



The Mission of the Las Gallinas Valley Sanitary District is to protect public health and the environment by providing effective wastewater collection, treatment, and recycling services.

**DISTRICT BOARD**  
Megan Clark  
Rabi Elias  
Craig K. Murray  
Judy Schriebman  
Crystal J. Yezman

**DISTRICT ADMINISTRATION**  
Mike Prinz,  
General Manager  
Michael Cortez,  
District Engineer  
Mel Liebmann,  
Plant Manager  
Greg Pease,  
Collection System/Safety Manager  
Robert Ruiz,  
Administrative Services Manager

## **SPECIAL BOARD MEETING AGENDA**

**In accordance with Government Code Section 54956**

**Craig K. Murray, Board President, has called for a Special Meeting as follows:**

**JANUARY 9, 2020**

**MATERIALS RELATED TO ITEMS ON THIS AGENDA ARE AVAILABLE FOR PUBLIC INSPECTION DURING NORMAL BUSINESS HOURS AT THE DISTRICT OFFICE, 101 LUCAS VALLEY ROAD, SUITE 300, SAN RAFAEL, OR ON THE DISTRICT WEBSITE [WWW.LGVSD.ORG](http://WWW.LGVSD.ORG)**

Estimated  
Time

NOTE: Final board action may be taken on any matter appearing on agenda.

### **GENERAL SESSION – 4:15 PM**

#### **OPEN SESSION:**

4:15 PM

#### **PUBLIC COMMENT**

This portion of the meeting is reserved for persons desiring to address the Board on matters not on the agenda and within the jurisdiction of the Las Gallinas Valley Sanitary District. Presentations are generally limited to three minutes. All matters requiring a response will be referred to staff for reply in writing and/or placed on a future meeting agenda. Please contact the General Manager before the meeting.

#### **CLOSED SESSION:**

4:20 PM

- 1. CONFERENCE WITH REAL PROPERTY NEGOTIATORS** – Pursuant to Government Code § 54956.5; Regarding real property located at 405 Vendola Drive, San Rafael. Real Property Negotiator Is Mike Prinz, General Manager. Seeking instruction/authority concerning price and/or terms of payment.

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**OPEN SESSION:**

- 4:30 PM 1. PUBLIC COMMENT**  
This portion of the meeting is reserved for persons desiring to address the Board on matters not on the agenda and within the jurisdiction of the Las Gallinas Valley Sanitary District. Presentations are generally limited to three minutes. All matters requiring a response will be referred to staff for reply in writing and/or placed on a future meeting agenda. Please contact the General Manager before the meeting.
- 4:35 PM 2. BOARD ELECTIONS – PRESIDENT, VICE PRESIDENT, SECRETARY, TREASURER AND DISTRICT ENGINEER**  
Board to elect a President, Vice President, Secretary and Treasurer and District Engineer
- 4:45 PM 3. FUTURESENSE LLC EMPLOYEE CLIMATE REPORT**  
Consultant Jim Finkelstein from FutureSense will present an Employee Climate Report to the Board.
- 5:45 PM 4. CONSENT CALENDAR:**  
These items are considered routine and will be enacted, approved or adopted by one motion unless a request for removal for discussion or explanation is received from the staff or the Board.  
A. Approve the Warrant List for January 9, 2019  
B. Approve Conference attendance requests for Yezman to attend the WEF/AWWA Utility Management Conference Feb 25-28 in Anaheim, the WateReuse Conference March 15-17 in San Francisco, the Annual WateReuse Conference Sept 13-16 in Denver, Colorado and the WEFTEC conference October 2-6 in New Orleans, Louisiana  
Possible expenditure of funds: Yes, Items B and C  
Staff recommendation: Adopt Consent Calendar – Items A and B.
- 5:55 PM 5. REVISION TO BOARD POLICY B-20**  
Board and staff to discuss creation of Board Policy B-20-50 and approve Resolution 2020-2181
- 6:05 PM 6. HUMAN RESOURCES SUBCOMMITTEE**  
Board and staff to discuss creation of a Human Resources Subcommittee.
- 6:15 PM 7. BOARD PRESIDENT APPOINTMENTS FOR 2020**  
Board President will appoint Board members to attend various meetings and/or committees.




- 6:25 PM**      **8. INFORMATION ITEMS:**
- A. STAFF/CONSULTANT REPORTS:
    - 1. General Manager Report – Verbal
    - 2. California Regional Water Quality Control Board, San Francisco Bay Region Conditional Offer for Settlement of Alleged Violations
    - 3. Monthly Report as of November 30, 2019
    - 4. Treasury Report as of November 30, 2019
- 6:40 PM**      **9. BOARD REPORTS:**
- 1. LAFCO - Verbal
  - 2. Gallinas Watershed Council / Miller Creek Watershed Council– Verbal
  - 3. JPA Local Task Force on Solid and Hazardous Waste – Verbal
  - 4. Flood Zone 7 - Verbal
  - 5. NBWA – Written
  - 6. NBWRA/North Bay Water – Verbal
  - 7. Engineering Subcommittee – Verbal
  - 8. Other Reports –Verbal
- 6:50 PM**      **10. BOARD REQUESTS:**
- A. Board Meeting Attendance Requests – Verbal
  - B. Board Agenda Item Requests – Verbal
- 6:55 PM**      **11. VARIOUS ARTICLES AND MISCELLANEOUS DISTRICT CORRESPONDENCE**
- 7:00 PM**      **12. ADJOURNMENT**

**FUTURE BOARD MEETING DATES – JANUARY 16, FEBRUARY 6 AND FEBRUARY 20 2020**

AGENDA APPROVED:	Craig K. Murray, Board President	David Byers, Legal Counsel
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**CERTIFICATION:** I, Teresa Lerch, District Secretary of the Las Gallinas Valley Sanitary District, hereby declare under penalty of perjury that on or before January 6 2020, at 4:15 pm I posted the Agenda for the Board Meeting of said Board to be held January 9, 2020 at 101 Lucas Valley Road, Suite 300, San Rafael, CA 94903.

DATED: January 6, 2020



Teresa L. Lerch  
District Secretary

The Board of the Las Gallinas Valley Sanitary District meets regularly on the first and third Thursday of each month. The District may also schedule additional special meetings for the purpose of completing unfinished business and/or study session. Regular meetings are held at the District Office, 101 Lucas Valley Road, Suite 300, San Rafael, CA. 94903

In compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, please contact the District at (415) 472-1734 at least 24 hours prior to the meeting. Notification prior to the meeting will enable the District to make reasonable accommodation to help ensure accessibility to this meeting.

# Agenda Summary Report

**To:** Mike Prinz, General Manager *MPS*  
**From:** Teri Lerch, District Secretary *TL*  
**Mtg. Date:** January 9, 2020  
**Re:** Board Elections – President, Vice President, Secretary, Treasurer and District Engineer  
**Item Type:** Consent \_\_\_\_\_ Discussion X Information \_\_\_\_\_ Other \_\_\_\_\_  
**Standard Contract:** Yes \_\_\_\_\_ No \_\_\_\_\_ (See attached) Not Applicable X .

## BACKGROUND:

Board members serve for a four-year term. The position of Board President and Vice-President has been rotated between members annually.

The election for President occurs in January of each year. Below is a schedule of the rotation since 2010. P= President, VP=Vice President

	Greenfield	Clark	Elias	Murray	Schriebman
2010				P	VP
2011	VP				P
2012	P	VP			
2013		P		VP	
2014			VP	P	
2015			P		VP
2016	VP				P
2017	P	VP			
2018		P		VP	
	Yezman	Clark	Elias	Murray	Schriebman
2019			VP	P	
2020			P		VP

Board Member Craig Murray was elected as President and Rabi Elias was elected Vice President for 2019. The Board Secretary, Treasurer and District Engineer positions are held by District Staff members after Board appointments.

## STAFF RECOMMENDATION:

Based on the historical rotation, staff recommends that the Board appoint Rabi Elias as the President, Judy Schriebman as Vice President, Robert Ruiz as Treasurer, Teri Lerch as Secretary and Michael Cortez as District Engineer.

## FISCAL IMPACT:

N/A



**PERSON TO BE NOTIFIED:**

Michael Cortez, Robert Ruiz and Teri Lerch.



# Agenda Summary Report

**To:** LGVSD Board of Directors  
**From:** Mike Prinz, General Manager *MPZ*  
**Mtg. Date:** January 9, 2020  
**Re:** Futuresense Employee Climate Update  
**Item Type:** Consent  Discussion  Information  Other   
**Standard Contract:** Yes  No  (See attached) Not Applicable

## BACKGROUND

The Board retained Futuresense in 2017 to evaluate the organizational climate of the District and to understand working conditions experienced by District Staff. Futuresense conducted an extensive survey of Staff on a variety of topics in order to determine organizational themes and areas on which to focus in order to improve the culture of the District.

Between 2017 and now, the District has undergone significant organizational shifts. The first significant shift occurred in late 2017 when the District retained Chris DeGabrielle as the interim General Manager. Chris replaced the previous General Manager, Mark Williams, who had been the General Manager from July 2006 to December 2017. In the Fall of 2018, the District conducted a competitive recruitment to fill the General Manager position on a permanent basis. The District hired Mike Prinz, who has been the General Manager of the District since late November 2018.

As Chris DeGabrielle's interim role at the District came to a close in late 2018, the Administrative Services Manager (ASM), Susan McGuire, announced her retirement, which became effective in early January 2019. Susan had been the District's ASM since June 2008. As the newly hired General Manager, Mike Prinz hired Robert Ruiz to replace Susan in December 2018.

## PREVIOUS BOARD ACTION

On September 28, 2017, the Board created an ad hoc Subcommittee regarding Futuresense's 2017 work. On January 10, 2019, the Board dissolved this ad hoc committee after having considered its original purpose fulfilled.

## ENVIRONMENTAL REVIEW

None

## FISCAL IMPACT

None. Implementation of recommendations from the 2019 Climate Update may impact staff time allocations.



## **STAFF ANALYSIS AND RECOMMENDATION**

The results of the 2019 Employee Climate Report are quite detailed, somewhat mixed, and include signs of improvement relative to the 2017 Employee Climate Report. Causative factors related to the changes between 2017 and 2019 may be challenging to definitively ascertain due to:

1. the lengthy period of time prior to 2017 that the climate of the District evolved without investigation,
2. the range of potential influences on the 2019 results, including overlapping organizational changes between 2017 and now,
3. aspects of the Futuresense's methodology and intent, and
4. and the relatively short tenures of the new GM and ASM.

Future iterations to the Employee Climate Report are recommended to be conducted, potentially every 12-24 months for the foreseeable future, in order to verify trends, determine organizational health norms, and make adjustments as needed.

Staff recommends that the Board consider Futuresense's 2019 work and the associated recommendations as subject matter to include within the purpose and scope of the Human Resources Subcommittee to be considered later in this meeting's agenda. Pursuit of the recommendations has already commenced in some cases, however the Board's current strategic initiatives and existing employee workloads should be considered during deliberations regarding which recommendations to pursue.





**CONFIDENTIAL**

**Employee Climate Report**

**November 2019**

**Prepared by FutureSense, LLC**

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### DISCLAIMERS AND CONFIDENTIALITY

This report has been produced independently by FutureSense, LLC ("FutureSense") at the request of Las Gallinas Valley Sanitary District ("LGVSD"). The contents of this report are confidential, and the LGVSD board retains the property rights to the report.

This report is confidential and intended solely for use by management. This report should not be reproduced, whole or in part, or shared with any unauthorized party without the express written permission of the Executive Leadership of LGVSD. None of the information contained in this report represents legal opinion or otherwise engages in the practice of law.

FutureSense has prepared the information, statements, statistics and commentary contained in this report after participating in a discovery process including interviews, document review, an electronic survey, etc. FutureSense does not express an opinion as to the accuracy or completeness of the information provided to them, the assumptions made by the parties that provided the information or any conclusions reached by those parties. The information used in this report has not been subject to an independent audit.

FutureSense does not purport to be a legal, tax, or accounting counsel. Nothing in this document should be construed as employment, tax, financial or legal advice and/or opinions. All recommended actions contemplated should be reviewed with appropriate counsel.



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### Executive Summary

In June of 2017, the Las Gallinas Valley Sanitary District (LGVSD) located in the valley between San Rafael and Novato, California, partnered with FutureSense, a management consulting and professional services firm, to better understand the LGVSD organizational climate through a discovery process.

To support the progress of the LGVSD in fostering a positive and collaborative culture, in October of 2019, LGVSD engaged with FutureSense to continue the study; focusing on the evolving organizational culture. This project highlighted cultural themes and provided recommendations on how to continue to improve management practices and the overall culture. For reference we have included the 2017 report in Appendix B.

### Current Cultural Themes

As the culture of LGVSD advances it is important to note the following cultural themes that appeared throughout the survey, focus groups, and individual interviews.

Current Cultural Themes
Dedicated and flexible workforce and leadership
Culture open to change at all levels
Workforce feels recognized and has ability to be autonomous
Workforce is respectful of each other
A sense of job security exists
The culture is still healing from past leadership.

This report presents a significant number of findings, as well as recommendations found during this assessment. It is important to note that during the last cultural assessment the LGVSD staff was under different leadership all together.

These issues both past and present include the following:

Current Cultural Issues	Past Cultural Issues
Challenges are identified, but not addressed	Climate of Distrust & Fear
Lack of professional communication & channels	Professional Communication & Channels
Clarity in the role of HR	Role of HR
Little to no opportunities for advancement	Governance Guardrails
Living in the Past	

**Mixed Opinions**

It appears that all groups who participated in this cultural assessment which includes staff, board and leadership, are all focused on creating a positive work environment as well as a strong organizational culture. Though all pertinent groups of the LGVSD are focused on a progressive culture it appears that there are areas that had mixed feedback. They are the following:

Mixed Opinions
Workforce may or may not assist each other
Workplace Flexibility
Trust and Transparency
Fiscal Wellbeing

On the following pages FutureSense makes every effort to address these trends and issues and highlights recommendations to continue to evolve the culture in a positive direction. Where applicable we have exhibited the areas of improvement and/or decline since our last cultural survey in 2017.

## Background

In August of 2019, FutureSense was contacted by Las Gallinas Valley Sanitary District (LGVSD) about continuing the discovery work previously done in 2017. It was imperative that this study explored the historical issues and the evolution of the organization to date.

The methodology utilized was the following:

### Phase I: Assess

The first step in the process was to conduct a discovery into the culture, communication, leadership dynamics, and overall cultural perceptions.

FutureSense utilized the following process:

1. Interviews – The FutureSense team conducted interviews with LGVSD key leaders to include board members, managers, and supervisors. These were scheduled in-person or over the telephone based on scheduling availability. In addition, staff level interviews were available for those who requested it.
2. Employee Focus Group – A focus groups was conducted with staff to garner the employee perspective from front line staff. No managers or board members were involved in the focus group.
3. Current Employee Survey – All staff and leaders were asked to participate in an Employee Climate Survey (see Appendix A for raw data). This provided a qualitative and quantitative assessment of the climate, gathered additional feedback beyond the personal interviews and focus groups.

FutureSense has found that piggybacking the survey to the interviews and focus groups allows for greater clarity and information to supplement the interview process.

### Phase II: Align

In Phase 2, the FutureSense team aggregated the results from Phase 1: Assess; and provided recommendations. This came in two forms:

1. Findings and Recommendation Report – The FutureSense team has put together this report which includes a summary of findings, as well as a series of recommendations to help improve the climate and communications for all levels of staff and leadership at LGVSD in both the short-term and long-term. These recommendations are to assist the board and leadership to understand the strengths and weaknesses of the organization and to stay abreast of the opportunities and challenges within the organization.
2. Presentations – In addition, to the written report, members of the FutureSense team will present the findings and recommendations to the board, as well as all staff and management of LGVSD.



