



CITY COUNCIL Agenda

Jan. 9, 2024, 5 p.m.

Council Chamber
1200 Carlsbad Village Drive
Carlsbad, CA 92008

Welcome to Your City Council Meeting

We welcome your interest and involvement in the city's legislative process. This agenda includes information about topics coming before the City Council and the action recommended by city staff. You can read about each topic in the staff reports, which are available on the city website and in the Office of the City Clerk. The City Clerk is also available to answer any questions you have about City Council meeting procedures.

How to Watch

In Person



City Council Chamber
1200 Carlsbad Village Drive

On TV



Watch the city's cable channel
Spectrum 24 and AT&T U-verse 99

Online



Watch the livestream at
carlsbadca.gov/watch

How to Participate

If you would like to provide comments to the City Council, please:

- Fill out a speaker request form, located in the foyer.
- Submit the form to the City Clerk before the item begins.
- When it's your turn, the City Clerk will call your name and invite you to the podium.
- For non-agenda public comment, speakers must confine their remarks to matters within the City Council's subject matter jurisdiction.
- For public comment on agenda items, speakers must confine their remarks to the question or matter under consideration.
- Speakers have three minutes, unless the presiding officer (usually the Mayor) changes that time.
- You may not give your time to another person, but can create a group. A group must select a single speaker as long as three other members of your group are present. All forms must be submitted to the City Clerk before the item begins and will only be accepted for items listed on the agenda (not for general public comment at the beginning of the meeting). Group representatives have 10 minutes unless that time is changed by the presiding officer or the City Council.
- Failure to comply with the rules for public participation is disruptive conduct. Continuing disruptive conduct after being asked by the presiding official to cease may result in removal from the meeting.

Reasonable Accommodations

Reasonable Accommodations Persons with a disability may request an agenda packet in appropriate alternative formats as required by the Americans with Disabilities Act of 1990. Reasonable accommodations and auxiliary aids will be provided to effectively allow participation in the meeting. Please contact the City Manager's Office at 442-339-2821 (voice), 711 (free relay service for TTY users), 760-720-9461 (fax) or manager@carlsbadca.gov by noon on the Monday before the meeting to make arrangements. City staff will respond to requests by noon on Tuesday, the day of the meeting, and will seek to resolve requests before the start of the meeting in order to maximize accessibility.

More information about City Council meeting procedures can be found at the end of this agenda and in the Carlsbad Municipal Code chapter 1.20.

The City Council also sits as the Carlsbad Municipal Water District Board, Public Financing Authority Board, Community Development Commission and Successor Agency to the Redevelopment Agency. When considering items presented to the Carlsbad Municipal Water District Board, each member receives an additional \$100 per meeting (max \$300/month). When considering items presented to the Community Development Commission each member receives an additional \$75 per meeting (max \$150/month).

CALL TO ORDER:

ROLL CALL:

ANNOUNCEMENT OF CONCURRENT MEETINGS: City Council is serving as the Carlsbad Municipal Water District Board of Directors on Consent Calendar Item No. 4, and as the City Council and Carlsbad Municipal Water District Board of Directors on Consent Calendar Item Nos. 6 and 7.

PLEDGE OF ALLEGIANCE:

APPROVAL OF MINUTES:

Minutes of the Regular Meeting held Dec. 5, 2023

Minutes of the Special Meeting held Dec. 12, 2023

PRESENTATIONS:

Proclamation in recognition of Lynn Flanagan Day

PUBLIC REPORT OF ANY ACTION TAKEN IN CLOSED SESSION:

PUBLIC COMMENT: *The Brown Act allows any member of the public to comment on items not on the agenda, provided remarks are confined to matters within the City Council's subject matter jurisdiction. Please treat others with courtesy, civility, and respect. Members of the public may participate in the meeting by submitting comments as provided on the front page of this agenda. The City Council will receive comments as requested up to a total of 15 minutes in the beginning of the meeting. All other non-agenda public comments will be heard at the end of the meeting. In conformance with the Brown Act, no action can occur on these items.*

CONSENT CALENDAR: *The items listed under Consent Calendar are considered routine and will be enacted by one motion as listed below. There will be no separate discussion on these items prior to the time the Council votes on the motion unless members of the Council, the City Manager, or the public request specific items be discussed and/or removed from the Consent Calendar for separate action.*

1. **REPORT ON CITY INVESTMENTS AS OF NOV. 30, 2023** – Accept and file Report on City Investments as of Nov. 30, 2023. (Staff contact: Craig Lindholm and Roxanne Muhlmeister, Administrative Services)
2. **AWARDING A CONTRACT TO CONAN CONSTRUCTION, INC. FOR CONSTRUCTION OF THE CALAVERA HILLS COMMUNITY CENTER REFURBISHMENT PROJECT** – Adoption of a resolution accepting bids, determining the bid submitted by Dynamis Now, LLC to be non-responsive, and awarding a contract to Conan Construction, Inc. for construction of the Calavera Hills Community Center Refurbishment Project, in an amount not to exceed \$1,217,750. (Staff contact: Molly Amendt, Public Works Department)
3. **ADVERTISE FOR BIDS FOR THE SCHULMAN AUDITORIUM AUDIO-VISUAL UPDATE PROJECT** – Adoption of a resolution approving the plans, specifications and contract documents and authorizing the City Clerk to advertise for bids for the Schulman Auditorium Audio-Visual Update Project. (Staff contact: Steven Stewart, Public Works Department)

4. AUTHORIZE ADDITIONAL CONTINGENCY FUNDS FOR THE PRESSURE-REDUCING STATION REPLACEMENT PHASE 2 PROJECT – Adoption of a Carlsbad Municipal Water District Board of Directors resolution authorizing additional contingency funds and increasing the Executive Manager’s authority for approval of change orders by \$345,300 to the revised amount of \$870,000 for the Pressure-Reducing Station Replacement Phase 2 Project. (Staff contact: Emily Hasegawa and Dave Padilla, Public Works Department)
5. AMENDMENT TO A GRANT OF EASEMENT WITH THE SAN DIEGO GAS AND ELECTRIC FOR THE POWER YOUR DRIVE FOR FLEETS MAKE-READY INFRASTRUCTURE PROGRAM – Adoption of a resolution authorizing a first amendment to a grant of easement with San Diego Gas and Electric for the Power Your Drive for Fleets Make-Ready Infrastructure Program to install electric vehicle charging infrastructure. (Staff contact: Bradley Northup, Public Works Department)
6. ADVERTISE FOR BIDS FOR THE VALLEY STREET WATER MAIN REPLACEMENT PROJECT AND THE FOXTAIL LOOP, PALOMAR OAKS WAY AND TYLER STREET ALLEY SEWER PROJECTS – 1) Adoption of a Carlsbad Municipal Water District Board of Directors resolution approving plans, specifications and contract documents and authorizing the Secretary of the Board of Directors to advertise for bids for the Valley Street Water Main Replacement Project; and
2) Adoption of a City Council resolution approving the plans, specifications and contract documents and authorizing the City Clerk to advertise for bids for the Foxtail Loop, Palomar Oaks Way and Tyler Street Alley Sewer projects. (Staff contact: Dave Padilla and Daniel Zimny, Public Works Department)
7. AGREEMENT FOR SYSTEM INTEGRATOR SERVICES TO REPLACE THE WATER AND WASTEWATER SUPERVISORY CONTROL AND DATA ACQUISITION SYSTEMS – 1) Adoption of a Carlsbad Municipal Water District Board of Directors resolution approving a professional services agreement with Partners in Control, Inc., doing business as Enterprise Automation, for system integrator services for Phase 1 of the project to replace the water and wastewater Supervisory Control and Data Acquisition Systems; and
2) Adoption of a City Council resolution authorizing the use of the sewer replacement fund for the city’s portion of a professional services agreement with Partners in Control, Inc., doing business as Enterprise Automation, for system integrator services for Phase 1 of the project to replace the water and wastewater Supervisory Control and Data Acquisition Systems. (Staff contact: Stephanie Harrison and Vicki Quiram, Public Works Department)
8. ACQUISITION AND RESALE OF EIGHT UNITS AS PART OF THE CITY’S AFFORDABLE HOUSING RESALE PROGRAM – Adoption of a resolution authorizing the City Manager to execute all required documents to complete the purchase and resale of eight at-risk affordable housing units as part of the City’s Affordable Housing Resale Program and authorizing the Deputy City Manager, Administrative Services to appropriate \$2,056,755 from the Housing Trust Fund for related costs. (Staff contact: Nicole Piano-Jones, Community Services)

BOARD AND COMMISSION MEMBER APPOINTMENTS:

9. MAYORAL APPOINTMENT OF ONE MEMBER TO THE BEACH PRESERVATION COMMISSION – Adoption of a resolution appointing one member to the Beach Preservation Commission. (Staff contact: Tammy McMinn, City Clerk Department)

City Manager's Recommendation: Adopt the resolution.

10. DISTRICT 4 APPOINTMENT OF ONE MEMBER TO THE PARKS & RECREATION COMMISSION – Adoption of a resolution appointing one member to the Parks & Recreation Commission. (Staff contact: Tammy McMinn, City Clerk Department)

City Manager's Recommendation: Adopt the resolution.

ORDINANCES FOR INTRODUCTION:

11. ANNUAL ELECTED OFFICIAL COMPENSATION REVIEW – 1) Conduct the annual review of elected officials' compensation; and
2) Introduce an ordinance titled either:
A. "An ordinance of the City Council of the City of Carlsbad, California, amending Title 2, Chapter 2.04, Section 2.04.010(A), to adjust City Council members' compensation by the percentage increase in the San Diego Regional Consumer Price Index for 2023" (Exhibit 1), or
B. "An ordinance of the City Council of the City of Carlsbad, California, permanently waiving City Council compensation adjustments for 2024" (Exhibit 2); or,
C. Provide other direction as desired.
3) Introduce an ordinance titled either:
A. "An ordinance of the City Council of the City of Carlsbad, California, amending Title 2, Chapter 2.04, Section 2.04.020(A), to adjust City Clerk and City Treasurer compensation by the percentage increase in the San Diego Regional Consumer Price Index for 2023" (Exhibit 3), or
B. "An ordinance of the City Council of the City of Carlsbad, California, declining City Clerk and City Treasurer compensation adjustments for 2024" (Exhibit 4); or,
C. Provide other direction as desired.
(Staff contact: Judy von Kalinowski and Silvano Rodriguez, Administrative Services)

City Manager's Recommendation: Conduct the review and adopt the ordinances.

ORDINANCES FOR ADOPTION: None.

PUBLIC HEARINGS:

12. TAX AND EQUITY FISCAL RESPONSIBILITY ACT PUBLIC HEARING FOR THE REISSUANCE OF TAX-EXEMPT BONDS FOR THE MARIPOSA APARTMENTS – 1) Hold a public hearing as required by the Tax and Equity Fiscal Responsibility Act and the Internal Revenue Code of 1986; and
2) Adoption of a resolution approving the reissuance of tax-exempt multifamily housing revenue bonds and certain actions required to remarket the bonds for the Mariposa Apartments, a 106-unit multifamily affordable rental housing development located in Carlsbad, California. (Staff contact: Mandy Mills, Community Services)

City Manager's Recommendation: Take public input, close the public hearing, and adopt the resolution.

DEPARTMENTAL AND CITY MANAGER REPORTS:

13. **2024 WORK PLANS FOR THE PARKS & RECREATION COMMISSION, SENIOR COMMISSION AND BEACH PRESERVATION COMMISSION** – 1) Adoption of a resolution accepting the 2023 Work Plan Report of Accomplishments and approving the 2024 Work Plan for the Parks & Recreation Commission; and
2) Adoption of a resolution accepting the 2023 Work Plan Report of Accomplishments and approving the 2024 Work Plan for the Senior Commission; and
3) Adoption of a resolution accepting the 2023 Work Plan Report of Accomplishments and approving the 2024 Work Plan for the Beach Preservation Commission. (Staff contact: Mick Calarco, Eric Biggin and Nick Stupin, Community Services)

City Manager's Recommendation: Adopt the resolutions.

14. **UPDATE ON THE BARRIO TRAFFIC CIRCLES PROJECT AND SELECTING A TRAFFIC CALMING OPTION FOR TWO OF THE EIGHT INTERSECTIONS** - Receive an update; and 1) Adoption of a resolution approving curb extensions at the intersections of (1) Palm Avenue and Harding Street and (2) Magnolia and Madison Street for the Barrio Traffic Circles Project; or
2) Adoption of a resolution approving raised medians at the intersections of (1) Palm Avenue and Harding Street and (2) Magnolia and Madison Street for the Barrio Traffic Circles Project (Staff contact: Tom Frank and Lauren Ferrell, Public Works Department)

City Manager's Recommendation: Receive the update and adopt a resolution.

15. **SEMIANNUAL TRANSPORTATION REPORT** – Receive the Semiannual Transportation Report. (Staff contact: Tom Frank, Public Works Department)

City Manager's Recommendation: Receive the report.

COUNCIL COMMENTARY AND REQUESTS FOR CONSIDERATION OF MATTERS: *This portion of the agenda is for the City Council Members to make brief announcements, brief reports of their activities and requests for future agenda items.*

City Council Regional Assignments (Revised 12/12/23)

Keith Blackburn Mayor	Buena Vista Lagoon JPC Chamber of Commerce Liaison (alternate) Encina Joint Powers JAC Encina Wastewater Authority Board of Directors Economic Development Subcommittee SANDAG Board of Directors (2 nd alternate) SANDAG Shoreline Preservation Work Group (alternate)
Priya Bhat-Patel Mayor Pro Tem – District 3	City/School Committee Clean Energy Alliance JPA Economic Development Subcommittee League of California Cities – SD Division (alternate) North County Transit District SANDAG Board of Directors (1 st alternate)

Melanie Burkholder Council Member – District 1	City Council Legislative Subcommittee North County Dispatch Joint Powers Authority (alternate) SANDAG Board of Directors
Teresa Acosta Council Member – District 4	Chamber of Commerce Liaison City Council Legislative Subcommittee City/School Committee Clean Energy Alliance JPA (alternate) Encina Joint Powers JAC (alternate) Encina Wastewater Authority Board of Directors (alternate) League of California Cities – SD Division North County Dispatch Joint Powers Authority San Diego County Water Authority
Carolyn Luna Council Member – District 2	Buena Vista Lagoon JPC Encina Joint Powers JAC Encina Wastewater Authority Board of Directors North County Transit District (alternate) SANDAG Shoreline Preservation Work Group

PUBLIC COMMENT: Continuation of the Public Comments

This portion of the agenda is set aside for continuation of public comments, if necessary, due to exceeding the total time allotted in the first public comments section. In conformance with the Brown Act, no Council action can occur on these items.

ANNOUNCEMENTS:

This section of the Agenda is designated for announcements to advise the community regarding events that Members of the City Council have been invited to, and may participate in.

CITY MANAGER COMMENTS:

CITY ATTORNEY COMMENTS:

CITY CLERK COMMENTS:

ADJOURNMENT:

City Council Meeting Procedures (continued from page 1)

Written Materials

Written materials related to the agenda that are submitted to the City Council after the agenda packet has been published will be available for review prior to the meeting during normal business hours at the City Clerk's office, 1200 Carlsbad Village Drive and on the city website. To review these materials during the meeting, please see the City Clerk.

Visual Materials

Visual materials, such as pictures, charts, maps or slides, are allowed for comments on agenda items, not general public comment. Please contact the City Manager's Office at 442-339-2820 or manager@carlsbadca.gov to make arrangements in advance. All materials must be received by the City Manager's Office no later than noon the day before the meeting. The time spent presenting visual materials is included in the maximum time limit provided to speakers. All materials exhibited to the City Council during the meeting are part of the public record. **Please note that video presentations are not allowed.**

Decorum

All participants are expected to conduct themselves with mutual respect. Loud, boisterous and unruly behavior can interfere with the ability of the City Council to conduct the people's business. That's why it is illegal to disrupt a City Council meeting. Following a warning from the presiding officer, those engaging in disruptive behavior are subject to law enforcement action.

City Council Agenda

The City Council follows a regular order of business that is specified in the Carlsbad Municipal Code. The City Council may only make decisions about topics listed on the agenda.

Presentations

The City Council often recognizes individuals and groups for achievements and contributions to the community. Well-wishers often fill the chamber during presentations to show their support and perhaps get a photo. If you don't see an open seat when you arrive, there will likely be one once the presentations are over.

Consent Items

Consent items are considered routine and may be enacted together by one motion and vote. Any City Council member may remove or "pull" an item from the "consent calendar" for a separate vote. Members of the public may pull an item from the consent calendar by requesting to speak about that item. A speaker request form must be submitted to the clerk prior to the start of the consent portion of the agenda.

Public Comment

Members of the public may speak on any city related item that does not appear on the agenda, provided remarks are confined to matters within the City Council's subject matter jurisdiction. State law prohibits the City Council from taking action on items not listed on the agenda. Comments requiring follow up will be referred to staff and, if appropriate, considered at a future City Council meeting. Members of the public are also welcome to provide comments on agenda items during the portions of the meeting when those items are being discussed, provided remarks are confined to the question or matter under consideration. In both cases, a request to speak form must be submitted to the clerk in advance of that portion of the meeting beginning.

Public Hearing

Certain actions by the City Council require a "public hearing," which is a time within the regular meeting that has been set aside and noticed according to different rules.

Departmental Reports

This part of the agenda is for items that are not considered routine and do not require a public hearing. These items are usually presented to the City Council by city staff and can be informational in nature or require action. The staff report about each item indicates the purpose of the item and whether or not action is requested.

Other Reports

At the end of each meeting, City Council members and the City Manager, City Attorney and City Clerk are given an opportunity to share information. This usually includes reports about recent meetings, regional issues, and recent or upcoming meetings and events.

City Council Actions

Resolution

A resolution is an official statement of City Council policy that directs administrative or legal action or embodies a public City Council statement. A resolution may be introduced and adopted at the same meeting. Once adopted, it remains City Council policy until changed by subsequent City Council resolution.

Ordinance

Ordinances are city laws contained in the Carlsbad Municipal Code. Enacting a new city law or changing an existing one is a two-step process. First, the ordinance is "introduced" by city staff to the City Council. If the City Council votes in favor of the introduction, the ordinance will be placed on a subsequent City Council meeting agenda for "adoption." If the City Council votes to adopt the ordinance, it will usually go into effect 30 days later.

Motion

A motion is used to propose City Council direction related to an item on the agenda. Any City Council member may make a motion. A motion must receive a "second" from another City Council member to be eligible for a City Council vote.



CITY COUNCIL
Minutes

Council Chamber
1200 Carlsbad Village Drive
Carlsbad, CA 92008

Dec. 5, 2023, 5 p.m.

CALL TO ORDER: 5 p.m.

ROLL CALL: Blackburn, Bhat-Patel, Acosta, Burkholder, Luna.

PLEDGE OF ALLEGIANCE: City Manager Scott Chadwick led the Pledge of Allegiance.

ANNOUNCEMENT OF CONCURRENT MEETINGS: Mayor Blackburn announced that the City Council is serving as the Carlsbad Municipal Water District Board of Directors on Consent Calendar Item No. 7.

APPROVAL OF MINUTES:

Minutes of the Regular Meeting held Oct. 17, 2023

Minutes of the Regular Meeting held Oct. 24, 2023

Motion by Mayor Pro Tem Bhat-Patel, seconded by Council Member Acosta, to approve the minutes as presented. Motion carried unanimously, 5/0.

PRESENTATIONS: None.

PUBLIC REPORT OF ANY ACTION TAKEN IN CLOSED SESSION: City Attorney Cindie McMahon announced there was no reportable action.

PUBLIC COMMENT:

Mary Lucid expressed her concerns with the Senior Center.

Dive San Diego Representative Don Cashmore spoke regarding Alga Norte pool safety.

Richard Eckfield spoke regarding global warming, including the global response and City of Carlsbad response.

CONSENT CALENDAR:

Motion by Mayor Pro Tem Bhat-Patel, seconded by Council Member Acosta, to approve Consent Calendar Item Nos. 1, 3, 4, 6 and 7. Motion carried unanimously, 5/0.

This item was pulled due to a public speaker.

1. **ANNUAL REPORT OF INVESTMENTS FOR FISCAL YEAR 2022-23** – Accept and file Annual Report of Investments for Fiscal Year 2022-23. (Staff contact: Craig Lindholm, Administrative Services Department)

This item was pulled due to a public speaker, and by Council Member Burkholder for discussion.

2. **JOINT USE AND COMMUNITY RECREATION AGREEMENT BETWEEN CARLSBAD UNIFIED SCHOOL DISTRICT AND CITY OF CARLSBAD** – Adoption of a resolution approving a Joint Use and Community Recreation Agreement between the Carlsbad Unified School District and the City of Carlsbad, specific to the use and maintenance of designated athletic fields, sport courts and grounds at eight school facilities for a 10-year term. (Staff contact: Kyle Lancaster, Community Services Department)

This item was pulled due to a public speaker.

3. BOARDS, COMMISSIONS AND COMMITTEES LOCAL APPOINTMENTS LIST FOR 2024 – Receive and file the Boards, Commissions and Committees Local Appointments List for 2024. (Staff contact: Tammy McMinn, City Clerk Department)
4. ADDITIONAL APPROPRIATION FOR OUTFITTING POLICE DEPARTMENT VEHICLES – Adoption of Resolution No. 2023-281 authorizing the City Manager or designee to appropriate \$195,000 from the General Fund to the Police Department's fiscal year 2023-24 operating budget to complete the outfitting of 34 marked take-home police vehicles. (Staff contact: Bradley Northup, Public Works Department and Jeffery Smith, Police Department)

This item was continued to a date uncertain.

5. ADVERTISE FOR BIDS FOR THE PARK DRIVE STREET AND DRAINAGE IMPROVEMENTS PROJECT Adoption of a resolution approving the plans, specifications and contract documents and authorizing the City Clerk to advertise for bids for the Park Drive Street and Drainage Improvements Project, Capital Improvement Program Project No. 6611. (Staff contact: Brandon Miles and Hossein Ajideh, Public Works Department)
6. AMENDMENT NO. 10 TO AN AGREEMENT WITH SILLMAN WRIGHT ARCHITECTS, INC. FOR DESIGN SERVICES FOR THE POLICE AND FIRE HEADQUARTERS RENOVATION PROJECT – Adoption of Resolution No. 2023-282 authorizing Amendment No. 10 to an agreement with Sillman Wright Architects, Inc., for design services for the Police and Fire Headquarters Renovation Project in an amount not to exceed \$91,080 and to extend the term of the agreement until Nov. 24, 2024, CIP, Project No. 4715. (Staff contact: Steven Stewart, Public Works Department)
7. AWARD OF CONTRACT TO BADGER METER, INC. FOR PURCHASE OF WATER METERS – Adoption of Carlsbad Municipal Water District Resolution No. 1720 accepting bids and awarding a master purchase agreement to Badger Meter, Inc. for the purchase of water service meters in an amount not to exceed \$150,000 per agreement year. (Staff contact: Andrew Wilson and Eric Sanders, Public Works Department)

CONSENT CALENDAR ITEMS PULLED FOR DISCUSSION:

1. ANNUAL REPORT OF INVESTMENTS FOR FISCAL YEAR 2022-23 – Accept and file Annual Report of Investments for Fiscal Year 2022-23. (Staff contact: Craig Lindholm, Administrative Services Department)
Mary Lucid expressed her concern as to where the City's money is being spent.
2. JOINT USE AND COMMUNITY RECREATION AGREEMENT BETWEEN CARLSBAD UNIFIED SCHOOL DISTRICT AND CITY OF CARLSBAD – Adoption of Resolution No. 2023-280 approving a Joint Use and Community Recreation Agreement between the Carlsbad Unified School District and the City of Carlsbad, specific to the use and maintenance of designated athletic fields, sport courts and grounds at eight school facilities for a 10-year term. (Staff contact: Kyle Lancaster, Community Services Department)

Preserve Calavera representative Paige Decino spoke regarding her concern for the locking and unlocking schedules of the gates at eight school site parks that count as part of open space areas accessible to the public.

In response to Council Member Burkholder's inquiry, Parks & Recreation Director Kyle Lancaster explained that pickleball cannot be played on any regular tennis courts.

Motion by Mayor Pro Tem Bhat-Patel, seconded by Council Member Acosta, to approve Consent Calendar Item No. 2. Motion carried unanimously, 5/0.

3. BOARDS, COMMISSIONS AND COMMITTEES LOCAL APPOINTMENTS LIST FOR 2024 – Receive and file the Boards, Commissions and Committees Local Appointments List for 2024. (Staff contact: Tammy McMinn, City Clerk Department)

Mary Lucid spoke regarding the rules that the boards, commissions and committees are required to follow.

BOARD AND COMMISSION MEMBER APPOINTMENTS: None.

ORDINANCES FOR INTRODUCTION:

8. REVISIONS TO CARLSBAD MUNICIPAL CODE CHAPTER 2.04 - ELECTED OFFICIALS – Introduction of Ordinance No. CS-462 amending Carlsbad Municipal Code Chapter 2.04 – Elected Officials, specifically section 2.04.030 – Duties of Mayor and Section 2.04.040 – Eligibility for Office. (Staff contact: Sheila Cobian, City Manager Department)

City Manager's Recommendation: Introduce the ordinance.

Director of Legislative & Constituent Services Sheila Cobian presented the report and reviewed a PowerPoint presentation (on file in the Office of the City Clerk).

Mary Lucid spoke regarding the Mayor's duties.

Motion by Mayor Pro Tem Bhat-Patel, seconded by Council Member Acosta, to introduce Ordinance No. CS-462. Motion passed unanimously, 5/0.

ORDINANCES FOR ADOPTION: None.

PUBLIC HEARING: None.

DEPARTMENTAL AND CITY MANAGER REPORTS:

9. MCCLELLAN-PALOMAR AIRPORT - NOISE ABATEMENT ADVISORY LETTERS – Adoption of a resolution authorizing the Mayor to sign noise abatement advisory letters prepared by city staff to send in quarterly batches to aircraft pilots that operate during voluntary quiet hours at McClellan-Palomar Airport. (Staff contact: Jason Haber, City Manager Department)

City Manager's Recommendation: Adopt the resolution.

Intergovernmental Affairs Director Jason Haber reviewed the report and recommended that the City Council adopt the resolution.

Mary Lucid expressed her concerns regarding the emissions from McClellan-Palomar Airport.

Dom Betro explained that the noise abatement advisory letters is a good first step to help with the noise issues.

Hope Nelson thanked the City Council for taking the initiative to address noise issues at Palomar Airport.

Mayor Blackburn asked Intergovernmental Affairs Director Haber to include more details including flight patterns and altitudes in the advisory letters within 60 days.

Motion by Mayor Blackburn, seconded by Mayor Pro Tem Bhat-Patel, directing staff to return to the City Council within 60 days with a more detailed Voluntary Noise Abatement Program (VNAP) that will include flight patterns and flight altitudes. Motion carried unanimously, 5/0.

COUNCIL REPORTS AND COMMENTS: Mayor Blackburn and the City Council Members reported on activities and meetings of some committees and subcommittees of which they are members.

ANNOUNCEMENTS: This section of the Agenda is designated for announcements to advise the community regarding events that Members of the City Council have been invited to, and may participate in.

Tuesday, Dec. 12, 2023

8 a.m. - 9 .am.

City of Carlsbad Police Dept. Volunteer Holiday Breakfast

Safety Training Center

Orion St.

Carlsbad, CA

CITY MANAGER COMMENTS: None.

CITY ATTORNEY COMMENTS: None.

CITY CLERK COMMENTS: None.

ADJOURNMENT: Mayor Blackburn adjourned the duly noticed meeting at 5:56 p.m.

Tamara R. McMinn, CPMC, CMC
Senior Deputy City Clerk



Minutes

Dec. 12, 2023, 3:30 p.m.

CALL TO ORDER: 3:30 p.m.

ROLL CALL: Blackburn, Bhat-Patel, Acosta, Burkholder, Luna.

ANNOUNCEMENT OF CONCURRENT MEETINGS: None.

PUBLIC COMMENT ON AGENDA ITEM: None.

CLOSED SESSION:

City Attorney Cindie McMahon read the City Council into Closed Session.

Council adjourned into Closed Session at 3:31 p.m. pursuant to the following:

1. **CONFERENCE WITH LABOR NEGOTIATORS:** CONFERENCE WITH LABOR NEGOTIATORS (Government Code Section 54957.6):

CITY NEGOTIATORS: Geoff Patnoe, Assistant City Manager
Laura Rocha, Deputy City Manager, Administrative Services
Judy Von Kalinowski, Human Resources Director
Jennifer True, Deputy City Attorney
Debbie Porter, Senior Management Analyst
Tim Davis, Partner, Burke Williams & Sorensen, LLP

EMPLOYEE ORGANIZATIONS: CPOA

Council Action: No reportable action.

2. **PERFORMANCE EVALUATION OF APPOINTED PUBLIC EMPLOYEES:** That the City Council, by motion authorize a closed session regarding personnel matters pursuant to Government Code section 54957(b) as follows:

PUBLIC EMPLOYEE PERFORMANCE EVALUATION

Titles: City Manager
City Attorney

Council Action: No reportable action.

Mayor Blackburn and Council Member Burkholder left the meeting at 4:30 p.m.

ADJOURNMENT:

By proper motion, the Special Meeting of Dec. 12, 2023, was adjourned at 4:35 p.m.

Tamara R. McMinn, CPMC, CMC
Senior Deputy City Clerk



CITY COUNCIL

Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Craig Lindholm, City Treasurer
craig.lindholm@carlsbadca.gov, 442-339-2472
Roxanne Muhlmeister, Assistant Finance Director
roxanne.muhlmeister@carlsbadca.gov, 442-339-2417

Subject: Report on City Investments as of Nov. 30, 2023

District: All

Recommended Action

Accept and file Report on City Investments as of Nov. 30, 2023.

Executive Summary

The city's Investment Policy requires the City Treasurer to report the status of the city's pooled investment portfolio to the City Council each month.

Discussion & Fiscal Analysis

The city's pooled investment portfolio as of the month ending Nov. 30, 2023, is summarized below.

Pooled investment portfolio (cash and securities)

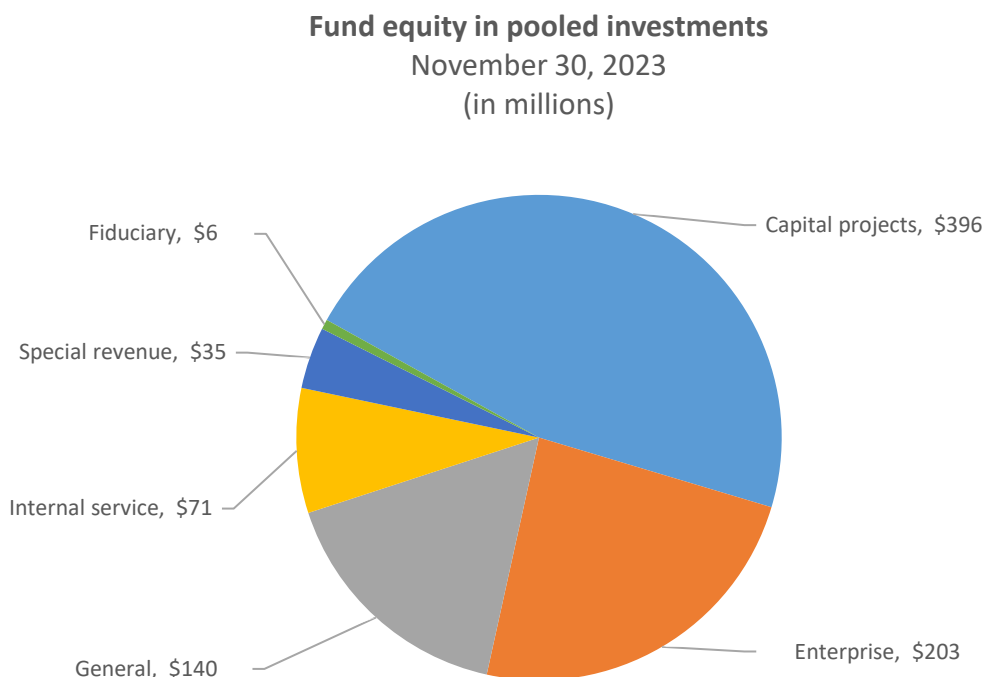
	Current month	Prior month
Par value ¹	\$857,480,326	\$856,033,452
Investment cost	\$860,492,903	\$860,029,554
Amortized cost ²	\$855,051,879	\$854,515,991
Market value ³	\$820,442,170	\$812,696,616

(1) The face value of the investments.

(2) The cost of investments adjusted for amortized premiums and discounts.

(3) The amount at which the investments could be sold. Source of market value is Wells Fargo Bank's custodial report.

The equity portion of the various funds in the total portfolio, that is, the part of the total investment portfolio assigned to each fund, is summarized in the graph below. Fund balances are restricted for various purposes (See Exhibit 6 for a more detailed breakdown).



Pooled investment interest income			
	Fiscal year to date	Current month	Prior month
Cash income	\$8,585,639	\$1,627,671	\$1,999,700
The cash income received is adjusted for any received interest previously purchased.			

Pooled investment performance			
	Average life (years)	Yield ⁴	Modified duration
September 2023	1.75	2.33%	1.55
October 2023	1.73	2.35%	1.54
November 2023	1.77	2.44%	1.58

(4) Yield is computed by totaling the weighted average of each investment's return less any costs.

All pooled investments have been made in accordance with the city's Investment Policy, which was adopted Jan. 2, 1985, and last revised Feb. 7, 2023; however, events after the purchase might result in perceived non-compliance with the current policy. These events are typically a change in the credit rating after a purchase, a change in the city's Investment Policy, or a temporary reduction in total portfolio assets.

Exhibit 7 shows the investments out of compliance with the current policy that experienced a subsequent change in credit rating. Ratings on two investments have dropped to less than the rating required by the Investment Policy since their initial purchase. Corporate notes and municipal bonds require a “split rating” of AA from one rating company and an A rating from a second. Mortgage-backed securities require an AA rating from one rating company.

The city’s Investment Policy allows the City Treasurer to determine the course of action that would correct exceptions to the policy. These investments are paying interest at the required times and their principal is considered secure. It is the intent of the City Treasurer to hold these assets in the portfolio until maturity unless events indicate they should be sold.

Next Steps

The report on city investments will continue to be produced monthly by the City Treasurer.

Environmental Evaluation

This action does not require environmental review because it does not constitute a project within the meaning of the California Environmental Quality Act under California Public Resources Code Section 21065 in that it has no potential to cause either a direct physical change or a reasonably foreseeable indirect physical change in the environment.

Exhibits

1. Investments by cost, market value, cash income and average yield by class
2. Maturities by classification and length of time at market value
3. Yield comparison & market yield curve
4. Cash income by month & cumulative cash income
5. Maturities, calls and purchases this quarter
6. Fund equity in pooled investments
7. Security ratings and outlooks
8. Portfolio allocation at amortized cost by issuer
9. Investment detail

City of Carlsbad investment portfolio
Investments by cost, market value, cash income and average yield by class
November 30, 2023

Exhibit 1

Class	Investment cost		Market value		YTD net income	Average yield		Percent of total
	Current month	Prior month	Current month	Prior month		Current month	Prior month	
Certificate of deposit	\$ 21,263,877	\$ 21,506,877	\$ 19,993,585	\$ 20,111,717	\$ 166,306	1.94%	1.93%	2.44%
Corporate notes	155,432,609	153,840,909	144,305,027	141,056,266	1,805,034	2.00%	1.92%	17.59%
Federal agency	326,092,159	326,310,724	308,096,152	304,995,978	1,769,302	1.50%	1.41%	37.55%
Mortgage passthrough securities	42,352,939	40,047,195	40,489,749	37,697,335	396,719	2.98%	2.81%	4.94%
Municipal bonds	86,470,422	81,471,332	81,784,444	75,862,352	603,739	2.28%	2.12%	9.97%
Supranational securities	19,683,412	19,683,412	18,546,622	18,318,577	163,893	1.69%	1.69%	2.26%
US Treasury	69,245,524	71,232,867	67,274,630	68,718,153	325,267	2.09%	2.06%	8.20%
General cash account	2,489,758	2,459,901	2,489,758	2,459,901	-	0.00%	0.00%	0.30%
Sweep account	22,516,425	5,006,759	22,516,425	5,006,759	164,794	5.23%	5.22%	2.74%
Investment cash account	511,843	5,668,024	511,843	5,668,024	41,554	2.85%	2.85%	0.06%
California Asset Mgmt Program (CAMP)	112,624,954	130,992,572	112,624,954	130,992,572	3,118,897	5.58%	5.56%	13.73%
Local Agency Investment Fund (LAIF)	1,808,983	1,808,983	1,808,983	1,808,983	30,133	3.85%	3.67%	0.22%
Total	\$ 860,492,903	\$ 860,029,554	\$ 820,442,170	\$ 812,696,616	\$ 8,585,639	2.44%	2.35%	100.00%

Policy:

Certificates of deposit and corporate notes are limited to 30% of total portfolio at the time of purchase.

Pass through securities are limited to 20% of total portfolio at the time of purchase.

Municipal bonds are limited to 15% of total portfolio at the time of purchase.

Supranational securities are limited to 10% of total portfolio at the time of purchase.

City of Carlsbad investment portfolio
Maturities by classification and length of time at market value
November 30, 2023

Exhibit 2

Class	Overnight	Within 12 months	13-36 months	37-60 months	Total
Certificate of deposit	-	\$ 1,938,678.75	11,196,737.97	6,858,168.46	19,993,585.18
Corporate notes	-	52,421,047.20	52,015,107.48	39,868,872.50	144,305,027.18
Federal agency	-	61,507,020.13	\$ 188,945,275.10	\$ 57,643,856.35	308,096,151.58
Mortgage passthrough securities	-	3,592,827.29	16,040,028.66	20,856,892.78	40,489,748.73
Municipal bonds	-	10,485,950.00	36,471,546.35	34,826,947.30	81,784,443.65
Supranational securities	-	5,254,676.80	8,345,430.00	4,946,515.00	18,546,621.80
US Treasury	-	31,194,515.00	27,220,880.00	8,859,235.00	67,274,630.00
General cash account	2,489,758.00	-	-	-	2,489,758.00
Sweep account	22,516,424.61	-	-	-	22,516,424.61
Investment cash account	511,842.82	-	-	-	511,842.82
California Asset Mgmt Program (CAMP)	112,624,954.04	-	-	-	112,624,954.04
Local Agency Investment Fund (LAIF)	1,808,982.84	-	-	-	1,808,982.84
Totals	\$ 139,951,962.31	\$ 166,394,715.17	\$ 340,235,005.56	\$ 173,860,487.39	\$ 820,442,170.43
Percent Total	17.1%	20.3%	41.5%	21.2%	100.0%

Total within one year \$306,346,677
Percentage of the budget 82.4%

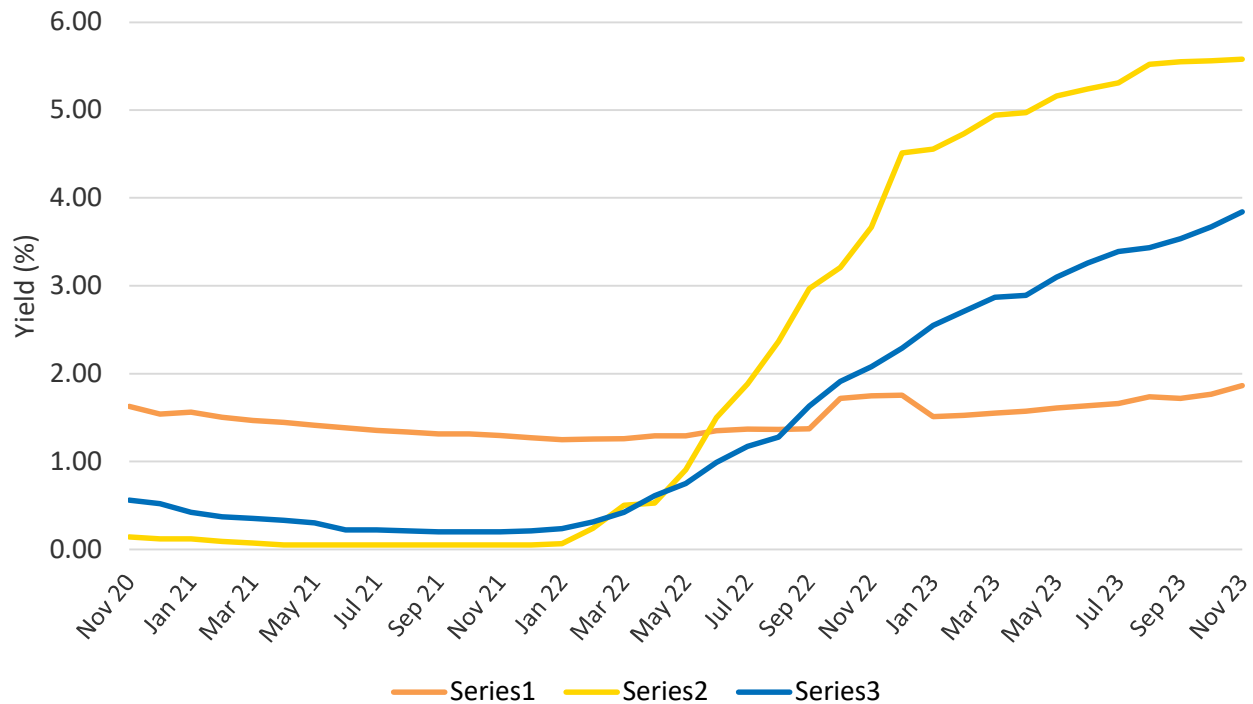
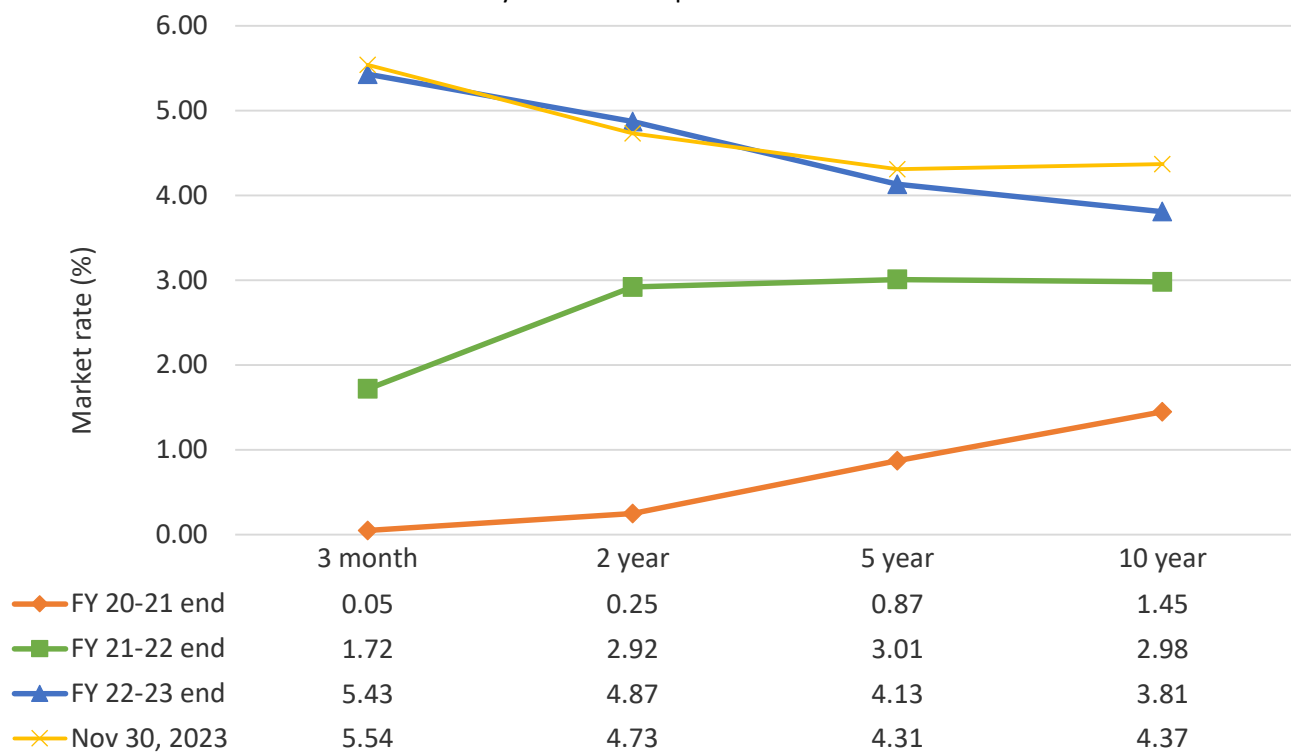
Policy:

Not less than \$251,510,000 to mature within one year, two-thirds of FY 23-24 operating budget of \$377,263,607.

Maximum term for all securities is five years.

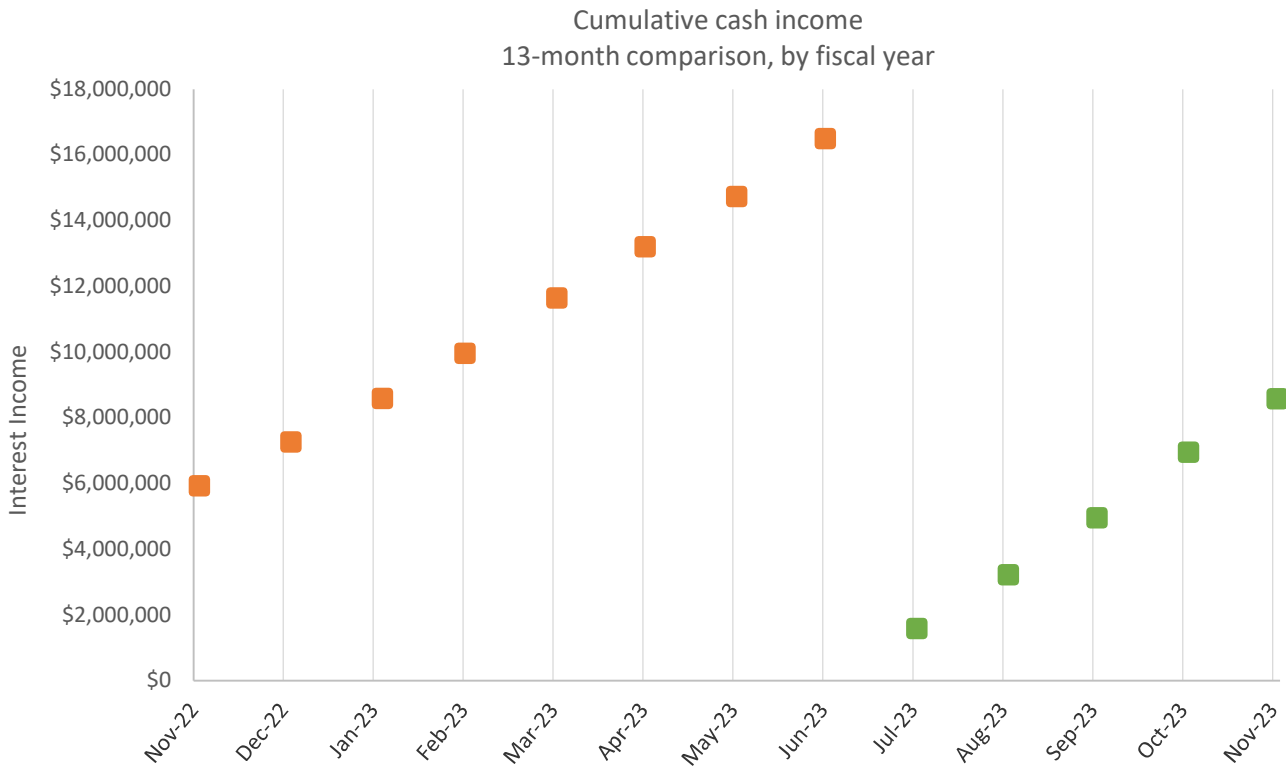
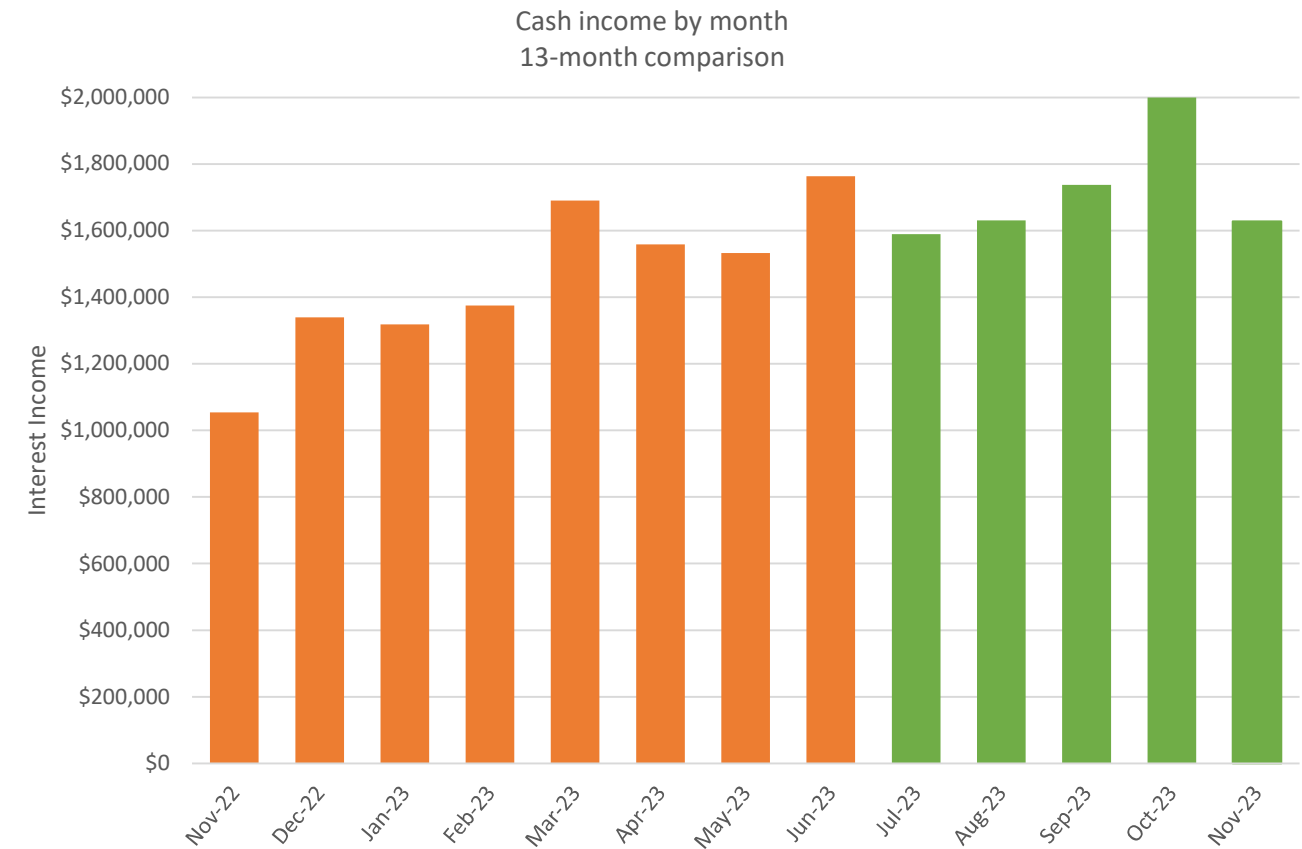
Yield comparisons

November 30, 2023

Yield comparison: Securities vs CAMP vs LAIF
Three year comparisonYield comparison: market yields
Fiscal year ends compared to current

Cash income

November 30, 2023



City of Carlsbad investment portfolio
Maturities, calls and purchases this quarter

Exhibit 5

November 30, 2023

Maturities

CUSIP	Issuer	Settled	Maturity	Yield	Par value	Book value	Interest	Total
Certificate of deposit								
635573AK4	National Coop Bank	11/15/18	10/30/23	3.45%	245,000.00	245,000.00	4,237.83	249,237.83
06251AV31	Bank Hapoalim Bm	11/14/18	11/14/23	3.50%	245,000.00	245,000.00	4,322.74	249,322.74
61760ARV3	Morgan Stanley	11/15/18	11/15/23	3.55%	245,000.00	245,000.00	4,384.49	249,384.49
856283G59	State Bank Of India	11/29/18	11/29/23	3.60%	245,000.00	245,000.00	4,446.25	249,446.25
Corporate notes								
857477AM5	State Street Corp	12/23/19	11/20/23	1.95%	2,000,000.00	2,000,000.00	37,000.00	2,037,000.00
Federal agency								
3133EJD48	Fed Farm Credit Bk	10/17/18	10/02/23	3.05%	2,500,000.00	2,500,000.00	38,125.00	2,538,125.00
3133EJQA0	Fed Farm Credit Bk	02/07/19	10/23/23	3.00%	1,000,000.00	1,000,000.00	15,000.00	1,015,000.00
3133EKKU9	Fed Farm Credit Bk	05/09/19	11/08/23	2.28%	2,000,000.00	2,000,000.00	23,000.00	2,023,000.00
3134GXCA0	Fed Home Loan Mtg	11/24/20	11/24/23	0.32%	2,500,000.00	2,500,000.00	4,000.00	2,504,000.00
3133EMHL9	Fed Farm Credit Bk	11/30/20	11/30/23	0.31%	3,000,000.00	3,000,000.00	4,650.00	3,004,650.00
Mortgage passthrough securities								
31398E6W9	FHLM - FHR 3544 BC	08/27/20	10/15/23	0.53%	11,480.26	12,029.16	217.63	12,246.79
3137F32A1	FHLM - KHG1 A1	04/15/20	10/25/23	1.00%	89,336.82	95,757.90	3,443.30	99,201.20
30315EAA4	FRESB - MFM	07/24/20	10/25/23	0.83%	1,429.56	1,436.55	616.18	2,052.73
30318NAA1	FRESB - 2021-SB83	02/19/21	10/25/23	0.51%	16,675.80	16,754.11	672.59	17,426.70
3137FBTA4	FHLM - FHMS K728	03/10/21	10/25/23	3.06%	331,724.04	357,808.44	7,367.66	365,176.10
30321CAQ5	FRESB - 2021-SB88 A5F	07/23/21	10/25/23	0.75%	40,234.22	40,423.16	1,303.61	41,726.77
3137BP4J5	FHLM - FHMS K1R1	08/20/21	10/25/23	0.41%	44,124.03	46,213.03	2,782.05	48,995.08
30324QAC2	FRESB - 2022-SB94	01/21/22	10/25/23	1.50%	7,471.47	7,506.03	5,785.70	13,291.73
30311SAA7	FRESB - 2022-SB97 A5F	04/22/22	10/25/23	2.80%	5,187.09	4,981.08	5,020.83	10,001.91
3137BM7B6	FHMS - K051 A1	06/30/22	10/25/23	3.30%	95,632.65	94,885.52	6,134.10	101,019.62
3137BL6J2	FHLM - FHMS K048 A1	07/22/22	10/25/23	3.43%	74,596.60	73,850.63	2,129.97	75,980.60
30329MAA0	FRESB - 2022-SB103 A5F	10/28/22	10/25/23	4.79%	2,065.37	1,850.34	2,578.72	4,429.06
30329QAA1	FRESB - 2022-SB104 A5F	11/18/22	10/25/23	2.60%	4,873.97	4,449.15	8,595.38	13,044.53
3138L7D60	FHLM - AM6424	12/19/22	10/25/23	4.21%	2,494.42	2,414.91	2,831.94	5,246.85
30332EAA3	FRESB - 2023-SB107 A5F	07/20/23	10/25/23	4.09%	414.94	405.92	10,222.52	10,628.44
30333AAA0	FRESB 2023-SB108 A5F	08/17/23	10/25/23	4.99%	877.90	959.98	12,383.09	13,343.07
31398E6W9	FHLM - FHR 3544 BC	08/27/20	11/15/23	0.53%	10,903.34	11,424.66	179.36	11,604.02
3137F32A1	FHLM - KHG1 A1	04/15/20	11/25/23	1.00%	83,988.03	90,024.67	3,194.57	93,219.24
30315EAA4	FRESB - MFM	07/24/20	11/25/23	0.83%	1,352.86	1,359.48	615.19	1,974.67
30318NAA1	FRESB - 2021-SB83	02/19/21	11/25/23	0.51%	47,889.77	48,114.66	663.83	48,778.49
3137FBTA4	FHLM - FHMS K728	03/10/21	11/25/23	3.06%	4,188.39	4,517.73	6,520.66	11,038.39
30321CAQ5	FRESB - 2021-SB88 A5F	07/23/21	11/25/23	0.75%	2,848.85	2,862.23	1,274.11	4,136.34
3137BP4J5	FHLM - FHMS K1R1	08/20/21	11/25/23	0.41%	41,846.71	43,827.89	2,692.11	46,520.00
30324QAC2	FRESB - 2022-SB94	01/21/22	11/25/23	1.50%	7,110.64	7,143.53	5,775.48	12,919.01
30311SAA7	FRESB - 2022-SB97 A5F	04/22/22	11/25/23	0.03%	4,936.27	4,740.64	5,013.12	9,753.76

City of Carlsbad investment portfolio
Maturities, calls and purchases this quarter

Exhibit 5

November 30, 2023

Maturities cont.

CUSIP	Issuer	Settled	Maturity	Yield	Par value	Book value	Interest	Total
3137BM7B6	FHMS - K051 A1	06/30/22	11/25/23	3.30%	89,951.01	89,248.27	5,904.03	95,152.30
3137BL6J2	FHLM - FHMS K048 A1	07/22/22	11/25/23	3.43%	70,729.30	70,022.01	1,962.82	71,984.83
30329MAA0	FRESB - 2022-SB103 A5F	10/28/22	11/25/23	4.79%	1,935.29	1,733.80	2,575.14	4,308.94
30329QAA1	FRESB - 2022-SB104 A5F	11/18/22	11/25/23	2.60%	4,511.45	4,118.22	8,584.82	12,703.04
3138L7D60	FHLM - AM6424	12/19/22	11/25/23	4.21%	2,502.89	2,423.11	2,824.77	5,247.88
30332EAA3	FRESB - 2023-SB107 A5F	07/20/23	11/25/23	4.09%	368.18	360.18	10,221.11	10,581.29
30333AAA0	FRESB 2023-SB108 A5F	08/17/23	11/25/23	4.99%	782.30	765.44	12,389.98	13,155.42

Supranational securities

4581X0CC0	Inter-Am Devel Bank	05/09/19	10/04/23	3.00%	2,000,000.00	2,000,000.00	30,000.00	2,030,000.00
4581X0CC0	Inter-Am Devel Bank	11/10/20	10/04/23	3.00%	3,000,000.00	3,000,000.00	45,000.00	3,045,000.00

U.S. Treasury

91282CAP6	US Treasury	02/10/22	10/16/23	0.13%	2,500,000.00	2,500,000.00	1,562.50	2,501,562.50
91282CDD0	US Treasury	11/12/21	10/31/23	0.38%	2,000,000.00	2,000,186.72	3,750.00	2,003,936.72
91282CDM0	US Treasury	01/14/22	11/30/23	0.84%	2,000,000.00	2,000,000.00	5,000.00	2,005,000.00

Maturities Total	26,624,599.15	366,955.18	26,991,554.33
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Calls

CUSIP	Issuer	Settled	Maturity	Yield	Redeemed	Par value	Book value	Total
No calls this quarter								
Calls Total						-	-	-

Purchases

CUSIP	Issuer	Settled	Maturity	Yield	First Coupon	Par value	Book value
Certificate of deposit							
84287PJB9	Southern First Bank	10/17/23	10/17/28	4.85%	04/17/24	244,000.00	244,000.00
20347MAS0	Cmtly Bank & Trust	10/20/23	10/20/27	4.90%	04/20/24	244,000.00	244,000.00
78577TMR3	Saco & Biddeford	11/06/23	08/06/27	5.00%	05/06/24	244,000.00	244,000.00
949764HZ0	Wells Fargo Bank	11/13/23	11/21/28	5.05%	12/21/23	248,000.00	248,000.00
Corporate notes							
592179KF1	Met Life Global	10/17/23	01/06/28	5.49%	01/06/24	1,000,000.00	983,540.00
742718FZ7	Proctor & Gamble	11/01/23	01/26/28	4.98%	01/26/23	2,000,000.00	1,922,140.00
48130CDL6	JP Morgan Chase	11/03/23	11/03/28	6.15%	05/03/24	1,800,000.00	1,800,000.00
Federal agency							
3134H1BP7	Fed Home Loan Mtg	10/13/23	09/11/28	5.15%	03/11/24	1,000,000.00	995,750.00
3134H1GL1	Fed Home Loan Mtg	10/18/23	07/18/28	5.00%	01/18/24	2,500,000.00	2,493,750.00

City of Carlsbad investment portfolio
Maturities, calls and purchases this quarter

Exhibit 5

November 30, 2023

Purchases cont.

CUSIP	Issuer	Settled	Maturity	Yield	First Coupon	Par value	Book value
3134H1GH0	Fed Home Loan Mtg	11/01/23	12/30/27	5.20%	04/30/24	1,500,000.00	1,488,900.00
3134H1GL1	Fed Home Loan Mtg	11/01/23	07/18/28	5.21%	01/18/24	2,000,000.00	1,982,760.00
313382GT4	Fed Home Loan Bank	11/15/23	03/10/28	4.72%	03/10/24	2,500,000.00	2,333,600.00
3134H1CM3	Fed Home Loan Mtg	11/17/23	09/25/28	4.84%	03/25/24	1,500,000.00	1,477,875.00
Mortgage passthrough securities							
30334CAA5	FRESB 2023-SB111 A5F	11/16/23	09/25/28	5.28%	12/25/23	2,750,000.00	2,688,430.25
Municipal bonds							
68608VDX9	State of Oregon	10/13/23	05/01/27	5.08%	11/01/23	1,000,000.00	943,330.00
032556FB3	Anaheim CA HSG	10/17/23	10/01/27	5.09%	04/01/24	1,670,000.00	1,487,068.20
797272RP8	SD Cmty College	10/25/23	08/01/27	5.16%	02/01/24	2,290,000.00	2,016,551.10
016249FQ2	Alief Independent SD	10/30/23	02/15/27	5.38%	02/15/24	1,980,000.00	1,969,209.00
13063DL22	State of California	11/15/23	10/01/28	5.01%	04/01/24	1,000,000.00	860,500.00
802385SN5	Santa Monica Cmty Clg	11/17/23	08/01/28	4.95%	02/01/24	1,000,000.00	940,860.00
882724RD1	State of Texas PFA	11/21/23	10/01/28	4.75%	04/01/24	2,000,000.00	1,787,400.00
882723B40	State of Texas	11/21/23	10/01/28	4.70%	04/01/24	1,500,000.00	1,410,330.00
U.S. Treasury							
91282CGA3	U.S. Treasury	10/17/23	12/15/25	4.93%	12/15/23	2,000,000.00	1,962,187.50
Purchases total						33,970,000.00	32,524,181.05

City of Carlsbad investment portfolio
Fund equity in pooled investments

Exhibit 6

November 30, 2023

Cash balance by fund:

General		140,401,848
Special revenue		34,940,124
Capital projects:		
Infrastructure replacement	120,250,137	
Special districts	108,723,004	
General capital construction	49,604,510	
Public facilities fees	31,557,850	
Traffic impact fees	22,232,403	
Gas tax	20,654,856	
Park development	17,079,674	
Technology investment	14,801,780	
TransNet taxes	5,943,402	
Drainage fees	5,093,875	
Capital project subtotal		395,941,492
Enterprise:		
Carlsbad Municipal Water District	139,641,831	
Sewer fund	46,503,018	
Storm water	6,109,342	
Solid waste	3,940,380	
Golf course	6,340,838	
Enterprise subtotal		202,535,409
Internal service		70,666,728
Fiduciary		5,582,933
Total general ledger balance **		850,068,534
Reconciling adjustments (1)		4,983,345
Total treasurer's investment portfolio at amortized cost		\$855,051,879

**Figures based on best estimate at the time report run on 12/11/2023.

(1) The reconciling adjustments consist of differences between the general ledger which is prepared on an accrual basis and the treasurer's report which is prepared on a cash basis. Accrued interest, amortized premium or discounts and outstanding checks and treasurer's summary. Differences between the time journal entries are posted and the time this deposits in transit are not included in the report is produced may also be a component of the adjustment.

