

I hereby certify that the following Agenda was posted at least 72 hours prior to the time of the Board Meeting so noticed below, at the usual agenda posting location of the South Orange County Wastewater Authority [SOCWA] and at [www.socwa.com](http://www.socwa.com).



Betty Burnett, General Manager  
SOCWA and the Board of Directors thereof

**AGENDA**

*Regular Meeting of The  
South Orange County Wastewater Authority  
Board of Directors*

June 6, 2019  
8:30 a.m.

THE BOARD OF DIRECTORS MEETING ROOM IS LOCATED AT 34156 DEL OBISPO STREET, DANA POINT, CA. THE ROOM IS WHEELCHAIR ACCESSIBLE. IF YOU REQUIRE ANY SPECIAL DISABILITY-RELATED ACCOMMODATIONS (I.E., ACCESS TO AN AMPLIFIED SOUND SYSTEM, ETC.), PLEASE CONTACT THE SOUTH ORANGE COUNTY WASTEWATER AUTHORITY'S SECRETARY'S OFFICE AT 949-234-5421 AT LEAST SEVENTY-TWO (72) HOURS PRIOR TO THE SCHEDULED MEETING. THIS AGENDA CAN BE OBTAINED IN AN ALTERNATE FORMAT UPON WRITTEN REQUEST TO THE SOUTH ORANGE COUNTY WASTEWATER AUTHORITY SECRETARY AT LEAST SEVENTY-TWO (72) HOURS PRIOR TO THE SCHEDULED MEETING.

AGENDA ATTACHMENTS AND OTHER WRITINGS THAT ARE DISCLOSABLE PUBLIC RECORDS DISTRIBUTED TO ALL, OR A MAJORITY OF, THE MEMBERS OF THE SOUTH ORANGE COUNTY WASTEWATER AUTHORITY BOARD OF DIRECTORS IN CONNECTION WITH A MATTER SUBJECT TO DISCUSSION OR CONSIDERATION AT AN OPEN MEETING OF THE BOARD OF DIRECTORS ARE AVAILABLE FOR PUBLIC INSPECTION IN THE AUTHORITY OFFICE, 34156 DEL OBISPO STREET, DANA POINT, CA ("AUTHORITY OFFICE"). IF SUCH WRITINGS ARE DISTRIBUTED TO MEMBERS OF THE BOARD OF DIRECTORS LESS THAN SEVENTY-TWO (72) HOURS PRIOR TO THE MEETING, THEY WILL BE AVAILABLE IN THE RECEPTION AREA OF THE AUTHORITY OFFICE AT THE SAME TIME AS THEY ARE DISTRIBUTED TO THE BOARD OF DIRECTORS, EXCEPT THAT, IF SUCH WRITINGS ARE DISTRIBUTED IMMEDIATELY PRIOR TO, OR DURING, THE MEETING, THEY WILL BE AVAILABLE IN THE BOARD OF DIRECTORS MEETING ROOM.

- 1. CALL MEETING TO ORDER
- 2. PLEDGE OF ALLEGIANCE
- 3. ORAL COMMUNICATIONS

A. Members of the public may address the board regarding an item on the agenda or may reserve this opportunity during the meeting at the time item is discussed by the board. There will be a three-minute limit for public comments.

4. CONSENT CALENDAR

A. Minutes of Board of Directors Meeting(s)

Board of Directors Meeting May 16, 2019..... 1

ACTION      The Board will be requested to approve subject Minutes.

**AGENDA**  
 South Orange County Wastewater Authority  
 Board of Directors Meeting  
 June 6, 2019

**B. Financial Matters**

1) Monthly Financials Report for April 2019 .....	8
a) Summary of Disbursements for April 2019 (Exhibit A) .....	9
b) Schedule of Funds Available for Reinvestment (Exhibit B) .....	10
➤ Local Agency Investment Fund (LAIF) .....	11
c) Schedule of Cash and Investments (Exhibit C) .....	12
d) Capital Schedule (Exhibit D) .....	13
➤ Capital Projects – Graph (Exhibit D-1).....	14
e) Budget vs. Actual Expenses:	
➤ Operations and Environmental Summary (Exhibit E-1).....	15
➤ Operations and Environmental by PC (E-1.2).....	17
➤ Residual Engineering, after transfer to Capital (Exhibit E-2).....	23
➤ Administration (Exhibit E-3).....	24
➤ Information Technology (IT) (Exhibit E-4).....	25

**ACTION**      Finance Committee recommends to the Board of Directors to ratify the April 2019 disbursements for the period from April 1, 2019, through April 30, 2019, totaling \$2,076,414, and to receive and file the April 2019 Financial Reports as submitted.

2) Minutes of Finance Committee Meeting(s)

a) Finance Committee Meeting April 23, 2019.....	26
b) Finance Committee Meeting March 26, 2019.....	41

**ACTION**      The Board will be requested to receive and file subject Minutes.

**D. Operational Reports**

1) Monthly Operations Report – April 2019.....	45
2) Ocean Outfall Discharges .....	55
3) Beach/Ocean Monitoring Report.....	57
4) Recycled Water Report.....	81
5) Pretreatment Report .....	85

**ACTION**      The Board will be requested to receive and file the *April 2019 Operations Report*.

**E. Capital Improvement Program**

1) Status Report(s) .....	88
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**ACTION**      The Board will be requested to receive and file subject reports.

**AGENDA**  
South Orange County Wastewater Authority  
Board of Directors Meeting  
June 6, 2019

F. Project Committee No. 15

- 1) Change Order – Hazen & Sawyer Design Services Contract [PC15] ..... 104

ACTION      The Engineering Committee recommends that the Project Committee No. 15 Board of Directors approve Change Orders 8 through 11 and 15 through 18 to the design services contract with Hazen and Sawyer for the Coastal Treatment Plant Facility Improvements Project.

- 2) Change Order – SS Mechanical Construction Contract [PC15]..... 108

ACTION      The Engineering Committee recommends that the Project Committee No. 15 Board of Directors approve Change Orders 3 and 4 to the construction contract with SS Mechanical Construction for the Coastal Treatment Plant Tertiary System Upgrades Project.

3) Minutes of Project Committee No. 15 Meeting(s)

- a) Project Committee No. 15 April 25, 2019 ..... 111
- b) Project Committee No. 15 April 2, 2019 ..... 113
- c) Project Committee No. 15 March 18, 2019..... 115
- d) Project Committee No. 15 March 6, 2019 ..... 116
- e) Project Committee No. 15 March 1, 2019 ..... 119

ACTION      The Board will be requested to receive and file subject Minutes.

5. ENGINEERING MATTERS

A. Project Committee No. 5

- 1) Contract Amendment for Engineering Services [PC 5]..... 121

ACTION      The Project Committee No. 5 Board will be requested to approve the contract amendment for engineering services for Black & Veatch at a fee of not to exceed \$98,400.

- 2) Award of Environmental Services Contract [PC 5] ..... 125

ACTION      The Project Committee No. 5 Board will be requested to approve the contract amendment for engineering services for Dudek at a fee not to exceed \$135,870.

**AGENDA**

South Orange County Wastewater Authority  
Board of Directors Meeting  
June 6, 2019

**B. Project Committee No. 15**

1) Award of a Construction Contract to PCL Construction [PC 15]..... 132

**ACTION** The Project Committee No. 15 Board will be requested to approve the Facilities Improvement Project as described herein, and approve the award of construction contract to PCL Construction at a price not to exceed \$9,209,000.

2) Award of Engineering Services during Construction [PC 15]..... 154

**ACTION** The Project Committee No. 15 Board will be requested to approve the award of the engineering services during construction contract to Hazen and Sawyer at a fee not to exceed \$490,484.

**C. Project Committee(s) No. 2 and 15**

1) Award of Construction Management Services Contract [PC 2 & 15]..... 158

**ACTION** The Project Committee No. 2 and 15 Board will be requested to approve the award of the construction management contract to Butier Engineering for the J. B. Latham Treatment Plant Package “B” Improvements and the Coastal Treatment Plant Facility Improvements Projects at a price not to exceed \$1,708,015.

**6. GENERAL MANAGER’S REPORTS**

**A. Investment Policy for Public Funds Annual Review..... 172**

**ACTION** Finance Committee recommends the Board of Directors receive and file subject report indicating there is no change to the SOCWA Investment Policy based on the annual review.

**B. Quarterly Update Cash Roll Forward (Q3, 2019)..... 181**

**ACTION**

- a) Additional Committee comments and recommendations to the Board.
- b) Board of Directors to receive and file the Q3, March 31, 2019, Report.
- c) Board to approve issuing refunds for Large Capital, PC-15 Use Audit and Additional Cash as of June 30, 2018.