**Phase III: Act**

The third phase in this project would be implementing against the recommendations from Phase II. Pricing for this part of the project would be determined after Phase 2 is completed and presented.

This report presents the findings and recommendations from Phase I and II only.

**Methodology**

In October 2019, the FutureSense team administered a cultural assessment which included the following steps:

1. **Document Review** – FutureSense was provided with a series of historical documents from the leadership pertaining to related past cultural trends; personnel matters; and assessments.
2. **Employee Survey** – From September 24<sup>th</sup> through October 16<sup>th</sup>, all employees were sent a link to an “Employee Climate Survey” to participate in and provide anonymous feedback to the team about their experiences and perceptions regarding working at LGVSD. Twenty (20) LGVSD employees responded to the survey and their responses were recorded through the online system provided for the appraisal. Additionally, we used a comparative benchmark, provided by *SurveyMonkey*, of similar organizations to assist in the assessment of LGVSD.
3. **Interviews** – Over a period of two weeks, FutureSense interviewed board members, managers, supervisors, and staff at LGVSD.

**Timing**

The discovery process took place utilizing the following timeline and milestones:

Deliverables/Project	Timeframe
Electronic Survey	9/24 – 10/16
Interview Managers, Supervisors, and Staff	10/17 – 10/30
Data Analysis and Reporting	10/20 – 10/31
Review Additional Materials	10/30 – 10/31
Present Findings to Board and Staff	TBD

## Findings

A note about the findings in this report - the statements and findings in this report are indicative of themes that were discovered. FutureSense uses the following definitions during discovery:

Category	Definition
<b>Interesting</b>	1-2 individuals noted or commented on an issue. These were considered individual perspectives and NOT included in this report.
<b>Findings</b>	These were consistent themes heard across various departments and levels within the organization and had substantial examples to support the claims. There may not have been total consensus in every interview and/or focus group, but the theme came through clearly in a majority of the interviews, as well as the survey data. These ARE included in this report.

To protect confidentiality, FutureSense did not include every example or produce every piece of evidence offered as it would compromise the confidentiality of the participants.

**Strength of the Organization**

Throughout this cultural assessment and during interviews with staff, management, and Board Members, the following strengths of the organization were highlighted and should be noted appear to have improved over the last two (2) years. The data from the survey also reinforced these statements.

Key Strengths of the Organization are the following:

- The current General Manager (GM) is open and focused on CORE functions.
- Managers feel the GM is truly dedicated to advancing and improving the culture.
- The Board is dedicated to the mission of LGVSD.
- Under the direction of the GM LGVSD appears to be better prepared for emergencies.
- The culture is working on trusting each other.
- Staff are focused on daily tasks and have a direct line of communication with their managers for the most part.
- Staff and leadership are focused on creating a culture of preventative maintenance and management.
- There appears to be work-life balance at all levels.
- Staff feel that they are valued.
- All appear satisfied with Compensation as a whole.
- Management is open to improving, still more communication is needed up to the Board and GM; and transversely disseminated down to the staff from the Board.

In order to demonstrate these strengths if you compare the survey results from 2017 to 2019 for those categories below as highlighted above, the improvement is notable.

Survey Category	2019 LGVSD Results	2019 Benchmark	2017 LGVSD Results	2017 Benchmark
Relationship Management	3.28	3.92	2.91	3.81
Work Environment	3.48	3.90	3.16	3.93
Compensation	3.50	3.30	3.23	3.31
Career Development	3.20	3.59	3.17	3.55
Communication Between Senior Leaders and Employees	2.89	3.45	1.63	3.42
Managers/Supervisors and Employees Trust Each Other	2.47	n/a	1.74	3.45

It is apparent through the interviews partnered with this cultural assessment that overall the LGVSD has a solid foundation to continue to improve in a positive direction. Still compared to benchmark data there is still room for improvement as indicated above.



**Areas of Weakness on which to Focus**

It is evident that the Board, management team, and staff function well to support the realization of goals and objectives described in the LGVSD Strategic Plan. There are, however, areas of weakness that need to be addressed to progress as a culture. The data from the survey reinforces these statements as well. These include the following:

- There is an impression of lack of management knowledge or lack of training within the front-line managers.
- There is no consistent communication between staff and all managers.
- New hires are general found outside the organization and internal staff are no considered for given the opportunity.
- Ensuring that the Board and Management are complying with the *Brown Act*.
- Staff feel that Management does not communicate with GM regarding staff concerns or about CORE issues.
- Board members would like to hear more from staff and/or understand their daily/weekly issues.
- Standard Operating (SOPs) are outdated.
- There is still a “run to fail” mentality to include the fact that employees feel they are constantly putting out fires.
- In the opinion of staff, the Board wastes money on “pet projects” and does not focus on what needs fixed, this leaves CORE projects in many cases are not fixed or finished.
- It was noted that at a variety of levels Human Resources (HR) doesn’t appear to understand the organization’s needs.
- The HR files may not be compliant and need focus.
- There appears to be minimal HR support.
- There is less of a sense of urgency amongst staff at times.
- According to management and Board Members some staff may be overworked and/or additional staff may need to be added in some areas.

These areas of weakness were seen in 2017 and did not improve or decreased in satisfaction as compared to 2019. Significant work should be focused in these areas highlighted above and below.

Survey Category	2019 LGVSD Results	2019 Benchmark	2017 LGVSD Results	2017 Benchmark
Work Engagement	3.43	3.90	3.48	3.89
Benefits	3.66	3.65	3.80	3.65
Willingness to Accept Change	2.84	3.47	2.89	3.44
Employees adapt quickly to difficult situations...	3.16	3.67	3.58	3.65

LGVSD would benefit in addressing these difficult areas to vastly align, motivate, transform and inspire the organization.



**Opportunities in Order to Improve**

The findings through the discovery process regarding areas to improve has been categorized in the following quadrants: challenges are identified, but not addressed; lack of professional communication & channels; clarity in the role of Human Resources (HR); little to no opportunities for advancement; and living in the past.

Key areas to note and potentially improve are the following:

- There is less of a “run to fail” mentality; still CORE functions need focus.
- All levels trust the “new” GM.
- The GM appears to be open and accessible at all levels, but this is not known to all staff.
- Staff would love more delegation from management in order to learn and grow in their positions.
- The workforce is highly competent, but not thoroughly vetted when new opportunities become available. Staff feel frequently overlooked.
- Monthly operations reports should be available to all managers and the Board in order to open communication at all levels.
- More communication is always helpful at all levels throughout the organization.
- Employees can communicate but need to have the courage to do so with leadership to include management; the GM; and the Board.
- The Board sees that staff are innovative and talented and would like to give them opportunity to explore this more often.
- A challenge for the GM is to look at critical staffing areas and to ensure LGVSD has a succession plan and/or current or new staff are trained appropriately.
- The Board is focused on the strategic plan, but at times may overlook the CORE functions that need fixed and/or addressed.
- More HR visibility and support is needed at all levels.

A tell-tale sign of a strong culture is a workplace wherein employees feel comfortable candidly “speaking up” about work-related questions, ideas, and objections. Ideally it is a culture where all levels of employees, management, and Board Members, are connected, united and aligned. To continue to create and/or maintain a strong “speak up” culture, the LGVSD areas highlighted above should be further explored.

Additionally, opportunities to improve that support the themes above are the following:

Survey Category	2019 LGVSD Results	2019 Benchmark	2017 LGVSD Results	2017 Benchmark
Satisfied with the Culture...	2.84	3.76	1.58	3.75
Work positively impacts people’s lives...	4.26	4.13	3.84	4.13
My supervisor and I have a good working relationship	3.89	4.14	3.47	4.16

It should be noted that the overall cultural satisfaction has jumped tremendously, a fantastic indication that LGVSD is moving in the right direction. Still a variety of areas which improved as indicated above are well below the benchmark.

**Potential Threats**

Cultures that embrace transparency, accountability, candor, and forgiving mistakes tend to excel at communication and growth. As LGVSD continues to focus on its strategic goals the collaboration of many different departments, people and parts, as well as excellent communication is key. Highlighted below are potential *Threats* that may hinder LGVSD from achieving its positive culture and continued growth.

- There is a perspective that management doesn’t know what employees are doing amongst Board Members and staff.
- Performance Management is not done consistently done which could create opportunities for presumed discrimination.
- Management is too busy to follow-up with increases or performance management.
- There is still a perspective of a “run to failure” culture.
- There appears to be a perceived lack of “transparency” across the Board; management; and staff.
- The staff feel disconnected with the GM and Managers in many cases.
- There appears to be a staffing shortage in some areas.
- Little support is found in HR and trust is lacking at all levels.
- A lack of follow-through on all levels which includes no preventative measures; discounted employee concerns; and a focus on CORE functions were highlighted as significant barriers.
- HR issues are not addressed, and employees’ concerns appear to be discounted.
- 360 reviews have not been administered as promised.
- HR Staff is not professional, open, or knowledgeable about this type of environment.
- There is no follow-through from HR.
- Several Board Members indicated that LGVSD was on the verge of violating the *Brown Act* in some circumstances.
- All are still recovering and/or living in the past under the previous GM.
- HR needs to be more transparent, approachable, kind and respectful.

The data from the survey reinforced these statements as well as indicated below.

Survey Category	2019 LGVSD Results	2019 Benchmark	2017 LGVSD Results	2017 Benchmark
Satisfied with the Culture...	2.84	3.76	1.58	3.75
Employees take the initiative to help others...	3.00	3.91	4.11	3.91
Employees are willing to take on new tasks...	3.05	3.81	3.58	3.80
Career Development	3.20	3.59	3.17	3.55



## Recommendations

Based on the findings, FutureSense has pulled together recommendations for each of the main themes that were highlighted:

Current Cultural Issues
Challenges are identified, but not addressed
Lack of professional communication & channels
Clarity in the role of HR
Little to no opportunities for advancement
Living in the past

As noted in the findings, there is a strong sense of commitment amongst colleagues and the work being done at LGVSD, however, the present culture is still recovering from a historical culture of a “climate of distrust and fear” which no longer exists. In order to continue to support this evolving culture and in order to foster a positive culture, the following is strongly recommended:

### Challenges

#### **Recommendation 1 – Focus on CORE Functions**

Employees and Management acknowledged that there were numerous reported areas that need to be addressed related to the CORE functions of LGVSD. Though the GM has the team focused on the CORE functions there is a concern that this will not continue, and a focus will turn to what were deemed as “pet projects”. No longer is this a “run to fail” culture and it should continue as such. It is recommended that LGVSD continues to focus on the CORE functions or “getting back to basics” in order to continue to build on the solid culture and functional foundation of LGVSD. This should be a focus for the next year. Once complete the culture and workforce will be able to sustain the CORE functions and then build upon innovative projects.

#### **Recommendation 2 – Trust in the GM**

As indicated throughout the discovery process the staff is still healing from the previous GM and the culture that was created. In order to start to heal from the past, it is recommended that the current GM have monthly staff meetings fostering an open discussion on how LGVSD can continue to improve. This should be an open dialogue without management present in order to break down barriers and demystify the former culture of fear.

#### **Recommendation 3 – Leadership/Management Training**

This cultural assessment also considered the extent to which supervisors, managers and leaders exhibit “managerial intelligence” or behave as coaches, communicators, collaborators, mentors and/or staff “champions”. Consider conducting leadership/management training for all current managers and supervisors that will foster a positive work environment. This training should be done annually ensuring that managers are leading in the same manner and have the tools to be phenomenal leaders. Training should include but not be limited to the following: performance management; crucial conversations; developing and supporting staff; understanding a union environment; servant leadership; and communication.

**Recommendation 4 – Management Coaching**

With all that is on the General Manager's plate, it is recommended that managers and supervisors have an executive coach available to discuss employee concerns, focus on their leadership skills and simply be a resource in order to foster the growth of each of their leadership journeys.

**Recommendation 5 – 360 Management Reviews**

Through the discovery process it appears that 360 Management Reviews were not made available for all staff to review their managers which was a promised outcome from the 2017 cultural assessment. This is key to ensure the continued success of the organization and would allow for the Board to get feedback from the staff on the performance of management on a regular basis. This will allow the Board to look for wins, as well as see red flags in performance as they arise and address them before they escalate. This should be conducted semi-annually.

**Communication Channels****Recommendation 6 – All Staff Strategic Planning Session**

One way to open communication channels with the Board is to engage with the staff and management in an annual strategic planning session. The Board can host an off-site session with either all of the staff or at least the entire management team, to share the strategic plan, allow time for updates from staff members (not just the GM) about last year's progress and get feedback on strategy for the next year. While still trying to repair relationships and build trust, and in order to maintain proper boundaries, it is strongly suggested a facilitator be used for such an event. This was a suggestion in the last cultural assessment.

**Recommendation 7 – Board Newsletter**

As recommended in the past, the Board can work to manage downward communication to the staff and management by putting together a Board newsletter to staff (via email). This would allow the staff and management to regularly hear from the Board about organizational changes and updates, to include the continued support for the CORE functions of the organization.

**Recommendation 8 – Organizational Scorecard**

As in the past FutureSense recommends utilizing the Organizational Scorecard to demonstrate the organizational health of LGVSD including all department updates and advancements to ensure that CORE functions are working properly. This might also include a check ensuring that annual reviews are being conducted, staff are being recognized and significant strides are being made to invest in the current LGVSD talent, supporting the "new" progressive culture. It is imperative that this be updated and available for all Board Meetings.

**Recommendation 9 – Board and GM Retreat**

As LGVSD continues to foster this positive environment it is recommended that the Board and GM attend a retreat in order to best define communication styles, ownership areas, set board position metrics and create an understanding between governance and operations. This should be a facilitated discussion. During this discussion a better understanding of the *Brown Act* should be explored whose purpose is to promote transparency and public participation in local government.



**Clarity of HR****Recommendation 10 – Reevaluation of HR Support**

Throughout the discovery process it was apparent that staff feels a lack of support from HR. Though the HR team (external and internal) is newer to the organization It was made clear that HR is not yet respected, trusted, or valued.

In the absence of an HR intervention, LGVSD should prepare for a notable uptick in the following if HR support is not addressed:

- Disgruntled employees, controversies, complaints, allegations and investigations
- Union issues and communication breakdowns
- Increased employee turnover
- Overlooked training and employee development needs.

It is recommended that an outline of expected Onsite and Offsite HR support is communicated with staff, HR is present and willing to listen and meet with staff and a monthly HR report is sent to the GM and the Board about potential issues, positive outcomes and additional areas of concern. These are basics any HR professional should offer.

**Recommendation 11 – HR Compliance**

An HR Audit is recommended as it appears that though outlined in 2017, a variety of compliance issues as it relates to HR and training still exist. This HR Audit will also help to level-set onsite and offsite HR support – creating a model that staff can trust.

**Advancement Opportunities****Recommendation 12 - Developing from Within**

For interested staff consider offering additional professional developmental training opportunities to support staff growth and advancement. Managers should be trained to see the potential in staff and with HR be able to outline career paths for each staff member. Also consider creating career paths for each department in order to foster growth from within. This will greatly improve overall employee engagement and lengthen tenure.

**Recommendation 13 - Hiring from Within**

Consider posting all open positions internally for the first month to ensure that all employees know of new opportunities and their candidacy is taken seriously.

**Recommendation 14 - Talent Management Strategy / Succession Planning**

As the LGVSD continues to evolve it is important that an overall Talent Management Strategy be created along with a Succession Plan for LGVSD to be nimble and prepared in the future. This will ensure that as staff move on there are consistent ways and means for the organization to function. In doing so this will also increase employee engagement and opportunities for development.

### **Healing from the Past**

#### **Recommendation 15 – Putting the History in the Past**

A common theme that was revealed through interviews, survey comments and the focus group is that LGVSD at all levels is still healing from the past. A staff, management, and board retreat is needed in order to continue to foster the “new” positive and progressive work environment. This should be a facilitated session.