City of Carlsbad investment portfolio
Security ratings and outlooks

Exhibit 7

November 30, 2023

Issuer	Moody's	S&P	Fitch	Outlook
Corporate notes				
3M Company (Merck & Co)	A1	A+		Neg/Neg
Amazon.com Inc	A1	AA	AA-	Stable/Stable/Stable
Apple Inc	AAA	AA+		Stable/Stable/
Bank of America	A1	A-	AA-	Stable/ /Stable
Bank of Montreal	A2	N/A	AA-	Stable
Bank of New York Mellon Corp	A1	A	AA-	Neg/Stable/Stable
Blackrock Inc	AA3	AA-		Stable/Stable/
BLC Community Bank	A2	N/A	AA-	Stable
Citibank	AA3	A+	A+	Stable/Stable/Stable
CME Group Inc	AA3	AA-	AA-	Stable/Stable/Stable
Colgate-Palmolive	AA3	AA-		Stable/Negative
Flordia Power and Light Co	AA2	A+	AA-	Stable/Stable/Stable
Johnson & Johnson	AAA	AAA		Stable/Neg
JP Morgan Chase Bank	A1	A-	AA-	Stable/Stable/Stable
MassMutual Global Funding	AA3	AA+	AA+	/Stable/
Merck & Co	A1	A+		Stable/Stable/
Met Life Global	AA3	AA-	AA-	/Stable/
Microsoft	AAA	AAA		Stable/Stable/
New York Life	AAA	AA+	AAA	Stable
Nike Inc.	A1	AA-		Stable/Stable/
Novartis Capital Corp	A1	AA-	AA-	Positive/Stable
Private Export Funding	AAA	N/A	AA+	Stable
Procter & Gamble	AA3	AA-		Stable/Stable/
Royal Bank of Canada	A1	A	AA-	Stable/Stable/Stable
Seattle Children's Hospital	AA2	N/A	AA	Stable
Toyota	A1	A+	A+	Stable/Stable/Stable
Visa Inc.	AA3	AA-		Stable/Stable/
Wal-Mart	AA2	AA	AA	Stable/Stable/Stable

Ratings of corporate notes must be AA or better by one and A or better another of the three: Moody's, S&P, or Fitch.

Mortgage passthrough securities

FHLMC	AAA	AA+		Stable
FNMA	AAA	AA+		Stable
FRESB	AAA	AA+		Stable

Ratings of mortgage passthrough securities must be AA or better by one of the three: Moody's, S&P, or Fitch.

Municipal Bonds

Ada/Canyon Cty SD	AA1	AA+		Stable
Alief Independent School Dist	AAA	AAA		
Amarillo Independent SD	AAA	AAA		Stable
Bay Area Water & Utl	AA3	AA-		
Cache County SD	AAA	AAA1	AAA1	Stable
City of Anaheim	N/A	AA+		

City of Carlsbad investment portfolio
Security ratings and outlooks

Exhibit 7

November 30, 2023

Issuer	Moody's	S&P	Fitch	Outlook
Contra Costa Cmty College	AA1	AA+		
County of Multnomah OR	AAA	AAA		Stable
Fremont CA Unified	AA2	AA-		Stable
Honolulu Wastewater	AA3	N/A	AA-	Stable
LA Unified SD	AA3	AA-		Stable
Los Angeles Water & Power	AA2	AA-		Stable
Marion County SD	AA1	AA+	AA+	Stable
Mason/Kitsap Cty SD	AAA	AA+	AA+	Stable
Minnesota State	AAA	AAA	AAA	Stable
Oregon State Dept Admin Serv	AA2	AA		
Oregon State Dept of Transp	AA1	AAA	AA+	Stable
Portland Cmty College	AA1	AA+	AA+	Stable
San Bernardino CCD	AA1	AA		Stable
San Diego Cmty College	AA1	AAA		Stable
San Francisco City Pub Utl	N/A	AA-		
San Jose Evergreen CC	AA1	AA+		Stable
San Jose Redevelopment	AA1	AA	AA	Stable
San Ramon Valley USD	AA1	AA+		
Santa Barbara CA USD	AA1	AA		Stable
Santa Monica Cmty College	AA2	AA+		
Southern CA Public Power	N/A	AA-	AA-	Stable
State of California	AA2	AA-	AA	Stable/positive/stable
State of Connecticut	AA3	AA-		
State of Hawaii	AA2	AA+	AA	Stable
Texas Tech University	AA1	AA+		Stable
University of California	AA2	AA	AA	Stable

Ratings of municipal bonds must be AA or better by one and A or better another of the three: Moody's, S&P, or Fitch.

Investments with subsequent changes in credit rating *

Corporate notes	Moody's	S&P	Fitch	Maturity date	Purchased	Book value
Merck & Co	A1	A+		03/07/24	10/08/19	\$ 1,507,952
Toyota	A1	A+	A+	01/08/24	03/07/19	\$ 1,000,380
						<u>\$ 2,508,332</u>

* All investments were in compliance with the city's investment policy unless otherwise denoted.

The city's Investment Policy allows the city treasurer to determine the course of action that would correct exceptions to the policy. All current exceptions are paying interest at the required times. The principal of all investments are considered secure. It is the intent of the city treasurer to hold these assets in the portfolio until maturity unless events indicate they should be sold.

City of Carlsbad investment portfolio
Portfolio allocation at amortized cost by issuer
November 30, 2023

Exhibit 8

Issuer	Amortized cost	Portfolio allocation
Corporate notes		
3M Company (Meric)	\$ 1,504,894	0.18%
Amazon.com Inc.	4,528,366	0.53%
Apple Inc.	1,530,700	0.18%
Bank of America	16,487,952	1.93%
Bank of Montreal	6,000,000	0.70%
Bank of New York Mellon	6,099,941	0.71%
Blackrock Inc.	7,043,157	0.82%
BLC Community Bank (Bank of Montreal)	2,450,000	0.29%
Citibank	7,016,510	0.82%
CME Group	2,846,442	0.33%
Colgate-Palmolive	1,959,546	0.23%
Florida Power & Light	3,752,615	0.44%
Johnson & Johnson	13,002,028	1.52%
JP Morgan Chase Bank	24,890,744	2.91%
Massmutual Global	3,768,193	0.44%
Merck & Co	1,493,469	0.17%
Met Life Global	5,157,763	0.60%
Microsoft	4,157,260	0.49%
New York Life	3,354,036	0.39%
Nike Inc.	2,936,791	0.34%
Novartis Capital Corp	3,327,304	0.39%
Private Export Funding Corp.	2,508,118	0.29%
Procter & Gamble	8,838,863	1.03%
Royal Bank of Canada	6,995,418	0.82%
Seattle Children's Hospital	871,427	0.10%
Toyota	1,000,380	0.12%
Visa Inc.	1,302,739	0.15%
Wal-Mart	6,556,429	0.77%
Mortgage passthrough securities		
FAMCA	3,612,750	0.42%
FHLMC	13,274,599	1.55%
FNMA	948,788	0.11%
FRESB	24,682,685	2.89%
Federal agencies		
Federal Agricultural Mortgage Corp.	23,146,950	2.71%
Federal Farm Credit Bank	88,491,562	10.35%
Federal Home Loan Bank	121,629,405	14.22%
Federal Home Loan Mortgage Corp.	57,678,155	6.75%
Federal National Mortgage Assoc.	33,413,076	3.91%
Tennessee Valley Authority	1,020,190	0.12%

City of Carlsbad investment portfolio
Portfolio allocation at amortized cost by issuer
November 30, 2023

Exhibit 8

Issuer	Amortized cost	Portfolio allocation
Municipal Bonds		
Ada/Canyon Cty SD	1,546,962	0.18%
Alief Independent SD	1,969,491	0.23%
Amarillo Independent SD	1,787,517	0.21%
Bay Area Water	1,190,718	0.14%
Cache County SD	3,295,209	0.39%
City of Anaheim	1,492,721	0.17%
Contra Costa Cmty College	915,286	0.11%
County of Multnomah OR	2,002,127	0.23%
Fremont CA Unified	1,822,676	0.21%
Honolulu Wastewater	1,404,242	0.16%
LA Unified SD	3,705,357	0.43%
Los Angeles Water & Power	1,569,205	0.18%
Marion County SD	1,882,945	0.22%
Mason/Kitsap Cty SD	640,000	0.07%
Minnesota State	1,215,000	0.14%
Oregon State Dept of Admin Services	945,458	0.11%
Oregon State Dept of Transp	3,173,260	0.37%
Portland CC	1,101,586	0.13%
San Bernardino CCD	1,358,191	0.16%
San Diego Cmty College	5,136,258	0.60%
San Francisco City Pub Util	1,001,115	0.12%
San Jose Evergreen CC	776,739	0.09%
San Jose Redevelopment	4,061,697	0.48%
San Ramon Valley SD	869,410	0.10%
Santa Barbara CA USD	941,349	0.11%
Santa Monica Cmty College	506,463	0.06%
Southern CA Public Power	2,444,176	0.29%
State of California	14,080,264	1.65%
State of Connecticut	2,857,278	0.33%
State of Hawaii	7,968,740	0.93%
Texas Tech University	5,707,144	0.67%
University of California	6,262,087	0.73%
Other		
Supranational	19,436,151	2.27%
US Treasury	69,486,679	8.13%
Certificate of deposits	21,267,174	2.49%
Cash	139,951,962	16.37%
Total portfolio amortized cost	\$ 855,051,879	100.00%

Policy:

Corporate notes, mortgage passthrough securities, municipal bonds, and supranational securities may have no more than 5% invested with a single issuer.

Certificates of deposit may have no more than 10% invested with any single issuer.

Federal agencies and U.S. Treasury do not have issuer limitations

City of Carlsbad investment portfolio
Investment detail
November 30, 2023

Exhibit 9

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
Federal investments								
3137EAF2	03/19/21	12/04/23	Federal Home Loan Mortgage Corp	2,000,000.00	1,998,100.00	0.250%	13,541.67	2,013,541.67
31331KZ78	06/28/19	12/05/23	Federal Farm Credit Banks	1,500,000.00	1,569,280.50	1.870%	196,963.33	1,696,963.33
3130A0F70	05/13/20	12/08/23	Federal Home Loan Banks	1,000,000.00	1,107,630.00	0.339%	120,468.75	1,120,468.75
3133EMJQ6	12/09/20	12/08/23	Federal Farm Credit Banks	2,500,000.00	2,500,000.00	0.280%	20,980.56	2,520,980.56
3133EDBU5	05/09/19	12/20/23	Federal Farm Credit Banks	1,000,000.00	1,052,900.00	3.500%	161,486.11	1,161,486.11
3130AQD26	12/29/21	12/29/23	Federal Home Loan Banks	2,000,000.00	2,000,000.00	0.720%	28,800.00	2,028,800.00
3133EKBW5	03/06/19	02/27/24	Federal Farm Credit Banks	1,500,000.00	1,498,950.00	2.610%	194,771.25	1,694,771.25
3133ELNJ9	02/28/20	02/28/24	Federal Farm Credit Banks	2,500,000.00	2,500,000.00	1.550%	155,000.00	2,655,000.00
3130APZV0	11/30/21	02/28/24	Federal Home Loan Banks	1,500,000.00	1,500,000.00	0.770%	25,922.80	1,525,922.80
3130A0XE5	03/08/19	03/08/24	Federal Home Loan Banks	3,000,000.00	3,100,851.00	2.530%	487,500.00	3,487,500.00
3133EKGD2	04/09/19	04/05/24	Federal Farm Credit Banks	2,000,000.00	1,994,380.00	2.360%	229,105.56	2,229,105.56
3133EMXB3	04/23/21	04/22/24	Federal Farm Credit Banks	2,000,000.00	2,000,000.00	0.340%	20,381.11	2,020,381.11
3134GWZT6	04/05/21	04/23/24	Federal Home Loan Mortgage Corp	1,000,000.00	997,570.00	0.400%	9,760.00	1,009,760.00
3130AGEF8	05/09/19	05/07/24	Federal Home Loan Banks	1,000,000.00	1,005,320.00	2.287%	119,866.67	1,119,866.67
3133EKNX0	08/28/19	06/03/24	Federal Farm Credit Banks	1,470,000.00	1,517,378.10	1.457%	151,263.00	1,621,263.00
3135GA5Y3	11/29/21	06/14/24	Federal National Mortgage Assoc	2,000,000.00	1,976,200.00	0.849%	19,062.50	2,019,062.50
3133EKEC6	08/28/19	06/25/24	Federal Farm Credit Banks	1,183,000.00	1,237,524.47	1.457%	139,845.39	1,322,845.39
3133ELQ56	03/21/22	07/02/24	Federal Farm Credit Banks	2,005,000.00	1,942,243.50	1.980%	26,063.33	2,031,063.33
3130AP7D1	12/10/21	07/19/24	Federal Home Loan Banks	2,000,000.00	1,978,000.00	0.878%	23,475.00	2,023,475.00
3133ELX66	07/24/20	07/22/24	Federal Farm Credit Banks	2,000,000.00	2,000,000.00	0.440%	35,151.11	2,035,151.11
3133EKWV4	08/08/19	07/26/24	Federal Farm Credit Banks	2,500,000.00	2,532,125.00	1.582%	229,708.33	2,729,708.33
3134GW4X1	10/29/20	07/29/24	Federal Home Loan Mortgage Corp	3,000,000.00	3,000,000.00	0.375%	42,187.50	3,042,187.50
3130AGWK7	11/10/20	08/15/24	Federal Home Loan Banks	4,000,000.00	4,191,800.00	1.500%	255,833.33	4,255,833.33
3133EKQA7	08/30/19	09/10/24	Federal Farm Credit Banks	2,500,000.00	2,572,420.00	1.480%	261,444.44	2,761,444.44
880591ER9	02/19/21	09/15/24	Tennessee Valley Authority	1,000,000.00	1,091,424.00	0.300%	102,701.39	1,102,701.39
3134GWVM5	10/22/20	09/30/24	Federal Home Loan Mortgage Corp	3,000,000.00	3,000,000.00	0.350%	41,358.33	3,041,358.33
3134GWVM5	11/06/20	09/30/24	Federal Home Loan Mortgage Corp	1,170,000.00	1,170,000.00	0.350%	15,970.50	1,185,970.50
3130ALRK2	03/30/21	09/30/24	Federal Home Loan Banks	1,500,000.00	1,500,000.00	0.520%	27,300.00	1,527,300.00
31422XMV1	10/04/21	10/04/24	Federal Agricultural Mortgage Corp	2,000,000.00	2,000,000.00	0.500%	30,000.00	2,030,000.00
3133EK3B0	11/25/20	10/16/24	Federal Farm Credit Banks	1,400,000.00	1,466,052.00	0.280%	81,725.00	1,481,725.00
31422BPG9	11/15/19	11/01/24	Federal Agricultural Mortgage Corp	2,000,000.00	1,999,720.00	1.793%	177,607.78	2,177,607.78
3133EC2D5	07/10/20	11/13/24	Federal Farm Credit Banks	1,621,000.00	1,751,360.82	0.390%	159,055.22	1,780,055.22
3135G06E8	11/18/20	11/18/24	Federal National Mortgage Assoc	2,000,000.00	2,000,000.00	0.420%	33,600.00	2,033,600.00
3130APVZ5	12/02/21	12/02/24	Federal Home Loan Banks	1,900,000.00	1,900,000.00	1.050%	59,850.00	1,959,850.00
3130AQ5L3	12/16/21	12/16/24	Federal Home Loan Banks	2,000,000.00	2,000,000.00	0.500%	70,000.00	2,070,000.00
3130AKLQ7	12/30/20	12/30/24	Federal Home Loan Banks	4,000,000.00	4,000,000.00	0.310%	49,600.00	4,049,600.00
3134GXYY6	07/07/22	12/30/24	Federal Home Loan Mortgage Corp	2,500,000.00	2,500,000.00	3.348%	207,746.53	2,707,746.53
3130AJSF7	05/27/21	01/08/25	Federal Home Loan Banks	2,000,000.00	2,000,000.00	0.648%	46,980.56	2,046,980.56
3130ASLP2	07/21/22	01/21/25	Federal Home Loan Banks	2,000,000.00	2,000,000.00	3.500%	175,000.00	2,175,000.00
3130AN7L8	07/28/21	01/28/25	Federal Home Loan Banks	1,750,000.00	1,750,000.00	0.520%	31,850.00	1,781,850.00
3133EMPV8	02/03/21	02/03/25	Federal Farm Credit Banks	2,000,000.00	2,000,000.00	0.320%	25,600.00	2,025,600.00
3134GWMN3	08/27/20	02/27/25	Federal Home Loan Mortgage Corp	2,500,000.00	2,500,000.00	0.520%	58,500.00	2,558,500.00
3130A4CH3	04/09/20	03/14/25	Federal Home Loan Banks	3,000,000.00	3,231,300.00	0.778%	351,302.08	3,351,302.08
3130A4CH3	02/18/21	03/14/25	Federal Home Loan Banks	1,500,000.00	1,620,240.00	0.389%	145,072.92	1,645,072.92
3134GWP26	06/07/21	03/28/25	Federal Home Loan Mortgage Corp	1,000,000.00	998,500.00	0.540%	19,041.67	1,019,041.67
3130AMRJ3	06/28/21	03/28/25	Federal Home Loan Banks	3,120,000.00	3,122,340.00	0.500%	70,200.00	3,190,200.00
3133EMWH1	04/21/21	04/21/25	Federal Farm Credit Banks	1,500,000.00	1,500,000.00	0.710%	42,600.00	1,542,600.00
3130APA39	09/30/22	04/21/25	Federal Home Loan Banks	1,055,000.00	963,215.00	4.287%	17,813.67	1,072,813.67
3135GAA43	12/23/20	04/23/25	Federal National Mortgage Assoc	3,000,000.00	3,000,000.00	0.500%	65,000.00	3,065,000.00
3134GWYW0	10/30/20	04/30/25	Federal Home Loan Mortgage Corp	2,000,000.00	2,000,000.00	0.500%	45,111.12	2,045,111.12
3133ELC28	06/03/20	05/27/25	Federal Farm Credit Banks	3,500,000.00	3,499,300.00	0.734%	127,324.17	3,627,324.17
3134GVB31	06/03/20	05/28/25	Federal Home Loan Mortgage Corp	2,000,000.00	2,000,000.00	0.750%	74,791.66	2,074,791.66
3135GA5S6	12/16/20	06/16/25	Federal National Mortgage Assoc	2,000,000.00	2,000,000.00	0.450%	40,500.00	2,040,500.00
3135G04Z3	01/11/21	06/17/25	Federal National Mortgage Assoc	3,000,000.00	3,014,640.00	0.389%	66,500.00	3,066,500.00
3135G04Z3	05/20/21	06/17/25	Federal National Mortgage Assoc	2,000,000.00	1,991,940.00	0.600%	40,750.00	2,040,750.00
3136G4XZ1	07/01/20	06/30/25	Federal National Mortgage Assoc	2,500,000.00	2,500,000.00	0.740%	92,448.61	2,592,448.61
3133EMMP4	01/15/21	07/14/25	Federal Farm Credit Banks	2,225,000.00	2,218,325.00	0.457%	39,024.65	2,264,024.65
3137EAEU9	09/14/20	07/21/25	Federal Home Loan Mortgage Corp	1,500,000.00	1,499,625.00	0.380%	27,296.87	1,527,296.87
3133ELZ80	07/29/20	07/29/25	Federal Farm Credit Banks	3,000,000.00	3,000,000.00	0.580%	87,000.00	3,087,000.00

City of Carlsbad investment portfolio
Investment detail
November 30, 2023

Exhibit 9

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
3133EMFC1	10/29/20	07/29/25	Federal Farm Credit Banks	3,000,000.00	3,000,000.00	0.530%	75,525.00	3,075,525.00
3134GWXM3	10/01/20	07/30/25	Federal Home Loan Mortgage Corp	2,000,000.00	2,000,000.00	0.510%	49,271.67	2,049,271.67
3133EL3P7	08/12/20	08/12/25	Federal Farm Credit Banks	3,500,000.00	3,500,000.00	0.530%	92,750.00	3,592,750.00
3136G4C43	08/14/20	08/14/25	Federal National Mortgage Assoc	2,000,000.00	2,000,000.00	0.650%	65,000.00	2,065,000.00
3136G4H71	11/06/20	08/18/25	Federal National Mortgage Assoc	2,000,000.00	1,999,000.00	0.500%	47,833.33	2,047,833.33
3136G4K77	08/21/20	08/21/25	Federal National Mortgage Assoc	2,000,000.00	2,000,000.00	0.450%	45,000.00	2,045,000.00
3136G4X24	08/31/20	08/29/25	Federal National Mortgage Assoc	3,000,000.00	3,000,000.00	0.600%	89,900.00	3,089,900.00
3137EAXE3	10/22/20	09/23/25	Federal Home Loan Mortgage Corp	4,000,000.00	3,989,280.00	0.430%	73,791.67	4,073,791.67
3137EAXE3	12/28/20	09/23/25	Federal Home Loan Mortgage Corp	3,000,000.00	2,996,460.00	0.400%	53,281.25	3,053,281.25
3133EMCP5	10/14/20	10/14/25	Federal Farm Credit Banks	1,500,000.00	1,500,000.00	0.520%	39,000.00	1,539,000.00
3132X0CK5	11/01/22	10/14/25	Federal Agricultural Mortgage Corp	1,650,000.00	1,645,264.50	2.153%	184,415.59	1,834,415.59
3134GWXX9	10/15/20	10/15/25	Federal Home Loan Mortgage Corp	3,000,000.00	3,000,000.00	0.550%	82,500.00	3,082,500.00
3135G06A6	12/11/20	10/20/25	Federal National Mortgage Assoc	2,410,000.00	2,408,795.00	0.590%	67,909.78	2,477,909.78
3133EMDZ2	12/09/20	10/21/25	Federal Farm Credit Banks	3,000,000.00	2,994,300.00	0.560%	75,920.00	3,075,920.00
3133EMFR8	11/03/20	11/03/25	Federal Farm Credit Banks	4,500,000.00	4,500,000.00	0.540%	121,500.00	4,621,500.00
3135G06G3	12/29/20	11/07/25	Federal National Mortgage Assoc	3,000,000.00	3,012,960.00	0.410%	72,833.34	3,072,833.34
3130ALFF6	03/10/21	12/10/25	Federal Home Loan Banks	1,750,000.00	1,750,000.00	0.650%	54,031.25	1,804,031.25
31422XAT9	03/02/21	12/15/25	Federal Agricultural Mortgage Corp	3,000,000.00	3,000,000.00	0.520%	74,663.33	3,074,663.33
3134GXFV1	12/17/20	12/17/25	Federal Home Loan Mortgage Corp	5,000,000.00	5,000,000.00	0.625%	156,250.00	5,156,250.00
3134GXHD9	03/24/21	12/23/25	Federal Home Loan Mortgage Corp	1,500,000.00	1,489,500.00	0.700%	49,845.83	1,549,845.83
3135G06Q1	12/30/20	12/30/25	Federal National Mortgage Assoc	2,500,000.00	2,504,125.00	0.474%	80,000.00	2,580,000.00
3130AKMZ6	01/14/21	01/14/26	Federal Home Loan Banks	4,000,000.00	4,000,000.00	0.510%	102,000.00	4,102,000.00
3130AKMZ6	01/14/21	01/14/26	Federal Home Loan Banks	1,747,375.00	1,747,375.00	0.540%	44,625.00	1,794,625.00
31422B6K1	01/25/21	01/15/26	Federal Agricultural Mortgage Corp	1,500,000.00	1,500,000.00	0.480%	35,800.00	1,535,800.00
3130AKN69	01/28/21	01/28/26	Federal Home Loan Banks	3,000,000.00	3,000,000.00	0.500%	75,000.00	3,075,000.00
3130AKRF5	02/09/21	02/09/26	Federal Home Loan Banks	2,050,000.00	2,050,000.00	0.350%	14,575.00	2,064,575.00
3130AKVR4	02/12/21	02/12/26	Federal Home Loan Banks	2,000,000.00	2,000,000.00	0.550%	55,000.00	2,055,000.00
3130AKVV5	02/18/21	02/18/26	Federal Home Loan Banks	4,000,000.00	4,000,000.00	0.500%	100,000.00	4,100,000.00
3133EMSH6	03/03/21	03/03/26	Federal Farm Credit Banks	674,000.00	674,000.00	0.790%	26,623.00	700,623.00
3133EMSU7	03/09/21	03/09/26	Federal Farm Credit Banks	3,500,000.00	3,500,000.00	0.800%	140,000.00	3,640,000.00
3130ALH56	03/18/21	03/18/26	Federal Home Loan Banks	3,000,000.00	2,997,000.00	0.750%	112,500.00	3,112,500.00
3130ALUQ5	03/30/21	03/30/26	Federal Home Loan Banks	1,500,000.00	1,500,000.00	0.300%	22,500.00	1,522,500.00
31422XCX8	04/20/21	04/20/26	Federal Agricultural Mortgage Corp	2,000,000.00	2,000,000.00	1.000%	100,000.00	2,100,000.00
3130ALVB7	04/21/21	04/21/26	Federal Home Loan Banks	2,000,000.00	1,998,500.00	0.915%	90,000.00	2,090,000.00
3130AM4L3	04/29/21	04/29/26	Federal Home Loan Banks	4,000,000.00	4,000,000.00	0.500%	100,000.00	4,100,000.00
31422XFP2	05/04/21	05/04/26	Federal Agricultural Mortgage Corp	2,500,000.00	2,500,000.00	0.950%	118,750.00	2,618,750.00
3130AMCL4	09/30/22	05/19/26	Federal Home Loan Banks	1,100,000.00	979,726.00	4.300%	40,797.17	1,140,797.17
3130AMHN5	05/26/21	05/26/26	Federal Home Loan Banks	2,500,000.00	2,500,000.00	0.500%	112,500.00	2,612,500.00
31422XGL0	05/27/21	05/27/26	Federal Agricultural Mortgage Corp	2,000,000.00	2,000,000.00	0.920%	92,000.00	2,092,000.00
3130AMQK1	06/16/21	06/16/26	Federal Home Loan Banks	2,000,000.00	2,000,000.00	0.500%	94,000.00	2,094,000.00
3130AMQK1	06/16/21	06/16/26	Federal Home Loan Banks	2,500,000.00	2,500,000.00	0.500%	117,500.00	2,617,500.00
3133EML67	06/22/21	06/22/26	Federal Farm Credit Banks	2,000,000.00	1,993,160.00	0.870%	80,000.00	2,080,000.00
3130AMTW2	06/30/21	06/30/26	Federal Home Loan Banks	4,500,000.00	4,500,000.00	0.500%	186,750.00	4,686,750.00
3130AMWN8	06/30/21	06/30/26	Federal Home Loan Banks	2,000,000.00	2,000,000.00	0.550%	88,000.00	2,088,000.00
3130ANCH1	07/27/21	07/27/26	Federal Home Loan Banks	2,500,000.00	2,500,000.00	1.000%	125,000.00	2,625,000.00
3130ANL57	08/25/21	08/25/26	Federal Home Loan Banks	3,500,000.00	3,494,750.00	0.906%	153,125.00	3,653,125.00
31422XLY6	09/01/21	09/01/26	Federal Agricultural Mortgage Corp	4,000,000.00	4,000,000.00	0.900%	180,000.00	4,180,000.00
3133EM3T7	09/07/21	09/01/26	Federal Farm Credit Banks	3,000,000.00	2,997,750.00	0.885%	130,065.00	3,130,065.00
31422XNB4	09/30/21	09/30/26	Federal Agricultural Mortgage Corp	2,500,000.00	2,500,000.00	0.860%	107,798.60	2,607,798.60
3133ENAF7	12/27/21	10/07/26	Federal Farm Credit Banks	2,500,000.00	2,469,000.00	1.268%	119,444.44	2,619,444.44
3133ENT26	10/19/22	10/19/26	Federal Farm Credit Banks	3,000,000.00	3,000,000.00	5.300%	636,000.00	3,636,000.00
3134GW6C5	02/15/22	10/28/26	Federal Home Loan Mortgage Corp	4,500,000.00	4,266,900.00	1.958%	169,300.00	4,669,300.00
3130APJ29	02/25/22	10/28/26	Federal Home Loan Banks	3,500,000.00	3,378,200.00	1.979%	210,000.00	3,710,000.00
3133ENFP0	12/09/21	11/30/26	Federal Farm Credit Banks	2,950,000.00	2,952,950.00	1.408%	167,958.25	3,117,958.25
3130AQF65	01/14/22	12/21/26	Federal Home Loan Banks	1,550,000.00	1,532,857.00	1.483%	95,637.15	1,645,637.15
3130QMX8	02/07/22	01/26/27	Federal Home Loan Banks	1,250,000.00	1,245,000.00	1.331%	112,070.31	1,362,070.31
3130QLD3	03/29/22	01/28/27	Federal Home Loan Banks	2,500,000.00	2,384,750.00	2.776%	211,336.81	2,711,336.81
3130ARAB7	06/24/22	03/25/27	Federal Home Loan Banks	2,000,000.00	1,941,720.00	3.420%	260,791.67	2,260,791.67
3130ARL58	06/10/22	04/26/27	Federal Home Loan Banks	4,000,000.00	3,982,764.44	3.198%	589,235.56	4,589,235.56
3133EPJP1	05/12/23	05/12/27	Federal Farm Credit Banks	2,000,000.00	1,999,260.00	3.620%	290,000.00	2,290,000.00

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CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
3130ASCT4	06/28/22	06/28/27	Federal Home Loan Banks	2,500,000.00	2,500,000.00	3.250%	406,250.00	2,906,250.00
3130ASF46	06/30/22	06/30/27	Federal Home Loan Banks	2,500,000.00	2,500,000.00	3.500%	437,500.00	2,937,500.00
3130ASLA5	09/13/23	07/26/27	Federal Home Loan Banks	1,915,000.00	1,891,497.21	4.850%	344,700.00	2,259,700.00
3133ENL99	09/30/22	09/15/27	Federal Farm Credit Banks	2,500,000.00	2,432,200.00	3.983%	418,359.37	2,918,359.37
3133EPXB6	09/28/23	09/28/27	Federal Farm Credit Banks	2,000,000.00	1,993,860.00	4.625%	370,000.00	2,370,000.00
3130AW6F2	05/22/23	11/22/27	Federal Home Loan Banks	1,500,000.00	1,500,000.00	5.000%	337,500.00	1,837,500.00
3133EN3S7	12/07/22	12/07/27	Federal Farm Credit Banks	3,000,000.00	2,995,920.00	3.780%	562,500.00	3,562,500.00
3134H1GH0	10/30/23	12/30/27	Federal Home Loan Mortgage Corp	1,500,000.00	1,488,900.00	5.201%	312,500.00	1,812,500.00
3130AUQA5	02/02/23	02/02/28	Federal Home Loan Banks	2,500,000.00	2,500,000.00	4.050%	506,250.00	3,006,250.00
3130AUW59	03/08/23	02/17/28	Federal Home Loan Banks	1,500,000.00	1,480,500.00	4.240%	318,000.00	1,818,000.00
313382GT4	11/15/23	03/10/28	Federal Home Loan Banks	2,500,000.00	2,333,600.00	4.720%	337,500.00	2,837,500.00
3133EPCD6	03/13/23	03/13/28	Federal Farm Credit Banks	1,000,000.00	1,000,000.00	5.350%	267,500.00	1,267,500.00
3130AVCS9	03/29/23	03/29/28	Federal Home Loan Banks	1,000,000.00	1,000,000.00	6.000%	300,000.00	1,300,000.00
3133EPFU4	04/12/23	04/12/28	Federal Farm Credit Banks	2,500,000.00	2,496,600.00	3.530%	437,500.00	2,937,500.00
3130AVK50	04/24/23	04/24/28	Federal Home Loan Banks	1,500,000.00	1,500,000.00	5.000%	375,000.00	1,875,000.00
3130AVZQ8	04/12/23	05/17/28	Federal Home Loan Banks	1,880,000.00	1,871,070.00	5.150%	460,600.00	2,340,600.00
3133EPMA0	06/09/23	06/09/28	Federal Farm Credit Banks	1,500,000.00	1,500,000.00	4.690%	351,750.00	1,851,750.00
3134H1GL1	10/18/23	07/18/28	Federal Home Loan Mortgage Corp	2,500,000.00	2,493,750.00	5.002%	593,750.00	3,093,750.00
3134H1GL1	11/01/23	07/18/28	Federal Home Loan Mortgage Corp	2,000,000.00	1,982,760.00	5.210%	475,000.00	2,475,000.00
3134GYX5	09/12/23	07/26/28	Federal Home Loan Mortgage Corp	1,750,000.00	1,747,375.00	5.650%	494,375.00	2,244,375.00
3133EPTA3	09/07/23	08/14/28	Federal Farm Credit Banks	1,000,000.00	1,000,000.00	5.108%	255,500.00	1,255,500.00
3134H1BP7	10/13/23	09/11/28	Federal Home Loan Mortgage Corp	1,000,000.00	995,750.00	5.148%	252,500.00	1,252,500.00
3134H1BP7	09/11/23	09/11/28	Federal Home Loan Mortgage Corp	3,000,000.00	2,974,500.00	5.245%	757,500.00	3,757,500.00
3134H1CM3	11/17/23	09/25/28	Federal Home Loan Mortgage Corp	1,500,000.00	1,477,875.00	4.843%	327,750.00	1,827,750.00
Total federal investments				\$ 326,078,000.00	\$ 326,092,158.54	1.502%	\$ 22,572,493.84	\$ 348,650,493.84

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
Supranationals								
459056HV2	08/29/19	08/28/24	International Bank for Recon & Devel	2,000,000.00	2,006,920.00	1.428%	149,916.67	2,149,916.67
45818WCW4	11/03/21	10/15/24	Inter-American Development Bank	1,440,000.00	1,419,552.00	0.828%	14,443.20	1,454,443.20
45950KCR9	02/04/21	10/16/24	International Finance Corporation	2,000,000.00	2,079,800.00	0.290%	101,750.00	2,101,750.00
45905U6L3	01/14/21	11/20/25	International Bank for Recon & Devel	2,000,000.00	2,250,220.00	0.510%	303,125.00	2,303,125.00
45950VPJ9	01/25/21	01/15/26	International Finance Corporation	2,000,000.00	2,007,840.00	0.500%	57,677.78	2,057,677.78
4581X0DV7	04/23/21	04/20/26	Inter-American Development Bank	3,000,000.00	3,000,720.00	0.870%	131,031.25	3,131,031.25
45950VPY6	05/28/21	05/15/26	International Finance Corporation	2,000,000.00	2,000,000.00	0.500%	49,638.89	2,049,638.89
45906M4E8	07/31/23	06/26/28	International Bank for Recon & Devel	1,250,000.00	1,240,000.00	4.684%	281,250.00	1,531,250.00
45906M4E8	09/07/23	06/26/28	International Bank for Recon & Devel	1,700,000.00	1,686,400.00	4.500%	382,500.00	2,082,500.00
459058KW2	09/28/23	08/01/28	International Bank for Recon & Devel	2,000,000.00	1,991,960.00	4.720%	448,368.06	2,448,368.06
Total supranationals				\$ 19,390,000.00	\$ 19,683,412.00	1.687%	\$ 1,919,700.85	\$ 21,309,700.85

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
U.S. Treasury								
91282CBE0	11/15/21	01/15/24	U.S. Treasury	1,500,000.00	1,485,825.00	0.126%	4,060.80	1,504,060.80
91282CBE0	12/13/21	01/15/24	U.S. Treasury	2,000,000.00	1,976,920.00	0.682%	5,224.18	2,005,224.18
91282CDV0	06/13/22	01/31/24	U.S. Treasury	2,000,000.00	1,942,288.94	2.900%	28,570.44	2,028,570.44
91282CBM2	06/25/21	02/15/24	U.S. Treasury	2,500,000.00	2,484,765.63	0.357%	8,252.76	2,508,252.76
9128286G0	11/15/21	02/29/24	U.S. Treasury	2,500,000.00	2,600,183.50	2.283%	135,972.03	2,635,972.03
91282CEG2	06/13/22	03/31/24	U.S. Treasury	2,000,000.00	1,984,020.24	2.970%	80,901.64	2,080,901.64
91282CBV2	12/07/21	04/15/24	U.S. Treasury	2,000,000.00	1,985,937.50	0.677%	17,657.97	2,017,657.97
9128286R6	03/17/22	04/30/24	U.S. Treasury	2,000,000.00	2,011,875.00	1.961%	94,972.38	2,094,972.38
91282CCC3	12/07/21	05/15/24	U.S. Treasury	2,000,000.00	1,978,437.50	0.697%	12,196.13	2,012,196.13
912828WJ5	10/21/22	05/15/24	U.S. Treasury	1,750,000.00	1,694,057.40	2.500%	68,597.15	1,818,597.15
9128286Z8	03/01/21	06/30/24	U.S. Treasury	2,500,000.00	2,614,215.00	0.370%	145,873.62	2,645,873.62
91282CCL3	10/21/22	07/15/24	U.S. Treasury	3,000,000.00	2,789,648.44	4.302%	19,504.08	3,019,504.08
912828YH7	01/14/21	09/30/24	U.S. Treasury	2,000,000.00	2,088,448.94	1.500%	111,263.74	2,111,263.74
9128282Y5	10/21/22	09/30/24	U.S. Treasury	2,000,000.00	1,912,187.50	4.511%	82,548.08	2,082,548.08
912828YV6	06/07/21	11/30/24	U.S. Treasury	2,000,000.00	2,073,437.50	0.436%	104,426.23	2,104,426.23
91282CDS7	10/21/22	01/15/25	U.S. Treasury	4,000,000.00	3,712,187.50	4.548%	100,516.30	4,100,516.30

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CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
912828ZC7	07/15/21	02/28/25	U.S. Treasury	2,000,000.00	2,040,312.50	0.563%	81,623.64	2,081,623.64
912828ZL7	02/19/21	04/30/25	U.S. Treasury	2,000,000.00	1,997,920.00	0.400%	31,450.28	2,031,450.28
912828ZT0	02/19/21	05/31/25	U.S. Treasury	2,000,000.00	1,987,280.00	0.400%	21,387.36	2,021,387.36
91282CEU1	10/21/22	06/15/25	U.S. Treasury	3,000,000.00	2,877,180.00	4.530%	228,586.07	3,228,586.07
91282CAM3	01/11/21	09/30/25	U.S. Treasury	2,500,000.00	2,481,332.50	0.250%	29,481.46	2,529,481.46
91282CAZ4	01/11/21	11/30/25	U.S. Treasury	2,500,000.00	2,493,350.00	0.375%	45,793.27	2,545,793.27
91282CGA3	10/17/23	12/15/25	U.S. Treasury	2,000,000.00	1,962,187.50	4.930%	199,992.72	2,199,992.72
91282CBQ3	03/01/21	02/28/26	U.S. Treasury	3,000,000.00	2,964,726.56	0.740%	74,959.24	3,074,959.24
91282CBQ3	03/02/21	02/28/26	U.S. Treasury	2,000,000.00	1,975,513.02	0.750%	49,945.65	2,049,945.65
912828U24	12/27/21	11/15/26	U.S. Treasury	2,500,000.00	2,594,531.25	1.200%	244,198.90	2,744,198.90
91282CDK4	01/14/22	11/30/26	U.S. Treasury	1,500,000.00	1,485,000.00	1.463%	91,432.01	1,591,432.01
912828Z78	05/08/23	01/31/27	U.S. Treasury	1,500,000.00	1,485,855.00	3.500%	83,970.99	1,583,970.99
91282CFB2	04/21/23	07/31/27	U.S. Treasury	2,500,000.00	2,400,000.00	3.770%	294,181.63	2,794,181.63
91282CFU0	09/08/23	10/31/27	U.S. Treasury	1,500,000.00	1,479,375.00	4.491%	278,437.50	1,778,437.50
91282CGC9	01/25/23	12/31/27	U.S. Treasury	500,000.00	508,167.05	3.570%	96,393.30	596,393.30
91282CGC9	01/31/23	12/31/27	U.S. Treasury	750,000.00	760,105.97	3.647%	144,108.25	894,108.25
91282CGC9	09/08/23	12/31/27	U.S. Treasury	1,500,000.00	1,465,195.31	4.472%	261,562.50	1,761,562.50
9128284N7	07/17/23	05/15/28	U.S. Treasury	1,000,000.00	953,056.40	3.952%	143,750.00	1,143,750.00
Total U.S. Treasury				\$ 70,000,000.00	\$ 69,245,523.65	2.095%	\$ 3,421,792.30	\$ 73,421,792.30

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
Corporate notes								
478160BH6	01/28/19	12/05/23	Johnson & Johnson	1,500,000.00	1,541,250.00	2.765%	245,671.87	1,745,671.87
89236TFS9	03/07/19	01/08/24	Toyota	1,000,000.00	1,017,865.00	2.950%	162,009.72	1,162,009.72
17325FAS7	05/16/19	01/23/24	Citibank	1,000,000.00	1,034,870.00	2.836%	171,043.06	1,171,043.06
17325FAS7	02/13/20	01/23/24	Citibank	2,500,000.00	2,674,670.00	1.770%	359,930.56	2,859,930.56
17325FAS7	02/13/20	01/23/24	Citibank	2,000,000.00	2,142,600.00	1.733%	287,944.44	2,287,944.44
17325FAS7	02/20/20	01/23/24	Citibank	1,500,000.00	1,603,710.00	1.780%	214,893.75	1,714,893.75
46625HJT8	10/11/19	02/01/24	JP Morgan Chase Bank	1,765,000.00	1,900,834.40	2.000%	294,473.10	2,059,473.10
06048WL40	01/24/22	02/26/24	Bank of America	3,000,000.00	2,945,610.00	1.300%	26,300.00	3,026,300.00
58933YAU9	10/08/19	03/07/24	3M (Merck & Co)	1,500,000.00	1,581,000.00	1.604%	188,379.17	1,688,379.17
09247XAL5	08/29/19	03/18/24	Blackrock Inc.	2,000,000.00	2,162,500.00	1.640%	318,694.44	2,318,694.44
09247XAL5	10/28/19	03/18/24	Blackrock Inc.	1,000,000.00	1,071,360.00	1.801%	153,611.11	1,153,611.11
09247XAL5	11/14/19	03/18/24	Blackrock Inc.	1,000,000.00	1,065,420.00	1.923%	152,055.56	1,152,055.56
09247XAL5	05/14/20	03/18/24	Blackrock Inc.	3,000,000.00	3,300,600.00	0.845%	403,666.67	3,403,666.67
931142DP5	04/24/20	04/22/24	Wal-Mart	2,500,000.00	2,737,467.50	0.875%	329,541.67	2,829,541.67
931142DP5	04/24/20	04/22/24	Wal-Mart	2,000,000.00	2,191,860.00	0.700%	263,633.33	2,263,633.33
48133DE55	04/29/22	04/29/24	JP Morgan Chase Bank	1,500,000.00	1,500,000.00	3.125%	93,750.00	1,593,750.00
46625HJX9	07/31/19	05/13/24	JP Morgan Chase Bank	2,000,000.00	2,119,320.00	2.300%	346,791.67	2,346,791.67
46625HJX9	07/13/20	05/13/24	JP Morgan Chase Bank	3,000,000.00	3,331,290.00	0.700%	416,875.00	3,416,875.00
46625HJX9	12/13/21	05/13/24	JP Morgan Chase Bank	1,750,000.00	1,859,392.50	1.000%	153,307.29	1,903,307.29
06406HCV9	07/01/20	05/15/24	Bank of NY Mellon	3,000,000.00	3,316,860.00	0.560%	392,416.67	3,392,416.67
06048WQ60	12/03/21	06/03/24	Bank of America	2,500,000.00	2,500,000.00	1.000%	62,500.00	2,562,500.00
742651DP4	06/27/19	07/15/24	Private Export Funding	2,500,000.00	2,565,850.00	1.900%	309,142.36	2,809,142.36
023135AZ9	08/22/19	08/22/24	Amazon.com Inc	2,000,000.00	2,087,280.00	2.800%	279,377.78	2,279,377.78
023135AZ9	10/17/19	08/22/24	Amazon.com Inc	2,500,000.00	2,604,850.00	1.860%	339,305.56	2,839,305.56
06406RAL1	02/18/20	10/24/24	Bank of NY Mellon	3,055,000.00	3,093,737.40	1.816%	300,459.25	3,355,459.25
06368G3W5	11/15/21	11/15/24	Bank of Montreal	2,000,000.00	2,000,000.00	1.000%	60,000.00	2,060,000.00
931142DV2	01/16/20	12/15/24	Wal-Mart	2,000,000.00	2,067,790.00	1.900%	260,436.11	2,260,436.11
478160CJ1	01/15/20	01/15/25	Johnson & Johnson	1,820,000.00	1,882,380.50	1.586%	238,875.00	2,058,875.00
478160CJ1	04/08/20	01/15/25	Johnson & Johnson	3,000,000.00	3,231,960.00	0.906%	375,593.75	3,375,593.75
478160CJ1	07/13/20	01/15/25	Johnson & Johnson	1,000,000.00	1,090,640.00	0.510%	118,270.83	1,118,270.83
037833AZ3	09/10/21	02/09/25	Apple Inc	1,500,000.00	1,588,155.00	0.753%	128,020.83	1,628,020.83
66989HAP3	04/13/20	02/14/25	Novartis Capital Corp	3,310,000.00	3,379,576.20	1.300%	280,131.74	3,590,131.74
12572QAG0	06/03/20	03/15/25	CME Group Inc	2,771,000.00	3,050,981.84	0.730%	397,638.50	3,168,638.50
654106AH6	12/31/20	03/27/25	Nike Inc.	2,867,000.00	3,090,740.68	0.500%	291,669.47	3,158,669.47
341081FZ53	05/13/20	04/01/25	Florida Power & Light	3,667,000.00	3,980,565.17	1.020%	509,193.51	4,176,193.51
78015K7H17	12/07/21	06/10/25	Royal Bank of Canada	2,000,000.00	1,989,460.00	1.304%	80,691.67	2,080,691.67
478160CN2	04/23/21	09/01/25	Johnson & Johnson	1,250,000.00	1,241,700.00	0.705%	29,944.44	1,279,944.44

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742718FL8	09/20/21	10/29/25	Procter & Gamble	1,500,000.00	1,487,460.00	0.757%	33,893.75	1,533,893.75
92826CAD4	05/17/21	12/14/25	Visa Inc	1,250,000.00	1,368,500.00	0.910%	180,140.62	1,430,140.62
06048WK82	08/23/21	01/26/26	Bank of America	1,000,000.00	989,470.00	1.000%	33,550.00	1,033,550.00
58933YAY1	04/12/21	02/24/26	Merck & Co	1,500,000.00	1,485,750.00	0.950%	54,750.00	1,554,750.00
48128G2Q2	03/01/21	02/26/26	JP Morgan Chase Bank	2,000,000.00	2,000,000.00	0.800%	80,000.00	2,080,000.00
478160BY9	03/01/21	03/01/26	Johnson & Johnson	2,500,000.00	2,697,950.00	0.750%	306,250.00	2,806,250.00
48128G3A6	03/03/21	03/03/26	JP Morgan Chase Bank	2,000,000.00	2,000,000.00	1.000%	100,000.00	2,100,000.00
48128G3V0	06/11/21	06/11/26	JP Morgan Chase Bank	2,000,000.00	2,000,000.00	1.150%	115,000.00	2,115,000.00
06048WM64	07/12/21	06/25/26	Bank of America	3,000,000.00	2,998,500.00	1.210%	178,300.00	3,178,300.00
57629WDE7	07/22/21	07/16/26	Massmutual Global	3,750,000.00	3,784,537.50	1.010%	224,250.00	3,974,250.00
594918BR4	08/11/21	08/08/26	Microsoft	4,000,000.00	4,292,240.00	0.900%	293,040.00	4,293,040.00
48128G5A4	08/25/21	08/25/26	JP Morgan Chase Bank	2,000,000.00	2,000,000.00	1.200%	120,000.00	2,120,000.00
06048WN63	09/10/21	09/10/26	Bank of America	2,000,000.00	2,000,000.00	1.150%	115,000.00	2,115,000.00
06048WP20	09/24/21	09/24/26	Bank of America	2,000,000.00	2,000,000.00	1.250%	125,000.00	2,125,000.00
59217GBY4	01/19/22	12/18/26	Met Life Global	4,000,000.00	4,281,720.00	1.940%	678,116.67	4,678,116.67
06368GC39	12/30/21	12/30/26	Bank of Montreal (BLC)	2,450,000.00	2,450,000.00	2.000%	245,000.00	2,695,000.00
742718FV6	02/04/22	02/01/27	Procter & Gamble	2,000,000.00	2,010,459.28	1.331%	189,683.33	2,189,683.33
742718FV6	05/11/23	02/01/27	Procter & Gamble	1,000,000.00	935,367.00	3.620%	76,000.00	1,076,000.00
48128G6F2	02/25/22	02/25/27	JP Morgan Chase Bank	5,000,000.00	5,000,000.00	2.550%	197,283.33	5,197,283.33
478160CE2	04/18/22	03/03/27	Johnson & Johnson	1,750,000.00	1,757,538.77	2.850%	251,671.87	2,001,671.87
742718FG9	07/08/22	03/25/27	Procter & Gamble	2,500,000.00	2,456,475.00	3.200%	329,972.22	2,829,972.22
64952WEQ2	06/23/23	04/07/27	New York Life Global	1,500,000.00	1,428,750.00	4.630%	195,000.00	1,695,000.00
64952WEQ2	07/18/23	04/07/27	New York Life Global	2,000,000.00	1,908,020.00	4.610%	260,000.00	2,260,000.00
06048WW63	06/23/22	06/22/27	Bank of America	3,000,000.00	3,000,000.00	5.000%	750,000.00	3,750,000.00
194162AN3	05/09/23	08/15/27	Colgate-Palmolive	2,000,000.00	1,997,600.00	3.694%	223,408.33	2,223,408.33
81257VAA9	03/10/23	10/01/27	Seattle Children Hosp	1,000,000.00	852,445.33	5.000%	222,581.34	1,222,581.34
78014RHK9	10/18/22	10/18/27	Royal Bank of Canada	2,500,000.00	2,500,000.00	5.700%	712,500.00	3,212,500.00
06374VBX3	11/15/22	11/15/27	Bank of Montreal	4,000,000.00	4,000,000.00	6.250%	1,250,000.00	5,250,000.00
592179KF1	10/17/23	01/06/28	Met Life Global	1,000,000.00	983,540.00	5.050%	227,250.00	1,227,250.00
78014RKF6	01/18/23	01/18/28	Royal Bank of Canada	2,500,000.00	2,500,000.00	5.450%	691,090.22	3,191,090.22
742718FZ7	11/01/23	01/26/28	Procter & Gamble	2,000,000.00	1,922,140.00	4.979%	355,500.00	2,355,500.00
48130CDL6	11/03/23	11/03/28	JP Morgan Chase Bank	1,800,000.00	1,800,000.00	6.150%	553,500.00	2,353,500.00
Total corporate notes				\$ 150,755,000.00	\$ 155,432,609.07	2.002%	\$ 18,403,971.56	\$ 169,158,971.56

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
Certificate of deposit								
29367RKT2	05/16/19	05/16/24	Enterprise Bank	246,000.00	246,000.00	2.600%	31,980.00	277,980.00
27002YEN2	05/24/19	05/24/24	Eagle Bank	249,000.00	249,000.00	2.500%	31,125.00	280,125.00
336460CQ1	06/28/19	06/28/24	First State Bank Dequeen	249,000.00	249,000.00	2.300%	28,635.00	277,635.00
14042RMN8	07/31/19	07/31/24	Capital One	247,000.00	247,000.00	2.250%	27,787.50	274,787.50
938828BM1	08/30/19	08/30/24	Washington Federal	249,000.00	249,000.00	2.000%	24,900.00	273,900.00
29278TLH1	09/13/19	09/13/24	Enerbank Usa	249,000.00	249,000.00	1.750%	21,787.50	270,787.50
15118RSC2	09/18/19	09/30/24	Celtic Bank	249,000.00	249,000.00	1.700%	20,956.25	269,956.25
75472RAN1	11/26/19	11/26/24	Raymond James Bank NA	247,000.00	247,000.00	1.850%	22,872.54	269,872.54
61690URM4	01/09/20	01/09/25	Morgan Stanley Bank NA	247,000.00	247,000.00	1.900%	23,490.72	270,490.72
07815AAZ0	02/27/20	02/27/25	Bell Bank Corp	249,000.00	249,000.00	1.600%	19,941.88	268,941.88
17037TEN3	03/13/20	03/13/25	Choice Financial Group	248,000.00	248,000.00	1.100%	13,647.47	261,647.47
02554BDA6	03/13/20	03/13/25	American Eagle bank	249,000.00	249,000.00	1.100%	13,702.54	262,702.54
73319FAF6	03/18/20	03/18/25	Poppy Bank	249,000.00	249,000.00	1.100%	13,702.54	262,702.54
835104BZ2	03/19/20	03/19/25	Somerset Trust	249,000.00	249,000.00	1.000%	12,456.88	261,456.88
45083ANS7	03/20/20	03/20/25	Iberia Bank	248,000.00	248,000.00	1.000%	12,406.79	260,406.79
072727BF6	03/27/20	03/27/25	Baycoast Bank	248,000.00	248,000.00	0.950%	11,786.45	259,786.45
02519TAZ9	03/27/20	03/27/25	American Commerce Bank	249,000.00	249,000.00	0.950%	11,834.03	260,834.03
14042TDD6	04/08/20	04/08/25	Capital One	248,000.00	248,000.00	1.600%	19,850.88	267,850.88
33847E3H8	05/15/20	05/15/25	Flagstar Bank	248,000.00	248,000.00	0.850%	10,545.77	258,545.77
29260MBF1	05/15/20	05/15/25	Encore Bank	249,000.00	249,000.00	0.800%	9,965.41	258,965.41
404730CR2	05/26/20	05/27/25	Haddon Savings Bank	248,000.00	248,000.00	0.750%	9,310.19	257,310.19
43719LAE5	05/29/20	05/29/25	Home Loan Inv Bank	249,000.00	249,000.00	0.800%	9,965.41	258,965.41
69506YRT8	05/29/20	05/29/25	Pacific Western Bank	249,000.00	249,000.00	0.700%	8,719.77	257,719.77

City of Carlsbad investment portfolio
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Exhibit 9

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
56102AAJ5	05/29/20	05/29/25	Malaga Bank	249,000.00	249,000.00	0.700%	8,719.87	257,719.87
86128QCF3	06/10/20	06/10/25	Stockman Bank	249,000.00	249,000.00	0.600%	7,474.10	256,474.10
740367MA2	07/17/20	07/17/25	Preferred Bank	249,000.00	249,000.00	0.500%	6,228.46	255,228.46
89235MJZ5	07/16/20	07/28/25	Toyota Financial Savings Bank	249,000.00	249,000.00	0.650%	8,096.93	257,096.93
211163KQ2	07/29/20	07/29/25	Continental Bank	249,000.00	249,000.00	0.500%	6,228.46	255,228.46
02007GXF5	08/09/22	08/04/25	Ally Bank	201,000.00	201,000.00	3.400%	20,427.10	221,427.10
549104RV1	08/14/20	08/14/25	Luana Savings Bank	249,000.00	249,000.00	0.450%	5,605.57	254,605.57
32022RNT0	08/19/20	08/19/25	1st Financial Bank	249,000.00	249,000.00	0.450%	5,605.82	254,605.82
31944MBB0	08/20/20	08/20/25	1st Carolina Bank	249,000.00	249,000.00	0.450%	5,605.82	254,605.82
664122AF5	08/20/20	08/20/25	Northeast Community Bank	249,000.00	249,000.00	0.450%	5,605.82	254,605.82
228212AQ9	09/04/20	09/04/25	Crown Bank	249,000.00	249,000.00	0.400%	4,982.62	253,982.62
59013KKJ4	09/15/20	09/15/25	Merrick	249,000.00	249,000.00	0.400%	4,982.62	253,982.62
2027506P5	10/22/20	09/25/25	Commonwealth Bus Bank	249,000.00	249,000.00	0.400%	4,908.94	253,908.94
51507LBY9	09/29/20	09/29/25	Landmark Community	249,000.00	249,000.00	0.400%	4,982.58	253,982.58
538036LQ5	10/22/20	10/08/25	Live Oak Bank	249,000.00	249,000.00	0.400%	4,944.42	253,944.42
560390AS5	10/15/20	10/15/25	Maine Comm Bank	249,000.00	249,000.00	0.350%	4,359.94	253,359.94
33625CD55	10/16/20	10/16/25	First Security Bank Wash	249,000.00	249,000.00	0.350%	4,359.94	253,359.94
780684AJ5	11/06/20	10/23/25	Royal Savings Bank	249,000.00	249,000.00	0.400%	4,944.42	253,944.42
33744AAW9	11/18/20	11/18/25	First US Bank	249,000.00	249,000.00	0.400%	4,982.62	253,982.62
88413QCU0	12/18/20	12/18/25	Third Federal Savings and Loan	249,000.00	249,000.00	0.450%	5,605.56	254,605.56
91330ACR6	12/18/20	12/18/25	Unity Bank	249,000.00	248,377.50	0.400%	4,982.72	253,982.72
08016PDV8	12/23/20	12/23/25	Belmont Savings Bank	249,000.00	248,377.50	0.400%	4,982.62	253,982.62
634116CW5	12/28/20	12/23/25	National Bank of NY City	249,000.00	248,688.75	0.400%	4,968.98	253,968.98
882214AA7	01/08/21	12/23/25	Texas Bank Henderson	249,000.00	249,000.00	0.450%	5,556.70	254,556.70
06424KBH2	01/08/21	01/08/26	Bank of Santa Clarita	249,000.00	248,688.75	0.400%	4,982.62	253,982.62
38522ABP0	01/08/21	01/08/26	Grand Bank Tulsa	249,000.00	248,688.75	0.400%	4,982.62	253,982.62
20143PEH9	01/26/21	01/26/26	Commercial Bank	249,000.00	248,751.00	0.471%	5,605.82	254,605.82
15258RAV9	01/27/21	01/27/26	Central Bank Storm Lake	249,000.00	248,751.00	0.471%	5,605.82	254,605.82
43786UAJ2	02/18/21	01/29/26	Hometown Bk of Alabama	249,000.00	249,000.00	0.400%	4,928.04	253,928.04
909242AN9	02/26/21	02/26/26	United Rep Bk Omaha	249,000.00	249,000.00	0.400%	4,982.61	253,982.61
12527CDV1	03/03/21	03/03/26	CFG Community Bk	249,000.00	249,000.00	0.400%	4,982.73	253,982.73
110087AS2	03/10/21	03/10/26	Bristol Morgan Bank	249,000.00	249,000.00	0.450%	5,605.82	254,605.82
87164XA30	09/03/21	09/03/26	Syncrony Bank	249,000.00	249,000.00	0.900%	11,205.00	260,205.00
90348JS92	09/09/21	09/09/26	UBS Bank USA	249,000.00	249,000.00	0.950%	11,834.03	260,834.03
795451BH5	04/05/22	02/23/27	Sallie May Bank	247,000.00	242,902.27	2.564%	26,574.50	273,574.50
598580AM0	03/08/23	03/08/27	Mifflinburg Bank and Trust Company	249,000.00	249,000.00	4.650%	46,345.77	295,345.77
64034KBF7	03/09/22	03/09/27	Nelnet Bank Inc	247,000.00	247,000.00	1.950%	24,095.69	271,095.69
27004PCN1	03/09/22	03/09/27	Eaglemark Savings	247,000.00	247,000.00	2.000%	24,713.53	271,713.53
07371CN21	03/16/22	03/10/27	Beal Bank NV	247,000.00	247,000.00	1.800%	22,169.09	269,169.09
07371AB28	03/16/22	03/10/27	Beal Bank TX	247,000.00	247,000.00	1.800%	22,169.09	269,169.09
02589ABW1	03/23/22	03/23/27	American Exp Bank	247,000.00	247,000.00	2.200%	27,184.89	274,184.89
31938QW34	02/15/22	04/15/27	First Business Bank	245,000.00	245,000.00	3.900%	33,790.69	278,790.69
254673D94	05/18/22	05/19/27	Discover Bank	246,000.00	246,000.00	3.200%	39,403.14	285,403.14
910286GS6	07/14/23	07/14/27	United Fidelity Bank	249,000.00	249,000.00	4.600%	45,847.38	294,847.38
78577TMR3	11/06/23	08/06/27	Saco & Biddeford Savings Institution	244,000.00	244,000.00	5.000%	45,750.00	289,750.00
68405VAU3	09/15/23	09/13/27	Optum Bank	244,000.00	244,000.00	4.700%	45,872.00	289,872.00
20347MAS0	10/20/23	10/20/27	Community Bank and Trust	244,000.00	244,000.00	4.900%	47,824.00	291,824.00
34520LAY9	12/15/22	12/15/27	Forebright Bank	249,000.00	248,651.40	4.031%	49,827.34	298,827.34
84229LBJ0	12/16/22	12/16/27	Southern Bank	245,000.00	245,000.00	4.000%	49,026.84	294,026.84
70212YBE1	02/22/23	02/22/28	Partners Bank California	245,000.00	245,000.00	3.850%	47,188.34	292,188.34
062119BH4	03/08/23	03/07/28	Bank Five Nine	249,000.00	249,000.00	4.550%	56,678.44	305,678.44
05580AW59	03/10/23	03/10/28	BMW Bank North America	244,000.00	244,000.00	4.600%	56,181.50	300,181.50
108622NK3	03/29/23	03/29/28	Bridgewater Bk	249,000.00	249,000.00	4.800%	59,825.54	308,825.54
178180GY5	03/31/23	03/31/28	City Natl Bk - Los Angeles	243,000.00	243,000.00	5.000%	60,816.56	303,816.56
914098DQ8	04/03/23	04/03/28	University Bank NA	249,000.00	249,000.00	4.800%	59,825.53	308,825.53
05600XQE3	05/16/23	05/16/28	BMO Harris Bank NA	244,000.00	244,000.00	4.500%	54,960.16	298,960.16
23204HPB8	06/06/23	06/14/28	Customers Bank	244,000.00	244,000.00	4.500%	53,365.81	297,365.81
91527PCD7	06/06/23	06/21/28	Univest Bank & Trust	249,000.00	249,000.00	4.500%	56,546.88	305,546.88
501798UJ9	07/18/23	07/18/28	LCA Bank Corporation	243,000.00	243,000.00	4.500%	54,734.92	297,734.92
58404DTG6	09/19/23	09/19/28	Medallion Bank	249,000.00	249,000.00	4.600%	57,332.81	306,332.81

City of Carlsbad investment portfolio
Investment detail
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Exhibit 9

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
59936MAA4	09/25/23	09/25/28	Milford Building & Loan	244,000.00	244,000.00	4.550%	55,510.00	299,510.00
84287PJB9	10/17/23	10/17/28	Southern First Bank	244,000.00	244,000.00	4.850%	59,170.00	303,170.00
949765HZ0	11/21/23	11/21/28	Wells Fargo Bank NA	248,000.00	248,000.00	5.050%	62,898.31	310,898.31
Total certificate of deposit				\$ 21,271,000.00	\$ 21,263,876.92	1.943%	\$ 1,970,857.01	\$ 23,241,857.01