**AGENDA**  
South Orange County Wastewater Authority  
Board of Directors Meeting  
June 6, 2019

OTHER MATTERS

A. Open discussion or items received too late to be agendized.

Note: Determine the need to take action on the following item(s) introduced by the General Manager which arose subsequent to the agenda being posted.

[Adoption of this action requires a two-thirds vote of the Board, or if less than two-thirds are present a unanimous vote.]

ADJOURNMENT

THE NEXT SOCWA BOARD MEETING

A SPECIAL MEETING TO CONSIDER BUDGET FY2019-20 APPROVAL ON JUNE 20, 2019 AT 10:30 A.M.

STAFF PROPOSES CANCELING THE JULY BOARD OF DIRECTORS MEETING DUE TO  
ANTICIPATED LIGHT AGENDA

**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Board of Directors**

**May 16, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Board of Directors was held on May 16, 2018, at 8:00 a.m. at the Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of the Board of Directors were present:

KATHRYN FRESHLEY, El Toro Water District	Director
STEPHAN DOPUDJA, Trabuco Canyon Water	Vice Chairman
MATT COLLINGS, Moulton Niguel Water District	Alternate Director
PAUL COOK, Irvine Ranch Water District	Alternate Director [arrival 8:38 a.m.]
TONI ISEMAN, City of Laguna Beach	Director
DAN FERONS, Santa Margarita Water District	Chairman
DENNIS ERDMAN, South Coast Water District	Director
RAY MILLER, City of San Juan Capistrano	Director
DAVE REBENDSOLF, City of San Clemente	Director [arrival 8:03 a.m.]

Absent:

MIKE DUNBAR, Emerald Bay Water District	Director
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Staff present:

BETTY BURNETT	General Manager/Secretary
ADRIANA OCHOA	Procopio Law Firm
BRIAN PECK	Director of Engineering
AMBER BAYLOR	Director of Environmental Compliance
JIM BURROR	Director of Operations
MARY CAREY	Finance Controller
JEANETTE COTINOLA	Contracts/Procurement Administrator
KONSTANTIN SHILKOV	Senior Accountant
NAYDN KIM	Accountant
JASON MANNING	Senior Engineer
ANNA SUTHERLAND	Pay Roll
RONI YOUNG	Associate Engineer
CECIL ROMERO	O & M Purchasing Inventory Specialist
DAN WHEELER	Superintendent of Operations & Maintenance
RICHARD BLAKOW	Grade III Operator
DAVID LLOYD	Information Systems Administrator
SEAN PEACHER	Environmental Compliance Safety Risk Manager
BRAD NEUFELD	Varner&Brandt [arrival 9:03 a.m.]
TERI NOSON	Clerk of the Board/Assistant Secretary

Also present:

ROD WOODS	Moulton Niguel Water District
DON FROELICH	Moulton Niguel Water District
DENNIS CAFFERTY	El Toro Water District
TREVOR AGRELIUS	Moulton Niguel Water District
MIKE PEREA	Trabuco Canyon Water District
JOE MCDIVITT	South Coast Water District
STEVE GREYSHOCK	GREYCOMM [arrival 8:47 a.m.]
RICK SHINTAKU	South Coast Water District [arrival 8:57 a.m.]

**1. Call Meeting to Order**

Chairman Ferons called the meeting to order at 8:00 a.m. and welcomed everyone present.

**2. Pledge of Allegiance**

Director Freshley led the Pledge of Allegiance to the Flag of the United States of America.

**3. Oral Comments**

Chairman Ferons asked if members of the public desired to address the Board, or desired to reserve addressing the Board during the meeting regarding any item on the Agenda. No comments were received.

Chairman Ferons reported that item 6.B. Resolution No. 2019 – 02 Commendation for Richard Blacow would be considered for Board approval prior to the Consent Calendar.

**ACTION TAKEN**

No action required.

**6.B. Resolution No. 2019 – 02 Commendation for Richard Blacow**

**ACTION TAKEN**

Motion was made by Director Erdman and seconded by Director Miller to approve Resolution No. 2019-02 and authorize Chairman Ferons to sign the Commendation for Richard Blacow on behalf of the Board of Directors of the South Orange County Wastewater Authority.

Motion carried: Aye 9; Nay 0; Abstain 0; Absent 1

Director Dunbar	Absent
Director Freshley	Aye
Vice Chairman Dopudja	Aye
Director Collings	Aye
Director Cook	Aye
Director Iseman	Aye
Chairman Ferons	Aye
Director Erdman	Aye
Director Miller	Aye
Director Rebensdorf	Aye



**4. Consent Calendar**

Chairman Ferons referenced the items under the Consent Calendar and asked if there were any questions or comments. There were none.

**ACTION TAKEN**

Motion was made by Director Miller and seconded by Director Erdman to approve the items under the consent calendar as submitted.

Motion carried: Aye 9; Nay 0; Abstain 0; Absent 1

Director Dunbar	Absent
Director Freshley	Aye
Vice Chairman Dopudja	Aye
Director Collings	Aye
Director Cook	Aye
Director Iseman	Aye
Chairman Ferons	Aye
Director Erdman	Aye
Director Miller	Aye
Director Rebensdorf	Aye

**5. Engineering Matters**

**A. Project Committee No. 2**

- 1) Award of Engineering Services During Construction to Carollo Engineers for J. B. Latham Treatment Plant Package “B” Upgrade Project [PC 2]

**ACTION TAKEN**

Motion was made by Director Erdman and seconded by Director Miller of the Project Committee No. 2 Board to approve the award of the engineering services during construction contract to Carollo Engineers at a fee not to exceed \$846,528.

Motion carried: Aye 4; Nay 0; Abstain 0; Absent 0

Director Collings	Aye
Chairman Ferons	Aye
Director Erdman	Aye
Director Miller	Aye

- 2) Award of Engineering Services During Construction to Tetra Tech Engineers for the J. B. Latham Treatment Plant Package “B” Upgrade Project [PC 2]

**ACTION TAKEN**

Motion was made by Director Erdman and seconded by Director Miller of the Project Committee No. 2 Board to approve the award of engineering services during construction contract to Tetra Tech at a fee not to exceed \$94,000.

Motion carried: Aye 4; Nay 0; Abstain 0; Absent 0  
Director Collings Aye  
Chairman Ferons Aye  
Director Erdman Aye  
Director Miller Aye

**B. Project Committee No. 17**

- 1) Construction Contract - Regional Treatment Plant Miscellaneous Improvements 2018 Project [PC 17]

**ACTION TAKEN**

Motion was made by Director Collings and seconded by Director Freshley of the Project Committee No. 17 Board to approve the following actions: 1) Reject the bids received for Regional Treatment Plant Miscellaneous Improvements 2018 Project; 2) Approve of staff negotiation with the apparent low bidder Filanc; 3) Approve award of a construction contract to Filanc at a fee not to exceed \$4,181,205.00; 4) Approve the budget increases identified in Tables 5 and 7 included in the proposed Fiscal Year 2019/2020 capital improvements budget.

Motion carried: Aye 4; Nay 0; Abstain 0; Absent 1  
Director Dunbar Absent  
Director Freshley Aye  
Director Collings Aye  
Director Iseman Aye  
Director Erdman Aye

**6. General Manager’s Reports**

**A. Resolution No. 2019 – 01 Commendation for Director Scott Goldman**

**ACTION TAKEN**

Motion was made by Director Erdman and seconded by Director Miller to approve Resolution No. 2019-01 and authorize Chairman Ferons to sign the Commendation for Scott Goldman on behalf of the Board of Directors of the South Orange County Wastewater Authority.

Motion carried: Aye 9; Nay 0; Abstain 0; Absent 1  
Director Dunbar Absent  
Director Freshley Aye  
Vice Chairman Dopudja Aye  
Director Collings Aye  
Director Cook Aye

Director Iseman	Aye
Chairman Ferons	Aye
Director Erdman	Aye
Director Miller	Aye
Director Rebensdorf	Aye

B. Resolution No. 2019 – 02 Commendation for Richard Blacow

*Note: Please refer to page 2.*

C. Contract Award to Polydyne, Inc. [PC2, 15 and 17]

**ACTION**

Motion was made by Director Erdman and seconded by Director Freshley for Project Committee(s) No. 2, 15 and 17 Board to approve the award of contract to Polydyne, Inc. for Polymer, at the rates as submitted for a 2-year term plus applicable fees and taxes, with up to three (3) annual renewals.

Motion carried: Aye 6; Nay 0; Abstain 0; Absent 1

Director Dunbar	Absent
Director Freshley	Aye
Director Collings	Aye
Director Iseman	Aye
Chairman Ferons	Aye
Director Erdman	Aye
Director Miller	Aye

D. Managing Wastewater in a Changing Climate by the Public Policy Institute of California, April 2019

Mr. Burror provided an overview of the report as submitted. An open discussion ensued.

