total Professional Hours	36
	Combined professional and clerical composite rate: \$160/Hour	\$5,760
	Expenses are included in the composite hourly rate:	N/A
	<i>Expenses include but are not limited to duplicating documents, binding reports, phone, supplies, postage, parking, meals, travel time, etc.</i>	
	TOTAL PROJECT COST NOT TO EXCEED:	\$5,760
	<i>*Additional consulting will be honored at composite rate (\$160/hour)</i>	



CONTRACTUAL REQUIREMENTS

We will be pleased to sign the District’s professional services agreement for a Compensation and Benefits Survey. We respectfully request that the following clause also be incorporated into your contract or agreement with K&A:

Payment Terms:

Our regular terms are Net 30. Client shall pay K&A for its fees and reimbursable expenses (if applicable) within 30 days following the date of receipt of each applicable invoice. If Client contests or questions any invoice, it agrees to raise any questions with management of K&A within such 30-day period. Late fees in the amount of 2% of invoice amount will accrue if current invoice is not paid within 30 days of payment due date of that invoice. If late fees are not paid, they will carry forward to next invoice.

If necessary, we are flexible about negotiating other terms with the District.

Please also note: We respectfully request that the following clause also be incorporated into your contract or agreement with K&A:

Non-Solicitation:

Except with the written consent of Georg Krammer or Katie Kaneko, CEO and President respectively of Koff & Associates, which consent may be given or withheld in their sole discretion, Client agrees that during the term of this Agreement and for a period ending one year thereafter (the “Time Period”) Client will not solicit services from or hire any K&A employee or contractor (each, a “Team Member”) with whom Client has had contact pursuant to the services provided to Client under this Agreement. Client specifically acknowledges that K&A recruits, trains, and contracts with Team Members and that such efforts are costly and time-consuming. As such, it is understood that should Client hire a Team Member during the Time Period for any reason without the required consent, Client agrees to pay a placement fee (paid at the time of placement) of 30% of Team Member’s first year’s total compensation which accurately reflects a reasonable estimate of K&A’s time and costs attendant to its recruitment, hiring, retention, and management of Team Members.

INSURANCE REQUIREMENTS

We will submit support of the required level of coverage and endorse the District with our General Liability Insurance coverage upon award of contract.

Workers’ Compensation:	Statutory Limits
General Liability:	\$2 million per occurrence
Errors and Omissions:	\$1 million per occurrence
Automobile Insurance:	\$1 million per occurrence

Our insurance broker is Ms. Eileen Hollander, Sr. Account Manager/Commercial Lines, EPIC Insurance Brokers, 2300 Contra Costa Blvd., Suite 375, Pleasant Hill, CA 94523.



Proposal Signature Page

Koff & Associates intends to adhere to all of the provisions described above.

This proposal is valid for 90 days from date of submittal.

Respectfully submitted,

By: KOFF & ASSOCIATES
State of California

Georg S. Krammer
Chief Executive Officer

April 29, 2021



AGENDA ITEM #2

AGENDA ITEM: 2

MEETING DATE: May 17, 2021

I. NATURE OF ITEM

Consideration of Consultant Proposal for Climate Adaptation Plan

III. BACKGROUND INFORMATION

The District's Governing Board met on March 24, 2021 to review and approve the 2021 Action Plan. One of the goals of the Plan under the Environmental Stewardship and Resiliency Planning category is to select a consultant for assistance in the development of a Climate Adaptation Plan (CAP).

Staff issued a request for qualifications (RFQ) for preparation of a CAP, nine consulting firms submitted Statements of Qualifications (SOQs). While all had varied levels of experience preparing similar plans, three had extensive experience preparing CAPs for other local agencies.

Staff again evaluated and ranked the top three firms and found Environmental Science Associates (ESA) to be the most qualified to meet the District's CAP objectives. A meeting was held with the ESA team to discuss the overall scope of the project and budget.

ESA has prepared a detailed proposal to prepare a CAP that meets our objectives. A copy of their proposed is attached to this this report and presented herein for Board consideration.

III. COMMENTS AND RECOMMENDATIONS

The scope and cost of the CAP study is limited to identifying potential sea-level rise impacts to the District's facilities including, but not limited to: the Firestone Lift Station, the Outfall and the treatment plant, and to recommend mitigation measures with respect to timing, strategies, and costs. The consultants are expected to make use of the large library of previous local studies which have been performed for other agencies recently. The proposal also includes a few optional activities with additional costs if so desired by the District. Staff is not recommending any of the optional tasks be conducted at this time.

Staff reviewed and evaluated the ESA proposal and recommends the Board authorize the General Manager to execute a professional services contract with ESA for development of a CAP in the form of an addendum to proposal in an amount not to exceed \$53,187.

IV. REFERENCE MATERIALS

Statement of Qualifications for Environmental Science Associates (ESA) dated March 26, 2021

Scope, Fee, and Schedule Proposal for Climate Adaptation Plan from Environmental Science Associates dated May 12, 2021

Goleta Sanitary District

Statement of Qualifications to Prepare a Climate Adaptation Plan



Work That Matters

March 26, 2021



Goleta Sanitary District

Statement of Qualifications to Prepare a Climate Adaptation Plan

Work That Matters

March 26, 2021

Prepared for:
Goleta Sanitary District

Laura Romano
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One William Moffett Place
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Prepared by:
ESA

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P202100203.00

Statement of Qualifications

Goleta Sanitary District Climate Adaptation Plan



ESA is a multi-disciplinary environmental planning and design firm. We are an employee-owned corporation of more than 500 professionals located in offices across the West Coast and Florida. For more than 50 years, ESA's team of environmental planners and technical specialists have provided thousands of clients with a full suite of environmental planning and design services to successfully complete all stages of project planning, design, and implementation—everything from small stand-alone technical memoranda to large-scale coastal development and restoration projects requiring federal and state approvals.



ESA is known for leading multi-objective projects that integrate coastal hazard analyses, vulnerability assessments, climate change planning, resource management, adaptation, planning, and design to benefit clients, the environment, and entire communities. The breadth of our services and our depth of staff allow us to provide comprehensive and scientifically sound reports and responsive client services while meeting project budgets and schedule requirements.



Our range of capabilities stems from a coastal engineering, planning, and science team composed of civil and coastal engineers, geomorphologists, technical modelers, ecologists, and policy and regulatory experts with decades of technical- and policy-oriented experience. We offer tailored knowledge and expertise in helping agencies and communities understand and manage their risks to the threat of sea-level rise and associated flooding and erosion. We work with our clients to develop innovative and effective solutions to protect key infrastructure and build resilient, thriving, livable communities along the coast. Our results-driven approach applies analytical methods and a risk management framework in the areas of sea-level rise,

climate hydrology, hydrodynamic modeling, and engineering to develop and evaluate adaptation alternatives based on a growing portfolio of success along the nation's West Coast.

We help our clients solve complex coastal issues at both regional and site-specific levels and regularly perform the following services along California's coast:

- > Sea-level rise impact and vulnerability assessments related to climate change
- > Coastal hazard mapping and flood management studies
- > Shoreline erosion assessment and management
- > Modeling of coastal lagoon opening and closure dynamics and flooding
- > Development, screening, and economic analyses of sea-level rise adaptation strategies
- > Design/implementation of coastal levees, revetments, beach nourishment, and natural infrastructure solutions
- > Close collaboration with the California Coastal Commission (CCC), including studies for and preparation of Coastal Development Permits (CDPs) and Local Coastal Programs (LCPs)
- > Land use permitting in the coastal zone
- > Public presentations and communication of technical analyses and planning approaches
- > Geographic information systems (GIS) analysis and cartography

ESA also has the benefit of having local staff that work on and enjoy the coast daily, which brings invaluable knowledge of the coastal processes and hazards of the Goleta/Santa Barbara coastline. We know Goleta Slough

Statement of Qualifications

and the Goleta coastline can be extremely dynamic with Slough opening, closure, and flooding; eroding dunes; collapsing bluffs; and constant beach and sediment movement. Our intimate knowledge of and experience with these changes will support real and implementable adaptation strategies.

ESA will serve as the primary consultant to the Goleta Sanitary District (District) has augmented its in-house services with subcontractor MNS Engineers, Inc.

MNS Engineers

Established in 1962, MNS provides quality infrastructure consulting services to the transportation, water resources, and government service markets throughout California. Specializing in the core services of engineering, construction management, and land surveying, MNS's reputation is built on clear and direct communication and quality services. They understand the technical, environmental, and regulatory aspects required for the types of improvements that may be recommended as part of the analysis conducted for the Climate Adaptation Plan and are experienced with and knowledgeable of federal funding, permitting, and multiagency coordination.

MNS is invested in the Goleta community, with employees residing in the Goleta Sanitary District's service area and being served by the infrastructure to be analyzed. In addition to their relationships and recent and ongoing project work with the District, MNS also has extensive experience with other agencies in the area presiding over public infrastructure, including the City of Goleta, the Goleta West Sanitary District, and the Goleta Water District.

Water Resources Expertise. Innovative, sustainable, and economically viable water resources management systems are vital to our society. MNS applies innovative solutions to comply with an increasing number of more complex regulations, to extend limited resources, to adapt to a changing world, and to rehabilitate and replace aging infrastructure to meet tomorrow's needs. MNS's goal is simple—to provide long-term, cost-effective, high-quality, reliable solutions to ensure our communities will be well served and protected by the systems they manage.

Civil Engineering Expertise. MNS's experienced licensed civil engineers and technical support staff are available to support preparation of a Climate Adaptation Plan. Their engineers utilize the latest computer-aided design and drafting (CADD) equipment and technologies to prepare plans, specifications, and estimates. MNS's engineering and technical teams stay current with material and construction method developments and public agency specification and code requirements.

Project Understanding

The District's combined wastewater collection system converges at the District's regional water resource recovery facility (WRRF), located on what is historically referred to as Mescalitan Island at Goleta Slough. Portions of the District's WRRF, collection system, and access roads to the WRRF are potentially vulnerable to flooding from Goleta Slough, with future projected climate change and sea-level rise as identified in the 2016 Goleta Slough Area Sea Level Rise and Management Plan, prepared and co-authored by the Goleta Slough Management Committee, ESA, and others with the District's involvement. The District now seeks a more detailed climate change and sea-level rise vulnerability assessment and adaptation plan focused specifically on the District's assets, which will build off the [Goleta Slough Area Sea Level Rise and Management Plan](#) and other prior studies. The ESA team understands and applauds the District's goal of performing advanced planning of potential climate change and sea-level rise impacts to improve the resiliency of the District's assets and operations.

The District's WRRF serves both the District and Goleta West Sanitary District. The District's network of sanitary sewer infrastructure serves portions of Goleta Valley and the city of Goleta, while the combined service area with Goleta West Sanitary District includes most of Goleta Valley. The WRRF outfall pipe crosses the Slough near the Highway 217 bridge, passes under the beach, and discharges approximately 6,000 feet offshore.

With future projected sea-level rise, the risk of Goleta Slough flooding and impacting critical District infrastructure and operations is expected to increase. For example, access to the WRRF along James Fowler Road will flood when slough water levels reach 10 to 12 feet NAVD and slough water levels exceeding 17.3 feet NAVD will overtop into District treatment ponds, compared to the current Goleta Slough 100-year water level of 14 to 15 feet NAVD. Furthermore, flooding of sewer collection pipe manholes may cause increased risk of disruptions to wastewater system function.

Goleta Slough is a coastal lagoon enclosed by a beach sand berm. The Slough is intermittently open and connected to the ocean by an inlet channel when the beach berm breaches. Slough flooding is due to the combination of rainfall runoff and fluvial discharge from the Slough's watershed and high ocean water levels and waves accompanying coastal storms. ESA developed a customized in-house model of the Slough's complex opening and closure and water level dynamics for the Goleta Slough Area Sea Level Rise and Management Plan. We will use our model for the District's study to efficiently leverage our extensive prior work. ESA will also use results from our analysis and mapping of coastal flooding and erosion at the Goleta coastline for the [Santa Barbara County Coastal Resilience Project](#), as well as the U.S. Geological Survey's Coastal Storm Modeling System (CoSMoS) results, as we have for the [City of Santa Barbara's Sea-Level Rise Adaptation Plan](#). These coastal flood and erosion mapping results will be useful for assessing coastal flooding and beach and bluff erosion with sea-level rise for the District's study; however, neither address or provide the detailed analyses of Goleta Slough flooding that ESA has performed can leverage for the District. We will also consider applying hydraulic modeling of extreme fluvial flooding for Goleta Slough for the vulnerability assessment, as we have for Carpinteria Creek and Mission Creek Lagoon in Santa Barbara.

Based on ESA's prior vulnerability assessments, the ESA team will identify, develop, and evaluate effective and practical adaptation strategies to reduce vulnerabilities and increase the resiliency of District assets and operations. We will consider and build off of the adaptation strategies we identified in the Goleta Slough Area Sea Level Rise and Management Plan, which include construction of levees to protect key infrastructure, increasing the elevation and/or relocating vulnerable infrastructure and critical access corridors, and installing watertight manholes. The ESA team, including MNS Engineers, offer expertise in both coastal and wastewater engineering and adaptation to provide the District with feasible and cost-effective adaptation solutions with multiple benefits to the resiliency of the District, the communities it serves, and the environment.

Project Team

ESA provides a full-service, integrated team of coastal engineers who are dedicated to adaptation planning and the long-term sustainable management of our coasts. We have crafted a core team of key personnel who possess both the expertise to effectively address the needs of the District and experience on very similar projects, as described in the *Relevant Project Experience* section in the following pages.