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
Mortgage backed securities (agency)								
31398E6W9	08/27/20	06/15/24	FHLM - FHR 3544 BC	42,904.40	107,642.46	0.532%	83,540.73	126,445.13
3137FBTA4	03/10/21	08/25/24	FHLM - FHMS K728	2,549,594.40	2,755,643.17	3.064%	153,244.21	\$ 2,702,838.61
3137F32A1	04/15/20	11/25/24	FHLM - KHG1 A1	1,063,418.94	1,136,215.02	0.999%	217,130.28	1,280,549.22
3137BL6J2	07/22/22	12/25/24	FHLM - FHMS K048 A1	805,200.85	797,148.84	3.425%	64,096.69	869,297.54
3137BM7B6	06/30/22	04/25/25	FHMS - K051 A1	2,364,094.99	2,345,625.49	3.299%	163,239.98	2,527,334.97
30315EAA4	07/24/20	05/25/25	FRESB - MFM	888,077.11	889,072.83	0.830%	15,869.91	903,947.02
3137BJQ71	03/15/21	05/25/25	FHLM - FHMS KPLB A	2,000,000.00	2,157,500.00	2.770%	110,231.60	2,110,231.60
30318NAA1	02/19/21	01/25/26	FRESB - 2021-SB83	1,216,547.15	1,221,580.95	0.505%	22,551.11	1,239,098.26
3137BPW21	03/25/21	03/25/26	FHLM - KHMS K055	2,500,000.00	2,700,000.00	2.673%	154,976.68	2,654,976.68
3137BP4J5	08/20/21	03/25/26	FHLM - FHMS K1R1	1,278,892.82	1,112,966.10	0.414%	239,848.91	1,518,741.73
30321CAQ5	07/23/21	04/25/26	FRESB - 2021-SB88 A5F	1,734,568.68	1,742,715.98	0.746%	40,585.81	1,775,154.49
30324QAC2	01/21/22	11/25/26	FRESB - 2022-SB94	4,218,852.79	4,238,364.97	1.500%	171,584.69	4,390,437.48
30311SAA7	04/22/22	04/25/27	FRESB - 2022-SB97 A5F	3,374,696.04	3,240,950.10	2.803%	145,119.91	3,519,815.95
30329MAA0	10/28/22	06/25/27	FRESB - 2022-SB103 A5F	1,483,723.26	1,329,248.37	4.989%	186,362.10	1,670,085.36
30329QAA1	11/18/22	09/25/27	FRESB - 2022-SB104 A5F	3,957,712.37	3,612,750.26	2.600%	248,449.63	4,206,162.00
3138L7D60	12/16/22	10/01/27	FHLM - AM6424	980,026.16	948,787.83	4.212%	77,476.88	1,057,503.04
3132XGRH1	01/27/23	11/01/27	FRESB - FR WN2287	3,000,000.00	2,972,812.50	3.929%	259,613.30	3,259,613.30
30332EAA3	07/20/23	05/25/28	FRESB - 2023-SB107 A5F	2,998,488.93	2,933,298.78	4.090%	297,835.37	3,296,324.30
30333AAA0	08/17/23	06/25/28	FRESB 2023-SB108 A5F	3,497,564.60	3,422,185.09	4.793%	359,518.19	3,857,082.79
30334CAA5	11/16/23	09/25/28	FRESB 2023-SB111 A5F	2,750,000.00	2,688,430.25	5.284%	315,183.64	3,296,692.48
Total mortgage backed securities (agency)				\$ 42,704,363.49	\$ 42,352,938.99	2.979%	\$ 3,326,459.62	\$ 46,262,331.95

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
Municipal bonds								
127145LE8	05/27/21	06/15/24	Cache County SD	3,250,000.00	3,505,872.50	0.400%	297,375.00	3,547,375.00
005158XL9	06/17/21	08/15/24	Ada & Canyon County School District	1,500,000.00	1,710,405.00	0.520%	237,083.33	1,737,083.33
419792ZK5	02/26/21	10/01/24	State of Hawaii	3,000,000.00	3,039,420.00	0.433%	86,549.17	3,086,549.17
419792ZK5	03/17/22	10/01/24	State of Hawaii	2,000,000.00	1,933,240.00	2.160%	40,723.78	2,040,723.78
79771FAX5	03/01/21	11/01/24	San Francisco City Public Utilities	1,000,000.00	1,004,450.00	0.600%	26,523.31	1,026,523.31
575181GX	06/02/21	12/01/24	Mason & Kitsap Counties School District	640,000.00	640,000.00	0.538%	12,041.64	652,041.64
023051YW9	07/19/21	02/01/25	Amarillo Independent SD	1,800,000.00	1,762,290.00	0.600%	-	1,800,000.00
882806HG0	03/22/21	02/15/25	Texas St Tech Univ	2,500,000.00	2,524,850.00	0.679%	93,800.00	2,593,800.00
91412HGE7	03/01/21	05/15/25	University of California	1,500,000.00	1,517,250.00	0.600%	55,724.13	1,555,724.13
91412HGE7	06/29/21	05/15/25	University of California	1,960,000.00	1,966,154.40	0.799%	67,111.92	2,027,111.92
625506QN3	02/02/21	06/15/25	County of Multnomah OR	2,000,000.00	2,006,040.00	0.430%	37,553.89	2,037,553.89
91412GU94	01/28/21	07/01/25	University of California	1,805,000.00	1,995,210.90	0.509%	244,645.68	2,049,645.68
20772KEW5	06/30/22	09/15/25	State of Connecticut	2,850,000.00	2,863,053.00	3.201%	476,400.00	3,326,400.00
13063DMA3	04/01/21	04/01/26	State of California	4,140,000.00	4,478,652.00	0.970%	161,300.35	4,301,300.35
13063DMA3	05/18/21	04/01/26	State of California	1,250,000.00	1,353,350.00	0.910%	342,250.56	1,592,250.56
736688MF6	09/01/21	06/15/26	Portland Community College	1,100,000.00	1,102,992.00	0.841%	122,255.56	1,222,255.56
569280EX4	12/07/21	06/15/26	Marion County School	1,880,000.00	1,885,245.20	1.374%	548,550.00	2,428,550.00
842475P82	02/11/22	07/01/26	Sthrn CA ST Pub Pwr Auth	2,485,000.00	2,415,643.65	1.930%	47,357.32	2,532,357.32
797272QR5	08/12/21	08/01/26	San Diego Community College	3,000,000.00	3,209,550.00	0.860%	33,041.17	3,033,041.17
801315KR2	08/23/21	08/01/26	Santa Barbara CA USD	500,000.00	511,970.00	0.842%	81,862.08	581,862.08
798189PY6	08/23/21	08/01/26	San Jose Evergreen Community College	750,000.00	799,522.50	0.842%	101,809.78	851,809.78
798170AJ5	01/06/22	08/01/26	San Jose Redevelopment	3,000,000.00	3,220,260.00	1.507%	342,742.58	3,342,742.58
6041295T9	08/10/22	08/01/26	Minnesota State	1,215,000.00	1,215,000.00	3.250%	174,512.81	1,389,512.81
13063DRD2	02/08/22	10/01/26	State of California	2,400,000.00	2,468,808.00	1.730%	170,415.98	2,570,415.98
419792ZN9	03/02/22	10/01/26	State of Hawaii	2,000,000.00	1,938,920.00	1.810%	264,891.67	2,264,891.67
13067WSW3	12/20/21	12/01/26	State of California	1,275,000.00	1,257,405.00	1.051%	977,643.33	2,252,643.33
13067WSW3	03/29/22	12/01/26	State of California	1,425,000.00	1,322,001.00	2.708%	84,523.29	1,509,523.29

City of Carlsbad investment portfolio
Investment detail
November 30, 2023

Exhibit 9

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
13067WSW3	04/18/22	12/01/26	State of California	2,705,000.00	2,475,237.30	3.035%	90,565.95	2,795,565.95
016249FQ2	10/30/23	02/15/27	Alief Independent School District	1,980,000.00	1,969,209.00	5.380%	360,360.00	2,340,360.00
544646A77	06/13/22	05/01/27	LA Unified School District	3,500,000.00	3,883,600.00	3.820%	15,705.20	3,515,705.20
68608VDX9	10/13/23	05/01/27	State of Oregon	1,000,000.00	943,330.00	5.080%	132,640.00	1,132,640.00
91412HGF4	05/15/23	05/15/27	University of California	1,000,000.00	908,270.00	3.810%	52,640.00	1,052,640.00
544495VX9	08/27/23	07/01/27	Los Angeles Dept of Water & Power	1,500,000.00	1,580,685.00	4.100%	345,669.33	1,845,669.33
419794F72	06/06/23	07/01/27	State of Hawaii	1,125,000.00	1,004,962.50	4.720%	82,624.50	1,207,624.50
438701Y40	06/28/23	07/01/27	Honolulu Wastewater System Revenue	1,500,000.00	1,392,885.00	4.460%	168,412.50	1,668,412.50
796720NT3	02/22/23	08/01/27	San Bernardino Community College Dist	1,500,000.00	1,328,325.00	1.480%	107,266.25	1,607,266.25
357155BA7	05/09/23	08/01/27	Fremont CA Unified School District	2,000,000.00	1,795,450.00	3.750%	94,110.34	2,094,110.34
68609TU22	08/22/23	08/01/27	Oregon State Dept of Transportation	1,585,000.00	1,394,070.90	1.354%	85,843.60	1,670,843.60
212204JH5	08/31/23	08/01/27	Contra Costa CA Community College Dist	1,000,000.00	909,510.00	4.720%	86,520.00	1,086,520.00
797272RP8	10/25/23	08/01/27	San Diego Community College	2,290,000.00	2,016,551.10	5.161%	149,582.80	2,439,582.80
072031AP2	08/01/23	10/01/27	Bay Area Water	1,250,000.00	1,185,562.50	4.742%	189,281.25	1,439,281.25
032556FB3	10/17/23	10/01/27	City of Anaheim	1,670,000.00	1,487,068.20	1.998%	133,466.40	1,803,466.40
68607DVD4	06/16/23	11/15/27	Oregon State Dept of Transportation	2,000,000.00	1,738,740.00	4.370%	97,560.00	2,097,560.00
802385SN5	11/17/23	08/01/28	Santa Monica Community College Dist	1,000,000.00	940,860.00	4.950%	176,350.00	1,176,350.00
798170AL0	08/09/23	08/01/28	San Jose Redevelopment	1,000,000.00	948,450.00	4.742%	189,281.25	1,189,281.25
882723B40	11/21/23	10/01/28	State of Texas	1,500,000.00	1,410,330.00	4.700%	248,325.00	1,748,325.00
7994082H1	08/24/23	08/01/28	San Ramon Valley School District	1,000,000.00	861,870.00	4.850%	83,500.00	1,083,500.00
882724RD1	11/21/23	10/01/28	State of Texas PFA	2,000,000.00	1,787,400.00	4.750%	227,600.00	2,227,600.00
13063DL22	11/15/23	10/01/28	State of California	1,000,000.00	860,500.00	5.008%	87,500.00	1,087,500.00
Total municipal bonds				\$ 87,330,000.00	\$ 86,470,421.65	2.278%	\$ 8,333,492.70	\$ 95,663,492.70

CUSIP	Settlement	Maturity	Issuer	Par	Invested	Yield	Interest expected	Return
Cash and pooled investments								
01WFB CASH			Wells Fargo Bank - General	2,489,758.00	2,489,758.00	0.000%	-	2,489,758.00
01WFB SWEEP			Wells Fargo Sweep account	22,516,424.61	22,516,424.61	5.231%	98,145.91	22,614,570.52
01WFB CUSTODY			Wells Fargo Bank - Custody	511,842.82	511,842.82	2.850%	1,215.63	513,058.45
01CAMP1028			CAMP	112,624,954.04	112,624,954.04	5.580%	523,706.04	113,148,660.08
01CI0502			LAIF City	206,871.53	206,871.53	3.845%	662.85	207,534.38
01CM0502			LAIF CMWD	836,158.80	836,158.80	3.845%	2,679.19	838,837.99
01PF10391			LAIF CPFA	765,952.51	765,952.51	3.845%	2,454.24	768,406.75
Total cash and pooled investments				\$ 139,951,962.31	\$ 139,951,962.31	5.392%	\$ 628,863.85	\$ 140,580,826.16
GRAND TOTAL				\$ 857,480,325.80	\$ 860,492,903.12	2.4384%	\$ 60,577,631.73	\$ 918,289,466.37



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Molly Amendt, Senior Engineer
molly.amendt@carlsbadca.gov, 760-573-3368

Subject: Accepting bids, determining a bid is non-responsive, and awarding a contract to Conan Construction, Inc. for construction of the Calavera Hills Community Center Refurbishment Project

District: 2

Recommended Action

Adopt a resolution accepting bids, determining the bid submitted by Dynamis Now, LLC to be non-responsive, and awarding a contract to Conan Construction, Inc. for construction of the Calavera Hills Community Center Refurbishment Project, in an amount not to exceed \$1,217,750.

Executive Summary

The Calavera Hills Community Center located at 2997 Glasgow Drive, as shown in Exhibit 2, requires refurbishment of the roof, exterior siding and painting. This action would award a construction contract to the lowest responsive and responsible bidder, Conan Construction, Inc., in an amount not to exceed \$1,217,750.

The City Council's approval is required under Carlsbad Municipal Code Sections 3.28.080(C) and 3.28.080(I)(6), which apply construction contracts when the value exceeds \$200,000, as this project does.

Explanation & Analysis

Project overview

The scope of the project includes:

- Replacing a portion of the existing low-slope roofing with a single-ply membrane, a wide sheeting designed for low-slope roofs
- Applying a fluid roof system over the existing roof for a portion of the existing low-slope roofing
- Replacing clay tile roofing with standing seam metal roofing consisting of panels locked together with concealed fasteners
- Patching and repairing areas of exterior cement plaster damage
- Repainting all previously painted surfaces

Construction contract

- On Oct. 10, 2023, the City Council adopted Resolution No. 2023-258, approving the project's plans and specifications and authorized staff to seek bids for construction of the project. Staff advertised the project using the city's formal bidding procedures.
- A consulting architect estimated construction of the project would cost a total of \$2,101,900.
- Six bids were received on Nov. 9, 2023, ranging from the lowest bid of \$584,561 to the highest bid of \$1,844,818.

Staff have reviewed the bids and recommend that the City Council find the apparent low bid of \$584,561 from Dynamis Now, LLC to be non-responsive because the contractor submitted a bid that proposed subcontracting for more than 50% of the work. Section 404 of the City Charter, provides that the "City Council shall have the power to establish standards, procedures, rules or regulations relating to all aspects of the award and performance of contracts, including contracts for the construction of public improvements." Consistent with its authority, the City Council approved the plans, specifications and contract documents for this project, which included a requirement for limiting subcontracting to be no more than 50% of the work.¹ Because Dynamis Now, LLC proposed subcontracting for more than 50% of the work, its bid should be deemed non-responsive.

Staff determined the next lowest bid in the amount of \$1,217,750 from Conan Construction, Inc. to be responsive to the requirements of the bidding documents. Conan Construction, Inc. is the lowest responsive and responsible bidder based on the documents provided in its bid. Staff recommend award of a construction contract to Conan Construction, Inc. for this project.

Fiscal Analysis

Capital Improvement Program Project No. 4746 is funded by the Infrastructure Replacement Fund. There are sufficient funds available in CIP Project No. 4746 to complete the project. No additional funding is requested at this time.

Calavera Hills Community Center Refurbishment Project CIP Project No. 4746	
Total appropriation to date	\$1,985,000
Total expenditures/encumbrances to date	-\$192,519
Total available funding	\$1,792,481
Additional project costs	
Construction contract – Conan Construction, Inc.	-\$1,217,750
Construction contingency (estimated)	-\$182,000
Construction management, inspection and testing (estimated)	-\$75,000
Total estimated construction costs	-\$1,474,750
Remaining balance	\$317,731

¹ As a charter city, Carlsbad has the ability to set out its own procedures in public works contracting (*Domar Electric, Inc. v. City of Los Angeles* (1994) 9 Cal 4th 161).

CMC Sections 3.28.040(C)(5) and 3.28.090(B) allow for the City Council to authorize the City Manager or designee to approve change orders in an amount equal to the contingency set at the time of project award, which for this project is \$182,000.

Next Steps

Once the City Council accepts the bids, determines that the bid submitted by Dynamis Now, LLC is non-responsive, and awards the construction contract to Conan Construction, Inc., staff will issue a purchase order, schedule a pre-construction meeting with the contractor and issue a notice to proceed for construction of the project.

The duration of the construction contract is approximately four months, not including rain days and delays from change orders that may extend the contract duration. Once the project is completed, which is expected to be in second quarter 2024, a notice of completion to release bonds issued for the project will be recorded.

Environmental Evaluation

The City Planner, through the process outlined in Carlsbad Municipal Code Section 19.04.060, has determined that the project to replace the Calavera Hills Community Center roof and repair and paint the exterior of the building, belongs to a class of projects that the State Secretary for Natural Resources has found do not have a significant impact on the environment, and it is therefore categorically exempt from the requirement for the preparation of environmental documents pursuant to Section 15301 (d) Class 1 of the California Environmental Quality Act, or CEQA, Guidelines. The project is consistent with 15301 (d) Class 1 because it consists of maintenance of public facilities, such as restoration or rehabilitation of deteriorated or damaged structures, facilities, or mechanical equipment to meet current standards of public health and safety. In making this determination, the City Planner has found that the exceptions listed in Section 15300.2 of the CEQA Guidelines do not apply to this project.

Exhibits

1. City Council resolution
2. Location map

RESOLUTION NO.

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, ACCEPTING BIDS, DETERMINING THE BID SUBMITTED BY DYNAMIS NOW, LLC TO BE NON-RESPONSIVE AND AWARDING A CONTRACT TO CONAN CONSTRUCTION, INC. FOR CONSTRUCTION OF THE CALAVERA HILLS COMMUNITY CENTER REFURBISHMENT PROJECT, IN AN AMOUNT NOT TO EXCEED \$1,217,750

WHEREAS, the City Council of the City of Carlsbad, California has determined it necessary, desirable and in the public interest to construct the Calavera Hills Community Center Refurbishment, Capital Improvement Program Project No. 4746, or project; and

WHEREAS, on Oct. 10, 2023, the City Council adopted Resolution No. 2023-258, approving plans and specifications that included a requirement to limit subcontracting to no more than 50% of the work and authorizing advertisement of the project for construction bids; and

WHEREAS, Section 404 of the City Charter allows the City Council to set its own bidding requirements in matters that are strictly a municipal affair; and

WHEREAS, the Carlsbad Municipal Code Sections 3.28.080(C) and 3.28.080(I)(6) require the City Council to award all formally bid contracts when the value exceeds \$200,000, and therefore, the project is subject to this requirement; and

WHEREAS, on Nov. 9, 2023, staff received six bids for construction of the project; and

WHEREAS, the apparent lowest bid submitted by Dynamis Now, LLC in an amount not to exceed \$584,561 did not meet the requirement of limiting subcontracting to no more than 50% of the work and therefore staff recommend the bid be found non-responsive for not meeting the requirement stated in the bid solicitation; and

WHEREAS, Conan Construction, Inc., submitted the next lowest bid in an amount not to exceed \$1,217,750, and

WHEREAS, staff determined that Conan Construction, Inc. is a responsible contractor and its bid is responsive; and

WHEREAS, the Carlsbad Municipal Code Sections 3.28.040(C)(5) and 3.28.090(B) authorize the City Manager or designee to approve change orders in an amount equal to the contingency set at the time of project award, which is \$182,000; and

WHEREAS, the City Planner has determined that the project is exempt from the California Environmental Quality Act, or CEQA, under CEQA Guidelines Section 15301(d) Class 1 because it consists of maintenance of public facilities, such as the restoration or rehabilitation of deteriorated or damaged structures, facilities, or mechanical equipment to meet current standards of public health and safety.

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

1. That the above recitations are true and correct.
2. That the bid in the amount of \$584,561 submitted by Dynamis Now, LLC is determined to be non-responsive as they failed to limit subcontracting to no more than 50% of the work.
3. That the bid in the amount of \$1,217,750 submitted by Conan Construction, Inc., for construction of the Calavera Hills Community Center Refurbishment Project, CIP Project No. 4746, is accepted, and the Mayor is hereby authorized to execute a contract with Conan Construction, Inc.
4. That the City Manager or designee is hereby authorized to approve construction change orders for the project up to \$182,000.
5. That the City Manager or designee is authorized to sign all other documents necessary to finalize, implement and comply with the project, subject to their approval as to form by the City Attorney.
6. That the award of this contract is contingent upon Conan Construction, Inc., executing the required contract and submitting the required bonds and insurance policies, as described in the contract, within 20 calendar days after adoption of this Resolution. The City Manager may grant reasonable extensions of time to execute the contract and assemble the required bonds and insurance policies.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

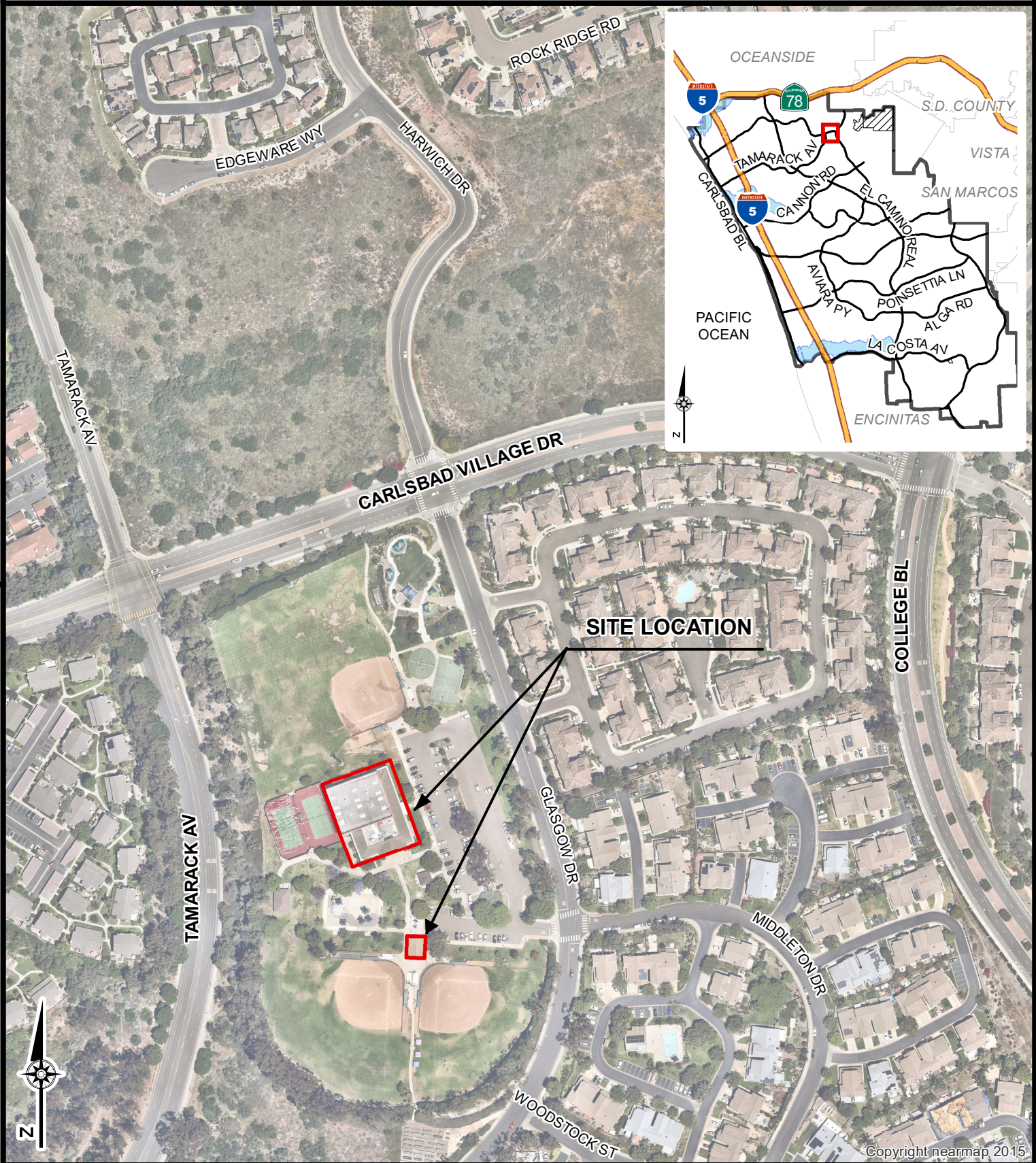
ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

LOCATION MAP

Exhibit 2



PROJECT NAME **CALAVERA HILLS COMMUNITY CENTER
REFURBISHMENT PROJECT**

PROJECT
NUMBER
4746

EXHIBIT
2



CITY COUNCIL
Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Steven Stewart, Municipal Projects Manager
steven.stewart@carlsbadca.gov, 442-339-2938

Subject: Approval of Plans, Specifications and Contract Documents and
Authorization to Advertise for Bids for the Schulman Auditorium Audio-
Visual Update Project

District: 3

Recommended Action

Adopt a resolution approving the plans, specifications and contract documents and authorizing the City Clerk to advertise for bids for the Schulman Auditorium Audio-Visual Update Project.

Executive Summary

The sound and video systems at the Ruby G. Schulman Auditorium at the Carlsbad City Library have had performance failures and are at the end of their expected service life. The Schulman Auditorium Audio-Visual Update Project No. 4753 was developed for this work and similar work in the William D. Cannon Art Gallery.

The cost estimate for the combined project greatly exceeded the available project's funding so the plans were modified to only address work in the Schulman Auditorium, because this work is more critical. Updates to the Cannon Art Gallery will be reevaluated for City Council consideration and approval at a future date.

The City Council-approved design work on the project to replace and upgrade the audio-visual capabilities and bring the systems up to industry standards has been completed. Staff are now asking the City Council to approve putting the revised project, out for bids for its completion.

Staff request City Council approval of the revised, completed and permitted project plans, specifications and contract documents, shown in Exhibit 3, and authorization for the City Clerk to advertise for bids for the work needed to upgrade the auditorium systems.

The City Council's approval is required under Carlsbad Municipal Code Section 3.28.080(E) because the expected value of this work is greater than \$200,000.

Explanation & Analysis

This project was originally envisioned to include audio-visual, lighting and infrastructure upgrades in the Schulman Auditorium and the Cannon Art Gallery. However, once the design work for both areas was completed, a preliminary cost estimate showed that the project was significantly more costly than the current funding appropriation. This was due primarily to the audio-visual related work. Accordingly, the Cannon Art Gallery and adjacent courtyard work was deferred to a later date and staff reviewed the scope of work for the Shulman Auditorium for potential cost savings.

The Schulman Auditorium is located at the City Library 1775 Dove Lane, as shown in Exhibit 2. The auditorium has 215 fixed seats and was designed for a wide range of programs, presentations and performances. It is used by the public and city departments, and as a venue for live performances, such as classical and contemporary concerts, dance and piano recitals, play readings, author lectures, public meetings and other presentations, such as the State of the City Address.

The auditorium averages over 250 events each year, bringing in over 20,000 guests and generating over \$60,000 in revenue. The auditorium has a variety of technologies to support these activities, including lighting and an integrated sound and video system. The auditorium systems are approaching the end of their expected service life. The sound system is over 13 years old and has recently experienced failures. The video system was upgraded seven years ago and is also starting to experience failures. Both systems offer only intermittent compatibility with each other. These systems need to be upgraded so the auditorium can offer a seamless production experience and continue to serve the needs of city departments and members of the public.

The design includes the complete replacement of the audio-visual system in the auditorium and the replacement of most of the theatrical lighting. The new systems are expected to have a useful lifespan of at least 15 years.

The City Council approved the agreement for design of the Schulman Auditorium and Cannon Art Gallery Audio-Visual Update Project, Capital Improvement Program Project No. 4753, on July 12, 2022, with Resolution No. 2022-165. Staff from the Public Works and Library & Cultural Arts Departments then met with the consultant Domusstudio Architecture LLP on several occasions to review the programming needs for each location and create an appropriate design for the project.

Staff think the high cost of the combined project was due to an inaccurate estimation of audio-visual and lighting equipment values prior to the start of the project. To move forward, staff plan to only complete the designed work in the auditorium and to defer work in the art gallery and courtyard to a later date. Even with this limited work scope, there is still a current funding shortfall in the project budget, so staff plan to require the bid value for some items (e.g., new drinking fountain, theatrical lighting systems) to be presented separately in the bid so they can be considered as an option for cost reductions or included in the approved scope of work in addition to the audio-visual work, and to present these bid results to the City Council for consideration at the time the contract is to be awarded.

The project's design has been completed, approved by staff and received a building permit on Aug. 1, 2023, which is on file for the successful contractor to use once the contract is awarded.

Fiscal Analysis

The engineer's estimate for the complete work scope in the Schulman Auditorium is \$1,327,932. This project is funded from the Infrastructure Replacement Fund, and no additional funding is being requested at this time.

Schulman Auditorium Audio-Visual Update Project Capital Improvement Program Project No. 4753	
Total appropriation to date	\$1,650,000
Total expenditures/encumbrances to date	-\$234,801
Total available balance	\$1,415,199
Construction contract (estimated)	-\$1,327,932
Construction contingency (estimated)	-\$133,000
Construction management, inspection and testing (estimated)	-\$184,000
Total estimated project costs	-\$1,644,932
Remaining balance	-\$229,733
Additional appropriation potentially needed at time of contract award	\$229,733

Next Steps

With the City Council's approval, the City Clerk will advertise a request for bids for the revised project. Staff will then evaluate the bids received and identify the lowest responsive and responsible bidder.

Staff plan to return to the City Council in early 2024 with a recommendation to award a construction contract to the lowest responsive and responsible bidder and request additional funding if the City Council approves proceeding with any work in excess of the current funding appropriation.

Environmental Evaluation

The City Planner, through the process outlined in Carlsbad Municipal Code Section 19.04.060, has determined that the project belongs to a class of projects that the California Secretary for Natural Resources has found do not have a significant impact on the environment, and it is therefore categorically exempt from the requirement for the preparation of environmental documents in accordance with Section 15301(d) Class 1 of the California Environmental Quality Act Guidelines

In making this determination, the City Planner has found that the exceptions listed in Section 15300.2 of the CEQA Guidelines do not apply to this project. The project is consistent with 15301(d) Class 1 because it consists of maintenance of public facilities, such as restoration or rehabilitation of deteriorated or damaged structures, facilities or mechanical equipment to meet current standards of public health and safety.

Exhibits

1. City Council resolution
2. Location map
3. [Plans, specifications, and contract documents](#) (on file in the Office of the City Clerk)

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, APPROVING THE PLANS, SPECIFICATIONS AND CONTRACT DOCUMENTS AND AUTHORIZING THE CITY CLERK TO ADVERTISE FOR BIDS FOR THE SCHULMAN AUDITORIUM AUDIO-VISUAL UPDATE PROJECT

WHEREAS, the City Council of the City of Carlsbad, California has determined that the plans, specifications and contract documents for the Schulman Auditorium Audio-Visual Update, Capital Improvement Program Project No. 4753 have been completed to the satisfaction of staff; and

WHEREAS, the plans, specifications and contract documents for the project have been prepared, are on file at the City Clerk's office and are incorporated by reference; and

WHEREAS, City Council approval of the plans and specifications is required under Carlsbad Municipal Code Section 3.28.080(E) because the expected value to construct the project exceeds the \$200,000 limit established by the Public Contract Code, including the alternative provisions of the Uniform Public Construction Cost Accounting Act; and

WHEREAS, the City Planner has determined that the project belongs to a class of projects that the state Secretary for Natural Resources has found do not have a significant impact on the environment, and it is therefore categorically exempt from the requirement for the preparation of environmental documents pursuant to Section 15301(d) Class 1 of the California Environmental Quality Act Guidelines. Further, that in making this determination, the City Planner has found that the exceptions listed in Section 15300.2 of the California Environmental Quality Act Guidelines do not apply to this project, and that the project is consistent with 15301(d) Class 1 because it consists of maintenance of public facilities, such as restoration or rehabilitation of deteriorated or damaged structures, facilities, or mechanical equipment to meet current standards of public health and safety.

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

1. That the above recitations are true and correct.
2. That the plans, specifications and contract documents for the Schulman Auditorium Audio-Visual Update, CIP Project No. 4753, are approved and on file at the City Clerk's Office.
3. That the City Clerk is hereby authorized and directed to publish, in accordance with state law and Carlsbad Municipal Code Section 3.28.080(C), a notice to contractors inviting

bids for construction of the Project in accordance with plans, specifications and contract documents referred to herein.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

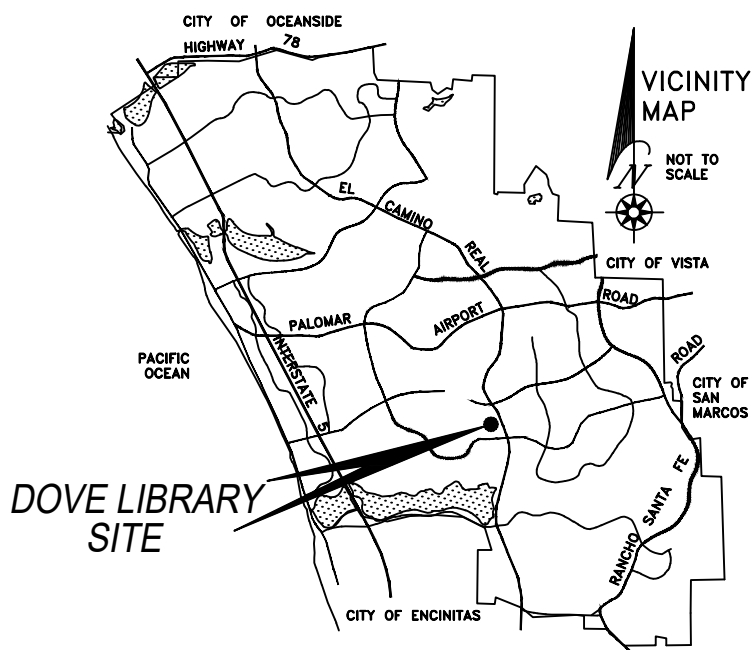
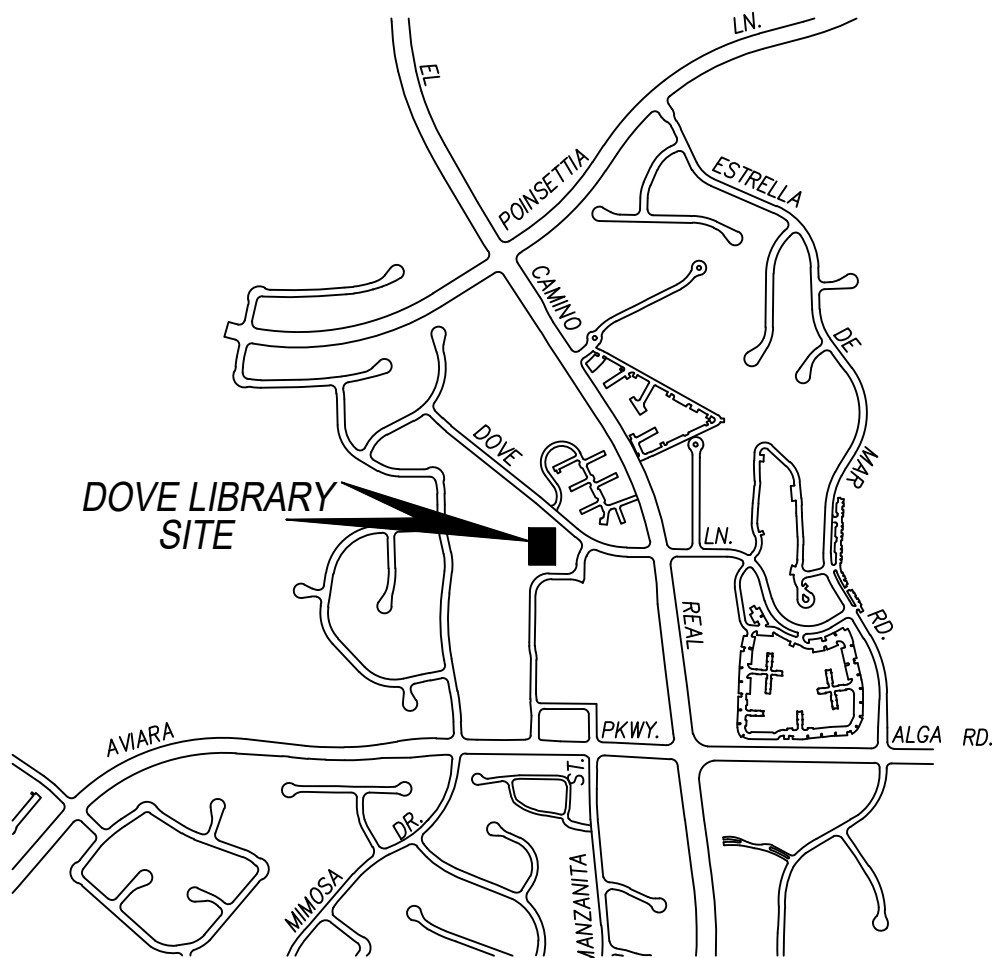
ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

LOCATION MAP



PROJECT: NAME

*Schulman Auditorium Audio-Visual Update
Project - CIP Project No. 4753*

EXHIBIT

2

Exhibit 3

Plans, specifications and contract documents
(on file in the Office of the City Clerk)



MUNICIPAL WATER DISTRICT Staff Report

Meeting Date: Jan. 9, 2024

To: President and Board Members

From: Scott Chadwick, Executive Manager

Staff Contact: Emily Hasegawa, Engineering Manager
emily.hasegawa@carlsbadca.gov, 442-339-5763

Dave Padilla, District Engineer
dave.padilla@carlsbadca.gov, 442-339-2356

Subject Authorize additional contingency funds for the Pressure-Reducing Station Replacement Phase 2 Project

Districts: 2 and 3

Recommended Action

Adopt a Carlsbad Municipal Water District Board of Directors resolution authorizing additional contingency funds and increasing the Executive Manager's authority for approval of change orders by \$345,300 to the revised amount of \$870,000 for the Pressure-Reducing Station Replacement Phase 2 Project.

Executive Summary

The Carlsbad Municipal Water District (CMWD) has been replacing pressure-reducing stations to replace aging infrastructure and add needed redundancy to the potable water distribution system. The project includes abandoning two water pressure-reducing stations and constructing three new pressure-reducing stations and approximately 2,500 feet of potable water pipeline on El Fuerte Street, Palomar Airport Road and Melrose Drive.

The project is currently under construction, and additional costs have been incurred for CMWD-initiated design changes, unanticipated field conditions, changes in materials and staff time. Staff estimate the contingency budget set at the time of contract award will be exceeded.

The CMWD Board authorized the Executive Manager to execute change orders for the project up to \$524,700. Staff recommend that the CMWD Board authorize an increase in construction contingency funds in the amount of \$345,300 for the CMWD-initiated design change and unforeseen conditions and increase the authority delegated to the Executive Manager to approve change orders to an increased total of \$870,000.

The CMWD-initiated design change included an increase in the size of 1,845 feet of pipe to 16 inches in diameter when a 12-inch diameter pipe was in the original scope of work. This change was necessary to maintain adequate system capacity.

There is adequate funding in the project budget to cover this increase, so no additional appropriation is required.

Discussion

The CMWD Board of Directors approved the project on April 18, 2023, by adopting Resolution No. 1703, which awarded a contract to CCL Contracting, Inc. for construction of the Pressure-Reducing Station Replacement Project Phase 2, Capital Improvement Program, or CIP, Project No. 5020-B. The construction contract amount was \$3,497,740, and the construction contingency established at the time of contract award was \$524,700.

The project has incurred additional construction costs due to the following changes or field conditions:

- The CMWD-initiated increase of the pipe diameter from 12 inches to 16 inches for 1,845 lineal feet
- Hard-rock conditions which increased the excavation effort
- Need for additional potholes to be dug to confirm the limits and materials for pipeline connections
- Additional paving needed to accommodate a wider trench
- Increased material costs

The construction project is 41% complete and change orders to date total \$390,111 with \$134,589 remaining for contingencies. Staff estimate an additional contingency amount of \$345,300 will be needed to complete the project, in addition to the remaining \$134,589, for a combined total of \$480,000 or 12% of construction costs to date.

The total estimated amount of \$870,000 for needed change orders through completion will exceed the contingency amount set when the contract was awarded by \$345,300. Carlsbad Municipal Code Section 3.28.040(C)(5) provides that the City Manager's authority to approve project change orders is set when the underlying contract is awarded, and the proposed increase exceeds the City Manager's previously approved authority.

The CMWD Board is the awarding authority for change orders beyond the contingency amount set when the contract was awarded, under Carlsbad Municipal Code Section 3.28.040(D)(3). The CMWD Board may delegate other duties or powers to the Executive Manager by resolution under Carlsbad Municipal Code Section 2.12.035(L).

Staff recommend that the CMWD Board authorize an additional \$345,300 for contingency funds and increase the delegated authority to the Executive Manager to approve change orders up to a total of \$870,000.

Fiscal Analysis

Additional funds are available in the project budget to support the requested action. The table below summarizes the appropriations and expenditures to date and the estimated remaining expenditures.

Pressure-Reducing Station Replacement Phase 2 CIP Project No. 5020-B	
Total appropriation to date	\$6,431,040
Total expenditures and encumbrances to date	-\$5,554,261
Total available funds	\$876,779
Estimated future change orders	-\$480,000
Additional engineering services during construction (estimated)	-\$30,000
Additional staff time (estimated)	-\$40,000
Estimated additional project costs	-\$550,000
Remaining balance	\$326,779
Additional appropriation needed	\$0

Next Steps

Upon CMWD Board approval of additional contingency funds and authorization of an increase to the Executive Manager's delegated authority to approve change orders in the amount of \$345,300 to the revised amount of \$870,000 for the project, staff will continue to manage the project through completion, which is estimated to be in summer 2024.

Environmental Evaluation

The City Planner has determined that this project classifies as a maintenance project and is exempt from environmental review according to California Environmental Quality Act Guidelines sections 15302 – Replacement or reconstruction of existing facilities. None of the exceptions described in Section 15300.2 apply to this project. A notice of exemption was filed on Jan. 26, 2023, with the San Diego County Clerk (File # 2023-000055) in compliance with Section 21152(b) of the California Public Resources Code.

Exhibits

1. Carlsbad Municipal Water District Board resolution
2. Location map

RESOLUTION NO.

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE CARLSBAD MUNICIPAL WATER DISTRICT OF THE CITY OF CARLSBAD, CALIFORNIA, AUTHORIZING ADDITIONAL CONTINGENCY FUNDS AND INCREASING THE EXECUTIVE MANAGER'S AUTHORITY FOR APPROVAL OF CHANGE ORDERS BY \$345,300 TO THE REVISED AMOUNT OF \$870,000 FOR THE PRESSURE-REDUCING STATION REPLACEMENT PHASE 2 PROJECT

WHEREAS, on April 18, 2023, the Carlsbad Municipal Water District, or CMWD, Board of Directors adopted Resolution No. 1703, awarding a contract to CCL Contracting, Inc., or Contractor, for construction of the Pressure-Reducing Station Replacement Phase 2, Capital Improvement Program, or CIP, Project No. 5020-B; and

WHEREAS, the construction contingency amount of \$524,700 was set at the time of contract award consistent with the requirements of Carlsbad Municipal Code, or CMC, Section 3.28.040(C)(5); and

WHEREAS, the project has incurred additional construction costs due to design changes and unanticipated field conditions; and

WHEREAS, staff estimate that additional contingency funds in the estimated amount of \$345,300 may be needed to complete the project; and

WHEREAS, the total increased contingency of \$870,000 will exceed the contingency amount set when the contract was awarded; and

WHEREAS, CMC Section 3.28.040(D)(3) requires the CMWD Board of Directors to award change orders which exceed the contingency amount set when the contract was awarded; and

WHEREAS, CMC Section 2.12.035(L) authorizes the Executive Manager to perform such other duties and exercise such other powers as may be delegated by resolution; and

WHEREAS, the City Planner has determined that the project is exempt from the California Environmental Quality Act, or CEQA, per State CEQA Guidelines Sections 15302 (replacement or reconstruction of existing facilities). None of the exceptions described in CEQA Section 15300.2 are applicable to this project. A notice of exemption was filed in the office of the San Diego County Clerk (File # 2023-000055) in compliance with Section 21152 (b) of the Public Resources Code.

NOW, THEREFORE, BE IT RESOLVED by the Carlsbad Municipal Water District Board of Directors of the City of Carlsbad, California, as follows:

1. That the above recitations are true and correct.
2. That the contingency amount for the Pressure-Reducing Station Replacement Phase 2, CIP Project No. 5020-B, is increased by \$345,300 for an increased total contingency amount of \$870,000.
3. That the Executive Manager's delegated authority to award construction change orders is increased to a total of \$870,000.

PASSED, APPROVED AND ADOPTED at a Special Meeting of the Board of Directors of the Carlsbad Municipal Water District of the City of Carlsbad on the __ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

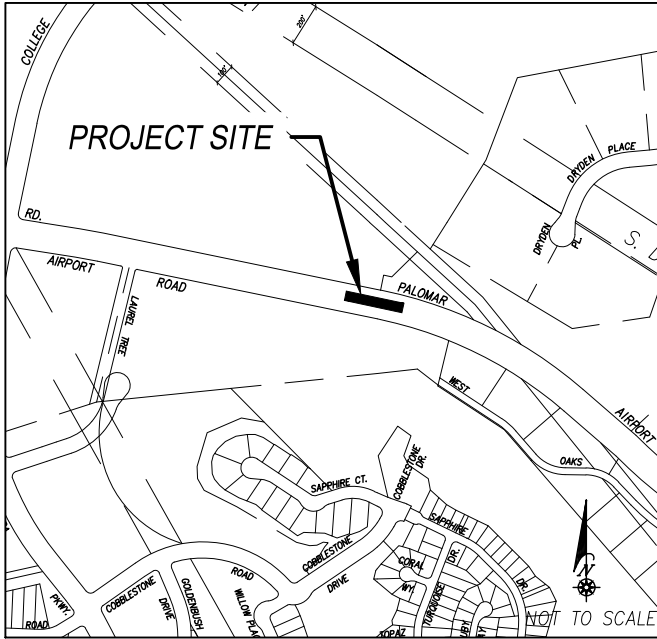
ABSENT:

KEITH BLACKBURN, President

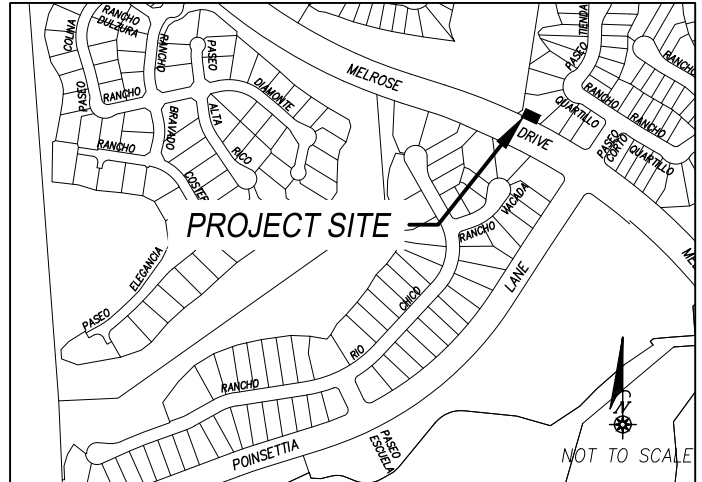
SHERRY FREISINGER, Secretary
(SEAL)

LOCATION MAP

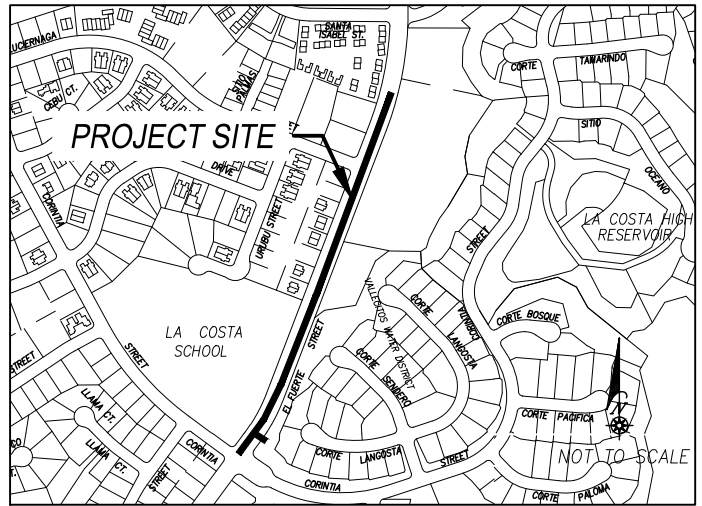
Exhibit 2



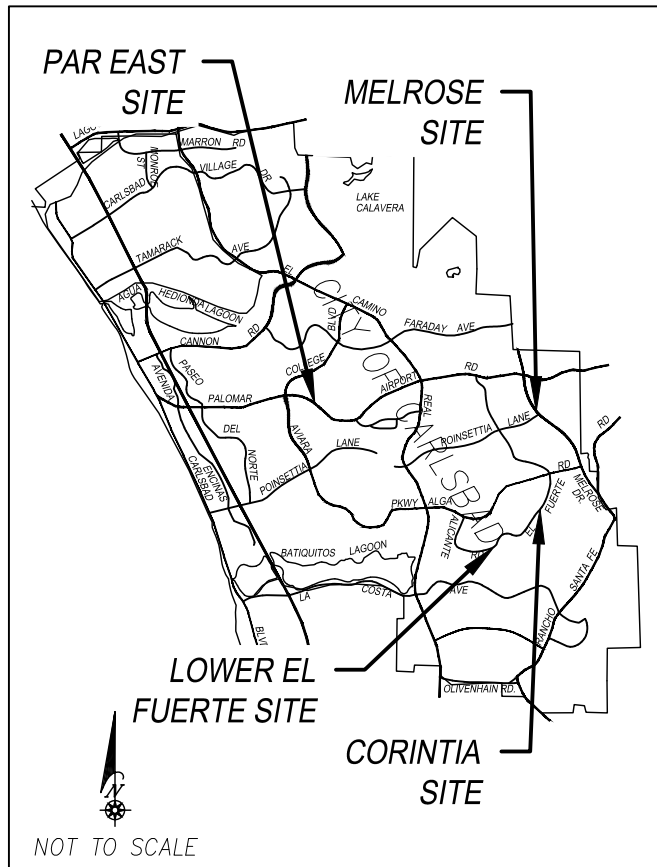
PAR EAST PRS ABANDONMENT SITE



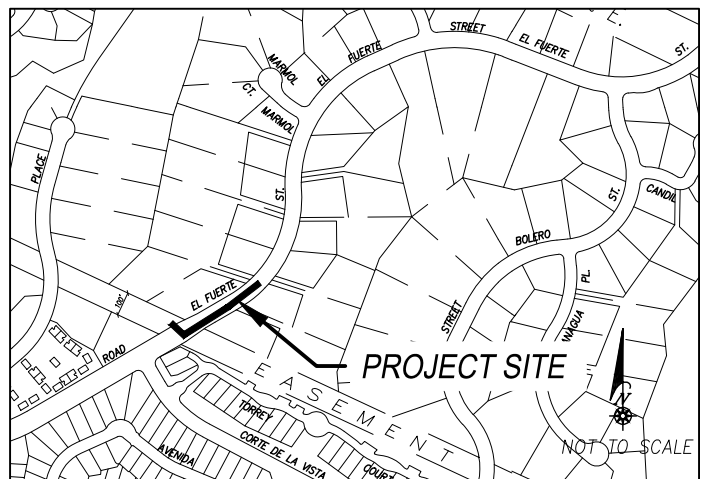
MELROSE PRS REPLACEMENT SITE



CORINTIA PRS SITE



VICINITY MAP



LOWER EL FUERTE PRS SITE

PROJECT NAME

**PHASE 2 PRESSURE REDUCING
STATION REPLACEMENTS**

Jan. 9, 2024

PROJECT
NUMBER

5020-B

Item #4

EXHIBIT

2

Page 6 of 6



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Bradley Northup, Public Works Superintendent
bradley.northup@carlsbadca.gov, 442-339-5193

Subject: Amendment to a Grant of Easement with San Diego Gas and Electric for the Power Your Drive for Fleets Make-Ready Infrastructure Program

Districts: All

Recommended Action

Adopt a resolution authorizing a first amendment to a grant of easement with San Diego Gas and Electric for the Power Your Drive for Fleets Make-Ready Infrastructure Program to install electric vehicle charging infrastructure.

Executive Summary

San Diego Gas and Electric, or SDGE, provides its Power Your Drive for Fleets Make-Ready Infrastructure Program to support vehicle fleets being converted to electric-powered medium-duty and heavy-duty vehicles. The City Council authorized the city to enter into an agreement with SDGE last year under which SDGE will install up to 28 fast electric vehicle charging stations at the city's fleet maintenance facility at 2480 Impala Drive.

Progress on the first phase of construction was delayed longer than anticipated due to issues SDGE had in procuring essential high-voltage electrical infrastructure components. These delays have resulted in the need to amend the original easement with SDGE.

Staff request that the City Council authorize a first amendment to the grant of easement with SDGE, extending the easement expiration date to Dec. 31, 2027, to allow for installation of all of the electric vehicle charging infrastructure anticipated in the agreement.¹

Discussion

On Jan. 11, 2022, the City Council authorized execution of an agreement to participate in the SDGE Power Your Drive for Fleets Make-Ready Infrastructure Program and a grant of easement to SDGE to install this "make-ready" infrastructure at the city's fleet maintenance facility (Resolution No. 2022-008). (The easement was recorded in the office of the San Diego County Recorder on Feb. 1, 2022, as Document No. 2022-0048444.) The grant of easement gave SDGE the right-of-way to erect, construct and maintain undergrounding facilities, electrical

¹ An easement gives public agencies and utilities the legal right to enter onto and use property they do not own for specified reasons, such as maintaining infrastructure.

equipment and above-ground structures needed for installation of the EV charging stations. The easement covers two parcels. The term on one parcel extends indefinitely, but the terms related to one of the parcels expired on Dec. 31, 2022. This proposed amendment will extend the grant of easement on the parcel that has expired until Dec. 31, 2027.

SDGE completed the first phase of construction in December 2023, installing the SDGE-maintained infrastructure needed to power two Level 3 DC fast EV charging stations and to support future EV charging stations as identified in the agreement. Staff subsequently purchased the two charging stations to be installed upon completion of SDGE's work.

In July 2023, staff were notified of an opportunity to purchase additional Level 3 DC fast EV charging stations at a discounted promotional price. Taking advantage of the discounted pricing, staff bought 10 EV charging stations to be used to complete the second through fourth phases of implementation, as outlined in the agreement.

SDGE has completed its preliminary design drawings for the second through fourth phases to install the 10 additional Level 3 DC fast EV charging stations, and staff anticipate these phases could be completed well in advance of the second quarter of 2025, as was called for in the agreement.

Equipment and permit delays during construction of the first phase resulted in the need to extend the existing easement with SDGE.

Rather than amending the grant of easement to SDGE with each subsequent phase of construction, as was originally anticipated, staff recommend the city execute of an amendment to the grant of easement, extending the expiration date to Dec. 31, 2027. Staff expect SDGE will be able to complete the infrastructure anticipated in the agreement by then.

Fiscal Analysis

Recording an amendment to this easement will have a negligible fiscal impact to the city and does not change any terms or conditions of the existing SDGE Power Your Drive for Fleets Make-Ready Infrastructure Program.

Next Steps

Upon execution of the amendment, staff will record the document in the Office of the San Diego County Recorder. SDGE will then be able to complete the design, permitting and construction of the electrical infrastructure, as anticipated in the agreement

Environmental Evaluation

The City Planner, through the process outlined in Carlsbad Municipal Code Section 19.04.060, has determined that this project is exempt pursuant to California Code of Regulations Sections 15301 - Existing Facilities and 1530 - New Construction or Conversion of Small Structures because the report and recommendations relates to and is a prelude to a series of potential enforcement actions. No appeals of this determination were received in accordance with Carlsbad Municipal Code Section 21.54.140.

Exhibit

1. City Council resolution

RESOLUTION NO.

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, AUTHORIZING A FIRST AMENDMENT TO A GRANT OF EASEMENT WITH SAN DIEGO GAS AND ELECTRIC FOR THE POWER YOUR DRIVE FOR FLEETS MAKE-READY INFRASTRUCTURE PROGRAM TO INSTALL ELECTRIC VEHICLE CHARGING INFRASTRUCTURE

WHEREAS, on Jan. 11, 2022, the City Council of the City of Carlsbad, California determined that it is necessary to install make-ready infrastructure to support the conversion of medium and heavy-duty vehicles to hybrid or electric vehicles; and

WHEREAS on Jan. 11, 2022, the City Council adopted Resolution No. 2022-008, authorizing an agreement with San Diego Gas and Electric (SDGE) for the Power Your Drive for Fleets Make-Ready Infrastructure Program, or Agreement; and

WHEREAS, on Feb. 1, 2022, Document No. 2022-0048444 was recorded in the office of the San Diego County Recorder granting SDGE an easement for electrical infrastructure being installed as part of the Agreement; and

WHEREAS, delays caused by infrastructure component availability and extended product lead times have resulted in the need to extend the existing easement; and

WHEREAS, the First Amendment of the Grant of Easement extends the expiration date identified in the original easement document to Dec. 31, 2027, providing enough time for SDGE to complete the infrastructure delineated in the Agreement; and

WHEREAS, the City Planner on Dec. 8, 2023, determined that the proposed project is exempt from the California Environmental Quality Act under Section 15601(b)(2), because the project is subject to the categorical exemptions outlined in Sections 15301(b) and 15303(d). No appeal to this determination under Carlsbad Municipal Code Section 21.54.140 was received.

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

1. That the above recitations are true and correct.
2. That the Mayor is authorized and directed to execute the First Amendment to Grant of Easement with SDGE, attached hereto as Attachment A.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

Recording Requested by
San Diego Gas & Electric Company

Attachment A

When recorded, mail to:

San Diego Gas & Electric Company
8690 Balboa Ave.
San Diego, CA 92123
Attn: Real Estate Records – CPA01

SPACE ABOVE FOR RECORDER'S USE

Project No. 3-393337
Notif. No. 3-393485
A.P.N. No. 209-050-26
SR No.: 1315519

Transfer Tax None
SAN DIEGO GAS & ELECTRIC COMPANY

RW 374471

FIRST AMENDMENT TO GRANT OF EASEMENT

THIS FIRST AMENDMENT TO GRANT OF EASEMENT (the “First Amendment”) is entered into as of _____, 2023 by and between CITY OF CARLSBAD, A MUNICIPAL CORPORATION, (“Grantor”) and SAN DIEGO GAS & ELECTRIC COMPANY, a corporation (“Grantee”).

RECITALS

A. Grantor is the owner of that certain parcel of real property (the “Property”) more particularly described as follows:

That portion of Lot “B” of Rancho Agua Hedionda, according to Map thereof No. 823, filed in the Office of the County Recorder of said County of San Diego, more particularly described in a Deed recorded June 30, 1982 at File/Page No. 82-201566, of Official Records of said County of San Diego.

B. On January 14, 2022, Grantor entered into that certain Grant of Easement (the “Grant”) with Grantee, recorded on February 1, 2022 at Document No. 2022-0048444 of Official Records of said County of San Diego, whereby the Grantor granted to Grantee an easement over the Property for the purpose of:

1. Underground facilities, together with aboveground structures consisting of, but not limited to, pad-mounted electrical equipment, and appurtenances for the transmission and distribution of electricity to the Facilities.
2. Communication facilities, and appurtenances, which can include Supervisory Control and Data Acquisition (“SCADA”).

C. Grantor and Grantee desire to amend the Grant to revise expiration date within said easement described as Parcel B in the Grant from December 31, 2022 to **December 31, 2027** for underground facilities, communication facilities, and appurtenances.

AMENDMENT

NOW, THEREFORE, Grantor and Grantee agree as follows:

1. The easement in the aforesaid property shall be those strips of land, including all of the area lying between the exterior sidelines, which sidelines shall be three (3) feet, measured at right angles, on each exterior side of each and every utility facility installed within said property on or before **December 31, 2027**, EXCEPTING THEREFROM, those portions lying within Parcel A.
2. Except as modified by this First Amendment, the Grant shall remain in full force and effect.

IN WITNESS WHEREOF, the parties hereto have caused this First Amendment to be duly executed effective as of the date first written above.

CITY OF CARLSBAD, A MUNICIPAL CORPORATION

By: _____

Name: _____

Title: _____

SAN DIEGO GAS & ELECTRIC COMPANY, a California
corporation

By: _____

John Ritter
Right of Way Manager

Prepared by: SLS/VW
Checked: SM
Date: 01/24/2023 (rev. 07/31/2023)
R/W No.: RW 372941
Site No: MD190021
Site Name: City of Carlsbad

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

STATE OF CALIFORNIA

COUNTY OF _____

On _____, before me _____,
(name, title of officer)

personally appeared _____,

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

(Signature of Notary Public) (Notary Seal)

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

STATE OF CALIFORNIA

COUNTY OF _____

On _____, before me _____,
(name, title of officer)

personally appeared _____,

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

(Signature of Notary Public) (Notary Seal)



JOINT CITY COUNCIL AND
CARLSBAD MUNICIPAL WATER DISTRICT

Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council/President and Board Members

From: Scott Chadwick, City Manager/Executive Manager

Staff Contact: Dave Padilla, Utilities Assistant Director/District Engineer
dave.padilla@carlsbadca.gov, 442-339-2356

Daniel Zimny, Senior Engineer
daniel.zimny@carlsbadca.gov, 442-339-2551

Subject: Approval of Plans, Specifications and Contract Documents and Authorization to Advertise for Bids for the Valley Street Water Main Replacement Project and the Foxtail Loop, Palomar Oaks Way and Tyler Street Alley Sewer Projects

Districts: 1 and 2

Recommended Actions

1. Adopt a Carlsbad Municipal Water District Board of Directors resolution approving plans, specifications and contract documents and authorizing the Secretary of the Board of Directors to advertise for bids for the Valley Street Water Main Replacement Project.
2. Adopt a City Council resolution approving the plans, specifications, and contract documents and authorizing the City Clerk to advertise for bids for the Foxtail Loop, Palomar Oaks Way and Tyler Street Alley Sewer projects.

Executive Summary

The Carlsbad Municipal Water District and the City of Carlsbad replace water and sewer pipelines as needed to maintain reliable service. This project will replace 545 feet of water pipelines in the Carlsbad Municipal Water District and 1,300 feet of sewer pipelines in the city's service area at four locations. The pipelines selected for replacement were chosen because of their age, condition and size, and to prevent sewer overflows in three locations.

The water and sewer pipeline replacements are bundled into one project for economy of scale, common pipeline construction methods and to increase the potential number of interested bidders.

The project will be funded through the city's Miscellaneous Pipeline Replacement Program (Capital Improvement Program Project No. 3904) and Sewer Line Rehabilitation and Replacement Program (CIP Project No. 5503), so no additional funding is required or being requested.

The construction cost estimate for the project is \$1,832,000. CMWD Board and City Council approvals of the plans, specifications and contract documents are required before the city can

advertise for construction bids under Carlsbad Municipal Code Section 3.28.080(E), which requires construction projects to be formally bid when the value exceeds limits established by the California Uniform Construction Cost Accounting Commission. The limit is currently \$200,000.

Explanation & Analysis

This project will construct a total of 1,845 feet of sewer and water pipelines to replace aging utility infrastructure at four noncontiguous locations within the service areas of the CMWD, which provides potable water to its customers, and the city, which provides sewage services. The work consists of a water main replacement on Valley Street and sewer main replacements at Foxtail Loop, Palomar Oaks Way and the Tyler Street Alley. The four projects are being bundled into one bid package due to the commonality in pipeline construction methods for each site. Staff expect the city will receive more favorable bids and bidder interest with the projects bundled together than if each portion were bid separately.

Site 1

The Valley Street Water Main Replacement project will replace 545 linear feet of existing 8-inch diameter asbestos cement pipe water main between Magnolia and Andrea Avenues with new 8-inch diameter polyvinyl chloride, or PVC, pipe. The pipe segment was originally constructed in 1962 and provides potable water and fire services to Valley Middle School and an irrigation service to Magnolia Elementary School. The timing of the improvements has been coordinated with planned work at the Carlsbad Unified School District campuses and future street and drainage improvements by the Transportation Department. Construction will occur during the CUSD 2024 summer break to avoid traffic impacts during the school year. The water main replacement will also be coordinated with any Transportation Department construction.

Site 2

The Foxtail Loop Sewer Replacement project (referred to as the “South Agua Hedionda Interceptor”, or SAHI Reach T1D Improvement project in the plans, specifications and contract documents) involves a segment of a major sewer line that was originally constructed in 2000 as part of the Terraces at Sunny Creek development. The 8-inch diameter sewer line is under the size called for by city engineering standards at three locations within the neighborhood. Residents who live near these segments have notified staff of strong sewage odors, which are often the result of undersized sewer lines. Staff have verified the need to increase the pipeline size at these locations to permit the passage of gases within the system and resolve the odor issues.

This portion of the project will remove 562 feet of an 8-inch diameter sewer line and replace it with 362 feet of a 12-inch diameter sewer line and 200 feet of a 15-inch diameter sewer line. An additional 50 feet of an 8-inch diameter sewer line will also be constructed to create system redundancy within the neighborhood.

This part of the project meets the criteria for funding from the city’s funding program, which collects fees for the construction of sewer improvements identified as needed that are not funded by the city’s sewer connection fee program. (The Sewer Benefit Area funding program will reimburse the Sewer Replacement Fund once all construction cost and services have been finalized.)