#### **Recommendation 16 – Continued Efforts**

It appears the board, managers, and staff all agree that the culture is much healthier; but overall the team needs time to heal and trust each other. FutureSense recommends continuing this project every 18 to 24 months to ensure the former warning signs of a negative culture do not return and that progress continues.

## Conclusion

Over the last two years LGVSD has made significant strides to improve the overall culture. As LGVSD continues to move into a continued era of improved operations and behavioral standards, communications will be key at all levels. Effective communication makes a positive difference in employee engagement. Messaging that connects employees to the purpose of LGVSD will create a sense of unity and accelerate progress.

To continue this tremendous positive progression, it will require modifications in policies, processes, and procedures of LGVSD, a commitment from all levels of staff and education and patience to let the changes continue to take effect. Success will require an investment of time, energy, and resources, but with great effort, there can be great results for not only LGVSD, but the entire community as the best and brightest employees serve the public to the best of their abilities.

Tremendous unrealized potential exists within LGVSD. It should be commended that so much has improved in just two (2) years, and FutureSense is confident that LGVSD will continue along this path if the willingness and commitment is there to do so at all levels.

This assessment revealed that while LGVSD provides tremendous services to its community, there are a variety of areas in which it could improve in order to strengthen engagement, processes and focus on overall operations. We hope that by reviewing the information in this report, with our recommendations, LGVSD would welcome the opportunity for FutureSense to further assist in this cultural development.

## Appendix A – 2019 Survey Results (Raw Data)

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**Subject:** 2019 Employee Climate Assessment

**Date:** October 29<sup>th</sup>, 2019

The Las Gallinas Valley Sanitary District (LGVSD) questionnaire was conducted as part of the discovery process to assess the culture and communication practices of the organization.

This summary is divided into five sections.

- A. Methodology
- B. Average Scores for LGVSD Versus SurveyMonkey Benchmark.

### A. Methodology

From Monday, September 30<sup>th</sup> until October 16<sup>th</sup>, an online survey was sent out to 20 employees to assess the culture and communication practices of LGVSD. The survey included forty-one (41) scaled qualitative questions. The questions were derived to provide the opportunity for anonymous feedback to assess the cultural climate and as a preliminary tool to the interview process that had occurred in the following weeks.

Each question allowed for a response on a five-point scale, including:

- Strongly Disagree (1)
- Disagree (2)
- Neutral (3)
- Agree (4)
- Strongly Agree (5)

Twenty (20) LGVSD employees responded to the survey and their responses were recorded through the online system provided for the appraisal. Additionally, we used a comparative benchmark, provided by SurveyMonkey, of similar organizations to assist our assessment of LGVSD.

### B. Average Scores for LGVSD versus SurveyMonkey Benchmark

To compare the LGVSD scores versus the SurveyMonkey Benchmark, we calculated the point difference by subtracting the SurveyMonkey Benchmark to the LGVSD score.

Example: "I feel completely involved in my work."

SurveyMonkey = 4.08; LGVSD = 4.05 →  $4.08 - 4.05 = 0.03$

Color	Alert Level	Point Difference
Green	No alert	Less than 0.5
Yellow	Alert	0.5 – 0.74
Red	High alert	Greater than 0.75
Grey	No Data	N/A



Categories	Statements	AVERAGES PER STATEMENT		AVERAGES PER CATEGORY	
		LGVSD	Benchmark	LGVSD	Benchmark
Career Development	I am satisfied with my opportunities for professional growth.	3.21	3.61	3.20	3.59
	I am pleased with the career advancement opportunities available to me.	3.16	3.49		
	My organization is dedicated to my professional development.	3.00	3.64		
	I am satisfied with the job-related training my organization offers.	3.16	3.49		
	I am satisfied that I have the opportunities to apply my talents and expertise.	3.21	3.83		
	I am satisfied with the investment my organization makes in training and education.	3.47	3.49		
Work Engagement	I am inspired to meet my goals at work.	3.74	4.01	3.43	3.90
	I feel completely involved in my work.	4.05	4.08		
	I get excited about going to work.	3.16	3.71		
	I am often so involved in my work that the day goes by very quickly.	3.84	4.07		
	I am determined to give my best effort at work each day.	3.94	4.40		
	When at work, I am completely focused on my job duties.	3.84	4.15		
	In my organization, employees adapt quickly to difficult situations.	3.16	3.67		
	Employees here always keep going when the going gets tough.	3.32	3.87		
	Employees proactively identify future challenges and opportunities.	3.16	3.59		
	Employees in my organization take the initiative to help other employees when the need arises.	3.00	3.91		
	Employees here are willing to take on new tasks as needed.	3.05	3.81		
	Employees in my organization willingly accept change.	2.84	3.47		
Relationship Management	Communication between senior leaders and employees is good in my organization.	2.89	3.45	3.28	3.92
	I am able to make decisions affecting my work.	3.63	3.88		
	Managers and supervisors within my organization recognizes strong job performance.	3.16	N/A		
	My supervisor and I have a good working relationship.	3.89	4.14		
	My coworkers and I have a good working relationship.	3.68	4.23		
	Managers/supervisors and employees trust each other.	2.47	N/A		
	Employees treat each other with respect.	3.21	3.92		
Compensation	I am satisfied with my overall compensation.	3.37	3.29	3.50	3.30
	I am compensated fairly relative to my local market.	3.63	3.31		
Benefits	I am satisfied with my total benefits package.	3.53	3.43	3.66	3.65
	I am satisfied with the healthcare-related benefits offered by my organization.	3.79	3.46		
	I am satisfied with the amount of paid leave offered by my organization.	3.89	3.57		
	I am satisfied with the retirement plan offered by my organization.	3.95	3.46		
	I am satisfied with the workplace flexibility offered by my organization.	3.32	3.93		
	My organization has a safe work environment.	3.47	4.08		
Work Environment	I am satisfied with my overall job security.	3.63	3.85	3.48	3.90
	My organization's work positively impacts people's lives.	4.26	4.13		
	My organization operates in a socially responsible manner.	3.42	4.02		
	My organization's fiscal well-being is stable.	3.37	3.75		
	I am satisfied with the culture of my workplace.	2.84	3.76		
	I understand how my work impacts the organization's business goals.	3.79	N/A		
	My organization is dedicated to diversity and inclusiveness.	3.05	N/A		



## Appendix B – 2017 Climate Assessment



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## Employee Climate Report

Prepared by:

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[www.futuresense.com](http://www.futuresense.com)





FutureSense, LLC

September 2017

### **DISCLAIMERS AND CONFIDENTIALITY**

This report has been produced independently by FutureSense, LLC ("FutureSense"). at the request of Las Gallinas Valley Sanitary District ("LGVSD"). The contents of this report are confidential, and the LGVSD board retains the property rights to the report.

FutureSense has prepared the information, statements, statistics and commentary contained in this report after participating in a discovery process including interviews, document review, an electronic survey, etc. FutureSense does not express an opinion as to the accuracy or completeness of the information provided to them, the assumptions made by the parties that provided the information or any conclusions reached by those parties. The information used in this report has not been subject to an independent audit.

FutureSense does not purport to be a legal, tax, or accounting counsel. Nothing in this document should be construed as employment, tax, financial or legal advice and/or opinions. All recommended actions contemplated should be reviewed with appropriate counsel.

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## **Employee Climate Report**

October 10, 2017

Prepared by FutureSense, LLC

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## I. Executive Summary

In June of 2017, the Las Gallinas Valley Sanitary District (LGVSD) partnered with FutureSense to go through a discovery process to explore the current state of the “human capital” practices, assess the organizational climate, as well as to provide recommendations on how to improve human capital practices.

FutureSense took a holistic approach to exploring these practices through the lens of the employee life cycle seen below:



## Findings

LGVSD staff have a lot to like about their work – they like the work they do, the peers they work with, serving the public, and finding a new challenge each day they come to work. And while this is a great foundation for a strong workplace, there are also some significant challenges reported by the staff.

- **Climate of Distrust & Fear** – Throughout the discovery process in interviews with Directors and Staff, the word “fear” or “afraid” was heard frequently and regularly. There appears to be a strong undercurrent of distrust and fear throughout the entire organization that has evolved over time, and at all levels. Therefore, while staff enjoy working with one another, they also have a heightened sense of fear from leadership and past experiences of passive retaliation.
- **Professional Communication & Channels** – A lack of professional and courteous communication exists at all levels in the organization. In addition, the communication channels are heavily dependent on just one liaison (the General Manager) between the staff and board (and vice versa), causing much information to be lost in translation.
- **Role of HR** – After a review of the policies, practices, and the structure of HR, as well as interviews, there are concerns about the efficacy of HR to operate as an independent party to represent the needs of, and advocate for all employees. In addition, the General Manager has significant unilateral power in overseeing a majority of all HR practices.
- **Governance Guardrails** – Additionally, the FutureSense team discovered a lack of governance “guardrails” through processes, procedures, and policies to monitor the human performance (not operational performance) of LGVSD.

Our report presents a significant number of findings, as well as recommendations to build tools, processes, procedures and educational opportunities to try and move the LGVSD staff from merely surviving to thriving. Ultimately the board’s goal is to create a strong organizational culture at LGVSD to ensure that the best and brightest employees stay and grow with the organization and help the local community thrive in the long-term.

## II. Background

In June 2017, FutureSense was contacted by Las Gallinas Valley Sanitary District about the possibility of doing discovery work. The board had concerns about an increase in turnover and the filing of several employee complaints and reports against the General Manager (“GM”) of LGSVD. The board indicated that it was essential to hear from staff and leaders themselves, as well as to identify clear responses and solutions to help the staff get “unstuck”. They wanted this work done by an independent and neutral third party.

On June 8<sup>th</sup>, FutureSense met with the board and presented a methodology for this type of work. After answering questions from the board, FutureSense moved forward with providing a contract which was revised and finally signed in late July. The proposed methodology of work from the original proposal was as follows:

### Phase I: Assess

The first step in the process is to conduct a discovery into the culture, communication, leadership dynamics, and the employees’ reception to change. Process is as follows:

1. Interviews – Our team will conduct a 1-hour interview with your key leaders, managers, and supervisors. These will be scheduled in-person or over the telephone based on scheduling availability. In addition, staff level interviews will be available for those who request it. These 30-minute interviews will be scheduled during an additional one-day period in which we will have two consultants on site.
2. Employee Focus Group – 1-2 focus groups will be conducted with staff to garner the employee perspective from front line staff.
3. Current Employee Survey – All staff and leaders will be asked to participate in a survey. This will provide a qualitative and quantitative assessment of the climate, gathering additional feedback beyond the personal interviews and focus groups. We find that piggybacking the survey to the interviews and focus groups allows for greater clarity and

information to supplement the interview process.

4. Past Employee Survey and Interviews – In order to capture historical data from employees who have recently left the organization, we will deploy a survey to get feedback that will serve as an “exit interview” type assessment to get data to help inform the recommendations. For those past employees who would like to provide more information beyond the online survey, a separate phone interview can be scheduled. These 30-minute interviews will be scheduled during a one-day period with one of our consultants.

### **Phase II: Align**

In Phase 2, our team will aggregate the results from Phase 1: Assess, and provide recommendations. This will come in two forms:

1. Recommendation Report – Our team will put together a report that includes a summary of our findings, as well as a series of recommendations to help improve the climate and communications for all levels of staff and leadership at LGVSD in both the short-term and long-term. Our recommendations will be mindful of finding reporting mechanisms and channels to help the board stay abreast of the opportunities and challenges within the organization. Some of these recommendations could include: training, communication tools and channels, change management tools, coaching, etc.
2. Presentations – In addition, to the written report, members of the FutureSense team will present our findings and recommendations to each the board, as well as all staff.

### **Phase III: Act**

The third phase in this project would be executing against the recommendations from Phase II. Due to the unknown nature of the discovery, pricing for this part of the project would be determined after Phase 2 is completed.





This report presents our findings and recommendations from Phase I and II only.

### III. Methodology

In July and August 2017, the FutureSense team conducted a discovery process that included the following steps:

1. **Document Review** – FutureSense was provided with a series of historical documents from the board pertaining to related personnel matters. FutureSense also received and reviewed the Personnel Policy and Procedures (both old and new), an organizational chart, etc.
2. **Employee Survey** – From July 31<sup>st</sup> until August 4<sup>th</sup>, all employees were sent a link to an “Employee Climate Survey” to participate in and provide anonymous feedback to the team about their experiences and perceptions about working at LGVSD. Nine-teen (19) LGVSD employees responded to the survey and their responses were recorded through the online system provided for the appraisal. Additionally, we used a comparative benchmark, provided by SurveyMonkey, of similar organizations to assist our assessment of LGVSD.
3. **Interviews** – Over a period of two weeks, FutureSense interviewed the managers, supervisors, and staff at LGVSD. In addition, 4 former employees participated (although all former employees were invited to participate).
4. **Local Agency Research** – As a part of our diligence, the FutureSense team also researched local like-size agencies to understand their organizational structure, policies, and reviewing other job descriptions for similar roles at LGVSD.

#### Timing

The discovery process took place utilizing the following timeline and milestones:

Deliverables/Project	Timeframe
Review Documents	7/19 - 8/28
Electronic Survey	7/31 - 8/3
Interview Managers, Supervisors, and Staff	8/10 - 8/11
Former Employee Interviews	8/14 - 8/20



Data Analysis and Reporting

8/10 - 9/15

Present Findings to Board and Staff

9/26 - 10/3

## IV. Findings

A note about the findings in this report - the statements and findings in this report are indicative of themes we discovered. We use the following definitions during discovery:

Category	Definition
<b>Interesting</b>	1-2 individuals noted or commented on an issue. These were considered individual perspectives and NOT included in this report
<b>Findings</b>	These were consistent themes heard across various departments and levels within the organization and had substantial examples to support the claims. There may not have been total consensus in every interview, but the theme came through clearly in a majority of the interviews, as well as the survey data. These ARE included in this report.

To protect confidentiality, we did not include every example or produce every piece of evidence offered as it would compromise the confidentiality of the participants.

### Positive Findings – Why People Show Up & Where They are Engaged

Prior to jumping into the four major areas of challenges we discovered, we also found some positive things about the employees at LGVSD. As FutureSense engaged with the staff, the team worked to also find out what the staff liked best about working at LGVSD.

#### *Relationships with Colleagues and Coworkers*

Both quantitatively through the survey, as well as qualitatively with the interviews, staff indicated their satisfaction in working with their colleagues. Most reported that the relationships with their colleagues, not supervisor(s), was very transparent, effective and fulfilling. Many people reported that they enjoyed working with their colleagues each day. The survey scores matched or exceeded industry benchmarks. (Scores are reported on a 5-point scale).

Survey Statement	LGVSD	Benchmark
My coworkers and I have a good working relationship.	4.47	4.24
Employees treat each other with respect.	3.84	3.89
Employees here always keep going when the going gets tough.	4.16	3.87



*Compensation & Benefits*

FutureSense typically finds that compensation and benefits is one of the lowest areas of satisfaction with organizations. At LGVSD, however, the staff reported being highly satisfied with their compensation and benefits in both interviews, as well as exceeded industry benchmarks of satisfaction for compensation for like-organizations in the survey data. Employees indicated compensation and benefits being a strong reason they stay at LGVSD.

Survey Statements	LGVSD	Benchmark
I am satisfied with the healthcare-related benefits offered by my organization.	4.32	3.42
I am satisfied with the amount of paid leave offered by my organization.	4.16	3.50
I am satisfied with the retirement plan offered by my organization.	4.21	3.35
I am satisfied with my overall compensation.	4.00	3.27
I am compensated fairly, relative to my local market.	4.05	3.25

*Type of Work*

Employees reported satisfaction in the type of work they do each day. Most reported that they really enjoy doing their assigned work, the challenges changed daily which kept the work engaging and interesting, and they thoroughly enjoy being in service to the public. The data from the survey reinforced these statements as well.