Nick Garrity, PE | Project Manager

Nick is a licensed professional civil engineer specializing in coastal engineering with a Master in Civil and Environmental Engineering from UC Berkeley and more than 20 years of experience working with coastal, estuarine, and river systems. He has developed and continually innovates his approaches to the evaluation of coastal flood risks. His technical and project management experience includes hydrodynamic modeling, flood hazard studies, coastal adaptation and restoration planning and design, geomorphic assessments, environmental impact and vulnerability assessments, and post-project monitoring and evaluation. Nick's work focuses on incorporating sea-level rise adaptation into project planning and design. He also specializes in navigating and communicating complex technical analyses and planning processes in coordination with diverse stakeholder groups, including the public and regulatory agencies. Nick has lent his expertise to the management and preparation of the **City of Santa Barbara's Sea-Level Rise Adaptation Plan; City of Malibu's Coastal Vulnerability Assessment; City of Manhattan Beach's Climate**

Statement of Qualifications

Resiliency Program; sea-level rise vulnerability assessments and adaptation plans for the Cities of Oceanside, Del Mar; and multiple projects for the Los Angeles County Department of Public Works.

As project manager, Nick will oversee and lead work tasks and schedule and budget adherence. He will maintain close contact and communication with the District, ensuring that ESA provides quality deliverables to meet key project objectives while keeping the effort on schedule and within budget. In his position as the Southern California Environmental Hydrology and Design Director, he has the authority to dedicate and adjust project staffing to ensure that appropriate and adequate staff resources are committed to meet specific project needs as technical requirements and workload demands evolve.



Amber Inggs, PE | Deputy Project Manager

Amber is a professional civil and environmental engineer and resident in Carpinteria with 9 years of experience. Her expertise includes performing technical analyses to support engineering projects (such as coastal wave, wave runup, and erosion modeling; hydrologic and hydraulic analyses; adaptation and restoration design); developing engineering plans, specifications, and cost estimates; overseeing construction sites; and preparing technical reports. Amber has supported similar projects such as the **City of Santa Barbara Sea-Level Rise Adaptation Plan** and **The Nature Conservancy Coastal Adaptation** projects in Ventura and Monterey Counties.

As deputy project manager, Amber will support Nick, the ESA team, and the District as needed to successfully manage the project and lead task work. Amber lives in Santa Barbara County; thus, she has local presence and knowledge that provides on-the-ground value to the District.



Bob Battalio, PE | Senior Technical Advisor

Bob will serve as ESA's senior technical advisor for work related to coastal hazards, vulnerability, and adaptation. He will provide oversight of and input to technical analyses and adaptation planning, as needed. Bob is a registered Professional Engineer in California with a Master in Engineering from UC Berkeley. He has more than 30 years of experience in beach management, restoration design, coastal engineering, and project management. He has addressed erosion and flooding hazards in numerous locations in California, Washington, and Oregon, including shoreline mapping, sand budgets, wave runup studies, design of hard and soft erosion protection, and design of shoreline enhancements. Bob oversaw the preparation of the **Goleta Slough Area Sea Level Rise and Management Plan**, the **Santa Barbara County Coastal Resilience Project**, and the **City of Santa Barbara Sea-Level Rise Adaptation Plan**. Bob has provided input and oversight to the **Natural Infrastructure Guidelines** working with The Nature Conservancy and led the **Coastal Infrastructure and Vulnerability Impacts Assessment** for the Ocean Protection Council and Pacific Institute, the **Central Coast Highway 1 Climate Resiliency Study**, and the **Los Angeles County Sea-Level Rise Hazard Mapping** for AdaptLA.



Louis White, PE | Coastal Engineer

Louis is a coastal engineer with 13 years of experience in planning and design of coastal management, restoration, and sea-level rise adaptation projects. He applies strong project management and technical skills to complex, multi-objective projects, and has been instrumental in the success of several major climate change adaptation projects. He has direct experience preparing sea-level rise vulnerability and adaptation assessments for local agencies and special districts, including at wastewater facilities in Eureka, San Francisco, Oceano, and El Segundo, California, where the work complied with state guidance and was used for permitting. By combining a technical base in coastal hydrology and engineering with an understanding of the regulatory and environmental processes, Louis helps clients navigate projects through key stages of planning, permitting, design, and implementation. Louis managed the **Sea-Level Rise Vulnerability and Climate Change Impacts**

and Alternatives Study Phase 1 for the Carmel Area Wastewater District, the **Sea-Level Rise Analysis for Wastewater Treatment Facility Redundancy Project** and **Coastal Hazards Monitoring Plan** for the South San Luis Obispo County Sanitation District, the **Ocean Water Desalination Coastal Hazards Analysis** for West Basin Municipal Water District, and the **South Ocean Beach Coastal Protection Measures & Management Strategy** that analyzed a low-profile, subterranean wall that would protect critical wastewater infrastructure, and he served as project engineer for the **Elk River Wastewater Treatment Plant Enclosed Bays and Estuaries Compliance Feasibility Study** in Eureka that assessed the vulnerability of the Elk River wastewater system to existing and future coastal hazards.



James Jackson, PE | Coastal Engineer

James is a registered Professional Engineer with a background in hydraulics, hydrology, coastal and fluvial geomorphology, and engineering design. He has 9 years of experience in coastal hazard modeling and vulnerability assessments, shoreline management and restoration, and climate change/sea-level rise adaptation analysis and design. James has modeled coastal hazards all along California's coast, including Santa Barbara, Ventura, Los Angeles, and Monterey counties, giving him an exceptional technical foundation and grasp of sea-level rise vulnerability to develop informed adaptation planning. James modeled wave runup and assessed sea-level rise impacts to the **Wastewater Treatment Facility (WWTF) Redundancy Project** for the South San Luis Obispo County Sanitary District, developed future coastal erosion impacts to CalAm's proposal for a new source of potable water for the **Monterey Bay Peninsula Water Supply Project**, and managed the **Coastal Structures Assessment for the Santa Barbara County LCP Update**.



Nick Panofsky, PE, QSD | MNS Lead Engineer

Nick has over 15 years of professional consulting experience in the water resources industry. He has advanced his expertise through a variety of municipal infrastructure design projects, including potable water, recycled water, wastewater, and stormwater. He has been involved in every stage of the design and construction process, such as planning, analysis, design, construction management, and operational assistance. His knowledge and understanding of the Goleta Sanitary District comes from his work on the **Robin Hill Road Sewer Main Replacement Project** and **Wastewater Treatment Plant Influent Pump Station Rehabilitation Project**, and from providing **Engineering Services for GIS Data Management**. Nick will serve as the lead engineer and project manager for MNS liaising with the ESA team. He will assess impacts to the wastewater collection, conveyance, treatment, and discharge infrastructure based on provided climate change impacts and will develop realistic and implementable solutions to adapt wastewater infrastructure to anticipated future conditions. Nick will also prepare documentation to support the recommendations of the study, including calculation, planning documents, research, and implementation cost opinions.



Mike Busby, PG, EIT | MNS Project Engineer and GIS Lead

Mike has more than 12 years of experience planning and providing on-site management for environmental and water resource projects. He has served as a project engineer on a number of projects throughout the central coast, including for UC Santa Barbara, City of Lompoc, and Los Osos Community Services District. His knowledge and understanding of the Goleta Sanitary District comes from his work on the **Wastewater Treatment Plant Influent Pump Station Rehabilitation Project** and providing **Engineering Services for GIS Data Management** and **Closed Circuit Television Inspection of Wastewater Collection Facilities**. In his role, Mike will support the effort of the lead engineer through calculations, planning, research, and documentation.

Relevant Project Qualifications

The projects presented in this section showcase where this ESA team performed the most directly relevant scope of services. The projects identified represent the work of the same key staff in this SOQ and focus on coastal projects with an emphasis on sea-level rise vulnerability assessments and adaptation plans for water and public infrastructure along California's central coast and beyond. By deploying the same coastal engineering team, the District will benefit from a group that brings an understanding of the importance of accurate coastal hazard modeling to develop feasible living shoreline and dune adaptation alternatives and conceptual designs, as well as technical expertise, highly relevant experience, and proven effective collaboration necessary for efficient workflow.

Goleta Slough Area Sea Level Rise and Management Plan

Goleta Slough Management Committee

ESA assisted the Goleta Slough Management Committee to prepare the 2015 Goleta Slough Area Sea Level Rise and Management Plan, which was an update to the 1997 Goleta Slough Ecosystem Management Plan. The Committee is composed of a host of federal and state agency partners who have a particular interest in the ecosystem and management of Goleta Slough. ESA reviewed and summarized ongoing management practices and inventoried and mapped both habitat and infrastructure assets, including Goleta Sanitary District assets. Using our in-house Quantified Conceptual Model of lagoon mouth opening and closure and water levels, ESA performed extensive modeling of Goleta Slough water levels and flooding with future projected sea-level rise and a range of management measures and adaptation strategies. ESA then identified and assessed vulnerabilities to both infrastructure and ecosystems from Goleta Slough flood levels with future sea-level rise. After vetting vulnerabilities with local partners, including Goleta Sanitary District, ESA developed adaptation strategies to support continued infrastructure operations and maintain or improve ecosystem function with sea-level rise. Adaptation strategies, including raising, relocating, and protecting low elevation roadways, which are a critical vulnerability for Goleta Sanitary District, and installing watertight manholes to decrease the likelihood of flood water infiltration into the sanitary sewer system (see Goleta Slough Area Sea Level Rise and Management Plan, [Appendix F](#), pages 23 to 33). ESA collaborated with the Goleta Slough Management Committee to author and complete the Goleta Slough Area Sea Level Rise and Management Plan, including recommended adaptation strategies, suggested changes to policies, and maps of vulnerable infrastructure.

Sea-Level Rise Adaptation Plan for the Local Coastal Program Update

City of Santa Barbara

ESA assisted the City of Santa Barbara (City) to update their LCP to comply with CCC guidance and grant agreement. ESA evaluated alternative strategies to adapt to sea-level rise, and prepared draft policy language that was evaluated by the City, including a public process, and the CCC.

ESA developed sea-level rise scenarios consistent with the State's sea-level rise guidance, and developed linkages to the previously developed CoSMoS (by the USGS) and Coastal Resilience (by ESA) flood and erosion hazard mapping.

ESA completed a vulnerability analysis, which updated prior work by others by incorporating the sea-level rise guidance and recent assessments of the City's assets and infrastructure. This project builds upon prior work for the County of Santa Barbara, which entailed mapping coastal flooding and erosion for the entire county, focusing on the city in more detail.

ESA completed an adaptation plan that identified different adaptation strategies for the City as the basis for their policy updates and critical next steps to make the City more resilient. These strategies would improve protection in the near-term, mid-term, and long-term. ESA worked with the City to develop criteria for evaluating these strategies. The [City's Sea-Level Rise Adaptation Plan](#) was reviewed by the City, the City's Sea Level Rise Adaptation Plan Subcommittee, and the CCC. The plan was unanimously adopted by the City Council in February 2021.

Santa Barbara County Coastal Resilience

County of Santa Barbara

ESA supported the County of Santa Barbara's coastal resilience study by providing coastal hazard mapping for the majority of the County coast. The hazards were developed for three sea-level rise scenarios for existing conditions and three future time horizons (2030, 2060, and 2100).

A comprehensive set of hazard drivers were computed: long-term and storm-induced erosion, wave runup including overland propagation, overtopping and back-barrier flooding, and low land areas subject to inundation during extreme tides and high lagoon levels. The analysis was conducted on a detailed scale that included geology, geomorphology and terrain. The erosion analysis included the effects of sea-level rise to accelerate erosion of bluffs based on increased wave impingement, historic erosion rate, geometry and geology.

The sea-level rise scenarios were developed to be consistent with state policy and included adjustments for vertical land motion. Output from CoSMoS, including the projected water levels and offshore wave climate for future conditions, was applied to our coastal flooding and erosion models. The project also included future conditions flood mapping for Carpinteria Creek, using publicly available forecasted precipitation intensity data. ESA modeled changes to fluvial flooding using HEC-RAS and sediment yield by examining changes to precipitation as projected by downscaled Global Circulation Models (GCMs).

ESA mapped coastal flooding and erosion hazards caused by sea-level rise and large wave events in GIS based on an extensive set of coastal engineering and applied geomorphology calculations, including the SWAN (Simulating Waves Nearshore) model. Our methods are similar to FEMA's coastal flood hazard inundation mapping approach, but incorporate the potential effects of future sea-level rise and erosion. ESA's technical report was completed in 2016 (see the [Final Technical Report](#), Appendix A, page 7).

Sea-Level Rise Analysis for Wastewater Treatment Plant Redundancy Project

South San Luis Obispo County Sanitation District

The South San Luis Obispo County Sanitation District (SSLOCSD) is undertaking a project to address redundancy and improvements to their wastewater treatment plant (WWTP) in Oceano, California. The WWTP Redundancy Project will upgrade and install new facilities to provide redundancy or backup infrastructure so that major wastewater facility components can be removed from service for routine maintenance, or be shut down in case of mechanical failure or emergency, while maintaining operations without risking violation of Regional Water Quality Control Board effluent permit limits. The project also requires a CDP from the CCC. A CDP was approved at the CCC hearing on May 10, 2017.

ESA prepared a sea-level rise analysis that was included in the CDP application to the CCC for the project, and assisted the SSLOCSD with preparations for the CCC hearing. In accordance with the CCC's 2015 Sea-Level Rise Policy Guidance, ESA evaluated the potential flood impacts to the WWTP, which is located in a low-lying area adjacent to a coastal lagoon, for existing and future conditions with sea-level rise. ESA conducted hydrologic and hydraulic modeling of the lagoon and creek systems to diagnose the flooding mechanisms and identify triggering events that damage the WWTP. The study found that by 2050, most impacts to the WWTP will be limited primarily to flooding of access roads, and more severe flooding of the site could occur between 2070 and 2100. Because the access impacts are considered manageable by the SSLOCSD, the CCC approved the CDP with the requested amendment to extend the duration of the permit from 10 to 30 years. Following approval of the CDP, ESA worked with the SSLOCSD to prepare a Coastal Hazards Monitoring Plan, required by a special condition of the approved CDP.