Site 3

The Palomar Oaks Way Sewer Extension project will abandon 70 feet of an existing 8-inch diameter sewer line, remove 50 feet of existing 8-inch diameter sewer line and reroute flows with 500 feet of an 8-inch diameter pipe. The sewer extension and rerouting will allow disconnection of the collector sewer from the adjacent Buena Interceptor Sewer to decrease the likelihood of a sewer system overflow caused by high flow in the Buena Interceptor Sewer.

Site 4

The Tyler Street Alley Sewer Replacement project will replace 280 feet of 8-inch sewer line constructed in 1930. The site is located in the Tyler Street alleyway north of Grand Avenue and between State and Roosevelt Streets. Recent inspections reveal structural distress. This site will be constructed last in the sequence of work in this project to minimize construction impacts to adjacent businesses during the peak summer tourist season and other scheduled events in the Village.

Fiscal Analysis

The engineer's construction estimate for the project is \$1,832,000. The total project cost of \$2,691,000 includes estimated construction costs, contingency, engineering support, public outreach, and construction management and inspection services.

The Water Replacement Fund will provide funding for the water main replacement at Valley Street while the Sewer Replacement Fund will be used to fund the remaining three sites. A summary of the estimated costs and available funds for each funding source are shown in the tables below:

Miscellaneous Pipeline Replacement Program Capital Improvement Program Project No. 3904	
Total appropriation to date	\$16,058,366
Total expenditures and encumbrances to date	-\$8,576,528
Total available funding	\$7,481,838
Valley Main Water Replacement	
Construction contract (estimated)	-\$248,000
Construction contingency (20%)	-\$50,000
Construction management, inspection, material testing services (estimated)	-\$50,000
Community outreach during construction (estimated)	-\$10,000
Total estimated construction costs	-\$358,000
Remaining balance	\$7,123,838

Sewer Line Rehabilitation and Replacement Program Capital Improvement Program Project No. 5503	
Total appropriation to date	\$10,626,475
Total expenditures and encumbrances to date	-\$5,848,115
Total available funding	\$4,778,360
Foxtail Loop, Palomar Oaks Way and Tyler Street Alley Sewer Improvements	
Construction contract – Foxtail Loop (estimated)*	-\$719,000
Construction contract – Palomar Oaks Way (estimated)	-\$421,000
Construction contract – Tyler Street Alley (estimated)	-\$444,000
Construction contingency (20%)*	-\$317,000
Construction management, inspection, material testing services (estimated)*	-\$317,000
Community outreach during construction (estimated)*	-\$115,000
Total estimated construction costs	-\$2,333,000
Remaining balance	\$2,445,360

* Foxtail Loop will be itemized separately for reimbursement by the SBA Area E Fund.

Costs for the Foxtail Loop Sewer Improvements will be tracked separately during construction. Upon completing the project, staff will return to the City Council for its authorization for the Sewer Benefit Area E Fund to reimburse the Sewer Replacement Fund for its contribution for the construction costs of the Foxtail Loop Sewer Replacement project.

Next Steps

With the CMWD Board and the City Council's approvals, the Secretary of the Board of Directors and City Clerk will advertise a request for bids for the Project. Staff will then evaluate the bids received and identify the lowest responsive and responsible bidder. Staff will then return to the CMWD Board and the City Council with a recommendation to award a construction contract to the identified lowest responsive and responsive bidder.

Environmental Evaluation

The project is classified as a replacement or reconstruction of existing utility and/or facilities involving negligible, or no expansion of capacity and the City Planner has determined it is exempt from environmental review according to California Environmental Quality Act Guidelines Sections 15302(c) and 15303(d). If the resolutions are approved, staff will file a notice of exemption with the San Diego County Clerk in compliance with Section 21152(b) of the California Public Resources Code.

Exhibits

1. Carlsbad Municipal Water District Board resolution
2. City Council resolution
3. Location maps
4. [Plans, specifications and contract documents](#) (on file at the Office of the Secretary of the Board of Directors/Office of the City Clerk)

RESOLUTION NO. _____

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE CARLSBAD MUNICIPAL WATER DISTRICT OF THE CITY OF CARLSBAD, CALIFORNIA, APPROVING PLANS, SPECIFICATIONS AND CONTRACT DOCUMENTS AND AUTHORIZING THE SECRETARY OF THE BOARD OF DIRECTORS TO ADVERTISE FOR BIDS FOR THE VALLEY STREET WATER MAIN REPLACEMENT PROJECT

WHEREAS, the Carlsbad Municipal Water District, or CMWD, Board of Directors of the City of Carlsbad, California has determined that it is necessary, desirable and in the public interest to replace water distribution pipeline on Valley Street between Magnolia and Andrea Avenues for the Valley Street Water Main Replacement Project, Capital Improvement Program, or CIP, Project No. 3904; and

WHEREAS, the plans, specifications and contract documents for the project have been prepared and are on file in the Office of the Secretary and are incorporated herein by reference; and

WHEREAS, Carlsbad Municipal Code Section 3.28.080(E) requires CMWD Board of Directors approval of plans and specifications for all construction projects that are to be formally bid upon when the value exceeds \$200,000; and

WHEREAS, the cost of the project is estimated to be \$358,000, including construction contingency, construction management and staff costs; and

WHEREAS, there are sufficient funds available in the CIP Project No. 3904 budget to complete construction of the project; and

WHEREAS, the City Planner has determined that the project is exempt from the California Environmental Quality Act, or CEQA, per CEQA Guidelines Sections 15302 (replacement or reconstruction of existing facilities) and 15303 (new construction or conversion of small structures), because the project is a replacement or reconstruction of existing utility and/or facilities involving negligible or no expansion of capacity.

NOW, THEREFORE, BE IT RESOLVED by the Carlsbad Municipal Water District Board of Directors of the City of Carlsbad, California, as follows:

1. That the above recitations are true and correct.
2. That the plans, specifications and contract documents for the Valley Street Water Main Replacement Project are hereby approved and on file in the Office of the Secretary.
3. That the Secretary of the Board of Directors is hereby authorized and directed to publish, in accordance with state law and Carlsbad Municipal Code Section 3.28.080(C), a Notice

to Contractors Inviting Bids for construction of the project in accordance with the plans, specifications and contract documents referred to herein.

PASSED, APPROVED AND ADOPTED at a Special Meeting of the Board of Directors of the Carlsbad Municipal Water District on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, President

SHERRY FREISINGER, Secretary

(SEAL)

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, APPROVING THE PLANS, SPECIFICATIONS AND CONTRACT DOCUMENTS AND AUTHORIZING THE CITY CLERK TO ADVERTISE FOR BIDS FOR THE FOXTAIL LOOP, PALOMAR OAKS WAY AND TYLER STREET ALLEY SEWER PROJECTS

WHEREAS, the City Council of the City of Carlsbad, California, has determined that it is necessary, desirable and in the public interest to construct the improvements to the sewer pipelines at Foxtail Loop, Palomar Oaks Way and Tyler Street Alley, Capital Improvement Program, or CIP, Project No. 5503; and

WHEREAS, the plans, specifications and contract documents for the Project have been prepared, are on file in the Office of the City Clerk and are incorporated herein by reference; and

WHEREAS, Carlsbad Municipal Code Section 3.28.080(E) requires City Council approval of plans and specifications for all construction projects that are to be formally bid upon when the value exceeds \$200,000; and

WHEREAS, the total cost of the project is \$2,333,000, including construction contingency, construction management and staff costs; and

WHEREAS, there are sufficient funds available in the CIP Project No. 5503 budget to complete construction of the project; and

WHEREAS, the City Planner has determined that the project is exempt from the California Environmental Quality Act, or CEQA, per CEQA Guidelines Sections 15302 (replacement or reconstruction of existing facilities) and 15303 (new construction or conversion of small structures), because the project is a replacement or reconstruction of existing utility and/or facilities involving negligible or no expansion of capacity.

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

1. That the above recitations are true and correct.
2. That the plans, specifications and contract documents for the Foxtail Loop, Palomar Oaks Way and Tyler Street Alley Sewer Projects are hereby approved and on file in the Office of the City Clerk.

3. That the City Clerk is hereby authorized and directed to publish, in accordance with state law and Carlsbad Municipal Code Section 3.28.080(C), a Notice to Contractors Inviting Bids for construction of the project in accordance with the plans, specifications and contract documents referred to herein.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

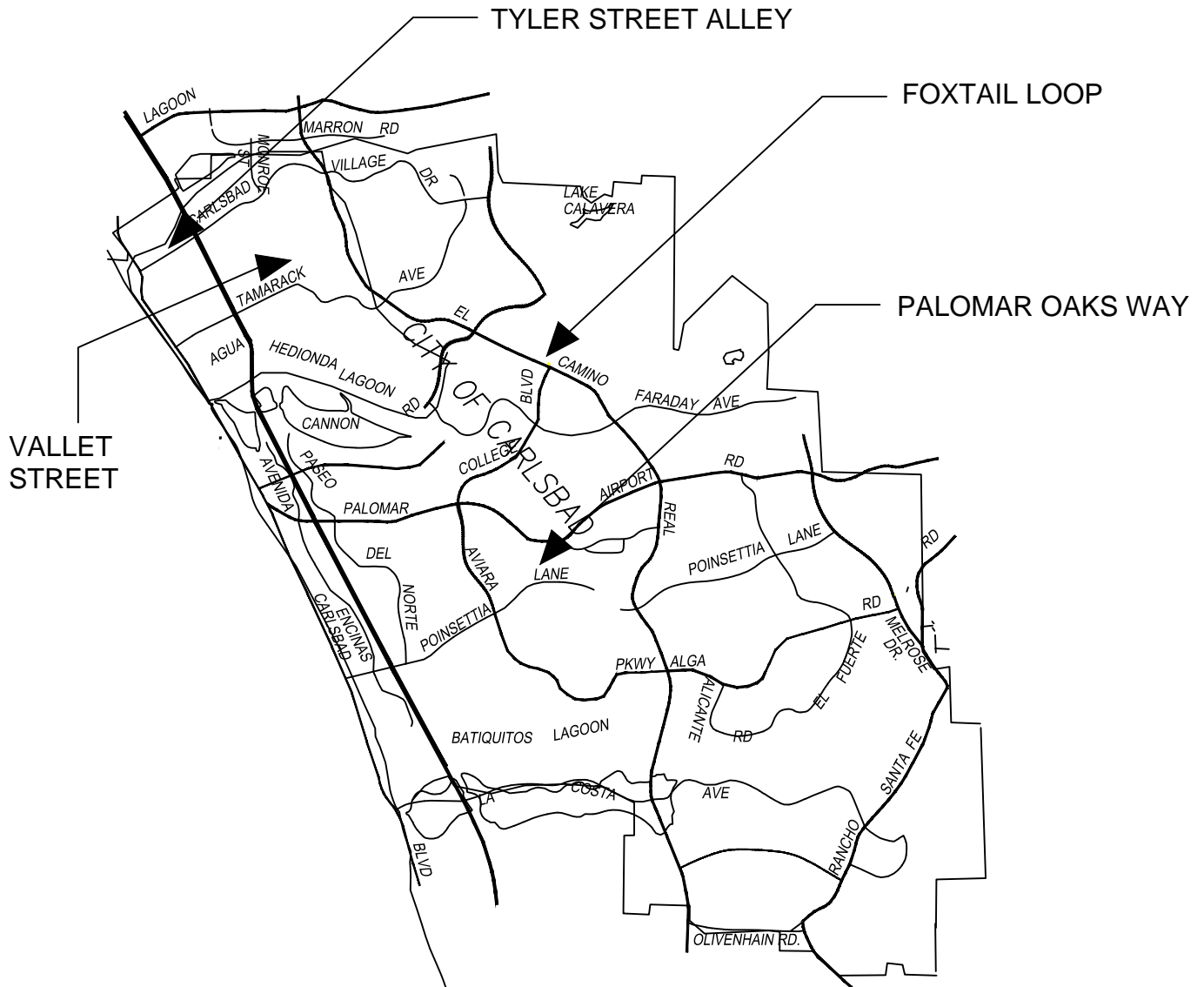
ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

VICINITY MAP



NOT TO SCALE

PROJECT NAME
SEWER AND WATER REPLACEMENT PROJECT
VALLEY, FOXTAIL, PALOMAR OAKS WAY, TYLER ALLEY

PROJECT
NUMBER
3904
5503

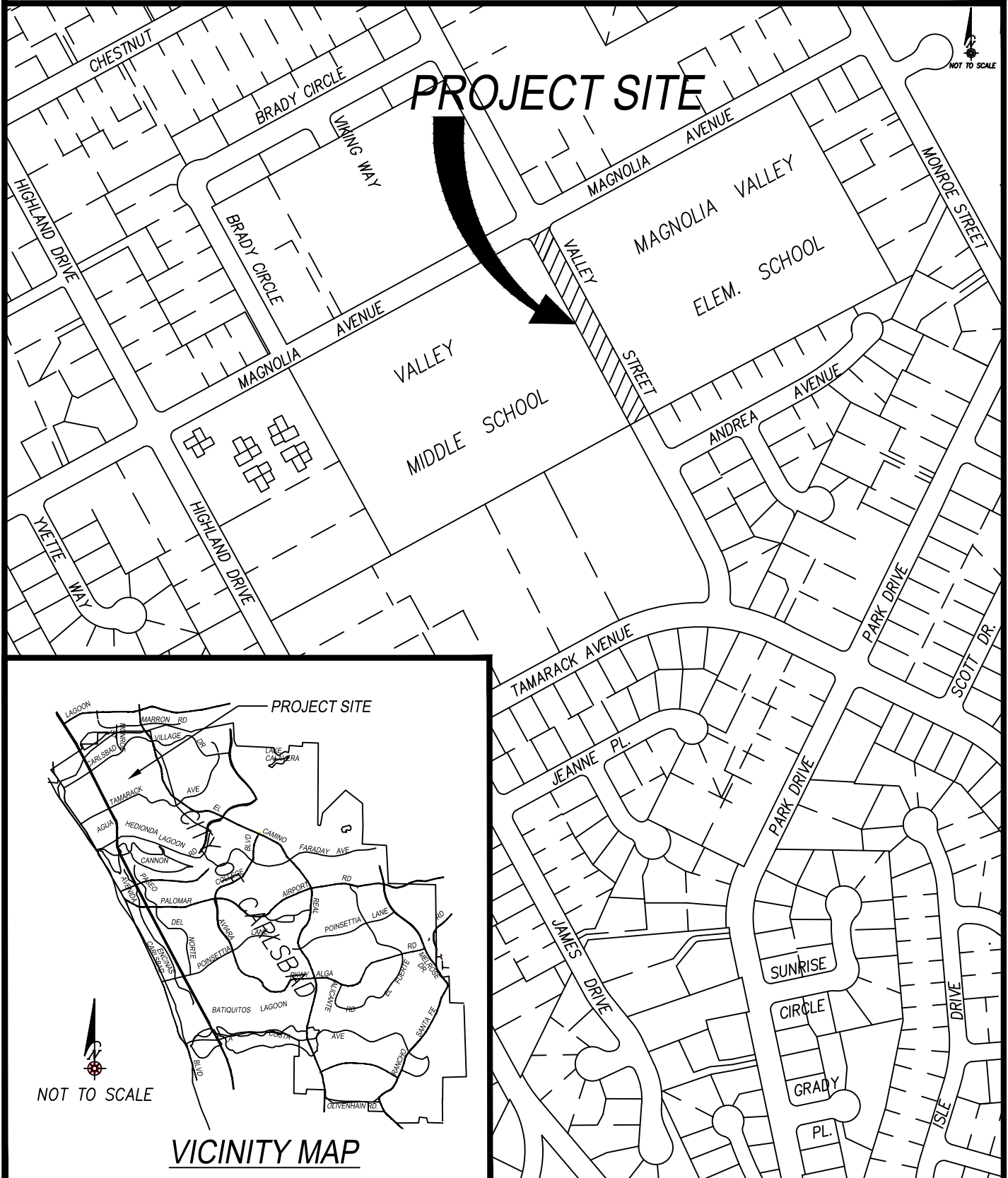
EXHIBIT
3

Jan. 9, 2024

Item #6

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LOCATION MAP



PROJECT NAME

**VALLEY STREET WATER MAIN
REPLACEMENT**

Jan. 9, 2024

PROJECT
NUMBER

3904-H

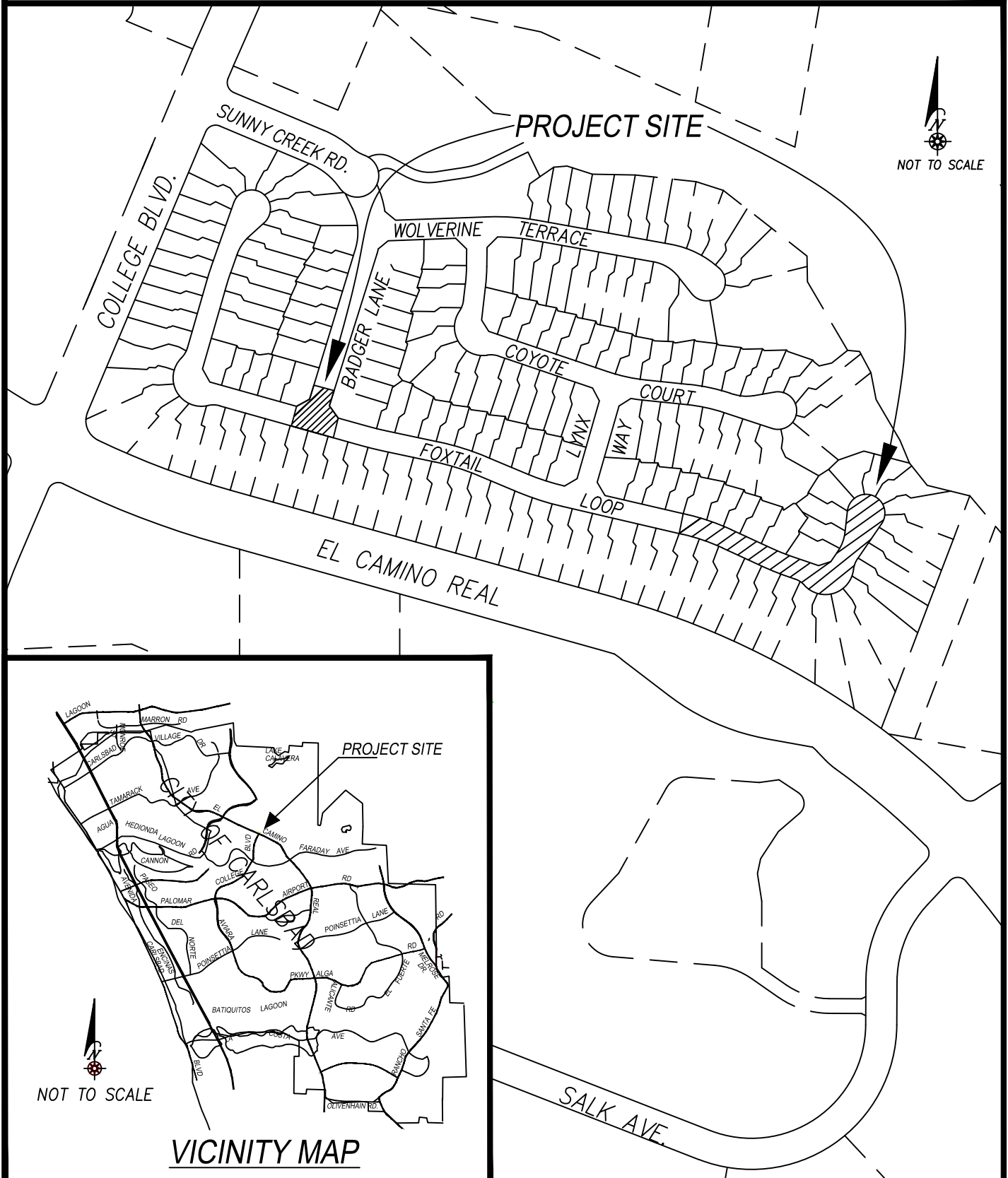
Item #6

EXHIBIT

3

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LOCATION MAP



PROJECT NAME

**SOUTH AGUA HEDIONDA INTERCEPTOR
IMPROVEMENTS REACH T1D (FOXTAIL LOOP)**

Jan. 9, 2024

PROJECT
NUMBER

5503-25

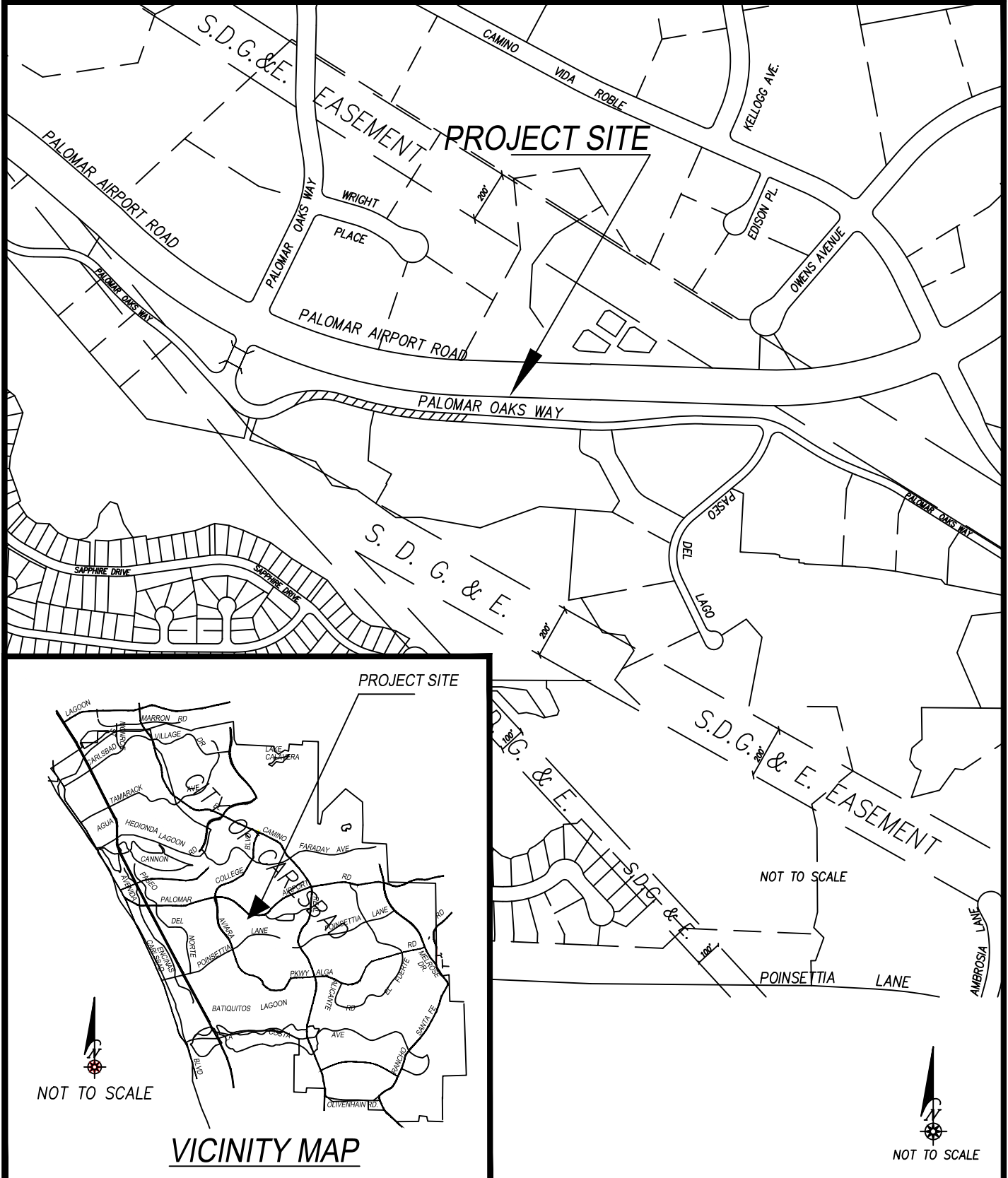
Item #6

EXHIBIT

3

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LOCATION MAP



PROJECT NAME

SEWER LINE REPLACEMENT PROGRAM
PALOMAR OAKS WAY SEWER EXTENSION

Jan. 9, 2024

PROJECT
NUMBER

5503-22

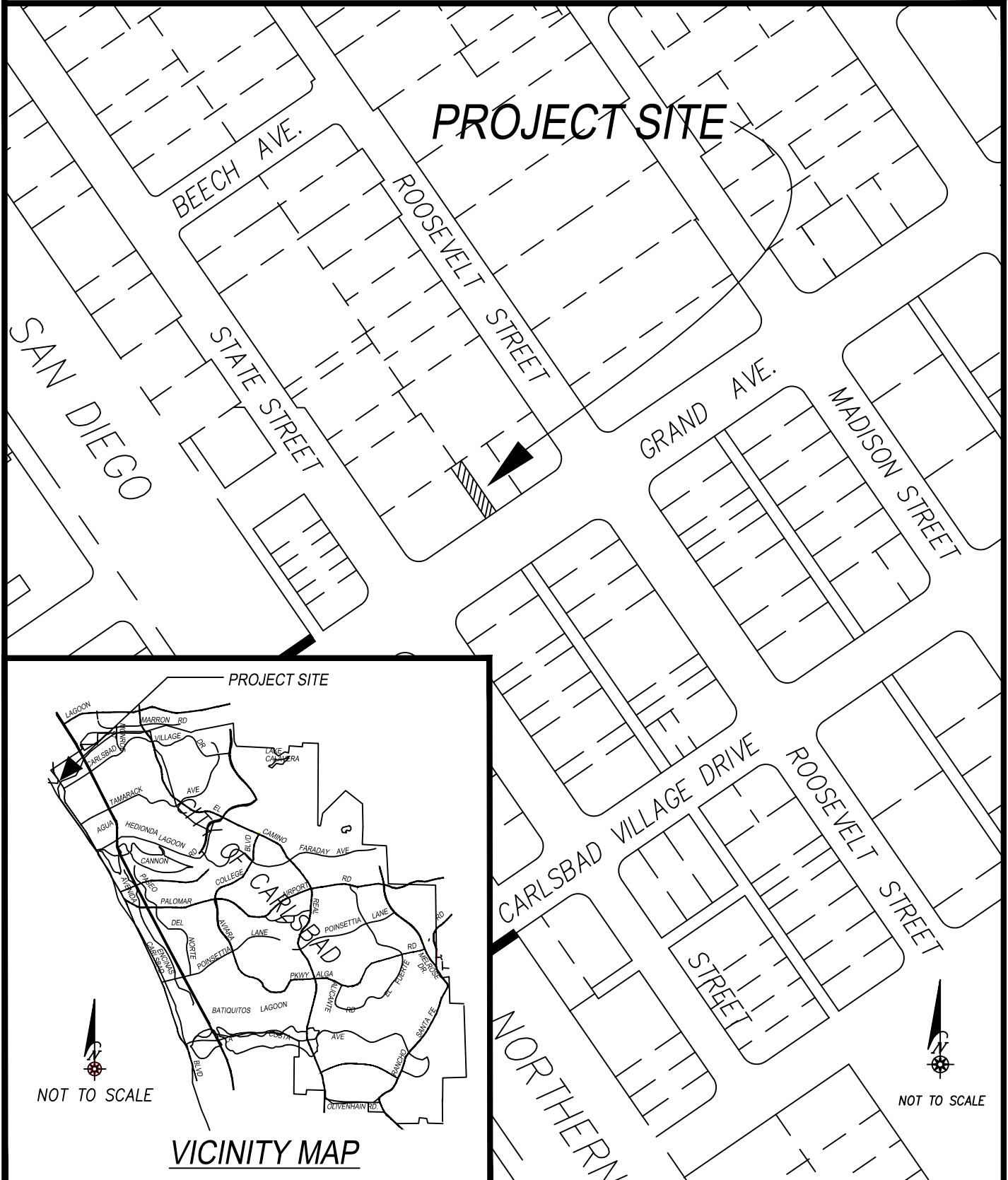
Item #6

EXHIBIT

3

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LOCATION MAP



PROJECT NAME
SEWER LINE REPLACEMENT PROGRAM
TYLER STREET ALLEY SEWER REPLACEMENT

PROJECT
NUMBER
5503-24
Item #6

EXHIBIT
3
Page 13 of 14

Plans, specifications and contract documents
(on file in the Office of the City Clerk)



JOINT CITY COUNCIL AND
CARLSBAD MUNICIPAL WATER DISTRICT
Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor/President and City Council/Board Members

From: Scott Chadwick, City Manager/Executive Manager

Staff Contact: Stephanie Harrison, Utilities Technical Services Manager
stephanie.harrison@carlsbadca.gov, 442-339-2310
Vicki Quiram, Utilities Director/General Manager
vicki.quiram@carlsbadca.gov, 442-339-2307

Subject: Agreement for System Integrator Services to Replace the Water and Wastewater Supervisory Control and Data Acquisition Systems

Districts: All

Recommended Actions

1. Adopt a Carlsbad Municipal Water District Board of Directors resolution approving a professional services agreement with Partners in Control, Inc., doing business as Enterprise Automation, for system integrator services for Phase 1 of the project to replace the water and wastewater Supervisory Control and Data Acquisition Systems.
2. Adopt a City Council resolution authorizing the use of the sewer replacement fund for the city's portion of a professional services agreement with Partners in Control, Inc., doing business as Enterprise Automation, for system integrator services for Phase 1 of the project to replace the water and wastewater Supervisory Control and Data Acquisition Systems.

Executive Summary

Reliable water and wastewater services are vital for the protection of human health, safety and the environment. The Carlsbad Municipal Water District's water system and the city's wastewater system are comprised of an intricate network of pipes, pumps and lift stations, tanks and reservoirs, and pressure-reducing stations that control the flow of water and wastewater. Given their complexity, these systems must be monitored on a 24-hour per day basis to ensure public health and environmental protection.

Supervisory Control and Data Acquisition, or SCADA, systems are used by water and wastewater utilities to remotely monitor and control equipment. In addition, the systems gather critical data to ensure that the equipment is operating efficiently, and that water and wastewater are flowing properly.

Technology has changed rapidly over the last decade. The current SCADA systems have been largely custom built over the last 25 years and are now mostly obsolete. It is hard to find programmers that can work on the systems and soon they will no longer be supportable. The

SCADA hardware and the electrical components at both the water and wastewater sites have exceeded their life expectancy. Additionally, the current SCADA systems (for both the water the CMWD provides and the city's wastewater) lack the modern functionality needed to operate these critical infrastructure systems efficiently and effectively, gather data needed for decision-making and regulatory reporting, and provide system security.

In 2019, the CMWD Board and the City Council approved the SCADA Master Plan, which proposed replacing the SCADA systems currently used for the water and wastewater systems with a new, combined system that is comprised of advanced technology, improved security, more comprehensive monitoring and control of the water and wastewater systems and the ability to integrate with other enterprise systems, resulting in reliable and more effective and efficient operation of the water and sewer infrastructure systems.

Staff have been following the direction in the SCADA Master Plan and are now ready to move forward with Phase 1 of the project by contracting with a system integrator for the programming component of the new system.

Staff request that the CMWD Board approve a professional services agreement with Partners in Control, Inc., doing business as Enterprise Automation, for \$2,221,288 for system integrator services to replace the water and wastewater SCADA systems and that the City Council authorize the use of the sewer replacement fund for \$377,619 of this total amount for the pro rata wastewater portion of the contract.

Carlsbad Municipal Code Section 3.28.080(I) provides that only the CMWD Board has the authority to authorize for this agreement because the cost exceeds \$100,000 per agreement year. Additionally, consistent with Carlsbad Municipal Code Section 3.28.040(D), the City Council must approve the procurement for the city's share of costs associated with the services related to the sewer system for the agreement, because the city's costs exceed \$100,000 per agreement year.

Funding for this agreement is available in the budgets for these projects, so no additional appropriation is required.

Explanation & Analysis

The vision for the new SCADA system, which was identified in the 2019 SCADA Master Plan, is "to have a uniform, fully integrated SCADA system that supports utility-wide business intelligence to optimize operations and provide flexibility for future growth and adaptability as a smart utility."

A SCADA system consists of both software and hardware components, as well as a communications network. The hardware installed at water and wastewater sites monitors equipment such as valves, pumps, generators and motors and sends real-time data to the software, which interprets the data and displays the information to water and wastewater operators in a graphical format. Operators can quickly and easily see what is going on with equipment and conditions in the water and wastewater systems and can make changes or issue control commands in the software which are sent out to the equipment.

A SCADA system can collect many different types of data, such as temperature, pump running times, pressure and levels of water or wastewater, depending on what is important to the

agency. This allows the operators to monitor the water and wastewater systems and use the data to keep track of equipment efficiency, receive alarms if problems arise, respond to emerging issues and make changes to how the equipment is operating, all without having to be physically on site.

The SCADA replacement project will be done in two phases. Phase 1 will consist of the work that needs to be done prior to construction and includes determining where the software, network and security planning, design and development will occur. Phase 2 will be the construction phase, in which the instrumentation for monitoring and controlling equipment will be installed at each site. There will be overlap between the two phases, because making each site live involves making sure that the software and the instrumentation can communicate correctly after it is installed.

Developing and implementing Phase 1 of the SCADA system replacement involves:

- Gathering requirements for the project
- Working with the Information Technology Department to identify the network design and a cybersecurity plan
- Designing software screens, reports and alarms
- Developing programs for the equipment that will be installed at each site, documentation and testing

Staff require the assistance of a system integrator to perform these tasks because this is a complex project and requires more resources and expertise than staff have available for a successful and timely implementation.

The SCADA system will be replaced at 54 locations citywide: 45 water and recycled water sites and nine wastewater lift stations. The system integrator will be able to provide a team of experienced SCADA staff to deliver a system in a timely manner that meets the CMWD and the city's needs and provides better monitoring and control capabilities than the current systems.

A competitive bidding process was conducted and, after a best-value evaluation by staff, Partners in Control, Inc., doing business as Enterprise Automation, was selected as the system integrator that would best meet the needs of the project. The three proposals received in response to the Request for Proposals were evaluated based on the criteria specified in the request, including qualifications, technical approach and methodology, demonstrated ability on similar projects, references and a local presence.

Partners in Control's proposal indicated an advanced level of understanding of SCADA system design and implementation and showed the highest level of understanding of what is needed from the new system. Its proposed scope and project methodology were considered by the evaluation team to be the most complete and therefore the most likely to give the desired results and quality, with minimal concerns of exceeding the schedule or budget. Its proposal addresses the minimum tasks outlined in the request for proposals and includes additional items that the team believes are important for the successful implementation of the project.

Staff request that the CMWD Board approve a professional services agreement with Partners in Control, Inc., doing business as Enterprise Automation, for \$2,221,288 for Phase 1, system integrator services for the project to replace the water and wastewater SCADA systems, and

that the City Council authorize the use of \$377,619 of the sewer replacement fund for the wastewater portion of the agreement.

Fiscal Analysis

This project is budgeted in Capital Improvement Program Project Nos. 5542-1 for \$377,619, 5542-2 for \$1,532,689, and 5542-3 for \$310,980, which are respectively funded by the Sewer Replacement Fund, Water Replacement Fund and Recycled Water Replacement Fund. There are sufficient appropriations to complete this phase of the project.

SCADA Improvements Project CIP Project Nos. 5542-1, 5542-2, 5542-3	
Total appropriations to date	\$16,226,898
Total expenditures and encumbrances to date	-\$1,509,655
Total available funds	\$14,717,243
Phase 1 - System integrator services – (CIP Project No. 5542-1, sewer replacement fund)	-\$377,619
Phase 1 - System integrator services – (CIP Project No. 5542-2, water replacement fund)	-\$1,532,689
Phase 1 - System integrator services – (CIP Project No. 5542-3, recycled water replacement fund)	-\$310,980
Total Phase 1 - System integrator services	-\$2,221,288
Administrative and staff costs (estimated)	-\$400,000
Total Phase 1 project costs (estimated)	-\$2,621,288
Remaining balance	\$12,095,955
Additional appropriation needed	\$0

Next Steps

Upon approval by the CMWD Board, the President will execute a professional services agreement with Partners in Control, Inc., doing business as Enterprise Automation. Staff will then work with Enterprise Automation project manager to develop a firm project schedule, schedule a kickoff meeting and start the project.

Staff plan to return to the CMWD Board and City Council in early 2024 to request authorization to bid for Phase 2 of the project, which involves construction.

Environmental Evaluation

This action to approve a professional services agreement for system integrator services for the water and wastewater SCADA systems does not constitute a project within the meaning of the California Environmental Quality Act under California Public Resources Code Section 21065 in that it has no potential to cause either a direct physical change or a reasonably foreseeable indirect physical change in the environment.

Exhibits

1. Carlsbad Municipal Water District Board resolution
2. City Council resolution

RESOLUTION NO.

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE CARLSBAD MUNICIPAL WATER DISTRICT, APPROVING A PROFESSIONAL SERVICES AGREEMENT WITH PARTNERS IN CONTROL, INC., DOING BUSINESS AS ENTERPRISE AUTOMATION, FOR SYSTEM INTEGRATOR SERVICES FOR PHASE 1 OF THE PROJECT TO REPLACE THE WATER AND WASTEWATER SUPERVISORY CONTROL AND DATA ACQUISITION SYSTEMS

WHEREAS, in 2019, the Carlsbad Municipal Water District, or CMWD, Board of Directors approved the Supervisory Control and Data Acquisition, or SCADA, Master Plan and determined that the water and wastewater SCADA systems need to be replaced; and

WHEREAS, the CMWD issued a request for proposals for system integrator services to complete the programming portion of the SCADA replacement project; and

WHEREAS, staff received a total of three proposals in response to the request for proposals for and have conducted a qualifications-based evaluation of the three proposals in accordance with Carlsbad Municipal Code, or CMC, Section 3.28.050(C); and

WHEREAS, staff have identified Partners in Control, Inc. DBA Enterprise Automation as best meeting the needs identified; and

WHEREAS, sufficient funding is available in the Capital Improvement Program Project Nos. 5542-1, 5542-2 and 5542-3; and

WHEREAS, CMC Sections 3.28.080(C) and 3.28.080(I)(6) require the CMWD Board to award all formally bid contracts when the value exceeds \$200,000.

NOW, THEREFORE, BE IT RESOLVED by the Carlsbad Municipal Water District Board of the City of Carlsbad, California, as follows:

1. That the above recitations are true and correct.
2. That the President is authorized and directed to execute the agreement with Partners in Control, Inc. DBA Enterprise Automation to provide system integrator services for the water and wastewater SCADA replacement project in an amount not to exceed \$2,221,288, which is attached hereto as Attachment A.
3. That the Executive Manager or designee is authorized to sign all other documents necessary to finalize, implement and comply with the agreement in Attachment A, subject to the approval by the General Counsel.

PASSED, APPROVED AND ADOPTED at a Special Meeting of the Carlsbad Municipal Water District Board of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, President

SHERRY FREISINGER, Secretary
(SEAL)

**AGREEMENT FOR SYSTEM INTEGRATOR SERVICES FOR THE WATER AND WASTEWATER SUPERVISORY
CONTROL AND DATA ACQUISITION SYSTEM REPLACEMENT
PARTNERS IN CONTROL, INC. DBA ENTERPRISE AUTOMATION**

THIS AGREEMENT is made and entered into as of the _____ day of _____, 2023, by and between the Carlsbad Municipal Water District, a public agency organized under the Municipal Water Act of 1911, and a subsidiary district of the City of Carlsbad, California, ("CMWD"), and Partners in Control, Inc., a California corporation, dba Enterprise Automation ("Contractor").

RECITALS

- A. CMWD requires the professional services of a consultant that is experienced in system integrator services for water and wastewater scada systems.
- B. Contractor has the necessary experience in providing professional services and advice related to system integrator services for water and wastewater scada systems.
- C. Contractor has submitted a proposal to CMWD under Request for Proposals No. RFP23-2035UTIL and has affirmed its willingness and ability to perform such work.

NOW, THEREFORE, in consideration of these recitals and the mutual covenants contained herein, CMWD and Contractor agree as follows:

1. SCOPE OF WORK

CMWD retains Contractor to perform, and Contractor agrees to render, those services (the "Services") that are defined in attached Exhibit "A", which is incorporated by this reference in accordance with this Agreement's terms and conditions.

2. STANDARD OF PERFORMANCE

While performing the Services, Contractor will exercise the reasonable professional care and skill customarily exercised by reputable members of Contractor's profession practicing in the Metropolitan Southern California Area and will use reasonable diligence and best judgment while exercising its professional skill and expertise.

3. TERM

The term of this Agreement will be effective for a period of three (3) years from the date first above written. The Executive Manager may amend the Agreement to extend it for three (3) additional one (1) year periods or parts thereof. Extensions will be based upon a satisfactory review of Contractor's performance, CMWD needs, and appropriation of funds by the CMWD Board of Directors. The parties will prepare a written amendment indicating the effective date and length of the extended Agreement.

4. TIME IS OF THE ESSENCE

Time is of the essence for each and every provision of this Agreement.

5. COMPENSATION

The total fee payable for the Services to be performed during the initial Agreement term shall not exceed two million two hundred twenty-one thousand two hundred eighty-eight dollars (\$2,221,288). No other compensation for the Services will be allowed except for items covered by subsequent amendments to

this Agreement. If CMWD elects to extend the Agreement, the amount shall not exceed two hundred thousand dollars (\$200,000) per Agreement year.

Work will be performed on a time and materials basis and invoices will be sent monthly. Invoice terms will be Net 30. If CMWD disputes an invoice or any portion thereof, the undisputed portion shall be paid to Contractor based on the terms of this agreement.

Hourly rates may escalate by no more than three (3%) percent every twelve (12) months, starting January 1, 2025. Contractor will provide CMWD with an updated rate sheet thirty (30) days in advance of any rate increases.

6. CONSTRUCTION MANAGEMENT SOFTWARE

Procore Project Management and Collaboration System. This project may utilize the Owner's Procore (www.procore.com) online project management and document control platform. The intent of utilizing Procore is to reduce cost and schedule risk, improve quality and safety, and maintain a healthy team dynamic by improving information flow, reducing non-productive activities, reducing rework and decreasing turnaround times. The Contractor is required to create a free web-based Procore user account(s) and utilize web-based training / tutorials (as needed) to become familiar with the system. Unless the Engineer approves otherwise, the Contractor shall process all project documents through Procore because this platform will be used to submit, track, distribute and collaborate on project. If unfamiliar or not otherwise trained with Procore, Contractor and applicable team members shall complete a free training certification course located at <http://learn.procore.com/procore-certification-subcontractor>. The Contractor is responsible for attaining their own Procore support, as needed, either through the online training or reaching out to the Procore support team. It will be the responsibility of the Contractor to regularly check Procore and review updated documents as they are added. There will be no cost to the Contractor for use of Procore.

It is recommended that the Contractor provide mobile access for Windows, iOS located at <https://apps.apple.com/us/app/procore-construction-management/id374930542> or Android devices located at <https://play.google.com/store/apps/details?id=com.procore.activities> with the Procore App installed to at least one on-site individual to provide real-time access to current posted drawings, specifications, RFIs, submittals, schedules, change orders, project documents, as well as any deficient observations or punch list items. Providing mobile access will improve communication, efficiency, and productivity for all parties. The use of Procore for project management does not relieve the contractor of any other requirements as may be specified in the contract documents.

7. STATUS OF CONTRACTOR

Contractor will perform the Services in Contractor's own way as an independent contractor and in pursuit of Contractor's independent calling, and not as an employee of CMWD. Contractor will be under control of CMWD only as to the result to be accomplished but will consult with CMWD as necessary. The persons used by Contractor to provide services under this Agreement will not be considered employees of CMWD for any purposes.

The payment made to Contractor pursuant to the Agreement will be the full and complete compensation to which Contractor is entitled. CMWD will not make any federal or state tax withholdings on behalf of Contractor or its agents, employees or subcontractors. CMWD will not be required to pay any workers' compensation insurance or unemployment contributions on behalf of Contractor or its employees or subcontractors. Contractor agrees to indemnify CMWD and the City of Carlsbad within thirty (30) days for

any tax, retirement contribution, social security, overtime payment, unemployment payment or workers' compensation payment which CMWD may be required to make on behalf of Contractor or any agent, employee, or subcontractor of Contractor for work done under this Agreement. At CMWD's election, CMWD may deduct the indemnification amount from any balance owing to Contractor.

8. SUBCONTRACTING

Contractor will not subcontract any portion of the Services without prior written approval of CMWD. If Contractor subcontracts any of the Services, Contractor will be fully responsible to CMWD for the acts and omissions of Contractor's subcontractor and of the persons either directly or indirectly employed by the subcontractor, as Contractor is for the acts and omissions of persons directly employed by Contractor. Nothing contained in this Agreement will create any contractual relationship between any subcontractor of Contractor and CMWD. Contractor will be responsible for payment of subcontractors. Contractor will bind every subcontractor and every subcontractor of a subcontractor by the terms of this Agreement applicable to Contractor's work unless specifically noted to the contrary in the subcontract and approved in writing by CMWD.

9. OTHER CONTRACTORS

CMWD reserves the right to employ other Contractors in connection with the Services.

10. INDEMNIFICATION

Contractor agrees to indemnify and hold harmless CMWD and the City of Carlsbad, their officers, officials, employees and volunteers from and against all claims, damages, losses and expenses including attorneys' fees arising out of the performance of the work described herein caused by any negligence, recklessness, or willful misconduct of the Contractor, any subcontractor, anyone directly or indirectly employed by any of them or anyone for whose acts any of them may be liable.

The parties expressly agree that any payment, attorney's fee, costs or expense CMWD or the City of Carlsbad incurs or makes to or on behalf of an injured employee under CMWD's self-administered workers' compensation is included as a loss, expense or cost for the purposes of this section, and that this section will survive the expiration or early termination of this Agreement.

11. INSURANCE

Contractor will obtain and maintain for the duration of the Agreement and any and all amendments, insurance against claims for injuries to persons or damage to property which may arise out of or in connection with performance of the services by Contractor or Contractor's agents, representatives, employees or subcontractors. The insurance will be obtained from an insurance carrier admitted and authorized to do business in the State of California. The insurance carrier is required to have a current Best's Key Rating of not less than "A-VII"; OR with a surplus line insurer on the State of California's List of Approved Surplus Line Insurers (LASLI) with a rating in the latest Best's Key Rating Guide of at least "A:X"; OR an alien non-admitted insurer listed by the National Association of Insurance Commissioners (NAIC) latest quarterly listings report.

11.1 Coverages and Limits. Contractor will maintain the types of coverages and minimum limits indicated below, unless the Risk Manager or Executive Manager approves a lower amount. These minimum amounts of coverage will not constitute any limitations or cap on Contractor's indemnification obligations under this Agreement. CMWD, its officers, agents and employees make no representation that the limits of the insurance specified to be carried by Contractor pursuant to this Agreement are adequate to protect Contractor. If Contractor believes that any required insurance coverage is inadequate,

Contractor will obtain such additional insurance coverage, as Contractor deems adequate, at Contractor's sole expense.

11.1.1 Commercial General Liability (CGL) Insurance. Insurance written on an "occurrence" basis, including personal & advertising injury, with limits no less than **\$5,000,000** per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this project/location or the general aggregate limit shall be twice the required occurrence limit.

11.1.2 Automobile Liability (if the use of an automobile is involved for Contractor's work for CMWD). \$2,000,000 combined single-limit per accident for bodily injury and property damage.

11.1.3 Workers' Compensation and Employer's Liability. Workers' Compensation limits as required by the California Labor Code. Workers' Compensation will not be required if Contractor has no employees and provides, to CMWD's satisfaction, a declaration stating this.

11.1.4 Professional Liability. Errors and omissions liability appropriate to Contractor's profession with limits of not less than \$2,000,000 per claim. Coverage must be maintained for a period of five (5) years following the date of completion of the work.

11.1.5 Cyber Liability. Cyber Liability with limits of not less than \$5,000,000 per occurrence or claim with a \$5,000,000 aggregate and must be maintained for five (5) years following the date of Agreement termination.

11.2. Additional Provisions. Contractor will ensure that the policies of insurance required under this Agreement contain, or are endorsed to contain, the following provisions:

11.2.1 CMWD will be named as an additional insured on Commercial General Liability which shall provide primary coverage to CMWD.

11.2.2 Contractor will obtain occurrence coverage, excluding Professional Liability, which will be written as claims-made coverage.

11.2.3 This insurance will be in force during the life of the Agreement and any extensions of it and will not be canceled without thirty (30) days prior written notice to CMWD sent by certified mail pursuant to the Notice provisions of this Agreement.

11.3 Providing Certificates of Insurance and Endorsements. Prior to CMWD's execution of this Agreement, Contractor will furnish certificates of insurance and endorsements to CMWD.

11.4 Failure to Maintain Coverage. If Contractor fails to maintain any of these insurance coverages, then CMWD will have the option to declare Contractor in breach or may purchase replacement insurance or pay the premiums that are due on existing policies in order to maintain the required coverages. Contractor is responsible for any payments made by CMWD to obtain or maintain insurance and CMWD may collect these payments from Contractor or deduct the amount paid from any sums due Contractor under this Agreement.

12. BUSINESS LICENSE

Contractor will obtain and maintain a City of Carlsbad Business License for the term of the Agreement, as may be amended from time-to-time.

13. ACCOUNTING RECORDS

Contractor will maintain complete and accurate records with respect to costs incurred under this Agreement. All records will be clearly identifiable. Contractor will allow a representative of CMWD during normal business hours to examine, audit, and make transcripts or copies of records and any other documents created pursuant to this Agreement. Contractor will allow inspection of all work, data, documents, proceedings, and activities related to the Agreement for a period of three (3) years from the date of final payment under this Agreement.

14. OWNERSHIP OF DOCUMENTS

All work product produced by Contractor or its agents, employees, and subcontractors pursuant to this Agreement is the property of CMWD. In the event this Agreement is terminated, all work product produced by Contractor or its agents, employees and subcontractors pursuant to this Agreement will be delivered at once to CMWD. Contractor will have the right to make one (1) copy of the work product for Contractor's records.

15. COPYRIGHTS

Contractor agrees that all copyrights that arise from the services will be vested in CMWD and Contractor relinquishes all claims to the copyrights in favor of CMWD.

16. NOTICES

The name of the persons who are authorized to give written notices or to receive written notice on behalf of CMWD and on behalf of Contractor under this Agreement.

For CMWD

Name	<u>Stephanie Harrison</u>
	<u>Utilities Technical Services</u>
Title	<u>Manager</u>
	<u>Carlsbad Municipal Water District</u>
Address	<u>5950 El Camino Real</u>
	<u>Carlsbad, CA 92008</u>
Phone	<u>(442) 339-2310</u>

For Contractor

Name	<u>Luke Stephenson</u>
Title	<u>Business Director</u>
Address	<u>9050 Irvine Center Drive</u>
	<u>Irvine, CA 92618</u>
Phone	<u>(949)769-6000 x118</u>
E-mail	<u>luke.stephenson@eaintegrator.com</u>

Each party will notify the other immediately of any changes of address that would require any notice or delivery to be directed to another address.

17. CONFLICT OF INTEREST

Contractor shall file a Conflict of Interest Statement with the City Clerk in accordance with the requirements of the CMWD Conflict of Interest Code. The Contractor shall report investments or interests as required in the CMWD Conflict of Interest Code.

Yes ☐ No ☒

18. GENERAL COMPLIANCE WITH LAWS

Contractor will keep fully informed of federal, state and local laws and ordinances and regulations which in any manner affect those employed by Contractor, or in any way affect the performance of the Services by Contractor. Contractor will at all times observe and comply with these laws, ordinances, and regulations and will be responsible for the compliance of Contractor's services with all applicable laws, ordinances and regulations.

Contractor will be aware of the requirements of the Immigration Reform and Control Act of 1986 and will comply with those requirements, including, but not limited to, verifying the eligibility for employment of all agents, employees, subcontractors and consultants that the services required by this Agreement.

19. DISCRIMINATION AND HARASSMENT PROHIBITED

Contractor will comply with all applicable local, state and federal laws and regulations prohibiting discrimination and harassment.

20. DISPUTE RESOLUTION

If a dispute should arise regarding the performance of the Services the following procedure will be used to resolve any questions of fact or interpretation not otherwise settled by agreement between the parties. Representatives of Contractor or CMWD will reduce such questions, and their respective views, to writing. A copy of such documented dispute will be forwarded to both parties involved along with recommended methods of resolution, which would be of benefit to both parties. The representative receiving the letter will reply to the letter along with a recommended method of resolution within ten (10) business days. If the resolution thus obtained is unsatisfactory to the aggrieved party, a letter outlining the disputes will be forwarded to the Executive Manager. The Executive Manager will consider the facts and solutions recommended by each party and may then opt to direct a solution to the problem. In such cases, the action of the Executive Manager will be binding upon the parties involved, although nothing in this procedure will prohibit the parties from seeking remedies available to them at law.

21. TERMINATION

In the event of the Contractor's failure to prosecute, deliver, or perform the Services, CMWD may terminate this Agreement for nonperformance by notifying Contractor by certified mail of the termination. If CMWD decides to abandon or indefinitely postpone the work or services contemplated by this Agreement, CMWD may terminate this Agreement upon written notice to Contractor. Upon notification of termination, Contractor has five (5) business days to deliver any documents owned by CMWD and all work in progress to CMWD address contained in this Agreement. CMWD will make a determination of fact based upon the work product delivered to CMWD and of the percentage of work that Contractor has performed which is usable and of worth to CMWD in having the Agreement completed. Based upon that finding CMWD will determine the final payment of the Agreement.

CMWD may terminate this Agreement by tendering thirty (30) days written notice to Contractor. Contractor may terminate this Agreement by tendering sixty (60) days written notice to CMWD. In the event of termination of this Agreement by either party and upon request of CMWD, Contractor will assemble the work product and put it in order for proper filing and closing and deliver it to CMWD. Contractor will be paid for work performed to the termination date; however, the total will not exceed the lump sum fee payable under this Agreement. CMWD will make the final determination as to the portions of tasks completed and the compensation to be made.

22. COVENANTS AGAINST CONTINGENT FEES

Contractor warrants that Contractor has not employed or retained any company or person, other than a bona fide employee working for Contractor, to solicit or secure this Agreement, and that Contractor has not paid or agreed to pay any company or person, other than a bona fide employee, any fee, commission, percentage, brokerage fee, gift, or any other consideration contingent upon, or resulting from, the award or making of this Agreement. For breach or violation of this warranty, CMWD will have the right to annul this Agreement without liability, or, in its discretion, to deduct from the Agreement price or consideration, or otherwise recover, the full amount of the fee, commission, percentage, brokerage fees, gift, or contingent fee.

23. CLAIMS AND LAWSUITS

By signing this Agreement, Contractor agrees that any agreement claim submitted to CMWD must be asserted as part of the agreement process as set forth in this Agreement and not in anticipation of litigation or in conjunction with litigation. Contractor acknowledges that if a false claim is submitted to CMWD, it may be considered fraud and Contractor may be subject to criminal prosecution. Contractor acknowledges that California Government Code sections 12650 *et seq.*, the False Claims Act applies to this Agreement and, provides for civil penalties where a person knowingly submits a false claim to a public entity. These provisions include false claims made with deliberate ignorance of the false information or in reckless disregard of the truth or falsity of information. If CMWD seeks to recover penalties pursuant to the False Claims Act, it is entitled to recover its litigation costs, including attorney's fees. Contractor acknowledges that the filing of a false claim may subject Contractor to an administrative debarment proceeding as the result of which Contractor may be prevented to act as a Contractor on any public work or improvement for a period of up to five (5) years. Contractor acknowledges debarment by another jurisdiction is grounds for CMWD to terminate this Agreement.

24. JURISDICTION AND VENUE

Any action at law or in equity brought by either of the parties for the purpose of enforcing a right or rights provided for by this Agreement will be tried in a court of competent jurisdiction in the County of San Diego, State of California, and the parties waive all provisions of law providing for a change of venue in these proceedings to any other county.

25. SUCCESSORS AND ASSIGNS

It is mutually understood and agreed that this Agreement will be binding upon CMWD and Contractor and their respective successors. Neither this Agreement nor any part of it nor any monies due or to become due under it may be assigned by Contractor without the prior consent of CMWD, which shall not be unreasonably withheld.

26. ENTIRE AGREEMENT

This Agreement, together with any other written document referred to or contemplated by it, along with the purchase order for this Agreement and its provisions, embody the entire Agreement and understanding between the parties relating to the subject matter of it. In case of conflict, the terms of the Agreement supersede the purchase order. Neither this Agreement nor any of its provisions may be amended, modified, waived or discharged except in a writing signed by both parties.

27. AUTHORITY

The individuals executing this Agreement and the instruments referenced in it on behalf of Contractor each represent and warrant that they have the legal power, right and actual authority to bind Contractor to the terms and conditions of this Agreement.

CONTRACTOR

PARTNERS IN CONTROL, INC., a California
corporation, dba ENTERPRISE AUTOMATION

By: _____

(sign here)

Josh Riley, President

(print name/title)

By: _____

Preston Hopson

(sign here)

Preston Hopson, Secretary

(print name/title)

CARLSBAD MUNICIPAL WATER DISTRICT, a
Public Agency organized under the Municipal
Water Act of 1911, and a Subsidiary District of
the City of Carlsbad

By: _____

KEITH BLACKBURN, President

ATTEST:

for SHERRY FREISINGER, Secretary

If required by CMWD, proper notarial acknowledgment of execution by contractor must be attached. If a corporation, Agreement must be signed by one corporate officer from each of the following two groups.

Group A

Chairman,
President, **or**
Vice-President

Group B

Secretary,
Assistant Secretary,
CFO **or** Assistant Treasurer

Otherwise, the corporation must attach a resolution certified by the secretary or assistant secretary under corporate seal empowering the officer(s) signing to bind the corporation.

APPROVED AS TO FORM:

CINDIE K. McMAHON, General Counsel

By: Gina Herrera
Deputy General Counsel

EXHIBIT “A”

SCOPE OF SERVICES



Scope of Work

SCADA Replacement Project

v.4.0.0

PROJECT NUMBER: EA23CWD037

Prepared for:

On:

Carlsbad Municipal Water District September 27, 2023

Prepared by:
Alex Coker, PE

Reviewed by:
Alex Stipe
Marshall McElroy

Address: 9050 Irvine Center Dr
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History

Revision	Date	Description of Change	Author	Reviewed
1.0.0	2/2/2023	Original	AC	AS/LS/MM
2.0.0	6/8/2023	Reduced site qty.	AC, LS	AS
3.0.0	8/22/2023	Estimate/rates sheet updates	MM	LS
4.0.0	9/27/2023	Clarifications per CMWD request	AC	LS/MM

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Acronyms and Terms

For the remainder of the document the following acronyms will be used.

Term	Description
EA	Enterprise Automation (Integrator)
FAT	Factory Acceptance Test
HMI	Human Machine Interface
PLC	Programmable Logic Controller
PM	Project Manager
SCADA	Supervisory Control and Data Acquisition (refers to the entire automation system)
CMWD	Carlsbad Municipal Water District

1 Proposal Background

From the City Carlsbad and Carlsbad Municipal Water District's SCADA Master Plan, "The City of Carlsbad (City) and the Carlsbad Municipal Water District's (CMWD) current supervisory control and data acquisition (SCADA) system that provides monitoring and control of the water and sewer systems has gradually grown over the years and includes a variety of equipment in the field of varying age, with some equipment already at the end of its useful life."

In December 2022, CMWD released an RFP soliciting proposals to complete a design build project to replace the existing SCADA platform with a highly standardized, Ignition-based HMI and Rockwell PLC platform. The RFP indicated that CMWD would execute a concurrent Capital Project to replace control panels, upgrade networking, and perform infrastructure upgrades as required to complete the hardware upgrade component of their SCADA Upgrade program.

This document defines EA's scope of work to complete the SCADA Upgrade project. The project outcomes include designing, programming, testing, and deploying:

- PLC and HMI reusable code and logic based the existing City/CMWD PLC and HMI Standards Guidebook
- A new high-availability redundant Ignition-based SCADA Platform with standardized Perspective visualization screens for all sites, Ignition Edge at all sites for a cohesive and efficient architecture (some sites are headless while others will have local screens), mobile device accessible screens, alarm notification system, reporting system, and SQL database for historization
- New PLC programs for all sites and templated PLC programs for future sites

2 Project Approach

Our project approach is designed to:

1. Conform with the suggested scope of work provided in the RFP but apply industry best practices, EA best practices, and over two decades of successful project deliveries to create an efficient, effective, and quality-controlled project approach.
2. Maximize client engagement at all necessary levels (operations, maintenance, and management) to ensure that the project deliverables meet CMWD's needs
3. Test everything where practical, prior to site deployment to reduce the probability of rework being necessary in the field

3 Assumptions

Please see Section 7 for Assumptions and Clarifications. Note: many assumptions and clarifications listed must be considered in the context of the content in this scope, otherwise they may seem unclear or inconsistent.

4 Supporting Documentation

This scope was developed with support from the following documents:

1. Field investigation report:

Carlsbad_Field Survey Data Report for SCADA System RTUs_2022.pdf

2. The City's SCADA Master Plan:

2019 SCADA Master Plan with appendices - CC 09-17-2019.pdf

5 Scope of Work

This section details the scope of work for tasks included in the estimate in Appendix B, which are arranged to represent the expected order of execution.

At the bottom of each section will be a summary of the deliverables to be produced.

- Client deliverables: items EA will produce and submit to the client
- Internal deliverables: items EA will produce for internal use (available by request)

5.1 Project Management

EA will provide a dedicated project manager to be the main point of contact and steward all communication through EA. The PM has primary responsibility for this project's scope, budget, and schedule.

The PM will prepare a project schedule, publish it, and periodically update it as the project unfolds. At the commencement of the project, the PM will submit the schedule to CMWD in electronic format.

Throughout the life of the project, the PM will perform all commercial, budget, and project tracking related updates. The labor estimate for project management is comprised of the "Initiation" sheet in the cost estimate in Appendix B, plus a fixed percentage of all other engineering hours (as shown in the estimate).

For each workshop or meeting involving key project decisions, EA's PM will draft and release meeting minutes with action items and dates assigned within one week.

Key Project Management Roles and Activities:

1. Primary point of contact, communications coordination
2. Project scheduling
3. Internal project team meeting coordination
4. Project status tracking (daily/weekly)
5. Project status communication with CMWD
6. Project invoices and tracking report (monthly)
7. Project coordination

5.1.1 PM communications plan

5.1.1.1 Project status updates

The PM will contact CMWD's project manager a minimum of once every two weeks, via email, to provide status updates for all ongoing tasks. This standard practice helps to maintain an open line of communication when current project activities do not require direct contact between EA and CMWD.



5.2 Project initiation

The “Initiation” sheet in the estimate includes activities associated with starting the project. This includes setting up the project in our accounting, project tracking, and resource planning systems.

5.2.1 Internal kickoff

Once a PM is assigned and an engineering team has been established, they will perform an internal team kickoff to review the project goals, risks, schedule, team roles, and budget.

Engineers will develop a risk register to track applicable risks (commercial, technical, coordination, etc.) and develop mitigation strategies. The risk register is updated on a regular basis throughout the life of a project and is available for client review at any time.

5.2.1.1 Execution planning

EA engineers (typically the Lead Engineer) will set up execution plan templates prior to the kickoff meeting. Their templates are based on this scope and estimate. Once the kickoff meetings are complete and mutual understanding of the scope is confirmed, EA will update and add more detail to the execution plans developed previously.

5.2.2 Onsite project kickoff meeting

Following our internal kickoff meeting EA will prepare for a formal kickoff meeting onsite. We will provide an agenda at least one week prior to the meeting. EA’s project team, including key staff from Rovisys and TIGA, will attend the formal kickoff meeting at CMWD’s facility. Some team members may join remotely if digital conference capabilities are available.

5.2.3 Project progress meetings

Regular project progress meetings between EA’s PM and Lead Engineer and CMWD’s staff will occur either bi-weekly or on an as needed basis. These meetings will be used to discuss the status of open tasks and deliverables, completed work, and schedule updates. EA will prepare an agenda prior to and publish minutes following each meeting.

5.2.4 Team check-in meetings

Internal project team meetings between the EA PM and EA engineering staff are conducted regularly during all projects. These formal meetings are used to discuss overall project status, budget, schedule, scope, and risk scenarios. Team Check-Ins are a critical component to our success as they facilitate coordination and collaboration in an organized and controlled manner.

Project initiation Deliverables

Client Deliverables	
1.	Project Schedule in Gantt format

Internal Deliverables	
1.	Execution plans
2.	Initial risk register



5.3 SCADA Change Management Workflow Setup

The first phase of this project will be to define the workflow requirements for the new SCADA system. These requirements will establish the procedures for performing work in a controlled manner, whether it be executed by CMWD, EA, or any future external entity.