Survey Statements	LGVSD	Benchmark
I feel completely involved in my work.	3.37	4.07
I am often so involved in my work that the day goes by very quickly.	3.68	4.10
I am determined to give my best effort at work each day.	4.26	4.45

When at work, I am completely focused on my job duties.	3.79	4.17
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Data about employee motives in the U.S. workforce shows us that the top two reasons employees leave their jobs are because of their relationship with their manager and their relationships with their peers. While there may be some challenges at LGVSD that we will outline further into the report, we see a strong commitment of LGSVD to their colleagues and peers, as well as a commitment to public service and an overarching satisfaction in doing interesting work.

### Current Challenges: Areas to Improve

Our findings from the discovery process regarding areas to improve have been categorized in the following quadrants: Climate of Distrust & Fear, Professional Communication & Channels, Role of HR, and Governance Guardrails.



*Climate of Distrust & Fear*

As previously noted, employees reported a high level of satisfaction with their coworkers, there is, however, a high level of distrust towards leadership. Both the employee interviews and the survey reinforced this.

In the survey, questions about trust and culture scored incredibly low, reporting at half the benchmark scores on some.

Survey Statement	LGVSD	Benchmark
Managers/supervisors and employees trust each other.	1.74	3.42

I am satisfied with the culture of my workplace.	1.58	3.75
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The beginning of the interviews was the first indicator of the culture of distrust and fear. FutureSense conducts such discoveries frequently and regularly engages in interviewing staff and leaders; the amount of anxiety, stress, and fear communicated by the staff was far higher than is typically seen. Significant reassurances about confidentiality were needed from the FutureSense team (beyond our typical practice) to move forward with the interviews.

Liz Ryan of Bloomberg Businessweek published an article in 2010 documenting the signs that an organization has succumbed to a culture of fear.<sup>1</sup> The symptoms they outlined include:

1. Appearances are everything
2. Everyone is talking about who’s rising and who’s falling
3. Distrust reigns
4. Numbers rule
5. Rules are in the thousands
6. Management considers lateral communication suspect
7. Information is hoarded
8. Brownnosers rule
9. Management leads by fear

Throughout our interviews (as well as the employee survey data) indicated these rules are prevalent at LGVSD. In particular, the ones that came up the most:

1. Rules, Rules, Rules – While the Personnel Policies and Procedures were recently revised (both versions were reviewed by FutureSense), staff reported an incredibly long list of additional rules outside the standard policies and procedures. When problems arise, rules, rather than dialogue are the response to “fix” the situation. Some examples of these rules as reported by a large portion of staff: locks and lack of accessibility to certain areas, variances in break rules, etc. In addition, rules and

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<sup>1</sup> [http://www.nbcnews.com/id/38206989/ns/business-us\\_business/t/ten-signs-you-work-fear-based-workplace/#.VQrr2kLHiyM](http://www.nbcnews.com/id/38206989/ns/business-us_business/t/ten-signs-you-work-fear-based-workplace/#.VQrr2kLHiyM)



policies were reported to be created on the spot or very quickly and only communicated to individual employees and enforced on individuals or small employee groups. Specifics will not be recounted as they would identify employees, however, this behavior and clear examples were regularly reported throughout our discovery.

2. Management Considers Lateral Communication Suspect – Employees acknowledged that gossip abounds at LGVSD, however, there were numerous reports of policies, procedures, and informal practices to prohibit, limit and also seek to monitor or limit employee to employee communication.
  
3. Information is Hoarded – When asked about large-scale decision making on projects, the overall sense was that the “protocols” for soliciting feedback were taking place (i.e., having a meeting to explain or discuss). However, the quality of the communication and the level of information received was not adequate to do effective project planning and long-term prioritizing by operational staff. Numerous staff reported that the times staff received quality of information needed to work, as well as had grounds to provide feedback was when there were external players (such as consultants) who were driving the decisions and facilitating project and/or decision-making meetings.
  
4. Rising and Falling – Staff readily acknowledged a culture of gossip and a “swirl” of negativity. Almost all of them quickly owned their piece in it, but in this part of the discovery, it became clear that this discussion of power and control and the intense level of gossip is erupting from the strong distrust and fear the employees feel. People were essentially “in” and “out” of power regularly, and individual actions could quickly move the meter on where employees stand.
  
5. Retaliation – The word retaliation came up in almost every single interview. Staff fear to say or do anything because there has been a history of passive aggressive retaliation through creating road blocks in the work to be done, unfair performance reviews, staff being ignored, etc. Evidence of small incidences of passive aggressive retaliation were given throughout all levels of the organization, as well as across departments.



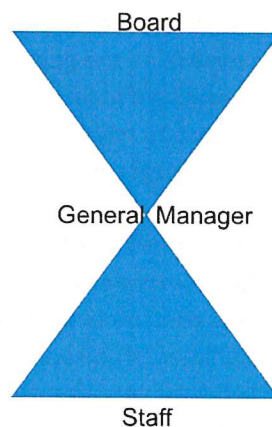
Finding such a strong climate of distrust, FutureSense also spent time assessing the threshold for change amongst staff. Essentially, FutureSense explored their tolerance for and willingness to try and start from scratch in their relationship with the leadership if things would change. Overall a resounding and flat “no” was the response – indicating staff feel too much damage has been done in the relationship thus far.

*Professional Communication & Channels*

In both the survey, as well as employee interviews, communication practices were a frequent point of dissatisfaction. In the employee survey, the score for satisfaction between senior leaders and employees was well below the industry benchmark.

Survey Statement	LGVSD	Benchmark
Communication between senior leaders and employees is good in my organization.	1.63	3.42

Per the feedback of the staff, as well as a review of the organizational chart, the current organizational and operational structure from the board of LGVSD to the staff by sheer numbers looks like an hourglass (see below).



Communication appears to flow in this hourglass pattern and staff repeatedly indicated that both upward and downward communication from the board came solely from and through the General Manager. In governance, having a “leader” or executive as the go between is typically a good practice to safeguard the board from micromanaging, as well as keeping the staff focused on operations. This, however, operates functionally when the leader is an effective communicator and the board has strong communication practices established, otherwise the result is communication bottlenecks – as we see here.

1. Filtered Upward Communication – From the staff’s perspective information is frequently filtered or modified when it is going to the board – particularly about risks and potential failures. A myriad of examples was provided about staff trying to give feedback to the board including reports, pictures, and documentation and the General Manager modified it or edited the information to minimize the level of risk or not report it altogether.
2. Limited Decision Making – With extremely limited communication from the board to the staff and vice-versa, and a strong culture of distrust and fear, many, if not most, decisions are made in a vacuum and are frequently made at the discretion of the General Manager with minimal staff input. When pushed for explanations, examples included that decisions were made hastily without enough time for adequate review, not including feedback from all stakeholder perspectives, etc. The exception to this problem, however, was that decisions were made more thoroughly when a vendor or consultant was guiding the process.
3. Lack of Professional Communication Practices – The staff acknowledged their role in participating in unprofessional communication, and it appears that there is a lack of professional communication and decorum within the workplace amongst all parties. Gossip, “watercooler” conversations and general griping, “snarkiness” and rudeness were pervasive and openly admitted at all levels. When asked about the effective use of conflict management techniques to resolve conflicts and disagreements rather than turning to gossip, few to no examples were provided.
4. Negative/Constructive Feedback – With a lack of conflict resolution abilities, negative or constructive feedback yields unintended and/or unprofessional consequences at LGVSD. Staff noted that if negative or constructive feedback was given there was a strong sense of retaliation. The retaliation mentioned was passive and included either being ignored by the receiving party of said feedback after the interaction, or the pendulum would swing the other way and projects would be suddenly micromanaged. In addition, various examples of passive retaliation were given such as changing criteria in a performance review or changing performance review scores as retaliation.

### *Role of HR*

As we assess HR, FutureSense categorizes the types of HR practices into specific buckets. For our reference, we use the following “buckets” for specific activities. These three buckets include transactional, tactical, and strategic HR practices. We assessed the HR practices and

competencies in each of these buckets.

Transactional	Tactical	Strategic
<ul style="list-style-type: none"> <li>•Benefits Administration</li> <li>•Onboarding</li> <li>•Payroll</li> <li>•Timecards &amp; Timesheets</li> <li>•PTO</li> <li>•Filing Performance Reviews</li> </ul>	<ul style="list-style-type: none"> <li>•Compensation Decisions</li> <li>•Talent Acquisition</li> <li>•Training &amp; Development</li> <li>•Workforce Planning</li> <li>•Personnel Matters</li> <li>•Policy Enforcement</li> <li>•Engagement</li> <li>•Performance Management Oversight</li> </ul>	<ul style="list-style-type: none"> <li>•Succession Planning</li> <li>•Leadership Development</li> <li>•Organizational Design</li> <li>•Performance Metrics - Define &amp; Monitor</li> <li>•Policy Needs</li> </ul>

1. Transactional HR – At a transactional HR level, LGVSD has an adequately skilled and effective staff. Staff had no complaints about the transactional efforts in benefits administration, onboarding, payroll practices, etc. The Administrative Services Manager was spoken highly of in terms of being responsible for and effectively managing the transactional HR processes.
  
2. Tactical HR – While it appears there is staff capacity to manage human resource operations at a transactional level, there appears to be limited to no staff with expertise in human resources management at the tactical level. Through a review of policies and procedures, it appears that the General Manager (and in some cases with input from the board) has the responsibility for most of the operationalizing of the tactical HR practices. It does appear that the Administrative Services Manager does sometimes assist in the tactical efforts as well. For the most part, there is unilateral responsibility at the discretion of the GM for these processes.

Neither individual appears to have extensive experience and/or training in the management of the responsibilities for tactical HR. Due to the lack of bandwidth to address some of these issues (particularly personnel matters), legal counsel is heavily relied upon to assist in such matters.

3. Strategic HR – When asked about responsibilities for the strategic HR decisions, it appears some of these actions are not taking place and/or the board has responsibility for such decisions with reliance on the General Manager to execute in these areas.



FutureSense also researched similar local organizations to identify their policies and structure (where we could find the information publicly available) and found that there were similar structures compared to those currently existing at LGVSD.

In this same discovery, we also found that some of the organizations with similar structures are also facing some of the challenges and pain points that are occurring at LGVSD. These challenges include:

1. Lack of Confidentiality – Numerous examples confirmed that individuals have gone to either the General Manager or the Administrative Services Manager to discuss a confidential personnel matter and within hours or days this confidential information was shared with others in the organization. There were also multiple examples of individuals going to the current operational head of HR (Administrative Services Manager) discussing confidential matters with the General Manager or the reverse with the General Manager discussing confidential matters with the Administrative Services Manager. This regular and frequent communication between the GM and Administrative Services Manager has left employees without a neutral party to hear and investigate personnel matters in the organization.
2. Inconsistent Performance Reviews – Staff noted that the performance management process is inconsistent. Multiple examples of feedback or comments inserted about work outside the scope of the role were given. (Note: This was not validated by doing a separate investigation to confirm, and was anecdotal, but was mentioned frequently). In addition, if staff have concerns about the validity of their performance review or if they disagree about it, the only avenues are to write a rebuttal (and it goes into the employee file) or work with an attorney or file a grievance with the staff. In most organizations, there is an HR manager or generalist that is a neutral 3<sup>rd</sup> party to help the manager and employee come to an agreement on concerns or discrepancies.
3. Escalation Through Attorneys – Because of the lack of trained staff to manage personnel issues, and the lack of a “neutral party”, LGVSD frequently leverages attorneys to handle personnel matters or tactical HR issues. Many of these issues do not need an attorney to review, but merely a professional and experienced HR



individual. When an issue might be a 3 on a 10-point scale (meaning it's important, but not employment ending or necessitating legal action), escalating to attorneys can escalate the sense of severity and create an 8 out of 10 response. This can leave employees with a sense that their issues must be an emergency, or a sense of fear of having attorneys involved for minimal to moderate personnel issues and/or concerns.

4. Checks and Balances – In a review of the Personnel Policies and Procedures, it appears as though there is a significant amount of unilateral power granted to the GM in HR matters. For example, the GM is involved in or responsible for:
  - a. Examination process (hiring)
  - b. Selection process (making offers)
  - c. Annual evaluations (including employee rebuttals)
  - d. Authority to demote, suspend and/or reduce pay, handle investigations, requests for reasonable accommodations
  - e. Etc.

While LGVSD is a small organization, there should be a role is fully trained and completely outside the reporting structure of the GM to provide a series of checks and balances to the unilateral power that currently exists.

For any organization, the role of HR is both incredibly valuable, and also difficult to identify the “proper” placement and reporting structure. When researching other similar entities in the area, we found that the structure and placement of HR reporting to the GM and Administration Services is fairly standard. That said, we also found several incidences where there had been similar challenges faced by other boards in terms of accountability, efficacy of HR, etc.

### *Governance Guardrails*

When reviewing governance practices, it appears that there are not a lot of mechanisms, tools or processes for the board to monitor the human capital and human performance of LGVSD on a regular and ongoing basis.

1. Lack of Accountability – While there is currently regular reporting to the board on the operations within LGSVD, a gap currently exists in reporting on the performance of the

human capital (the people). As noted in the *Professional Communication & Channels* section of this report, there is a heavy reliance on the General Manager and their good faith efforts to report up risks, challenges, etc. to the board. There are no metrics or measures to provide such feedback regularly and continuously. The closest form of measurement comes from the GM's performance review in which the board assesses the "Overall Leadership of the Organization" and "Personal Communication" with no clearly stated definitions or standards.

2. No Upward Feedback on Performance – As a part of good governance practices, many boards solicit anonymous and collective feedback from the executive's direct reports as a part of the performance review process. This does not take place at LGVSD. There is also no employee engagement survey or other mechanism for providing upward feedback about the day-to-day operations from the perspective of the staff.

## V. Recommendations

Based on the findings, FutureSense has pulled together recommendations for each of the main areas of challenge.

### *Climate of Distrust & Fear*

As noted in the findings, there is a strong sense of commitment to colleagues and the work being done at LGSVD, but the positive cultural “undercurrent” is currently clouded by a climate of distrust and fear. In order to unearth the positive culture that is currently “sitting under the fog” we strongly recommend the following actions:

#### **Recommendation 1**

While LGSVD is under 50 employees, meaning it is not required by law to provide anti-harassment training, given the culture of fear and mistrust, it would be a good faith effort to provide such training. This would promote a healthy and productive work environment if this was offered to all staff and managers and supervisors.

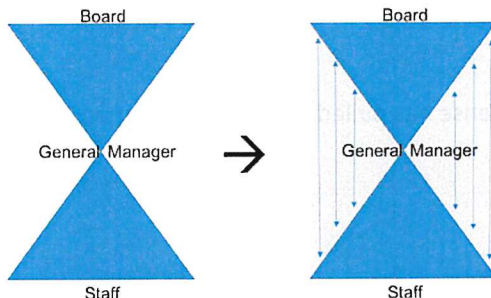
#### **Recommendation 2**

Key leaders, particularly the General Manager, should develop accountability through the use of a coach to provide feedback on communication style and behaviors that may be unintentionally building a culture of distrust or fear.

### *Professional Communication & Channels*

Part of course correcting a culture of distrust and fear comes by building strong communication management practices. As noted previously, the current communication channel functions as an “hourglass” of types with the GM in the middle. While we understand the value in this to ensure the board and staff have some separation, there are things the board can do to develop open

communication channels with the staff. The board should find ways to creatively stay in a governance modality, while also engaging in communication in the “gray zone” in the graphic below.



**Recommendation 3**

One way to open these communication channels with the staff is to engage with the staff in an annual strategic planning session. The board can host an off-site session with either all of the staff or at least the entire management team, to share the strategic plan, allow time for updates from staff members (not just the GM) about last year’s progress and get feedback on strategy for next year. While trying to repair relationships and build trust, and in order to maintain proper boundaries, we strongly suggest a facilitator be used for such an event.