Ocean Water Desalination Project

West Basin Municipal Water District

ESA completed a Draft Environmental Impact Report (EIR) for the West Basin Municipal Water District (West Basin) that evaluates the potential environmental impacts associated with implementing its proposed Ocean Water Desalination Project. The desalination facility would be located at the existing El Segundo Generating Station (ESGS) on the Pacific coast within the city of El Segundo and would produce 20 million gallons per day (MGD) of potable drinking water that would provide approximately 10 percent of West Basin's water demand, relieving pressure on its heavily constrained supply of imported water. The new water source would increase the overall water supply reliability, drought resiliency, local control, and water security in the region.

The ESA team conducted several supplemental technical studies for the Final EIR, including a site-specific coastal hazards analysis that assessed the potential exposure of the site to extreme coastal flood events for existing and future conditions with sea-level rise. The technical analysis used state-of-the-art methods and complied with current state sea-level rise guidance. ESA estimated the 100- and 500-year elevations and landward extents of wave runup using a response-based wave runup modeling approach, for which ESA extended the record of the annual maximum wave events using available historical wave hindcasts and a new wave transformation model. For evaluating future conditions, ESA selected sea-level rise amounts through year 2130 using the Ocean Protection Council's State Sea-Level Rise Guidance (OPC 2018) and the Coastal Commission's Sea-Level Rise Policy Guidance (CCC 2018). To guide the understanding of time horizons that can be related to site improvements and expected design life of the proposed desalination structures, the supplemental study looked at four time frames representing a range of sea-level rise values associated with mid-century, late century, next century, and beyond 2130. Calculations of future hazards accounted for the geomorphic response of the shore to sea-level rise using a geometric shore response model, which indicated significant narrowing of the beach by mid-century. The results of the study were validated by comparing the estimates to documented damages occurring from historical storms, including the January 1983 El Niño, which caused extensive damages to the shore in Santa Monica Bay. ESA also investigated the history of tropical storm systems and the climate influence on the future likelihood of tropical storm impacts to the location. The results of the supplemental study are also compared to existing FEMA Flood Insurance Rate Maps and the AdaptLA project conducted for the City of Santa Monica, which included hazard maps prepared as part of the Nature Conservancy's Coastal Resilience program and CoSMoS. While this area is currently not mapped in a 100-year flood hazard zone by FEMA, the results of the supplemental study indicate that wave overtopping onto the ESGS property during extreme events may occur, and confirms the inland extent of the potential flooding of the ESGS project sites that is presented in the EIR. It also provides a profile of the potential extreme wave runup bore to inform and support development of strategies to minimize and mitigate exposure to these hazards, including minor modifications to the desalination facility site plan.

Sea-Level Rise Vulnerability Assessment

Carmel Area Wastewater District

ESA worked with the Carmel Area Wastewater District (CAWD) to evaluate the potential impacts of sea-level rise and climate change on their wastewater treatment plant and collection system, and to identify potential adaptation measures that would manage future risk. This study was required by the California Coastal Commission as part of a Coastal Development Permit application for site improvements at the wastewater treatment plant.

The wastewater treatment plant is located in a low-lying area adjacent to the Carmel River Lagoon and its collection system extends several miles to the north and south, serving the community of Carmel-by-the-Sea and outlying County areas. ESA assessed the potential impacts of climate change resulting from sea-level rise and future changes in precipitation and streamflow. ESA developed a hydrologic model of the Carmel River Lagoon that simulates the geomorphology of the beach berm and its effect on peak water levels in the lagoon

for existing and future conditions with sea-level rise. The vulnerability of CAWD's wastewater infrastructure to the future water levels and coastal erosion was evaluated using a GIS-based overlay approach and a threshold analysis. The final impacts analysis will serve as the foundation for developing adaptation alternatives to manage the future risk to CAWD wastewater treatment plant and collection system.

Ocean Beach Climate Change Adaptation Project: Coastal Study

San Francisco Public Utilities Commission

ESA is supporting the City and County of San Francisco with a range of environmental review and permitting services for its proposed Ocean Beach Climate Change Adaptation Project. The project includes sea-level rise adaptation elements, including construction of a low-profile seawall and a long-term beach nourishment program.

As a focused technical analysis for the EIR, ESA is conducting a modeling study to assess the potential effects of the proposed project on coastal resources. Specifically, the study addresses potential effects of the proposed low-profile wall on the beach erosion in the vicinity of the project, and the potential effects of the wall and beach nourishment program on the nearshore sand bars that are used for surfing. ESA is using the U.S. Army Corps of Engineers modeling platform Coastal Modeling System (CMS) to simulate the coastal flood hydraulics and sediment transport of the system. ESA is applying the WAVE and FLOW modules of CMS to the project site to evaluate a range of hydraulic and geomorphic conditions. The study builds on earlier work completed by the USACE that was used to assess the performance of a conceptual beach nourishment program at Ocean Beach. The model simulates coastal hydraulic and sediment transport for baseline (no project) and project conditions for a range of storm conditions. The model output will be used to assess project's potential effects on coastal erosion up and down coast, as well as on nearshore sandbars important for surfing.

ESA is coordinating closely with the U.S. Geological Survey, which is implementing a large-scale and long-term monitoring effort at Ocean Beach. ESA is using the USGS observational data to verify the model results, so as to assure the quality of the simulations.

Oro Loma Horizontal Levee Demonstration Project

Oro Loma Sanitary District

The Oro Loma Horizontal Levee project is one of the first pilot projects of ecosystem-based adaptation to sea-level rise in San Francisco Bay. Its purpose is to explore the concept of using treated wastewater effluent on the shoreline by creating seepage slopes between flood control levees and tidal wetlands. This would provide many benefits in terms of creation of upland habitat adjacent to the Bay, including wastewater polishing and reduction of nutrient load to the Bay, attenuation of wave energy and reduction in flood risk management levees, and creation of transgression zones to allow marshes to migrate inland with rising seas. Additionally, the use of treated wastewater replaces the natural freshwater seeps that form along the toe of hillsides at the marsh edge which supports native transitional plants.

The demonstration project entailed design and construction of a dual purpose facility for the Oro Loma Sanitary District that serves as an equalization facility for peak wet-weather flows, and as a demonstration of utilizing upland/transitional areas landward of tidal marshes to act as buffers to sea-level rise using a broad, gently sloped gradient to act as treatment wetlands to polish wastewater discharge during dry weather and leverage greater productivity of freshwater wetland plants to increase accretion rates. Researchers from ReNUWit—an NSF-funded Engineering Research Center—are performing extensive monitoring and analysis to better understand hydraulic performance, native plant establishment, and wastewater polishing capacity. This will inform strategy and generate design guidance for implementation on a wider, regional scale including other publicly owned treatment works around the Bay.

ESA developed the Initial Feasibility Study through final contract documents and completed CEQA, cultural and biological surveys, and all necessary permitting for project implementation. Construction was completed in

Statement of Qualifications

2017 and successfully planted using volunteers coordinated by Save the Bay. The horizontal levee has demonstrated high treatment capacities and accelerated plant growth. ESA also successfully assisted the District and San Francisco Estuary Partnership to secure \$2M of funding for the project from the Department of Water Resources' Integrated Regional Water Management program.

Elk River Wastewater Treatment Plant

City of Eureka

The City of Eureka has been conducting a feasibility study to evaluate the compliance of the Elk River WWTP outfall with the Enclosed Bays and Estuaries Policy. As part of this compliance feasibility study, ESA prepared a climate change readiness study, which assessed the vulnerability of the Elk River wastewater system to existing and future coastal hazards. ESA used existing sea-level rise hazard mapping to determine the exposure of the WWTP's collection system assets for existing and future conditions. The analysis identified the quantity of collection system assets, including force mains, gravity lines, pumps and more, that were located in areas of future tidal and flood hazards. Using detailed information on the elevations and vulnerabilities of the treatment plant assets, we conducted a threshold analysis to determine when different assets may be exposed to future permanent or temporary flooding. The study was required by the Regional Water Quality Control Board as part of updates to compliance with the National Pollutant Discharge Elimination System permits, and negotiations regarding compliance are ongoing.

Wastewater Treatment Plant Influent Pump Station Rehabilitation Project

Goleta Sanitary District

MNS is currently in the final design phase for the rehabilitation of the Influent Pump Station (IPS). The IPS pumps raw wastewater from the District's collection system, the Santa Barbara Airport collection system, and plant internal recycle flows to the screenings influent channel. The IPS, originally constructed in the 1960s, consists of a below-grade wet well and pumps with electrical and controls equipment located at grade. Major work elements of the lift station rehabilitation include rehabilitation of Pumps 1, 2, and 4 and Pump Motors 1, 2, 3, and 4; replacement of lift station level control equipment; installation of new station power automatic transfer switch and new pump MCC; and HVAC and structural rehabilitation work.

Robin Hill Road Sewer

Goleta Sanitary District

This project provided planning and design services for the replacement of 1,250 linear feet of 10-inch-diameter vitrified clay sewer pipe located in Robin Hill Road in Goleta. Construction for the project included ground dewatering and sewer bypassing. MNS's preliminary design effort included field survey, sewer flow monitoring, desktop review of geotechnical studies within the project area, and preparation of a Basis of Design report for the sewer replacement. The field survey determined the sewer included a vertical sag in profile resulting in loss of hydraulic capacity. Final design included additional geotechnical investigations and preparation of final contract documents for construction including traffic control plans.



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May 12, 2021

Laura Romano and Steve Wagner
Goleta Sanitary District
lromano@goletasanitary.org, swagner@goletasanitary.org

Subject: ESA scope, fee, and schedule proposal for the District's Climate Adaptation Plan

Dear Ms. Romano and Mr. Wagner:

The ESA team, including MNS, is providing the following proposed scope of work, fee estimate, and schedule to prepare the District's Climate Adaptation Plan for the District's consideration. The purpose of the Climate Adaptation Plan will be to assess the vulnerability of the District's assets to future projected sea level rise with climate change and identify adaptation strategies that the District can take in the future to reduce the District's potential vulnerabilities, thereby improving the District's resiliency to sea level rise.

Scope of Work

Task 1. Sea Level Rise Scenarios

ESA will define the planning horizon for the District's Climate Adaptation Plan (CAP) and sea level rise (SLR) scenarios. We expect the planning horizon to be 80 to 100 years. We also expect to use SLR scenarios from the California Ocean Protection Council's (OPC) State of California Sea-Level Rise Guidance (OPC 2018 Update), including the "H++" extreme risk aversion SLR scenario. ESA will document and provide a brief SLR Scenarios Memorandum to the District, which will serve as a section in the CAP.

Deliverable: Sea Level Rise Scenarios Memorandum

Assumptions:

- The planning horizon will be 80 to 100 years
- SLR scenarios will be based on the California Ocean Protection Council's (OPC) State of California Sea-Level Rise Guidance (OPC 2018 Update)

Task 2. Hazards Analysis

ESA will gather available data on coastal flood and erosion hazards with SLR for the extent of the District's coastal assets, including the District's Water Resource Recovery facility (WRRF), coastal portions of the District's collection system, and the ocean outfall. ESA will also gather available FEMA fluvial flood hazard data for Goleta Slough and San Pedro Creek. ESA will estimate extreme lagoon water levels with SLR in Goleta Slough. ESA will gather and estimate these data as follows:



Ms. Romano and Mr. Wagner

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- *Coastal flood and erosion:* ESA will gather coastal storm flooding, beach and bluff erosion, and groundwater hazard data with SLR from the U.S. Geological Survey's (USGS) Coastal Storm Modeling System (CoSMoS) 3.0.
- *Coastal storm wave runup:* ESA will gather wave runup hazard data from the Santa Barbara County Coastal Resilience data prepared by ESA.
- *Goleta Slough extreme lagoon water level:* ESA will use the Quantified Conceptual Model of Goleta Slough inlet opening and closure and water level that ESA developed previously for the 2015 Goleta Slough Area Sea Level Rise and Management Plan. ESA will run the model for existing conditions and up to three SLR scenarios to estimate extreme lagoon water levels in Goleta Slough (i.e., high annual water levels when the lagoon is closed). ESA will use the previously developed model without checking or updating the model with data from 2015 to present. Note that the focus of previous modeling was on habitat change with SLR with projected SLR scenarios available in 2015. Additional model runs are needed to assess extreme lagoon water levels for current projected SLR scenarios available from OPC, which have changed since 2015. ESA will use readily available LiDAR topographic data from a public source to map Goleta Slough extreme lagoon water level flood extents.
- *Existing fluvial flooding:* ESA will gather and review the most recent available FEMA Flood Insurance Study and Flood Insurance Rate Maps for Goleta Slough and San Pedro Creek to define existing fluvial flood hazards. ESA will contact Santa Barbara County Flood Control to confirm and, if readily available, obtain information on the most recent flood modeling and flood management efforts for Goleta Slough and San Pedro Creek.

ESA will compile and map the above hazard data in GIS. Hazard maps will be included in the Vulnerability Assessment Memorandum in Task 4.

We have included an optional Task 7 to assess the potential change in extreme precipitation and estimate the corresponding potential change to the frequency of existing fluvial flood hazards mapped by FEMA.

Assumption: ESA will use available data from CoSMoS 3.0, Santa Barbara Coastal Resilience, and FEMA. ESA's new hazard analysis will be limited to up to four ESA Quantified Conceptual Model runs (existing conditions and up to three sea level rise scenarios) for Goleta Slough lagoon extreme water level.

Task 3. Asset Inventory

ESA and MNS will gather and compile an inventory of the District's coastal assets. MNS will review and compile available GIS data on District assets and record drawings of the WRRF. ESA and MNS will request additional data from the District, if needed (e.g., pump station record drawings). ESA and MNS anticipate compiling GIS data for the following assets in order to assess their vulnerability in Task 4:



Ms. Romano and Mr. Wagner

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- WRRF including the Water Reclamation Facility (i.e., recycled water facility), but excluding the Goleta Water District's distribution pipe system outside of the WRRF
- Sewer collection system and maintenance holes for the District, Goleta West Sanitary District, City of Santa Municipal Airport, and University of California Santa Barbara (UCSB). The purpose of compiling Goleta West, Airport, and UCSB collection system and maintenance hole assets is to assess maintenance holes that are vulnerable to flooding within the WRRF collection system. We assume that the District will provide a contact for UCSB and that UCSB will provide their collection system and maintenance hole assets in GIS format.
- District pump station at Firestone Road. Per the District's direction to ESA, we will not gather data on, map, or assess the vulnerability of the District's El Sueno pump station because it is not vulnerable per the District, nor for the Goleta West pump stations and UCSB pump stations because Goleta West and UCSB are pursuing adaptation plans for these pump stations separately.