5.3.1 Change Management System [Task 101]

A technical memorandum including a flow chart illustration will be developed documenting the change management workflow and tracking process for making changes to the SCADA system.

The change management system will require the implementation of a software product for tracking open issues/changes, next action items, and the record of completed work. The software will typically generate a unique ID number for each item such that it can be tracked both internally and externally. EA will provide MantisBT as the software to meet these requirements, which will also be documented within the technical memorandum. EA has implemented MantisBT based change management tracking for the majority of our clients, and already has established workflows and templates that can be leveraged for CMWD’s application.

The Change Management Design Memorandum will be provided to CMWD in draft form and will be discussed and subsequently reviewed through a series of two, one-hour workshops.

5.3.2 Source Control System [Task 102]

In addition to the Change Control Memorandum, a technical memorandum will be developed documenting the workflow for committing tracked changes to SCADA system configurations (Ignition, PLC programs, etc.).

The source control system will require the implementation of a software product for checking out and committing changes to a central repository. The software will maintain a revision for each committed change, allowing for the history changes to be reviewed or even undone if needed. EA will provide VisualSVN, a Subversion based source control server, as the software to meet these requirements. EA has implemented VisualSVN as a standard across all its clients for both internal development and production change tracking, and already has established workflows and templates that can be leveraged for CMWD’s application.

The Source Control Design Memorandum will be provided to CMWD in draft form and will be discussed and subsequently reviewed through a series of two, one-hour workshops.

SCADA Change Management Workflow Setup Deliverables

Client Deliverables	
1.	Change Management Design Memorandum
2.	Source Control Design Memorandum

Internal Deliverables	
1.	None



5.4 SCADA Platform Design and Implementation

The second phase of the project will be to specify and implement the “platform” for the new SCADA system. The platform consists of the servers, clients, networking, virtual machines, operating systems, and software required to run the SCADA system.

5.4.1 Ignition HMI & Gateway Network Security Plan [Task 104]

A technical memorandum will be developed documenting the architecture of the new Ignition system and its cybersecurity requirements.

It will cover details on the Ignition architecture (including EAM and Edge), how communications between them will be secured (SSL/TLS), end-user and end-device access security, identity management of roles through Okta, application security levels, audit logging, and software patching workflow.

Specific, anticipated contents include:

- 1. Ignition architecture, including EAM and Edge
- 2. Cybersecurity requirements
- 3. SSL certificate usage
- 4. Identity management
- 5. Application roles and security
- 6. Audit logging and databases
- 7. Software management workflow

EA will submit a draft version of the design documentation which will be discussed and subsequently reviewed through a series of three, two-hour workshops.

Ignition HMI & Gateway Network Security Plan [Task 104] Deliverables

Client Deliverables	
1.	Ignition HMI & Gateway Network Security Plan
Internal Deliverables	
1.	None

5.4.2 Production Platform Requirements Specification [Task 302]

Once the Ignition architecture is defined in the Ignition HMI & Gateway Network Security Plan, a detailed systems requirements design will be created to define the hardware, network, security, and other relevant production platform requirements.

These specifications will be used for the later installation and configuration of the system. EA will follow our standard approach to develop a suite of platform documentation that will cover all necessary requirements. Documents to be developed include:

- 1. Active Directory & Group Policy Specification and Layout Diagram
- 2. User Roles and Permissions Security Matrix
- 3. Server Hardware and Virtualization Requirements Specification
- 4. Firewall Rules Specification
- 5. IP Addressing Specification

6. System Architecture Diagram and Detailed Network Layout
7. Software Installation Matrix
8. Licensing Requirements Specification

A task list and schedule will also be developed to cover responsibilities for each related implementation task with required due dates.

EA will submit draft versions of all documentation which will be discussed and subsequently reviewed through a series of three, two-hour workshops.

Production Platform Requirements Specification [Task 302] Deliverables

Client Deliverables	
1.	Production Platform Requirements Specifications
2.	Platform Implementation Task List & Schedule

Internal Deliverables	
1.	None

5.4.3 Development & Test Environment Design [Task 103]

A technical memorandum will then be developed documenting the scope and usage of the dedicated development and test environment.

This environment, which we typically call the “Test Platform,” will be used for programming and verification of all Ignition and PLC development prior to deployment into the production system. It is anticipated that the City will provide the test platform environment, with its own set of virtual machines matching the production system, which will be integrated with a test bench of PLC and Ignition Edge hardware (plus networking equipment if needed). The final architecture of the test platform infrastructure will be agreed upon during the initial design workshops.

The memorandum will define the workflow and rules for moving configuration between the development and production environment using Ignition’s Enterprise Administration Module and the source control system. and incorporate comments.

EA will submit a draft version of the memorandum which will be discussed and subsequently reviewed through a series of two, two-hour workshops.

Development & Test Environment Design [Task 103] Deliverables

Client Deliverables	
1.	Development & Test Environment Technical Memorandum

Internal Deliverables	
1.	None



5.4.4 Platform Setup Coordination and Verification

EA will provide procurement assistance and as-needed remote support to the City IT department who will be responsible for the procurement and setup of the production environment.

EA assumes that the City IT department will be providing installation and configuration services for all hardware, including servers, clients, and networking, virtualization, including hypervisors and virtual machines, and operating systems, including the setup of networking, Active Directory, Windows Roles and Features, and any City required software.

EA’s approach in the remaining tasks of the platform implementation is based on the assumption that we will receive fully configured and ready to use (capable of software installation) virtual machines per the developed system requirements specifications.

Prior to starting installation and configuration of SCADA software, EA will validate the production and development environments for compliance with the design specifications. Test documentation will be developed, testing will be performed, and non-conformances will be handed over to the City IT department for correction before proceeding with further configuration tasks.

Platform Setup Coordination and Verification Deliverables

Client Deliverables	
1.	Platform configuration non-conformances list
2.	Validated Production and Development Platforms

Internal Deliverables	
1.	Completed test documentation

5.4.5 Supporting Software Configuration

Once the development and production environments are validated, supporting software will need to be set up prior to proceeding with Ignition setup.

EA will install and configure supporting components such as the change tracking software, source control software, PLC programming software, MQTT broker, and any other miscellaneous software identified in the Software Installation Matrix on the development platform VMs.

Supporting Software Configuration Deliverables

Client Deliverables	
1.	Supporting software installed and configured on development platform

Internal Deliverables	
1.	None



5.4.6 Ignition Gateways & Edge Configuration [Task 401]

EA will install each of the necessary modules to implement a fully functional Ignition implementation with Edge capabilities.

EA will install and configure applicable Ignition modules and components per the developed design, including gateway settings, security, redundancy, and database connections. The development environment will also be set up to mimic the configuration of the production environment.

EA will deploy an identity provider authentication strategy that will federate with CMWD’s Okta identity provider, allowing previously established users to authenticate against a trusted third party. Audit log profiles will be configured to begin collection of audit records during this phase of the project to maintain development integrity during the gateway installation and configuration stage.

Ignition’s Enterprise Administration Module (EAM) will be set up to maintain project asset continuity between all Ignition Edge nodes to ensure all Edge devices are properly synchronized and maintained. EAM Agent tasks will also be configured to take regularly scheduled remote backups and synchronize remote projects and resources.

A base template for Ignition Edge gateways will be set up that can be re-used across all sites with Edge gateway hardware being installed.

Once Ignition is configured, EA will internally validate the setup for proper operation and compliance with the design specifications. Test documentation will be developed, testing will be performed, and non-conformances will be corrected.

Once internal testing is complete, a Factory Acceptance Test will be held to demonstrate the functionality and operation of the system to CMWD.

Ignition Gateways & Edge Configuration [Task 401] Deliverables

Client Deliverables	
1.	Configured Ignition Gateways, EAM, and Edge components
2.	Ignition Gateways, EAM, & Edge Factory Acceptance Test

Internal Deliverables	
1.	Completed test documentation

5.4.7 Test Bench Setup

The development environment is anticipated to have additional test bench hardware components for ease of testing configurations prior to deployment to the production environment.

EA will configure the test bench components identified in the development system design (which will likely include one or more sets of PLC and Edge Gateway hardware) and verify that each component has connectivity to the test & development platform.

Test Bench Setup Deliverables

Client Deliverables	
1.	Configured test bench PLC(s)
2.	Configured test bench Edge Gateway(s)

Internal Deliverables	
1.	None

5.5 PLC Standards

The PLC standards phase will include the design, documentation, and development of standardized programming components to be used in the development of future PLC programs.

5.5.1 Revise PLC and Tagging Documents [Task 201]

The existing PLC Programming Standard document developed by Brown and Caldwell will be revised by EA to cover Logix/Studio 5000 specific implementation details. Sections likely to be reviewed and updated include: program organization, naming conventions, description conventions, and general programming style requirements.

Additionally, the existing Programming Tagging Standard document developed by Brown and Caldwell will be revised by EA to cover Logix/Studio 5000 and Ignition specific implementation details. Topics that will be covered include tag structure, tag component designations, and Studio 5000/Ignition tag limitation requirements.

EA will submit the memorandum for review which will be discussed and subsequently reviewed through a series of two, two-hour workshops.

Revise PLC and Tagging Documents [Task 201] Deliverables

Client Deliverables	
1.	Revised PLC Programming Standard
2.	Revised Programming Tagging Standard

Internal Deliverables	
1.	None

5.5.2 AOI Library [Task 202]

EA will leverage our existing Studio 5000 based AOI library that is pre-validated, including documentation, for CMWD's application.

EA will review the AOI library with CMWD and revise our existing AOI specification which documents each Add-on Instruction (AOI), as needed to conform with CMWD's requirements. The Specification will include a description of the AOI, its parameters, internal operation, and usage.

Once the technical memorandum is completed, EA will update the AOIs within Studio 5000 (adapting EA's existing library) and provide the program and AOI exports to CMWD. Logix Designer Help Files will also be generated for each AOI and provided. Verification of programmed AOIs will occur as an integrated test with other PLC and Ignition standards components.

The contents of the documentation and programmed AOIs will be reviewed through a series of three, two-hour workshops.

AOI Library [Task 202] Deliverables

Client Deliverables	
1.	AOI Specification
2.	Studio 5000 AOI export for each developed AOI
3.	Studio 5000 configuration file with all developed AOIs
4.	Logix Designer Help File for each developed AOI

Internal Deliverables	
1.	None

5.5.3 PLC User-Defined Data Type Library [Task 203]

A UDT Specification will be developed documenting each User-Defined Data Type (UDT) to be developed. It will include a description of the UDT, its tag elements, and intended usage. EA will submit the documentation for review and incorporate comments.

Once the UDT Specification, EA will program the UDTs within Studio 5000 and provide the program and UDT exports. Verification of programmed UDTs will occur as an integrated test with other PLC and Ignition standards components in section 5.6.3.

The contents of the documentation and programmed UDTs will be reviewed through a series of two, two-hour workshops.

PLC User-Defined Data Type Library [Task 203] Deliverables

Client Deliverables	
1.	PLC UDT Specification
2.	Studio 5000 UDT export for each developed UDT
3.	Studio 5000 configuration file with all developed UDTs

Internal Deliverables	
1.	None



5.6 HMI Standards

This phase will include the design, documentation, and development of standardized programming components to be used in the development of the new Ignition SCADA system.

5.6.1 Revise HMI Standards Document [Task 301]

The existing HMI Programming Standard document developed by Brown and Caldwell will be revised by EA to cover Ignition specific implementation details. Topics that will be covered include layouts, navigation, alarms, common UI elements, colors, fonts, units, etc.

During this task, EA will also create an application map showing the hierarchy of screens to be developed and their relations, wireframe layouts of standard screen templates and popups, and initial mock-ups of the graphical design for the new system.

The contents of the documentation will be reviewed through a series of six, two-hour workshops.

Revise HMI Standards Document [Task 301] Deliverables

Client Deliverables	
1.	Revised HMI Programming Standard
2.	Application map of screen hierarchy and relations
3.	Wireframe layouts of screen/popup elements
4.	Screen mock-ups of graphical design

Internal Deliverables	
1.	None

5.6.2 Develop Metadata Schemas

As the first step of starting Ignition development, EA will define the metadata schema that will define information specific to each site and that site’s equipment. This metadata will be stored within a SQL database and used to dynamically drive many aspects of the Ignition system, including HMI elements, reports, gateway/client scripting, and alarming.

EA will work with CMWD to develop a meaningful database schema for the metadata that will serve as the single source of truth for site and equipment configuration. This schema will be documented in a Meta Data Schema Specification. EA will submit the documentation for review and incorporate comments.

The contents of the documentation will be reviewed through a series of two, two-hour workshops. Once finalized, EA will create the specified metadata databases and integrate them into Ignition.

Develop Metadata Schemas Deliverables

Client Deliverables	
1.	Metadata Schema Specification

Internal Deliverables	
1.	Configured metadata databases, integrated into Ignition



5.6.3 Configure Ignition Tags, UDTs, and Parameters

Once the site and equipment metadata is configured, EA will define the tag structure, UDT types, and tag parameters necessary to build the complete tag hierarchy within Ignition. The UDT types to be developed will match the Studio 5000 UDT types developed previously, ensuring a one-to-one link up of tag data.

EA will ensure that each piece of equipment will be represented in an Ignition instance. These instances will be the driving data entries for all screens and queries of CMWD’s Ignition SCADA system. If equipment in the field does not match the templated UDTs, one-off configurations will be required for said instances. The execution of one-off instances creates the complexity of validation and verification and thus should be avoided when at all possible. We have not accounted for any one-offs in our budget.

The Ignition tagging structure and UDT type definitions will be documented in a specification. EA will submit the documentation for review and incorporate comments.

The contents of the documentation will be reviewed through a series of two, two-hour workshops.

Once the specification finalized, EA will create the specified tag structure, UDT types, and parameters within Ignition, including instancing tags for all sites.

Tasks will include:

- Creating Tag Hierarchies with Edge Integration
- Build Equipment-Level UDTs
- Implement UDT Indirect Parameters
- Configure OPC Tags for Equipment UDTs
- Instance Sites from UDTs
- Develop System and Client-Level Tags

Configure Ignition Tags, UDTs, and Parameters Deliverables

Client Deliverables	
1.	Ignition UDT and Tagging Structure Specification

Internal Deliverables	
1.	Configured Ignition tag structure, UDT types, and parameters
2.	Instanced, per-site tags

5.7 Integrated PLC and SCADA Standards Testing

Rather than testing each component in isolation, an integrated test between PLC and SCADA standards will be performed to ensure that all components function well together from top to bottom, including communications (tag) interfaces. Testing PLC and HMI features simultaneously increases efficiency, reduces risk, and enhances our ability to identify potential improvements.

EA will develop detailed test documentation to ensure proper operation and compliance with the design specifications. Then testing will be performed and any non-conformances will be documented and corrected. Once internal testing is complete, a Factory Acceptance Test will be held to demonstrate the functionality and operation of the standards to CMWD.

Integrated PLC and SCADA Standards Testing Deliverables

Client Deliverables

- | | |
|----|---|
| 1. | Programmed and tested PLC and HMI standards |
| 2. | Factory Acceptance Test |

Internal Deliverables

- | | |
|----|--|
| 1. | Completed PLC and HMI Standards test documentation |
|----|--|

5.8 PLC Development

The PLC development phase will include the design, documentation, and development of template and site level PLC programs.

5.8.1 Functional Control Descriptions [Task 204]

Based on analysis of the list of sites provided in the RFP and responses to questions in Addendum 1, EA will build template programs for a handful of site types (plus a few one-offs) which will meet the needs of every site. Templates will be applicable for all sites of a given type, which the RFP documents indicate will have the same IO and equipment.

Creating templates will greatly increase the efficiency at which programs can be developed for each site, which is a significant consideration due to the total quantity of sites.

The following lists the programs to be developed:

- Lift Station (template)
- Pump Station (template)
- Reservoir (template)
- Lake (template)
- Pressure Reducing Station (template)
- Maerke Hydroelectric (one-off)
- Maerke Chlorine (one-off)
- D Site (one-off)
- Encina/CWRF Pump Station (one-off)

It's important that EA and CMWD agree and commit to this list early in the design process, as additions or changes to this list may be additions to the scope of this project.

5.8.1.1 Template I/O Lists

As the first step to developing designs for each template and one-off site, EA will create standardized I/O lists for each site type based on the results of the Field Survey produced by Rockwell Construction Services in January of 2022. The template I/O lists will clearly identify which I/O points will be required at each site type for minimum operation, and which I/O points may be optional depending on the equipment at each site (e.g. quantity of pumps, presence of a generator).

The I/O list will also capture the tag name, description, module/channel location, scaling (if analog), and any other pertinent configuration information for each point. EA assumes that CMWD will develop PLC hardware BOMs through the concurrent capital project. The PLC BOMs



will be required to develop the template I/O lists as we include point-specific information required for PLC programming such as data type, range, scaling, and rack/module/point designations.

5.8.1.2 Functional Specifications

EA will then develop functional specifications detailing the operation of each template and one-off PLC program to be developed. Content in the specifications will include a summary of site equipment, operating modes, states and transition sequences, setpoints and commands, inputs and outputs, detailed control logic, calculations, interlocks, alarms, and totalizers.

As the specifications will serve as a baseline for all programming and validation, they represent a key milestone to be completed before any PLC configuration will begin.

EA will submit the documentation for review and the expected operation of each site and contents of the documentation will be discussed and subsequently reviewed through a series of ten, two-hour workshops.

Functional Control Descriptions [Task 204] Deliverables

Client Deliverables	
1.	Template I/O Lists
2.	Template Functional Specifications

Internal Deliverables	
1.	None

5.8.2 Template and One-Off PLC Program Development [Task 402]

With the completed template and one-off I/O lists and functional specifications, EA will develop PLC programs for each template and one-off site. The PLC programs will follow the previously developed PLC Programming Standards document and utilize the AOIs and UDTs from the standard library. After initial configuration, EA will submit the programs for review.

Based on previous experience with development of templates, EA will only develop fully featured program templates (i.e. with all available potential options/features included) at this point in the project. This method will allow for all potential variations to be validated and corrected up front, saving costly re-work if issues are found after templates are duplicated for each site. As such, a separate task has been called out in section 5.8.3 for creating individual site program instances, to be completed only after all template testing and acceptance is completed.

Similar to the approach taken with the standards, verification of the PLC programs will occur as an integrated test with the new Ignition screens in section 5.10.

Template and One-Off PLC Program Development [Task 402] Deliverables

Client Deliverables	
1.	Template PLC programs

Internal Deliverables	
1.	None



5.8.3 PLC Program Instantiation

Once all testing and acceptance has been completed for the templates, EA will duplicate the templates to create programs instances for all sites. Since the templates will have been configured with all available options enabled, this step will only consist of removing any unnecessary features specific to each site configuration. This approach minimizes the risk that new bugs are introduced to the program and thus reduces the amount of site-level program verification required.

EA will internally validate each instanced PLC program for proper duplication (not a full retest of all functions). Test documentation will be developed, testing will be performed, and non-conformances will be corrected.

Note that depending on the commissioning timeline developed in section 5.13, the approach to instantiation of all site programs may change to increase efficiency.

If project deployments are spread out, especially the first of each site type relative to the next, it would be more effective to create each site-specific PLC program just before the commissioning of that site. This will allow for the first site of each type to effectively be a pilot.

Then, if EA discovers that any changes to the PLC program are required, they can be efficiently integrated into the template before additional copies are made for the follow-on sites.

PLC Program Instantiation Deliverables

Client Deliverables	
1.	Instanced and validated PLC programs for each site

Internal Deliverables	
1.	Completed instanced PLC program test documentation

5.9 HMI Development

The SCADA development phase will include the development of the new Ignition SCADA system.

5.9.1 Historian Configuration [Task 403]

EA will work with City IT’s database administrator to establish connections to a SQL database created for real-time historical data collection. EA will work with CMWD to understand the needed historical range buffer and collection frequency.

Ignition equipment UDTs will have been configured during the HMI Standards task to collect history on-change of tag value so little site-specific configuration is required for this step. EA will, though, need to configure the Ignition store and forward engine on both the primary gateway and all Ignition Edge gateways to take advantage of data buffering in the event that the connection to the historical database or the edge node is lost.

Historian Configuration [Task 403] Deliverables

Client Deliverables

- | | |
|----|------|
| 1. | None |
|----|------|

Internal Deliverables

- | | |
|----|--|
| 1. | Configured Ignition database connections |
| 2. | Historical data collection set up |

5.9.2 Ignition Global Setup

Graphical development in Ignition will begin with the development of global styles (fonts, colors, sizing, etc.) which will give the application for a consistent look and feel. The use of global styles also allows for any future formatting tweaks to be changed in one place and update everywhere.

Following global styles, EA will then develop the common header and footer graphics displayed above and below each page, respectively. The header is typically used for navigation elements, and the footer for alarm displays.

Ignition's ability to natively react to different screen sizes and resize or display different content appropriately relies on the setting of "breakpoints" on screens. These breakpoints must be defined for different possible screen widths based on what content should be displayed. During the process of configuring screens, EA will set breakpoints accordingly to create separate desktop and mobile views. EA will review breakpoints with CMWD at that time.

Ignition Global Setup Deliverables

Client Deliverables

- | | |
|----|------|
| 1. | None |
|----|------|

Internal Deliverables

- | | |
|----|--|
| 1. | Configured Ignition common UI elements |
| 2. | Mobile display breakpoints defined |

5.9.3 Ignition Screen Development

With the common user interface elements configured, EA will develop level 1, 2, and 3 screens as called out in the HMI Programming Standard document. EA will hold progress review workshops at pre-determined milestones during development to receive early feedback on screen design.

Comments will be incorporated at this phase such that when the Factory Acceptance Test occurs, CMWD should already be familiar with the system graphics, minimizing the number of costly last minute changes required.

EA will develop Perspective desktop screens in the following structure:

- Level 1
 - Overviews (District, System, and Area level)
 - Trends
 - Alarms
 - Management/Administration

- Diagnostics/Communications
- Level 2
 - Site Details (P&ID style)
- Level 3
 - Equipment and Site Control (Setpoints, Commands, Diagnostics)

5.9.3.1 Ignition Edge Development

While Ignition Edge will repurpose most of the graphics and other assets from the main Ignition application, EA will need to configure a base Edge application template with navigation, alarms, diagnostics, and site-specific graphics that will be ready to be deployed to any Edge Gateway.

Ignition Screen Development Deliverables

Client Deliverables	
1.	None

Internal Deliverables	
1.	Developed level 1, 2, and 3 screens
2.	Ignition Edge application template

5.10 Alarms & Reports

5.10.1 Alarm & Events Management Plan [Task 105]

A technical memorandum will be developed documenting the alarm and events notification setup within Ignition. It will include details on user and contact management, rosters and schedules, delivery channels (email, text, voice), notification pipelines, and alarm management and testing. EA will submit the documentation for review and incorporate comments.

The contents of the documentation will be discussed and reviewed through a series of two, two-hour workshops.

Alarm & Events Management Plan [Task 105] Deliverables

Client Deliverables	
1.	Alarm & Events Management Plan Technical Memorandum

Internal Deliverables	
1.	None

5.10.2 Alarm Notification System [Task 405]

EA will develop an Alarm Notification System Technical Memorandum with logic diagrams detailing specifications for the alarm notification system. Contents will include:

- Users and contact information
- Rosters and schedules
- Delivery channels

- Notification pipelines
- Alarm management and testing

Once the technical memorandum is approved, EA will set up Ignition's alarm notification system per the specification, also including any required alarm journal displays and other alarm related screens required for management of notifications.

EA will internally validate the configured alarm notification system for proper operation and compliance with the design specifications. Test documentation will be developed, testing will be performed, and non-conformances will be corrected. Once internal testing is complete, a Factory Acceptance Test will be held to demonstrate the functionality and operation of the standards to CMWD.

Alarm Notification System [Task 405] Deliverables

Client Deliverables	
1.	Alarm and Notification System Technical Memorandum
2.	Alarm Notification System Factory Acceptance Test

Internal Deliverables	
1.	Completed Alarm Notification System test documentation

5.10.3 Reporting Specification

A Reporting Specification will be developed documenting the reports to be configured within Ignition. It will include details for each report on data sources, calculations, and layout/presentation.

The following reports will be designed:

- Monthly Daily Maerke Hydro Electric KWH & CFS
- Monthly Daily Reclaim Water Flow Totals
- Monthly Daily Potable Water Flow Totals
- Monthly Daily Corinthian Daily Flow Totals
- Monthly Daily Sewer Station Flow Totals
- Monthly Daily Sewer Equipment Runtime Totals
- Monthly Daily Potable Equipment Runtime Totals
- Monthly Daily Reclaim Equipment Runtime Totals

EA will submit the documentation for review and incorporate comments. The contents of the documentation will be initially discussed and subsequently reviewed through a series of two, two-hour workshops.

Reporting Specification Deliverables

Client Deliverables	
1.	Reporting Specification

Internal Deliverables	
1.	None



5.10.4 Reporting Development [Task 404]

Once the technical memorandum is completed, EA will set up Ignition’s reporting system per the specification. Reports will be configured to dynamically include the required tags with the use of site and equipment metadata table queries.

This flexible approach will allow reports to be configured, approved, and deployed in a single phase without the need to edit the report in the future if new measurement devices are added.

EA will internally validate the configured reports for proper operation and compliance with the design specifications. Test documentation will be developed, testing will be performed, and non-conformances will be corrected.

5.10.4.1 Validating Reports

Fulling vetting reports within a segregated development environment can often prove to be impractical and inconclusive due to a lack of real-world data.

In lieu of a formal Factory Acceptance Test, we will place the configured reports into production immediately following development such that CMWD and EA can start to review their accuracy with live data.

Since the requested reports will be set up to run monthly, it is anticipated that over the first few months, CMWD will identify errors and request corrections or minor changes until enough generations have occurred to accept the accuracy the reports. EA anticipates that this may take 4-6 months with a few hours of discussion, modification, and re-deployment required.

Reporting Development [Task 404] Deliverables

Client Deliverables	
1.	Reporting system
2.	Post deploy support and modifications

Internal Deliverables	
1.	Completed test documentation

5.11 SCADA Integrated Testing and Acceptance Test

Rather than testing each component in isolation, an integrated test between PLC programs and Ignition screens (and Edge) will be performed to ensure that all components function well together from top to bottom, including communications (tag) interfaces. This approach allows for additional efficiencies to be gained testing PLC and SCADA features in parallel.

EA will internally validate the PLC and Ignition programming for proper operation and compliance with the design specifications. Test documentation will be developed, testing will be performed, and non-conformances will be corrected.

Once internal testing is complete, EA will host a Factory Acceptance Test to demonstrate the functionality and operation of the standards to CMWD.



Reporting Development [Task 404] Deliverables

Client Deliverables	
1.	Programmed and tested PLC and Ignition applications

Internal Deliverables	
1.	Completed test documentation

5.12 Training

The training will be broken out into three different courses, each focused on a different type of SCADA system user or administrator.

5.12.1 System Training

System training, applicable to all end-users and administrators of the SCADA system, will be intended to review the general operation of Ignition. Topics that will be covered include:

- Navigation
- Login and security
- Standard graphics and UI elements
- Alarm system and notifications
- Historical data and reporting

EA will develop a training manual covering the listed topics, including step by step instructions and screenshots where necessary. EA will submit the documentation for review.

Once the training manual is completed, EA will host a two-hour training class in person to cover the contents of the manual. EA will provide up to 8 training laptops preconfigured with a simulated copy of CMWD’s Ignition application such that participants may follow along with the instructor. The class will also simultaneously be set up as virtual meetings for those that cannot attend in person and will be recorded such that anyone may repeat the training class on demand in the future.

System Training Deliverables

Client Deliverables	
1.	System Training Manual

Internal Deliverables	
1.	None

5.12.2 Operational Training

Operational training, applicable to those who will be operating the SCADA system, will be intended to review the specific operation of process screens in Ignition and the PLC programs. Topics that will be covered include:

- Overview screens
- Process screens



- Equipment and site control popups
- PLC program operation for each site (grouped by site template and one-off programs)

EA will develop a training manual covering the listed topics, including step by step instructions and screenshots where necessary. EA will submit the documentation for review.

Once the training manual is completed, EA will host up to eight, two-hour training classes in person to cover the contents of the manual. EA will provide up to 8 training laptops preconfigured with a simulated copy of CMWD’s Ignition application such that participants may follow along with the instructor. The classes will also simultaneously be set up as virtual meetings for those that cannot attend in person and will be recorded such that anyone may repeat the training class on demand in the future.

Operational Training Deliverables

Client Deliverables	
1.	Operational Training Manual

Internal Deliverables	
1.	None

5.12.3 Administrator Training

Administrator training, applicable to back-end administrators of the SCADA system (including City IT), will be intended to review the architecture, components, and general troubleshooting of the SCADA system. Topics that will be covered include:

- System components
- Network and cyber security architecture
- Servers and virtual machines
- Automation hardware and software
- Basic troubleshooting and maintenance

EA will develop a training manual covering the listed topics, including step by step instructions and screenshots where necessary. EA will submit the documentation for review.

Once the training manual is completed, EA will host a four-hour training class in person to cover the contents of the manual. The class will also simultaneously be set up as virtual meetings for those that cannot attend in person and will be recorded such that anyone may repeat the training class on demand in the future.

Administrator Training Deliverables

Client Deliverables	
1.	Administrator Training Manual

Internal Deliverables	
1.	None



5.13Commissioning

5.13.1 Deployment Planning

EA will develop detailed deployment procedures and checklists for each site, including:

- PLC program deployment
- Ignition Edge Gateway deployment
- Ignition integration and verification checklists I/O checkout
- Equipment control testing
- Functional operation testing
- Site acceptance testing

It is anticipated that the procedures will be grouped by site template as listed in section 5.8.1.

Our deployment approach will allow CMWD to maintain the operations of the current SCADA system through the completion of this project. Without specific information on the Capital Project we cannot comment on site downtime requirements or specific risk scenarios. We assume sites will be upgraded one at a time over the course of several years/months and thus CMWD will operate two SCADA systems in parallel until the completion of this project.

EA will submit the documentation for review and incorporate comments.

The contents of the documentation will be initially discussed and subsequently reviewed through a series of eight, two-hour workshops.

Deployment Planning Deliverables

Client Deliverables	
1.	Deployment procedures for each site template and one-off
Internal Deliverables	
1.	None



5.13.2 Ignition Configuration Deployment to Production

During the first phase of commissioning, EA will migrate the completed and fully validated Ignition configuration application from the development environment to the production environment.

End-user access testing and a general functionality checkout can then be completed in the real environment. Note that at this point the deployed application will not actually be connected to PLC programs to display live data, which will not be in place until the first site is commissioned.

Ignition Configuration Deployment to Production Deliverables

Client Deliverables	
1.	Deployed Ignition application in production

Internal Deliverables	
1.	None

5.13.3 Site Commissioning

We assume that EA’s deployment scope is primarily concentrated on commissioning the PLC program and SCADA screens on a site-by site basis. EA will not be responsible for instrumentation, control panel, networking, control loop, or other related construction activities.

Our anticipated site commissioning tasks are:

- Download PLC program to provided PLC hardware
- Deploy Ignition Edge to provided gateway hardware
- Deploy site within main Ignition application over provided communications network
- Checkout of I/O points within PLC program (loop testing to be completed prior)
- Equipment actuation testing from PLC program
- Operational testing based on site functional specification
- Site acceptance test with CMWD
- In-office close-out of commissioning checklists and redlined documentation and submittal to CMWD for review and acceptance
- Attendance at up to two, one-hour construction meetings for each of the 54 sites

EA will provide one commissioning engineer for up to three, eight-hour days to perform the above stated startup activities for each of the 53 identified sites. CMWD indicated that each site could only be down for a single day, as such we’ve limited each site to the three days per above. We have assumed that two-sites can be commissioned per week. At the time this proposal was developed, EA did not have access to a construction schedule and understands this may change. Additional costs for extended startup durations will be discussed with CMWD.



Site Commissioning Deliverables

Client Deliverables	
1.	53x deployed site PLC programs
2.	53x deployed Ignition Edge Gateways

Internal Deliverables	
1.	Completed site deployment checklists

5.14 Documentation As-Built Updates [Tasks 106, 205, 303]

At the conclusion of each site commissioning, EA will update relevant documentation for that site to reflect as-built conditions. This is anticipated to include:

- Workflow documents
- Platform architecture specifications
- PLC and SCADA standards documentation
- Site function specifications and I/O lists
- Alarm notification and reporting specifications
- “City of Carlsbad Utilities & Carlsbad Municipal Water District SCADA Standards Guidebook”

Documentation As-Built Updates [Tasks 106, 205, 303] Deliverables

Client Deliverables	
1.	As-built system documentation

Internal Deliverables	
1.	None

6 Assumptions & Clarifications

The following assumptions and clarifications were used in preparing this proposal:

1. EA assumes that the Capital Project to design and implement site upgrades will occur in parallel to this project. Several key milestones for this project rely on the completion of specific milestones in that project (e.g. PLC BOMs are required for I/O list development).
2. This project scope is confined to SCADA/PLC software design and implementation. No control panel design/fabrication, design reviews, construction plans, instrumentation installation, network upgrade or deployment, or related services are included. EA's participation in construction is confined to that described in Section 5.13.
3. As a cost saving measure and industry appropriate method, we've modified the submittal review approach for some deliverables. Our method honors the intent of the cycles indicated in the RFP and aligns with industry norms, requiring both internal review cycles and client interaction and review cycles.
4. No preliminary field investigation time has been included. We assume the Field Investigation Report provided is accurate and indicates the current as-built state of every site included in this project.
5. Outside of developing the Ignition architecture design and providing field network requirements to CMWD, no network design tasks have been included in this proposal.
6. For the Ignition Platform configuration, EA assumes that CMWD will provide blank VMs that are ready for SCADA software installation (with OS, domain, etc. configured per EA developed specifications).
7. EA is not responsible for implementing new firmware updates or patches to either PLCs or server hardware at the time of deployment.
8. EA assumes that the City IT department will be providing platform installation and configuration services for all hardware, servers, client workstations, and networking, virtualization, including hypervisors and virtual machines, and operating systems, including the setup of networking, Active Directory, Windows Roles and Features, and any City required software. EA will then continue the setup at this point with the installation of Ignition and other auxiliary SCADA software.
9. EA assumes that CMWD will provide all required networking and infrastructure to facilitate alarm notification based on the requirements provided by EA.
10. Historical data from the legacy system will not be available in the new Historian.
11. For any SCADA infrastructure (production or test) to be developed as a part of this project that is hosted by CMWD/the City, EA will require remote access to complete configuration, testing, and deployment activities. EA agrees to comply with the City's standards for remote access including named accounts, background checks, and multi-factor authentication.
12. Professional Consulting and Advising Services outside of the scope of work can be performed on a time and materials basis using the published rates.
13. EA's Scope of services does not provide any Cybersecurity services. Additional Cybersecurity enhancements and tasks can be performed as a separate scope.

14. EA will be utilizing software provided by a third-party vendor as part of its scope of work. EA provides no warranty that the software is free from vendor caused defect or bugs. If during development, testing, or deployment a software issue is discovered that can be attributed to a vendor caused defect or bug, EA will attempt a reasonable amount of troubleshooting with the vendor to try and fix the issue. If the time spent goes beyond what EA deems is reasonable, EA will discuss possible solutions with the City, such as having CMWD SCADA staff continue with the vendor, or having EA continue on a T&M basis.
15. For the purposes of validation of the polling engine, EA assumes that the SCADA network and telecommunications network is functional at the time of integration and testing. EA will provide reasonable assistance to the City for the purposes of identifying issues and confirming that issues are resolved. The ultimate responsibility of diagnosing and fixing network issues however remains with the City. If the time required of EA to assist with troubleshooting goes beyond what EA believes is reasonable, EA will discuss possible solutions with City and further efforts would need to be performed on a T&M basis.
16. Unless specifically indicated in this scope of work, design documentation developed through this project will not be stamped by a professional engineer.
17. All submittals will be transmitted in electronic format (no hard copies will be provided).
18. Written approval (email or letter) from CMWD is required for all submittals within 10 business days of release by EA.
19. Delays due to mechanical, electrical, or IT related issues, production scheduling constraints, or lack of system availability out of EA's control, which result in additional site time, will be charged at EA's standard hourly rates.

6.1 Sites & IO Count

The cost estimate and scope of this proposal was developed based on the IO information included in the Field Investigation Notes without consideration for major equipment additions or changes.

The following sites were listed in RFP documentation. Through discussions with the City pricing was reduced to accommodate 53 total sites. During the initial stages of the project, the final 53 sites will be clarified from this list:

1. Ayers Pressure Reducing Station
2. Batiquitos Lift Station
3. Bressi Potable Pump Station
4. Bressi Reclaim Pump Station
5. C Reservoir
6. Calavera Potable Pump Station
7. Calavera Recycle Pump Station
8. Cannon Lift Station
9. Chinquapin Lift Station
10. CWA #2
11. CWA #3
12. CWA #4
13. CWA #6
14. D Site*

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15. El Fuerte & Corintia Pressure Reducing Station
16. El Fuerte & Rancho Pancho
17. El Fuerte Lift Station
18. Ellery Reservoir
19. Elm Reservoir
20. Elm TAP Pressure Reducing Station
21. Encina Pump Station
22. Encina Reclaim Pressure Reducing Station
23. Faraday Reclaim Pressure Reducing Station
24. Foxes Landing Lift Station
25. Haymar Intertie
26. Home Plant Lift Station
27. Knots Lane Lift Station
28. La Costa Hi Reservoir
29. La Costa Lo Reservoir (Communications Only)
30. La Costa Reclaim Pressure Reducing Station
31. Laguna/Kelly Pressure Reducing Station
32. Lake Calavera
33. Lower El Fuerte Pressure Reducing Station
34. Maerkle Control (CMWD PW HQ?)
35. Maerkle Hydro Electric
36. Maerkle Lake
37. Maerkle Lower Chlorine Station
38. Maerkle Tower (Communications Only)
39. Maerkle Upper Chlorine Station
40. Mahr Reservoir
41. May Company Pressure Reducing Station
42. Melrose & Corintia Meter
43. Melrose Pressure Reducing Station
44. Palomar West Pressure Reducing Station
45. Poinsettia 61 Pressure Reducing Station
46. Poinsettia Lift Station
47. Point D Pressure Reducing Station North
48. Point D Pressure Reducing Station South
49. Quarry Creek East Pressure Reducing Station
50. Quarry Creek Reclaim Pressure Reducing Station
51. Quarry Creek West Pressure Reducing Station
52. Rancho Carlsbad Pressure Reducing Station
53. Robertson Ranch Pressure Reducing Station
54. Sand Shell Lift Station
55. Santa Fe 1 Reservoir (Communications Only)
56. Santa Fe 2 Reservoir
57. Skyline Reservoir
58. Tanglewood Pressure Reducing Station
59. TAP 4 Station PRS
60. TAP Reservoir
61. Terramar Lift Station
62. Twin D (D Site) Reclaim Pump Station
63. Upper El Fuerte Pressure Reducing Station

SCADA Replacement Project Scope of Work
EA Project Number: EA23CWD037, v4.0.0



-
- 64. Villas Lift Station
 - 65. Zodiac Pressure Reducing Station

7 Schedule

The PM will release an initial schedule upon project initiation. A draft proposal was provided with EA's RFP response for demonstration purposes only.

8 Cost Estimate

The tasks to be performed along with the estimated time to complete the tasks are detailed in the attached cost estimate (Appendix B).

Work under this proposal is on a time and expenses basis, and the pricing in Appendix B is an estimate only made in good faith without consideration for delays and unknowns.

Enterprise Automation will continually track task progress against this estimate and will inform CMWD of any anticipated projected overruns. Any additional hours required to perform the specified tasks will be submitted to CMWD as a change order request. The decision to continue the work or consider alternative options will therefore remain with CMWD.

Any additions to the scope of work will also be submitted to CMWD as a change order request.

Approval of any change order by CMWD will be required prior to Enterprise Automation commencing or continuing the work task in question.

Billings will occur every month and will include man-hour break downs indicating hours expended, resources utilized, on a per task basis. Enterprise Automation will maintain an open line of communication with CMWD to discuss status of the work in progress, potential problems with scheduled work, changes in the estimated hours, and to coordinate up and coming tasks.

8.1 Materials

No software or hardware is included in this proposal.

8.2 Travel

All travel is billed at cost according to the U.S. General Services Administration (GSA) for hotel and per diem rates and the IRS standard mileage rate as of September 27, 2023.

9 Conclusion

I welcome any further discussion that may facilitate the refinement of this scope of work. Please contact me at (949) 769-6000 or alternatively on my cell phone at (949) 874-7649 with any questions.

Submitted by

Alex Coker, P.E.

Automation Architect



10Terms & Conditions

Terms and conditions are as per the following contract:

PROFESSIONAL SERVICES AGREEMENT
BETWEEN
CARLSBAD MUNICIPAL WATER DISTRICT
AND
PARTNERS IN CONTROL, INC., DBA ENTERPRISE AUTOMATION

Appendix A: Deliverables List

Client Deliverables

1. Project Schedule in Gantt format
2. Change Management Design Memorandum
3. Source Control Design Memorandum
4. Ignition HMI & Gateway Network Security Plan
5. Production Platform Requirements Specifications
6. Platform Implementation Task List & Schedule
7. Development & Test Environment Technical Memorandum
8. Platform configuration non-conformances list
9. Validated Production and Development Platforms
10. Supporting software installed and configured on development platform
11. Configured Ignition Gateways, EAM, and Edge components
12. Ignition Gateways, EAM, & Edge Factory Acceptance Test
13. Configured test bench PLC(s)
14. Configured test bench Edge Gateway(s)
15. Revised PLC Programming Standard
16. Revised Programming Tagging Standard
17. AOI Specification
18. Studio 5000 AOI export for each developed AOI
19. Studio 5000 configuration file with all developed AOIs
20. Logix Designer Help File for each developed AOI
21. PLC UDT Specification
22. Studio 5000 UDT export for each developed UDT
23. Studio 5000 configuration file with all developed UDTs
24. Revised HMI Programming Standard
25. Application map of screen hierarchy and relations
26. Wireframe layouts of screen/popup elements
27. Screen mock-ups of graphical design
28. Metadata Schema Specification
29. Ignition UDT and Tagging Structure Specification
30. Programmed and tested PLC and HMI standards
31. Factory Acceptance Test
32. Template I/O Lists
33. Template Functional Specifications
34. Template PLC programs
35. Instanced and validated PLC programs for each site
36. Alarm & Events Management Plan Technical Memorandum
37. Alarm and Notification System Technical Memorandum
38. Alarm Notification System Factory Acceptance Test
39. Reporting Specification
40. Reporting system
41. Post deploy support and modifications
42. Programmed and tested PLC and Ignition applications
43. System Training Manual

44. Operational Training Manual
45. Administrator Training Manual
46. Deployment procedures for each site template and one-off
47. Deployed Ignition application in production
48. 53x deployed site PLC programs
49. 53x deployed Ignition Edge Gateways
50. As-built system documentation

Internal Deliverables

1. Execution plans
2. Initial risk register
3. Completed test documentation
4. Completed test documentation
5. Configured metadata databases, integrated into Ignition
6. Configured Ignition tag structure, UDT types, and parameters
7. Instanced, per-site tags
8. Completed PLC and HMI Standards test documentation
9. Completed instanced PLC program test documentation
10. Configured Ignition database connections
11. Historical data collection set up
12. Configured Ignition common UI elements
13. Mobile display breakpoints defined
14. Developed level 1, 2, and 3 screens
15. Ignition Edge application template
16. Completed Alarm Notification System test documentation
17. Completed test documentation
18. Completed test documentation
19. Completed site deployment checklists



Appendix B: Detailed Cost Estimate

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Summary



#	Engineering Labor	In Office				Out of Office				Totals	
		Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
	Initiation & Meetings	149	245	19	5	4	4	4	4	434	\$103,297
	Workflow Setup	48	22	7	2	0	0	0	0	79	\$17,986
	SCADA Platform	430	146	64	51	4	4	4	4	703	\$160,485
	PLC Standards	186	81	29	12	2	2	0	2	314	\$71,730
	HMI Standards	488	166	70	31	6	6	0	4	771	\$174,769
	Standards Testing	164	109	27	0	0	0	0	0	300	\$68,928
	PLC Development	924	372	132	0	12	12	0	0	1452	\$327,648
	HMI Development	512	142	67	18	0	0	0	0	739	\$165,602
	Alarms & Reports	264	102	38	12	0	0	0	0	416	\$94,276
	SCADA Testing	448	322	77	0	0	0	0	0	847	\$195,244
	Training	148	44	22	2	24	0	0	0	240	\$53,470
	Commissioning	652	288	274	4	1328	464	0	0	3010	\$677,628
	As-Builts & Closeout	80	30	11	0	0	0	0	0	121	\$27,220
	Engineering Labor Totals	4493	2069	837	137	1380	492	4	14	9426	\$2,138,283

Expenses (excl. taxes)		Price
EXP Travel		\$41,308
Year 2 Escalation		\$22,452
Year 3 Escalation		\$19,245
Total Expenses		\$83,005
Grand Total		\$2,221,288

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Initiation & Meetings



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
010	Project Initiation Project setup accounting setup develop project schedule, resource loading		16							46	\$11,713
050	Execution planning develop initial detailed project task execution plans				2						
030	Internal kickoff meeting review project scope review design documentation purpose, schedule, team roles, expectations risk matrix and due dates	3	3	3	3						
040	Project Kickoff Prepare materials for kickoff (agenda, coordination) Project kickoff meeting with customer review scope, roles, expectations review schedule site inspection Notes compilation	1	1			4	4	4	4	20	\$4,896
995	Progress Meetings As-needed progress check-in meetings with client phone, web, in-person, etc.		80							80	\$20,160
995	EA Internal Team Check-in Meetings Team check-in meetings review project progress, ETOs, schedule, risks, etc.	144	144							288	\$66,528
Hours		149	245	19	5	4	4	4	4	434	
Price		\$31,290	\$61,740	\$4,940	\$1,355	\$840	\$1,008	\$1,040	\$1,084		\$103,297

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Workflow Setup



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
210	Change Management System [Task 101] Develop draft, submit for review Change management workflow Software tracking process Diagram of workflow System & software requirements Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (2x 1 hour) Compile and submit meeting minutes	16	4		1					39	\$8,755
		4	2								
		2	2								
		2	2								
		2	2								
150	Source Control System [Task 102] Develop draft, submit for review Source control workflow Software usage process Diagram of workflow System & software requirements Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (2x 1 hour) Compile and submit meeting minutes	12	2		1					33	\$7,411
		4	2								
		2	2								
		2	2								
		2	2								
990	Project management Coordination, project management, overhead, meetings			7						7	\$1,820
Hours		48	22	7	2	0	0	0	0	79	
Price		\$10,080	\$5,544	\$1,820	\$542	\$0	\$0	\$0	\$0		\$17,986

Client: Carlsbad Municipal Water District

Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

SCADA Platform

ENTERPRISE
AUTOMATION
A TETRA TECH COMPANY

Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
130	Ignition HMI & Gateway Network Security Plan [Task 104] Design documentation Develop draft, submit for review Ignition architecture, including EAM and Edge Cybersecurity requirements SSL certificate usage Identity management Application roles and security Audit logging and databases Software management workflow Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (3x 2 hours) Compile and submit meeting minutes	24	8		8					84	\$19,624
		6	2		2						
		3	3								
		6	6		4						
		3	3			2			2		
150	Production Platform Requirements Specification [Task 302] System Requirements Specifications Develop draft, submit for review Active Directory security and group policy User roles and permissions matrix Virtualization requirements (CPU, memory, storage) Infrastructure requirements (servers and networking) Firewall rules and data flows IP addressing scheme System architecture diagram and network layout Software Installation Matrix Licensing Requirements Specification Incorporate review comments, second draft submittal Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (3x 2 hours) Compile and submit meeting minutes	64	16		8					150	\$33,988
		16	4		2						
		4	2								
		3	3								
		6	6		4				2		
		3	3			2					

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

SCADA Platform



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
210	Development & Test Environment Design [Task 103] Technical Memorandum Develop draft, submit for review Test bench PLC hardware requirements Usage workflow for development system Development to production deployment process Ignition EAM usage System & software requirements Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (2x 2 hours) Compile and submit meeting minutes	24	4	4	4					57	\$12,985
150		4	2	2	1						
		2	2	2	2						
		4	4	4	2						
		2	2	2							
210	Platform Setup Support and Verification Procurement assistance and IT department coordination Verification of City IT configured infrastructure Test documentation Internal testing Submit non-conformances, retesting	16	4	4	2					46	\$10,286
		16	8								
210	Supporting Software Configuration Supporting Software Installation and Configuration Change tracking Source control PLC programming software MQTT Broker Setup, with Redundancy	16	4							50	\$10,958
		24	4		2						

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP



SCADA Platform

Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
210	Ignition Gateways and Edge Configuration [Task 401] Ignition Software Installation and Gateway Configuration Basic settings Security Redundancy Databases Audit and alarm logging EAM Configuration Development Environment Setup Edge Configuration Integrated Testing of Ignition, EAM, and Edge Configuration Test documentation Internal testing Fixes and retesting Factory Acceptance Test	56	16		8					216	\$48,276
		32	8		2						
		32	8		2						
		24	16								
		8	4								
220	Test Bench Setup Configure Test Bench PLCs Firmware Program download Connectivity setup Configure Test Bench Edge Gateways	16	2							36	\$7,728
		16	2								
990	Project management Coordination, project management, overhead, meetings			64						64	\$16,640
Hours		430	146	64	51	4	4	0	4	703	
Price		\$90,300	\$36,792	\$16,640	\$13,821	\$840	\$1,008	\$0	\$1,084		\$160,485

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

PLC Standards



Engineering Labor		In Office				Out of Office			Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Price
165	Revise PLC and Tagging Documents [Task 201] Revise Existing PLC and Tagging Standards Develop draft, submit for review Program organization Naming conventions Comments and descriptions Standard programs Tagging standard Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (2x 2 hours) Compile and submit meeting minutes	16	4		1					\$10,221
150		4	2							
		2	2		2					
		4	4		4					
		2	2		2					
165	AOI Library [Task 202] Technical Memorandum Develop draft, submit for review Input/output parameters Logic Alarms, permissives, totalizers Configuration workflow Incorporate review comments, final submittal AOI Development Create program to hold AOIs, simulation code Develop AOIs per site requirements Logix Designer Help Files Workshops Prepare and submit meeting agendas Workshops (3x 2 hours) Compile and submit meeting minutes	40	16		4					\$43,618
320		16	4							
		4	2							
		40	16							
320		16	2							
150		3	3		4	2	2		2	
		6	6							
		3	3							

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

PLC Standards



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
165	PLC User-Defined Data Type Library [Task 203] Technical Memorandum Develop draft, submit for review Data structures Tag naming and descriptions Incorporate review comments, final submittal UDT Development Develop UDTs per Technical Memorandum Workshops Prepare and submit meeting agendas Workshops (2x 2 hours) Compile and submit meeting minutes	12	4		1					46	\$10,351
320		2	1								
150		8	2								
		2	2								
		4	4								
		2	2								
990	Project management Coordination, project management, overhead, meetings			29						29	\$7,540
Hours		186	81	29	12	2	2	0	2	314	
Price		\$39,060	\$20,412	\$7,540	\$3,252	\$420	\$504	\$0	\$542		\$71,730

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

HMI Standards



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
165	Revise HMI Standards Document [Task 301] Technical Memorandum Review existing HMI Standards revise as needed develop application map Incorporate review comments, second draft submittal Incorporate review comments, final submittal Workshops	64	16		8					186	\$42,220
		16	4								
		8	2								
		6	6								
		12	12		4	6			4		
150	Prepare and submit meeting agendas Workshops (6x 2 hours) Compile and submit meeting minutes	6	6								
		6	6								
165	Develop Metadata Schemas Technical Memorandum Develop draft, submit for review Site schema Equipment schema Incorporate review comments, final submittal Workshops	24	8		2					124	\$27,834
		4	2								
		2	2								
		4	4		4						
		2	2								
305	Create Database Schema	24	8								
	Sites										
305	Equipment										
	Integrate and Import Tag Metadata	24	8								

HMI Standards

Engineering Labor		In Office				Out of Office			Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Price
165	Configure Ignition Tags, UDTs, and Parameters Technical Memorandum Develop draft, submit for review Incorporate review comments, final submittal	24	8		2					\$86,515
150	Workshops Prepare and submit meeting agendas Workshops (2x 2 hours)	4	2		4					
	Compile and submit meeting minutes Create Tag Hierarchy with Edge Integration	2	2							
305	Build Equipment-Level UDTs	2	2							
305	Implement UDT Indirect Parameters	32	8		1					
305	Configure OPC Tags for Equipment UDTs	88	16		2					
305	Instance Sites from UDTs	32	8		1					
305	Develop System and Client-Level Tags	40	16		1					
305		12	12		1					
305		24	8		1					
990	Project management Coordination, project management, overhead, meetings			70						\$18,200
Hours		488	166	70	31	6	6	0	4	771
Price		\$102,480	\$41,832	\$18,200	\$8,401	\$1,260	\$1,512	\$0	\$1,084	\$174,769

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Standards Testing



Engineering Labor		In Office				Out of Office			Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Price
305	Integrated PLC and HMI Standards Testing Integrated Testing of AOIs, UDT's, and Ignition Standards Test documentation Internal testing Fixes and retesting	24	4							\$61,908
		56	56							
		32	16							
		4	1							
305	Factory Acceptance Test Test documentation Witnessed acceptance testing Fixes and retesting	16	16							
		32	16							
990	Project management Coordination, project management, overhead, meetings			27						\$7,020

Hours	164	109	27	0	0	0	0	0	0	300
Price	\$34,440	\$27,468	\$7,020	\$0	\$0	\$0	\$0	\$0	\$0	\$68,928

Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
150	Functional Control Descriptions [Task 204]									653	\$145,992
	Workshops										
	Prepare and submit meeting agendas	20	20								
	Workshops (10x 2 hours)	20	20								
	Compile and submit meeting minutes	10	10				12				
160	Lift Station										
	Develop draft design, submit for review	56	24								
	I/O list with rack layout, tags, and descriptions										
	Summary of operation										
	Operator setpoints and commands										
160	Detailed logic descriptions										
	Sequences and state transitions										
	Interlocks and permissives										
	Alarms, limits, and deadbands										
	Totalizers and reporting data										
160	Incorporate review comments, final submittal	16	8								
	Pump Station										
	Develop draft design, submit for review	40	16								
	Incorporate review comments, final submittal	8	4								
	Reservoir										
160	Develop draft design, submit for review	24	8								
	Incorporate review comments, final submittal	6	2								
	Lake										
	Develop draft design, submit for review	24	8								
	Incorporate review comments, final submittal	6	2								
160	Pressure Reducing Station										
	Develop draft design, submit for review	16	4								
	Incorporate review comments, final submittal	4	1								
	Maerkle Hydroelectric										
	Develop draft design, submit for review	24	8								
160	Incorporate review comments, final submittal	6	2								
	Maerkle Chlorine										
	Develop draft design, submit for review	56	24								
	Incorporate review comments, final submittal	16	8								
	D Site										
160	Develop draft design, submit for review	24	8								
	Incorporate review comments, final submittal	6	2								
	Encina/CWRF Pump Station										
	Develop draft design, submit for review	40	16								
	Incorporate review comments, final submittal	8	4								

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

PLC Development



Engineering Labor		In Office				Out of Office			Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Price
310	Template PLC Program Development [Task 402] Lift Station Develop draft program, submit for review Program setup and hardware configuration I/O mapping and processing Equipment instance setup Process logic Alarms and totalizers Simulation code Incorporate review comments, final submittal	64	24							\$114,240
310	Pump Station Develop draft program, submit for review Incorporate review comments, final submittal	2	1							
310	Reservoir Develop draft program, submit for review Incorporate review comments, final submittal	48	16							
310	Lake Develop draft program, submit for review Incorporate review comments, final submittal	2	1							
310	Pressure Reducing Station Develop draft program, submit for review Incorporate review comments, final submittal	32	8							
310	MaerKle Hydroelectric Develop draft program, submit for review Incorporate review comments, final submittal	2	1							
310	MaerKle Chlorine Develop draft program, submit for review Incorporate review comments, final submittal	32	8							
310	D Site Develop draft program, submit for review Incorporate review comments, final submittal	2	1							
310	Encina/CWRF Pump Station Develop draft program, submit for review Incorporate review comments, final submittal	64	24							
310		2	1							
310		32	8							
310		2	1							
310		48	16							
310		2	1							

Client: Carlsbad Municipal Water District

Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP



PLC Development

Engineering Labor		In Office				Out of Office			Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Price
310	PLC Program Instantiation Create Program Instances from Templates Duplicate template Update communications Update tag names Remove optional features as necessary	70	28							\$33,096
720	Verify Created Instances Test documentation Internal testing Fixes and retesting	30	20							
990	Project management Coordination, project management, overhead, meetings			132						\$34,320
Hours		924	372	132	0	12	12	0	0	1452
Price		\$194,040	\$93,744	\$34,320	\$0	\$2,520	\$3,024	\$0	\$0	\$327,648

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

HMI Development



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
510	Historian Configuration [Task 403] Database Configuration Microsoft SQL Server Ignition database connection Historical Data Collection Setup	8	2							30	\$6,552
		16	4								
410	Ignition Global Setup Develop Common UI Elements Desktop and Mobile Styles Header and Footer Navigation Mobile Display Breakpoints	120	40		4					164	\$36,364
410	Ignition Screen Development Develop Level 1 Screens Overviews Trends Alarms Management/Administration Diagnostics Develop Level 2 Screens Site Details Develop Level 3 Screens Equipment Control Progress Review Workshops Develop Edge-Specific Configuration	144	16		4					478	\$105,266
410		120	32		4						
410		24	8		2						
150		24	24								
410		56	16		4						
990	Project management Coordination, project management, overhead, meetings			67						67	\$17,420
Hours		512	142	67	18	0	0	0	0	739	
Price		\$107,520	\$35,784	\$17,420	\$4,878	\$0	\$0	\$0	\$0		\$165,602

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Alarms & Reports



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
160	Alarm & Events Management Plan [Task 105] Technical Memorandum and Logic Diagrams Develop draft, submit for review Users and contact information Rosters and schedules Delivery channels Notification pipelines Alarm management and testing Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (2x 2 hours) Compile and submit meeting minutes	24	4		2					54	\$12,172
150		4	2								
		2	2								
		4	4		2						
		2	2								
460	Alarm Notification System Configuration [Task 405] Develop alarm notification system UDT alarm schema Contacts Rosters and schedules Delivery channels Notification pipelines Alarm management and testing Alarm Journal Internal testing of alarm notification Test documentation Internal testing Fixes and retesting Factory Acceptance Test	64	16		4					130	\$28,804
720		24	8								
790		8	6								

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Alarms & Reports



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
190	Reporting Specification Technical Memorandum Develop draft, submit for review Monthly Daily MaerKle Hydro Electric KWH & CFS Monthly Daily Reclaim Water Flow Totals Monthly Daily Potable Water Flow Totals Monthly Daily Corinthian Daily Flow Totals Monthly Daily Sewer Station Flow Totals Monthly Daily Sewer Equipment Runtime Totals Monthly Daily Potable Equipment Runtime Totals Monthly Daily Reclaim Equipment Runtime Totals Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (2x 2 hours) Compile and submit meeting minutes	16	4		2					46	\$10,492
150		4	2								
		2	2								
		4	4								
		2	2								
550	Reporting [Task 404] Develop Reports Monthly Daily MaerKle Hydro Electric KWH & CFS Monthly Daily Reclaim Water Flow Totals Monthly Daily Potable Water Flow Totals Monthly Daily Corinthian Daily Flow Totals Monthly Daily Sewer Station Flow Totals Monthly Daily Sewer Equipment Runtime Totals Monthly Daily Potable Equipment Runtime Totals Monthly Daily Reclaim Equipment Runtime Totals Internal testing of reports Test documentation Internal testing Fixes and retesting Post-deploy review and modifications	6	2							148	\$32,928
		6	2								
		6	2								
		6	2								
		6	2								
		6	2								
		6	2								
		6	2								
		32	24								
720											
550		24	4								
990	Project management Coordination, project management, overhead, meetings			38						38	\$9,880
Hours		264	102	38	12	0	0	0	0	416	
Price		\$55,440	\$25,704	\$9,880	\$3,252	\$0	\$0	\$0	\$0		\$94,276

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

SCADA Testing



Engineering Labor										Totals	
WBS	Description	In Office			Out of Office			Architect		Hours	Price
		Proj. Eng.	Lead Eng.	PM		Lead Eng.	PM	Proj. Eng.	Architect		
710 720 721 790	Integrated Testing and Acceptance Test									770	\$175,224
	Integrated Testing of Site PLC Programs and Screens										
	Test documentation	40	20								
	Internal testing	180	180								
	Fixes and retesting	120	60								
	Factory Acceptance Test	8	2								
	Test documentation	40	40								
	Witnessed acceptance testing	60	20								
990	Project management			77						77	\$20,020
	Coordination, project management, overhead, meetings										
Hours		448	322	77	0	0	0	0	0	847	
Price		\$94,080	\$81,144	\$20,020	\$0	\$0	\$0	\$0	\$0		\$195,244

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Training



Engineering Labor		In Office				Out of Office				Totals	
WBS Description		Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
870 System Training Develop draft training manual, submit for review Navigation Login and Security Standard Graphics Alarm System Alarm Notification Trending and Reports Incorporate review comments, final submittal Set up training laptops for class Training class (1x 4 hours)		24		8						54	\$11,844
			4	2							
		8		2							
		2				4					
870 Operational Training Develop draft training manual, submit for review Overview Screens Process Screens Equipment and Site Popups Control Operation for Each Site Incorporate review comments, final submittal Set up training laptops for class Training class (8x 2 hours)		48		16						118	\$25,704
		8		4							
		8		2		16					
870 Administrator Training Develop draft training manual, submit for review System Components Network and Cyber Security Architecture Servers and Virtual Machines Automation Hardware and Software Basic Troubleshooting and Maintenance Incorporate review comments, final submittal Training class (1x 4 hours)		24		8						46	\$10,202
		4		2							
		2				4					
990 Project management Coordination, project management, overhead, meetings				22						22	\$5,720
Hours		148	44	22	2	24	0	0	0	240	
Price		\$31,080	\$11,088	\$5,720	\$542	\$5,040	\$0	\$0	\$0	\$53,470	

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Commissioning



Engineering Labor		In Office				Out of Office			Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Price
810	Deployment Planning Create Deployment Checklists Develop draft, submit for review Deploy/validate configuration to production platform Site deployment checklists Lift Station Pump Station Reservoir Lake Pressure Reducing Station Maerkle Hydroelectric Maerkle Chlorine D Site Encina/CWRF Pump Station Incorporate review comments, final submittal Workshops Prepare and submit meeting agendas Workshops (8x 2 hours) Compile and submit meeting minutes	64	32		4					\$48,292
150		12	4			16	16			
810	Ignition Configuration Deployment to Production Platform Migrate Configuration from Development to Production Verify Client Accessibility and General Checkout	4	4			16	16			\$9,240

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

Commissioning



Engineering Labor		In Office				Out of Office				Totals	
WBS	Description	Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
840	Site Commissioning										
	Perform Startup Activities	8		2		24	8			2484	\$548,856
	PLC I/O checkout										
	Equipment testing										
	Functional testing										
	Site acceptance test										
	Documentation deliverables										
840	Remaining x53 Sites	424		106		1272	424				
810	Per-Site Coordination Meetings	2		2							
810	Construction meeting attendance	106		106							
810	Remaining x53 Sites										
990	Project management									274	\$71,240
	Coordination, project management, overhead, meetings			274							
Hours		652	288	274	4	1328	464	0	0	3010	
Price		\$136,920	\$72,576	\$71,240	\$1,084	\$278,880	\$116,928	\$0	\$0		\$677,628

Jan. 9, 2024

Item #7

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Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP

**ENTERPRISE
AUTOMATION**
A TETRA TECH COMPANY

As-Builts & Closeout

Engineering Labor		In Office				Out of Office				Totals	
		Proj. Eng.	Lead Eng.	PM	Architect	Proj. Eng.	Lead Eng.	PM	Architect	Hours	Price
910	Documentation As-Built Updates [Tasks 106, 205, 305] Prepare as-builts for all documentation Engineering workflow Platform architecture PLC standards SCADA standards Site functional specifications Alarm notification Reports Update Standards Guidebook Develop 60% update, submit for review Incorporate comments into 90% update, submit for review Incorporate comments into 100% update, final submittal	64	24							110	\$24,360
990	Project management Coordination, project management, overhead, meetings			11						11	\$2,860
Hours		80	30	11	0	0	0	0	0	121	
Price		\$16,800	\$7,560	\$2,860	\$0	\$0	\$0	\$0	\$0		\$27,220

Client: Carlsbad Municipal Water District
Project: SCADA Replacement Project

Number: EA23CWD037 Date: 9/25/2023 Revision: 4.0.0 Author: AC Reviewed By: AS/MM/LS/AE/SP



Travel

No.	Description	Rate Details	Qty.	Unit Cost	Ext. Cost	Price
	Workshop Travel	mileage, meals, expenses				\$9,144
	Site Commissioning Travel	mileage, meals, accommodations, expenses				\$32,164
Price						\$41,308



Appendix C: Rate Sheet

CMWD Engineering Rates

Enterprise Automation Engineering Rates

Rate Classification¹	EA/TIGA Rates
Admin	\$103.00 / hr.
Engineering Intern	\$103.00 / hr.
I&C Technician 1	\$140.00 / hr.
I&C Technician 2	\$180.00 / hr.
Electrical Engineer 2	\$180.00 / hr.
Electrical Engineer 3	\$215.00 / hr.
CAD	\$155.00 / hr.
Systems Engineer 1	\$160.00 / hr.
Systems Engineer 2	\$180.00 / hr.
Systems Engineer Lead	\$198.00 / hr.
Automation Project Engineer 1	\$210.00 / hr.
Automation Project Engineer 2	\$255.00 / hr.
Project Technical Lead	\$265.00 / hr.
Project Manager 1	\$215.00 / hr.
Project Manager 2	\$260.00 / hr.
Architect	\$280.00 / hr.
Principal	\$330.00 / hr.