**Recommendation 4**

At all levels, LGVSD staff and leaders acknowledged participating in unprofessional communication practices. Employees appear to have a lack of understanding regarding professional communication. Employees seem ill-equipped to handle basic professional interpersonal communication, as well as understand and actually use interpersonal communication and conflict management techniques. We strongly recommend training

be implemented for these skills. One course should be for managers and supervisors, and another for the staff.

**Recommendation 5**

The Board can work to manage downward communication with the staff by putting together a Board newsletter to staff (either on paper or via the intranet). This would allow the board to regularly communicate with the staff about organizational successes, mission, vision, policies, etc.

As LGSVD moves into a new era of operations and behavioral standards, the communications vehicle can be used to address: how we take on projects, cultural behavioral interactions, goals, etc. Other opportunities can include: highlighting customers, star employees, policies and/or policy changes, etc.

*Role of HR*

As noted previously, the structure of HR and the assignment of roles and responsibilities at LGVSD is industry standard. However, it appears that this arrangement is not working effectively, and other organizations are starting to show similar pain points. While these recommendations may deviate from industry standard may allow LGVSD to be an industry leader in creating a new, more effective industry standard.

The model for HR recommendations and considerations still hinges on the categorization of HR practices into the following 3 buckets. While transactional HR activities seem to be working effectively, there are concerns about tactical and strategic HR operations need improvement.



Transactional	Tactical	Strategic
<ul style="list-style-type: none"> <li>•Benefits Administration</li> <li>•Onboarding</li> <li>•Payroll</li> <li>•Timecards &amp; Timesheets</li> <li>•PTO</li> <li>•Filing Performance Reviews</li> </ul>	<ul style="list-style-type: none"> <li>•Compensation Decisions</li> <li>•Talent Acquisition</li> <li>•Training &amp; Development</li> <li>•Workforce Planning</li> <li>•Personnel Matters</li> <li>•Policy Enforcement</li> <li>•Engagement</li> <li>•Performance Management Oversight</li> </ul>	<ul style="list-style-type: none"> <li>•Succession Planning</li> <li>•Leadership Development</li> <li>•Organizational Design</li> <li>•Performance Metrics - Define &amp; Monitor</li> <li>•Policy Needs</li> </ul>

**Recommendation 6**

Conduct an audit of roles and responsibilities in the new policies and rebuild the approach to ensure a greater system of checks and balances for HR to move from unilateral decision making by the GM. This may mean restructuring roles and responsibilities.

**Recommendation 7**

After an audit, the responsibilities and reporting structure of HR should be re-evaluated. Consider placement and responsibilities of Tactical and Strategic HR practices in a way that is neutral and has accountability to the board. In some smaller organizations, we have seen a high-level generalist who reports to both the GM and a dotted line to the Board of Directors. This dotted line is not just for serious situations, but also for regular check-ins with the board and to keep the lines of communication open, all while ensuring all power is not with one person alone.

*Governance Guardrails*

At the end of the day, it appears the board, managers, and staff all agree that this situation has escalated to a point that has caused organizational disruption, and will continue to do so while course correcting. FutureSense recommends that the board consider some strong guardrails to be put in place to ensure that the organizational culture never gets to this point again. Instead, several practices can be put into place to help monitor and manage any warning signs before things escalate to this level again.

#### **Recommendation 8**

Develop a series of metrics to assess the organizational health of LGVSD and build a scorecard for the GM to report on regularly (i.e., semi-annually or quarterly). This scorecard will be comprised of Key Performance Indicators (“KPI’s”) that the board determines are critical to measure the “human performance” of LGVSD. Some metrics can include: absenteeism rates, average tenure, termination rates by type (involuntary and voluntary), training cost per employee, internal promotions vs. external hires, employee engagement scores, etc.

#### **Recommendation 9**

Consider building a leadership model with the board and management staff at LGVSD. A strong leadership model will create behavioral standards for the behaviors that leadership and the Board determine to be essential to lead LGVSD both now, and in the future. These standards will be used for all leaders and managers in the organization. While this is useful to assess LGVSD leadership year over year, it also provides a strong set of competencies to screen against when hiring externally.

#### **Recommendation 10**

As a part of this process, FutureSense conducted an “Employee Climate Survey” to give

a perspective on the state of employees' perceptions (See Appendix A for full results). In this survey, we included some industry benchmarks. Conducting a similar survey year over year will allow identification of areas to develop action plans and concrete steps to improve scores, as well as to measure growth against actions to see long-term improvements.

**Recommendation 11**

Review the General Manager performance review template and process. The form that is currently used has little to no definition or behavioral criteria to measure against. In addition, the Board should seek to get upward feedback from the staff on the performance of the General Manager on a regular basis to look for wins, as well as see red flags in performance as they arise and address them before they escalate.

**Recommendation 12**

Another consideration is for the Board to take some dedicated training and invest in education on governance practices relating not just to effective operations, but effective governance practices of human capital management.

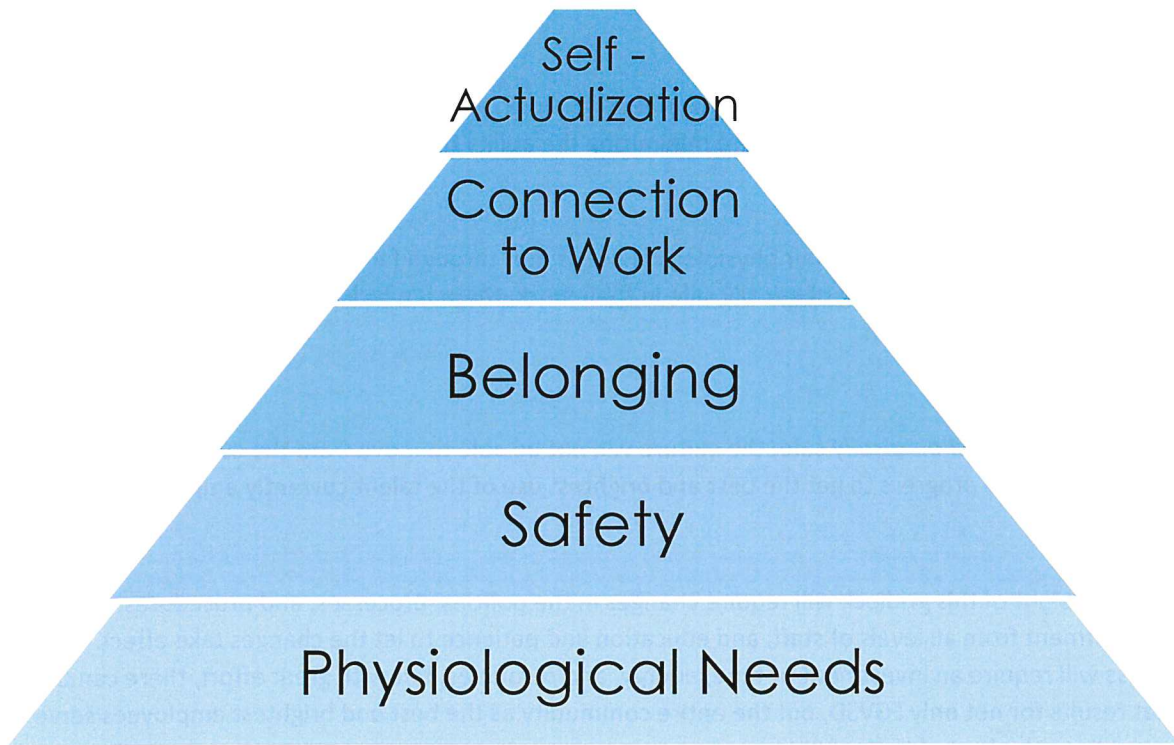
## VI. Conclusion

The holistic perspective of LGVSD is currently one of gridlock. Staff feel stuck in a climate of fear, and the processes, policies, and structures are minimizing the ability to move forward.

While employees felt they had their physiological needs met through fair compensation and benefits, and most staff reported feeling physically safe in their work, there is a lack of psychological safety that is pervasive in the organization.

Without feeling *psychologically safe*, the culture will not be able to move from the current state of gridlock and make progress to get the best and brightest use of the talent currently employed at LGVSD.

To progress out of this gridlock will require changes in the policies, processes, and procedures of LGVSD; a commitment from all levels of staff; and education and patience to let the changes take effect. Success will require an investment of time, energy, and resources, but with great effort, there can be great results for not only LGVSD, but the entire community as the best and brightest employees serve the public to the best of their abilities.





## Appendix:

# Overall Online Survey Results



**CONFIDENTIAL**

**NOT FOR DISSEMINATION**

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**Subject:** 2017 Employee Climate Assessment

**Date:** August 30, 2017

The Las Gallinas Valley Sanitary District (LGVSD) questionnaire was conducted as part of the discovery process to assess the culture and communication practices of the organization.

This summary is divided into five sections.

- A. Methodology
- B. Average Scores for LGVSD Versus SurveyMonkey Benchmark

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## **A. Methodology**

From Monday, July 31 until Thursday, August 3, an online survey was sent out to 20 employees to assess the culture and communication practices of LGVSD. The survey included forty-one (41) scaled qualitative questions. The questions were derived to provide the opportunity for anonymous feedback to assess the cultural climate and as a preliminary tool to the interview process that had occurred in the following weeks.

Each question allowed for a response on a five-point scale, including:

- Strongly Disagree (1)
- Disagree (2)
- Neutral (3)
- Agree (4)
- Strongly Agree (5)

Nine-teen (19) LGVSD employees responded to the survey and their responses were recorded through the online system provided for the appraisal. Additionally, we used a comparative benchmark, provided by SurveyMonkey, of similar organizations to assist our assessment of LGVSD.

**B. Average Scores for LGVSD versus SurveyMonkey Benchmark**

To compare the LGVSD scores versus the SurveyMonkey Benchmark, we calculated the point difference by subtracting the SurveyMonkey Benchmark to the LGVSD score.

Example: "I feel completely involved in my work."

SurveyMonkey = 4.07; LGVSD = 3.37 →  $4.07 - 3.37 = 0.7$

Color	Alert Level	Point Difference
Green	No alert	Less than 0.5
Yellow	Alert	0.5 - 0.74
Red	High alert	Greater than 0.75



LGVSD Benchmark			LGVSD Benchmark		
Career Development	3.17	3.55	I am satisfied with my opportunities for professional growth.	3.00	3.57
			I am pleased with the career advancement opportunities available to me.	3.11	3.44
			My organization is dedicated to my professional development.	3.11	3.59
			I am satisfied with the job-related training my organization offers.	3.47	3.47
			I am satisfied that I have the opportunities to apply my talents and expertise.	3.05	3.82
			I am satisfied with the investment my organization makes in training and education.	3.26	3.43
Work Engagement	3.48	3.89	I am inspired to meet my goals at work.	3.16	4.00
			I feel completely involved in my work.	3.37	4.07
			I get excited about going to work.	2.00	3.69
			I am often so involved in my work that the day goes by very quickly.	3.68	4.10
			I am determined to give my best effort at work each day.	4.26	4.45
			When at work, I am completely focused on my job duties.	3.79	4.17
			In my organization, employees adapt quickly to difficult situations.	3.58	3.65
			Employees here always keep going when the going gets tough.	4.16	3.87
			Employees proactively identify future challenges and opportunities.	3.21	3.56
			Employees in my organization take the initiative to help other employees when the need arises.	4.11	3.91
			Employees here are willing to take on new tasks as needed.	3.58	3.80
			Employees in my organization willingly accept change.	2.89	3.44
Compensation	3.23	3.31	I am satisfied with my overall compensation.	4.00	3.27
			I am compensated fairly relative to my local market.	4.05	3.25
Relationship Management	2.91	3.81	Communication between senior leaders and employees is good	1.63	3.42
			I am able to make decisions affecting my work.	2.58	3.88
			Managers and supervisors within my organization recognizes	2.63	3.61
			My supervisor and I have a good working relationship.	3.47	4.16
			My coworkers and I have a good working relationship.	4.47	4.24
			Managers/supervisors and employees trust each other.	1.74	3.45
Benefits	3.80	3.65	Employees treat each other with respect.	3.84	3.89
			I am satisfied with my total benefits package.	4.16	3.38
			I am satisfied with the healthcare-related benefits offered by my	4.32	3.42
			I am satisfied with the amount of paid leave offered by my	4.16	3.50
			I am satisfied with the retirement plan offered by my	4.21	3.35
Work Environment	3.16	3.93	I am satisfied with the workplace flexibility offered by my	2.58	3.90
			My organization has a safe work environment.	3.74	4.10
			I am satisfied with my overall job security.	3.42	3.78
			My organization's work positively impacts people's lives.	3.84	4.13
			My organization operates in a socially responsible manner.	3.37	4.01
			My organization's fiscal well-being is stable.	2.95	3.69
			I am satisfied with the culture of my workplace.	1.58	3.75
			I understand how my work impacts the organization's business	4.16	4.24
My organization is dedicated to diversity and inclusiveness.	2.79	3.90			



Agenda Item 4A  
Date January 9, 2020

Las Gallinas Valley Sanitation District  
Warrant List 1/9/2020 Draft

	Date	Num	Vendor	Original Amount	Addition and Adjustment	Total Amount	Description for items
1	1/9/2020	EFT1	ADP	105,733.13		105,733.13	01/03/2020 Payroll
2	1/9/2020	N/A	Accountemps	9,606.08		9,606.08	Clerical help/ Admin & AP Week Ending 11/22, 11/27 & 11/29
3	1/9/2020	N/A	All Star Rents	2,070.80		2,070.80	Tractor Rental (Bobcat)
4	1/9/2020	N/A	AT&T	3,369.01		3,369.01	Phone Bill for various pump stations
5	1/9/2020	EFT2	Bank of Marin	47,335.64		47,335.64	January Loan Payment - Recycled Water Loan
6	1/9/2020	ACH	Brown & Cadwell	1,364.52		1,364.52	Engineering Services/ Secondary TP Upgrade & RW
7	1/9/2020	ACH	Buck's Saw Services	116.53		116.53	Misc. Parts
8	1/9/2020	ACH	Cal Microturbines	10,878.00		10,878.00	Microturbines
9	1/9/2020	EFT	CalPERS 457 Plan Deferred Comp	4,371.42		4,371.42	Employee 457 Plan
10	1/9/2020	EFT	CalPERS	312.00		312.00	Replacement Benefit Contribution Charge
11	1/9/2020	EFT	Cal PERS Health	27,589.11		27,589.11	CalPERS Health- Active & Employer Retiree share
12	1/9/2020	EFT	CalPERS Retirement	32,761.87		32,761.87	Pension Contribution for 12/5 & 12/20 paydate
13	1/9/2020	ACH	CATS4U	178,342.45		178,342.45	Lower Miller Creek CCO#11, Cattail Removal-Marsh Pond Restoration
14	1/9/2020	N/A	CD & Power	5,919.43		5,919.43	Red Dye Diesel for Potential PSPS
15	1/9/2020	N/A	Centricity GIS	1,500.00		1,500.00	Server move & set up assistance
16	1/9/2020	N/A	Cintas Corporation	125.06		125.06	Safewasher Service & Filter Change
17	1/9/2020	N/A	Comet Building Maintenance	1,260.00		1,260.00	Janitorial Cleaning- Dec 2019
18	1/9/2020	N/A	Contractor Compliance & Monitoring	4,164.00		4,164.00	Labor Compliance Services on various Construction Projects
19	1/9/2020	ACH	Data Instincts	1,165.00		1,165.00	Provide Public Info and Awareness Svcs & Guidance to LGVSD during 2019
20	1/9/2020	ACH	Diego Truck Repair	1,061.62		1,061.62	Ford F-750, Road Service/Labor
21	1/9/2020	EFT	Direct Dental Administrators	662.16		662.16	Employee Dental Services
22	1/9/2020	ACH	Du-All Safety LLC	4,816.00		4,816.00	LGVSD Safety Compliance
23	1/9/2020	N/A	Durkin Signs	993.87		993.87	Parking and Address Signs
24	1/9/2020	ACH	EOA	11,272.22		11,272.22	
25	1/9/2020	ACH	Fontana, Lauren	35.78		35.78	Uber for Lab Vehicle Service - Drop off and pick-up
26	1/9/2020	ACH	Gardeners Guild	1,123.00		1,123.00	Yard Maintenance for January
27	1/9/2020	ACH	Gopher-IT-Trench	10,000.00		10,000.00	Sewer Lateral Replacement - 83 Sunny Oaks Drive
28	1/9/2020	ACH	Grainger	535.92		535.92	Pipe Stand