ESA and MNS will prepare asset maps in GIS. Asset maps will be included in the Vulnerability Assessment Memorandum in Task 4. The quality of the data from these sources is unknown. Additional research and verification of data sets can be provided for additional fee.

We have included an optional Task 8 to inventory and assess collection system creek crossings.

Assumptions:

- The District will provide asset data in GIS format and record drawings that are needed for the CAP and that MNS does not already have.
- The District will provide a contact for UCSB and UCSB will provide their collection system and maintenance hole assets in GIS format.
- ESA will not gather data on, map, or assess the vulnerability of the District's El Sueno pump station, Goleta West pump stations, nor UCSB pump stations.
- ESA will not field verify the asset location data.

Task 4. Vulnerability Assessment

ESA will overlay the hazard maps from Task 2 on the asset maps from Task 3 to identify and assess asset vulnerability. ESA and MNS will perform a site visit to perform reconnaissance of assets identified as potentially vulnerable. ESA will meet with the District to review these asset vulnerability maps and discuss potential vulnerabilities. (Site visit and meeting included in Task 6.)

ESA and MNS will assess asset vulnerability using the vulnerability maps and record drawings for the WRRF and Firestone Road pump station. ESA and MNS will prepare a Vulnerability Assessment Memorandum that



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includes the vulnerability maps and describes potential existing and future asset vulnerabilities based on the District's input and ESA and MNS experience and professional judgement. Vulnerabilities will be ranked and/or prioritized and may be based on qualitative assessments of asset exposures, consequences, and adaptive capacities.

ESA will document and provide a Draft Vulnerability Assessment Memorandum to the District, which will serve as a section in the CAP. ESA will provide a revised memo in response to District comments.

Deliverables: Draft and Final Vulnerability Assessment Memorandum

Assumptions:

- District will provide one set of consolidated comments on the Draft Vulnerability Assessment Memorandum for ESA to incorporate in the Final Memorandum.
- ESA will not assess the vulnerability of the District's El Sueno pump station, Goleta West pump stations, nor UCSB pump stations.

Task 5. Adaptation Plan

ESA and MNS will identify and describe adaptation strategies to reduce the vulnerabilities identified in Task 4. Adaptation strategies will be described at a conceptual planning-level of detail and with qualitative discussions of benefits and tradeoffs. For the purposes of this scope of work, we assume that the adaptation strategies will include the following:

- Firestone Road pump station flooding: install flood proof gate in existing perimeter wall
- Maintenance hole flooding: install water tight rain stopper-type lids
- Fluvial flooding: install retaining wall at District stabilization pond to allow for the lower San Pedro Creek sediment basin to be expanded.

ESA and MNS will meet with the District to discuss, recommend, and obtain input from the District on the preferred adaptation strategies (meeting included in Task 6). ESA and MNS will then provide conceptual planning-level opinions of likely planning, design, permitting, and implementation costs for up to three adaptation strategies based on our experience with similar projects, engineering judgement, and other readily available sources (e.g., on manufacturer's quotes, recent bid results, and cost-estimating resources). For the purposes of this scope of work, we assume we will provide cost opinions for the three strategies listed above or up to three strategies that require a similar level of effort to provide cost opinions for.

ESA will provide a Draft CAP Report that incorporates the SLR Scenarios Memorandum (Task 1) and the Vulnerability Assessment Memorandum (Task 4, including maps from Tasks 2 and 3). ESA will meet with the District to discuss the Draft CAP Report (meeting included in Task 6). In response to the District's comments, ESA will provide a revised Final CAP Report as a PDF.



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Deliverable: Draft and Final Climate Adaptation Plan Report (electronic PDF format)

Assumptions:

- The CAP will not include adaptation strategies for the District's outfall since the District is already pursuing a study to abandon in place/relocate the outfall access/maintenance vault structure to address beach erosion hazards and vulnerabilities.
- The CAP will not include adaptation strategies for the District's El Sueno pump station, Goleta West pump stations, nor UCSB pump stations.
- District will provide one set of consolidated comments on the Draft Climate Adaptation Plan Report for ESA to incorporate in the Final Report.

Task 6. Meetings, Coordination, and Project Management

ESA and MNS will attend and lead up to four meetings with the District for:

1. In-person site visit of assets identified as potentially vulnerable
2. Virtual meeting to review vulnerability maps and discuss vulnerabilities
3. Virtual meeting to review adaptation strategies
4. Virtual meeting to review Draft CAP Report

We assume all meetings, except the site visit, will be held virtually and last for one hour. We have included an optional Task 10 to attend additional meetings.

ESA and MNS will also coordinate with the District via email and phone as needed within the budget allocated for this task and provide regular invoices.

Deliverables: up to four meetings, coordination, and invoices.

Optional Task 7. Future Fluvial Flood Hazard

ESA will assess the potential change in extreme precipitation and estimate the corresponding potential change to the frequency of existing fluvial flood hazards mapped by FEMA. ESA will use publically-available downscaled precipitation data with future climate data to estimate the change in frequency of extreme precipitation events in the Goleta Slough and San Pedro Creek watersheds. ESA will provide and document this estimate of the future frequency of extreme (e.g., current 100-year) rainfall and rainfall runoff as an indication of the potential increase in the frequency of the currently mapped FEMA 100-year flood extent. ESA will document and apply this assessment in the Vulnerability Assessment Memorandum (Task 4) and CAP Report (Task 5).

Assumptions:

- ESA will not perform rainfall runoff modeling or hydraulic modeling



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- ESA will not map the increased extent of extreme flooding (e.g., future 100-year fluvial flood extent with climate change).

Optional Task 8. Sewer Line Creek Crossing Vulnerability

ESA and MNS will gather available GIS data from the District on the locations of District sewer line crossings of creeks. ESA and MNS understand from the District that the District has approximately 5 to 10 sewer line creek crossings. ESA will map the locations of the creek crossings and the FEMA floodplain (if available) at these locations. In a site visit lasting up to 8 hours, ESA will visit the locations of the creek crossings to perform a planning-level reconnaissance assessment of creek geomorphology at the creek crossings. ESA will not assess conditions beyond the line of site upstream and downstream of the creek crossings. Based on the map of creek crossings and reconnaissance, ESA and MNS will identify potential risks to the sewer lines due to extreme creek flows. ESA and MNS will prioritize sewer line creek crossings in terms of potential risk (e.g., by categorizing creek crossings as high, medium, or low risk).

Note that the purpose of this assessment is to provide a planning-level assessment of potential future risks with climate change. ESA and MNS will not perform engineering-level assessments of the condition of the sewer lines or a detailed assessment of the potential risks at each crossing.

ESA will document this assessment in the Vulnerability Assessment Memorandum (Task 4). ESA and MNS will provide a brief discussion of potential adaptation strategies to address potential risks in the CAP Report (Task 5).

Deliverables:

- Site visit lasting up to 8 hours
- Memorandum/report sections on sewer line creek crossings in the Vulnerability Assessment Memorandum (Task 4) and CAP Report (Task 5)

Assumptions:

- ESA will not assess creek geomorphology conditions beyond the line of site upstream and downstream of the creek crossings.
- The purpose of this assessment is to provide a planning-level assessment of potential future risks with climate change. ESA and MNS will not perform engineering-level assessments of the condition of the sewer lines or a detailed assessment of the potential risks at each crossing.



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Optional Task 9. ADA Compliant Document

If required, ESA will prepare an Americans with Disabilities Act (ADA) compliant version of the Final CAP Report as a PDF.

Deliverable: ADA compliant PDF document of the Final CAP Report.

Optional Task 10. Additional Meetings

If needed, ESA and MNS will participate in additional meetings. We estimate a cost per virtual meeting of approximately \$1,500 and have included up to two additional virtual meetings in the line item for this optional task in our fee estimate.

Deliverable: up to two additional virtual meetings.

Fee Estimate

The ESA team's fee estimate for the above base scope of work (Tasks 1 to 6) is \$53,187 as detailed in Table 1 attached. Fee estimates for each of the optional tasks are also included in Table 1.

Schedule

The ESA team will complete the Draft CAP Report within 9 months of receiving notice to proceed. We will complete the Final CAP Report within one month of receiving comments from the District.

Closing

Please let us know if you have any comments or questions on our team's proposed scope of work, fee estimate, and schedule. We look forward to the opportunity to assist you and the District in completing the District's CAP and helping the District to improve the resiliency of the District. Thank you for your consideration.

Sincerely,

A handwritten signature in black ink, appearing to read "Nick Garrity".

Nick Garrity, PE
562.296.5679
ngarrity@esassoc.com

A handwritten signature in black ink, appearing to read "James Jackson".

James Jackson, PE

A handwritten signature in black ink, appearing to read "Amber Inggs".

Amber Inggs, PE

**Table 1: Cost Proposal
ESA Labor Detail and Expense Summary**

		<i>Employee Names</i>								
		N. Garrity	J. Jackson A. Inggs		Panofsky Hunt	Busby				
<i>Labor Category</i>		Director III	Senior Associate III	Project Technician II	ESA Subtotal	Lead Engineer	Project Engineer	MNS Subtotal	Total Hours	Labor Price
Task #	Task Name/Description	\$ 240	\$ 170	\$ 100		\$ 215	\$ 170			
1	Sea Level Rise Scenarios	2	6		\$ 1,500			\$ -	8.00	\$ 1,500
2	Hazards Analysis	8	40		\$ 8,720			\$ -	48.00	\$ 8,720
3	Asset Inventory	4	16		\$ 3,680	2	12	\$ 2,470	34.00	\$ 6,150
4	Vulnerability Assessment	12	40		\$ 9,680	4	8	\$ 2,220	64.00	\$ 11,900
5	Adaptation Plan	16	32		\$ 9,280	8	16	\$ 4,440	72.00	\$ 13,720
6	Meetings, Coordination, and Project Management	12	24		\$ 6,960	15	5	\$ 4,075	56.00	\$ 11,035
Total Hours		54	158	-	212	29	41	70	282	
Total Labor Costs		\$ 12,960	\$ 26,860	\$ -	\$ 39,820	\$ 6,235	\$ 6,970	\$ 13,205		\$ 53,025
Percent of Effort - Labor Hours Only		19.1%	56.0%	0.0%	75.2%	10.3%	14.5%	24.8%	100.0%	
Percent of Effort - Total Project Cost		24.4%	50.5%	0.0%		11.7%	13.1%			99.7%

ESA Labor Cost	\$ 53,025
ESA Non-Labor Expenses	
Reimbursable Expenses	\$ 162
Subtotal ESA Non-Labor Expenses	\$ 162

PROJECT TOTAL	\$ 53,187
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	Optional Task Name/Description									Task Total
7	Future Fluvial Flood Hazard	12	32		\$ 8,320			\$ -	44.00	\$ 8,320
8	Sewer Line Creek Crossing Vulnerability	16	32		\$ 9,280	10	10	\$ 3,850	68.00	\$ 13,130
9	ADA Compliant Document		4	40	\$ 4,680			\$ -	44.00	\$ 4,680
10	Additional Meetings	5	5		\$ 2,050	3	2	\$ 985	15.00	\$ 3,035

AGENDA ITEM #3

AGENDA ITEM: 3

MEETING DATE: May 17, 2021

I. NATURE OF ITEM

Consideration and Adoption of Resolution No. 21-663 Amending Policies #206 and #410 of Human Resources Policy and Procedure Manual Regarding Exempt Positions and Uniforms

II. BACKGROUND INFORMATION

The District's Board adopted a Human Resources Procedure and Policy Manual (the "HR Manual") on October 4, 2005 and has adopted updates and revisions to the HR Manual from time to time as necessary. Changes to the District's organization chart and uniform policy necessitate certain changes to HR policies #206 Overtime/Compensatory Time and #410 Safety Equipment, Dress Code, and Conduct. The attached resolution and amended HR policies have been developed in consultation with the District's legal counsel in order to reflect current District practices as well as the policy changes mentioned above. Redlined and clean versions of the proposed revised policies are attached to this report for Board consideration.

III. COMMENTS AND RECOMMENDATIONS

HR Policy #206 Overtime/Compensatory Time includes a list of exempt positions that are eligible for management leave. This policy has been amended several times as position titles have changed, and new exempt positions have been created. The most recent change to the list of exempt employees was the addition of a Safety and Regulatory Compliance Manager. Instead of having to amend the policy whenever an exempt position title changes and/or a new exempt position is created, staff is recommending the list of position titles be removed from the policy. Only exempt management staff is eligible for management leave at the discretion of the General Manager. There is no need to have a list of exempt position titles included in the policy, as it is subject to change over time.

HR Policy #410 Safety Equipment, Dress Code, and Conduct includes details on the type of fabric to be used in all uniforms. The fabric is described as "closely woven cotton fabric". Staff is recommending a slight change to "closely woven fabric" to allow for the use of other cooler materials during hot summer days.

The proposed changes were considered by the Board's Personnel Committee on Friday May 14, 2021.

In order to formally approve these changes to the District's HR Manual, staff recommends the Board adopt Resolution No. 21-663 amending Policies #206

and #410 of the Human Resources Procedure and Policy Manual regarding exempt positions and uniforms as outlined herein.

IV. REFERENCE MATERIALS

Redlined versions of HR Policies #206 and #410 showing the proposed revisions

Resolution No. 21-663 Amending Policies #206 and #410 of Human Resources Procedure and Policy Manual Regarding Exempt Positions and Uniforms

POLICY

District positions are classified as either exempt or non-exempt in accordance with the Federal Fair Labor Standards Act. Exempt employees receive a salary intended to compensate them for all hours worked, and accordingly they are not eligible for overtime/premium pay. Non-exempt employees are eligible to earn overtime compensation and/or compensatory time off at overtime rates.