**ACTION TAKEN** Information item only.

E. General Manager’s Status Report

Ms. Carey referenced pages 160 and 161 of the *General Manager’s Status Report* and provided a brief overview of the long-term unfunded liabilities for PERS (pension) and OPEB (retiree health Obligations). An open discussion ensued.

**ACTION TAKEN** Information item only.

F. Monthly Progress Report on State Audit Recommendations

**ACTION TAKEN** Information item only.

G. Appointment of Board Nominating Committee

ACTION TAKEN

Chairman Ferons appointed Director Reinhart and Director Erdman to the Nominating Committee for the selection of the slate of officers for Fiscal Year 2019/2020.

The Chairman adjourned the Board of Directors Meeting for a two (2) minute recess at 9:04 a.m.

The Board meeting reconvened at 9:06 a.m. and went into Closed Session at 9:06 a.m.

7. Closed Session

A. Closed Session Pursuant to Government Code Section 54957.6 Conference with Labor Negotiators

SOCWA Designated Representatives: Betty Burnett, General Manager;  
Brad Neufeld Labor Counsel

Employee Organization: SOCWA Employee Association

Open Session reconvened at 10:12 a.m.

8. Report Out of Closed Session

The Board of Directors provided direction to staff.

ACTION TAKEN

There was no reportable action.

Other Matters

Chairman Ferons asked if there were any more questions or comments from the Board. There were none.

Adjournment

There being no further business, Chairman Ferons adjourned the meeting at 10:12 a.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Board of Directors on May 16, 2019, and approved by the Board of Directors of the South Orange County Wastewater Authority.

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Betty C. Burnett, General Manager/Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

**SUMMARY OF BOARD ACTIONS  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**May 16, 2019**

<b><u>DESCRIPTION</u></b>	<b><u>MOTION MADE BY</u></b>	<b><u>ACTION</u></b>
4. Consent Calendar	Miller	Approved
5.A.1. Award of Engineering Services During Construction to Carollo Engineers for J. B. Latham Treatment Plant Package “B” Upgrade Project [PC 2]	Erdman	Approved
5.A.2. Award of Engineering Services During Construction to Tetra Tech Engineers for Latham Treatment Plant Package “B” Upgrade Project [PC 2]	Erdman	Approved
5.B. Construction Contract Regional Treatment Plant Miscellaneous Improvements 2018 Project [PC 17]	Collings	Approved
6.A. Resolution No. 2019 – 01 Commendation for Director Scott Goldman	Erdman	Approved
6.B. Resolution No. 2019 – 02 Commendation for Richard Blacow	Erdman	Approved
6.C. Contract Award to Polydyne, Inc. [PC2, 15 & 17]	Erdman	Approved

# Agenda Item

**Board of Directors Meeting**

**Meeting Date:** June 6, 2019

**TO:** Board of Directors  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** Mary Carey, Finance Controller  
**SUBJECT:** Financial Reports for the Month of April 2019

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## Summary/Discussion

The following selected financial reports are routinely provided monthly to the Finance Committee for recommendation to the Board of Directors to ratify Cash Disbursements and receive and file the remaining documents.

The reports included are as follows:

- a) Summary of Disbursements for April 2019 (Exhibit A)
- b) Schedule of Funds Available for Reinvestment (Exhibit B)
  - Local Agency Investment Fund (LAIF)
- c) Schedule of Cash and Investments (Exhibit C)
- d) Capital Schedule (Exhibit D)
  - Capital Projects – Graph (Exhibit D-1)
- e) Budget vs. Actual Expenses:
  - Operations and Environmental Summary (Exhibit E-1)
  - Operations and Environmental by PC (E-1.2)
  - Residual Engineering, after transfer to Capital (Exhibit E-2)
  - Administration (Exhibit E-3)
  - Information Technology (IT) (Exhibit E-4)

## Fiscal impact

April 2019 cash disbursements were: \$2,076,414.

- Monthly disbursements are summarized in the attached Exhibit A.
- The attached Exhibits B, C, D, and E are informational reports only.

## Recommendation

Finance Committee recommends to the Board of Directors to ratify the April 2019 disbursements for the period from April 1, 2019, through April 30, 2019, totaling \$2,076,414, and to receive and file the April 2019 Financial Reports as submitted.

**South Orange County Wastewater Authority  
Summary of Disbursements for April 2019  
Staff Recommendation of Fiscal Matters**

	<u>Actual</u>
General Fund	(452,702)
PC 2 - Jay B. Latham Plant	(442,215)
PC 3 - SOCWA Plant/PCA AWT	-
PC 5 - San Juan Creek Ocean Outfall	(10,006)
PC 8 - Pretreatment Program	(6,365)
PC 12 SO - Water Reclamation Permits	(3,564)
PC 15 - Coastal Treatment Plant/AWT	(624,214)
PC 17 - Joint Regional Wastewater Reclamation	(524,059)
PC 21 - Effluent Transmission Main	-
PC 24 - Aliso Creek Ocean Outfall	(13,290)
<b>Total</b>	<b><u><u>(\$2,076,414)</u></u></b>

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
SCHEDULE OF FUNDS AVAILABLE FOR REINVESTMENT  
as of April 30, 2019**

CASH IN BANK: (BEGINNING BAL.)	649,981
L.A.I.F. FUNDS: (BEGINNING BAL.)	16,972,523
DEPOSITS, TRANSFERS & ADJUSTMENTS:	2,940,455
FUND REQUIREMENTS:	
BILLS FOR CONSIDERATION	(2,076,414)
	<b>\$ 18,486,546</b>

In accordance with Government Code 53646(c), since all funds are placed in the State LAIF, staff has included in the Financial Packet, the most current statement from the State LAIF, in lieu of the report required by Government Code 53646(b)(1).

In accordance with requirements of the Government Code and the "SOCWA Investment Policy",

I hereby certify that:

- 1). All investment actions executed since the last report have been made in full compliance with the Investment Policy.
  
- 2). SOCWA does not have sufficient funds currently on hand to meet its expenditure obligations for the next six months (see note) due to the fact that SOCWA bills and receives operational funds on a quarterly basis only.

**Betty Burnett**  
***General Manager***

Note: Operational funds are collected on a quarterly basis at the beginning of the quarter. Capital funds are collected on a quarterly basis in connection with projected needs. Member agencies have pledged to have funds available to meet all obligations.





**CALIFORNIA STATE TREASURER  
FIONA MA, CPA**



**PMIA Performance Report**

Date	Daily Yield*	Quarter to Date Yield	Average Maturity (in days)
04/15/19	2.45	2.44	182
04/16/19	2.45	2.44	182
04/17/19	2.45	2.44	181
04/18/19	2.45	2.44	184
04/19/19	2.45	2.44	183
04/20/19	2.45	2.44	183
04/21/19	2.45	2.44	183
04/22/19	2.45	2.44	182
04/23/19	2.45	2.44	181
04/24/19	2.45	2.44	180
04/25/19	2.45	2.44	180
04/26/19	2.45	2.44	183
04/27/19	2.45	2.44	183
04/28/19	2.45	2.44	183
04/29/19	2.45	2.44	180
04/30/19	2.45	2.45	179
05/01/19	2.45	2.45	181
05/02/19	2.45	2.45	183
05/03/19	2.45	2.45	184
05/04/19	2.45	2.45	184
05/05/19	2.45	2.45	184
05/06/19	2.45	2.45	182
05/07/19	2.45	2.45	180
05/08/19	2.45	2.45	181
05/09/19	2.45	2.45	180
05/10/19	2.45	2.45	180
05/11/19	2.45	2.45	180
05/12/19	2.45	2.45	180
05/13/19	2.45	2.45	177
05/14/19	2.45	2.45	176
05/15/19	2.45	2.45	178

\*Daily yield does not reflect capital gains or losses

[View Prior Month Daily Rates](#)

**LAIF Performance Report**

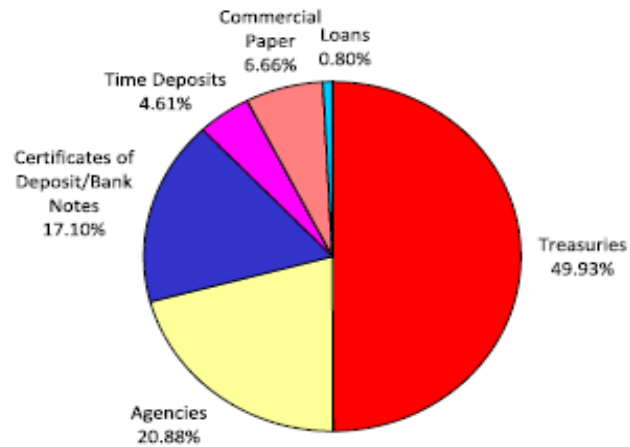
Quarter Ending 03/31/19

Apportionment Rate: 2.55  
 Earnings Ratio: 0.00006976322349099  
 Fair Value Factor: 1.000146954  
 Daily: 2.44%  
 Quarter to Date: 2.39%  
 Average Life: 179