**Las Gallinas Valley Sanitation District  
Warrant List 1/9/2020 Draft**

	Date	Num	Vendor	Original Amount	Addition and Adjustment	Total Amount	Description for items
29	1/9/2020	ACH	Hazen & Sawyer	2,535.00		2,535.00	On-Call Engineering Services
30	1/9/2020	N/A	Jackson's Hardware	197.70		197.70	Jacket - Asaro, Rodent Traps & Bait
31	1/9/2020	ACH	Jenfitch	33,184.83		33,184.83	Polymer Cert & Copper Control
32	1/9/2020	ACH	Kenwood Energy	1,267.50		1,267.50	Solar Panel Replacement Project
33	1/9/2020	N/A	KYOCERA Documents Solutions	870.31		870.31	Copies, Toner, Parts , Labor - Dec 2019
34	1/9/2020	N/A	Liebert Cassidy Whitmore	2,432.00		2,432.00	Professional Legal Services
35	1/9/2020	N/A	Medical Center of Marin	158.00		158.00	Pre-Employment Physical - P. Amatori
36	1/9/2020	N/A	NASSCO Inc.	295.00		295.00	Public Agency Membership Dues
37	1/9/2020	N/A	Operating Engineers	443.10		443.10	Union Dues Payment
38	1/9/2020	ACH	Orion Protection Services	318.50		318.50	Patrol Services for January
39	1/9/2020	N/A	PG&E	5,996.64		5,996.64	Electricity Billing
40	1/9/2020	ACH	Pease, Greg	250.88		250.88	Cell Phone Reimbursement per Contract
41	1/9/2020	N/A	Rathlin Properties LLC - Need invoice	7,796.00		7,796.00	Rent for Janaury - 101 Lucas Valley Rd
42	1/9/2020	ACH	Redwood Sercuity Systems, LLC	186.00		186.00	Admin & Lab Building Security System Monitoring
43	1/9/2020	N/A	Regional Government Services	4,726.02		4,726.02	Professional HR Services
44	1/9/2020	N/A	Rotork Controls	1,539.68		1,539.68	LCD Assembly Display
45	1/9/2020	N/A	Southern Counties Lubricants	917.26		917.26	Fuel and Oils for Plant
46	1/9/2020	EFT	Sunlife Financial Services	2,087.74		2,087.74	Life Insurance, Addl Life and ADD
47	1/9/2020	N/A	Synectic Technologies	5,731.25		5,731.25	Phones for new Admin Offices
48	1/9/2020	N/A	Terminix	495.00		495.00	Rodent Control
49	1/9/2020	N/A	TPX Communications	639.54		639.54	Phone Services
50	1/9/2020	N/A	United Site Services	828.92		828.92	Porta Potty for Water Shut-Offs/ Construction Workers
51	1/9/2020	N/A	Verizon Wireless Services	1,011.16		1,011.16	Cell Phone Services
52	1/9/2020	EFT	VSP Vision Care	396.15		396.15	Vision Plan for Employees
53	1/9/2020	ACH	WECO Industies	347.44		347.44	Traffic Sign Base, Addl pay from PO
54	1/9/2020	N/A	WRA Inc.	3,449.75		3,449.75	Vegetation Management

Do not change any formulas below this line.

TOTAL \$ 546,585.99 \$ - \$ 546,585.99

**Las Gallinas Valley Sanitation District  
Warrant List 1/9/2020 Draft**

	Date	Num	Vendor	Original Amount	Addition and Adjustment	Total Amount	Description for items
		EFT1	EFT1 = Payroll <b>(Amount Required)</b>	105,733.13		105,733.13	Approval:
		EFT2	EFT2 = Bank of Marin loan payments	47,335.64		47,335.64	
		PC	Petty Cash Checking	0.00		0.00	Finance
		>1	Checks (Operating Account)	0.00		0.00	
		N/A	Checks - Not issued	66,535.58		66,535.58	GM
		EFT	EFT = Vendor initiated "pulls" from LGVSD	68,180.45		68,180.45	
		ACH	ACH = LGVSD initiated "push" to Vendor	258,801.19		258,801.19	Board
			<b>Total</b>	<b>\$ 546,585.99</b>		<b>\$ 546,585.99</b>	

Difference:

\$ -

AGENDA ITEM 4B  
DATE January 9, 2019



## BOARD MEMBER MEETING ATTENDANCE REQUEST

Date: 1/3/2020 Name: Crystal Yezman

I would like to attend the WEF/AWWA Utility Mgmt Meeting  
of WEF/AWWA / Water Research Foundation / WRF

To be held on the 25 day of Feb from \_\_\_\_\_ a.m. / p.m. to  
28 day of Feb from \_\_\_\_\_ a.m. / p.m.

Actual meeting date(s): 2/25/2020 - 2/28/2020 + travel

Meeting Type: (In person/Webinar/Conference) Conference

Purpose of Meeting: Educational / Networking on latest approaches, practices, processes, techniques in utility mgmt

Other meeting attendees: \_\_\_\_\_

Meeting relevance to District: Direct

Frequency of Meeting: 1x/yr

Estimated Costs of Travel (if applicable): Registration, hotel, air fare

Date submitted to Board Secretary: 1/3/2020

Board approval obtained on Date: \_\_\_\_\_

Please submit to the District Administrative Assistant, no later than 2:00 p.m. on the Friday prior to the Board Meeting.

AGENDA ITEM \_\_\_\_\_  
DATE \_\_\_\_\_



## BOARD MEMBER MEETING ATTENDANCE REQUEST

Date: 1/3/2020 Name: Crystal Yezman

I would like to attend the CA WaterReuse 2020 Meeting  
of CA Section of WaterReuse

To be held on the 15 day of March from 8 (a.m./p.m.) to  
17 day of March from 5 a.m. (p.m.)

Actual meeting date(s): 3/15 - 3/17

Meeting Type: (In person/Webinar/Conference) In person

Purpose of Meeting: Educational / Networking on latest  
issues + technologies in water recycling

Other meeting attendees: \_\_\_\_\_

Meeting relevance to District: Direct

Frequency of Meeting: 1x/yr

Estimated Costs of Travel (if applicable): Registration, bridge  
toll, mileage

Date submitted to Board Secretary: 1/3/2020

Board approval obtained on Date: \_\_\_\_\_

Please submit to the District Administrative Assistant, no later than 2:00 p.m. on the Friday prior to the Board Meeting.



AGENDA ITEM \_\_\_\_\_  
DATE \_\_\_\_\_



## BOARD MEMBER MEETING ATTENDANCE REQUEST

Date: 1/3/2020 Name: Crystal Yegman

I would like to attend the Water Reuse 2020 Meeting  
of National Water Reuse Conference

To be held on the 13 day of Sept. from \_\_\_\_\_ a.m. / p.m. to

16 day of Sept from \_\_\_\_\_ a.m. / p.m.

Actual meeting date(s): 9/13 - 9/16

Meeting Type: (In person/Webinar/Conference) Conference

Purpose of Meeting: Educational / networking on  
water reuse laws, policy, funding, research, tech, & public acceptance

Other meeting attendees: \_\_\_\_\_

Meeting relevance to District: Direct

Frequency of Meeting: 1x/yr

Estimated Costs of Travel (if applicable): Registration, hotel &  
travel

Date submitted to Board Secretary: 1/3/2020

Board approval obtained on Date: \_\_\_\_\_

Please submit to the District Administrative Assistant, no later than 2:00 p.m. on the Friday prior to the Board Meeting.

AGENDA ITEM \_\_\_\_\_  
DATE \_\_\_\_\_



## BOARD MEMBER MEETING ATTENDANCE REQUEST

Date: 1/3/2020 Name: Crystal Yezman

I would like to attend the WEFTEC 2020 Meeting  
of Water Env. Federation

To be held on the 3 day of Oct from \_\_\_\_\_ a.m. / p.m. to  
7 day of Oct from \_\_\_\_\_ a.m. / p.m.

Actual meeting date(s): 10/3 - 10/7

Meeting Type: (In person/Webinar/Conference) 3

Purpose of Meeting: Educational / Networking - 200 technical sessions, workshops, facility tours, 1000+ exhibitors

Other meeting attendees: \_\_\_\_\_

Meeting relevance to District: Direct

Frequency of Meeting: 1x/yr

Estimated Costs of Travel (if applicable): Registration, hotel + travel

Date submitted to Board Secretary: 1/3/2020

Board approval obtained on Date: \_\_\_\_\_

Please submit to the District Administrative Assistant, no later than 2:00 p.m. on the Friday prior to the Board Meeting.



Item Number 5

# Agenda Summary Report

**To:** LGVSD Board of Directors  
**From:** Mike Prinz, General Manager *MJP*  
**Mtg. Date:** January 9, 2020  
**Re:** Creation of Board Policy B-20-50  
**Item Type:** Consent  Discussion  Information  Other   
**Standard Contract:** Yes  No  (See attached) Not Applicable

## BACKGROUND

During the Board’s retreat held on November 15, 2019 and December 13, 2019, discussion of policy B-20, Board Member Interaction with Staff, was discussed. Board Members discussed with the General Manager and Chris Sliz of Regional Governmental Services templates for interactions between Board Members and Staff and reviewed a simplistic table highlighting certain types of interactions and associated guidelines. The Board expressed interest in potential incorporation of the guidelines into policy B-20. The table has been refined since the retreat and is proposed to be appended to Policy B-20 as section B-20-50.

If revised as proposed, the General Manager will go over the revised policy with Staff in the near future.

## PREVIOUS BOARD ACTION

Policy B-20 was last revised by the Board in July, 2009. Discussion of policy B-20 occurred in the aforementioned Board retreat however no action was taken during the retreat.

## ENVIRONMENTAL REVIEW

None

## FISCAL IMPACT

None

## STAFF RECOMMENDATION

Staff recommends that the Board review the attached modified policy and approve the policy by resolution.

**RESOLUTION NO. 2020-2181**

**A RESOLUTION APPROVING POLICIES FOR BOARD POLICY B-20  
BOARD MEMBER INTERACTION WITH STAFF**

**THE LAS GALLINAS VALLEY SANITARY DISTRICT**

**WHEREAS**, the Board of Directors has determined that a comprehensive list of Policies and Procedures for the Board of Directors is in the best interest of the District.

**WHEREAS**, the Board of Directors has compiled a comprehensive list of Policies and Procedures to serve as the rules and regulations of the Board of Directors.

**WHEREAS**, the Board of Directors did adopt such comprehensive list of Policies and Procedures on July 9, 2009,

**WHEREAS**, such policies may need to be updated,

**NOW THEREFORE**, the Board of Directors of the Las Gallinas Valley Sanitary District approves adding the following policy: Board Policy B-20-50: Board/Staff Communication; a copy of which is attached as Exhibit A.

If any policy or portion of a policy contained within the Policies and Procedures is in conflict with rules, regulations, or legislation having authority over the Las Gallinas Valley Sanitary District, said rules, regulations or legislation shall prevail.

The Policies and Procedures shall remain in effect until amended by at least a majority vote of the Board of Directors.

\* \* \* \* \*

I hereby certify that the forgoing is a full, true, and correct copy of a resolution duly and regularly passed and adopted by the Sanitary Board of the Las Gallinas Valley Sanitary District, Marin County, California, at a meeting thereof held on the 9<sup>th</sup> of January, 2020, by the following vote of the members thereof:

- AYES, and in favor thereof Members:
- NOES, Members:
- ABSENT, Members:
- ABSTAIN, Members:

\_\_\_\_\_  
Teresa Lerch, District Secretary

APPROVED:

\_\_\_\_\_  
Rabi Elias, President of Board of Directors



**B-20 BOARD MEMBER INTERACTION WITH STAFF****Purpose**

This policy establishes procedures for Board Member communication with the General Manager and District Staff.

**B-20-10 Communication Path.** The general path of communication shall be Board to General Manager then General Manager to staff. The General Manager may delegate the communication directly to a Board member or staff member for particular issues only.

**B-20-20 Non-Interference With Staff.** Individual Board Members shall not interfere with or direct District staff nor use District facilities in such a way that the action is unreasonable or interferes with the operation of the District. Board members may contact District Counsel on legal questions.

**B-20-30 Simple Information Requests.** Individual Board members may make simple information requests of staff, through the General Manager. A Simple Information Request is one that would take the General Manager, District Staff or Counsel less than two hours to complete in the view of the General Manager.

**B-20-40 Substantial Information Requests.** Individual Board members may place an item on any future agenda to request a Substantial Information Request or to add an item on a future agenda (B-30-30). The request shall be made as a motion under the Board Request section of the agenda. A majority affirmative vote is necessary to approve the action. A Substantial Information Request is one that would take the General Manager, District Staff or Counsel more than two hours to complete in the view of the General Manager.

<b>Resolution No. 2020-2181</b>	Date Approved: January 6, 2020
President of the Board	Supersedes:



**B-20-50 Board/Staff Communication.** See Table I Below.

**Table I. Board/Staff Communication - For Board**

If	Then
A. Board member has a specific piece of work to request staff to perform	Talk to the GM who will determine the priority and delegate the work to staff (Policy B-20-30, -40; B-120-70)
B. a staff member approaches a Board member and prefaces the conversation with "can you keep something confidential?"	Tell them you cannot. Given your role in the District, you can't guarantee something will remain confidential. If it is an issue that impacts the District, you will have to (at minimum) talk with the GM about it. Whether or not they proceed to talk with you, report the conversation to the GM for possible follow up.
C. a staff member approaches a Board member with an allegation of harassment, discrimination, or other illegal activity	Listen to the employee's explanation. Immediately follow up with the GM and encourage the employee to do the same. As soon as possible, write down the date, time and key elements of the conversation (Policy B-180 and Whistleblower Policy) and forward to the GM and District Counsel.
D. a staff member approaches a Board member with a complaint described in the Whistleblower Policy	Refer the employee to the steps outlined in the Whistleblower Policy 9 (Personnel Policy and Procedures), including timing and documentation specifics, and refer them to the GM.
E. a staff member approaches a Board member with a non-Whistleblower complaint or a non-harassment related complaint about another staff member	Ask if the employee has talked with their boss, the GM, and/or their union rep about the issue. 1. If the employee <u>has not</u> spoken with their boss and/or GM, <u>don't engage</u> . Explain why you can't get involved (chain of command/operational issue/Board must maintain its role as an appeal body). Encourage the employee to follow the chain of command and, if needed, discuss the issue with their union rep if they think a grievance may be warranted. 2. If the employee <u>has</u> spoken with their boss but <u>not</u> the GM, <u>don't engage</u> . Encourage the employee to follow the chain of command and to discuss the matter with the GM. 3. If the employee <u>has</u> spoken with their boss <u>and</u> the GM, ask if the response was documented, and if it is part of a formal grievance. If it is part of a grievance, direct them to their union rep and <u>do not engage further</u> in order to preserve the Board role as an appeal body. If it is not part of a grievance, refer them to the grievance procedure in the MOU. Tell them you will notify the GM of the conversation and potential need for follow up.
F. a staff member approaches a Board member with a complaint about the General Manager	Direct the employee to the President and District Counsel and follow up with Board President separately. Document the date and time of the conversation and nature of the allegation(s).