RoviSys Engineering Rates

Rate Classification¹	RoviSys Rates²
CAD Technician	\$135.00 / hr.
Engineer / Developer / Analyst	\$180.00 / hr.
Lead (Engineer / Developer)	\$205.00/ hr.
Senior (Engineer / Developer)	\$240.00 / hr.
IT Specialist	\$240.00 / hr.
Project Manager 1	\$250.00 / hr.

¹ Rate classifications charged are based on a project role/responsibility basis, not title, and could be adjusted during a project's duration if meaningful staff changes occur with prior notification.

² RoviSys rates include 5% markup

General

Item	Description
Travel time	Charged at engineering rates
Vehicle mileage	As per the published IRS mileage rate (if applicable)
Travel expenses	At cost (if applicable)
Meals and incidentals	GSA established per diem rate (if applicable)
Escalation	Rates will escalate every 12 months following contract initiation, at 3% per year

**Rates effective until January 1, 2025 of the Carlsbad Municipal Water District Systems
Water and Wastewater SCADA Replacement Project**

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, AUTHORIZING THE USE OF THE SEWER REPLACEMENT FUND FOR THE CITY'S PORTION OF A PROFESSIONAL SERVICES AGREEMENT WITH PARTNERS IN CONTROL, INC. DOING BUSINESS AS ENTERPRISE AUTOMATION, FOR SYSTEM INTEGRATOR SERVICES FOR PHASE 1 OF THE PROJECT TO REPLACE THE WATER AND WASTEWATER SUPERVISORY CONTROL AND DATA ACQUISITION SYSTEMS

WHEREAS, in 2019, the City Council of the City of Carlsbad, California approved the Supervisory Control and Data Acquisition, or SCADA, Master Plan and determined that the water and wastewater SCADA systems need to be replaced; and

WHEREAS, the Carlsbad Municipal Water District, or CMWD, issued a Request for Proposals, or RFP, for system integrator services to complete the programming portion of the SCADA replacement project as Phase 1; and

WHEREAS, staff received a total of three proposals in response to the RFP and have conducted a qualifications-based evaluation of the three proposals in accordance with Carlsbad Municipal Code Section 3.28.050(C) and have identified Partners in Control, Inc. DBA Enterprise Automation as best meeting the needs identified; and

WHEREAS, the CMWD Board authorized and directed the President to execute an agreement with Partners in Control, Inc. DBA Enterprise Automation to provide system integrator services for the water and wastewater SCADA replacement project in an amount not to exceed \$2,221,288; and

WHEREAS, the city's pro rata share of costs for the wastewater portion of the system integrator services for the water and wastewater SCADA replacement project is \$377,619; and

WHEREAS, sufficient funding is available in Capital Improvement Program Project No. 5542-1, sewer replacement fund.

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

1. That the above recitations are true and correct.
2. That the city's sewer replacement fund will pay \$377,619 of the total contract of \$2,221,288 awarded to Partners in Control, Inc. DBA Enterprise Automation for system integrator services for the portion of the project related to the wastewater Supervisory Control and Data Acquisition system replacement.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)



CITY COUNCIL
Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Nicole Piano-Jones, Senior Program Manager
nicole.pianojones@carlsbadca.gov, 442-339-2191

Subject: Acquisition and Resale of Eight Units as Part of the City's Affordable Housing Resale Program

Districts: 1 and 3

Recommended Action

Adopt a resolution authorizing the City Manager to execute all required documents to complete the purchase and resale of eight at-risk affordable housing units as part of the City's Affordable Housing Resale Program and authorizing the Deputy City Manager, Administrative Services to appropriate \$2,056,755 from the Housing Trust Fund for related costs.

Executive Summary

As part of the city's Affordable Housing Resale Program, the city purchases existing affordable housing units at risk of losing their affordability restrictions and then resells them to another eligible lower-income buyer. This extends the length of the time the unit is affordable and maintains and enhances the existing affordable housing stock in Carlsbad. Staff are recommending that the City Council approve the city's purchase of eight units that are being sold by existing owners, for a total of \$2,242,057.

The funding for these purchases includes up to \$2,056,755 from the Housing Trust Fund and \$555,665 from the Community Development Block Grant Special Revenue Fund. The CDBG funding is already appropriated and approved in the Community Development Block Grant Annual Action Plan.

The city will own the properties temporarily, with the intent to resell them to eligible lower-income buyers in accordance with the City Council-adopted Affordable Housing Resale Program Guidelines.

The revenue generated from the sale of the properties will be deposited into the Community Development Block Grant and Housing Trust funds as program income.

Council Policy Statement No. 73 requires the City Council's approval to carry out the purchase and resale of the at-risk affordable housing units.

Explanation & Analysis

Background

The city adopted an inclusionary housing ordinance in 1993 that requires all residential developments greater than six units to set aside 15% of the total number of units in a project as affordable to low-income households. Residential developers have the option to offer rental or ownership units to satisfy the inclusionary requirements. As a condition of the inclusionary housing program, homebuyers of these affordable properties enter into an agreement with the city that requires them to notify the city when they intend to sell their homes and allow the city the option to purchase them at restricted prices.

The City Council approved Council Policy Statement No. 73 – City Option to Purchase Resale Affordable Housing (Exhibit 2) and the Affordable Housing Resale Program Guidelines (Exhibit 3) in 2020. The City of Carlsbad's Affordable Housing Resale Program is designed to help qualified lower income households purchase city-owned residential units at an affordable price.

Affordable Housing Resale Program Guidelines

The Affordable Housing Resale Program Guidelines describe the eligibility requirements, marketing and application process. The city conducted a robust marketing effort to promote the availability and sale of the city-owned residential units and received more than 2,000 applications.

Eligibility criteria include a requirement that applicants reside in San Diego County and that their total household income is limited to no more than 80% of the county's area median income. The qualified applicants were selected from priority categories and in the order that their complete applications were accepted, consistent with the guidelines. The affordable sales prices are determined based on a formula identified in the Affordable Housing Resale Program Guidelines.

Previous purchases

To date, the city has acquired 16 units. The city has resold 13 units to eligible lower-income households, with three additional units in the process of being resold. The purchase of these eight additional units will bring the total to 24 at-risk units that the city has acquired since 2020.

Staff are recommending the city purchase the following units, which were set aside for low-income buyers by the projects' developers to fulfill their obligations under the city's inclusionary housing ordinance.

Properties to be purchased

579 Laguna Drive

- One of three units in the 21-unit Laguna Point complex that were sold to low-income homebuyers at a restricted affordable price.
- On the southeast corner of Laguna Drive and State Street.
- This would be the city's third purchase in this project.

2671 Leighton Circle, 2683 Leighton Circle and 2670 Alameda Circle

- These are three of the 100 affordable condominiums in Mulberry, which was built by the developer of Bressi Ranch for low-income homebuyers.
- The project is south of Gateway Road and east of Village Green Drive
- These would be the city's 13th, 14th and 15th purchases in this project.

2778 Carlsbad Blvd., No. 202

- One of the 11 units sold to low-income homebuyers at a restricted affordable price in the 65-unit Village by the Sea project
- Along Carlsbad Boulevard between Beech Avenue and Christensen Way.
- Would be the city's first purchase in this project.

2362 Hosp Way, No. 304

- One of two units at the Grove Condominiums project that the developer of another project bought to be resold to qualified low-income buyers at a restricted affordable price to meet the city's inclusionary housing requirements.
- The 100-unit Grove Condominiums complex is located off Hosp Way, just west of El Camino Real.
- Would be the city's first purchase in this project.

7001 and 7016 Forsters Tern Drive

- One of the 24 units in the Rose Bay project, which were all sold to low-income homebuyers at a restricted affordable price
- Off Sora Way, west of Crystalline Drive, just south of Poinsettia Lane.
- Would be the city's fourth purchase in this project.

Once eligible buyers are vetted and affordable resale prices are determined, each unit will be sold with a second deed of trust recorded against the property to ensure it is resold at an affordable price so the city can continue provide this benefit to future low-income buyers.

Staff recommend the City Council authorize the City Manager to execute all required documents to complete the purchase and resale of all eight at-risk affordable housing units identified as part of the Affordable Housing Resale Program.

Fiscal Analysis

There is no impact to the General Fund from these purchases. There are sufficient funds available in the Community Development Block Grant Special Revenue Fund and the Housing Trust Fund to cover the costs for purchase and resale including refurbishment, related closing costs and future loss on sale of property. The net proceeds from the resale of the unit will be returned to the respective special revenue funds.

The restricted price for the city to buy the affordable units is based on the change in area median income levels during the seller's period of ownership.

The restricted purchase price for each property and the proposed funding source are shown in the table below:

Address	District	Description	Price	Funding Source
579 Laguna Drive	1	1 bed/1 bath	\$232,215	CDBG
2671 Leighton Circle	3	2 bed/2 bath	\$276,484	CDBG
2778 Carlsbad Blvd., No. 202	1	2 bed/2 bath	\$291,567	Housing Trust Fund
2362 Hosp Way, No. 334	1	1 bed/1 bath	\$248,400	Housing Trust Fund
7001 Forsters Tern Drive	3	4 bed/3 bath	\$372,307	Housing Trust Fund
7016 Forsters Tern Drive	3	4 bed/3 bath	\$400,800	Housing Trust Fund
2683 Leighton Circle	3	2 bed/1 bath	\$276,484	Housing Trust Fund
2670 Alameda Circle	3	3 bed/1 bath	*\$325,800	Housing Trust Fund
Total:			\$2,424,057	

* This property is in foreclosure, and the estimated total cost to obtain it is estimated to be not more than the maximum affordable sales price.

The costs for purchase and resale, which include brief city ownership, refurbishment, and related closing costs, are estimated to be \$2,612,420. There is sufficient appropriation in the Community Development Block Grant of \$555,665. The Housing Trust Fund will require an additional appropriation of \$2,056,755 for the purchase costs related to refurbishing and preparing the unit for resale. The costs will be partially offset by future resale of the properties.

The resale prices are based on a maximum affordable price formula and are generally less than the city purchase price.

The city also receives a 6% transaction fee for the purchase of each unit because the city is acting as the real estate agent for these transactions. This helps cover the cost of the real estate professional the city has contracted with to sell the affordable units the city will have purchased.

Next Steps

After review and approval of the City Attorney, the City Manager or designee will execute all required documents to complete the purchase and resale of the units, consistent with the Affordable Housing Resale Program Guidelines.

Environmental Evaluation

This action does not constitute a project within the meaning of California Environmental Quality Act under Public Resources Code section 21065 in that has no potential to cause either a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment and therefore does not require environmental review.

Exhibits

1. City Council resolution
2. Council Policy No. 73
3. Affordable Housing Resale Program guidelines

RESOLUTION NO.

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, AUTHORIZING THE CITY MANAGER TO EXECUTE ALL REQUIRED DOCUMENTS TO COMPLETE THE PURCHASE AND RESALE OF EIGHT AT-RISK AFFORDABLE HOUSING UNITS AS PART OF THE CITY'S AFFORDABLE HOUSING RESALE PROGRAM AND AUTHORIZING THE DEPUTY CITY MANAGER, ADMINISTRATIVE SERVICES TO APPROPRIATE \$2,056,755 FROM THE HOUSING TRUST FUND FOR RELATED COSTS

WHEREAS, the City Council of the City of Carlsbad, California has determined that it desires to purchase and resell at-risk affordable housing units to eligible lower income buyers at an affordable price to implement the city's affordable housing goals and policies; and

WHEREAS, on Dec. 8, 2020, the City Council approved Council Policy Statement No. 73 – City Option to Purchase Resale Affordable Housing and the Affordable Housing Resale Program Guidelines by Resolution No. 2020-234; and

WHEREAS, the property owners of seven at-risk affordable housing units provided notice of their intent to sell or transfer ownership of the restricted affordable housing units; and

WHEREAS, the owner of one at-risk affordable housing unit is in default and city is pursuing options to cure and acquire the unit to be resold to another low-income homebuyer at an affordable sales price; and

WHEREAS, the purchase of the units enables the city to extend the affordability of the existing units, and to resell them to another eligible lower-income buyer in accordance with the City of Carlsbad Affordable Housing Resale Program; and

WHEREAS, City Council Policy No. 73 authorizes the City Manager or designee to exercise the city's option to purchase existing at-risk affordable housing units, subject to City Council appropriation of funds and acceptance of the grant deed; and

WHEREAS, the purchases are consistent with City Council Policy No. 73, the Affordable Housing Program Guidelines, and consistent with City Council Policy 90, Administration of the Housing Trust Fund,

WHEREAS, Community Development Block Grant funds are available to fund the purchases, the acquisitions are consistent with FY 2020-2025 Consolidated Plan priorities and are approved activities in the FY 2023-24 and FY 2022-23 CDBG Annual Action Plans; and

WHEREAS, the revenue generated from the sale of the properties will be deposited into the Community Development Block Grant fund and Housing Trust Fund respectively as program income, with the sale proceeds being available to create more affordable housing opportunities.

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

- 1. That the above recitations are true and correct.
- 2. That the City Manager, or designee, is authorized to execute all required documents for the purchases and make all future decisions and actions necessary to implement the resale and disposition of eight at-risk affordable housing units in the City of Carlsbad identified in Attachment A, in compliance with Council Policy No. 90, City Council Policy No. 73, and the Affordable Housing Resale Program Guidelines, and to do so in full compliance with the terms and conditions and to the satisfaction of the City Attorney.
- 3. That the Deputy City Manager, Administrative Services, is authorized to appropriate \$2,056,755 from the Housing Trust Fund for the property purchase of at-risk affordable units authorized and for costs related to refurbishing and preparing the units for resale identified in Attachment A.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the __ day of _____, 2024, by the following vote, to wit:

AYES:
NAYS:
ABSTAIN:
ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

Property no.	Location	APN	Development	Source of Funding
17	Laguna Drive	203-101-37-14	Laguna Pointe	CDBG
18	Leighton Circle	213-190-05-22	Mulberry	CDBG
19	Carlsbad Boulevard	203-172-25-02	Village by the Sea	Housing Trust Fund
20	Hosp Way	167-250-42-58	Hosp Grove	Housing Trust Fund
21	Forsters Tern Drive	214-620-14-11	Rose Bay	Housing Trust Fund
22	Forsters Tern Drive	214-620-14-21	Rose Bay	Housing Trust Fund
23	Leighton Circle	213-190-05-28	Mulberry	Housing Trust Fund
24	Alameda Circle	213-190-04-21	Mulberry	Housing Trust Fund



Policy No.	73
Date Issued:	12-08-2020
Effective Date:	12-08-2020
Resolution No.	2020-234
Cancellation Date:	N/A
Supersedes No.	73, issued 1/22/08

Council Policy Statement

Category: AFFORDABLE HOUSING
Specific Subject: City Option to Purchase Resale Affordable Housing

PURPOSE:

To provide procedural guidelines for staff when exercising the city's option to purchase restricted affordable housing ownership units that were created under the Inclusionary Housing Program. The city's primary interest in exercising its option to purchase affordable units is to preserve, extend and enhance affordability covenants to subsequent lower-income purchasers and to provide additional housing opportunity to underserved populations. The policy will establish the authority, selection criteria, and resale requirements for the identification, acquisition and disposition of these affordable units.

BACKGROUND:

The city's Inclusionary Housing Ordinance requires developers of residential projects with more than six units to provide fifteen percent of the homes to lower income households at an affordable price. Developers may satisfy the ordinance requirements by providing rental or for sale (ownership) units.

Ownership units produced under the Inclusionary Housing Program have affordability restrictions for 30 years. Under the initial requirements of the Inclusionary Housing Program, low-income homebuyers were required to execute resale agreements that allowed them to sell their homes at market rate to a non-low-income homebuyer if they repaid the city any outstanding loan amounts and paid the city a share of the equity from the sale. This initial policy resulted in the loss of many of the for-sale affordable units in the city. To more effectively implement inclusionary housing requirements (CMC 21.85.040(E)), the policy was changed to require a restricted unit to be sold to another low-income household during the first 15 years of the 30-year affordability term. In year 16 and later, the home could be sold to a non-low-income household with the repayment of the city subsidy loan with a share of equity (also referred to as contingent interest).

The revised policy also required that the city would be given an option, or first right of refusal, to purchase the affordable unit at a restricted price upon notice of intent to sell from the owner. The city could also assign its option to a "city-designated purchaser", defined as another public agency, a nonprofit corporation, or an eligible low-income purchaser. The restricted price option to purchase or assign is a requirement for participation in the homeownership program and applies throughout the entire 30-year term of the loan.

For the restricted affordable housing ownership units, if the city declines its option to purchase the unit or to assign the option to a city-designated purchaser, the owner is required to resell the

affordable home to another low-income household during the first 15 years of ownership at a restricted affordable price established by the city. After the initial 15 years, and if the city declines to exercise its option to purchase or to assign its option to a city-designated purchaser, the resale agreement permits the owner to sell the unit at market value to a non-low-income buyer and the city recaptures its subsidy together with shared equity (contingent interest) up through the 30th year of the resale agreement. The revenue from the loan payoff and shared equity is deposited into the city's Housing Trust Fund to create additional opportunities for affordable housing within the city.

POLICY:

By adopting this policy, the City Council grants authority to the City Manager, or designee, to accept or decline the option to purchase a restricted affordable housing ownership unit at a restricted low-income price during the full term of the resale agreement. This policy shall apply to all units restricted under a *Resale Restriction Agreement and Option to Purchase* in order for a housing development to comply with the requirements of the city's Inclusionary Housing Program. The decision to accept or decline the option to purchase a restricted affordable housing ownership unit will be guided by the following principles:

1. The unit would be at-risk of conversion to market rate if the city declines its option to purchase it; or
2. The public interest is served well through purchase of the unit by the city and resale to a qualified lower-income household; or
3. An underserved population will benefit greater from the city's purchase and resale of the unit; or
4. An affordable housing opportunity will be enhanced through the city's purchase and resale of the unit; and
5. Special funding (such as CDBG, HOME, Successor Housing Agency funds) is available and/or is required to be expended in a timely manner and the city's purchase of the unit is a qualified expenditure of these funds; or
6. When special funding is unavailable, sufficient Housing Trust Fund dollars are available to purchase the unit.

The City Manager, or designee, will consider options to purchase as written notices of intent to sell from restricted affordable housing ownership units are received. If the city receives notices of intent to sell from multiple owners at a given time, the City Manager, or designee, may rank order them based on the principles above. For example, an affordable unit that is at-risk of conversion to market rate (i.e., can be sold to a market rate purchaser after 15 years) will be prioritized for acquisition over a unit that is not at-risk (i.e., must be sold to a low-income buyer). Other factors, such as purchase price, amount of available funding, size, location and condition of the unit may be taken into account when rank ordering multiple options to purchase units.

Upon a decision by the City Manager, or designee, to exercise the option to purchase a restricted affordable housing ownership unit, the City Manager, or designee, will proceed accordingly to complete the purchase transaction and present it to the City Council for consideration and final action, accepting the Grant Deed for the property.

Upon approval of the City Council of the acquisition and completion of the purchase transaction, the restricted affordable housing ownership unit will be resold by the city according to the *Affordable Housing Resale Program Guidelines* recommended for approval by the Housing Commission and approved by the City Council, and which may be amended from time to time to update policies, process and/or resale priorities.

As an alternative to accepting the option to purchase the restricted affordable housing ownership unit, the City Manager, or designee, is authorized to assign the city's option to an eligible low-income purchaser. This alternative is appropriate when: a) there is insufficient funding available or there are higher priority uses for the available funding; and b) the unit would be at-risk of conversion to market rate if the city declines its option to purchase it. In such a case the City Manager, or designee, will assign the city's purchase option to an eligible purchaser drawn from a waiting list maintained in accordance with the *Affordable Housing Resale Program Guidelines*.

Assignment of the city's purchase option to another public agency, nonprofit corporation, or an eligible purchaser not on the waiting list will require City Council approval.

If the city is unable to accept or assign its option to a city-designated purchaser, then the City Manager, or designee, is authorized to decline the option and allow the restricted affordable housing ownership unit to be sold according to the terms of the resale agreement. The City Manager's, or designee's, decision to decline the option to purchase will be valid for no more than 180 days. If the unit owner has not completed the sale of their home within this time frame, the unit owner will be required to file another notice of intent to sell and grant the city another opportunity to exercise or assign its option to purchase the unit at an affordable price.

All sales of city-owned restricted affordable housing ownership units require City Council approval.



CITY OF CARLSBAD AFFORDABLE HOUSING RESALE PROGRAM GUIDELINES

1. PROGRAM BACKGROUND

In 2018, the Carlsbad City Council authorized staff to exercise the city's option to purchase restricted affordable housing ownership units when the original lower-income buyer provided notice of intent to sell the unit during the 30-year regulatory/loan term. These units were originally constructed by a private residential developer in Carlsbad to satisfy the requirements of the city's Inclusionary Housing Ordinance and initially sold to a qualified lower-income buyer at an affordable restricted price. Because the units are substantially subsidized to a below market price affordable to lower-income households, the city holds a "silent" second loan on the property that equals the value of the price subsidy (the difference between the fair market value of the unit and the restricted price for a lower income household). As part of the loan agreement between the city and the homeowner, the city has an option to purchase the unit at the time they are made available for sale by the homeowner; this option may be exercised at any time of sale during the 30-year term of the loan and the city pays the restricted price for the unit, calculated at the time of sale.

The City Council has subsequently approved use of federal Community Development Block Grant (CDBG) funds to purchase these units with the intent of preserving and extending the long-term affordability of the units. Because federal and potentially local housing funds have and will be used to purchase these units, the city intends to enhance the public benefit of the program through these resale guidelines by providing affordable homeownership opportunities to lower-income households and potentially providing a larger secondary loan if determined to be needed by the city to allow for the purchase by a qualifying buyer who meets the city's priorities.

2. PROGRAM OVERVIEW

The City of Carlsbad Affordable Housing Resale Program is a homeownership program specifically designed to assist qualified lower-income households to purchase a city-owned residential property at an affordable price; these affordable units (under city ownership) were purchased from the original low-income homeowner at the time the owner decided to sell the unit and provided required notice to the city of the owner's intent to sell the unit. The price the qualified buyer will pay for the unit will be set by the city to ensure that total housing costs for the qualified buyer will not exceed 30 percent of the gross household income of the buyer. Pricing will be based on incomes ranging from 50 to 80 percent of the San Diego Area Median Income (AMI). The difference between the fair market value of the property at time of sale to the qualified buyer and the actual price paid by the qualified buyer will continue to be

structured as a secondary loan documented in a promissory note executed by the new homeowner and with the city as the beneficiary. The loan will become immediately due and payable to the City of Carlsbad if the homeowner fails to comply with the terms of the loan and the requirements set forth within these resale program guidelines. The unit may be sold by the new owner but may only be sold to an eligible buyer at a price that is affordable to the designated income level set forth within the 30-year loan agreement. The city will retain an option to repurchase the unit again at a restricted price throughout the term of the agreement when the owner decides to sell at a later date.

3. PROGRAM REQUIREMENTS AND BUYER ELIGIBILITY

The city has established basic threshold eligibility criteria for participation in this affordable housing homebuyer program.

- A. The buyer must currently be living in San Diego County.
- B. The buyer has not purchased a unit under any other First-Time Homebuyer or Affordable For-Sale Housing Program administered by the City of Carlsbad in the past seven years.
- C. The buyer's income may not exceed the maximum income limit for the resale program which shall be 80 percent of the San Diego County Area Median Income (AMI) as established by the US Department of Housing & Urban Development and as published by the State Department of Housing and Community Development and in effect at the time of the buyer's application, adjusted for household size.
- D. The buyer must have a minimum income which allows for the total of all housing costs to not exceed 30 percent of the total gross household income for the buyer. The minimum income shall be determined on a case-by-case basis taking into consideration the size and market value of the unit, the homeowner association fees (if any) and other related housing costs (including a utility allowance) at the time of application to purchase one of the units.
- E. At time of application for a particular unit, the buyer's household size shall meet the following minimum and maximum household size:

Unit Size	Household Size	
	Minimum	Maximum
1 bedroom	1	3
2 bedrooms	2	5
3 bedrooms	3	7
4 bedrooms	4	9

This requirement is intended to promote efficient use of available affordable housing and to prevent overcrowding at the time of sale; however, this does not limit future growth in the household size after the purchase. The buyer must execute legal documents that prohibit the unit or any portion thereof from being used as a short or long-term rental, and require the owner to use the unit as their primary residence for no less than 10 months out of each calendar year.

- F. Co-borrowers or co-signers who will not occupy the property as their primary residence are not permitted. A non-borrowing spouse is considered a co-borrower if they will occupy the property, even if they will not be on the loan for the first mortgage. Student dependents who live outside San Diego County at or near their college will not be counted as a household member.
- G. For the purpose of determining household size, any person claimed as a household member must have lived with the borrower for a minimum of twelve consecutive months immediately prior to purchase and must provide evidence they will live in the subject property after purchase. In addition, any non-borrowing person listed as having no income on the application must be indicated as a dependent on the applicant's tax return for the previous year to be considered a household member.

Appendix A provides a quick review summary of eligibility requirements, documentation requirements and clarifications of the standards.

4. NOTIFICATION OF AFFORDABLE UNIT FOR SALE BY THE CITY

In an effort to be fair and ensure those that meet the priority criteria set forth by the city have an opportunity to purchase one of the city-owned affordable units, the city will open an application period when there are units available for purchase. The application period will remain open for a period of 60 days, or longer if needed to receive enough qualified applications.

- A. Outreach Strategies
 - The city will utilize print media and electronic media to inform the public of affordable for-sale housing opportunities.
 - The city will target outreach to minority and special needs populations that may not otherwise have the opportunity to access affordable housing opportunities.
 - The city will communicate the status of affordable housing availability to a variety of agencies including social service agencies,

nonprofit agencies, and special interest groups in the community, advising them of eligibility factors and guidelines so that they can make appropriate referrals.

B. Public Noticing and Application Period

- The city will provide notice in local newspapers and the city website when affordable housing units will be offered for sale. The notices will announce when the application period will open and provide information on how to apply to purchase an affordable unit. Notices will be sent 15 days prior to the opening date of the application period.
- Applications for the purchase of an affordable unit must be filed with the City of Carlsbad, Housing Services Division by the date and time specified in the public notice. Applications will be date and time stamped in the order in which they are received.

C. Marketing.

- Informational materials for applicants will include a general description such as the locations and number of affordable units, number of bedrooms, number of parking/garage spaces per unit, amenities, pricing, etc.
- Marketing materials will include photos of the exterior and interiors of available units.

5. APPLICATION PROCESS

- A. Once the application period is opened by the city, an interested buyer will be able to download the application from the city's website (www.carlsbadca.gov/housing), complete it, provide the required back-up documentation and then return the original, signed application and supporting documents to:

City of Carlsbad
1200 Carlsbad Village Drive, Carlsbad, CA 92008
Attn: Homebuyer Program, Housing Services.

- Application forms will be mailed to interested buyers upon request.
- B. The potential buyer shall be required to complete both a program and uniform residential loan application to purchase the unit and must provide all pertinent documentation requested by the City of Carlsbad to determine eligibility as well as to determine sorting priority (see Section 6 below). Applications will only be accepted if all documentation is provided at the time the application is submitted to the city.

Incomplete applications will be returned to the potential buyer with a list of required documentation to be submitted to the city; applications may not be resubmitted until all required documentation is available and included with the completed application.

Community Development

Housing Services 1200 Carlsbad Village Drive | Carlsbad, CA 92008 | 760-434-2810 t

Please note that all applications must be signed and dated and may be noted on credit reports as an application for a loan.

- C. Submission of an incomplete application will be returned to the applicant, and the application will not be considered for the purchase of an existing unit until it is accepted as complete. A resubmitted application will be date and time stamped when it is received. If the resubmitted application is accepted as complete, the resubmittal date and time will be used for sorting as described in Section 6 below. It is important to review the application closely and ensure that the application is complete, signed and dated, and that all pertinent documents are included upon initial submission.
- D. Persons with disabilities are entitled to request a reasonable accommodation in rules, policies, practices, or services, or to request a reasonable modification in the application process and purchasing process, when such accommodations or modifications may be necessary to afford persons with disabilities an equal opportunity to housing.

6. APPLICATION SORTING

At the conclusion of the application period, based on the following criteria, all verified complete applications will be placed in one of three eligibility lists, and in the order that applications were accepted as complete:

List A	List B	List C
Applicant household has BOTH Gross annual household income that is 50 percent of Area Median Income or less, adjusted for household size AND Current housing cost burden of 50 percent of gross household income or greater	Applicant household has EITHER Gross annual household income that is 50 percent of Area Median Income or less, adjusted for household size OR Current housing cost burden of 50 percent of gross household income or greater	All other eligible applicants

Applicants will be selected first from List A in the order in which applications were accepted as complete. If units are still available after selection of applicants from List A has been completed, then applicants from List B will be selected in the order in which applications were accepted as complete. If units are still available after selection of applicants from List B has been completed, then applicants from List C will be selected in the order in which applications were accepted as complete.

Once all units are purchased by applicants on the eligibility list, remaining eligible applicants will be kept on a waiting list as provided in Section 7 below. If units still remain after all applicants from the eligibility lists have been considered and provided an opportunity to purchase a unit, then any remaining units will be sold to an eligible purchaser on a first-come, first-served basis.

7. WAITING LIST AND ASSIGNMENT OF OPTION TO PURCHASE

If there are more qualifying buyers than units available at the time of application, the applicant will be placed on a waiting list (with the same rank order) following the completed sale of the last affordable unit until the next application period is opened by the city. The applicant will then be considered for the opportunity to purchase a restricted affordable housing unit at that time.

As described in Section 1, in many cases the city has the option to purchase an existing affordable unit when the homeowner chooses to sell. The city also has the right to assign its option to an eligible purchaser rather than purchasing the unit outright and then re-selling it. Accordingly, whenever an owner of an affordable unit notifies the city of their intent to sell, the city may assign its purchase option to an eligible buyer on the waiting list created under this program. Note that in these cases, the qualifying household income limits and affordable unit sales prices will be determined by the terms of the original resale restriction agreement with the owner, generally set at 80 percent AMI and adjusted for household size. Therefore, the waiting list will be screened for applicants meeting the qualifying income requirements, who will then be selected in their ranked order.

Applicants should notify the city of any changes in email or mailing address to ensure that the city has the most current contact information for communications regarding unit availability or any program changes. Applicants on the waiting list will be contacted to update their application at the time additional units are made available for purchase.

8. INCOME QUALIFYING FOR PROGRAM ELIGIBILITY

The household's gross annual income must not exceed the income restriction set forth within these program guidelines and as noted above (maximum 80 percent of AMI for San Diego County, adjusted for household size). Gross income will be calculated according to these guidelines. The combined gross annual income of all members of the household age 18 and older who are currently living together and have lived together for 12 months or more and will be living in the property must be included in the determination of income. The household's income must be projected as an annual income. It will be assumed that today's circumstances will continue for the next 12 months, unless there is verifiable evidence to the contrary. All households must be income-qualified no more than 60 days prior to the purchase closing date. For the purpose of determining income eligibility, all income is included even if there is less than a two-year work history.

9. HOUSING DEBT-TO-INCOME RATIO (HOUSING AFFORDABILITY)

The buyer/borrower's monthly housing costs/debt—including principal, interest, property taxes, property insurance, and if applicable, private mortgage insurance and homeowner's association dues—shall not exceed 30 percent of the buyer/borrower's gross monthly income; this is known as the housing debt-to-income ratio. Please note that the income of a non-borrowing spouse is included when calculating this ratio if s/he has a work history of two or more years.

All household monthly debt (including home loan, car loans, credit card debt, etc.) shall not exceed 50 percent of the buyer household's gross monthly income.

10. INCOME FOR DEBT-TO-INCOME CALCULATIONS

Program guidelines require the combined income of all persons on title, including a non-borrowing spouse (if applicable), to be included in the calculation of income. The household's actual /average income will be calculated for underwriting purposes. It will be assumed that today's circumstances will continue for the next 12 months, unless there is verifiable evidence to the contrary. Applicants, co-applicants and non-borrowing spouses must have a minimum of a two-year continuous work history.

11. DOWN PAYMENT REQUIREMENTS

The following down payment requirements shall apply to this affordable housing resale program with the intent of requiring minimal investment by the buyer to extend the opportunity for homeownership to a larger population of lower income households. But, there is also a cap to the cash investment to ensure maximum public benefit. An all-cash transaction will not be permitted, except where exceptional circumstances demonstrate that is necessary to serve a special population such as very-low or extremely low-income seniors or the disabled.

- B. Minimum required down payment is three percent of the purchase price.
 - The borrower's down payment must be from their personal funds or a gift from an immediate family member. Immediate family members include the following people: father, mother, brother, sister, grandparent, uncle, aunt or child.
- C. Maximum down payment: 20 percent of the purchase price.
 - An exception to the maximum down payment guideline may be made for buyers whose *sole source of income* is derived from Social Security, Social Security Disability or Veterans Disability, in which case a down payment sufficient to bring their housing debt-to-income ratio to no less than 30 percent may be accepted.

- As the program is designed for lower-income buyers with limited assets but sufficient income to support a first mortgage payment, large down payments from family members with significant assets to assist the buyers qualify for the mortgage loan will not be considered.
- D. All-cash transactions are not permitted. An exception may be made for buyers whose *sole source of income* is derived from Social Security, Social Security Disability or Veterans Disability, and the proposed payment for property taxes, homeowners association (HOA) dues and homeowners insurance is equal to or greater than 30 percent of their income. The buyer must meet all eligibility requirements, have acceptable credit and have sufficient income to support the HOA, property taxes and monthly debt obligations.

12. ASSET LIMITATION

At the time eligibility is determined, the liquid assets of all household members, including children, must not exceed an amount equal to the maximum income limit set for the particular affordable unit, as adjusted for household size.

- A. The term “liquid assets” refers to cash and assets, which are readily convertible to cash within a reasonable period, including but not limited to savings and checking accounts, certificates of deposit of any term, marketable securities, money market and similar accounts, mutual fund shares, and insurance policy cash values.
- B. The term “liquid assets” shall not include retirement account funds if those accounts are not accessible to the buyer.
- C. An exception may be made for buyers whose *sole source of income* is derived from Social Security, Social Security Disability or Veterans Disability and a down payment of more than 20 percent is required to reduce their housing debt-to-income ratio to no more than 30 percent. In this case, the borrower’s assets must not exceed an amount equal to the maximum income limit (50 percent of San Diego County Area Median Income), as adjusted for household size after the maximum allowable down payment contribution.
- D. The minimum household reserve requirement is \$1,000. The reserves must be from liquid assets.

13. CREDIT GUIDELINES

- A. Minimum credit score: 640
- B. No foreclosure or bankruptcy (Chapter 7 or 13) within the last seven years
- C. A letter of explanation is required for all derogatory reporting dated within two

years prior to the close of escrow

- D. All collections, charge-offs and judgments must be paid or settled with the creditor through escrow or prior to the close of escrow. Back-up documentation showing the account has been paid is required if paid outside of escrow
- E. A credit report for a non-borrowing spouse is required. All debt of the non-borrowing spouse will be used in the debt-to-income ratio calculations

14. FIRST TRUST DEED LOAN

The borrower shall secure a 30-year fixed rate loan from a private lender. No adjustable rate loans or other financing programs shall be permitted. Conventional, Federal Housing Administration (FHA) and Veterans Administration (VA) financing are acceptable. First trust deed lenders are required to collect and manage an impound account for payment of taxes, assessments and property insurance for the term of the first mortgage.

15. HOMEBUYER EDUCATION CLASS

All applicants, co-applicants and non-borrowing spouses, whether on title or not, are required to attend a homebuyer education class given by a City of Carlsbad-approved Homebuyer Education Provider.

16. OCCUPANCY REQUIREMENTS

As long as the borrower(s) owns the affordable unit, the borrower(s) must reside in the unit as their principal place of residence. The borrower(s) shall not rent or lease all or any part of the restricted unit at any time. The unit shall be occupied full time (at least 10 months out of the year) and may not be used at any time as a vacation home or short-term vacation rental, or allow any other rental transaction or similar use. Borrower(s) must comply with annual occupancy certification requirements and submit the certification to the city upon request.

17. AFFORDABLE RESALE RESTRICTIONS

On the date of the sale of each Affordable Housing Resale Housing Program property, the city will record resale restrictions on the property. The resale restrictions will include income restrictions for new buyers, future sales price restrictions, initial occupancy restrictions, and length of restriction (30 years). Note that future buyer income restrictions and future sales price limits shall apply throughout the entire 30-year affordability term. The resale restrictions are included in the following documents:

- A. Declaration of Restrictive Covenants Regarding Restrictions on Transfer of Property, Occupancy Restrictions, Refinancing Restrictions, and Option to Purchase
- B. Deed of Trust
- C. Promissory Note
- D. Notice of Affordability Restrictions
- E. Buyer's Disclosure Statement

18. CITY'S CONTINUING ROLE

The City of Carlsbad is the Affordable Housing Homeownership Program administrator and secondary lender. As the program administrator, the city is responsible for oversight and compliance of the affordable resale restrictions. The city's responsibilities include but are not limited to:

- A. Managing the Affordable Housing Homeownership Program interest and waiting list
- B. Calculating the sales price for affordable for-sale units at the time of the first sale and for each subsequent sale
- C. Ensuring that upon resale, the property is in a "move-in" ready condition
- D. Verifying eligibility of buyers that participate in the program
- E. Monitoring owner-occupancy compliance

The city may use third parties to assist in administering the program.

The City of Carlsbad is a lien holder on each unit and has no further ownership interest in the properties after the initial sale of the unit.

19. REFINANCE

The Deed of Trust and Promissory Note to the city may be subordinated to the refinancing of the existing first trust deed loan in order to lower the interest rate and subsequent monthly payment only. Refinancing that increases the current principal balance (except for reasonable costs of refinance) or increases the monthly mortgage payment will not be permitted. Mortgage loans or equity lines of credit junior in lien priority to the city deed of trust are not permitted. No reverse mortgages will be approved for the affordable units. All refinances are subject to prior written approval by the city.

20. PROPERTY CONDITION

Units offered under this program will be sold by the City “as is”, which the City has determined is in “move in condition”. The city will make no repairs and is not responsible for any defects in the construction of the units or any repairs or replacements that may be required for the units. All buyers are encouraged to engage the services of a home inspector to provide for a full home inspection prior to close of escrow on the purchase transaction. The potential buyer will be permitted to cancel escrow if there are any conditions in the unit which are unacceptable to the buyer and with the understanding that the city will make no repairs or correct any identified defects.

At the time the new owner decides to resell the purchased affordable unit, the unit shall be restored to “move in condition” prior to providing the Notice of Intent to Sell to the City of Carlsbad.

These guidelines are provided as a basis for the determination of program eligibility and underwriting of Affordable Housing Resale Program loans. The City of Carlsbad at its sole and reasonable discretion, and with the City Manager's approval, may make exceptions to any guideline set forth herein, if not inconsistent with City Council Policy No. 73.

Please be aware that reporting fraudulent, untrue and/or incomplete documentation is a serious program violation. This could lead to the termination of your participation in the Affordable Housing Resale Program.

It is also important to acknowledge that Title 18, Section 1001 of the United States Code, states that a person is guilty of a felony for knowingly and willingly making false or fraudulent statements to any department or agency of the United States. It is very important to provide complete and accurate information as requested by the City of Carlsbad.



The City of Carlsbad is committed to affirmatively furthering fair housing by promoting fair and equal housing opportunities for individuals living in the City of Carlsbad and San Diego County. This commitment extends to all housing programs managed or owned by the city and to all grant-funded programs provided by the city. It is the policy of the city to provide services without regard to race, color, religion, national origin, ancestry, age, gender, source of income, familial status or physical/mental disability.

Appendix A

Summary of Applicant Eligibility and related standards and acceptable documentation:

Applicant Eligibility	Standards
Co-Signers	Co-signers who will not occupy the property are prohibited.
Documentation	<ul style="list-style-type: none"> • If married: spouse must sign city forms, disclosures and promissory note, regardless of vesting. • If divorced: copy of final divorce decree and judgment from the court. • Death certificate for deceased spouse. • Non-U.S. Citizen: copy of permanent alien registration card (green card). All borrowers must be a U.S. Citizen or Permanent Resident. • Copy of driver's license or other government-issued photo ID.
Income (Required for ALL household members over the age of 18)	Standards
Alimony and Child Support	Copy of divorce decree and/or child support agreement, with six months proof of payment. To be used for eligibility and underwriting. Support must continue for 12 months or more.
Disability Income	Copy of award letter from payer.
Social Security Income	Copy of award letter from payer.
Pension Income	Copy of award letter or W-2 from payer.
Workers Compensation Benefits	Copy of award letter from payer.
Unemployment Compensation	Copy of award letter from payer.
Financial Aid (student loans, etc.)	Copy of award letter from payer.
Interest or Dividend Income	Two years 1040s, copies of current statements verifying buyer's assets.
Tax Returns & W-2s	Three years of signed tax returns. Two years W-2s for all employers.
Salaried / Wage Earners	Most recent pay stubs covering a minimum of two month's income. Pay stubs to reflect year-to-date earnings and deductions. If there are multiple employers, all pay stubs showing year-to-date earnings.
Part-Time Employment	Most recent pay stubs covering a minimum of two months. Pay stubs to reflect year-to-date earnings and deductions.

Bonus and Overtime Income	Must be documented on pay stub. Will be used if there is a two-year history and likelihood of continuation.
Self-Employed	Two years of tax returns with schedule C and a year-to-date signed profit and loss statement. Must have a minimum two-year history of self-employed income.
Commission Only	Two years of tax returns with schedule C and a year-to-date signed and dated profit and loss statement <u>or</u> most current pay stubs covering a minimum of one month. Must have a minimum two-year history of commission income.
Assets (Required for ALL households members over age 18)	Standards
Checking and Savings Accounts	Three months most recent bank statements for ALL accounts.
Stocks and Bonds	Must be verified by brokerage firm or similar company and statement of account.
Saving Bonds	Copy of bond.
401K or Retirement Accounts	Copy of account statement and letter from employer verifying that borrower does <u>not</u> have access to the funds, if applicable.
Liabilities	Standards
Alimony/Child Support	Included as debt if more than six months remaining. Copy of divorce decree.
Installment Loans	Included as debt if more than six months remaining.
Revolving Accounts	Payment stated on credit report or application is used, whichever is higher. If payment is not stated, the higher of \$10 or 5% of the outstanding balance owed is used.
Student Loan	If loan is deferred for one year or more, it is not included as a monthly obligation. If less than a year deferment or borrower making payments, it is included as a debt.
Credit History	Standards
Credit Reports	Must be a "three repository merged" credit report. Any items not belonging to borrower must be removed from the report. Credit report cannot be dated more than 60 days from underwriting. Minimum credit score: 640.

Collections	All unpaid collections must be paid. Need letter of explanation from borrower.
Derogatory Credit	Letter of explanation is required for all derogatory credit. No accounts can be past due at the time of loan application.
Bankruptcy	No bankruptcy (Chapter 7 or 13) within the last seven years.
Short Sales / Foreclosures	No short sale or foreclosure within the last seven years.
Judgments, Garnishments and Involuntary Liens	No outstanding judgments, garnishments or involuntary liens are allowed.
Inquiries	Any inquiries within the last 90 days must be explained.
No or Limited Credit History	Alternative credit history is required. Utility payment records (at least three months most recent statements), rental payments (past 12 months) or other personal loans (past 12 months). Need three forms of credit history, at least one must be a rental history.



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Tammy McMinn, Senior Deputy City Clerk
tammy.mcminn@carlsbadca.gov, 442-339-2953

Subject: Mayoral Appointment of One Member to the Beach Preservation Commission

Districts: All

Recommended Action

Adopt a resolution appointing one member to the Beach Preservation Commission.

Executive Summary

The City Council is being asked to appoint one member to the Beach Preservation Commission, which investigates, researches and makes recommendations to the City Council and the City Manager on general coastal topics, studies, and programs, including, but not limited to the following:

- Protecting and enhancing the shoreline (e.g., littoral cells and sea level rise)
- Preventing beach erosion
- Preserving and maintaining beaches for the safety and optimum enjoyment of the public.

The commission consists of seven members appointed by the Mayor and confirmed by the City Council. Members must be residents of Carlsbad and normally serve four-year terms, unless appointed to fill an unexpired term.

Explanation & Analysis

Commissioner Kevin Shotas was appointed to the Beach Preservation Commission in June 2022, to fill the expired term of Commissioner Fred Briggs for a term ending in June 2026. Commissioner Shotas resigned in November 2023. There is currently an unscheduled vacancy on the Beach Preservation Commission for a term ending in June 2026.

The City Clerk's Office received 12 applications from residents wishing to serve on the Beach Preservation Commission. In keeping with City Council Policy No. 88, Mayor Blackburn has recommended the following residents wishing to serve on the Beach Preservation Commission to advance in the process and interview with the full City Council:

Mayoral recommendation:

- Spencer Burrows – District 1
- James Revell – District 3

Exhibit 2 contains the applications of the applicants moving forward in the interview process.

The Maddy Act (California Government Code Sections 54970-54974) requires that on or before December 31 of each year the legislative body shall prepare a Local Appointments List, which contains the appointive terms of Board and Commission members that will expire in the next calendar year. The name of the incumbent appointee, the date of appointment and the term expiration date is also included on the list. Based on the prepared list, the City Clerk's Office accepts applications (available on the city's website and in the City Clerk's Office) for any upcoming vacancies.

The current members of the Beach Preservation Commission are:

Commission member	District
Brian Colby	3
Michael Corrigan	1
Cynthia Norall	1
Lisa Stark	3
Kathleen Steindlberger	1
Chris Woolsey	2

Members of the Beach Preservation Commission are subject to the provisions of California's Political Reform Act of 1974 and must file statements of economic interest each year and complete two hours of ethics training every two years.

Fiscal Analysis

This action has no financial impact.

Next Steps

Following the appointment of one member to the Beach Preservation Commission, the City Clerk's Office will update the commission roster and coordinate the oath of office and the filing of the appointee's statement of economic interest and ethics training certificate.

Environmental Evaluation

This action does not require environmental review because it does not constitute a project within the meaning of the California Environmental Quality Act under California Public Resources Code Section 21065 in that it has no potential to cause either a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment.

Exhibits

1. City Council resolution
2. Applications received from residents advancing to the interview process

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD,
CALIFORNIA, APPOINTING ONE MEMBER TO THE BEACH PRESERVATION
COMMISSION

WHEREAS, Commissioner Kevin Shotas was appointed to the Beach Preservation Commission
in June 2022; and

WHEREAS, Commissioner Shotas resigned in November 2023; and

WHEREAS, an unscheduled vacancy on the Beach Preservation Commission exists with a term
ending in June 2026.

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

1. That the above recitations are true and correct.
2. That the following Carlsbad resident is appointed to serve on the Beach Preservation
Commission, for a term ending in June 2026, or until a replacement is appointed.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of
Carlsbad on the ____ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)



Boards, Commissions and Committees Application for Appointment

RECEIVED

NOV 28 2023

CITY OF CARLSBAD
CITY CLERK'S OFFICE

Arts Commission	<input type="checkbox"/>	Housing Commission	<input type="checkbox"/>	Planning Commission	<input type="checkbox"/>
Beach Preservation Committee	<input checked="" type="checkbox"/>	Library Board of Trustees	<input type="checkbox"/>	Senior Commission	<input type="checkbox"/>
Historic Preservation Commission	<input type="checkbox"/>	Parks & Recreation Commission	<input type="checkbox"/>	Traffic & Mobility Commission	<input type="checkbox"/>
Tourism Business Improvement District	<input type="checkbox"/>	Golf Lodging Business Improvement District	<input type="checkbox"/>	Agricultural Mitigation Fee Committee	<input type="checkbox"/>
CDBG Advisory Committee	<input type="checkbox"/>	Design Review Committee	<input type="checkbox"/>	Growth Management Plan Update Advisory Committee	<input type="checkbox"/>
Community-Police Engagement Commission	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>

Personal Information

If applying for more than one, please indicate order of preference.

Name Spencer Burrows		Date of Birth: <input type="text"/>
Home Address		<u>District No.</u> 1 <input checked="" type="checkbox"/>
City Carlsbad	ZIP 92008	
Home Phone	Mobile	
E-mail		
Occupation Teacher		
Employer Pacific Ridge School		
Employer Address		
City Carlsbad	ZIP 92009	
Work Phone	Mobile	

Acknowledgements

	Yes	No
I am a resident of the City of Carlsbad.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am a registered voter in Carlsbad.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are you currently or have you ever been an officer of or employed by the City of Carlsbad? If yes, please explain below.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are you currently or have you ever been under contract with the City of Carlsbad? If yes, please explain below.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I am a Citizens Academy graduate.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I am familiar with the responsibilities of the board/commission/committee(s) on which I wish to serve.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to be interviewed regarding my qualifications for appointment by the City Council or at the request of an individual Council member.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to file financial disclosure statements.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to complete two hours of state mandated ethics training every two years.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Please make sure that your text fits in the box provided or attach an additional sheet if needed.

Explanations

My name is Spencer Burrows and I am applying for a position as City Commissioner. I currently serve as 11th Grade Dean and high school Government and Economics teacher at Pacific Ridge School in Carlsbad, as well as Adjunct Professor of Education at National University and Adjunct Professor of Business at San Diego University For

Please describe your educational background

I earned my B.A. from UCLA with a major in Psychology and minor in Political Science, and my J.D. from UC Law, San Francisco.

Please describe relevant experience

I recently completed Coro Southern California's Lead LA Program, where I was selected as a mid-career professional to analyze issues facing the local business and greater community. In Coro Lead LA, I studied Los Angeles environmental policy in-depth to make recommendations to the Los Angeles City Council. There, I interacted

Please describe your current or past community involvement

I am active in the Carlsbad Chamber of Commerce as a Chamber member, Education Committee member, Carlsbad Young Professionals member, and Candidate Academy participant. Further, I was recently awarded the UCLA Bruin Excellence in Civic Engagement Award.

Please list all service on boards, commissions or committees, private or public agencies, (including non-profit organizations)

I currently sit on the City of Carlsbad Agricultural Conversion Mitigation Fee Citizens' Advisory Committee. In addition, I serve on the Advisory Board of the San Diego Center for Economics Education, and on the Board of Directors of TEACH Public Schools in South Los Angeles. I am a former Task Force Member for LA Unified

Additional information or comments

I look forward to the possibility of contributing my experience and skills to the City of Carlsbad in this important and vital area of policy. I am particularly interested in the sand reclamation issue at Ponto Beach.

Submittal Information

Please select the submit button below to electronically submit application. If you prefer to print, please select "print form" button, sign and mail to:

City of Carlsbad
City Clerk's Office
1200 Carlsbad Village Drive
Carlsbad, CA 92008.

Signature Spencer Burrows Date 11/27/23

* Only required to sign if submitting paper form; if submitting electronically your submittal via e-mail is considered acknowledgement.

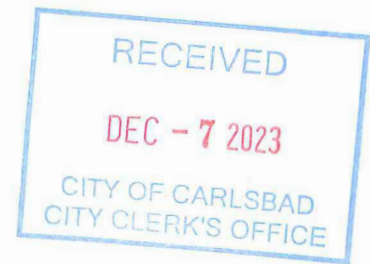
Clear form

Print form

Submit form



Boards, Commissions and Committees Application for Appointment



Arts Commission	<input type="checkbox"/>	Housing Commission	<input type="checkbox"/>	Planning Commission	<input type="checkbox"/>
Beach Preservation Committee	<input checked="" type="checkbox"/>	Library Board of Trustees	<input type="checkbox"/>	Senior Commission	<input type="checkbox"/>
Historic Preservation Commission	<input type="checkbox"/>	Parks & Recreation Commission	<input type="checkbox"/>	Traffic & Mobility Commission	<input type="checkbox"/>
Tourism Business Improvement District	<input type="checkbox"/>	Golf Lodging Business Improvement District	<input type="checkbox"/>	Agricultural Mitigation Fee Committee	<input type="checkbox"/>
CDBG Advisory Committee	<input type="checkbox"/>	Design Review Committee	<input type="checkbox"/>	Growth Management Plan Update Advisory Committee	<input type="checkbox"/>
Community-Police Engagement Commission	<input type="checkbox"/>				

Personal Information

If applying for more than one, please indicate order of preference.

Name James Revell		Date of Birth: <u>1/10/1980</u>
Home Address		District No. <u>3</u> <input checked="" type="checkbox"/>
City Carlsbad	ZIP 92011	
Home Phone	Mobile	
E-mail		
Occupation Advertising Marketing/Business Development		
Employer		
Employer Address		
City	ZIP	
Work Phone	Mobile	

Acknowledgements

	Yes	No
I am a resident of the City of Carlsbad.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am a registered voter in Carlsbad.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are you currently or have you ever been an officer of or employed by the City of Carlsbad? If yes, please explain below.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are you currently or have you ever been under contract with the City of Carlsbad? If yes, please explain below.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I am a Citizens Academy graduate.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I am familiar with the responsibilities of the board/commission/committee(s) on which I wish to serve.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to be interviewed regarding my qualifications for appointment by the City Council or at the request of an individual Council member.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to file financial disclosure statements.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to complete two hours of state mandated ethics training every two years.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Please make sure that your text fits in the box provided or attach an additional sheet if needed.

Explanations

Please describe your educational background

MBA Marketing, Notre Dame de Namur University · Belmont, California
MPA Human Resources Management, Notre Dame de Namur University · Belmont, California
BA Political Science, San Jose State University · San Jose, California

Please describe relevant experience

Carlsbad resident served as my HOA President from 2013 - 2022, along with higher-education background and a +20 year career in marketing/partnership and corporate development.

Please describe your current or past community involvement

HOA President, supporting the beach/coastal functions, local candidates for State Assembly and City Council and previous candidate for Beach Preservation Commission finalist.

Please list all service on boards, commissions or committees, private or public agencies, (including non-profit organizations)

Trustee, Notre Dame de Namur University Board of Trustees (22 present)
Board Member San José State University Alumni Association (11 14) (21 Present)
Council Member Performance Marketing Association Publisher Recruitment & Education (17 21) (22 present)
Vista del Mar at Muroya Association HOA Board President (2013 2022)
Advisor & Mentor Mucker Network (19 present)

Additional information or comments

I grew up 20 north of Santa Cruz and spent much of my youth at the beach, surfing and otherwise appreciating our cherished coasts. I'd be thrilled to serve, add value and lend a fresh perspective to the Carlsbad Beach Preservation Commission.

Submittal Information

Please select the submit button below to electronically submit application. If you prefer to print, please select "print form" button, sign and mail to:

City of Carlsbad
City Clerk's Office
1200 Carlsbad Village Drive
Carlsbad, CA 92008.

Signature James Revell Date 12/06/23

* Only required to sign if submitting paper form; if submitting electronically your submittal via e-mail is considered acknowledgement.

Clear form

Print form

Submit form



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Tammy McMinn, Senior Deputy City Clerk
tammy.mcminn@carlsbadca.gov, 442-339-2953

Subject: District 4 Council Member Appointment of One Member to the Parks & Recreation Commission

Districts: All

Recommended Action

Adopt a resolution appointing one member to the Parks & Recreation Commission.

Executive Summary

The City Council is being asked to appoint one member to the Parks & Recreation Commission. The Parks & Recreation Commission makes recommendations to the City Council and advises the Council in matters pertaining to the creation, operation, maintenance, management and control of community recreation programs, playgrounds and indoor and outdoor recreation, activities and facilities. In addition, the Commission advises and makes recommendations to the City Council on matters pertaining to planting, trimming, pruning, and care of all trees, shrubs or plants and to the removal of all objectionable trees, shrubs and plants in and upon any park of the city; reviews tree-related issues and determines the needs of the city with respect to its tree planting, replacement, maintenance and preservation programs.

The commission consists of seven members appointed by District Council Members and the Mayor. In this case, the Council Member representing District 4 shall nominate one individual to serve on the commission. Members must be residents of Carlsbad and normally serve four-year terms.

Explanation & Analysis

Commissioner Michael Sebahar was appointed to the Parks & Recreation Commission in January 2021, to fill the expired term of Commissioner Amy Livingston for a term ending in December 2024. Commissioner Sebahar resigned in November 2023, leaving an unscheduled vacancy on the Parks & Recreation Commission for a term ending in December 2024.

The City Clerk's Office received 15 applications from residents wishing to serve on the Parks & Recreation Commission. In keeping with City Council Policy No. 88, Council Member Acosta, representing District 4, has recommended the following residents wishing to serve on the Parks & Recreation Commission to advance in the process and interview with the full City Council:

District 4 recommendation:

- Julie Ann Knight – District 2
- Frances Schnall – District 3

Exhibit 2 contains the applications of the applicants moving forward in the interview process.

The Maddy Act (California Government Code Sections 54970-54974) requires that on or before December 31 of each year the legislative body shall prepare a Local Appointments List, which contains the appointive terms of Board and Commission members that will expire in the next calendar year. The name of the incumbent appointee, the date of appointment and the term expiration date is also included on the list. Based on the prepared list, the City Clerk's Office accepts applications (available on the city's website and in the City Clerk's Office) for any upcoming vacancies.

The current members of the Parks & Recreation Commission are:

Commission member	District
Amy Allemann	3
Matthew Bartels	2
Joe Gisbert	1
Deborah Rasines	1
Shelly Sander	1
Robert Winston	3

Members of the Parks & Recreation Commission are subject to the provisions of California's Political Reform Act of 1974 and must file statements of economic interest each year and complete two hours of ethics training every two years.

Fiscal Analysis

This action has no financial impact.

Next Steps

Following the appointment of one member to the Parks & Recreation Commission, the City Clerk's Office will update the commission roster and coordinate the oath of office and the filing of the appointee's statement of economic interest and ethics training certificate.

Environmental Evaluation

This action does not require environmental review because it does not constitute a project within the meaning of the California Environmental Quality Act under California Public Resources Code Section 21065 in that it has no potential to cause either a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment.

Exhibits

1. City Council resolution
2. Applications received from residents advancing to the interview process

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD,
CALIFORNIA, APPOINTING ONE MEMBER TO THE PARKS & RECREATION
COMMISSION

WHEREAS, Commissioner Michael Sebahar was appointed to the Parks & Recreation Commission in January 2021, to fill the expired term of Commissioner Amy Livingston for a term ending in December 2024; and

WHEREAS, Commissioner Sebahar resigned in November 2023; and

WHEREAS, an unscheduled vacancy on the Parks & Recreation Commission exists with a term ending in December 2024.

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

1. That the above recitations are true and correct.
2. That the following Carlsbad resident is appointed to serve on the Parks & Recreation Commission, for a term ending in December 2024, or until a replacement is appointed.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ____ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)



Boards, Commissions and Committees Application for Appointment

RECEIVED

NOV 30 2023

CITY OF CARLSBAD
CITY CLERK'S OFFICE

Arts Commission		Housing Commission		Planning Commission	
Beach Preservation Committee		Library Board of Trustees		Senior Commission	2
Historic Preservation Commission		Parks and Recreation Commission	1	Traffic & Mobility Commission	
Tourism Business Improvement District		Golf Lodging Business Improvement District		Agricultural Mitigation Fee Committee	
Housing Element Advisory Committee					

If applying for more than one, please indicate order of preference.

Personal Information

Name <u>Julie Ann Knight</u>		Date of Birth: <u>10/10/1960</u>	
Home Address		Required for Voter Registration Verification	
		District Number <u>2</u>	
City <u>Carlsbad, CA</u>	ZIP <u>92011</u>		
Home Ph	Mobile		
E-mail			
Occupation <u>Retired</u>			
Employer <u>N/A</u>			
Employer Address			
City		ZIP	
Work Phone		Mobile	

Acknowledgements

	Yes	No
I am a resident of the City of Carlsbad.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am a registered voter in Carlsbad.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are you currently or have you ever been an officer of or employed by the City of Carlsbad? If yes, please explain below.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Are you currently or have you ever been under contract with the City of Carlsbad? If yes, please explain below.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I am a Citizens Academy graduate.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I am familiar with the responsibilities of the board/commission/committee(s) on which I wish to serve.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to be interviewed regarding my qualifications for appointment by the City Council or at the request of an individual Council member.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to file financial disclosure statements, if required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
I am willing to complete two hours of state mandated ethics training every two years, if required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

→ Have a degree to do this when available

Explanations

Please describe your educational background

2 yrs. college courses
Portland, Oregon

Please describe relevant experience

Worked 20 years in assisted living and independent living development, sales and management. I work well with the senior population, of which I'm now one.

Please describe your current or past community involvement

I've been on cultural arts volunteer team now for 9 years in Gwland classroom for Three Part Art & at Leo Carrillo for CHAP's program

Please list all service on boards, commissions or committees, private or public agencies, (including non-profit organizations)

- Done library volunteer
- Cultural Arts Volunteer

and now at pilot program e Batiquitos Legion and Pop-Up Art on Saturdays occasionally.

Additional information or comments

Outdoor enthusiast, live 1 blk. from Aurora Park which I utilize daily.

Submittal Information

Please select the submit button below to electronically submit application. If you prefer to print, please select "print form" button, sign and mail to:

City of Carlsbad
City Clerk's Office
1200 Carlsbad Village Drive
Carlsbad, CA 92008.

Signature

Mini Knight

Date

11.15.2023

* Only required to sign if submitting paper form; if submitting electronically your submittal via e-mail is considered acknowledgement.

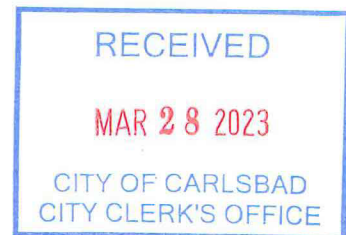
Clear form

Print form

Submit form




Boards, Commissions and Committees Application for Appointment



Arts Commission		Housing Commission		Planning Commission	
Beach Preservation Committee		Library Board of Trustees		Senior Commission	
Historic Preservation Commission		Parks and Recreation Commission	✓	Traffic & Mobility Commission	
Tourism Business Improvement District		Golf Lodging Business Improvement District		Agricultural Mitigation Fee Committee	
Housing Element Advisory Committee					

If applying for more than one, please indicate order of preference.

Personal Information

Name Frances Schnall		Date of Birth: 
Home Address		Required for Voter Registration Verification <u>District Number 3</u> ✓
City Carlsbad	ZIP 92009	
Home Phone	Mobile	
E-mail		
Occupation retired		
Employer		
Employer Address		
City	ZIP	
Work Phone	Mobile	

Acknowledgements

	Yes	No
I am a resident of the City of Carlsbad.	✓	
I am a registered voter in Carlsbad.	✓	
Are you currently or have you ever been an officer of or employed by the City of Carlsbad? If yes, please explain below.		✓
Are you currently or have you ever been under contract with the City of Carlsbad? If yes, please explain below.		✓
I am a Citizens Academy graduate.		✓
I am familiar with the responsibilities of the board/commission/committee(s) on which I wish to serve.	✓	
I am willing to be interviewed regarding my qualifications for appointment by the City Council or at the request of an individual Council member.	✓	
I am willing to file financial disclosure statements, if required.	✓	
I am willing to complete two hours of state mandated ethics training every two years, if required.	✓	

Explanations

Please describe your educational background

I received my Bachelor of Science degree from Colgate University and my Master of Science in Journalism from Northwestern University's Medill School of Journalism.