PROCEDURE

1. Non-Exempt Positions

A. Approval

Overtime requires advance approval by the Department Head except under the following circumstances:

1. When overtime is necessary to cope with emergencies such as those resulting from accidents, natural disasters, breakdowns of production equipment, or occasional production bottlenecks of a sporadic nature.
2. When overtime is necessary for the performance of tests, industrial processes, laboratory procedures, loading or unloading of transportation media, which are continuous in nature and cannot reasonably be interrupted or otherwise completed.

B. Overtime Hours

1. For non-exempt employees, all hours worked in excess of 40 hours in one workweek constitute overtime hours that will be paid for at premium rates or in the form of compensatory time off as provided below.
2. Only time actually worked counts towards hours worked for overtime purposes. For example, paid sick leave hours, vacation time, paid holidays, etc., do not count towards hours worked. Similarly, for employees who are "on-call," only the time actually spent responding to a call constitutes hours worked for overtime purposes even though employees may be paid for a guaranteed minimum number of hours regardless of how much time they actually work in response to their call-back.

3. Hours worked are tracked to the nearest quarter hour.
4. No employee shall be required to work more than sixteen (16) total hours during a twenty-four (24) hour period.

C. Overtime Compensation

1. Unless an employee requests compensatory time off in lieu of overtime pay, compensation for hours in excess of 40 in a workweek will be at one-and-one-half times the employee's regular rate of pay.
2. Holiday premium pay (as defined below) paid to an employee will be credited towards any overtime premium pay owed to that employee for overtime worked during the same workweek. Similarly, the portion of any call-back premium pay (as defined below) allocable to hours actually worked in response to a call-back will be credited towards any overtime premium pay owed to that employee for overtime worked during the same workweek.
3. Non-exempt employees may elect, by so stating in writing on the appropriate time card, a preference to earn compensatory time off (CTO) in lieu of overtime pay. Eligible employees will earn one and one-half hours of CTO for each hour of overtime worked. Non-exempt employees may accumulate up to a maximum of forty (40) hours of CTO. An employee who has reached the maximum balance shall be paid overtime until such time that the accrual is below the stated ceiling. An employee shall be permitted to use CTO within a reasonable period after making the request, provided supervisor approval is obtained, and provided further that such use will not unduly disrupt the District's operations (which includes, but is not limited to, the use of the CTO necessitating scheduling that would cause one or more other employees to earn overtime for the same period). Compensation for Holidays worked is subject to CalPERS retirement benefits (contributions), and therefore cannot be banked as CTO.
4. Overtime that is worked as a result of an extension for an assigned day shift does not qualify employees for shift differential pay.
5. The procedure for requesting approval to use CTO is the same as that required to schedule vacation time.
6. Employees may, upon submitting a written request, receive a cash payout for accumulated CTO. Approval and timing of cash payment is subject to General Manager's approval. Accrued but unused CTO will also be paid for at time of separation from employment with the District.

2. Exempt Positions

As noted, Exempt employees receive a salary intended to fully compensate them for all hours worked, and accordingly they are not eligible to receive overtime/premium pay. However, Exempt employees may be granted up to forty (40) hours of paid Management Leave per fiscal year to recognize non-compensable time that is required of the positions. To be eligible to use Management Leave, an exempt at-will employee must have worked for six months.

~~Currently, the following positions are considered exempt: General Manager/District Engineer, Finance and Human Resources Manager, Operations Manager, Collection System Manager, Management Analyst, and Laboratory/Technical Services Manager.~~

The granting and use of Management Leave is at the discretion of the General Manager/District Engineer.

3. Definitions

- A. Base Hourly Rate is the base hourly rate set for a non-exempt employee, exclusive of any supplementary compensation such as on-call stipends.
- B. Workweek is a fixed and regularly recurring period of 168 hours. Workweeks and workdays are used in conjunction with tracking hours worked to determine if non-exempt employees have worked more than 40 hours in their workweek and become entitled to overtime premium pay. Employees' designated workweeks and workdays will vary based upon their assigned schedules. See Policy # 205.
- C. Payroll Period is a 14-day period beginning at 00:00 hours Sunday morning and extending through 24:00 hours on the second ensuing Saturday.
- D. Overtime is time worked in excess of 40 hours in a workweek.
- E. Regular Rate is the hourly rate, determined for a non-exempt employee in accordance with the Federal Fair Labor Standards Act, used to calculate any overtime premium pay owed to an employee for overtime hours worked. Holiday and call-back premium pay paid to employees in conjunction with time worked on paid holidays or in response to call-backs while on-call are not included in calculating non-exempt employees' regular rates.
- F. Holiday premium and call-back premium pay is the extra compensation paid to non-exempt employees above their base hourly rate for time actually worked when they

are required to work on holidays or called back into service when on-call. See Policy # 211 and Policy #301.

- G. Shift Differential Pay is extra pay that may be provided to employees required to work between 5:00 p.m. and 6:00 a.m. or scheduled weekend hours. See Policy #211.

Section IV: Rules and Regulations

Subject: Safety Equipment, Dress Code, and Conduct

Page 1 of 2

Policy #: 410

POLICY

Depending upon position responsibility, for health and safety reasons, employees will be provided, at District expense, with uniforms, safety boots and other safety equipment for use only while on duty. Employees who are not required to wear uniforms are expected to dress in proper business attire. All employees are expected to practice courtesy and respect for other employees and the general public at all times.

PROCEDURE

A. Safety Equipment

District employees whose job responsibilities involve treatment plant operations, collection system operations, and/or repair or maintenance activities associated with the District's equipment and facilities (collectively, "Operations Personnel") are exposed to various risks on a daily basis. In order to provide protection against these risks and to ensure the health and safety of Operations Personnel, the District will provide and maintain, at District expense, uniforms for all Operations Personnel ("Uniforms"). Uniforms include shirts and pants made of closely woven ~~cotton~~-fabric and, when required by weather conditions, coats and rain gear, all of which are provided to protect against (i) contact with raw and partially treated sewage which may result in exposure to blood borne pathogens, toxic chemicals, and other hazardous substances associated with the sewage collection and treatment process, (ii) cuts, bruises, and other injuries from handling heavy, sharp, or rough materials, and (iii) melting or ignition of clothing when performing work associated with high voltage electrical systems. Uniforms worn by Operations Personnel whose job responsibilities involve collection system operations shall include orange shirts to increase visibility to motorists and reduce the risks associated with vehicular traffic. Operations Personnel must wear Uniforms at all times while on duty and shall not be permitted to do their jobs without them.

Uniforms are provided by the District for the health and safety of Operations Personnel and not as a substitute for personal attire. Operations Personnel must acquire and maintain personal attire to wear to and from work. Uniforms are not owned by Operations Personnel, may not be altered in any way by Operations Personnel, and may not be worn by Operations Personnel when not on duty. The District will provide clean Uniforms which Operations Personnel must change into each day before commencing work. Uniforms must be left on the District premises at the end of each workday. The District will arrange to have Uniforms professionally cleaned, at District expense, each time Uniforms are worn. If, in the course of work, Uniforms becomes soiled due to contact with raw or partially treated sewage, toxic chemicals, and other hazardous substances, the District will provide, at District expense, clean Uniforms which Operations Personnel must change into prior to returning to work, after showering, if necessary.

In order to provide further protection against the risks associated with their job responsibilities and to further ensure the health and safety of Operations Personnel, the District will provide, at District expense, steel toed boots (“Safety Boots”). Safety Boots are provided to (i) protect against the risk of foot injuries from machinery, equipment, and heavy objects, (ii) improve ankle and foot support and stability, and (iii) improve traction on slippery and uneven surfaces. Operations Personnel must wear Safety Boots at all times while on duty and shall not be permitted to do their jobs without them.

Safety Boots are provided by the District for the health and safety of Operations Personnel and not as a substitute for personal attire. Operations Personnel must acquire and maintain personal footwear to wear to and from work. Because Safety Boots may come in contact with raw or partially treated sewage, toxic chemicals, and other hazardous substances, in order to avoid the possible spread of contamination, Safety Boots must be left on the District premises at the end of each workday and may not be worn by Operations Personnel when not on duty.

To ensure proper fit, Operations Personnel may purchase Safety Boots on their own, subject to reimbursement by the District for the cost thereof. The ~~maximum~~ reimbursement amount shall be \$185, which amount shall be adjusted annually on July 1 by the same percentage as the cost of living adjustment for employee salaries that is approved by the District’s Governing Board. Reimbursement will be authorized by the Department Manager upon submission of a receipt for the purchase and an inspection by the Department Manager to confirm that the Safety Boots meet District safety standards.

The District will also provide and maintain, at District expense, other safety equipment, such as hard hats, goggles, face shields, respirators, aprons, coveralls, and gloves. Operations Personnel must use such safety equipment whenever planned work activities involve special or increased levels of risk, as required by applicable regulations and/or District safety programs, and shall not be permitted to do their jobs without them.

Operations Personnel who fail to wear required Uniforms or Safety Boots while on duty, or who fail to utilize other safety equipment as required by applicable regulations and/or District safety programs, are subject to progressive discipline according to Policy #407.A.10, Section IV: Rules and Regulations.

B. Dress Code

Employees not required to wear a District uniform are required to dress in proper business attire.

C. Conduct

Employees are required to practice courtesy and respect for other employees and the general public at all times. Offensive language, gestures or behavior are prohibited and subject to progressive discipline according to Policy #407, Section IV: Rules and Regulations.

RESOLUTION NO. 21-663

**RESOLUTION OF THE GOVERNING BOARD OF THE GOLETA
SANITARY DISTRICT AMENDING POLICIES #206 AND #410 OF HUMAN
RESOURCES PROCEDURE AND POLICY MANUAL REGARDING EXEMPT
POSITIONS AND UNIFORMS**

WHEREAS, the Goleta Sanitary District (the “District”) has adopted a Human Resources Procedure and Policy Manual (the “HR Manual”), effective as of October 4, 2005, and has amended the policies and procedures set forth therein from time to time thereafter; and

WHEREAS, Policy #206 of Section II (Employment Practices) of the HR Manual sets forth policies and procedures relating to the compensation for exempt positions; and

WHEREAS, Policy #410 of Section IV (Rules and Regulations) of the HR Manual sets forth policies and procedures relating to the types of uniforms to be worn by certain District employees at work; and

WHEREAS, the Governing Board of the District deems it to be in the District’s best interests to amend Policy #206 and Policy #410 to (i) delete the list of exempt positions eligible for Management Leave, and (ii) reflect changes to the type of material allowed in District uniforms.

NOW, THEREFORE, be it resolved by the Governing Board of the Goleta Sanitary District as follows:

- 1. Amendment of Policy #206.** Policy #206 of Section II (Employment Practices) of the HR Manual is hereby deleted in its entirety and is replaced with the revised Policy #206 attached hereto as Exhibit “A” and incorporated herein by this reference.
- 2. Amendment of Policy #410.** Policy #410 of Section IV (Rules and Regulations) of the HR Manual is hereby deleted in its entirety and is replaced with the revised Policy #410 attached hereto as Exhibit “B” and incorporated herein by this reference.
- 3. Continued Effect.** Except as specifically amended herein, the HR Manual, as previously amended, shall continue in full force and effect.

PASSED AND ADOPTED this 17th day of May 2021, by the following vote of the
Governing Board of the Goleta Sanitary District:

AYES:

NOES:

ABSTENTIONS:

ABSENT:

Jerry D. Smith,
President of the Governing Board

COUNTERSIGNED

Robert O. Mangus, Jr.,
Secretary of the Governing Board

EXHIBIT "A"
Amended Policy #206

Section II: Employment Practices**Subject: Overtime/Compensatory Time****Page 1 of 3****Policy #: 206****POLICY**

District positions are classified as either exempt or non-exempt in accordance with the Federal Fair Labor Standards Act. Exempt employees receive a salary intended to compensate them for all hours worked, and accordingly they are not eligible for overtime/premium pay. Non-exempt employees are eligible to earn overtime compensation and/or compensatory time off at overtime rates.

PROCEDURE**1. Non-Exempt Positions****A. Approval**

Overtime requires advance approval by the Department Head except under the following circumstances:

1. When overtime is necessary to cope with emergencies such as those resulting from accidents, natural disasters, breakdowns of production equipment, or occasional production bottlenecks of a sporadic nature.
2. When overtime is necessary for the performance of tests, industrial processes, laboratory procedures, loading or unloading of transportation media, which are continuous in nature and cannot reasonably be interrupted or otherwise completed.

B. Overtime Hours

1. For non-exempt employees, all hours worked in excess of 40 hours in one workweek constitute overtime hours that will be paid for at premium rates or in the form of compensatory time off as provided below.
2. Only time actually worked counts towards hours worked for overtime purposes. For example, paid sick leave hours, vacation time, paid holidays, etc., do not count towards hours worked. Similarly, for employees who are "on-call," only the time actually spent responding to a call constitutes hours worked for overtime purposes even though employees may be paid for a guaranteed minimum number of hours regardless of how much time they actually work in response to their call-back.
3. Hours worked are tracked to the nearest quarter hour.