<b>Resolution No. 2020-2181</b>	Date Approved: January 6, 2020
President of the Board	Supersedes:

**B-20-50 Board/Staff Communication.** See Table II Below.

**Table II Board/Staff Communication - For Staff**

If	Then
a Board member approaches you and asks you to do a specific piece of work	Refer them back to the GM (Policy B-20)
a Board member contacts you with a request for information	Forward to GM for delegation, or, if minor, confirm with GM before responding and copy GM (Policy B-20-10 and B-20-30)
a Board member contacts you about personnel issues or hearsay	Don't discuss. You can say "I'm sorry, but I can't discuss that information," and inform the GM immediately. (Policy B-80-20 and B-80-30)

\*Please follow the chain of command when bringing forward issues. Give your supervisor and the GM an opportunity to work with you to resolve an issue before escalating it to the Board or talking negatively about the organization and your supervisors/managers.



# Agenda Summary Report

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To: LGVSD Board of Directors *mjp*  
 From: Mike Prinz, General Manager  
 Mtg. Date: January 9, 2020  
 Re: Human Resources Subcommittee  
 Item Type: Consent \_\_\_ Discussion X Information \_\_\_ Other \_\_\_  
 Standard Contract: Yes \_\_\_ No \_\_\_ (See attached) Not Applicable X \_\_\_

---

## BACKGROUND

During the Board’s retreat held on November 15, 2019 and December 13, 2019, discussion of the Board’s role in human resources issues was discussed. Staff agreed to bring an item forward to have the Board discuss creating a Human Resources Subcommittee, the purpose of a Human Resources Subcommittee, and whether or not such a Subcommittee would be ad-Hoc or standing. Ad-Hoc subcommittees are created for specific purposes and, once the purpose(s) are fulfilled, are dissolved. Ad-Hoc subcommittees are not public meetings, however standing subcommittee meetings are publicly agendized meetings.

Topics the Board may wish to consider including in a subcommittee purpose statement include, but are of course not limited to, communication/messaging to Staff regarding Board progress on a variety of fronts (culture, infrastructure, strategy), employee engagement, Employee Climate Survey related information, and other Human Resources related topics.

## PREVIOUS BOARD ACTION

Discussion of Board involvement in Human Resources issues occurred in the aforementioned Board retreat however no action was taken during the retreat.

## ENVIRONMENTAL REVIEW

none

## FISCAL IMPACT

None

## STAFF RECOMMENDATION

Staff recommends that the Board discuss the merits, purpose, and form of a Human Resources Subcommittee and take action it may deem appropriate.





# Agenda Summary Report

**To:** Mike Prinz, General Manager *MPZ*  
**From:** Teri Lerch, District Secretary *TL*  
**Mtg. Date:** January 9, 2020  
**Re:** Board President Appointments for 2020  
**Item Type:** Consent \_\_\_\_\_ Discussion X Information \_\_\_\_\_ Other \_\_\_\_\_  
**Standard Contract:** Yes \_\_\_\_\_ No \_\_\_\_\_ (See attached) Not Applicable X

## BACKGROUND:

Every year the Board President appoints Board Members to attend various meeting and/or committees. The committee assignments for **2019** were as follows:

Committee	Regular Member	Alternate Member
NBWA Board Committee	Clark	Schriebman
NBWA Tech Advisory Committee	Schriebman	Clark
NBWA Conference Committee	Clark	None
NBWRA	Elias	None
JPA Local Task Force**	Yezman	None
Gallinas Watershed Council	Schriebman	Yezman
Marin LAFCO**	Murray	None
CASA Energy Committee	Murray	None
CSRMA	Yezman	None
Flood Zone 7**	Yezman	None
Secondary Treatment Plant Upgrade Engineering Subcommittee	Elias/Yezman	None

The following committee /meeting assignments are available for **2020**:

Committee	Regular Member	Alternate Member
NBWA Board Committee		
NBWA Tech Advisory Committee		
NBWA Conference Committee		
NBWRA		
JPA Local Task Force**		
Gallinas Watershed Council		
Marin LAFCO**		
CASA Energy Committee		
CSRMA		
Flood Zone 7**		
Secondary Treatment Plant Upgrade Engineering Subcommittee		

\*\*Appointments made by JPA Local Task Force and Marin LAFCO not LGVSD



**STAFF RECOMMENDATION:**

Committee/meeting assignments are a matter of the Board President's determination.

Staff recommends that the standing agenda item "Board Reports" be re-named "Board Member Reports", during which time participation in committee assignments can be highlighted along with other information pertaining to Board members' activities.

**FISCAL IMPACT:**

N/A

**PERSON TO BE NOTIFIED:**

Teri Lerch, Board Secretary



**1/9/2020**

**General Manager Report**

- Separate Item to be distributed at Board Meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report – Topics include:
  - Smith Ranch Road construction closures
  - No Engineering Subcommittee meeting
  - Upcoming Board Policy review and update
- Presentation



# Agenda Summary Report

**To:** Mike Prinz, General Manager *MSP*  
**From:** Mel Liebmann, Plant Manager *MSP (for)*  
**Mtg. Date:** January 9, 2020  
**Re:** California Regional Water Quality Control Board, San Francisco Bay Region  
 Conditional Offer for Settlement of Alleged Violations  
**Item Type:** Consent \_\_\_ Discussion \_\_\_ Information XX Other \_\_\_  
**Standard Contract:** Yes \_\_\_ No \_\_\_ (See attached) Not Applicable XX \_\_\_

**BACKGROUND:**

The Regional Board issues fines to National Pollutant Discharge Elimination System (NPDES) permittees for groups of permit excursions on an approximate 3 year basis.

On December 3, 2019 Operations staff received email notification of a conditional offer of settlement from the San Francisco Bay Regional Water Quality Control Board for fines associated with mandatory minimum penalties (MMP) resulting from NPDES discharge permit excursions occurring over the last 3 years. After careful review by staff and Ray Goebel of EOA, Inc., the District's regulatory compliance consultant, all seven excursions listed in the excerpted table below are accurate. Fines were assessed for three violations that carry an MMP of \$3000 each, for a total of \$9000.

Two of the seven violations were for exceeding a total maximum daily (TMD) limit of 11 ug/L Copper and a single total monthly average (TMA) limit of 8.6 ug/L Copper. Individual \$3000 penalties were assessed for two instantaneous effluent chlorine residual exceedances effectively above the 0.0 mg/L limitation. The table also lists a single violation of TMA total suspended solids (TSS) percent removal which exceeded the permissible limit of 85% and one \$3000 penalty was assessed for exceeding the (TSS) maximum daily limit of 20 mg/l.

Date Occurred	Violation Description	Corrective Action
4/1/2017	TMD Total Chlorine Residual (\$3000)	Operator training was conducted, and procedures were reviewed.
12/31/2017	TMA Copper	Ferric chloride dosing for chemically enhanced primary treatment (CEPT) was implemented
11/7/2018	TMD Copper	Poly Aluminum Chloride (PAC) dosing at the secondary clarifier was implemented.
1/7/2019	TMD Copper	An additional item was added on the daily log sheet to verify the PAC stroke setting.
2/14/2019	TMD Total Chlorine Residual (\$3000)	A circuit breaker located in the deep bed filter MCC that provides power to the sodium bisulfite building has been labeled.



2/28/2019	TMA % Removal TSS	STPURWE Project will result in increased secondary treatment capacity.
5/19/2019	TMD TSS (\$3000)	2018 Plant Improvement Project contractor repaired damaged piping utilized in the CEPT system.

Some of the violations listed are unfortunate anomalies to otherwise compliant day to day Plant operations, and several are much less likely to reoccur after the Secondary Treatment Plant Upgrade and Recycled Water Expansion (STPURWE) Project is operational.

Under the advice of Ray Goebel, and consistent with past District practice, staff elected to have the \$9000 payment deposited in the Supplemental Environmental Project (SEP) fund established for the Regional Monitoring Program (RMP) studies. This option provides the greatest local environmental benefit from the funds. The Acceptance of Conditional Resolution and Waiver of Right to Hearing document was required to be returned by January 3, 2019.

**PREVIOUS BOARD ACTION:** None

**ENVIRONMENTAL REVIEW:** NA

**FISCAL IMPACT:** \$9000

**STAFF RECOMMENDATION:** None, Information Only



# Agenda Summary Report

To: Mike Prinz, General Manager MSP  
 From: Robert D. Ruiz, Administrative Services Manager MSP (for)  
 Mtg. Date: January 9, 2020  
 Re: **Monthly Report as of November 30, 2019.**

Item Type: Consent  Discussion  Information  Other   
 Standard Contract: Yes  No  (See attached) Not Applicable

### BACKGROUND:

This interim financial report is to show our progress against the budget that was approved in June of 2019. Due to our progress, we are requesting that we formally adjust the FY 19-20 budget to reflect the revisions that have been requested and approved by the board as budget revisions and forego a formal budget report at the mid-year, which is not needed.

### The Analysis:

Please reference the attached report. Revenue does not reflect any actual property tax receipts as of 11/30/19, but we did receive our first property tax installment in the subsequent month. This assessment was over \$8 million.

Regarding expenses, as of November, we are at 5 months out of 12 months therefore our ratios of expenses to budget should be, on the average, roughly 41.7% consumed. As you will note, Employee costs are at 37%. This savings occurred, since, at the time of budgeting, we had significantly unusual wet weather. The budget included additional amounts due to the anticipation of a similar event in FY 19/20.

While Repairs & Maintenance expenses are currently well below budget, all departments plan on using their full allotment by the end of the fiscal year.

Reclamation expenses are over budget due to the center pivot irrigation machinery failure and pipe replacement. Both of the items were unexpected and resulted in over \$20,000 in expenses.

Lab contract services were budgeted higher this year again due to the previous year's wet weather. Lab contract services are only 31% of usage.

All other expenses are within expected ranges.

### STAFF RECOMMENDATION:

None.



## Las Gallinas Valley Sanitary District Profit & Loss Budget vs. Actual July through November 2019

	Jul - Nov 19	Budget	\$ Over Budget	% of Budget
<b>Ordinary Income/Expense</b>				
<b>Income</b>				
9000 · Property Tax Revenue	115,160.97	890,000.00	-774,839.03	12.94%
9040 · Supp. Assmnts - Property Tax	0.00	16,000.00	-16,000.00	0.0%
9046 · ERAF	39,045.82	325,000.00	-285,954.18	12.01%
9011 · User Charge	16,500.60	14,602,912.00	-14,586,411.40	0.11%
9010 · Federal and State Grants	5,000.00	847,150.00	-842,150.00	0.59%
9880 · Recycled Water	31,637.13	42,000.00	-10,362.87	75.33%
9881 · MMWD Reimbursement	231,398.95	463,353.00	-231,954.05	49.94%
9021 · Franchise Revenue	61,109.25	149,421.73	-88,312.48	40.9%
9023 · Connection Fees	2,121.00	0.00	2,121.00	100.0%
9022 · Permits and Inspection Fees	31,540.58	8,500.00	23,040.58	371.07%
9024 · Application Fees	250.00	0.00	250.00	100.0%
9773 · Miscellaneous Income	117,957.32	0.00	117,957.32	100.0%
9100 · Reimb. for Lateral Repairs	16,861.74	80,000.00	-63,138.26	21.08%
9280 · HOPTR (Home Owner Prop Tax Relief)	0.00	4,300.00	-4,300.00	0.0%
9200 · Interest Income	430,694.97	980,800.00	-550,105.03	43.91%
9900 · Interfund Transfers In/Out	7,265,563.20	50,221,038.87	-42,955,475.67	14.47%
<b>Total Income</b>	<b>8,364,841.53</b>	<b>68,630,475.60</b>	<b>-60,265,634.07</b>	<b>12.19%</b>
<b>Gross Profit</b>	<b>8,364,841.53</b>	<b>68,630,475.60</b>	<b>-60,265,634.07</b>	<b>12.19%</b>
<b>Expense</b>				
1001 · Employee Costs	1,681,218.88	4,541,118.71	-2,859,899.83	37.02%
2059 · Insurance	28,603.26	173,779.76	-145,176.50	16.46%
2080 · Repairs and Maintenance	170,062.27	586,000.00	-415,937.73	29.02%
2331 · Reclamation Expenses	107,612.19	94,500.00	13,112.19	113.88%
2101 · Chemicals and Lab Supplies	47,595.37	217,000.00	-169,404.63	21.93%
2111 · Pollution Prevention	11,972.59	12,500.00	-527.41	95.78%
2117 · Lab Contract Services	13,594.81	43,000.00	-29,405.19	31.62%
2249 · Small Tools	4,337.19	8,000.00	-3,662.81	54.22%
2320 · Outside Services	80,856.63	446,800.00	-365,943.37	18.1%
2330 · Damage Claims	0.00	10,000.00	-10,000.00	0.0%
2356 · Engineering	102,405.01	245,300.00	-142,894.99	41.75%
2362 · General Operating Supplies	31,577.24	52,100.00	-20,522.76	60.61%
2535.1 · Utilities	88,657.26	197,805.00	-109,147.74	44.82%
2501 · Fuels	23,827.08	28,991.85	-5,164.77	82.19%
2389 · Misc Safety Exp - Lgvsd only	10,345.99	32,350.00	-22,004.01	31.98%
2397 · Safety Contractor Services	9,632.00	53,000.00	-43,368.00	18.17%
2801 · Lateral Rehab Assistance Prog	54,372.00	100,000.00	-45,628.00	54.37%
2400 · General and Administrative	1,048,600.60	2,664,362.39	-1,615,761.79	39.36%
9782 · Other Bond Expenses	0.00	0.00	0.00	0.0%
<b>Total Expense</b>	<b>3,515,270.37</b>	<b>9,506,607.71</b>	<b>-5,991,337.34</b>	<b>36.98%</b>
<b>Net Ordinary Income</b>	<b>4,849,571.16</b>	<b>59,123,867.89</b>	<b>-54,274,296.73</b>	<b>8.2%</b>
<b>Other Income/Expense</b>				
<b>Capital Expense</b>				



**Las Gallinas Valley Sanitary District**  
**Profit & Loss Budget vs. Actual**  
 July through November 2019

	<u>Jul - Nov 19</u>	<u>Budget</u>	<u>\$ Over Budget</u>	<u>% of Budget</u>
4000 · Construction Projects	5,967,691.44	29,323,812.00	-23,356,120.56	20.35%
4200 · Capacity and Effluent Quality	1,297,871.76	1,769,000.00	-471,128.24	73.37%
9951 · Transfer Interfund	0.00	27,787,411.87	-27,787,411.87	0.0%
<b>Total Capital Expense</b>	<u>7,265,563.20</u>	<u>58,880,223.87</u>	<u>-51,614,660.67</u>	<u>12.34%</u>
<b>Net Other Income</b>	<u>-7,265,563.20</u>	<u>-58,880,223.87</u>	<u>51,614,660.67</u>	<u>12.34%</u>
<b>Net Income</b>	<u><u>-2,415,992.04</u></u>	<u><u>243,644.02</u></u>	<u><u>-2,659,636.06</u></u>	<u><u>-991.61%</u></u>



Item Number 8A-4

# Agenda Summary Report

To: Mike Prinz, General Manager *MP*  
 From: Robert D. Ruiz, Administrative Services Manager *MRD (for)*  
 Mtg. Date: January 9, 2020  
 Re: **Treasurer's Report as of November 30, 2019.**

Item Type: Consent \_\_\_\_\_ Discussion \_\_\_\_\_ Information X Other \_\_\_\_\_  
 Standard Contract: Yes \_\_\_\_\_ No \_\_\_\_\_ (See attached) Not Applicable X .