Please describe relevant experience

I am an avid parks and trails user. As a youth, I spent untold hours in the my hometown parks using the various facilities and as a tennis instructor. In my professional life I was both a journalist and a director of marketing and communications working with the

Please describe your current or past community involvement

I currently serve on the Growth Management Citizens' Committee. The committee will conclude its work in April and I am interested in continuing my involvement with the city.

Please list all service on boards, commissions or committees, private or public agencies, (including non-profit organizations)

Carlsbad Tomorrow - Growth Management Citizens' Committee
Development Committee of the Board of Directors of Interfaith Community Services

Additional information or comments

Submittal Information

Please select the submit button below to electronically submit application. If you prefer to print, please select "print form" button, sign and mail to:

City of Carlsbad
City Clerk's Office
1200 Carlsbad Village Drive
Carlsbad, CA 92008.

Signature _____ Date _____

* Only required to sign if submitting paper form; if submitting electronically your submittal via e-mail is considered acknowledgement.

Clear form

Print form

Submit form



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Judy von Kalinowski, Human Resources Director
judy.vonkalinowski@carlsbadca.gov 760-473-4670

Silvano Rodriguez, Senior Management Analyst
silvano.rodriguez@carlsbadca.gov 760-705-6802

Subject: Annual Elected Officials Compensation Review

Districts: All

Recommended Action

1. Conduct the annual review of elected officials' compensation; and,
2. Introduce an ordinance titled either:
 - A. "An ordinance of the City Council of the City of Carlsbad, California, amending Title 2, Chapter 2.04, Section 2.04.010(A), to adjust City Council members' compensation by the percentage increase in the San Diego Regional Consumer Price Index for 2023" (Exhibit 1), or
 - B. "An ordinance of the City Council of the City of Carlsbad, California, permanently waiving City Council compensation adjustments for 2024" (Exhibit 2), or
 - C. Provide other direction as desired.
3. Introduce an ordinance titled either:
 - A. "An ordinance of the City Council of the City of Carlsbad, California, amending Title 2, Chapter 2.04, Section 2.04.020(A), to adjust City Clerk and City Treasurer compensation by the percentage increase in the San Diego Regional Consumer Price Index for 2023" (Exhibit 3), or
 - B. "An ordinance of the City Council of the City of Carlsbad, California, declining City Clerk and City Treasurer compensation adjustments for 2024" (Exhibit 4), or
 - C. Provide other direction as desired.

Executive Summary

The City Council is being asked to consider whether to adjust City Council members' compensation by the percentage increase in the San Diego Regional Consumer Price Index for 2023 and to make the same determination for the compensation of the City Clerk and Treasurer, as required each year by the Carlsbad Municipal Code.

Explanation & Analysis

The voters of the City of Carlsbad approved Measure G in 2020. This measure, now in Carlsbad Municipal Code Chapter 2.04 – Elected Officials, Section 2.04.010(A) – Compensation—Mayor and city council:

- Prohibits City Council members' compensation adjustments from exceeding the amount established by the San Diego Regional Consumer Price Index.
- Requires the City Council to either make or waive a compensation adjustment in January of each year.
- Prohibits the council from enacting retroactive increases for years in which the City Council waived a compensation adjustment.

The City Council adopted Ordinance No. CS-435 on Oct. 18, 2022, to establish a mechanism for the City Council to review the salaries of the City Clerk and Treasurer each year at the same time that the City Council considers adjusting council members' salaries. As with the council members' salaries, the ordinance limits any adjustments to the City Clerk's and City Treasurer's salaries by an amount not to exceed the amount set by the San Diego Regional Consumer Price Index.

The annual compensation for members of the City Council was last adjusted in March 2023, when it was increased by 3.5%, from \$26,251.32 to \$27,170.16 for council members and from \$27,451.32 to \$28,370.16 for the Mayor, who receives additional monthly compensation of \$100 under Carlsbad Municipal Code Section 2.04.010(B).

The annual compensation for the City Clerk and City Treasurer were last adjusted in March 2023, when it was increased by 6.7%, from \$12,840 to \$13,700.28.

This item is being presented to allow the City Council to review elected officials' compensation and discuss whether to make or waive compensation adjustments for 2024.

The change in the November San Diego Regional Consumer Price Index for 2023 was 5.2%. The November number is used because it is the most recent statistic available to effectuate changes for the following January.

If the City Council were to adopt an ordinance adjusting elected officials' compensation to reflect changes in the San Diego Regional Consumer Price Index for 2023, the City Council members' annual compensation would increase from \$27,170.16 to \$28,583.04, and the Mayor's annual compensation would increase from \$28,370.16 to \$29,783.04.

The City Clerk and City Treasurer's annual compensation would increase from \$13,700.28 to \$14,412.72.

Fiscal Analysis

The full fiscal impact for the increase in City Council compensation, including the impact to benefits, is approximately \$7,700. The full fiscal impact for the increase in City Clerk and City Treasurer compensation, including the impact to benefits, is approximately \$1,550. There is sufficient funding in the General Fund budget for fiscal year 2023-24 to absorb the proposed increase.

Options

Staff have drafted ordinances for the council's consideration for all options:

- Increase City Council members' compensation by the percentage increase in the San Diego Regional Consumer Price Index for 2023 (Exhibit 1),
- Waive an adjustment to City Council members' compensation for 2024 (Exhibit 2)
- Increase City Clerk and City Treasurer compensation by the percentage increase in the San Diego Regional Consumer Price Index for 2023 (Exhibit 3)
- Decline an adjustment to City Clerk and City Treasurer compensation for 2024 (Exhibit 4).

Next Steps

The City Clerk's Office will prepare the introduced ordinances for adoption at the next regular City Council meeting. Once adopted, the City Clerk will publish the ordinances or a summary of the ordinances in a newspaper of general circulation within 15 days. The ordinances will be effective 30 days following their adoption.

Environmental Evaluation

The recommended action does not require environmental review because it does not constitute a project within the meaning of the California Environmental Quality Act under California Public Resources Code Section 21065 in that it has no potential to cause either a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment.

Exhibits

1. Ordinance increasing City Council compensation
2. Ordinance waiving an increase to City Council compensation
3. Ordinance increasing City Clerk and City Treasurer compensation
4. Ordinance declining an increase to City Clerk and City Treasurer compensation

ORDINANCE NO. _____

AN ORDINANCE OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, AMENDING TITLE 2, CHAPTER 2.04, SECTION 2.04.010(A), TO ADJUST CITY COUNCIL MEMBERS' COMPENSATION BY THE PERCENTAGE INCREASE IN THE SAN DIEGO REGIONAL CONSUMER PRICE INDEX FOR 2023

WHEREAS, on November 3, 2020, the voters of the City of Carlsbad, California, approved Measure G, adopting Title 2, Chapter 2.04, Section 2.04.010(A) of the Carlsbad Municipal Code, which prohibits City Council compensation adjustments from exceeding the amount established by the San Diego Regional Consumer Price Index, requires the City Council to either make or waive a compensation adjustment in January of each year, and prohibits the City Council from enacting retroactive increases for years in which the City Council waived a compensation adjustment; and

WHEREAS, the increase in the November San Diego Regional Consumer Price Index for 2023 was 5.2%; and

WHEREAS, the City Council desires to adjust the compensation of City Council members by the percentage increase in the November San Diego Regional Consumer Price Index for 2023.

NOW, THEREFORE, the City Council of the City of Carlsbad, California, ordains as follows:

1. That the above recitations are true and correct.
2. That the first sentence of Title 2, Chapter 2.04, Section 2.04.010(A) is amended to read:

2.04.010 Compensation—Mayor and city council.

- A. The monthly compensation of city council members is increased from \$2,264.18 to \$2,381.92.

EFFECTIVE DATE: This ordinance shall be effective thirty days after its adoption; and the City Clerk shall certify the adoption of this ordinance and cause the full text of the ordinance or a summary of the ordinance prepared by the City Attorney to be published at least once in a newspaper of general circulation in the City of Carlsbad within fifteen days after its adoption.

INTRODUCED AND FIRST READ at a Regular Meeting of the Carlsbad City Council on the _____ day of _____, 2024, and thereafter

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

APPROVED AS TO FORM AND LEGALITY:

CINDIE K. McMAHON, City Attorney

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

ORDINANCE NO.

AN ORDINANCE OF THE CITY COUNCIL OF THE CITY OF CARLSBAD,
CALIFORNIA, PERMANENTLY WAIVING CITY COUNCIL COMPENSATION
ADJUSTMENTS FOR 2024

WHEREAS, on November 3, 2020, the voters of the City of Carlsbad, California, approved Measure G, adopting Title 2, Chapter 2.04, Section 2.04.010(A) of the Carlsbad Municipal Code, which prohibits City Council compensation adjustments from exceeding the amount established by the San Diego Regional Consumer Price Index, requires the City Council to either make or waive a compensation adjustment in January of each year, and prohibits the City Council from enacting retroactive increases for years in which the City Council waived a compensation adjustment; and

WHEREAS, the City Council desires to permanently waive any adjustment to the compensation of City Council members for 2024.

NOW, THEREFORE, the City Council of the City of Carlsbad, California, ordains as follows:

1. The above recitations are true and correct.
2. The City Council permanently waives any adjustments to the compensation of City Council members for 2024.

EFFECTIVE DATE: This ordinance shall be effective thirty days after its adoption; and the City Clerk shall certify the adoption of this ordinance and cause the full text of the ordinance or a summary of the ordinance prepared by the City Attorney to be published at least once in a newspaper of general circulation in the City of Carlsbad within fifteen days after its adoption.

INTRODUCED AND FIRST READ at a Regular Meeting of the Carlsbad City Council on the _____ day of _____, 2024, and thereafter

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the __ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

APPROVED AS TO FORM AND LEGALITY:

CINDIE K. McMAHON, City Attorney

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

ORDINANCE NO.

AN ORDINANCE OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, AMENDING TITLE 2, CHAPTER 2.04, SECTION 2.04.020(A), TO ADJUST CITY CLERK AND CITY TREASURER COMPENSATION BY THE PERCENTAGE INCREASE IN THE SAN DIEGO REGIONAL CONSUMER PRICE INDEX FOR 2023

WHEREAS, on October 18, 2022, the City Council of the City of Carlsbad, California, adopted Ordinance No. CS-435, which prohibits City Clerk and City Treasurer compensation adjustments from exceeding the amount established by the San Diego Regional Consumer Price Index, requires the City Council to determine whether to approve City Clerk and City Treasurer compensation adjustments in January of each year, and prohibits the enactment of retroactive increases for years in which the City Council did not approve compensation adjustments; and

WHEREAS, the increase in the November San Diego Regional Consumer Price Index for 2023 was 5.2%; and

WHEREAS, the City Council desires to adjust the compensation of the City Clerk and City Treasurer by the percentage increase in the November San Diego Regional Consumer Price Index for 2023.

NOW, THEREFORE, the City Council of the City of Carlsbad, California, ordains as follows:

1. That the above recitations are true and correct.
2. That the first sentence of Title 2, Chapter 2.04, Section 2.04.020(A) is amended to read:

2.04.020 Compensation—City clerk and city treasurer.

- A. The compensation of the city clerk and city treasurer is increased from \$1,141.69 to \$1,201.06 per month, payable biweekly.

EFFECTIVE DATE: This ordinance shall be effective thirty days after its adoption; and the City Clerk shall certify the adoption of this ordinance and cause the full text of the ordinance or a summary

of the ordinance prepared by the City Attorney to be published at least once in a newspaper of general circulation in the City of Carlsbad within fifteen days after its adoption.

INTRODUCED AND FIRST READ at a Regular Meeting of the Carlsbad City Council on the _____ day of _____, 2024, and thereafter

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the __ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

APPROVED AS TO FORM AND LEGALITY:

CINDIE K. McMAHON, City Attorney

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

ORDINANCE NO.

AN ORDINANCE OF THE CITY COUNCIL OF THE CITY OF CARLSBAD,
CALIFORNIA, DECLINING CITY CLERK AND CITY TREASURER COMPENSATION
ADJUSTMENTS FOR 2024

WHEREAS, on October 18, 2022, the City Council of the City of Carlsbad, California, adopted Ordinance No. CS-435, which prohibits City Clerk and City Treasurer compensation adjustments from exceeding the amount established by the San Diego Regional Consumer Price Index, requires the City Council to determine whether to approve City Clerk and City Treasurer compensation adjustments in January of each year, and prohibits the enactment of retroactive increases for years in which the City Council waived a compensation adjustment; and

WHEREAS, the City Council desires to decline an adjustment to the compensation of the City Clerk and City Treasurer for 2024.

NOW, THEREFORE, the City Council of the City of Carlsbad, California, ordains as follows:

1. The City Council declines adjustments to the compensation of the City Clerk and City Treasurer for 2024.

EFFECTIVE DATE: This ordinance shall be effective thirty days after its adoption; and the City Clerk shall certify the adoption of this ordinance and cause the full text of the ordinance or a summary of the ordinance prepared by the City Attorney to be published at least once in a newspaper of general circulation in the City of Carlsbad within fifteen days after its adoption.

INTRODUCED AND FIRST READ at a Regular Meeting of the Carlsbad City Council on the _____ day of _____, 2024, and thereafter

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

APPROVED AS TO FORM AND LEGALITY:

CINDIE K. McMAHON, City Attorney

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Mandy Mills, Housing & Homeless Services Director
mandy.mills@carlsbadca.gov, 442-339-2907

Subject: Tax and Equity Fiscal Responsibility Act Public Hearing for the Reissuance of Tax-Exempt Bonds for the Mariposa Apartments

District: 2

Recommended Action

Hold a public hearing as required by the Tax and Equity Fiscal Responsibility Act and the Internal Revenue Code of 1986 and adopt a resolution approving the reissuance of tax-exempt multifamily housing revenue bonds and certain actions required to remarket the bonds for the Mariposa Apartments, a 106-unit multifamily affordable rental housing development located in Carlsbad, California.

Executive Summary

In 2003, the City of Carlsbad issued multifamily housing revenue bonds in the original principal amount of \$6,000,000 to provide for the acquisition and construction of the Mariposa Apartments development, a 106-unit multifamily affordable rental housing project, as part of its effort to increase affordable housing opportunities for lower income households in Carlsbad.

The development, located on the west side of College Boulevard, just south of Carlsbad Village Drive is owned and operated by CIC Calavera, L.P., a California limited partnership, and managed by Chelsea Investment Corporation.

The bonds have an outstanding principal balance of \$3,650,000 and, under the terms of the trust indenture, the agreement in the bond contract between the bond issuer and the trustee, the bonds must be redeemed by Feb. 1, 2024, and be remarketed with a new maximum interest rate set forth in the trust indenture, known as the "strike rate."¹ Because interest rates have increased, the City Council needs to authorize an amendment to the trust indenture to increase the maximum interest rate, so that the bonds can be remarketed to final maturity.

¹ This strike rate is the maximum interest rate, or cap, at which the owner of the option can buy or sell the underlying security.

Under the federal Tax and Equity Fiscal Responsibility Act and the Internal Revenue Code of 1986, the bonds cannot qualify as tax-exempt unless the City Council holds a public hearing so that community members can speak for or against the use of tax-exempt bonds for the financing of the project.

Discussion

Project background

The site development plan for the Mariposa Apartments was approved by the City Council on Sept. 10, 2002 (SDP 01-05). It allowed for the development of 106 affordable apartment units. The Mariposa Apartments consists of one, two and three-bedroom apartments at rent levels serving extremely low-, very low- and low-income households. The project was developed by Chelsea Investment Corporation, completed in 2004, and satisfies the affordable housing requirement for the second phase of the Calavera Hills Master Plan.

When the project was originally built, a number of financing sources had contributed to its deep affordability. These funding sources included the land and some capital from the master developer, tax credit equity, a loan from the State of California, and a loan from the city's Housing Trust Fund. Additionally, the City of Carlsbad applied for a tax-exempt bond allocation and issued multifamily housing revenue bonds for the project. The purpose of the multifamily housing revenue bond financing is to increase or preserve the supply of affordable rental housing available to low- and very low-income households. The city is authorized to issue multifamily housing revenue notes and bonds under Section 52075 of the California Health and Safety Code.

Bond financing

The city's multifamily housing revenue bonds issued for Mariposa Apartments (2003 Series A) are currently outstanding in the principal amount of \$3,650,000 under the Trust Indenture dated June 1, 2003. The owner of the project is CIC Calavera, L.P., a California limited partnership. The bonds were issued for the purpose of assisting in the acquisition, construction and development of the 106-unit Mariposa Apartments, a multifamily affordable rental housing development, located at the following addresses:

- 4631, 4634, 4635, 4639 and 4647 Rim Circle
- 3420 Vale Blossom Court
- 4659 and 4663 Red Bluff Place
- 3424, 3444 and 3448 Clear Cliff Court
- 4668, 4672 and 4676 Apple Hill Place



Mariposa Apartments

The trust indenture provides for the remarketing of the bonds on the remarketing date of Feb. 1, 2024, at a remarketing rate not to exceed the strike rate, essentially an interest rate cap as defined in the trust indenture. The remarketing agent has notified the city that an amendment to increase the maximum strike rate may be needed to remarket the bonds under new terms until their maturity date. The trust indenture allows the city to amend the trust indenture

(without the consent of any bond owners) in connection with the remarketing of bonds, subject to the consent of the owner and the credit provider (the Federal National Mortgage Association). The owner and credit provider have indicated that they are willing to agree to the proposed amendments to the trust indenture.

If the trust indenture is amended to increase the maximum strike rate, then the remarketing of the bonds will constitute a “reissuance” of the bonds for purposes of the Internal Revenue Code of 1986. For the interest on the bonds to continue to be tax-exempt, Section 147(f) of the Internal Revenue Code requires that the City Council approve the reissuance of the bonds following a noticed public hearing on the financing of the project.

The resolution approves the reissuance of the bonds and the form of a first supplement to the Trust Indenture dated June 1, 2003, amending the maximum strike rate for the bonds. A copy of the first supplement to the trust indenture is on file in the Office of the City Clerk. The resolution also authorizes certain designated officials of the city to execute and deliver the documents once they are finalized. If the bonds can be remarketed at the current strike rate, the first supplement to the trust indenture will not be delivered and the trust indenture will not be amended.

For all or a portion of the bonds to qualify as tax-exempt, the City of Carlsbad is required under the federal Tax and Equity Fiscal Responsibility Act to conduct a public hearing, known as the TEFRA hearing, to provide an opportunity for community members to speak in favor of or against the use of tax-exempt bonds for the financing of the project.

All parties should clearly understand:

- The Bonds are not debt of the City of Carlsbad in any way. There is no obligation of any kind on the part of the City of Carlsbad, the City Council or any entity controlled by the City of Carlsbad to repay the debt. All repayment of debt is the strict obligation of the borrower
- The City of Carlsbad’s participation in the reissuance of these bonds will not impact the city’s appropriation limits and will not constitute any type of indebtedness by the city

Public notification

A seven calendar-day public Tax and Equity Fiscal Responsibility Act hearing notice was posted in a newspaper of general circulation on Dec. 29, 2023, and on the city website. Copies of the notice are available in the Office of the City Clerk.

Fiscal Analysis

There is no fiscal impact to the City of Carlsbad as a result of the adoption of the resolution, the amendment of the trust indenture, and the remarketing of the bonds. As noted above, the City of Carlsbad will have no financial, legal or moral obligation, liability or responsibility for the project or the repayment of the bonds for the financing of the project. All costs associated with these actions will be paid for by the owner of the project.

Next Steps

City staff will forward the approved resolution to the city’s Bond Counsel so the borrower can proceed with getting the bonds reissued.

Environmental Evaluation

This action does not constitute a project as defined under the California Environmental Quality Act in accordance with Public Resources Code Section 21065, in that these actions may not cause a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment.

Exhibits

1. City Council resolution

RESOLUTION NO.

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, APPROVING THE REISSUANCE OF TAX-EXEMPT MULTIFAMILY HOUSING REVENUE BONDS AND CERTAIN AMENDMENTS TO THE TRUST INDENTURE FOR THE MARIPOSA APARTMENT PROJECT, A 106-UNIT MULTIFAMILY AFFORDABLE RENTAL HOUSING DEVELOPMENT LOCATED IN CARLSBAD, CALIFORNIA

WHEREAS, on June 13, 2003, the City of Carlsbad (the “City”) issued its Multifamily Housing Revenue Bonds (“Mariposa Apartments”), 2003 Series A (the “Bonds”) in the original aggregate principal amount of \$6,000,000, pursuant to the provisions of Chapter 7 of Part 5 of Division 31 of the California Health and Safety Code, to provide for the acquisition and construction of a multifamily rental housing development comprising 106 residential, multifamily affordable apartment units contained in 13 two-story buildings, known as Mariposa Apartments (the “Project”) and located in the City of Carlsbad, California; and

WHEREAS, the Project is presently owned by CIC Calavera, L.P., a California limited partnership (the “Owner”); and

WHEREAS, the Bonds are currently outstanding in the principal amount of \$3,650,000; and

WHEREAS, the Bonds are subject to mandatory tender on the Remarketing Date of February 1, 2024 and must be remarketed as set forth in that certain Trust Indenture dated as of June 1, 2003 (the “Indenture”), by and between the City, as issuer, and Computershare Trust Company, N.A., as successor trustee (the “Trustee”); and

WHEREAS, the Owner has requested that the Indenture be amended to increase the maximum Strike Rate (the remarketing interest rate) permitted therein, to facilitate the remarketing of the Bonds to the final maturity thereof (the “Amendment”); and

WHEREAS, in connection with the Amendment, a First Supplement to Trust Indenture has been prepared, to be entered into by and between the City and the Trustee, in substantially the form submitted to the City Council at this meeting (the “First Supplement to Trust Indenture”); and

WHEREAS, the Amendment may cause the Bonds to be “reissued” for federal income tax purposes; and

WHEREAS, if the Bonds are reissued, the interest of the Bonds may qualify for tax exemption under Section 103 of the Internal Revenue Code of 1986, as amended (the “Code”), only if the Bonds are approved in accordance with Section 147(f) of the Code; and

WHEREAS, pursuant to Section 147(f) of the Code, the reissuance of the Bonds must be approved by the City Council of the City of Carlsbad because the Project is located within the territorial limits of the City; and

WHEREAS, the City Council of the City of Carlsbad is the elected legislative body of the City and is one of the “applicable elected representatives” required to approve the reissuance of the Bonds under Section 147(f) of the Code; and

WHEREAS, pursuant to Section 147(f) of the Code, a notice of public hearing has been published in a newspaper of general circulation in the City, to the effect that a public hearing would be held by this City Council on the date hereof regarding the reissuance of the Bonds by the City and the nature and location of the Project; and

WHEREAS, the City Council held such public hearing, at which time an opportunity was provided to present arguments both for and against the reissuance of such Bonds and the nature and location of the Project; and

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

1. That the above recitations are true and correct.
2. The City Council approves the reissuance of the Bonds by the City, including but not limited to Bonds issued as part of a plan of financing and refinancing of the facilities described herein. It is the purpose and intent of the City Council that this resolution constitute approval of the reissuance of the Bonds by the City Council, as the applicable elected representative of the governmental unit having jurisdiction over the area in which the Project is located, in accordance with Section 147(f) of the Code.
3. The form of First Supplement to Trust Indenture (a copy of which is on file with the City Clerk and which is hereby declared to be a part of this Resolution as if fully set forth herein) submitted to the City Council is approved. The Mayor, the City Manager, the Assistant City Manager, any Deputy City Manager, the City Treasurer and the City Clerk

or the designee thereof (each, an “Authorized Officer”) are each authorized and directed, for and in the name of the City, to execute and deliver the First Supplement to Trust Indenture in the form hereby approved, with such additions thereto and changes therein as the officers executing the same deem necessary, and approval of such additions and changes shall be conclusively evidenced by the execution and delivery of such First Supplement to Trust Indenture by such officer or officers. The First Supplement to Trust Indenture shall be executed and delivered if an Authorized Officer determines, in consultation with Stradling Yocca Carlson & Rauth (the City’s Bond Counsel), that the Amendment is necessary and appropriate to accomplish the remarketing of the Bonds to the Maturity Date.

4. The adoption of this Resolution shall not obligate the City of Carlsbad or any department thereof to (i) approve any application or request for or take any other action in connection with any planning approval, permit or other action necessary for the acquisition, construction, rehabilitation, installation or operation of the Project; or (ii) make any contribution or advance any funds whatsoever to the Owner.
5. The Authorized Officers of the City of Carlsbad are authorized and directed, jointly and severally, to do any and all things and to execute and deliver any and all documents which they deem necessary or advisable in order to carry out, give effect to and comply with the terms and intent of this resolution and the transaction approved hereby.
6. This resolution shall take effect immediately upon its adoption.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the __ day of ____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

FIRST SUPPLEMENT TO TRUST INDENTURE

by and between

CITY OF CARLSBAD

and

**COMPUTERSHARE TRUST COMPANY, N.A.,
as Trustee**

Relating to

**\$6,000,000
CITY OF CARLSBAD
MULTIFAMILY HOUSING REVENUE BONDS
(MARIPOSA APARTMENTS) 2003 SERIES A**

FIRST SUPPLEMENT TO TRUST INDENTURE

This FIRST SUPPLEMENT TO TRUST INDENTURE (the “Supplement”) is executed and entered into as of February 1, 2024 by and between the CITY OF CARLSBAD (the “City”) and COMPUTERSHARE TRUST COMPANY, N.A., a banking association organized and existing under the laws of the United States, as successor to Wells Fargo Bank, National Association, as trustee (the “Trustee”);

WITNESSETH:

WHEREAS, the Trustee and the City previously executed and entered into a Trust Indenture (the “Indenture”), dated as of June 1, 2003, in connection with the issuance of the \$6,000,000 City of Carlsbad Multifamily Housing Revenue Bonds (Mariposa Apartments) 2003 Series A (the “Bonds”); and

WHEREAS, the Indenture provides for the remarketing of the Bonds on the remarketing date of February 1, 2024 at a Remarketing Rate not to exceed the Strike Rate (as defined in the Indenture); and

WHEREAS, the Remarketing Agent has determined that the Bonds cannot be remarketed for a period extending to the Maturity Date unless the Strike Rate is amended to increase the maximum Strike Rate; and

WHEREAS, Section 11.1(xii) of the Indenture expressly permits the City to amend the Indenture (without the consent of any Bond Owners) in connection with the remarketing of Bonds following any mandatory tender of the Bonds pursuant to Section 2.17 if such change is effective only after mandatory purchase; and

WHEREAS, the Rating Agency has confirmed that this Supplement will not result in a suspension, withdrawal, or downgrade of the rating on the Bonds; and

WHEREAS, the Credit Provider and the Borrower have each consented in writing to this Supplement; such written consents are attached hereto; and

WHEREAS, the City desires to amend the Indenture to (a) increase the maximum Strike Rate and (b) provide for and refer to a Tax Certificate of the Borrower and Issuer dated concurrently herewith.

NOW, THEREFORE, IN CONSIDERATION OF THE MUTUAL AGREEMENTS AND COVENANTS CONTAINED HEREIN AND FOR OTHER VALUABLE CONSIDERATION, THE PARTIES HERETO DO HEREBY AGREE AS FOLLOWS:

Section 1. Amendments to Section 1.2 of the Indenture.

(a) Commencing upon the Effective Date of this Supplement, the term “Strike Rate” shall mean 4.408% per annum or such other per annum interest rate as may be approved by the Credit Provider in its sole discretion, but in no event higher than 12.00%.

(b) Commencing upon the Effective Date of this Supplement, the term “Tax Certificate” shall mean that certain Tax Certificate dated the Effective Date, executed and delivered by the Issuer and the Borrower.

Section 2. Supplemental Indenture. This Supplement is executed, delivered and effective as of February 1, 2024 (the “Effective Date”) in accordance with Article 11 of the Indenture. Except as expressly set forth in this Supplement, the Indenture shall continue in full force and effect in accordance with its terms. The City, by its execution of this Supplement, requests the Trustee join in the execution and delivery of this Supplement. The Trustee hereby acknowledges receipt of all instruments and documentation necessary to enable the Trustee to execute this Supplement.

Section 3. Definitions. Initially capitalized terms not defined herein shall have the meaning ascribed to them in the Indenture.

Section 4. Counterparts. This Supplement may be executed in any number of counterparts, each of which shall be an original and all of which shall constitute but one and the same instrument.

[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK.]

IN WITNESS WHEREOF, the parties hereto have executed and entered into this First Supplement to Trust Indenture by their officers thereunto duly authorized as of the day and year first above written.

COMPUTERSHARE TRUST COMPANY, N.A.,
as Trustee

By: _____
Authorized Signatory

CITY OF CARLSBAD

By: _____
Scott Chadwick, City Manager

ATTEST:

Sherry Freisinger, City Clerk

FANNIE MAE CONSENT

Pursuant to Section 11.7 of that certain Trust Indenture dated as of June 1, 2003 (the “Indenture”) between the City of Carlsbad (the “Issuer”) and Computershare Trust Company, N.A., as successor Trustee under the Indenture (the “Trustee”), the undersigned, on behalf of Fannie Mae, consents to the terms and the making of the following:

1. First Supplement to Trust Indenture dated as of February 1, 2024 between the Issuer and the Trustee.

FANNIE MAE

By:_____

Dated: February 1, 2024

BORROWER CONSENT

Pursuant to Section 11.7 of that certain Trust Indenture dated as of June 1, 2003 (the “Indenture”) between the City of Carlsbad (the “Issuer”) and Computershare Trust Company, N.A., as successor Trustee under the Indenture (the “Trustee”), the undersigned, on behalf of CIC Calavera, L.P., consents to the terms and the making of the following:

1. First Supplement to Trust Indenture dated as of February 1, 2024 between the Issuer and the Trustee.

CIC CALAVERA, L.P.,
a California limited partnership

By: Pacific Southwest Community Development
Corporation, a California nonprofit public
benefit corporation

Its: Managing General Partner

By: _____
Robert W. Laing, Executive Director/President

By: CIC Calavera Hills II, LLC, a California limited
liability company

Its: Co-General Partner

By: Chelsea Investment Corporation, a
California corporation,

Its: Manager

By: _____
Cheri Hoffman, President

Dated: February 1, 2024



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Mick Calarco, Recreation Services Manager
mick.calarco@carlsbadca.gov, 442-339-2859
Eric Biggin, Recreation Area Manager
eric.biggin@carlsbadca.gov, 442-339-2648
Nick Stupin, Parks Planning Manager
michael.tully@carlsbadca.gov, 442-339-2527

Subject: 2024 Work Plans for the Parks & Recreation Commission, the Senior Commission and the Beach Preservation Commission

Districts: All

Recommended Actions

1. Adopt a resolution accepting the 2023 work plan report of accomplishments and approving the 2024 work plan for the Parks & Recreation Commission.
2. Adopt a resolution accepting the 2023 work plan report of accomplishments and approving the 2024 work plan for the Senior Commission.
3. Adopt a resolution accepting the 2023 work plan report of accomplishments and approving the 2024 work plan for the Beach Preservation Commission.

Executive Summary

The City Council is being asked to accept the 2023 work plan reports of accomplishments and to approve the proposed 2024 work plans for the Parks & Recreation Commission, the Senior Commission and the Beach Preservation Commission. The commissions' annual work plans are required by Carlsbad Municipal Code Section 2.15.020(C).

Several of the tasks in the 2023 work plans are either in process, recurring or ongoing. The commissions have therefore carried forward those tasks to the proposed 2024 work plans.

The purpose of these annual work plans is to encourage increased dialogue between boards and commissions and the City Council. They are also intended to ensure that boards and commissions are working in line with the priorities of the City Council.

Explanation & Analysis

Parks & Recreation Commission

The City Council approved the 2023 work plan for the Parks & Recreation Commission on Jan. 10, 2023. The commission's report of accomplishments outlines the status of the 2023 work plan's goals and tasks (Exhibit 1, Attachment A).

Staff assisted the commission in drafting a 2024 work plan that is consistent with the duties described in the Carlsbad Municipal Code chapter that governs the commission, Chapter 2.36. Staff also prepared selective support references from the Parks & Recreation Department Master Plan Update. The proposed 2024 work plan for the commission includes edits to the 2023 work plan, as shown in Exhibit 4. At the regularly scheduled meeting on Nov. 20, 2023, the commission voted unanimously to accept the 2024 work plan and to recommend that the City Council approve it (Exhibit 1, Attachment B).

Senior Commission

The City Council approved the 2023 work plan for the Senior Commission on Jan. 10, 2023. The commission's report of accomplishments outlines the status of the 2023 work plan's goals and tasks (Exhibit 2, Attachment A).

Staff assisted the commission in drafting a 2024 work plan that is consistent with the duties described in the Carlsbad Municipal Code chapter that governs the commission, Chapter 2.38. Staff also prepared selective support references from the Parks & Recreation Department Master Plan Update and the Age Friendly Carlsbad Action Plan. The proposed 2024 work plan for the commission includes edits to the 2023 work plan, as shown in Exhibit 5. At the regularly scheduled meeting on Dec. 7, 2023, the commission voted unanimously to accept the 2024 work plan and to recommend that the City Council approve it (Exhibit 2, Attachment B).

Beach Preservation Commission

The City Council approved the 2023 work plan for the Beach Preservation Commission on Jan. 10, 2023. The commission's report of accomplishments outlines the status of the 2023 work plan's goals and tasks (Exhibit 3, Attachment A).

Staff assisted the commission in drafting an updated work plan that is consistent with the duties described in the Carlsbad Municipal Code chapter that governs the commission, Chapter 2.34. The proposed 2024 work plan for the commission includes edits to the 2023 work plan, as shown in Exhibit 6. At the regularly scheduled meeting on Dec. 5, 2023, the commission voted unanimously to accept the 2024 work plan and to recommend that the City Council approve it (Exhibit 3, Attachment B).

Fiscal Analysis

Sufficient funds are available to address these work plans. No new appropriations are needed.

Next Steps

The commissions and staff will focus efforts on the activities listed in the approved work plans.

Environmental Evaluation

The recommended action does not require environmental review because it does not constitute a project within the meaning of the California Environmental Quality Act under California Public Resources Code Section 21065 in that it has no potential to cause either a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment.

Exhibits

1. City Council resolution - 2024 Parks & Recreation Commission Work Plan
2. City Council resolution - 2024 Senior Commission Work Plan
3. City Council resolution - 2024 Beach Preservation Commission Work Plan
4. 2023 Parks & Recreation Commission Work Plan showing proposed changes
5. 2023 Senior Commission Work Plan showing proposed changes
6. 2023 Beach Preservation Commission Work Plan showing proposed changes

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, ACCEPTING THE 2023 WORK PLAN REPORT OF ACCOMPLISHMENTS AND APPROVING THE 2024 WORK PLAN FOR THE PARKS & RECREATION COMMISSION

WHEREAS, the City Council of the City of Carlsbad, California has determined that annual work plans ensure boards and commissions are working in line with the priorities of the City Council; and

WHEREAS, Chapter 2.15 of the Carlsbad Municipal Code (CMC) requires that each board or commission provide to the City Council for its approval an annual work plan of activities to be undertaken by the board or commission and a subsequent report of its accomplishments; and

WHEREAS, the mission of the Parks & Recreation Commission is to promote community health and wellness while supporting a culture that embraces change and continuous improvement; and

WHEREAS, Chapter 2.36 of the CMC details the composition of the Parks & Recreation Commission; and

WHEREAS, on Jan. 10, 2023, the City Council approved the 2023 work plan for the Parks & Recreation Commission; and

WHEREAS, the commission's report of accomplishments outlined the status of the 2023 work plan's goals and tasks; and

WHEREAS, staff assisted the commission in drafting a 2024 work plan that is consistent with the duties described in CMC Chapter 2.36; and

WHEREAS, staff also prepared selective support references from the Parks & Recreation Department Master Plan Update; and

WHEREAS, at the regularly scheduled meeting on Nov. 20, 2023, the commission voted unanimously to accept the 2024 work plan and to recommend that the City Council approve it.

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

1. That the above recitations are true and correct.
2. That the City Council accepts the 2023 work plan report of accomplishments for the Parks & Recreation Commission in Attachment A.
3. That the City Council of the City of Carlsbad approves the 2024 work plan for the Parks & Recreation Commission in Attachment B.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

**Parks & Recreation Commission
FY 2022-23 Work Plan Accomplishments**

I. Mission Statement

The Mission of the Parks & Recreation Commission is to promote community health and wellness while supporting a culture that embraces change and continuous improvement.

II. Composition

Consistent with Chapter 2.36 of the Carlsbad Municipal Code, the Parks & Recreation Commission shall consist of seven members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Parks & Recreation Commission shall have the power, and it shall be the duty of the commission, to make recommendations to the city council and to advise the council in matters pertaining to the creation, operation, maintenance, management and control of community recreation programs, of playgrounds and indoor and outdoor recreations, activities and facilities. Further, it shall be the duty of the commission to advise and make recommendations to the city council on matters pertaining to planting, trimming, pruning, and care of all trees, shrubs or plants and to the removal of all objectionable trees, shrubs and plants in and upon any park of the city. The parks and recreation commission shall have the additional power, and it shall be the duty of the commission to review tree-related issues and to determine the needs of the city with respect to its tree planting, replacement, maintenance and preservation programs.

The commission will also make recommendations to the city council on policies, regulations or ordinances pertaining to the care and protection of public trees and the selection of specific species of trees for designation along city streets, including the development of a community forest management plan for the city. In addition, in accordance with Section 11.12.150 of the municipal code, the Parks & Recreation Commission shall hear appeals from decisions of the city manager acting through the parks and recreation director or designee, regarding the planting or removal of street trees.

Parks & Recreation Commission
FY 2022-23 Work Plan Accomplishments

III. FY 2022-23 Goals & Tasks

The Parks & Recreation Commission focused on the following FY 2022-23 Goals and Tasks:

1. Advise City staff and City Council on projects and programs		
TASK	STATUS	COMMENTS/RECOMMENDATION
a. Focus on progress and impact	Accomplished and recurring/ongoing	This task is included in the updated work plan
2. Enhance accessibility, visibility and engagement		
a. Ensure a quorum at all Commission meetings	Accomplished and recurring/ongoing	This task is included in the updated work plan
b. Commission to conduct site visits to parks, facilities and programs with city staff	Accomplished and recurring/ongoing	This task received edits and is included in the updated work plan
c. Individual Commissioners to attend at least two Parks & Recreation conducted events	Recurring/ongoing	This task received edits and is included in the updated work plan
3. Broaden outreach and education		
a. Connect with other relevant agencies and organizations	Recurring/ongoing	This task is included in the updated work plan
b. Invite educational presentations at Commission meetings	Accomplished and recurring/ongoing	This task is included in the updated work plan

City of Carlsbad Parks & Recreation Commission Work Plan 2024

I. Mission Statement

The Mission of the Parks & Recreation Commission is to promote community health and wellness while supporting a culture that embraces change and continuous improvement.

II. Composition

Consistent with Chapter 2.36 of the Carlsbad Municipal Code, the Parks & Recreation Commission shall consist of seven members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Parks & Recreation Commission shall have the power, and it shall be the duty of the commission, to make recommendations to the city council and to advise the council in matters pertaining to the creation, operation, maintenance, management and control of community recreation programs, of playgrounds and indoor and outdoor recreations, activities and facilities. Further, it shall be the duty of the commission to advise and make recommendations to the city council on matters pertaining to planting, trimming, pruning, and care of all trees, shrubs or plants and to the removal of all objectionable trees, shrubs and plants in and upon any park of the city. The parks and recreation commission shall have the additional power, and it shall be the duty of the commission to review tree-related issues and to determine the needs of the city with respect to its tree planting, replacement, maintenance and preservation programs.

The commission will also make recommendations to the city council on policies, regulations or ordinances pertaining to the care and protection of public trees and the selection of specific species of trees for designation along city streets, including the development of a community forest management plan for the city. In addition, in accordance with Section 11.12.150 of the municipal code, the Parks & Recreation Commission shall hear appeals from decisions of the city manager acting through the parks and recreation director or designee, regarding the planting or removal of street trees.

III. 2024 Goals & Tasks

The Parks & Recreation Commission will focus on the following 2024 Goals and Tasks:
(Goals identified in numerals; Tasks to accomplish those Goals identified in alphas)

1. Advise city staff and City Council on projects, plans, events and programs
 - a. Focus on progress, adherence and impact

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PARKS STRATEGIES

Short Term (0-3 Years)

- Seek City Council direction on whether to pursue the construction of outdoor pickleball courts at an existing park to address the current demand

- *Complete a Parks in Lieu Fee and Parks Impact Fee Study and present its findings to the City Council for review and direction*
- *Complete construction plans, bidding and construction implementation for Stagecoach Park Community Garden*
- *Complete construction plans, bidding and construction implementation for Veterans Memorial Park*
- *Complete community engagement, conceptual design and permitting for Robertson Ranch Community Park*
- *Contribute to completing construction plans, bidding and construction implementation for Monroe Street Pool Renovation/Replacement (in support of project's lead department: Fleet & Facilities)*
- *Contribute to completing construction plans, bidding and construction implementation for Beach Access Repairs and Upgrades (in support of project's lead department: Transportation)*

Ongoing

- *Incorporate environmentally friendly practices into park design and operations, such as drought-tolerant landscaping and energy-efficient lighting*
- *Explore certifications or equivalencies, such as SITES or LEED, for new park designs or renovations*
- *Ensure full ADA access at all parks, with a focus on most immediate needs*
- *Add more trees within parks, where feasible*

MAINTENANCE AND OPERATIONS STRATEGIES

Ongoing

- *Enhance pathway and parking lot lighting, and reduce energy consumption, by converting aging incandescent systems with modern LED systems*

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- *Assess current programs and facilities to identify barriers to accessibility and develop plans to address identified barriers (in support of project's lead department: Risk Management)*
- *Explore expansion of scholarship programs and other financial assistance options, such as sliding scale fees, to help reduce barriers to program participation*
- *Evaluate offering programs at the northern, city-controlled beach*
- *Expand program offerings outdoors, including fitness, etc.*
- *Annually evaluate program lifecycles to ensure balance between different stages*
- *Offer multicultural programs that reflect the community's increasing diversity*
- *Provide accommodations, such as sign language interpretation, to make programs and facilities more inclusive*

Ongoing

- *Continue to monitor program trends to ensure ongoing alignment with community needs*
- *Utilize technology, including Augmented Reality, and Virtual Reality to enhance the program experience*

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- *Identify potential grant opportunities and develop grant proposals to secure funding*
- *Implement fee study findings to ensure fees are competitive to those fees of surrounding cities for like offerings*
- *Develop a CAPRA compliant department marketing plan to promote the various offerings*

Ongoing

- *Partner with community organizations and businesses to provide additional funding for scholarships and discounted programs*
- *Annually review and adjust program, event and facility fees to ensure they are competitive to the market*
- *Annually review athletic field use fees competitive to the market*

2. Enhance accessibility, visibility and engagement

- a. Ensure a quorum at all Commission meetings
- b. Have Commissioners conduct site visits to parks, facilities and programs
- c. Have individual Commissioners attend at least two Parks & Recreation events

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PARKS STRATEGIES

Ongoing

- *Encourage community participation in reporting maintenance or safety concerns*
- *Review the potential for adding park amenities based on the levels of service recommendations*

MAINTENANCE AND OPERATIONS STRATEGIES

Short Term = 0-3 Years

- *Continue to invest in upgrading aging infrastructure with the department's annual operating budget and – as needed – with the capital improvement program budget*

Ongoing

- *Explore grant opportunities to supplement funds for upgrades to aging infrastructure and equipment*

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Ongoing

- *Encourage feedback and open communication between the department and the community*

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- *Develop a CAPRA compliant department marketing plan to promote the various offerings*

3. Broaden outreach and education
 - a. Connect with other relevant agencies and organizations
 - b. Invite educational presentations at Commission meetings

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PARKS STRATEGIES

Short Term (0-3 Years)

- *Educate park visitors about sustainable practices and encourage them to participate in environmental initiatives*

Ongoing

- *Encourage community participation in reporting maintenance or safety concerns*

MAINTENANCE AND OPERATIONS STRATEGIES

Short Term = 0-3 Years

- *Explore partnerships with community organizations or individual volunteers to periodically provide additional maintenance support*

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- *Partner with local organizations that represent marginalized communities to receive input on program development*

Ongoing

- *Partner with healthcare organizations to provide health screenings and education to the community to the active adult population*
- *Work with community organizations and local businesses to develop partnerships that can help provide or promote new programs and event offerings*

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- *Consider revenue generation that includes corporate partnerships, sponsorships, foundations and/or naming rights opportunities*

Ongoing

Partner with community organizations and businesses to provide additional funding for scholarships and discounted programs

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, ACCEPTING THE 2023 WORK PLAN REPORT OF ACCOMPLISHMENTS AND APPROVING THE 2024 WORK PLAN FOR THE SENIOR COMMISSION

WHEREAS, the City Council of the City of Carlsbad, California has determined that annual work plans ensure boards and commissions are working in line with the priorities of the City Council; and

WHEREAS, Chapter 2.15 of the Carlsbad Municipal Code (CMC) requires that each board or commission provide to the City Council for its approval an annual work plan of activities to be undertaken by the board or commission and a subsequent report of its accomplishments; and

WHEREAS, the mission of the Senior Commission is to champion an age-inclusive environment that promotes wellness, vitality and education that leads to a vibrant quality of life; and

WHEREAS, Chapter 2.38 of the CMC details the composition of the Senior Commission; and

WHEREAS, on Jan. 10, 2023, the City Council approved the 2023 work plan for the Senior Commission; and

WHEREAS, the commission's report of accomplishments outlined the status of the 2023 work plan's goals and tasks; and

WHEREAS, staff assisted the commission in drafting a 2024 work plan that is consistent with the duties described in CMC Chapter 2.38; and

WHEREAS, staff also prepared selective support references from the Parks & Recreation Department Master Plan Update and the Age Friendly Carlsbad Action Plan; and

WHEREAS, at the regularly scheduled meeting on Dec. 7, 2023, the commission voted unanimously to accept the 2024 work plan and to recommend that the City Council approve it.

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

1. That the above recitations are true and correct.
2. That the City Council accepts the 2023 work plan report of accomplishments for the Senior Commission in Attachment A.
3. That the City Council of the City of Carlsbad approves the 2024 work plan for the Senior Commission in Attachment B.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

Senior Commission
FY 2022-23 Work Plan Accomplishments

I. Mission Statement

The Mission of the Senior Commission is to champion an age-inclusive environment that promotes wellness, vitality and education that leads to a vibrant quality of life.

II. Composition

Consistent with Chapter 2.38 of the Carlsbad Municipal Code, the Senior Commission shall consist of five members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Senior Commission shall have the responsibility to make recommendations to the city council and to advise the city council on the special needs and concerns of seniors, including the creation, operation, maintenance, management and control of senior programs, activities and facilities. The Senior Commission shall be authorized to and may receive donations, gifts, legacies, endowments or bequests made to the city or to the commission for or on behalf of the city. All donations, gifts, legacies, endowments or bequests so received by the commission shall be turned over to the city treasurer and shall be kept in a special fund to be designated as the senior fund. All moneys in the fund shall be used for promotion, supervision and operation of senior programs. No moneys in the fund shall be spent without prior council authorization.

III. FY 2022-23 Goals & Tasks

The Senior Commission focused on the following FY 2022-23 Goals and Tasks:

1. Determine the needs of adults 50+		
TASK	STATUS	COMMENTS/RECOMMENDATION
a. Participate in the needs assessment/master plan update	Accomplished and deleted	This task is deleted in the updated work plan
b. Continue annual assessment and feedback loop	Accomplished and recurring/ongoing	This task is included in the updated work plan
c. Use informal feedback received from staff and volunteers throughout the year	Accomplished and recurring/ongoing	This task is included in the updated work plan

Senior Commission
FY 2022-23 Work Plan Accomplishments

2. Support the City of Carlsbad Age-Friendly Action Plan			
a. Promote with City of Carlsbad communication tools	Accomplished and recurring/ongoing		This task is included in the updated work plan
b. Align with internal and external organizations	Accomplished and recurring/ongoing		This task is included in the updated work plan
3. Create Adult 50+ opportunities and collaborations beyond the Senior Center, through:			
a. Public sites to include parks, community centers and libraries	Accomplished and recurring/ongoing		This task is included in the updated work plan
b. Private locations such as theaters and senior living communities	Pending		This task is included in the updated work plan
c. Universities, hospitals, non-profits and other organizations	Pending		This task is included in the updated work plan
4. Increase social inclusion, enhance connectivity and minimize isolation			
a. Foster technology friendly experiences	Accomplished and recurring/ongoing		This task is included in the updated work plan
b. Offer intergenerational programs	Accomplished and recurring/ongoing		This task is included in the updated work plan
c. Increase transportation to senior services	Accomplished and recurring/ongoing		This task is included in the updated work plan
d. Enhance marketing and communication of resources to adults 50+	Accomplished and recurring/ongoing		This task is included in the updated work plan

City of Carlsbad Senior Commission Work Plan 2024

I. Mission Statement

The Mission of the Senior Commission is to champion an age-inclusive environment that promotes wellness, vitality and education that leads to a vibrant quality of life.

II. Composition

Consistent with Chapter 2.38 of the Carlsbad Municipal Code, the Senior Commission shall consist of five members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Senior Commission shall have the responsibility to make recommendations to the city council and to advise the city council on the special needs and concerns of seniors, including the creation, operation, maintenance, management and control of senior programs, activities and facilities. The Senior Commission shall be authorized to and may receive donations, gifts, legacies, endowments or bequests made to the city or to the commission for or on behalf of the city. All donations, gifts, legacies, endowments or bequests so received by the commission shall be turned over to the city treasurer and shall be kept in a special fund to be designated as the senior fund. All moneys in the fund shall be used for promotion, supervision and operation of senior programs. No moneys in the fund shall be spent without prior council authorization.

III. 2024 Goals & Tasks

The Senior Commission will focus on the following 2024 Goals and Tasks:
(Goals identified in numerals; Tasks to accomplish those Goals identified in alphas)

1. Determine the needs of Adults 50+.
 - a. Continue annual assessment and feedback loop
 - b. Use informal feedback received from staff and volunteers throughout the year

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PARKS STRATEGIES

Ongoing

- *Encourage community participation in reporting maintenance or safety concerns.*
- *Review the potential for adding park amenities based on the levels of service recommendations.*

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term (0-3 Years)

- *Assess current programs and facilities to identify barriers to accessibility and develop plans to address barriers (in support of project's lead department: Risk Management)*

2. Support the City of Carlsbad Age-Friendly Action Plan

- a. Promote with City of Carlsbad communication tools.

AGE FRIENDLY CARLSBAD ACTION PLAN GOALS & OBJECTIVES: SELECTIVE SUPPORT REFERENCE

GOALS, OBJECTIVES AND ACTIONS

Domain 1: Outdoor Spaces & Buildings

- Provide well-maintained and safe public spaces to all residents across all city-owned facilities.

Domain 2: Social & Civic Participation

- Build on and expand opportunities for social participation for all ages
- Build capacity for civic engagement, volunteerism and employment

Domain 4: Health & Wellness

- Review current health conditions for Carlsbad populations to identify areas of concern
- Provide health – related programs to expand upon the educational health resources available in Carlsbad

Domain 5: Mobility

- Support safe mobility options in the City of Carlsbad for all ages and abilities
- Provide information and education about transportation options

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

MAINTENANCE AND OPERATIONS STRATEGIES

Short Term (0-3 Years)

- Explore partnerships with community organizations or individual volunteers to periodically provide additional maintenance support

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term (0-3 Years)

- Expand program offerings outdoors, including fitness, etc.
- Annually evaluate program lifecycles to ensure balance between different stages

Ongoing

- Continue to monitor program trends to ensure alignment with community needs

3. Create Adult 50+ opportunities and collaborations beyond the Senior Center, through:
 - a. Public sites to include parks, community centers and libraries
 - b. Private locations such as theaters and senior living communities
 - c. Educational institutions, hospitals, nonprofits and other organizations

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- *Partner with local organizations that represent marginalized communities to receive input on program development*

Ongoing

- *Encourage feedback and open communication between the department and the community*
- *Partner with healthcare organizations to provide health screenings and education to the community to the active adult population*
- *Work with community organizations and local businesses to develop partnerships that can help provide or promote new programs and event offerings*

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- *Consider revenue generation that includes corporate partnerships, sponsorships, foundations and/or naming rights opportunities*
- *Identify potential grant opportunities and develop grant proposals to secure funding*

Ongoing

- *Partner with community organizations and businesses to provide additional funding for scholarships and discounted programs*

4. Increase social inclusion, enhance connectivity and minimize isolation.
 - a. Foster technology friendly experiences
 - b. Offer intergenerational programs
 - c. Increase transportation to senior services
 - d. Enhance marketing and communication of resources to adults 50+

AGE FRIENDLY CARLSBAD ACTION PLAN GOALS & OBJECTIVES SELECTIVE SUPPORT REFERENCE

GOALS, OBJECTIVES AND ACTIONS

Domain 2: Social & Civic Participation

- *Build on and expand opportunities for social participation for all ages*
- *Build capacity for civic engagement, volunteerism and employment*

Domain 5: Mobility

- *Provide information and education about transportation options*

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PARKS STRATEGIES

Ongoing

- *Ensure full ADA access at all parks, with a focus on most immediate needs*

MAINTENANCE AND OPERATIONS STRATEGIES

Ongoing

- *Enhance pathway and parking lot lighting, and reduce energy consumption, by converting aging incandescent systems with modern LED systems*

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- *Offer multicultural programs that reflect the community's increasing diversity*
- *Provide accommodations, such as sign language interpretation, to make programs and facilities more inclusive*

Ongoing

- *Utilize technology, including Augmented Reality, and Virtual Reality to enhance the program experience*

FUNDING AND MARKETING STRATEGIES

Ongoing

- *Annually review and adjust program, event and facility fees to ensure they are competitive to the market*

RESOLUTION NO. _____

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, ACCEPTING THE 2023 WORK PLAN REPORT OF ACCOMPLISHMENTS AND APPROVING THE 2024 WORK PLAN FOR THE BEACH PRESERVATION COMMISSION

WHEREAS, the City Council of the City of Carlsbad, California has determined that annual work plans ensure boards and commissions are working in line with the priorities of the City Council; and

WHEREAS, Chapter 2.15 of the Carlsbad Municipal Code (CMC) requires that each board or commission provide to the City Council for its approval an annual work plan of activities to be undertaken by the board or commission and a subsequent report of its accomplishments; and

WHEREAS, the mission of the Beach Preservation Commission is to advise the City Council and the City Manager on matters related to erosion prevention and protection/enhancement of the Carlsbad shoreline (e.g., littoral cells, sea level rise), and to study the best means to maintain beaches for the safety and optimum enjoyment of the public; and

WHEREAS, Chapter 2.34 of the CMC details the composition of the Beach Preservation Commission; and

WHEREAS, on Jan. 10, 2023, the City Council approved the 2023 work plan for the Beach Preservation Commission; and

WHEREAS, the commission's report of accomplishments outlined the status of the 2023 work plan's goals and tasks; and

WHEREAS, staff assisted the commission in drafting a 2024 work plan that is consistent with the duties described in CMC Chapter 2.34; and

WHEREAS, at the regularly scheduled meeting on Dec. 7, 2023, the commission voted unanimously to accept the 2024 work plan and to recommend that the City Council approve it.

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

1. That the above recitations are true and correct.
2. That the City Council accepts the 2023 work plan report of accomplishments for the Beach Preservation Commission in Attachment A.
3. That the City Council of the City of Carlsbad approves the 2024 work plan for the Beach Preservation Commission in Attachment B.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

Beach Preservation Commission FY 2022-23 Work Plan Accomplishments

I. Mission Statement

The Mission of the City of Carlsbad Beach Preservation Commission is to advise the City Council and the City Manager on matters related to erosion prevention and protection/enhancement of the Carlsbad shoreline (e.g., littoral cells, sea level rise et.al.), and to study the best means to maintain beaches for the safety and optimum enjoyment of the public.

II. Composition

Consistent with City Council Resolution Nos. 93-178 and 2003-120, the Beach Preservation Commission shall be an advisory commission to the City Council and the City Manager, and its seven members shall be appointed Carlsbad residents. The Commission shall investigate and report on topics or studies related to beach erosion as directed by the City Council and City Manager. Commission Members shall serve on a volunteer basis, on staggered terms. Commission Members are expected to attend all meetings, held at dates/times set by the Commission or requested by the City Council or City Manager. The Commission shall be standing, but subject to termination by the City Council if it deems the existence of the Commission is no longer necessary to the City. The Commission name was changed from its original 'Beach Erosion' to 'Beach Preservation', based on the nature of coastal awareness shifting from strictly evaluating the effects of coastal erosion to a more encompassing view of shoreline preservation.

III. FY 2021-22 Goals & Tasks

The Beach Preservation Commission focused on the following FY 2022-23 Goals and Tasks:

1. Gain a better understanding of local shoreline preservation and beach nourishment projects		
TASK	STATUS	COMMENTS/RECOMMENDATION
a. Study and investigate coastal erosion impacts to beaches through understanding of coastal processes and terminology ... -Disruption of natural sand supply and sediment flow -High intensity storms and potential flooding	Accomplished and recurring/ongoing	This task received edits to add the text <u>with an</u> understanding of coastal processes... -Edits to clarify Disruption of natural <u>sediment flow and sand supply</u> -Edits to Add text to Living Shoreline <u>and</u> shoreline buffers.

Beach Preservation Commission
FY 2022-23 Work Plan Accomplishments

-Hard stabilization structures or “coastal armoring” -Sand replenishment/beach nourishment -Living shoreline, shoreline buffers -Sea Level Rise impacts – littoral cell/Oceanside cell		
b. Review informational documents for current and future Commission Members, with items to include minutes and info from regional planning partners, e.g., SANDAG Shoreline Pres. Working Group	Accomplished and recurring/ongoing	This task is included in the updated work plan
c. Invite a coastal planner (e.g., Scripps Institution of Oceanography) to provide an advertised presentation at a Beach Preservation Commission Meeting, with a focus on educating citizens on the means and ways sandy beaches are preserved in Carlsbad.	Accomplished and recurring/ongoing	This task received edits to add the words <u>an oceanographer professional</u> and <u>could be</u> preserved....
2. Encourage private and public reps. to be engaged work together on protection and enhancement of local beaches		
a. Schedule and carry-out plans for two beach clean-up events (i.e. one mid-and one post-summer) in the northern beaches of the City of Carlsbad.	Accomplished and recurring/ongoing	This task received edits to include the text one <u>in July</u> and one <u>in October or November</u>
b. Receive updates from representatives from the three lagoon foundations in Carlsbad (Agua Hedionda, Baticuitos, and Buena Vista Lagoons)	Accomplished and recurring/ongoing	This task is included in the updated work plan Commission received updates from two of the three lagoon foundations (Agua Hedionda and Baticuitos).

Beach Preservation Commission
FY 2022-23 Work Plan Accomplishments

c. Receive updates from the California State Parks and Rec Department on local erosion issues, prevention efforts, and any beach access improvements to our local beaches	Accomplished and recurring/ongoing	This task is included in the updated work plan	
d. Upon receipt of updates from local jurisdictions (ie., lagoon foundation, SANDAG, State Parks, California Fish and Wildlife, etc.), prepare comments as a Commission to submit to the City Council regarding any comments or concerns determined to be of interest to the Council	Pending	This task is included in the updated work plan	
e. Observe king tides and extreme low tides during the winter months (i.e., December – January) onsite at the Encinas Creek dip and the South Tamarack state beach.	Pending	This task received edits to add the text <u>report on Jan. 11, Jan. 12, and Feb. 9...</u>	
3. Participate in outreach opportunities related to protection and enhancement of local beaches			
a. Look for opportunities to engage the citizens and school children of the City of Carlsbad (e.g., high school environmental/marine science clubs, et.al.) in stewardship of our coastline through events such as annual beach cleanups to encourage efforts to keep our beaches clean throughout the year	Accomplished and recurring/pending	This task is included in the updated work plan.	
b. Work with other city departments to encourage outreach for the citizens of Carlsbad to educate them on potential erosion impacts and sea level rise as shown in the City of Carlsbad Local Coastal	Pending	This task is included in the updated work plan Local Coastal Plan is still in draft form	

**Beach Preservation Commission
FY 2022-23 Work Plan Accomplishments**

Plan. Invite a city planner to provide an advertised presentation at a Beach Preservation Commission Meeting, after the California Coastal Commission's review and comment on the Local Coastal Plan.		
c. Observe and monitor local beaches and tidepools for issues contributing to degradation of beaches including feeding squirrels and other wildlife, pet waste issues, and trash	Accomplished and recurring/ongoing	This task received edits to add the text. <i>-Resulting issues shall be reported to city staff.</i>
d. Make periodic tours of beaches to assess physical conditions, usage factors and safety considerations for the beaches and potentially impacted surrounding areas. -Resulting issues shall be reported to city staff.	Accomplished and recurring/ongoing	This task is included in the updated work plan
4. Tri-annually report out the progress on completing the Goals & Tasks of the Work Plan		
a. Participate in the review of these goals and tasks during an agenda item scheduled every other meeting of the Beach Preservation Commission	Accomplished and recurring/ongoing	This task is included in the updated work plan

City of Carlsbad Beach Preservation Commission Work Plan 2024

I. Mission Statement

The Mission of the City of Carlsbad Beach Preservation Commission is to advise the City Council and the City Manager on matters related to erosion prevention and protection/enhancement of the Carlsbad shoreline (e.g., littoral cells, sea level rise et.al.), and to study the best means to maintain beaches for the safety and optimum enjoyment of the public.

II. Composition

Consistent with Chapter 2.34 of the Carlsbad Municipal Code, the Beach Preservation Commission shall consist of seven members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Commission shall investigate, research, and make recommendations to the city council and the city manager on general coastal topics, studies, and programs, including, but not limited to, the following: Protecting and enhancing the shoreline (e.g. littoral cells, and sea level rise); preventing beach erosion; and preserving and maintaining beaches for the safety and optimum enjoyment of the public. (Ord. CS-452 § 2, 2023) Commission Members shall serve on a volunteer basis, on staggered terms. Commission Members are expected to attend all meetings, held at dates/times set by the Commission or requested by the City Council or City Manager. The Commission shall be standing, but subject to termination by the City Council if it deems the existence of the Commission is no longer necessary to the City.

III. 2024 Goals & Tasks

The Beach Preservation Commission will focus on the following 2024 Goals & Tasks: (Goals identified in numerals; Tasks to accomplish those Goals identified in alphas)

1. Gain a better understanding of local shoreline preservation and beach nourishment projects.
 - a. Study and investigate coastal erosion impacts to Carlsbad beaches, with an understanding of coastal processes and terminology, including:
 - Disruption of natural sediment flow and sand supply
 - High intensity storms and potential flooding
 - Hard stabilization structures or “coastal armoring”
 - Sand replenishment/beach nourishment
 - Living shorelines and shoreline buffers
 - Sea Level Rise impacts
 - Littoral cell/Oceanside cell
 - b. Review informational documents for current and future Commission Members, with items to include:

- Minutes and information from regional planning partners such as SANDAG's Shoreline Preservation Working Group.
 - c. Invite an oceanography professional (e.g., Scripps Institution of Oceanography) to provide an advertised presentation at a Beach Preservation Commission Meeting, with a focus on educating citizens on the means and ways sandy beaches are and could be preserved in Carlsbad.
2. Encourage private and public representatives to be engaged and work together on protection and enhancement of local beaches.
- a. Schedule and carry-out plans for two beach clean-up events (i.e., one in July and one in October or November) in the northern beaches of Carlsbad.
 - b. Receive updates from representatives from the three lagoon foundations in Carlsbad (Agua Hedionda, Batiquitos, and Buena Vista Lagoons).
 - c. Receive updates from the California State Parks and Recreation Department on local erosion issues, prevention efforts, and any beach access improvements to our local beaches.
 - d. Upon receipt of updates from local jurisdictions (i.e. lagoon foundation, SANDAG, State Parks, California Fish and Wildlife, etc.), prepare comments as a Commission to submit to the City Council regarding any comments or concerns determined to be of interest to the Council.
 - e. Observe and report on Jan. 11, Jan. 12 and Feb. 9 king tides and extreme low tides during the winter months (i.e., December – January) onsite at the Encinas Creek dip and the South Tamarack State Beach.
3. Participate in outreach opportunities related to protection and enhancement of local beaches.
- a. Look for opportunities to engage the citizens and school children of the City of Carlsbad (e.g., high school environmental/marine science clubs, et. al.) in stewardship of our coastline through events such as annual beach cleanups to encourage efforts to keep our beaches clean throughout the year.
 - b. Work with other city departments to encourage outreach for the citizens of Carlsbad to educate them on potential erosion impacts and sea level rise as shown in the City of Carlsbad Local Coastal Plan. Invite a city planner to provide an advertised presentation at a Beach Preservation Commission Meeting, after the California Coastal Commission's review and comment on the Local Coastal Plan.
 - c. Observe and monitor local beaches and tidepools for issues contributing to degradation of beaches including feeding squirrels and other wildlife, pet waste issues, and trash.
 - Resulting issues requiring action shall be reported to city staff.
 - d. Make periodic tours of all Carlsbad beaches to assess physical conditions, usage factors and safety considerations for the beaches and potentially impacted surrounding areas.