**PMIA Average Monthly Effective Yields**

**Apr 2019 2.445**  
 Mar 2019 2.436  
 Feb 2019 2.392

**Pooled Money Investment Account  
Portfolio Composition  
04/30/19  
\$102.7 billion**



Percentages may not total 100% due to rounding

Notes: The apportionment rate includes interest earned on the CalPERS Supplemental Pension Payment pursuant to Government Code 20825 (c)(1)

Based on data available as of 05/15/2019

Exhibit C

**South Orange County Wastewater Authority  
Schedule of Cash and Investments  
as of April 30, 2019**

MVA	\$ 2,879,459	(A)
A/P Checking	\$ 305,112	(B)
Payroll Checking	\$ 93,017	(C)
State LAIF	\$ 15,208,958	(D)
<b>Total Cash in Bank</b>	<b>18,486,546</b>	
Petty Cash	\$ 1,600	(E)
<b>Total Operating Cash</b>	<b>18,488,146</b>	
OPEB Trust	\$ 5,094,902	(F)
<b>Total Cash and Investments</b>	<b>\$ 23,583,047</b>	

Notes:

- (A) Interest bearing account; all cash receipts are deposited in this account and later moved to the LAIF account.
- (B) Accounts Payable Checks are drawn against this account; money is transferred to this account, as needed, from the LAIF account.
- (C) Payroll including payroll taxes and related liabilities are drawn against this account; money is transferred into this account, as needed, from the LAIF account.
- (D) LAIF balance.
- (E) Cash on hand with GM's office and held by Chief Operators at each Treatment facility.
- (F) OPEB Trust Fund; these funds can only be used for Retiree Health Benefits.

**South Orange County Wastewater Authority  
Capital Projects Summaries  
For the Period Ended April 30, 2019**

Description	FY 2018-19 Budget vs. Actual Spending										Past Due by Fiscal Year		
	Capital Budget	Fiscal Year Spending	(Over)/ Under Budget	% Expended	Fiscal Year 18/19 Forecast	Member Agency Billed	Member Agency Collections	Current Receivables	Past Due Amount FY 18/19	FY 18/19 Unpaid Amounts	FY 17/18 Unpaid Amounts	FY 16/17 Unpaid Amounts	Total Past Due Amount
PC 2-JB Latham PC 3A	7,390,500	1,252,403	6,138,096	16.9%	4,996,403	4,367,007	1,761,055	2,605,952					
PC 5-San Juan Creek Outfall	205,148	5,073	200,075	2.5%	5,073	102,574	102,574						
PC 15-Coastal	9,976,376	1,656,310	8,320,066	16.6%	1,792,311	2,026,501	1,644,403	136,001	246,097	732,878	649,490	1,628,465	
PC 17-Regional	5,045,535	366,656	4,678,878	7.3%	1,251,223	4,114,533	3,324,626	789,907					
PC 21 Effluent Transmission	371,500	107,850	263,650	29.0%	186,226	371,504	371,504						
PC 24 Aliso Creek Outfall	135,000	825	134,175	0.6%	825	135,001	135,001						
<b>Total Large Capital</b>	<b>23,124,057</b>	<b>3,389,116</b>	<b>19,734,941</b>	<b>14.7%</b>	<b>8,232,060</b>	<b>11,117,120</b>	<b>7,339,163</b>	<b>3,531,860</b>	<b>246,097</b>	<b>732,878</b>	<b>649,490</b>	<b>1,628,465</b>	
Non-Capital Engineering	44,500	109,426	(64,926)	245.9%		44,500	44,500			585	21,831	22,416	
Small Internal Capital	2,011,000	931,486	1,079,514	46.3%		2,011,000	1,455,874	429,854	125,272	169,648	84,550	379,470	
<b>Total Capital</b>	<b>25,179,557</b>	<b>4,430,028</b>	<b>20,749,529</b>	<b>17.6%</b>	<b>8,232,060</b>	<b>13,172,620</b>	<b>8,839,537</b>	<b>3,961,714</b>	<b>371,369</b>	<b>903,111</b>	<b>755,871</b>	<b>2,030,351</b>	

(1) Schedule for Past Due Amounts as of April 30, 2019

Description	Past Due Amount MNWD	Past Due Amount TOTAL
PC 15-Coastal	1,628,465	1,628,465
PC 21-Effluent Transmission	-	-
PC 24-Aliso Creek Outfall	-	-
<b>Total Large Capital</b>	<b>1,628,465</b>	<b>1,628,465</b>
Non-Capital Engineering	22,416	22,416
Small Internal Capital	379,470	379,470
<b>Total Capital</b>	<b>2,030,351</b>	<b>2,030,351</b>

(2) Balances due are for PC 15 Coastal Treatment Plant.

# Large Capital Projects Fiscal Year '18-19 Budget vs. Year-to-Date Actual Spending as of 4/30/2019

**D-1**



Dollars

**South Orange County Wastewater Authority**  
**O & M & Environmental Safety Costs Summary**  
For the Period Ended April 30, 2019

	FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended	
<b>Salary and Fringe</b>					
**5000-**-**	Regular Salaries-O&M	4,510,404	3,421,374	1,089,030	75.9%
**5001-**-**	Overtime Salaries-O&M	115,036	160,934	(45,898)	139.9% (1)
**5306-**-**	Scheduled Holiday Work	49,860	25,179	24,681	50.5%
**5315-**-**	Comp Time - O&M	1,828	17,370	(15,542)	950.2% (1)
**5401-**-**	Fringe Benefits IN to PC's & Depts.	3,247,504	2,562,755	684,749	78.9%
**5700-**-**	Standby Pay	69,292	56,420	12,872	81.4%
	Total Payroll Costs	7,993,924	6,244,032	1,749,892	78.1%
<b>Other Expenses</b>					
**5002-**-**	Electricity	1,055,968	1,060,295	(4,327)	100.4% (2)
**5003-**-**	Natural Gas	148,532	214,569	(66,037)	144.5% (3)
**5004-**-**	Potable & Reclaimed Water	69,012	61,146	7,866	88.6%
**5005-**-**	Co-generation Power Credit	(250,012)	(300,696)	50,684	120.3% (4)
**5006-**-**	Chlorine/Sodium Hypochlorite	489,012	460,175	28,837	94.1% (5)
**5007-**-**	Polymer Products	658,028	450,202	207,826	68.4%
**5008-**-**	Ferric Chloride	265,000	300,439	(35,439)	113.4% (6)
**5009-**-**	Odor Control Chemicals	163,008	98,317	64,691	60.3%
**5010-**-**	Other Chemicals - Misc.	5,000	-	5,000	0.0%
**5011-**-**	Laboratory Services	41,696	23,877	17,819	57.3%
**5012-**-**	Grit Hauling	134,008	96,798	37,210	72.2%
**5013-**-**	Landscaping	185,008	148,367	36,641	80.2%
**5014-**-**	Engineering - Misc.	175,004	22,544	152,460	12.9%
**5015-**-**	Management Support Services	363,936	64,894	299,042	17.8%
**5016-**-**	Audit - Environmental	500	-	500	0.0%
**5017-**-**	Legal Fees	23,020	79,069	(56,049)	343.5%
**5018-**-**	Public Notices/ Public Relations	2,008	170	1,838	8.5%
**5019-**-**	Contract Services Misc.	375,012	249,202	125,810	66.5%
**5021-**-**	Small Vehicle Expense	21,024	28,423	(7,399)	135.2% (7)
**5022-**-**	Miscellaneous Expense	18,488	15,352	3,136	83.0%
**5023-**-**	Office Supplies - All	38,004	27,000	11,004	71.0%
**5024-**-**	Petroleum Products	59,980	23,301	36,679	38.8%
**5025-**-**	Uniforms	37,016	43,146	(6,130)	116.6% (8)
**5026-**-**	Small Vehicle Fuel	35,680	15,832	19,848	44.4%
**5027-**-**	Insurance - Property/Liability	185,132	140,660	44,472	76.0%
**5028-**-**	Small Tools & Supplies	85,664	64,320	21,344	75.1%
**5030-**-**	Trash Disposal	6,992	3,582	3,410	51.2%
**5031-**-**	Safety Program & Supplies	106,396	88,324	18,072	83.0%
**5032-**-**	Equipment Rental	7,008	2,006	5,002	28.6%
**5033-**-**	Recruitment	3,024	1,347	1,678	44.5%
**5034-**-**	Travel Expense/Tech. Conferences	72,068	48,062	24,006	66.7%
**5035-**-**	Training Expense	63,380	75,048	(11,668)	118.4% (9)
**5036-**-**	Laboratory Supplies	90,328	70,159	20,169	77.7%
**5037-**-**	Office Equipment	24,996	13,480	11,516	53.9%
**5038-**-**	Permits	415,952	403,307	12,645	97.0% (10)
**5039-**-**	Membership Dues/Fees	11,920	12,045	(125)	101.0%
**5044-**-**	Offshore Monitoring	36,000	29,645	6,355	82.3%
**5045-**-**	Offshore Biochemistry - 20B	110,000	-	110,000	0.0%
**5046-**-**	Effluent Chemistry	28,004	40,159	(12,155)	143.4% (11)
**5047-**-**	Access Road Expenses	48,000	28,100	19,900	58.5%
**5048-**-**	Storm Damage	20,008	136,123	(116,115)	680.3% (12)
**5049-**-**	Biosolids Disposal	1,639,008	1,074,940	564,068	65.6%
**5050-**-**	Contract Services Generators	21,004	18,604	2,400	88.6%
**5051-**-**	Contract Serv - Metering Station - 29B	0	241	(241)	0.0%
**5052-**-**	Janitorial Services	100,024	60,856	39,168	60.8%
**5053-**-**	Contract Serv - Digester Cleaning - 29E	60,000	-	60,000	0.0%
**5054-**-**	Diesel Truck Maint	41,004	17,115	23,889	41.7%
**5055-**-**	Diesel Truck Fuel	14,004	7,727	6,277	55.2%
**5056-**-**	Maintenance Equip. & Facilities (Solids)	338,000	338,223	(223)	100.1% (13)
**5057-**-**	Maintenance Equip. & Facilities (Liquids)	591,996	474,752	117,244	80.2%
**5058-**-**	Maintenance Equip. & Facilities (Common)	76,004	57,858	18,146	76.1%
**5059-**-**	Maintenance Equip. & Facilities (Co-Gen)	1,135,016	541,592	593,424	47.7%
**5060-**-**	Maintenance Equip. & Facilities (AWT)	72,000	53,631	18,369	74.5%
**5061-**-**	Mileage	2,036	2,168	(132)	106.5%
**5067-**-**	Port Cleaning	35,000	-	35,000	0.0%
**5068-**-**	MNWD Potable Water Supplies & Svcs.	24,484	29,831	(5,347)	121.8%
**5069-**-**	Misc-Capital-Dilution & Metering Study	7,996	-	7,996	0.0%
**5076-**-**	SCADA Infrastructure	57,000	306	56,694	0.5%
**5077-**-**	IT Direct	-	2,216	(2,216)	0.0%
**5101-**-**	Employee Recognition	1,004	-	1,004	0.0%
**5105-**-**	Co-Generation Power Credit - Offset	249,972	300,696	(50,724)	120.3% (4)
**5303-**-**	Group Insurance Waiver	10,824	12,018	(1,194)	111.0%
**5305-**-**	Medicare Tax Payments for Employees	9,452	4,081	5,371	43.2%
**5309-**-**	Operating Leases	31,004	15,006	15,998	48.4%
**5705-**-**	Monthly Car Allowance	25,376	23,940	1,436	94.3%
**5706-**-**	Effluent Pond Cleaning	90,000	-	90,000	0.0%
**6500-**-**	IT Allocations in to PC's & Depts.	646,448	463,596	182,852	71.7%
	Total Other Expenses	10,707,660	7,838,678	2,868,982	73.2%
		<b>18,701,584</b>	<b>14,082,710</b>	<b>4,618,874</b>	<b>75.3%</b>