4. No employee shall be required to work more than sixteen (16) total hours during a twenty-four (24) hour period.

C. Overtime Compensation

1. Unless an employee requests compensatory time off in lieu of overtime pay, compensation for hours in excess of 40 in a workweek will be at one-and-one-half times the employee's regular rate of pay.
2. Holiday premium pay (as defined below) paid to an employee will be credited towards any overtime premium pay owed to that employee for overtime worked during the same workweek. Similarly, the portion of any call-back premium pay (as defined below) allocable to hours actually worked in response to a call-back will be credited towards any overtime premium pay owed to that employee for overtime worked during the same workweek.
3. Non-exempt employees may elect, by so stating in writing on the appropriate time card, a preference to earn compensatory time off (CTO) in lieu of overtime pay. Eligible employees will earn one and one-half hours of CTO for each hour of overtime worked. Non-exempt employees may accumulate up to a maximum of forty (40) hours of CTO. An employee who has reached the maximum balance shall be paid overtime until such time that the accrual is below the stated ceiling. An employee shall be permitted to use CTO within a reasonable period after making the request, provided supervisor approval is obtained, and provided further that such use will not unduly disrupt the District's operations (which includes, but is not limited to, the use of the CTO necessitating scheduling that would cause one or more other employees to earn overtime for the same period). Compensation for Holidays worked is subject to CalPERS retirement benefits (contributions), and therefore cannot be banked as CTO.
4. Overtime that is worked as a result of an extension for an assigned day shift does not qualify employees for shift differential pay.
5. The procedure for requesting approval to use CTO is the same as that required to schedule vacation time.
6. Employees may, upon submitting a written request, receive a cash payout for accumulated CTO. Approval and timing of cash payment is subject to General Manager's approval. Accrued but unused CTO will also be paid for at time of separation from employment with the District.

2. Exempt Positions

As noted, Exempt employees receive a salary intended to fully compensate them for all hours worked, and accordingly they are not eligible to receive overtime/premium pay. However, Exempt employees may be granted up to forty (40) hours of paid Management Leave per fiscal year to recognize non-compensable time that is required of the positions. To be eligible to use Management Leave, an exempt employee must have worked for six months.

The granting and use of Management Leave is at the discretion of the General Manager/District Engineer.

3. Definitions

- A. Base Hourly Rate is the base hourly rate set for a non-exempt employee, exclusive of any supplementary compensation such as on-call stipends.
- B. Workweek is a fixed and regularly recurring period of 168 hours. Workweeks and workdays are used in conjunction with tracking hours worked to determine if non-exempt employees have worked more than 40 hours in their workweek and become entitled to overtime premium pay. Employees' designated workweeks and workdays will vary based upon their assigned schedules. See Policy # 205.
- C. Payroll Period is a 14-day period beginning at 00:00 hours Sunday morning and extending through 24:00 hours on the second ensuing Saturday.
- D. Overtime is time worked in excess of 40 hours in a workweek.
- E. Regular Rate is the hourly rate, determined for a non-exempt employee in accordance with the Federal Fair Labor Standards Act, used to calculate any overtime premium pay owed to an employee for overtime hours worked. Holiday and call-back premium pay paid to employees in conjunction with time worked on paid holidays or in response to call-backs while on-call are not included in calculating non-exempt employees' regular rates.
- F. Holiday premium and call-back premium pay is the extra compensation paid to non-exempt employees above their base hourly rate for time actually worked when they are required to work on holidays or called back into service when on-call. See Policy # 211 and Policy #301.
- G. Shift Differential Pay is extra pay that may be provided to employees required to work between 5:00 p.m. and 6:00 a.m. or scheduled weekend hours. See Policy #211.

EXHIBIT "B"
Amended Policy #410

Section IV: Rules and Regulations

Subject: Safety Equipment, Dress Code, and Conduct

Page 1 of 2

Policy #: 410

POLICY

Depending upon position responsibility, for health and safety reasons, employees will be provided, at District expense, with uniforms, safety boots and other safety equipment for use only while on duty. Employees who are not required to wear uniforms are expected to dress in proper business attire. All employees are expected to practice courtesy and respect for other employees and the general public at all times.

PROCEDURE

A. Safety Equipment

District employees whose job responsibilities involve treatment plant operations, collection system operations, and/or repair or maintenance activities associated with the District's equipment and facilities (collectively, "Operations Personnel") are exposed to various risks on a daily basis. In order to provide protection against these risks and to ensure the health and safety of Operations Personnel, the District will provide and maintain, at District expense, uniforms for all Operations Personnel ("Uniforms"). Uniforms include shirts and pants made of closely woven fabric and, when required by weather conditions, coats and rain gear, all of which are provided to protect against (i) contact with raw and partially treated sewage which may result in exposure to blood borne pathogens, toxic chemicals, and other hazardous substances associated with the sewage collection and treatment process, (ii) cuts, bruises, and other injuries from handling heavy, sharp, or rough materials, and (iii) melting or ignition of clothing when performing work associated with high voltage electrical systems. Uniforms worn by Operations Personnel whose job responsibilities involve collection system operations shall include orange shirts to increase visibility to motorists and reduce the risks associated with vehicular traffic. Operations Personnel must wear Uniforms at all times while on duty and shall not be permitted to do their jobs without them.

Uniforms are provided by the District for the health and safety of Operations Personnel and not as a substitute for personal attire. Operations Personnel must acquire and maintain personal attire to wear to and from work. Uniforms are not owned by Operations Personnel, may not be altered in any way by Operations Personnel, and may not be worn by Operations Personnel when not on duty. The District will provide clean Uniforms which Operations Personnel must change into each day before commencing work. Uniforms must be left on the District premises at the end of each workday. The District will arrange to have Uniforms professionally cleaned, at District expense, each time Uniforms are worn. If, in the course of work, Uniforms becomes soiled due to contact with raw or partially treated sewage, toxic chemicals, and other hazardous substances, the District will provide, at District expense, clean Uniforms which Operations Personnel must change into prior to returning to work, after showering, if necessary.

In order to provide further protection against the risks associated with their job responsibilities and to further ensure the health and safety of Operations Personnel, the District will provide, at District expense, steel toed boots ("Safety Boots"). Safety Boots are provided to (i) protect against the risk of

foot injuries from machinery, equipment, and heavy objects, (ii) improve ankle and foot support and stability, and (iii) improve traction on slippery and uneven surfaces. Operations Personnel must wear Safety Boots at all times while on duty and shall not be permitted to do their jobs without them.

Safety Boots are provided by the District for the health and safety of Operations Personnel and not as a substitute for personal attire. Operations Personnel must acquire and maintain personal footwear to wear to and from work. Because Safety Boots may come in contact with raw or partially treated sewage, toxic chemicals, and other hazardous substances, in order to avoid the possible spread of contamination, Safety Boots must be left on the District premises at the end of each workday and may not be worn by Operations Personnel when not on duty.

To ensure proper fit, Operations Personnel may purchase Safety Boots on their own, subject to reimbursement by the District for the cost thereof. The reimbursement amount shall be \$185, which amount shall be adjusted annually on July 1 by the same percentage as the cost of living adjustment for employee salaries that is approved by the District's Governing Board. Reimbursement will be authorized by the Department Manager upon submission of a receipt for the purchase and an inspection by the Department Manager to confirm that the Safety Boots meet District safety standards.

The District will also provide and maintain, at District expense, other safety equipment, such as hard hats, goggles, face shields, respirators, aprons, coveralls, and gloves. Operations Personnel must use such safety equipment whenever planned work activities involve special or increased levels of risk, as required by applicable regulations and/or District safety programs, and shall not be permitted to do their jobs without them.

Operations Personnel who fail to wear required Uniforms or Safety Boots while on duty, or who fail to utilize other safety equipment as required by applicable regulations and/or District safety programs, are subject to progressive discipline according to Policy #407. A.10, Section IV: Rules and Regulations.

B. Dress Code

Employees not required to wear a District uniform are required to dress in proper business attire.

C. Conduct

Employees are required to practice courtesy and respect for other employees and the general public at all times. Offensive language, gestures or behavior are prohibited and subject to progressive discipline according to Policy #407, Section IV: Rules and Regulations.

**AGENDA ITEM #4
(CLOSED SESSION)**

GENERAL MANAGER'S REPORT

GOLETA SANITARY DISTRICT GENERAL MANAGER'S REPORT

The following summary report describes the District's activities from May 4, 2021 through May 17, 2021. It provides updated information on significant activities under three major categories: Collection System, Treatment/Reclamation and Disposal Facilities, and General and Administration Items.

1. COLLECTION SYSTEM REPORT

LINES CLEANING

Staff is conducting priority lines cleaning throughout the District.

CCTV INSPECTION

Staff is conducting routine Closed-Circuit Television (CCTV) inspections in the area of Cathedral Oaks Road and N. Patterson Avenue.

GREASE AND OIL INSPECTIONS

Staff continues with the annual Grease and Oil inspections.

COMPETENCY-BASED TRAINING (CBT)

Staff continues working with DKF Solutions staff on the finalization of the Vactor operations Standard Operating Procedure (SOP) and the upcoming Traffic Control, Excavation and Confined Spaced Entry training to be conducted at the District.

REPAIR AND MAINTENANCE

Dukes Root Control root foamed approximately 5,000 linear feet (LF) of 6 and 8-inch lines, identified during the 2020 CCTVI project as having root intrusion issues. The CCTVI truck on-board generator had the 500-hour service performed by a local generator repair shop. Staff replaced the Vactor swivel which connects the water pump to the hose on the rotating reel and the brass roller guide on the hose reel auto-wind. Staff continues with clearing of various easements.

2. TREATMENT, RECLAMATION AND DISPOSAL FACILITIES REPORT

Plant flows are maintaining an average of 4.4 million gallons per day (MGD). Reclamation demand remains 1.2 MGD. Flow concentrations and loadings during the weekends are causing intermittent challenges and various levels of plant interference.

Centrifuge operations are continuing as planned. Dredging operations have been completed across approximately 85% of the lagoon. We plan to extend the dredging operations through the end of FY 2020-21 to maximize operational benefit, given the reduction in overall solids coming into the plant.

The Lystek refeed project has resumed. The refeed process is now feeding continuously at a lower rate. Lystek refeed has increased to 40%, we will increase to the final refeed rate of 50% this week.

Plant maintenance staff continues to work on the replacement of the telemetry communication equipment. The equipment being replaced was near the end of its useful

life. The new equipment should service the plant for the next 10-15 years.

Operations staff has taken primary clarifier #1 offline, leaving just primary clarifier #2 in service. This operational change during the dry season helps reduce wear on the equipment and also benefits the process through reduced loadings on the biological treatment process, with associated reduced energy costs.

3. **GENERAL AND ADMINISTRATIVE ITEMS**

Financial Report

The District account balances as of May 17, 2021 shown below are approximations to the nearest dollar and indicate the overall funds available to the District at this time.

Operating Checking Accounts:	\$ 167,454
Investment Accounts:	\$ 31,264,787
Total District Funds:	\$ 31,432,241

The following transactions are reported herein for the period 05/04/21 – 05/17/21.

Regular, Overtime, Cash-outs and Net Payroll:	\$ 122,527
Claims:	\$ 629,228
Total Expenditures:	\$ 751,755
Total Deposits:	\$ 12,376

Transfers of funds:

LAIF to Community West Bank Operational (CWB):	\$ - 0 -
CWB Operational to CWB Money Market:	\$ 2,891,074
CWB Money Market to CWB Operational:	\$ - 0 -

The District's investments comply with the District's Investment Policy adopted per Resolution No. 16-606. The District has adequate funds to meet the next six months of normal operating expenses.

Local Agency Investment Fund (LAIF)

LAIF Monthly Statement – April, 2021.
LAIF Quarterly Report – Previously submitted.
PMIA/LAIF Performance – April, 2021.
PMIA Effective Yield – April, 2021.

Community West Bank (CWB)

CWB Money Market Account – April, 2021.

Deferred Compensation Accounts

CalPERS 457 Deferred Compensation Plan – Previously submitted.

Lincoln 457 Deferred Compensation Plan – April, 2021.

COVID-19 Response Plan Update

A verbal update will be provided at the meeting.

Personnel Update

A verbal update will be provided at the meeting.

California State Treasurer
Fiona Ma, CPA



Local Agency Investment Fund
P.O. Box 942809
Sacramento, CA 94209-0001
(916) 653-3001

May 10, 2021

[LAIF Home](#)
[PMIA Average Monthly Yields](#)

GOLETA SANITARY DISTRICT

GENERAL MANAGER
ONE WILLIAM MOFFETT PLACE
GOLETA, CA 93117

[Tran Type Definitions](#)

Account Number: 70-42-002

April 2021 Statement

Effective Date	Transaction Date	Tran Type	Confirm Number	Web Confirm Number	Authorized Caller	Amount
4/15/2021	4/14/2021	QRD	1671969	N/A	SYSTEM	2,204.05

Account Summary

Total Deposit:	2,204.05	Beginning Balance:	2,020,014.55
Total Withdrawal:	0.00	Ending Balance:	2,022,218.60



PMIA/LAIF Performance Report as of 05/05/21



PMIA Average Monthly Effective Yields⁽¹⁾

Apr	0.339
Mar	0.357
Feb	0.407

Quarterly Performance Quarter Ended 03/31/21

LAIF Apportionment Rate ⁽²⁾ :	0.44
LAIF Earnings Ratio ⁽²⁾ :	0.00001214175683392
LAIF Fair Value Factor ⁽¹⁾ :	1.001269853
PMIA Daily ⁽¹⁾ :	0.35%
PMIA Quarter to Date ⁽¹⁾ :	0.41%
PMIA Average Life ⁽¹⁾ :	220

Pooled Money Investment Account Monthly Portfolio Composition ⁽¹⁾ 03/31/21 \$126.7 billion

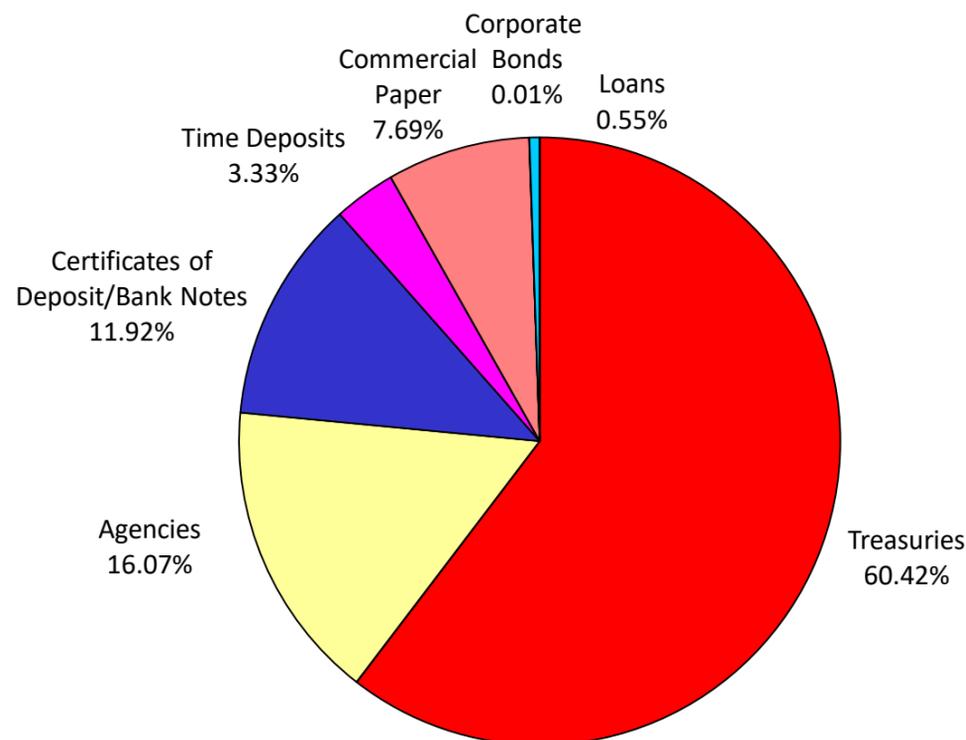


Chart does not include 0.01% of mortgages. Percentages may not total 100% due to rounding.