4. Tri-annually report out the progress on completing the Goals & Tasks of the Beach Preservation Commission's Work Plan.
 - a. Participate in the review of these goals and tasks during an agenda item scheduled every other meeting of the Beach Preservation Commission.

City of Carlsbad Parks & Recreation Commission Work Plan 2024

I. Mission Statement

The Mission of the Parks & Recreation Commission is to promote community health and wellness while supporting a culture that embraces change and continuous improvement.

II. Composition

Consistent with Chapter 2.36 of the Carlsbad Municipal Code, the Parks & Recreation Commission shall consist of seven members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Parks & Recreation Commission shall have the power, and it shall be the duty of the commission, to make recommendations to the city council and to advise the council in matters pertaining to the creation, operation, maintenance, management and control of community recreation programs, of playgrounds and indoor and outdoor recreations, activities and facilities. Further, it shall be the duty of the commission to advise and make recommendations to the city council on matters pertaining to planting, trimming, pruning, and care of all trees, shrubs or plants and to the removal of all objectionable trees, shrubs and plants in and upon any park of the city. The parks and recreation commission shall have the additional power, and it shall be the duty of the commission to review tree-related issues and to determine the needs of the city with respect to its tree planting, replacement, maintenance and preservation programs.

The commission will also make recommendations to the city council on policies, regulations or ordinances pertaining to the care and protection of public trees and the selection of specific species of trees for designation along city streets, including the development of a community forest management plan for the city. In addition, in accordance with Section 11.12.150 of the municipal code, the Parks & Recreation Commission shall hear appeals from decisions of the city manager acting through the parks and recreation director or designee, regarding the planting or removal of street trees.

III. 2024 Goals & Tasks

The Parks & Recreation Commission will focus on the following 2024 Goals and Tasks:

(Goals identified in numerals; Tasks to accomplish those Goals identified in alphas)

1. Advise cityCity staff and City Council on projects, plans, events and programs
 - a. Focus on progress, adherence and impact

*PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: **SELECTIVE** SUPPORT REFERENCE PARKS STRATEGIES*

Short Term (0-3 Years)

- *Seek City Council direction on whether to pursue the construction of outdoor pickleball courts at an existing park to address the current demand*

- Complete a Parks in Lieu Fee and Parks Impact Fee Study and present its findings to the City Council for review and direction
- Complete construction plans, bidding and construction implementation for Stagecoach Park Community Garden
- Complete construction plans, bidding and construction implementation for Veterans Memorial Park
- Complete community engagement, conceptual design and permitting for Robertson Ranch Community Park
- Contribute to completing construction plans, bidding and construction implementation for Monroe Street Pool Renovation/Replacement (in support of project's lead department: Fleet & Facilities)
- Contribute to completing construction plans, bidding and construction implementation for Beach Access Repairs and Upgrades (in support of project's lead department: Transportation)

Ongoing

- Incorporate environmentally friendly practices into park design and operations, such as drought-tolerant landscaping and energy-efficient lighting
- Explore certifications or equivalencies, such as SITES or LEED, for new park designs or renovations
- Ensure full ADA access at all parks, with a focus on most immediate needs
- Add more trees within parks, where feasible

MAINTENANCE AND OPERATIONS STRATEGIES

Ongoing

- Enhance pathway and parking lot lighting, and reduce energy consumption, by converting aging incandescent systems with modern LED systems

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- Assess current programs and facilities to identify barriers to accessibility and develop plans to address identified barriers (in support of project's lead department: Risk Management)
- Explore expansion of scholarship programs and other financial assistance options, such as sliding scale fees, to help reduce barriers to program participation
- Evaluate offering programs at the northern, city-controlled beach
- Expand program offerings outdoors, including fitness, etc.
- Annually evaluate program lifecycles to ensure balance between different stages
- Offer multicultural programs that reflect the community's increasing diversity
- Provide accommodations, such as sign language interpretation, to make programs and facilities more inclusive

Ongoing

- Continue to monitor program trends to ensure ongoing alignment with community needs
- Utilize technology, including Augmented Reality, and Virtual Reality to enhance the program experience

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- Identify potential grant opportunities and develop grant proposals to secure funding
- Implement fee study findings to ensure fees are competitive to those fees of surrounding cities for like offerings
- Develop a CAPRA compliant department marketing plan to promote the various offerings

Ongoing

- Partner with community organizations and businesses to provide additional funding for scholarships and discounted programs
- Annually review and adjust program, event and facility fees to ensure they are competitive to the market
- Annually review athletic field use fees competitive to the market

2. Enhance accessibility, visibility and engagement

- a. Ensure a quorum at all Commission meetings
- b. Have Commissioners conduct site visits to parks, facilities and programs
- c. Have individual Commissioners attend at least two Parks & Recreation events

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: **SELECTIVE** SUPPORT REFERENCE

PARKS STRATEGIES

Ongoing

- Encourage community participation in reporting maintenance or safety concerns
- Review the potential for adding park amenities based on the levels of service recommendations

MAINTENANCE AND OPERATIONS STRATEGIES

Short Term = 0-3 Years

- Continue to invest in upgrading aging infrastructure with the department's annual operating budget and – as needed – with the capital improvement program budget

Ongoing

- Explore grant opportunities to supplement funds for upgrades to aging infrastructure and equipment

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Ongoing

- Encourage feedback and open communication between the department and the community

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- Develop a CAPRA compliant department marketing plan to promote the various offerings

3. Broaden outreach and education

- a. Connect with other relevant agencies and organizations
- b. Invite educational presentations at Commission meetings

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: **SELECTIVE** SUPPORT REFERENCE

PARKS STRATEGIES

Short Term (0-3 Years)

- Educate park visitors about sustainable practices and encourage them to participate in environmental initiatives

Ongoing

- Encourage community participation in reporting maintenance or safety concerns

MAINTENANCE AND OPERATIONS STRATEGIES

Short Term = 0-3 Years

- Explore partnerships with community organizations or individual volunteers to periodically provide additional maintenance support

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- Partner with local organizations that represent marginalized communities to receive input on program development

Ongoing

- Partner with healthcare organizations to provide health screenings and education to the community to the active adult population
- Work with community organizations and local businesses to develop partnerships that can help provide or promote new programs and event offerings

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- Consider revenue generation that includes corporate partnerships, sponsorships, foundations and/or naming rights opportunities

Ongoing

- Partner with community organizations and businesses to provide additional funding for scholarships and discounted programs——

City of Carlsbad Senior Commission Work Plan 2024

I. Mission Statement

The Mission of the Senior Commission is to champion an age-inclusive environment that promotes wellness, vitality and education that leads to a vibrant quality of life.

II. Composition

Consistent with Chapter 2.38 of the Carlsbad Municipal Code, the Senior Commission shall consist of five members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Senior Commission shall have the responsibility to make recommendations to the city council and to advise the city council on the special needs and concerns of seniors, including the creation, operation, maintenance, management and control of senior programs, activities and facilities. The Senior Commission shall be authorized to and may receive donations, gifts, legacies, endowments or bequests made to the city or to the commission for or on behalf of the city. All donations, gifts, legacies, endowments or bequests so received by the commission shall be turned over to the city treasurer and shall be kept in a special fund to be designated as the senior fund. All moneys in the fund shall be used for promotion, supervision and operation of senior programs. No moneys in the fund shall be spent without prior council authorization.

III. 2024 Goals & Tasks

The Senior Commission will focus on the following 2024 Goals and Tasks:

(Goals identified in numerals; Tasks to accomplish those Goals identified in alphas)

1. Determine the needs of Adults 50+.
 - a. Continue annual assessment and feedback loop
 - b. Use informal feedback received from staff and volunteers throughout the year

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PARKS STRATEGIES

Ongoing

- Encourage community participation in reporting maintenance or safety concerns.
- Review the potential for adding park amenities based on the levels of service recommendations.

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- Assess current programs and facilities to identify barriers to accessibility and develop plans to address barriers (in support of project's lead department: Risk Management)

2. Support the City of Carlsbad Age-Friendly Action Plan
 - a. Promote with City of Carlsbad communication tools.
 - b. Align with internal and external organizations.

AGE FRIENDLY CARLSBAD ACTION PLAN GOALS & OBJECTIVES: SELECTIVE SUPPORT REFERENCE

GOALS, OBJECTIVES AND ACTIONS

Domain 1: Outdoor Spaces & Buildings

- Provide well-maintained and safe public spaces to all residents across all city-owned facilities.

Domain 2: Social & Civic Participation

- Build on and expand opportunities for social participation for all ages
- Build capacity for civic engagement, volunteerism and employment

Domain 4: Health & Wellness

- Review current health conditions for Carlsbad populations to identify areas of concern
- Provide health – related programs to expand upon the educational health resources available in Carlsbad

Domain 5: Mobility

- Support safe mobility options in the City of Carlsbad for all ages and abilities
- Provide information and education about transportation options

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

MAINTENANCE AND OPERATIONS STRATEGIES

Short Term = 0-3 Years

- Explore partnerships with community organizations or individual volunteers to periodically provide additional maintenance support

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- Expand program offerings outdoors, including fitness, etc.
- Annually evaluate program lifecycles to ensure balance between different stages

Ongoing

- Continue to monitor program trends to ensure alignment with community needs

3. Create Adult 50+ opportunities and collaborations beyond the Senior Center, through:
 - a. Public sites to include parks, community centers and libraries
 - b. Private locations such as theaters and senior living communities
 - c. Educational institutions, hospitals, nonprofits and other organizations

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- Partner with local organizations that represent marginalized communities to receive input on program development

Ongoing

- Encourage feedback and open communication between the department and the community
- Partner with healthcare organizations to provide health screenings and education to the community to the active adult population
- Work with community organizations and local businesses to develop partnerships that can help provide or promote new programs and event offerings

FUNDING AND MARKETING STRATEGIES

Short Term = 0-3 Years

- Consider revenue generation that includes corporate partnerships, sponsorships, foundations and/or naming rights opportunities
- Identify potential grant opportunities and develop grant proposals to secure funding

Ongoing

- Partner with community organizations and businesses to provide additional funding for scholarships and discounted programs

4. Increase social inclusion, enhance connectivity and minimize isolation.
 - a. Foster technology friendly experiences
 - b. Offer intergenerational programs
 - c. Increase transportation to senior services
 - d. Enhance marketing and communication of resources to adults 50+

AGE FRIENDLY CARLSBAD ACTION PLAN GOALS & OBJECTIVES SELECTIVE SUPPORT REFERENCE

GOALS, OBJECTIVES AND ACTIONS

Domain 2: Social & Civic Participation

- Build on and expand opportunities for social participation for all ages
- Build capacity for civic engagement, volunteerism and employment

Domain 5: Mobility

- Provide information and education about transportation options

PARKS & RECREATION DEPARTMENT MASTER PLAN UPDATE: SELECTIVE SUPPORT REFERENCE

PARKS STRATEGIES

Ongoing

- Ensure full ADA access at all parks, with a focus on most immediate needs

MAINTENANCE AND OPERATIONS STRATEGIES

Ongoing

- Enhance pathway and parking lot lighting, and reduce energy consumption, by converting aging incandescent systems with modern LED systems

PROGRAMS, EVENTS AND FACILITIES STRATEGIES

Short Term = 0-3 Years

- Offer multicultural programs that reflect the community's increasing diversity
- Provide accommodations, such as sign language interpretation, to make programs and facilities more inclusive

Ongoing

- Utilize technology, including Augmented Reality, and Virtual Reality to enhance the program experience

FUNDING AND MARKETING STRATEGIES

Ongoing

- Annually review and adjust program, event and facility fees to ensure they are competitive to the market

City of Carlsbad Beach Preservation Commission Work Plan 2024

I. Mission Statement

The Mission of the City of Carlsbad Beach Preservation Commission is to advise the City Council and the City Manager on matters related to erosion prevention and protection/enhancement of the Carlsbad shoreline (e.g., littoral cells, sea level rise et.al.), and to study the best means to maintain beaches for the safety and optimum enjoyment of the public.

II. Composition

Consistent with Chapter 2.34 of the Carlsbad Municipal Code, the Beach Preservation Commission shall consist of seven members appointed by the mayor with the approval of the city council. Members shall serve four-year terms. The Commission shall investigate, research, and make recommendations to the city council and the city manager on general coastal topics, studies, and programs, including, but not limited to, the following: Protecting and enhancing the shoreline (e.g. littoral cells, and sea level rise); preventing beach erosion; and preserving and maintaining beaches for the safety and optimum enjoyment of the public. (Ord. CS-452 § 2, 2023). Commission Members shall serve on a volunteer basis, on staggered terms. Commission Members are expected to attend all meetings, held at dates/times set by the Commission or requested by the City Council or City Manager. The Commission shall be standing, but subject to termination by the City Council if it deems the existence of the Commission is no longer necessary to the City.

III. 2024 Goals & Tasks

The Beach Preservation Commission will focus on the following 2024 Goals & Tasks: (Goals identified in numerals; Tasks to accomplish those Goals identified in alphas)

1. Gain a better understanding of local shoreline preservation and beach nourishment projects.
 - a. Study and investigate coastal erosion impacts to Carlsbad beaches, with an understanding of coastal processes and terminology, including:
 - Disruption of natural sediment flow and sand supply
 - High intensity storms and potential flooding
 - Hard stabilization structures or “coastal armoring”
 - Sand replenishment/beach nourishment
 - Living shorelines and shoreline buffers
 - Sea Level Rise impacts
 - Littoral cell/Oceanside cell
 - b. Review informational documents for current and future Commission Members, with items to include:
 - Minutes and information from regional planning partners such as SANDAG’s Shoreline Preservation Working Group.

- c. Invite an oceanography professional (e.g., Scripps Institution of Oceanography) to provide an advertised presentation at a Beach Preservation Commission Meeting, with a focus on educating citizens on the means and ways sandy beaches are and could be preserved in Carlsbad.
- 2. Encourage private and public representatives to be engaged and work together on protection and enhancement of local beaches.
 - a. Schedule and carry-out plans for two beach clean-up events (i.e., one in July and one in October or November) in the northern beaches of the City of Carlsbad.
 - b. Receive updates from representatives from the three lagoon foundations in Carlsbad (Agua Hedionda, Batiquitos, and Buena Vista Lagoons).
 - c. Receive updates from the California State Parks and Recreation Department on local erosion issues, prevention efforts, and any beach access improvements to our local beaches.
 - d. Upon receipt of updates from local jurisdictions (i.e. lagoon foundation, SANDAG, State Parks, California Fish and Wildlife, etc.), prepare comments as a Commission to submit to the City Council regarding any comments or concerns determined to be of interest to the Council.
 - e. Observe and report on Jan. 11, Jan. 12 and Feb. 9 king tides and extreme low tides during the winter months (i.e., December – January) onsite at the Encinas Creek dip and the South Tamarack State Beach.
- 3. Participate in outreach opportunities related to protection and enhancement of local beaches.
 - a. Look for opportunities to engage the citizens and school children of the City of Carlsbad (e.g., high school environmental/marine science clubs, et. al.) in stewardship of our coastline through events such as annual beach cleanups to encourage efforts to keep our beaches clean throughout the year.
 - b. Work with other city departments to encourage outreach for the citizens of Carlsbad to educate them on potential erosion impacts and sea level rise as shown in the City of Carlsbad Local Coastal Plan. Invite a city planner to provide an advertised presentation at a Beach Preservation Commission Meeting, after the California Coastal Commission's review and comment on the Local Coastal Plan.
 - c. Observe and monitor local beaches and tidepools for issues contributing to degradation of beaches including feeding squirrels and other wildlife, pet waste issues, and trash.
 - Resulting issues requiring action shall be reported to city staff.
 - d. Make periodic tours of all Carlsbad beaches to assess physical conditions, usage factors and safety considerations for the beaches and potentially impacted surrounding areas.
 - Resulting issues requiring action shall be reported to city staff.

4. Tri-annually report out the progress on completing the Goals & Tasks of the Beach Preservation Commission's Work Plan.
 - a. Participate in the review of these goals and tasks during an agenda item scheduled every other meeting of the Beach Preservation Commission.



CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Tom Frank, Transportation Director/City Engineer
tom.frank@carlsbadca.gov, 442-339-2766
Lauren Ferrell, Associate Engineer
lauren.ferrell@carlsbadca.gov, 442-339-2558

Subject: Update on the Barrio Traffic Circles Project and Selecting a Traffic Calming Option for Two of the Eight Intersections

District: 1

Recommended Action

Receive an update; and

- 1) Adopt a resolution approving curb extensions at the intersections of (1) Palm Avenue and Harding Street and (2) Magnolia Avenue and Madison Street for the Barrio Traffic Circles Project; or
- 2) Adopt a resolution approving raised medians at the intersections of (1) Palm Avenue and Harding Street and (2) Magnolia Avenue and Madison Street for the Barrio Traffic Circles Project.

Executive Summary

As part of an overall goal of improving traffic safety and walkability, the Village & Barrio Master Plan calls for adding traffic circles and other traffic calming features at several intersections in the Barrio area. Based on existing conditions and community feedback, staff have designed the following as part of the Barrio Traffic Circles Project, Capital Improvement Program Project No. 4015:

- Traffic circles at five intersections
- Enhanced visibility crosswalks at one intersection
- Either curb extensions or raised medians at two intersections where traffic circles were not feasible

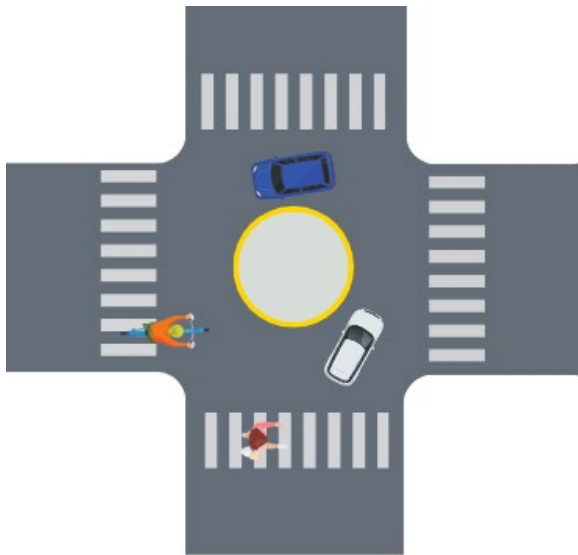
Staff are seeking the City Council's approval on the preferred design option at the two intersections where there is a choice between curb extensions and raised medians. The two intersections are located at Palm Avenue and Harding Street and Magnolia Avenue and Madison Street. Staff recommend curb extensions for both intersections, because they would preserve more on-street parking than the raised median options.

Explanation & Analysis

Given the flat terrain and proximity to the beach, Village area and Coastal Rail Trail, the Barrio is a neighborhood ideal for walking and biking. That's why the Village and Barrio Master Plan, approved by the City Council in 2019, recommended adding traffic circles and other design features that would slow down traffic, encourage safer driving behaviors, and make walking and biking more inviting.

What are traffic circles?

The second-highest cause of injury collisions in Carlsbad is violating signs and signals, followed by improper turning. Traffic circles address both causes by making physical changes to the road, which results in drivers slowing down and paying more attention to their surroundings. Traffic circles also eliminate direct left turns.



Example on Chestnut Avenue

Traffic circles are typically used in neighborhoods rather than major thoroughfares. They have a smaller footprint than roundabouts, which typically can fit within public right-of-way and place crosswalks closer to the intersection without physical splitter islands to serve as refuge for pedestrians.



Hillside traffic circle



State Street roundabout

Traffic circles have been used successfully at other intersections in Carlsbad, including the intersection of Chestnut Avenue and Jefferson Street in the Barrio. This design was recommended in the Village & Barrio Master Plan because it is the best solution to discourage speeding and improve safety in a way that fits a residential neighborhood setting. Traffic circles were also recommended because they can fit within the public right-of-way and be used for public art or decorated to fit the local character.

Proposed project

As staff began developing designs for this project, three intersections emerged as poor candidates for traffic circles:

- The Boys & Girls Club expressed concern about a traffic circle at Oak Avenue and Roosevelt Street because of potential interference with buses and cars queuing to drop off and pick up kids. Since the intersection already has an existing all-way stop, the project team proposed enhanced crosswalks as an alternative, which was acceptable to the Boys & Girls Club management team and was supported by the Traffic Safety & Mobility Commission.
- The available street right-of-way at the intersections of Palm Avenue and Harding Street and Magnolia Avenue and Madison Street was too constrained to fit traffic circles.

As a result, staff are proposing the project include these features:

Oak Avenue and Jefferson Street	Traffic circle
Pine Avenue and Harding Street	Traffic circle
Chestnut Avenue and Madison Street	Traffic circle
Chestnut Avenue and Roosevelt Street	Traffic circle
Pine Avenue and Madison Street	Traffic circle
Oak Avenue and Roosevelt Street	Enhanced crosswalks
Palm Avenue and Harding Street	Curb extension or raised median
Magnolia Avenue and Madison Street	Curb extension or raised median



Alternatives to traffic circles

Two options have been identified for the intersections of Palm Avenue and Harding Street and Magnolia Avenue and Madison Street:

Option 1 - Curb extensions

Curb extensions are placed at intersections to encourage slower turning speeds, increase the visibility of pedestrians and tighten the intersection – which encourages slower vehicle speeds – and to shorten the distance pedestrians must travel to cross the street.



Option 2 - Raised medians

Raised medians are placed in the middle of roadways to narrow traffic lanes and require horizontal deflection to slow vehicle traffic. They serve as a physical change, which requires drivers to slow down, and they can also provide a refuge for pedestrians crossing the street. Since they are installed in the middle of the roadway, the vehicle lane and bike lane shift toward the curb, eliminating more on-street parking spots than a curb extension would.



photos credit: U.S. Department of Transportation

Parking considerations

Traffic calming features often require on-street parking spaces near the intersection to be eliminated. The estimated number of on-street parking spaces that would be eliminated as a result of the traffic circles and enhanced crosswalks are:

Intersection	Feature	Spaces
Oak Avenue and Jefferson Street	Traffic circle	5
Pine Avenue and Harding Street	Traffic circle	7
Chestnut Avenue and Madison Street	Traffic circle	11
Chestnut Avenue and Roosevelt Street	Traffic circle	13
Pine Avenue and Madison Street	Traffic circle	10
Oak Avenue and Roosevelt Street	Enhanced crosswalks	0

For the two intersections that cannot accommodate traffic circles, curb extensions would require the elimination of far fewer on-street parking spaces than the raised median option, as shown in the table below:

Intersection	Curb extension*	Raised medians
Palm Avenue and Harding Street	up to 1	26
Magnolia Avenue and Madison Street	up to 2	19

* Concept level estimate; design to determine exact number needed

Exhibit 3 shows the parking impacts at the seven affected intersections.

Village and Barrio parking study

The Village & Barrio Master Plan requires an annual parking study to be completed to monitor parking availability at different times of the day and days of the week. The most recent study was completed in 2022. The 2023 parking study is nearing completion and is scheduled to be released for public review, along with updates to the city's Parking Management Plan, in early 2024.

Based on the data collected, parking use in the Barrio did not change significantly between 2022 and 2023.

Parking needs

While the Barrio generally has adequate parking to meet the current needs, some areas are considered "hot spots" at certain times of the day and days of the week when on-street parking is between 85% and 100% utilized. In addition to the city's Parking Management Plan, a parking analysis was prepared specific to the Barrio traffic circles project in 2023. The areas where traffic circles are proposed have adequate parking available during all days and times, and the project will not have a significant impact on parking availability in the study area.

According to the Village and Barrio parking study, the Madison Street and Magnolia Avenue intersection has hot spots on weekdays from 6 p.m. to 9 p.m. and on weekends from 6 a.m. to 9 a.m. and from 6 p.m. to 9 p.m. Because of this, staff recommend using curb extensions instead of raised medians to meet this project's goals. Curb extensions would provide safety enhancements while preserving nearly all on street parking.

Parking availability

Weekdays 6 a.m. to 9 a.m.



Weekdays 10 a.m. to 1 p.m.



Weekdays 6 p.m. to 9 p.m.



85 - 100% full 70 - 85% full 50 - 70% full 50% or less full

Weekends 6 a.m. to 9 a.m.



Weekends 10 a.m. to 1 p.m.



Weekends 6 p.m. to 9 p.m.



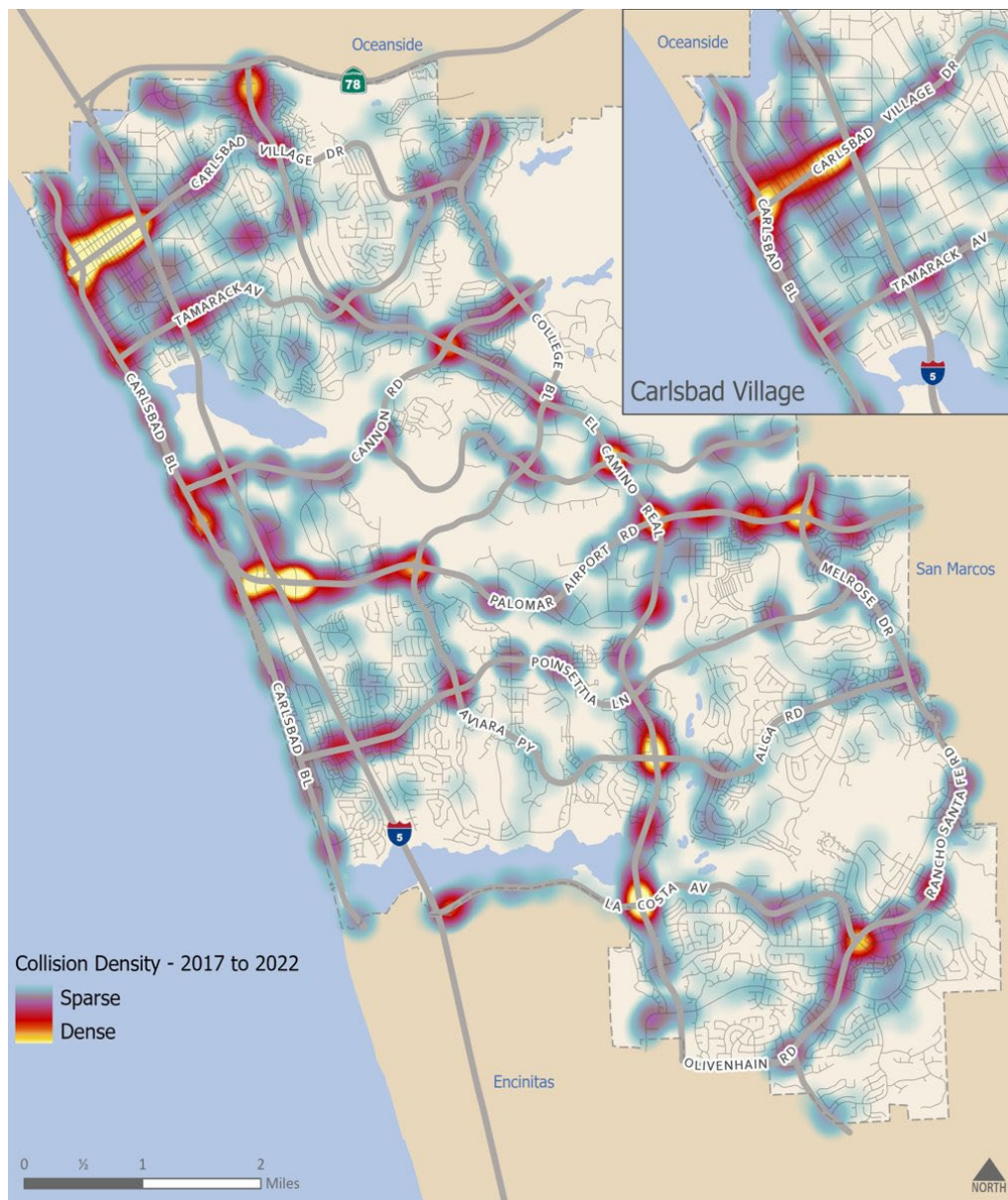
85 - 100% full 70 - 85% full 50 - 70% full 50% or less full

Project timing

Since the original project schedule was proposed, two things have caused it to be delayed:

Traffic safety emergency

On Aug. 23, 2022, the city proclaimed a traffic safety emergency. The city reprioritized some planned projects to focus on the areas with the highest incidents of injury collisions. The map below shows the concentration of injury collisions in the Barrio (see inset) compared to other areas in the city. Staff continued to work on the Barrio traffic calming project during the emergency proclamation; however, progress was slow during this time.



Injury collisions heat map

Federal grant

The city worked with U.S. Rep. Mike Levin in 2021 to secure \$4 million in federal funding for construction of the Barrio traffic calming project. This funding will help offset the cost of construction.

To obtain the grant, the city was required to complete more technical studies and obtain additional environmental clearances due to rules associated with federal funding. This additional work further delayed the project's completion.

Phased plan

To complete this project as quickly as possible, staff have developed the following phased plan:

Phase 1

Finalize engineering plans and contract documents to prepare for construction of improvements at the following six intersections:

- Oak Avenue and Roosevelt Street - Crosswalk striping improvements at the existing all-way stop
- Oak Avenue and Jefferson Street - traffic circle
- Pine Avenue and Madison Street - traffic circle
- Pine Avenue and Harding Street - traffic circle with public art
- Chestnut Avenue and Roosevelt Street - traffic circle
- Chestnut Avenue and Madison Street - traffic circle

Phase 2

- Complete design for either a curb extension design or a raised median design at the intersections of Palm Avenue and Harding Street and Magnolia Avenue and Madison Street
- Complete construction of improvements at these two intersections

Public art

Staff have begun the community engagement process for a new public artwork that will be placed in the middle of the traffic circle at Harding Street and Pine Avenue, one of the main gateways into the Barrio. This input will help inform the call for artists for this project. A public art subcommittee will then evaluate artist proposals and vote to select the artist.

The community will continue to be engaged during the development of this new artwork, the timing of which is being planned concurrently with the engineering design of the traffic circles.

Community Engagement

The Barrio Traffic Circles Project, previously called the Village and Barrio Traffic Circles Project, was developed as part of the Village & Barrio Master Plan, which included significant input from the community. Since that time, staff have kept the community informed about the project and invited feedback.

Staff presented project updates to the Traffic & Mobility Commission (now called the Traffic Safety & Mobility Commission) in April 2020 and September 2021.

Most recently, staff have notified affected property owners, business owners and residents of the proposed designs and anticipated parking impacts. These community members were invited to contact the city's project manager with questions or concerns. The next step is to present an update on the project to the Traffic Safety & Mobility Commission, which will provide an opportunity for the broader community to learn about the plans and provide feedback. Staff are targeting this presentation for early 2024.

Staff will return to the City Council for approval of the plans and specifications and authorization to bid Phase 1 for construction, which is anticipated to be in spring 2024.

Fiscal Analysis

The current estimate of the range of construction costs is between \$7 million and \$10 million. There is just over \$10 million currently appropriated in the project's budget.

The funding for the project comes from TransNet – the countywide sales tax collected for regional transportation projects, the gas tax, and \$4 million of the federal grant from the Community Project Funding/Congressionally Directed Spending program .

Once the project's preliminary designs are completed and a construction cost estimate is developed, staff will return to the City Council with a request to authorize bidding on the construction contract, along with an analysis of whether additional funds will be needed to award the contract.

Options

Staff provide the following options for the City Council's consideration:

1. Adopt a resolution approving curb extensions at the intersections of Palm Avenue and Harding Street and Magnolia Avenue and Madison Street

Pros

- Minimal street parking would need to be eliminated in areas with high parking demands
- Adequately meets the project goals to slow down traffic and enhance walkability
- Results in the least delay of the overall project timeline and next steps for approval and construction

Cons

- Vehicle drivers may not be used to the tighter curb radius requiring slower cornering speeds, so some drivers may complain about the change.

2. Adopt a resolution approving raised medians at the intersections of Palm Avenue and Harding Street and Magnolia Avenue and Madison Street

Pros

- This option meets the project goals to slow down traffic and enhance walkability

Cons

- Results in the loss of 45 parking spots in areas with high parking demands next to residential homes, apartment buildings and sports fields
- Requires additional time and funding to provide a new professional services agreement to the consultant for design and construction support
- Would add approximately 10-12 months to the completion of Phase 2. (This will not affect grant eligibility.)

Neither option would affect the timing of Phase 1, which includes the five traffic circles and one crosswalk enhancements.

Staff recommend Option 1 for the City Council's approval because it provides an improvement in safety and walkability while preserving on-street parking.

Next Steps

Early 2024	Community outreach Continue outreach to community members who may be impacted by the project Share designs more broadly with the Barrio community and other stakeholders and promote the Traffic Safety & Mobility Commission meeting in which the project will be presented
Early 2024	Caltrans Coordination Continue coordination with Caltrans for right-of-way certification, request for authorization and authorization to proceed to release the grant funding programmed for construction
Early 2024	Traffic Safety & Mobility Commission support Present final designs for Phase 1, traffic circles and enhanced crosswalks to the Traffic Safety & Mobility Commission and seek support of staff's recommendation for City Council approval
Spring 2024	City Council approval Seek City Council approval of the plans and specifications for Phase 1 and authorization to bid for construction of the project
Spring 2024	Phase 1 out to bid Continue to work on designs for Phase 2
Fall 2024	City Council approval Seek City Council approval of the construction contractor selected through the bidding process
Fall/Winter 2024-2025	Construction of Phase 1 begins Present Phase 2 designs to the Traffic Safety & Mobility Commission for support Present Phase 2 designs to the City Council for approval of plans and specifications and authorization to bid for construction of the project
Mid-2025	Phase 2 out to bid¹
Late 2025	City Council approval Seek City Council approval of the construction contractor selected through the bidding process Phase 1 construction completed
Early 2026	Phase 2 construction begins
Fall 2026	Project completed

¹Assumes Option 2 is selected. If Option 1 is selected, the schedule, which is still under development, will be shorter.

Environmental Evaluation

The decision to approve either curb extensions or raised medians at the intersections of Palm Avenue and Harding Street and Magnolia Avenue and Madison Street is exempt from further environmental review under the California Environmental Quality Act, or CEQA, in accordance with CEQA Guidelines Section 15303(d) – New Construction or Conversion of Small Structures. Curb extensions or raised medians would qualify as a Class 3 exemption under Section 15303(d). Class 3 exemptions consist of construction and location new installations, expansions of existing utilities and facilities. A notice of exemption was prepared by the City Planner for the project in accordance with the CEQA Guidelines Sections 15061 and 15062 and advertised and posted on the city's website on Dec. 28, 2023. Since no appeal was filed, the City Planner's written decision is final.

This project is also subject to the National Environmental Policy Act because federal funds are being used for the project. Staff worked with the California Department of Transportation to obtain this federal environmental clearance for the project. Additional studies were required and have been completed and approved by Caltrans. Caltrans concluded the National Environmental Policy Act clearance process and provided a categorical exclusion determination for the project on May 5, 2023. With the appropriate environmental clearances in place, all the city's procedural requirements and relevant aspects of CEQA and National Environmental Policy Act have been satisfied.

Exhibits

1. City Council resolution to approve a curb extension option (Option 1)
2. City Council resolution to approve raised median option (Option 2)
3. Maps of parking impacts

RESOLUTION NO.

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, APPROVING CURB EXTENSIONS AT THE INTERSECTIONS OF (1) PALM AVENUE AND HARDING STREET AND (2) MAGNOLIA AVENUE AND MADISON STREET FOR THE BARRIO TRAFFIC CIRCLES PROJECT

WHEREAS, the City Council of the City of Carlsbad, California has determined that it is necessary, desirable, and in the public interest to improve traffic safety and walkability at intersections in the Barrio area as part of the Village and Barrio Master Plan, and the Barrio Traffic Circles Project, Capital Improvement Program, or CIP, Project No. 4015, or Project; and

WHEREAS, curb extensions at intersections encourage slower turning speeds, increase the visibility of pedestrians and shorten the pedestrian crossing distances that would slow down traffic; and

WHEREAS, curb extensions would result in minimal on-street parking loss; and

WHEREAS, curb extension design meets the project goals to slow down traffic and enhance walkability; and

WHEREAS, curb extension design would result in the least delay of the overall project timeline for implementation; and

WHEREAS, the City Planner studied the project and performed the necessary investigations to determine if the project qualified for an exemption in accordance with the California Environmental Quality Act, or CEQA (Public Resources Code section 21000 et. seq.), its implementing regulations (the CEQA Guidelines, Article 14 of the California Code of Regulations section 15000 et. seq.), and the National Environmental Policy Act, or NEPA. The City Planner determined the project was exempt in accordance with CEQA Guidelines section 15303(d) applicable to new construction or conversion of small structures. The city distributed a notice of determination to adopt the exemption on Dec. 28, 2023. The city did not receive any comment letters on the CEQA findings and determinations. Since federal funds are being applied to this project, this project is also subject to the NEPA. Caltrans concluded NEPA clearance and provided a categorical exclusion determination for the project on May 5, 2023. No further CEQA environmental analysis is required and all aspects of CEQA and NEPA have been satisfied.

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

1. That the above recitations are true and correct.
2. That the City Council approves curb extensions at the intersections of (1) Palm Avenue and Harding Street and (2) Magnolia Avenue and Madison Street for the Barrio Traffic Circles Project, CIP Project No. 4015.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the __ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

RESOLUTION NO.

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF CARLSBAD, CALIFORNIA, APPROVING RAISED MEDIANS AT THE INTERSECTIONS OF (1) PALM AVENUE AND HARDING STREET AND (2) MAGNOLIA AVENUE AND MADISON STREET FOR THE BARRIO TRAFFIC CIRCLES PROJECT

WHEREAS, the City Council of the City of Carlsbad, California has determined that it is necessary, desirable, and in the public interest to improve traffic safety and walkability at intersections in the Barrio area as part of the Village and Barrio Master Plan, and the Barrio Traffic Circles Project, Capital Improvement Program, or CIP, Project No. 4015, or Project; and

WHEREAS, raised medians placed in the middle of the roadway to narrow traffic lanes that serve as physical changes to the street encourage drivers to slow down and can provide a refuge for pedestrian crossings; and

WHEREAS, raised medians meet the project goals to slow down traffic and enhance walkability; and

WHEREAS, the City Planner studied the project and performed the necessary investigations to determine if the project qualified for an exemption in accordance with the California Environmental Quality Act, or CEQA (Public Resources Code section 21000 et. seq.), its implementing regulations (the CEQA Guidelines, Article 14 of the California Code of Regulations section 15000 et. seq.), and the National Environmental Policy Act, or NEPA. The City Planner determined the project was exempt in accordance with CEQA Guidelines section 15303(d) applicable to new construction or conversion of small structures. The city distributed a notice of determination to adopt the exemption on Dec. 28, 2023. The city did not receive any comment letters on the CEQA findings and determinations. Since federal funds are being applied to this project, this project is also subject to the NEPA. Caltrans concluded NEPA clearance and provided a categorical exclusion determination for the project on May 5, 2023. No further CEQA environmental analysis is required and all aspects of CEQA and NEPA have been satisfied.

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

1. That the above recitations are true and correct.
2. That the City Council approves raised medians at the intersections of (1) Palm Avenue and Harding Street and (2) Magnolia Avenue and Madison Street for the Barrio Traffic Circles Project, CIP Project No. 4015.

PASSED, APPROVED AND ADOPTED at a Regular Meeting of the City Council of the City of Carlsbad on the ___ day of _____, 2024, by the following vote, to wit:

AYES:

NAYS:

ABSTAIN:

ABSENT:

KEITH BLACKBURN, Mayor

SHERRY FREISINGER, City Clerk
(SEAL)

EXHIBIT 3

Maps of Parking Impacts

Removal of street parking

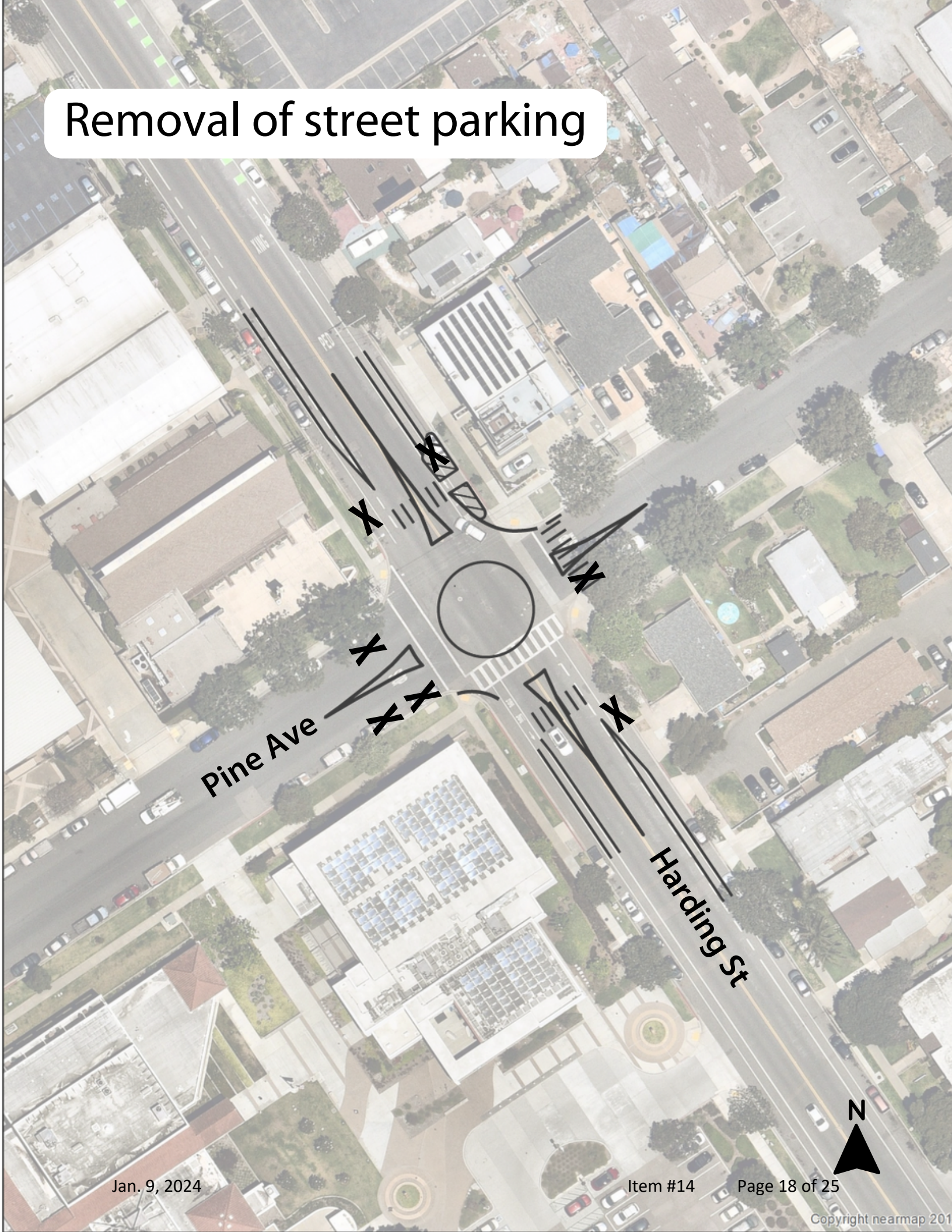


Oak Ave

Jefferson St



Removal of street parking



Pine Ave

Harding St

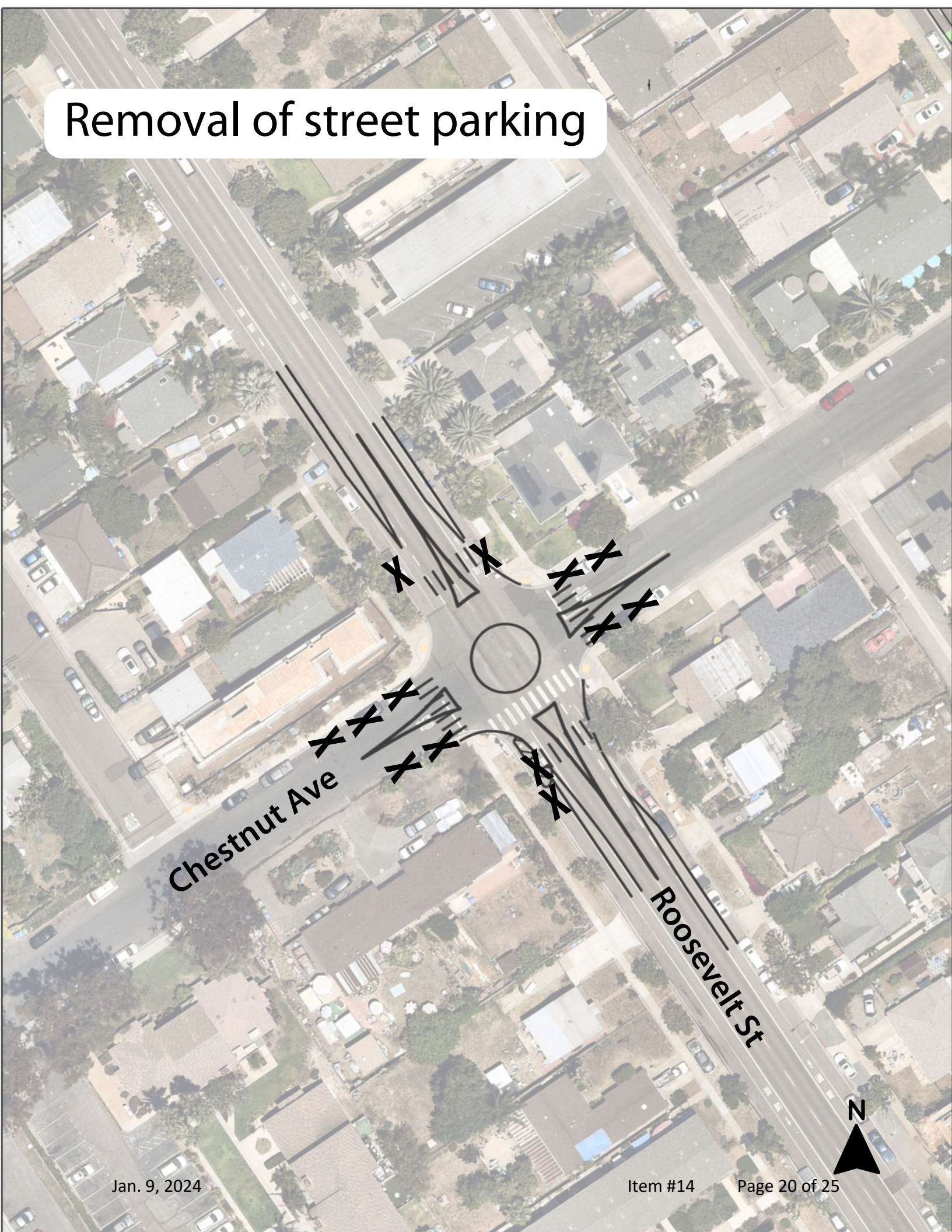
Removal of street parking

Chestnut Ave

Madison St



Removal of street parking



Chestnut Ave

Roosevelt St

N

Removal of street parking

Pine Ave

Madison St



Removal of street parking



Removal of street parking



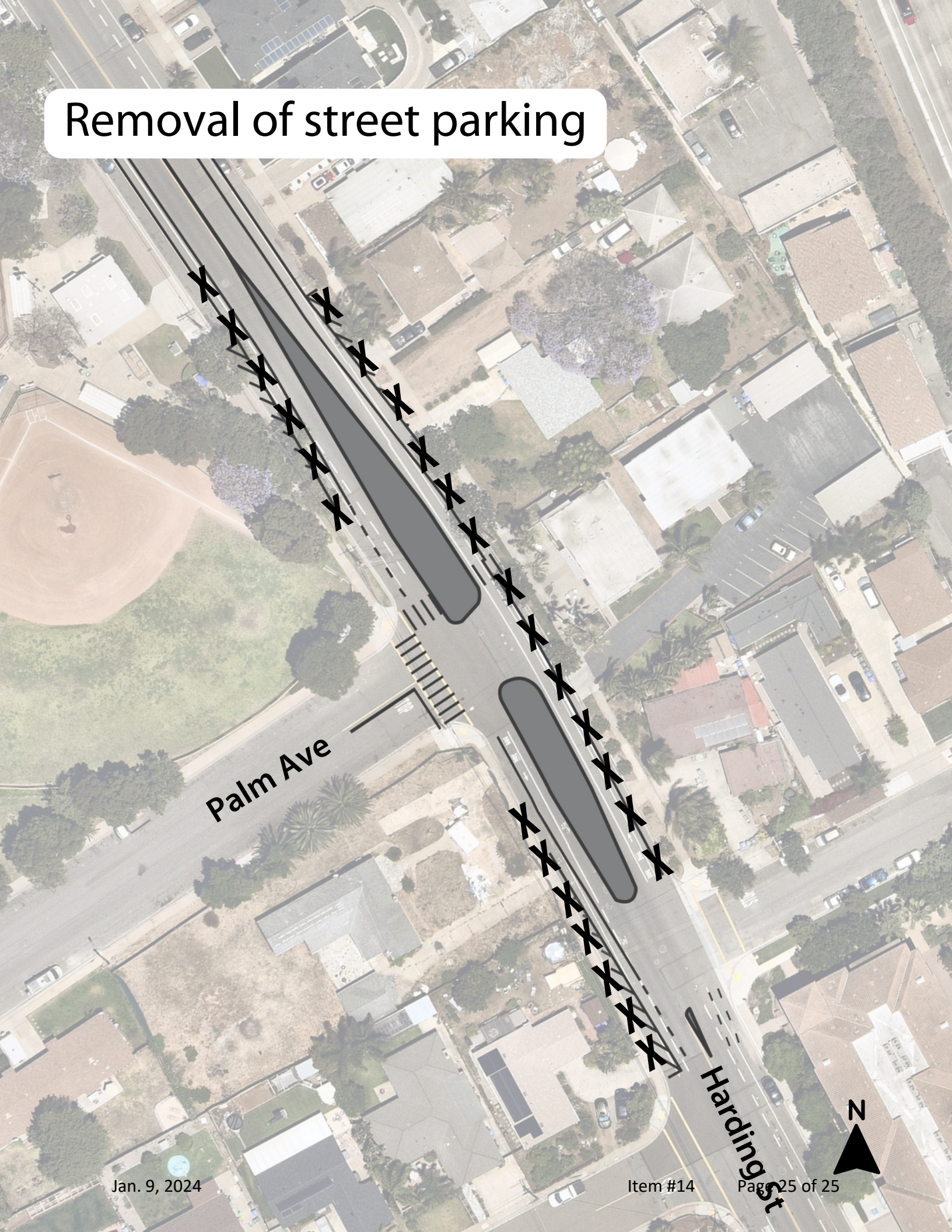
Removal of street parking

Palm Ave

Harding St



Removal of street parking



Palm Ave

Harding St





CITY COUNCIL Staff Report

Meeting Date: Jan. 9, 2024

To: Mayor and City Council

From: Scott Chadwick, City Manager

Staff Contact: Tom Frank, Transportation Director/City Engineer
tom.frank@carlsbadca.gov, 442-339-2766

Subject: Semiannual Transportation Report

Districts: All

Recommended Action

Receive the Semiannual Transportation Report.

Executive Summary

The City of Carlsbad is committed to helping everyone get around the city in a safe and convenient way, whether by foot, car, bike or public transit. In 2015, the City Council approved an updated General Plan, which included several new policies to achieve these goals. Since that time, the city's Transportation Department has been working on dozens of projects and initiatives related to transportation and traffic safety.

The changes needed to bring city streets into alignment with the policies in the General Plan will take many years to complete. In 2018, the City Council asked staff to present updates twice a year to measure progress and provide an opportunity for the community to learn about the work being done. This report provides an update on progress made since June 2023, including several projects that were added or accelerated during the citywide traffic safety emergency, from Aug. 23, 2022, to Sept. 8, 2023.

Explanation & Analysis

The Transportation Department is working on dozens of projects and initiatives designed to align city streets with the policies of the city's General Plan. The General Plan reflects changes in state law requiring cities to take a "complete streets" approach to road design. Complete streets are streets designed to accommodate all the different ways people might want to get around the city. By making streets more accessible for walking and biking, complete streets support other goals such as reducing greenhouse gases, reducing vehicle traffic, supporting a healthy lifestyle and creating a stronger sense of community.

The General Plan recognizes that one size does not fit all when it comes to transportation. The plan puts streets into different categories, each with its own set of design goals. For example, streets most conducive to walking and biking, such as those in the Village and along the coast,

prioritize wider bike lanes and sidewalks. Main thoroughfares, such as El Camino Real, prioritize car traffic.

The city's work transforming local streets was already well underway when, on Aug. 23, 2022, the city proclaimed a local traffic safety emergency. The main safety concern was related to bikes including electric bikes or e-bikes; however, the city's approach focused on encouraging safe behaviors among all road users. In response to the local emergency, the City Council approved a comprehensive approach to traffic safety. This approach, summarized in the Safer Streets Together Plan, included adding new street redesign projects and moving up the timing of others.

Below are the highlights for three significant projects from the past six months:

Reducing speeding through street design

Speeding has become a bigger problem nationwide in recent years. In Carlsbad, speeding is the number one contributing factor in injury collisions. Slowing traffic down even five mph can make a difference in the severity and survivability of collisions. Research shows that speed limits are not effective in reducing speeding, and even unenforceable if set too low for the conditions, so slowing down drivers requires actual changes to the road.

The quickest and least expensive option to slow drivers down is to change the striping to narrow vehicle lanes to appropriate widths. The city regularly repaves streets to keep the surface in good condition, which provides an opportunity to change the striping and narrow the vehicle lanes.

- Narrowing lanes encourages drivers to pay more attention and slow down
- Narrowing the lanes also opens up extra space that can be used to create bike lanes and safety buffers between sidewalks, bike lanes and car lanes
- There are national industry standards for lane widths, and all our streets meet those standards even after lane restriping
- The city's transportation engineers base the new lane width on several factors, including traffic volume, speed, type of street and location
- Designing appropriate vehicle lane widths also results in lower long-term maintenance costs for the city's pavement infrastructure and creates a steadier and improved flow of traffic with less delay at traffic signals and improved opportunities for cars turning right

One project currently underway focuses on restriping Carlsbad's major east-west corridors, as described above. The City Council authorized award of this contract on June 6, 2023. This work began in September 2023 and is expected to be completed in early 2024. When complete, staff will evaluate driver behavior and overall traffic operations, making minor adjustments as needed. These corridors are:

- Carlsbad Village Drive, from Interstate 5 to College Boulevard
- Tamarack Avenue, from Carlsbad Boulevard to Carlsbad Village Drive
- Cannon Road, from Avenida Encinas to Faraday Avenue
- Poinsettia Lane, from Carlsbad Boulevard to Melrose Drive
- La Costa Avenue, from I-5 to Fairway Lane, just past El Camino Real
- Olivenhain Road, from Encinitas city limits to Rancho Santa Fe Road

Improving crosswalks along the beach

The city has focused its safety improvements on areas with the highest rate of injury collisions. Top among these is Carlsbad Boulevard from Tamarack Avenue to the city's northern border. Since the last report, improvements to the crosswalk in front of the Army- Navy Academy have been completed, and construction is underway for five additional enhanced crosswalks at Oak, Sycamore, Maple, Cherry and Hemlock avenues.

The six crosswalks currently have existing rectangular rapid flashing beacons. The additional safety enhancements include:

- Flashing lights in the pavement across the crosswalks to help drivers see pedestrians
- The lights are activated when a pedestrian pushes the button
- Curb extensions for all the intersections except at Maple Avenue; these extensions make it easier for drivers to see people walking and reduce the distance people need to cross the street; they do not impact bicyclists in the bike lane
- High-visibility crosswalk markings on Carlsbad Boulevard and its side streets
- Green painted bicycle lanes to clearly indicate the areas where bicycle and vehicle traffic may conflict

Construction of these improvements is anticipated to be completed in spring 2024.

Expanding traffic signal capabilities

Alleviating traffic congestion remains a top priority for the city's Transportation Department. One way to do that is to adjust the timing of red and green lights based on traffic conditions. In our last update, staff reported that 95% of the city's traffic signals had been connected to a high-speed fiber network. This allows more data to travel to and from each signal, which in turn allows for better real-time adjustments to signal timing.

Over the past six months, three additional improvements have begun:

Bluetooth devices

In addition to connecting traffic signals to a new underground high-speed fiber network, staff have completed work to connect 37 Bluetooth readers to the high-speed system. These readers are attached to traffic signals at 37 of the city's busiest intersections. The Bluetooth technology can measure the flow of traffic between traffic signals and alert staff if there's unexpected slowing. For example, if there is a delay due to a traffic accident or construction, staff can make adjustments to the signal timing in the area to get cars moving again. This system has just come online.

California Department of Transportation coordination

One challenge in coordinating traffic signals to move cars more efficiently through the city is that Caltrans controls traffic signals near freeway onramps and offramps. If these signals are not in sync with the timing of city-controlled signals, backups can occur.

In the last update, staff reported that three critical Caltrans-controlled traffic signals are now being timed to coordinate with city signals. These are at El Camino Real and state Route 78, Palomar Airport Road and I-5, and Carlsbad Village Drive and I-5.

Staff are now working with Caltrans to coordinate the timing of signals at Cannon Road and I-5 and at Tamarack Avenue and I-5. The signal at Poinsettia Lane and I-5 does not have the ability to be programmed, but staff are working with Caltrans to see if that can be added.

New high-speed network

A public-private partnership with the communications infrastructure company Crown Castle enabled the city to utilize a high-speed fiber network to increase the performance of traffic signals. Before this network was available, the signals relied on wireless connectivity, which was unreliable and unable to carry the amount of data needed for the signals to achieve peak performance.

The Crown Castle fiber network allowed signals to use fiber instead of a wireless connection for the final leg of data transmission to and from the city's traffic management center. The signals still use wireless signals for part of this journey.

A new agreement approved by the City Council on Dec.12, 2023, with Netly Fiber Holdings, another communications infrastructure company, will provide access to additional high-speed fiber along Rancho Santa Fe Road in exchange for the use of the city's existing conduit. This additional capacity will enable more of the transmission to be connected via fiber optics, which will provide more reliable service. For example, wireless transmitters often need to be reset, which requires a city staff person to travel to the site and manually perform the reset. With the new fiber installation with Netly, these resets in the field will no longer be needed.

This partnership could be expanded to other areas of the city as Netly expands its high-speed network.

Past six-month accomplishments summary

The following section highlights some of the Transportation Department's additional efforts to enhance transportation infrastructure, promote sustainable mobility options, and ensure the safety and convenience of all road users:

- Completed construction of speed cushions,¹ raised crosswalks and other enhancements along Tamarack Avenue from Adams Street to Skyline Road to slow down speeds in response to community concerns
- Completed construction of more than 2,550 feet of new sidewalks
- Completed crosswalk and bike lane enhancements in front of a school and sports field near the Army-Navy Academy
- Began construction on Avenida Encinas as part of the Coastal Rail Trail to slow down speeds and enhance safety for all modes of transportation
- Completed design for a traffic calming plan on Victoria Avenue, Highland Drive, Nueva Castilla Way and Circulo Sequoia
- Initiated design for a traffic calming plan on Black Rail Road, Carrillo Way and Plum Tree Road
- Initiated another neighborhood survey for a traffic calming plan on Celinda Drive
- Held a neighborhood meeting for traffic calming on Hummingbird Road

¹ Speed cushions are speed humps or speed tables that include wheel cutouts to allow large emergency vehicles to pass unaffected, while reducing passenger car speeds.

- Deployed temporary speed feedback signs on 27 streets to address residents' speeding concerns
- Initiated community engagement to develop Safe Routes to School plans for Sage Creek High School and Jefferson Elementary School
- Continued engineering design on the next round of slurry seal and overlay projects to maintain Carlsbad's roads and extend their useful life
- Completed 90% engineering design for the Beach Access Repairs and Upgrades from Pine Avenue to Tamarack Avenue Project
- Completed 100% engineering design and continued environmental assessment and permitting process for the El Camino Real Widening from Arenal Road to La Costa Avenue
- Completed 60% engineering design and initiated environmental review and permitting for the Carlsbad Boulevard and Tamarack Avenue Intersection Improvements Project
- Collected continuous vehicle count data on El Camino Real, Palomar Airport Road, and Rancho Santa Fe to monitor monthly and seasonal variations in traffic patterns
- Provided engineering support to re-IP controller, video, and other signal equipment for data transmission on the new fiber optic communications network
- Completed server migration for central traffic system software to improve communication reliability
- Completed central traffic system software upgrade to improve remote signal controller functionality
- Completed server migration for Bluetooth travel time devices
- Established communication and required configuration updates to all Bluetooth travel time devices
- Established remote connection with offline traffic signals
- Provided engineering design support for future pedestrian traffic signal at Avenida Encinas and San Carlos Street
- Provided engineering design support for future traffic signal at Avenida Encinas and the Chick-fil-A/In-N-Out area north of Palomar Airport Road

Anticipated progress for the next six months:

- Complete construction of the east-west corridors resurfacing and restriping project
- Complete construction of pedestrian improvements along Carlsbad Boulevard
- Continue construction of safety enhancements along Avenida Encinas
- Begin construction of traffic calming improvements on Victoria Avenue, Highland Drive, Nueva Castilla Way and Circulo Sequoia
- Complete design of traffic calming plans for Black Rail Road, Carrillo Way, Nueva Castilla Way, Plum Tree Road and on Faraday Avenue along the frontage of the future Veterans Memorial Park
- Complete the planning phase of the Safe Routes to School projects for Sage Creek High School, Jefferson Elementary School and Hope Elementary School
- Finalize conceptual designs for the Tyler Street Complete Street study as originally identified in the Village and Barrio Master Plan and present to the community for input

- Initiate planning and community outreach for a long-term project to redesign Tamarack Avenue between Carlsbad Boulevard and Carlsbad Village Drive to further enhance safety for all modes of transportation
- Complete the fiscal year 2022-23 Growth Management Monitoring Report, Circulation Section
- Present the draft Sustainable Mobility Plan Implementation Plan to the Traffic Safety & Mobility Commission
- Present the draft Local Mobility Analysis Guidelines to the Traffic Safety & Mobility Commission
- Initiate the process of updating existing plans to meet the criteria of a Vision Zero Action Plan
- Prepare feasibility study and alternatives analysis for intersection control at Kelly and Park Drives and present to the Traffic Safety & Mobility Commission and the City Council
- Complete engineering plans and specifications for the Terramar Area Coastal Improvements Project
- Complete engineering plans and specifications for the Barrio Lighting Phase II Pedestrian Lighting Project and present locations to the community

Community Engagement

Staff have engaged with community members for all significant street improvement projects, including through workshops, mailers, email updates and other outreach. Staff will continue to demonstrate the city's commitment to early and meaningful community engagement as new projects prepare to begin.

Fiscal Analysis

This item is a presentation on the work related to management of the city's transportation assets, and it has no fiscal impact. No additional funding is being requested.

Next Steps

Staff will continue to provide updates on progress to provide safe and convenient options for getting around Carlsbad, whether driving, walking or biking, as part of future semiannual transportation reports. The next semiannual transportation report is expected to be presented to the City Council in July 2024.

Environmental Evaluation

This semiannual transportation report does not require environmental review because it does not constitute a project within the meaning of the California Environmental Quality Act under Public Resources Code Section 21065 in that it has no potential to cause either a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment.

Exhibits

None.