- (1) Elevated overtime costs are associated with several ongoing construction projects, staff vacancies, several large Fall/Winter storm events, larger repair projects at the plants and overtime needs.  
Electricity costs are anticipated to level off.
- (2) The plants continue to see decreases in wastewater flows and loads leading to less digester gas for the new engines and increased natural gas usage.
- (3) The credit for power generated at RTP is higher than projected due to the increased value of the electricity. The value is calculated each month based on SCE rates and has doubled since 2016.
- (4) Bleach usage was elevated in the first quarter due to elevated recycled water use and decreased flows to the plant causing partial nitrification that consumes elevated levels of bleach in the disinfection process. O&M staff has removed one aeration tank from service to reduce nitrification. The change was planned for the winter to minimize potential disruptions of recycled water in the summer and fall.
- (5) Ferric Chloride usage is elevated above the budget that was based on engineering estimates for usage to maintain compliance with AQMD permits for the new engines. Budgets will be increased in FY19/20.
- (6) New vehicles were outfitted with gear for use by staff; elevating expenses for the first quarter.
- (7) Uniform expenses are elevated due to new employee change outs and required PPE has been added to employee inventories.
- (8) Training expenses have been elevated due to training for newer employees in O&M.
- (9) SOCWA permits are primarily paid in July and November each year; the RWQCB increased its fees higher than anticipated. The increase was due to a shortfall in State funding for their permitting programs.
- (10) Annual Kelp Survey as required by NPDES permit; expenses are planned to level off.
- (11) The FY16-17 storm damage repair was completed and was determined to be a maintenance expense. Received FEMA funds of \$136,995 during FY 2017-18.
- (12) Solids expenses at JBL included the planned major overhaul of Centrifuge #2 in July; expenses are planned to level off. Solids at RTP included a large emergency repair of the hot water system; expenses are planned to level off.
- (13)

**South Orange County Wastewater Authority**  
**O & M & Environmental Safety Costs by PC**  
For the Period Ended April 30, 2019

Exhibit E-1.2

	FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended	
<b>02 - Jay B. Latham Plant</b>					
Salary and Fringe					
02-5000-**-***	Regular Salaries-O&M	1,472,936	1,158,782	314,154	78.7%
02-5001-**-***	Overtime Salaries-O&M	32,908	58,521	(25,613)	177.8% (1)
02-5306-**-***	Scheduled Holiday Work	14,732	11,523	3,209	78.2%
02-5315-**-***	Comp Time - O&M	752	9,962.51	(9,211)	1324.8% (1)
02-5401-**-***	Fringe Benefits IN to PC's & Depts.	1,060,520	864,628	195,892	81.5%
02-5700-**-***	Standby Pay	27,048	23,498	3,551	86.9%
	<b>Total Payroll Costs</b>	<b>2,608,896</b>	<b>2,126,915</b>	<b>481,981</b>	<b>81.5%</b>
Other Expenses					
02-5002-**-***	Electricity	374,976	407,515	(32,539)	108.7% (2)
02-5003-**-***	Natural Gas	120,024	120,804	(780)	100.7% (3)
02-5004-**-***	Potable & Reclaimed Water	20,008	18,866	1,142	94.3%
02-5006-**-***	Chlorine/Sodium Hypochlorite	28,000	-	28,000	0.0%
02-5007-**-***	Polymer Products	250,008	159,549	90,459	63.8%
02-5008-**-***	Ferric Chloride	105,004	104,562	442	99.6% (4)
02-5009-**-***	Odor Control Chemicals	28,004	25,754	2,250	92.0% (5)
02-5010-**-***	Other Chemicals - Misc.	1,000	-	1,000	0.0%
02-5011-**-***	Laboratory Services	10,692	5,620	5,073	52.6%
02-5012-**-***	Grit Hauling	50,004	43,790	6,214	87.6%
02-5013-**-***	Landscaping	50,004	49,653	351	99.3% (6)
02-5014-**-***	Engineering - Misc.	30,004	15,380	14,624	51.3%
02-5015-**-***	Management Support Services	59,004	34,692	24,312	58.8%
02-5017-**-***	Legal Fees	4,992	473	4,519	9.5%
02-5019-**-***	Contract Services Misc.	115,004	65,787	49,217	57.2%
02-5021-**-***	Small Vehicle Expense	8,004	11,510	(3,506)	143.8% (7)
02-5022-**-***	Miscellaneous Expense	8,000	4,629	3,371	57.9%
02-5023-**-***	Office Supplies - All	27,000	13,840	13,161	51.3%
02-5024-**-***	Petroleum Products	15,992	7,426	8,566	46.4%
02-5025-**-***	Uniforms	13,004	16,772	(3,768)	129.0% (8)
02-5026-**-***	Small Vehicle Fuel	14,980	9,154	5,826	61.1%
02-5027-**-***	Insurance - Property/Liability	65,464	49,738	15,726	76.0%
02-5028-**-***	Small Tools & Supplies	40,004	30,646	9,358	76.6%
02-5030-**-***	Trash Disposal	2,000	1,368	632	68.4%
02-5031-**-***	Safety Supplies	34,704	33,217	1,488	95.7% (8A)
02-5032-**-***	Equipment Rental	3,000	1,834	1,166	61.1%
02-5033-**-***	Recruitment	1,024	705	320	68.8%
02-5034-**-***	Travel Expense/Tech. Conferences	18,876	19,864	(988)	105.2% (9)
02-5035-**-***	Training Expense	26,188	33,121	(6,933)	126.5% (10)
02-5036-**-***	Laboratory Supplies	14,296	12,007	2,289	84.0%
02-5037-**-***	Office Equipment	13,000	8,052	4,948	61.9%
02-5038-**-***	Permits	22,432	22,819	(387)	101.7% (11)
02-5039-**-***	Membership Dues/Fees	8,040	6,051	1,989	75.3%
02-5049-**-***	Biosolids Disposal	600,000	319,908	280,092	53.3%
02-5050-**-***	Contract Services Generators	9,000	11,136	(2,136)	123.7% (12)
02-5052-**-***	Janitorial Services	40,004	29,245	10,759	73.1%
02-5053-**-***	Contract Serv - Digester Cleaning - 29E	60,000	-	60,000	0.0%
02-5054-**-***	Diesel Truck Maint	20,996	6,540	14,456	31.1%
02-5055-**-***	Diesel Truck Fuel	6,000	3,565	2,435	59.4%
02-5056-**-***	Maintenance Equip. & Facilities (Solids)	142,004	175,389	(33,385)	123.5% (13)
02-5057-**-***	Maintenance Equip. & Facilities (Liquids)	246,996	190,894	56,102	77.3%
02-5058-**-***	Maintenance Equip. & Facilities (Common)	27,000	29,091	(2,091)	107.7% (14)
02-5059-**-***	Maintenance Equip. & Facilities (Co-Gen)	485,004	209,885	275,119	43.3%
02-5061-**-***	Mileage	2,036	1,118	918	54.9%
02-5076-**-***	SCADA Infrastructure	19,000	306	18,694	1.6%
02-5077-**-***	IT Direct	-	1,153	(1,153)	0.0%
02-5303-**-***	Group Insurance Waiver	3,604	3,005	599	83.4%
02-5305-**-***	Medicare Tax Payments for Employees	3,864	2,425	1,439	62.8%
02-5309-**-***	Operating Leases	25,004	15,006	9,998	60.0%
02-5705-**-***	Monthly Car Allowance	8,416	13,701	(5,285)	162.8%
02-6500-**-***	IT Allocations in to PC's & Depts.	211,128	147,940	63,188	70.1%
	<b>Total Other Expenses</b>	<b>3,492,792</b>	<b>2,495,678</b>	<b>997,114</b>	<b>71.5%</b>
	<b>Total Expenses</b>	<b>6,101,688</b>	<b>4,622,593</b>	<b>1,479,095</b>	<b>75.8%</b>