Daily rates are now available here. [View PMIA Daily Rates](#)

Notes: The apportionment rate includes interest earned on the CalPERS Supplemental Pension Payment pursuant to Government Code 20825 (c)(1) and interest earned on the Wildfire Fund loan pursuant to Public Utility Code 3288 (a).

Source:

⁽¹⁾ State of California, Office of the Treasurer

⁽²⁾ State of California, Office of the Controller



445 Pine Avenue
Goleta, CA 93117

Statement Ending 04/30/2021

GOLETA SANITARY DISTRICT

Customer Number: XXXXXXXX5554

RETURN SERVICE REQUESTED

GOLETA SANITARY DISTRICT
MONEY MARKET
1 WILLIAM MOFFETT PL
GOLETA CA 93117-3901

All Community West Bank branch offices are open to serve you Monday through Friday,
9:00 am to 5:00 pm.

Business Financing

When your business needs new funding or commercial real estate financing, please contact your Community West Banker. We offer flexible financing at competitive rates.

Loan Payment Mailing Address Change

The mailing address for loan payments has changed. If you are not mailing a payment with a coupon, make sure you write the loan number on the check. Please mail loan payments to:

CWB Loan Servicing, P.O. Box 80233, City of Industry, CA 91716-8233

Summary of Accounts

Account Type	Account Number	Ending Balance
PUBLIC AGENCY-MMDA	XXXXXXXX5554	\$26,351,494.45

PUBLIC AGENCY-MMDA - XXXXXXXX5554

Account Summary

Date	Description	Amount		
04/01/2021	Beginning Balance	\$26,992,783.95	Average Ledger Balance	\$26,494,450.61
	1 Credit(s) This Period	\$8,710.50		
	1 Debit(s) This Period	\$650,000.00		
04/30/2021	Ending Balance	\$26,351,494.45		

Account Activity

Post Date	Description	Debits	Credits	Balance
04/01/2021	Beginning Balance			\$26,992,783.95
04/08/2021	Fund claims	\$650,000.00		\$26,342,783.95
04/30/2021	INTEREST AT .4000 %		\$8,710.50	\$26,351,494.45
04/30/2021	Ending Balance			\$26,351,494.45



Performance Update

Quoted performance data represents past performance. Past performance does not guarantee nor predict future performance. Current performance may be lower or higher than the performance data quoted. Please keep in mind that double-digit returns are highly unusual and cannot be sustained.

Variable products are sold by prospectus. Consider the investment objectives, risks, charges, and expenses of the variable product and its underlying investment options carefully before investing. The prospectus contains this and other information about the variable product and its underlying investment options. Please review the prospectus available online for additional information. Read it carefully before investing.

Investment return and principal value of an investment will fluctuate so that an investor's unit values, when redeemed, may be worth more or less than their original cost.

Monthly hypothetical performance adjusted for contract fees *

Investment Options	Inception Date	Change from Previous Day	YTD as of 05/11/2021	YTD as of 04/30/2021	Average Annual Total Return (%) as of 4/30/2021						Since Incep.	
					1 Mo	3 Mo	1 Yr	3 Yr	5 Yr	10 Yr		
Risk Managed												
Fidelity® VIP Freedom 2055 Portfolio SM - Service Class ^{6,9}	RM	04/11/2019	-0.87	8.81	8.76	4.00	9.11	44.88	N/A	N/A	N/A	18.74
Fidelity® VIP Freedom 2060 Portfolio SM - Service Class ^{6,9}	RM	04/11/2019	-0.94	8.70	8.74	3.99	9.17	45.05	N/A	N/A	N/A	18.79
Maximum Capital Appreciation												
AB VPS Global Thematic Growth Portfolio - Class B ^{1,2}	MCA	01/11/1996	-0.58	5.84	7.44	4.51	7.42	56.10	19.61	18.42	8.80	6.26
DWS Alternative Asset Allocation VIP Portfolio - Class A ^{1,2,3,6,7}	MCA	02/02/2009	-0.28	6.40	6.36	3.67	6.21	25.20	6.07	4.07	1.79	4.66
LVIP Baron Growth Opportunities Fund - Service Class ⁴	MCA	10/01/1998	-0.38	4.18	7.63	6.23	9.56	65.01	21.51	19.06	13.39	11.90
LVIP Delaware SMID Cap Core Fund - Standard Class ^{4,5}	MCA	07/12/1991	-0.74	15.92	17.09	4.79	15.04	62.66	12.95	12.41	10.67	9.61
LVIP SSGA Emerging Markets 100 Fund - Standard Class ^{1,19}	MCA	06/18/2008	-0.78	14.12	11.80	3.43	12.54	47.13	1.58	6.69	-0.36	3.01
LVIP SSGA Small-Cap Index Fund - Standard Class ^{4,18}	MCA	04/18/1986	-0.27	11.65	14.62	2.01	9.26	72.56	13.57	14.81	10.04	7.52
LVIP T. Rowe Price Structured Mid-Cap Growth Fund - Standard Class ⁴	MCA	02/03/1994	0.26	0.01	5.05	5.51	5.47	51.60	20.74	18.71	13.14	7.62
Long Term Growth												
American Funds Global Growth Fund - Class 2 ¹	LTG	04/30/1997	-0.97	5.42	9.12	5.60	8.22	50.32	18.52	18.11	11.79	9.89
American Funds Growth Fund - Class 2	LTG	02/08/1984	-0.45	5.50	9.03	5.61	8.86	64.40	26.14	23.87	15.68	12.55

Performance Update

Monthly hypothetical performance adjusted for contract fees *

Investment Options		Inception Date	Change from Previous Day	YTD as of 05/11/2021	YTD as of 04/30/2021	Average Annual Total Return (%) as of 4/30/2021						Since Incep.
						1 Mo	3 Mo	1 Yr	3 Yr	5 Yr	10 Yr	
American Funds International Fund - Class 2 ¹	LTG	05/01/1990	-1.08	1.00	1.70	3.27	3.86	42.17	5.87	10.12	4.89	7.02
Delaware VIP Small Cap Value ^{4, 5}	LTG	12/27/1993	-1.08	27.25	24.72	4.21	23.22	69.95	8.77	11.27	8.72	9.54
Fidelity® VIP Contrafund® Portfolio - Service Class	LTG	01/03/1995	-0.47	6.47	8.81	6.74	9.93	42.49	18.94	16.97	12.24	10.90
Fidelity® VIP Growth Portfolio - Service Class	LTG	10/09/1986	-0.30	5.26	8.91	5.99	7.98	56.24	24.98	23.17	15.73	10.37
LVIP BlackRock Global Real Estate Fund - Standard Class ^{1, 2, 9}	LTG	04/30/2007	-1.23	12.43	13.98	6.82	14.55	37.19	8.63	5.70	4.82	1.67
LVIP Delaware Mid Cap Value Fund - Standard Class ^{4, 5}	LTG	12/28/1981	-1.27	20.73	19.84	4.64	20.16	63.08	9.51	11.62	9.37	10.54
LVIP Delaware Social Awareness Fund - Standard Class ⁵	LTG	05/02/1988	-0.77	10.73	12.03	4.96	12.26	47.95	18.10	15.84	12.42	10.25
LVIP Dimensional U.S. Core Equity 1 Fund - Standard Class	LTG	12/28/1981	-0.89	14.05	14.12	4.39	14.17	53.40	16.19	15.68	12.28	10.02
LVIP Mondrian International Value Fund - Standard Class ¹	LTG	05/01/1991	-1.14	10.55	8.05	1.67	8.59	34.23	1.09	4.85	2.89	5.36
LVIP SSGA International Index Fund - Standard Class ^{1, 18, 20}	LTG	04/30/2008	-1.29	7.36	6.10	3.06	7.70	38.96	5.11	7.73	3.83	1.91
LVIP SSGA S&P 500 Index Fund - Standard Class ^{18, 21}	LTG	05/01/2000	-0.87	10.64	11.41	5.23	12.65	44.25	17.18	15.97	12.76	5.87
LVIP Vanguard Domestic Equity ETF Fund - Service Class ^{6, 22}	LTG	04/29/2011	-0.84	10.06	11.10	4.83	12.01	46.75	17.09	15.53	11.80	11.79
LVIP Vanguard International Equity ETF Fund - Service Class ^{1, 6, 22}	LTG	04/29/2011	-1.06	7.18	6.50	2.54	6.58	43.57	5.85	8.82	3.94	3.93
MFS® VIT Utilities Series - Initial Class ²	LTG	01/03/1995	-1.22	3.42	4.81	3.69	6.33	25.60	10.79	9.22	7.42	10.20
Growth and Income												
American Funds Growth-Income Fund - Class 2	GI	02/08/1984	-0.72	10.45	11.10	4.78	12.47	39.03	13.86	14.87	12.04	10.32
BlackRock Global Allocation V.I. Fund - Class I ^{1, 3}	GI	02/28/1992	-0.54	4.75	4.84	3.35	5.41	32.92	10.83	9.28	5.63	6.64
Fidelity® VIP Freedom 2020 Portfolio SM - Service Class ^{6, 8}	GI	04/26/2005	-0.60	3.90	3.86	2.45	4.15	24.93	9.83	9.30	6.71	6.19
Fidelity® VIP Freedom 2025 Portfolio SM - Service Class ^{6, 8}	GI	04/26/2005	-0.64	4.63	4.60	2.72	4.93	28.22	10.62	10.11	7.43	6.76

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Performance Update

Monthly hypothetical performance adjusted for contract fees *

Investment Options		Inception Date	Change from Previous Day	YTD as of 05/11/2021	YTD as of 04/30/2021	Average Annual Total Return (%) as of 4/30/2021						Since Incep.
						1 Mo	3 Mo	1 Yr	3 Yr	5 Yr	10 Yr	
Fidelity® VIP Freedom 2030 Portfolio SM - Service Class ^{6, 8}	GI	04/26/2005	-0.69	5.53	5.50	3.02	5.83	32.40	11.51	11.41	8.11	7.06
Fidelity® VIP Freedom 2035 Portfolio SM - Service Class ^{6, 8}	GI	04/08/2009	-0.83	7.41	7.44	3.60	7.85	40.07	12.87	12.81	8.92	12.37
Fidelity® VIP Freedom 2040 Portfolio SM - Service Class ^{6, 8}	GI	04/08/2009	-0.94	8.77	8.80	4.00	9.18	44.98	13.74	13.37	9.23	12.72
Fidelity® VIP Freedom 2045 Portfolio SM - Service Class ^{6, 8}	GI	04/08/2009	-0.93	8.78	8.81	4.00	9.15	44.94	13.74	13.38	9.28	12.80
Fidelity® VIP Freedom 2050 Portfolio SM - Service Class ^{6, 8}	GI	04/08/2009	-0.92	8.78	8.82	4.00	9.18	44.93	13.72	13.36	9.25	12.92
LVIP BlackRock Advantage Allocation Fund - Standard Class ^{3, 5, 10}	GI	07/28/1988	-0.62	2.90	3.09	2.60	3.46	21.06	8.21	7.75	5.55	5.89
LVIP Delaware REIT fund - Standard Class ^{2, 5, 9}	GI	05/04/1998	-1.32	14.46	16.76	8.27	17.34	32.16	8.84	4.42	6.56	7.64
LVIP Delaware Value Fund - Standard Class ⁵	GI	07/28/1988	-1.34	14.24	11.73	2.76	13.67	35.48	7.91	9.27	10.27	8.02
LVIP Delaware Wealth Builder Fund - Standard Class ^{3, 5, 10}	GI	08/03/1987	-0.75	5.55	4.90	2.23	5.77	19.50	6.48	6.47	5.14	6.08
LVIP JPMorgan Retirement Income Fund - Standard Class ^{3, 5, 10}	GI	04/27/1983	-0.43	1.82	1.96	1.86	2.36	17.16	6.22	5.73	4.47	6.63
Income												
LVIP BlackRock Inflation Protected Bond Fund - Standard Class ¹²	I	04/30/2010	-0.11	1.24	0.60	0.64	0.16	4.99	3.04	2.13	1.32	1.69
LVIP Delaware Bond Fund - Standard Class ^{5, 12}	I	12/28/1981	-0.14	-2.58	-2.52	0.75	-1.97	2.48	4.73	2.89	2.76	6.60
LVIP Delaware Diversified Floating Rate Fund ^{5, 14}	I	04/30/2010	-0.01	-0.24	-0.16	0.01	-0.31	2.33	0.72	0.87	0.17	0.31
LVIP Delaware Diversified Income Fund - Standard Class ^{5, 12}	I	05/16/2003	-0.16	-2.42	-2.34	0.87	-1.75	5.20	5.15	3.35	2.82	4.39
LVIP Delaware High Yield Fund - Standard Class ^{5, 12, 15}	I	07/28/1988	-0.23	1.44	1.70	1.16	1.78	17.36	6.20	6.08	4.48	5.70
LVIP Global Income Fund - Standard Class ^{1, 10, 12, 13}	I	05/04/2009	-0.14	-2.96	-3.23	0.54	-2.38	0.96	2.88	1.96	0.81	2.55
LVIP SSGA Bond Index Fund - Standard Class ^{12, 18}	I	04/30/2008	-0.16	-3.14	-2.99	0.72	-2.24	-1.45	3.89	1.85	2.03	2.50
PIMCO VIT Total Return Portfolio - Administrative Class ¹²	I	12/31/1997	-0.09	-2.59	-2.60	0.80	-2.06	1.12	4.27	2.73	2.41	4.24