**BACKGROUND:**

Cash as "liquid capital" must be used for operations or invested in compliance with the District's investment policy, adopted at the February 23, 2017 Board meeting and be in accordance with California Government Code Section 53600. In addition to the above, a statement is to be signed by the GM and ASM stating that the District has the financial ability to meet its cash flow requirements for the next six months.

As can be seen in the attached Treasurer's Report, the District's cashflow requirements are being met in compliance with the aforementioned requirements.

**PREVIOUS BOARD ACTION:**

None.

**ENVIRONMENTAL REVIEW:**

N/A

**FISCAL IMPACT:**

None

**STAFF RECOMMENDATION:**

None.

**Las Gallinas Valley Sanitary District  
Treasurer's Report - Operating and Investment Accounts  
For the 5 months Ending November 2019**

I. Account Summary: Bank and Investment Accounts Accounts Summary	November		Change from Previous Year
	2019	2018	
<b>Summary of Bank and Investment Accounts</b>			
<b>OPERATIONS:</b>			
<b>Bank of Marin</b>			
Operating	\$ 250,068	\$ 224,792	\$ 25,276
Operating Sweep	658,851	20,653	638,198
Zero Balance	18,737	57,786	(39,049)
Liquid Savings	32,393	671,049	(638,656)
Private Sewer Lateral Rehab	163,825	197,048	(33,223)
Surcharge-Marin Lagoon	84,364	103,037	(18,673)
Surcharge-Captains Cove	17,219	22,498	(5,279)
Connection Fee	55,472	45,632	9,840
Capital Project Reserve Fund	2,608,921	2,376,949	231,972
<b>Petty cash</b>	<b>500</b>	<b>643</b>	<b>(143)</b>
<b>Investment Accounts</b>			
Debt Service Reserve-Recycled Water	589,825	588,058	1,767
Debt Service Reserve-SRF Loan	294,635	294,635	-
Local Agency Investment Fund	<u>21,431,959</u>	<u>18,483,638</u>	<u>2,948,321</u>
Cash and Investments	<u>\$ 26,206,769</u>	<u>\$ 23,086,418</u>	<u>\$ 3,120,351</u>
<b>BOND INVESTMENTS:</b>			
Local Agency Investment Fund	<u>\$ 30,893,779</u>	<u>\$ 40,499,872</u>	<u>\$ (9,606,094)</u>
<b>TOTAL CASH AND INVESTMENTS</b>	<u><b>\$ 57,100,547</b></u>	<u><b>\$ 63,586,290</b></u>	<u><b>\$ (6,485,743)</b></u>

II. Account Activity for Bank-of Marin Accounts

Bank of Marin operating account activity is for paying regular operating expenses of the District. Funds are transferred from the Liquid Savings to the Operating account as needed. The Local Agency Investment Fund does not reflect the \$8 Million due for sewer user charges and property taxes that were received in the month of December.

**Statement of Compliance:**

The investments accounts are invested in compliance with the District's investment policy, adopted at the February 23, 2017 Board meeting and California Government Code Section 53600. In addition, the District does have the financial ability to meet its cash flow requirements for the next six months.

Prepared by: Robert D. Ruiz  
Robert D. Ruiz

Approved by: Mike Prinz 1/3/2020  
Mike Prinz, General Manager

## 1/9/2020 BOARD REPORTS

### Agenda Item 9.1

#### LAFCO

- Separate Item to be distributed at Board Meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

### Agenda Item 9.2

#### Gallinas Watershed Council/Miller Creek Watershed Council

- Separate Item to be distributed at Board Meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

### Agenda Item 9.3

#### JPA Local Task Force on Solid and Hazardous Waste

- Separate item to be distributed at Board meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

### Agenda Item 9.4

#### Flood Zone 7

- Separate item to be distributed at Board meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

### Agenda Item 9.5

#### NBWA

- a) Board Committee
- b) Steering Committee
- c) JTC

- Separate item to be distributed at Board meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

### Agenda Item 9.6

#### NBWRA/North Bay Water

- Separate item to be distributed at Board meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

### Agenda Item 9.7

#### Engineering Subcommittee

- Separate Item to be distributed at Board Meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation



## 1/9/2020 BOARD REPORTS

### Agenda Item 7.8 Other Reports

- Separate Item to be distributed at Board Meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

Agenda Item 9.5  
 Date January 9, 2020

**North Bay Watershed Association**

Draft Summary - the North Bay Watershed Association (NBWA) Board of Directors.  
 Date: Friday, December 6th, 2019 - 9:30 a.m. to 12:30 a.m. Location: Novato Sanitary District

**Directors or Representatives Present Included:**

Board Member	Agency/Organization	Board Member	Agency/Organization
Michael Boorstein	Central Marin Sanitation Agency	Megan Clark	Las Gallinas Valley
Pam Meigs	Ross Valley Sanitary District	Jack Gibson	Marin Municipal Water District
Elizabeth Patterson	Solano County Water Agency	Jean Mariani	Novato Sanitary District
Mary Sackett	Marin County	Rick Fraites	North Marin Water District
Pam Drew	City of Novato	Paul Jensen	City of San Rafael
		Rob Carson	MCSTOPP

1. Call to Order - Jack Gibson called the meeting to order at 9:34 a.m.
2. Public Comment - No public comment.
3. Approval of Agenda
4. September and October Meeting Summaries were approved

Judy reviewed the proposed dates for 2020 Board meetings and the schedule was approved. Judy also mentioned the planning for the upcoming NBWA 2020 conference is underway and asked each Board member to promote the conference staff and other Board members of the NBWA organizations. She informed the Board that invitations are waiting reply from Mr. Huffman, Mr. Thompson, Katie Jackson of Jackson Family Wines and that we have a confirmation from Cal. EPA Secretary Jared Blumenfeld.

**5. Mike Montgomery, Ex. Officer, San Francisco Bay Regional Water Quality Control Board**

Mike began by describing the Water Board priorities: contaminants, ground water, recycled water regulation and other key focus areas. He mentioned that the region has a lot of development pressure especially in the South and East Bay, sometimes in areas that have old contamination. The Board works with the developers to identify toxics and clean the sites up to residential standards and Mike mentioned that new development must consider sea level rise. Mike also talked about emerging contamination especially regarding a range of chemicals related to fire resistant (Pfos and Pfas) - orders have been issued to airports and landfills to determine significance, eventually those orders may get to wastewater. Also the State is looking at the toxicity of these compounds. Evolving science is a real challenge to regulation. One concern is that the introduction of recycled water could introduce contamination or salts into the system.

There are a number of North Bay impaired water bodies such as Petaluma River, Sonoma River, Walker and Lagunitas Creeks (for mercury) and Tomales Bay. There are programs that work with non-point sources to reduce inputs into these waters. One of the biggest efforts underway is the process of reissuing the Regional Stormwater permit and the trash reduction requirements. The Board has also focused more on industrial non-filers to get them under permit. Mike mentioned that the nutrients permit recently finalized is an example of how collaboration can work.

The Water Board is now also active in regional cooperatives related to climate change and will be modifying the Water Board plan to better address development in the shoreline areas. They are partnering with BCDC about low cost financing and other means to address the problem of sea level rise and define where that money may come from, possibly the State Revolving Fund.

Regarding challenges, the Adapting to Rising Tides report is coming out soon and will have some alarming information in it about what is coming to the Bay Area. Mike noted there are only so many projects that are in the design phase that could be funded to immediately address climate impacts so long term funding sources will be key. Mike's presentation has been posted on the NBWA website.

#### **6. Roger Leventhal, Senior Civil Engineer, Marin County**

Roger provided an overview of the Deer Island Restoration project that is just getting underway. Phase 1 Tidal Restoration project on Deer Creek is an example of where things actually happen in the near and medium term. Novato baylands are among the last of the restorable marshes. By historical standards, the creek in this project is tiny largely due to the tidal prism having been reduced over time. The original idea was to restore 190 acres. The county was awarded \$630,000 (all for design, permitting etc.) from Measure AA to start work. Now the county understands that the full tidal prism won't be immediately restored and are looking at it as a demonstration of how these projects will perform over time. Steve Moore mentioned that this restoration work is at the heart of a one water approach in the North Bay and the tie into the bigger infrastructure issues around Highway 37. Sandeep spoke about the good interagency cooperation happening around these plans and proposals. Interested Board members then walked out on the trail behind the facilities to view the general area of the proposed project. Roger's presentation has been posted to the website.

#### **7. Announcements and Adjournment**

Meeting adjourned at 11:25

Next Meeting: January 3rd, 2020, MMWD

SUBMITTED BY: Judy Kelly, Executive Director NBWA



**BOARD MEMBER  
MEETING ATTENDANCE REQUEST**

Date: \_\_\_\_\_ Name: \_\_\_\_\_

I would like to attend the \_\_\_\_\_ Meeting  
of \_\_\_\_\_

To be held on the \_\_\_\_\_ day of \_\_\_\_\_ from \_\_\_\_\_ a.m. / p.m. and  
returning on \_\_\_\_\_ day of \_\_\_\_\_ from \_\_\_\_\_ a.m. / p.m.

Actual meeting date(s): \_\_\_\_\_

Purpose of Meeting: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Frequency of Meeting: \_\_\_\_\_

Estimated Costs of Travel (if applicable): \_\_\_\_\_  
\_\_\_\_\_

Please submit to the District Administrative Assistant, no later than 2:00 p.m. on the  
Friday prior to the Board Meeting.

-----  
**For Office Use Only**

Request was  Approved  Not Approved at the Board Meeting held on \_\_\_\_\_.



**1/9/2020**

**BOARD AGENDA ITEM REQUESTS**

**Agenda Item 10B**

- Separate Item to be distributed at Board Meeting
- Separate Item to be distributed prior to Board Meeting
- Verbal Report
- Presentation

**Water board adopts rate, fee cuts for in-law units**

**MMWD**

**MMWD**

Action taken to push affordable housing

**By Will Houston**

*whouston@marinij.com*  
*@Will\_S\_Houston on Twitter*

The Marin Municipal Water District Board of Directors voted unanimously this week to adopt rate and fee reductions for existing in-law units to promote affordable housing development under state law.

Several residents turned out to the board meeting on Tuesday to speak in favor of the changes and urged the board to continue its consideration of extending the cost reductions to new accessory dwelling

units, or ADUs. The board plans to consider the water meter connection fee waiver for new construction in February.

Linda Jackson, an affordable housing advocate working with the Marin Environmental Housing Collaborative and Aging Action Initiative among others, was among the speakers who praised the changes.

“I’m seeing you doing this today and I really have great hope for our county that we’re going to make a little difference for the folks, for our children who want to live here and families that want to be together and for younger families that want to live here,” Jackson told the board.

New state law under AB 881 signed in October prohibits water districts from requiring separate water meter connections as well as associated fee payments for existing ADUs that meet certain

criteria. The waiver extends to conversions of existing accessory units such as detached garages and outbuildings that are converted into living spaces, according to board president Larry

(A)

**MMWD>> PAGE4**

**Water board adopts rate, fee cuts for in-law units**

**MMWD**

**FROM PAGE 1**

(D) voiced general favor for this suggestion.

Staff is reviewing the proposal to determine if complies with the provisions of Proposition 218, which limits local governments’ ability to impose

(E)

(17) the same rates as single-family residences under the ordinance. About 875 ratepayers will be affected by the change, according to district staff.

Greg Knell of San Rafael advocated for lowered rates for

(I) (11.1)

(B)

Bragman. The connection fees can cost thousands of dollars and deter people from proceeding with ADU development, which advocates say reduces the amount of affordable housing in a time where the state is facing a housing crisis.

The board plans to consider extending this fee and connection waiver to new construction of accessory dwelling units in early 2020, which would go beyond the state law. The idea was raised by Bragman at the board's November discussion. In addition, director Armando Quintero suggested the board apply this waiver retroactively to accessory dwelling unit projects that are still in the process of construction. The board

(C)

(F)

property-related fees and assessments.

The board also went beyond state law on Tuesday by reducing water rates for single-family residences with accessory dwelling units. Prior to Tuesday's vote, the district charged single-family residences with ADUs the same rates as duplexes if the ADU is not connected to a separate meter. Rates charged for duplexes not only are slightly higher than those for single-family residences, but rate tier increases also occur with smaller increases in water use. The homes with ADUs would be charged

(G)

(J)

these properties while working with district staff over several months. Knell said he has been charged higher rates for almost 20 years because of his ADU.

"The builders of illegal units continued to enjoy much lower residential water rates," Knell wrote in an email on Wednesday.

Director Cynthia Koehler was among the board members who enthusiastically supported the changes.

"I think it's a good piece of legislation," Koehler said.

## 180 units planned on hillside in Terra Linda

### Complex

#### HEARING SET

Apartments would be built on 11-acre plot

By **Matthew Pera**

[mpera@marinij.com](mailto:mpera@marinij.com)

@MatthewRPera on Twitter

A San Rafael developer is seeking the city's permission to build 180 apartments on a vacant Terra Linda hillside.

Dennis Hart, who has

developed several high-density housing sites in Marin, hopes to build the apartment complex on an 11-acre plot on the west side of Los Gamos Road.

The city's zoning rules allow for a maximum of one home per every two acres on the site. Hart is seeking a zoning designation change to allow what the city considers "high-density residential" development.

"It's a great opportunity to provide what Marin really needs more of," said the project architect, Colin Russell. "We're so short of housing."

A public hearing on the project is scheduled

for 7 p.m. Jan. 14. During the hearing, the city Planning Commission is set to give the developer early feedback on the project plans.

Plans call for building the apartments on the lower portion of the site and leaving an upper section of the hillside undeveloped, Russell said.

The complex is adjacent to Highway 101. Hart said he plans to install noise-buffering architecture, including thick windows,

**COMPLEX»PAGE 4**

## 180 units planned on hillside in Terra Linda

### Complex

#### FROM PAGE 1

on the side of the complex nearest to the highway.

The units would range in size from 500-squarefoot studios to 900-squarefoot three-bedroom apartments, according to Russell.

"They're very small," he said, noting that the compact design

(D) The complex would include at least 270 parking spaces, Russell said.

The site, he said, "checks all the boxes as to an ideal location for housing. It's near transit. It's near the freeway. It's a location that makes sense."



Rendering of a 180-unit apartment complex proposed for an 11-acre plot on the west side of Los Gamos Road in Terra Linda.

COLIN RUSSELL  
ARCHITECTS

(A)



(B)

of the apartments is aimed at keeping the price of rent low.

Hart said he plans to follow the city's affordable housing requirements, which call for offering 20% of units in new housing developments at below-market rates. Each of the 180 apartments would be offered for rent. A communal space is planned in the complex, including a market that would be open to the public.

The majority of parking on the site would be built underground in a garage that stacks cars using a mechanical lift system.

(C)



ww.lgvsd.org  
ww.cityofsanrafael.org/homeward\_bound/  
licia.giudice@cityofsanrafael.or  
https://www.cityofsanrafael.org/meetings

## Legal Notice

## Legal Notice

**NOTICE OF PUBLIC REVIEW HEARING  
TO DISCUSS PROPOSED ORDINANCE NO 181  
TO AMEND GARBAGE COLLECTION  
RATES FOR 2020**

The Las Gallinas Valley Sanitary District will conduct a Public Hearing to discuss an ordinance amending Title 4, Chapter 1 of the Las Gallinas Valley Sanitary District Ordinance Code, an Ordinance Regulating Solid Waste, Recyclable and Organic Materials, and the Collection, Removal and Disposal Thereof, as amended, and relating to rates to be charged. This hearing will take place at the District office at 101 Lucas Valley Road, Suite 300, San Rafael on Thursday, January 16, 2020 at 4:30 PM. The proposed ordinance can be viewed on the District's website at [www.lgvsd.org](http://www.lgvsd.org) or at the District office posted at the front lobby door from January 2, 2020 - January 16, 2020.

NO. 1707 JAN. 2, 9, 2020