**South Orange County Wastewater Authority**  
**O & M & Environmental Safety Costs by PC**  
For the Period Ended April 30, 2019

Exhibit E-1.2

	FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended	
<b>05 - San Juan Creek Ocean Outfall</b>					
Salary and Fringe					
05-5000-***.**	Regular Salaries-O&M	123,972	64,559	59,413	52.1%
05-5001-***.**	Overtime Salaries-O&M	1,116	683	433	61.2%
05-5306-***.**	Scheduled Holiday Work	740	126	614	17.0%
05-5401-***.**	Fringe Benefits IN to PC's & Depts.	89,252	48,742	40,510	54.6%
	Total Payroll Costs	215,080	114,109	100,971	53.1%
Other Expenses					
05-5002-***.**	Electricity	1,004	-	1,004	0.0%
05-5003-***.**	Natural Gas	512	-	512	0.0%
05-5014-***.**	Engineering - Misc.	10,000	-	10,000	0.0%
05-5015-***.**	Management Support Services	9,404	3,640	5,764	38.7%
05-5017-***.**	Legal Fees	2,000	873	1,127	43.6%
05-5026-***.**	Small Vehicle Fuel - 37A	512	-	512	0.0%
05-5027-***.**	Insurance - Property/Liability	5,756	4,373	1,383	76.0%
05-5031-***.**	Safety Supplies	1,004	-	1,004	0.0%
05-5034-***.**	Travel Expense/Tech. Conferences	4,456	4,294	162	96.4%
05-5035-***.**	Training Expense	564	3,000	(2,436)	531.9% (10)
05-5036-***.**	Laboratory Supplies	19,236	14,330	4,906	74.5%
05-5038-***.**	Permits	155,000	172,815	(17,815)	111.5% (11)
05-5044-***.**	Offshore Monitoring	18,000	14,822	3,178	82.3%
05-5045-***.**	Offshore Biochemistry - 20B	64,996	-	64,996	0.0%
05-5046-***.**	Effluent Chemistry	14,000	15,847	(1,847)	113.2% (15)
05-5058-***.**	Maintenance Equip. & Facilities (Common)	1,004	-	1,004	0.0%
05-5069-***.**	Misc-Capital-Dilution & Metering Study	7,996	-	7,996	0.0%
05-5101-***.**	Employee Recognition	1,004	-	1,004	0.0%
05-5305-***.**	Medicare Tax Payments for Employees	2,460	-	2,460	0.0%
05-5705-***.**	Monthly Car Allowance	4,204	-	4,204	0.0%
05-6500-***.**	IT Allocations in to PC's & Depts.	17,772	10,371	7,401	58.4%
	Total Other Expenses	340,884	244,365	96,519	71.7%
	Total Expenses	555,964	358,475	197,489	64.5%
<b>08 - Pre Treatment</b>					
Salary and Fringe					
08-5000-***.**	Regular Salaries-O&M	80,312	62,804	17,508	78.2%
08-5001-***.**	Overtime Salaries-O&M	1,380	0	1,380	0.0%
08-5306-***.**	Scheduled Holiday Work	200	-	200	0.0%
08-5315-***.**	Comp Time - Environment	-	2,592.23	(2,592)	0.0%
08-5401-***.**	Fringe Benefits IN to PC's & Depts.	57,824	47,417	10,407	82.0%
	Total Payroll Costs	139,716	112,813	26,903	80.7%
Other Expenses					
08-5011-***.**	Laboratory Services	3,000	0	3,000	0.0% (16)
08-5015-***.**	Management Support Services	4,004	906	3,098	22.6%
08-5016-***.**	Audit - Environmental	500	-	500	0.0%
08-5017-***.**	Legal Fees	2,008	16,206	(14,198)	807.1%
08-5018-***.**	Public Notices/ Public Relations	2,008	170	1,838	8.5%
08-5021-***.**	Small Vehicle Expense - 31A	1,016	-	1,016	0.0%
08-5022-***.**	Miscellaneous Expense	1,496	-	1,496	0.0%
08-5026-***.**	Small Vehicle Fuel - 37A	1,196	-	1,196	0.0%
08-5027-***.**	Insurance - Property/Liability	2,016	1,532	484	76.0%
08-5028-***.**	Small Tools & Supplies	6,648	840	5,808	12.6%
08-5034-***.**	Travel Expense/Tech. Conferences	4,248	1,762.46	2,486	41.5%
08-5035-***.**	Training Expense	3,872	965	2,907	24.9%
08-5038-***.**	Permits and Fines	10,012	-	10,012	0.0%
08-5039-***.**	Membership Dues/Fees	324	430	(106)	132.7%
08-6500-***.**	IT Allocations in to PC's & Depts.	11,516	8,899	2,617	77.3%
	Total Other Expenses	53,864	31,710	22,154	58.9%
	Total Expenses	193,580	144,523	49,057	74.7%
<b>12 - Water Reclamation Permits</b>					
Salary and Fringe					
12-5000-***.**	Regular Salaries-O&M	30,396	28,659	1,737	94.3%
12-5401-***.**	Fringe Benefits IN to PC's & Depts.	21,880	21,638	242	98.9%
	Total Payroll Costs	52,276	50,297	1,979	96.2%
Other Expenses					
12-5015-***.**	Management Support Services	130,516	9,721	120,795	7.4%
12-5017-***.**	Legal Fees	2,004	1,872	132	93.4%
12-5027-***.**	Insurance - Property/Liability	1,000	760	240	76.0%
12-5034-***.**	Travel Expense/Tech. Conferences	2,240	58	2,182	2.6%
12-5038-***.**	Permits	18,488	16,347	2,141	88.4% (11)
12-6500-***.**	IT Allocations in to PC's & Depts.	4,356	5,007	(651)	114.9%
	Total Other Expenses	158,604	33,765	124,839	21.3%
	Total Expenses	210,880	84,062	126,818	39.9%



**South Orange County Wastewater Authority  
O & M & Environmental Safety Costs by PC**  
For the Period Ended April 30, 2019