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Performance Update

Monthly hypothetical performance adjusted for contract fees *

Investment Options	Inception Date	Change from Previous Day	YTD as of 05/11/2021	YTD as of 04/30/2021	Average Annual Total Return (%) as of 4/30/2021						Since Incep.	
					1 Mo	3 Mo	1 Yr	3 Yr	5 Yr	10 Yr		
Risk Managed - Asset Allocation												
LVIP Global Conservative Allocation Managed Risk Fund - Standard Class ^{1,3,6,10,16}	RMAA	05/03/2005	-0.46	2.90	3.19	2.26	3.63	16.56	6.07	5.73	4.60	5.02
LVIP Global Growth Allocation Managed Risk Fund - Standard Class ^{1,3,6,10,16}	RMAA	05/03/2005	-0.68	6.16	6.47	3.16	6.79	22.54	6.30	6.94	4.43	4.77
LVIP Global Moderate Allocation Managed Risk Fund - Standard Class ^{1,3,6,10,16}	RMAA	05/03/2005	-0.59	4.82	5.14	2.88	5.46	19.48	6.05	6.47	4.37	4.93
LVIP SSGA Global Tactical Allocation Managed Volatility Fund - Standard Class ^{1,3,6,10,11,13}	RMAA	05/03/2005	-0.73	7.64	6.89	2.14	6.70	27.72	6.27	6.62	4.06	3.99
Preservation of Capital												
LVIP Government Money Market Fund - Standard Class ^{10,17}	PC	01/07/1982	0.00	-0.36	-0.33	-0.08	-0.25	-0.98	0.04	-0.23	-0.60	2.74
Risk Managed - US Large Cap												
LVIP BlackRock Dividend Value Managed Volatility Fund - Standard Class ^{10,11}	RMUSL	02/03/1994	-1.39	19.10	17.39	4.00	18.17	39.16	8.91	9.52	6.24	6.86
LVIP Blended Large Cap Growth Managed Volatility Fund - Standard Class ^{10,11,13}	RMUSL	02/03/1994	-0.35	7.40	10.54	6.95	11.67	40.40	15.36	14.36	9.31	7.26
Asset Allocation												
LVIP T. Rowe Price 2010 Fund (Standard Class) ^{6,8,10}	AsA	05/01/2007	-0.43	3.71	3.87	2.40	4.19	21.77	8.32	6.80	4.55	4.25
LVIP T. Rowe Price 2020 Fund (Standard Class) ^{6,8,10}	AsA	05/01/2007	-0.50	4.71	4.95	2.73	5.28	26.75	9.42	8.03	5.06	4.36
LVIP T. Rowe Price 2030 Fund (Standard Class) ^{6,8,10}	AsA	05/01/2007	-0.62	6.55	6.94	3.34	7.37	34.88	11.09	9.14	5.54	4.62
LVIP T. Rowe Price 2040 Fund (Standard Class) ^{6,8,10}	AsA	05/01/2007	-0.72	8.51	8.98	3.84	9.34	41.88	12.48	10.24	5.90	4.58
LVIP T. Rowe Price 2050 Fund (Standard Class) ^{6,8,10}	AsA	04/29/2011	-0.75	9.14	9.62	4.00	9.99	44.26	12.87	11.15	6.19	6.19
LVIP T. Rowe Price 2060 Fund - Standard Class ^{6,8,10}	AsA	04/30/2020	-0.74	9.84	10.27	4.16	10.67	46.85	N/A	N/A	N/A	46.85
Risk Managed - US Mid Cap												

Performance Update

Monthly hypothetical performance adjusted for contract fees *

Investment Options	Inception Date	Change from Previous Day	YTD as of 05/11/2021	YTD as of 04/30/2021	Average Annual Total Return (%) as of 4/30/2021						Since Incep.
					1 Mo	3 Mo	1 Yr	3 Yr	5 Yr	10 Yr	
LVIP Blended Mid Cap Managed Volatility Fund - Standard Class ^{4, 10, 11, 13}	RMUSM 05/01/2001	-0.08	-0.62	3.42	5.56	4.98	38.31	16.32	15.47	6.49	5.04
LVIP JPMorgan Select Mid Cap Value Managed Volatility Fund - Standard Class ^{4, 10, 11, 13}	RMUSM 05/01/2001	-1.14	21.55	20.24	5.60	20.25	46.00	7.70	7.97	5.85	6.39
Risk Managed - Global/International											
LVIP Franklin Templeton Global Equity Managed Volatility Fund - Standard Class ^{1, 10, 11}	RMGI 08/01/1985	-0.91	9.83	9.47	4.24	11.31	36.57	7.52	8.81	4.95	7.21
LVIP SSGA International Managed Volatility Fund - Standard Class ^{1, 6, 10, 11}	RMGI 12/31/2013	-1.35	7.33	6.10	3.04	7.70	33.93	1.96	5.01	N/A	1.35

* These returns are measured from the inception date of the fund and predate its availability as an investment option in the variable annuity (separate account). This hypothetical representation depicts how the investment option would have performed had the fund been available in the variable annuity during the time period. It includes deductions for the M&E charge and the contract administrative fee. If selected above, the cost for the i4LIFE® Advantage feature or a death benefit will be reflected. The cost for other riders with quarterly charges is not reflected. No surrender charge and no annual contract charge is reflected.

Performance Update

1 International

Investing internationally involves risks not associated with investing solely in the United States, such as currency fluctuation, political or regulatory risk, currency exchange rate changes, differences in accounting and the limited availability of information.

2 Sector Funds

Funds that target exposure to one region or industry may carry greater risk and higher volatility than more broadly diversified funds.

3 Asset Allocation Portfolios

Asset allocation does not ensure a profit, nor protect against loss in a declining market.

4 Small & Mid Cap

Funds that invest in small and/or midsize company stocks may be more volatile and involve greater risk, particularly in the short term, than those investing in larger, more established companies.

5 Macquarie Investment Management

Investments in Delaware VIP Series, Delaware Funds, LVIP Delaware Funds or Lincoln Life accounts managed by Macquarie Investment Management Advisers, a series of Macquarie Investments Management Business Trust, are not and will not be deposits with or liabilities of Macquarie Bank Limited ABN 46 008 583 542 and its holding companies, including their subsidiaries or related companies, and are subject to investment risk, including possible delays in repayment and loss of income and capital invested. No Macquarie Group company guarantees or will guarantee the performance of the fund, the repayment of capital from the fund, or any particular rate of return.

6 Fund of funds

Each fund is operated as a fund of funds that invests primarily in one or more other funds, rather than in individual securities. A fund of this nature may be more expensive than other investment options because it has additional levels of expenses. From time to time, the Fund's advisor may modify the asset allocation to the underlying funds and may add new funds. A Fund's actual allocation may vary from the target strategic allocation at any point in time. Additionally, the Fund's advisor may directly manage assets of the underlying funds for a variety of purposes.

7 Alternative Funds

Certain funds (sometimes called "alternative funds") expect to invest in (or may invest in some) positions that emphasize alternative investment strategies and/or nontraditional asset classes and, as a result, are subject to the risk factors of those asset classes and/or investment strategies. Some of those risks may include general economic risk, geopolitical risk, commodity-price volatility, counterparty and settlement risk, currency risk, derivatives risk, emerging markets risk, foreign securities risk, high-yield bond exposure, index investing risk, exchange-traded notes risk, industry concentration risk, leveraging risk, real estate investment risk, master limited partnership risk, master limited partnership tax risk, energy infrastructure companies risk, sector risk, short sale risk, direct investment risk, hard assets sector risk, active trading and "overlay" risks, event-driven investing risk, global macro strategies risk, temporary defensive positions and large cash positions. If you are considering investing in alternative investment funds, you should ensure that you understand the complex investment strategies sometimes employed and be prepared to tolerate the risks of such asset classes. For a complete list of risks, as well as a discussion of risk and investment strategies, please refer to the fund's prospectus. The fund may invest in derivatives, including futures, options, forwards and swaps. Investments in derivatives may cause the fund's losses to be greater than if it invested only in conventional securities and can cause the fund to be more volatile. Derivatives involve risks different from, or possibly greater than, the risks associated with other investments. The fund's use of derivatives may cause the fund's investment returns to be impacted by the performance of securities the fund does not own and may result in the fund's total investment exposure exceeding the value of its portfolio.

8 Target-date funds

The target date is the approximate date when investors plan to retire or start withdrawing their money. Some target-date funds make no changes in asset allocation after the target date is reached; other target-date funds continue to make asset allocation changes following the target date. (See the prospectus for the funds allocation strategy.) The principal value is not guaranteed at any time, including at the target date. An asset allocation strategy does not guarantee performance or protect against investment losses. A "fund of funds" may be more expensive than other types of investment options because it has additional levels of expenses.

9 REIT

A real estate investment trust (REIT) involves risks such as refinancing, economic conditions in the real estate industry, declines in property values, dependency on real estate management, changes in property taxes, changes in interest rates and other risks associated with a portfolio that concentrates its investments in one sector or geographic region.

10 Manager of managers funds

Subject to approval of the fund's board, Lincoln Investment Advisors Corporation (LIAC) has the right to engage or terminate a subadvisor at any time, without a shareholder vote, based on an exemptive order from the Securities and Exchange Commission. LIAC is responsible for overseeing all subadvisors for funds relying on this exemptive order.

11 Managed Volatility Strategy

The fund's managed volatility strategy is not a guarantee, and the fund's shareholders may experience losses. The fund employs hedging strategies designed to reduce overall portfolio volatility. The use of these hedging strategies may limit the upside participation of the fund in rising equity markets relative to unhedged funds, and the effectiveness of such strategies may be impacted during periods of rapid or extreme market events.

12 Bonds

The return of principal in bond funds is not guaranteed. Bond funds have the same interest rate, inflation, credit, duration, prepayment and market risks that are associated with the underlying bonds owned by the fund or account.

13 Multimanager

For those funds that employ a multimanager structure, the fund's advisor is responsible for overseeing the subadvisors. While the investment styles employed by the fund's subadvisors are intended to be complementary, they may not, in fact, be complementary. A multimanager approach may result in more exposure to certain types of securities risks and in higher portfolio turnover.

14 Floating rate funds

Floating rate funds should not be considered alternatives to CDs or money market funds and should not be considered as cash alternatives.

15 High-yield or mortgage-backed funds

High-yield funds may invest in high-yield or lower rated fixed income securities (junk bonds) or mortgage-backed securities with exposure to subprime mortgages, which may experience higher volatility and increased risk of nonpayment or default.

Performance Update

¹⁶ Risk Management Strategy

The fund's risk management strategy is not a guarantee, and the funds shareholders may experience losses. The fund employs hedging strategies designed to provide downside protection during sharp downward movements in equity markets. The use of these hedging strategies may limit the upside participation of the fund in rising equity markets relative to other unhedged funds, and the effectiveness of such strategies may be impacted during periods of rapid or extreme market events.

¹⁷ Money Market Funds

You can lose money by investing in the fund. Although the fund seeks to preserve the value of your investment at \$1.00 per share (or, for the LVIP Government Money Market Fund, at \$10.00 per share), it cannot guarantee it will do so. An investment in the fund is not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency. The fund's sponsor has no legal obligation to provide financial support to the fund, and you should not expect that the sponsor will provide financial support to the fund at any time.

¹⁸ Index

An index is unmanaged, and one cannot invest directly in an index. Indices do not reflect the deduction of any fees.

¹⁹ Emerging Markets

Investing in emerging markets can be riskier than investing in well-established foreign markets. International investing involves special risks not found in domestic investing, including increased political, social and economic instability, all of which are magnified in emerging markets.

²⁰ MSCI

The fund described herein is indexed to an MSCI® index. It is not sponsored, endorsed, or promoted by MSCI®, and MSCI®; bears no liability with respect to any such fund or to an index on which a fund is based. The prospectus and statement of additional information contain a more detailed description of the limited relationship MSCI®; has with Lincoln Investment Advisors Corporation and any related funds.

²¹ S&P

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²² Exchange-traded funds

Exchange-traded funds (ETFs) in this lineup are available through collective trusts or mutual funds. Investors cannot invest directly in an ETF.

Important Disclosures

Variable products are issued by The Lincoln National Life Insurance Company, Fort Wayne, IN, distributed by Lincoln Financial Distributors, Inc., and offered by broker/dealers with an effective selling agreement. The Lincoln National Life Insurance Company is not authorized nor does it solicit business in the state of New York.

Contractual obligations are backed by the claims-paying ability of The Lincoln National Life Insurance Company.

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Lincoln Financial Group is the marketing name for Lincoln National Corporation and its affiliates. Affiliates are separately responsible for their own financial and contractual obligations.

Asset Categories

RM	= Risk Managed
MCA	= Maximum Capital Appreciation
LTG	= Long Term Growth
GI	= Growth and Income
I	= Income
RMAA	= Risk Managed - Asset Allocation
PC	= Preservation of Capital
RMUSL	= Risk Managed - US Large Cap
AsA	= Asset Allocation
RMUSM	= Risk Managed - US Mid Cap
RMGI	= Risk Managed - Global/International