Exhibit E-1.2

		FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended
<b>15 - Coastal Treatment Plant</b>					
Salary and Fringe					
15-5000-***.**	Regular Salaries-O&M	897,448	647,216	250,232	72.1%
15-5001-***.**	Overtime Salaries-O&M	21,252	26,376	(5,124)	124.1% (1)
15-5306-***.**	Scheduled Holiday Work	6,548	2,863	3,685	43.7%
15-5315-***.**	Comp Time - O&M	-	609.13	(609.13)	0.0% (1)
15-5401-***.**	Fringe Benefits IN to PC's & Depts.	646,172	488,158	158,014	75.5%
15-5700-***.**	Standby Pay	16,900	4,290	12,610	25.4%
	Total Payroll Costs	<u>1,588,320</u>	<u>1,169,512</u>	<u>418,808</u>	<u>73.6%</u>
Other Expenses					
15-5002-***.**	Electricity	297,000	182,085	114,915	61.3%
15-5003-***.**	Natural Gas	2,996	2,585	411	86.3%
15-5004-***.**	Potable & Reclaimed Water	13,004	20,723	(7,719)	159.4% (17)
15-5006-***.**	Chlorine/Sodium Hypochlorite	100,004	48,749	51,255	48.7%
15-5007-***.**	Polymer Products	2,008	0	2,008	0.0%
15-5008-***.**	Ferric Chloride	30,996	52,579	(21,583)	169.6% (18)
15-5009-***.**	Odor Control Chemicals	85,004	35,014	49,990	41.2%
15-5011-***.**	Laboratory Services	11,500	7,112	4,388	61.8%
15-5012-***.**	Grit Hauling	30,004	17,098	12,907	57.0%
15-5013-***.**	Landscaping	60,008	34,194	25,814	57.0%
15-5014-***.**	Engineering - Misc.	20,000	2,788	17,212	13.9%
15-5015-***.**	Management Support Services	10,000	2,680	7,320	26.8%
15-5017-***.**	Legal Fees	5,000	43,242	(38,242)	864.8%
15-5019-***.**	Contract Services Misc.	110,000	78,917	31,083	71.7%
15-5021-***.**	Small Vehicle Expense	6,004	8,763	(2,759)	146.0% (7)
15-5022-***.**	Miscellaneous Expense	2,996	2,564	432	85.6%
15-5023-***.**	Office Supplies - All	4,004	4,081	(77)	101.9%
15-5024-***.**	Petroleum Products	2,000	4,929	(2,929)	246.5% (19)
15-5025-***.**	Uniforms	6,004	6,327	(323)	105.4% (8)
15-5026-***.**	Small Vehicle Fuel	6,004	951	5,053	15.8%
15-5027-***.**	Insurance - Property/Liability	26,436	20,086	6,350	76.0%
15-5028-***.**	Small Tools & Supplies	11,000	10,603	397	96.4% (20)
15-5030-***.**	Trash Disposal	2,996	1,204	1,792	40.2%
15-5031-***.**	Safety Program & Supplies	34,692	21,397	13,295	61.7%
15-5032-***.**	Equipment Rental	1,000	172	828	17.2%
15-5033-***.**	Recruitment	1,000	0	1,000	0.0%
15-5034-***.**	Travel Expense/Tech. Conferences	18,872	6,194	12,678	32.8%
15-5035-***.**	Training Expense	13,652	7,115	6,537	52.1%
15-5036-***.**	Laboratory Supplies	14,496	9,581	4,915	66.1%
15-5037-***.**	Office Equipment	2,000	2,508	(508)	125.4%
15-5038-***.**	Permits	22,000	5,914	16,086	26.9%
15-5039-***.**	Membership Dues/Fees	968	1,478	(510)	152.7% (21)
15-5047-***.**	Access Road Expenses	48,000	28,100	19,900	58.5%
15-5048-***.**	Storm Damage	20,008	136,123	(116,115)	680.3% (22)
15-5049-***.**	Biosolids Disposal - 21B	125,004	0	125,004	0.0%
15-5050-***.**	Contract Services Generators	4,004	2,604	1,400	65.0%
15-5051-***.**	Contract Serv - Metering Station - 29B	-	241	(241)	0.0%
15-5052-***.**	Janitorial Services	20,008	9,330	10,678	46.6%
15-5054-***.**	Diesel Truck Maint	1,004	115	889	11.4%
15-5055-***.**	Diesel Truck Fuel - 37B	1,004	0	1,004	0.0%
15-5056-01-00-00	Maintenance Equip. & Facilities (Solids) 41-A	0	53	(53)	0.0%
15-5057-***.**	Maintenance Equip. & Facilities (Liquids)	175,000	88,779	86,221	50.7%
15-5058-***.**	Maintenance Equip. & Facilities (Common)	21,000	2,542	18,458	12.1%
15-5059-01-00-00	Maintenance Equip. & Facilities (Co-Gen) 41-D	0	124	(124)	0.0%
15-5060-***.**	Maintenance Equip. & Facilities (AWT)	36,000	8,615	27,385	23.9%
15-5061-***.**	Mileage	-	286	(286)	0.0%
15-5076-***.**	SCADA Infrastructure	19,000	0	19,000	0.0%
15-5077-***.**	IT Direct	-	1,063	(1,063)	0.0%
15-5303-***.**	Group Insurance Waiver	3,600	3,005	595	83.5%
15-5305-***.**	Medicare Tax Payments for Employees	2,996	1,617	1,379	54.0%
15-5705-***.**	Monthly Car Allowance	1,368	3,505	(2,137)	256.2%
15-6500-***.**	IT Allocations in to PC's & Depts.	128,644	89,955	38,689	69.9%
	Total Other Expenses	<u>1,560,288</u>	<u>1,017,712</u>	<u>542,576</u>	<u>65.2%</u>
	Total Expenses	<u>3,148,608</u>	<u>2,187,224</u>	<u>961,384</u>	<u>69.5%</u>

**South Orange County Wastewater Authority**  
**O & M & Environmental Safety Costs by PC**  
For the Period Ended April 30, 2019

Exhibit E-1.2

	FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended	
<b>17 - Joint Regional Wastewater Reclamation and Sludge Handling</b>					
Salary and Fringe					
17-5000-***.**	Regular Salaries-O&M	1,776,684	1,394,509	382,175	78.5%
17-5001-***.**	Overtime Salaries-O&M	57,712	74,073	(16,361)	128.3% (1)
17-5306-***.**	Scheduled Holiday Work	27,320	10,589	16,731	38.8%
17-5315-***.**	Comp Time - O&M	1,076	4,206.52	(3,131)	390.9% (1)
17-5401-***.**	Fringe Benefits IN to PC's & Depts.	1,279,200	1,043,214	235,986	81.6%
17-5700-***.**	Standby Pay	25,344	28,633	(3,289)	113.0%
	Total Payroll Costs	3,167,336	2,555,223	612,113	80.7%
Other Expenses					
17-5002-***.**	Electricity	381,988	470,695	(88,707)	123.2% (2)
17-5003-***.**	Natural Gas	25,000	91,180	(66,180)	364.7% (3)
17-5004-***.**	Potable & Reclaimed Water	36,000	21,557	14,443	59.9%
17-5005-***.**	Co-generation Power Credit	(250,012)	(300,696)	50,684	120.3% (23)
17-5006-***.**	Chlorine/Sodium Hypochlorite	361,008	411,426	(50,418)	114.0% (24)
17-5007-***.**	Polymer Products	406,012	290,652	115,360	71.6%
17-5008-***.**	Ferric Chloride	129,000	143,298	(14,298)	111.1% (4)
17-5009-***.**	Odor Control Chemicals	50,000	37,549	12,451	75.1%
17-5010-***.**	Other Chemicals - Misc.	4,000	-	4,000	0.0%
17-5011-***.**	Laboratory Services	16,504	11,146	5,358	67.5%
17-5012-***.**	Grit Hauling - 21A	54,000	35,911	18,089	66.5%
17-5013-***.**	Landscaping	74,996	64,520	10,476	86.0% (6)
17-5014-***.**	Engineering - Misc.	32,500	2,801	29,699	8.6%
17-5015-***.**	Management Support Services	123,500	6,480.29	117,020	5.2%
17-5017-***.**	Legal Fees	5,008	5,356	(348)	106.9%
17-5019-***.**	Contract Services Misc.	150,008	103,898	46,110	69.3%
17-5021-***.**	Small Vehicle Expense	6,000	8,149	(2,149)	135.8% (7)
17-5022-***.**	Miscellaneous Expense	5,996	8,159	(2,163)	136.1% (25)
17-5023-***.**	Office Supplies - All	7,000	9,080	(2,080)	129.7% (26)
17-5024-***.**	Petroleum Products	41,988	10,945	31,043	26.1%
17-5025-***.**	Uniforms	18,008	20,047	(2,039)	111.3% (8)
17-5026-***.**	Small Vehicle Fuel	12,988	5,727	7,261	44.1%
17-5027-***.**	Insurance - Property/Liability	78,860	59,916	18,944	76.0%
17-5028-***.**	Small Tools & Supplies	28,012	22,230	5,782	79.4%
17-5030-***.**	Trash Disposal	1,996	1,009	987	50.6%
17-5031-***.**	Safety Program & Supplies	35,000	33,711	1,289	96.3% (8A)
17-5032-***.**	Equipment Rental	3,008	-	3,008	0.0%
17-5033-***.**	Recruitment	1,000	642	358	64.2%
17-5034-***.**	Travel Expense/Tech. Conferences	18,880	11,913	6,967	63.1%
17-5035-***.**	Training Expense	18,584	27,847	(9,263)	149.8% (10)
17-5036-***.**	Laboratory Supplies	22,740	18,403	4,337	80.9%
17-5037-***.**	Office Equipment	9,996	2,920	7,076	29.2%
17-5038-***.**	Permits	40,016	20,287	19,729	50.7%
17-5039-***.**	Membership Dues/Fees	2,588	4,087	(1,499)	157.9% (21)
17-5049-***.**	Biosolids Disposal	914,004	755,032	158,972	82.6%
17-5050-***.**	Contract Services Generators	8,000	4,865	3,135	60.8%
17-5052-***.**	Janitorial Services	40,012	22,281	17,731	55.7%
17-5054-***.**	Diesel Truck Maint	19,004	10,460	8,544	55.0%
17-5055-***.**	Diesel Truck Fuel	7,000	4,162	2,838	59.5%
17-5056-***.**	Maintenance Equip. & Facilities (Solids)	195,996	162,781	33,215	83.1%
17-5057-***.**	Maintenance Equip. & Facilities (Liquids)	170,000	195,078	(25,078)	114.8% (27)
17-5058-***.**	Maintenance Equip. & Facilities (Common)	26,000	24,107	1,893	92.7%
17-5059-***.**	Maintenance Equip. & Facilities (Co-Gen)	650,012	331,583	318,429	51.0%
17-5060-***.**	Maintenance Equip. & Facilities (AWT)	36,000	45,016	(9,016)	125.0% (28)
17-5061-***.**	Mileage	-	764	(764)	0.0%
17-5068-***.**	MNWD Potable Water Supplies & Svcs.	24,484	29,831	(5,347)	121.8%
17-5076-***.**	SCADA Infrastructure	19,000	-	19,000	0.0%
17-5105-***.**	Co-Generation Power Credit - Offset	249,972	300,696	(50,724)	120.3% (23)
17-5303-***.**	Group Insurance Waiver	3,620	6,009	(2,389)	166.0%
17-5305-***.**	Medicare Tax Payments for Employees	132	39	93	29.2%
17-5309-***.**	Operating Leases	6,000	-	6,000	0.0%
17-5705-***.**	Monthly Car Allowance	11,388	6,734	4,654	59.1%
17-5706-***.**	Effluent Pond Cleaning	90,000	-	90,000	0.0%
17-6500-***.**	IT Allocations in to PC's & Depts.	254,744	192,010	62,734	75.4%
	Total Other Expenses	4,677,540	3,752,589	924,951	80.2%
	Total Expenses	7,844,876	6,307,812	1,537,064	80.4%

**South Orange County Wastewater Authority**  
**O & M & Environmental Safety Costs by PC**  
For the Period Ended April 30, 2019

Exhibit E-1.2

		FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended
<b>21 - Effluent Transmission Main</b>					
Salary and Fringe					
21-5000-**-***	Regular Salaries-O&M	500	356	144	71.2%
21-5401-**-***	Fringe Benefits IN to PC's & Depts.	360	269	91	74.6%
	Total Payroll Costs	<u>860</u>	<u>625</u>	<u>235</u>	<u>72.6%</u>
Other Expenses					
21-5014-**-***	Engineering - Misc.	62,496	1,575	60,921	2.5%
21-5015-**-***	Management Support Services	2,500	-	2,500	0.0%
21-5019-**-***	Contract Services Misc. - 29	-	600	(600)	0.0%
21-5027-**-***	Insurance - Property/Liability	-	0	0	0.0%
	Total Other Expenses	<u>64,996</u>	<u>2,175</u>	<u>62,821</u>	<u>3.3%</u>
	Total Expenses	<u>65,856</u>	<u>2,799</u>	<u>63,057</u>	<u>4.3%</u>
<b>23 - North Coast Interceptor</b>					
Other Expenses					
23-5017-**-***	Legal Fees	-	10,743	(10,743)	0.0%
	Total Other Expenses	<u>-</u>	<u>10,743</u>	<u>(10,743)</u>	<u>0.0%</u>
	Total Expenses	<u>-</u>	<u>10,743</u>	<u>(10,743)</u>	<u>0.0%</u>
<b>24 - Aliso Creek Ocean Outfall</b>					
Salary and Fringe					
24-5000-**-***	Regular Salaries-O&M	128,156	64,489	63,667	50.3%
24-5001-**-***	Overtime Salaries-O&M	668	1,282	(614)	191.9% (1)
24-5306-**-***	Scheduled Holiday Work	320	78	242	24.5%
24-5401-**-***	Fringe Benefits IN to PC's & Depts.	92,296	48,689	43,607	52.8%
	Total Payroll Costs	<u>221,440</u>	<u>114,538</u>	<u>106,902</u>	<u>51.7%</u>
Other Expenses					
24-5002-**-***	Electricity	1,000	-	1,000	0.0%
24-5014-**-***	Engineering - Misc.	20,004	-	20,004	0.0%
24-5015-**-***	Management Support Services	25,008	6,774	18,234	27.1%
24-5017-**-***	Legal Fees	2,008	304	1,704	15.1%
24-5027-**-***	Insurance - Property/Liability	5,600	4,255	1,345	76.0%
24-5031-**-***	Safety Supplies	996	-	996	0.0%
24-5034-**-***	Travel Expense/Tech. Conferences	4,496	3,977	519	88.5%
24-5035-**-***	Training Expense	520	3,000.00	(2,480)	576.9%
24-5036-**-***	Laboratory Supplies	19,560	15,839	3,721	81.0%
24-5038-**-***	Permits	148,004	165,126	(17,122)	111.6% (11)
24-5044-**-***	Offshore Monitoring	18,000	14,822	3,178	82.3%
24-5045-**-***	Offshore Biochemistry - 20B	45,004	-	45,004	0.0%
24-5046-**-***	Effluent Chemistry	14,004	24,312	(10,308)	173.6% (15)
24-5058-**-***	Maintenance Equip. & Facilities (Common) 41-	1,000	2,118	(1,118)	211.8% (29)
24-5067-**-***	Port Cleaning	35,000	-	35,000	0.0%
24-6500-**-***	IT Allocations in to PC's & Depts.	18,288	9,415	8,873	51.5%
	Total Other Expenses	<u>358,692</u>	<u>249,942</u>	<u>108,750</u>	<u>69.7%</u>
	Total Expenses	<u>580,132</u>	<u>364,480</u>	<u>215,652</u>	<u>62.8%</u>
	<b>SOCWA TOTAL</b>	<b>18,701,584</b>	<b>14,082,710</b>	<b>4,618,874</b>	<b>75.3%</b>

**South Orange County Wastewater Authority**  
**O & M & Environmental Safety Costs by PC**  
 For the Period Ended April 30, 2019

- (1) Elevated overtime costs are associated with several ongoing construction projects, staff vacancies, repair projects at the plants, and PC15 litigation.
- (2) The JBL emissions controls system required several upgrades, which required shutdowns that resulted in additional purchases of electricity and power transmission costs. O&M is working with Engineering to resolve outstanding equipment compliance issues. Electricity costs at RTP have been elevated due to delays in completing the new Engine project and emissions controls system testing and studies.
- (3) The plants continue to see decreases in wastewater flows and loads leading to less digester gas for the new engines and increased natural gas usage.
- (4) Ferric Chloride usage is elevated above the budget that was based on engineering estimates for usage to maintain compliance with AQMD permits for the new engines. Budgets will be increased in FY19/20.
- (5) Odor Control Chemicals have been elevated due to adjustments to better ensure odor control at the Plant.
- (6) Several large trees were removed that were in danger of falling onto the adjacent properties; expenses are planned to level off.
- (7) New vehicles were outfitted with gear for use by staff elevating expenses for the Fiscal Year.
- (8) Uniform expenses are elevated due to new employee change outs and required PPE has been added to employee inventories.
- (8A) Safety supply equipment is nearly complete for the Fiscal Year and is expected to level off.
- (9) Travel expenses for training have been elevated due to the large number of newer employees in O&M.
- (10) Training expenses have been elevated due to training for newer employees in O&M.
- (11) SOCWA permits are primarily paid in July and November each year; the RWQCB increased its fees higher than anticipated. The increase was due to a shortfall in State funding for their permitting programs.
- (12) Standby Generator maintenance was completed for the Fiscal Year in July . No additional expenses are anticipated.
- (13) Solids expenses included the planned major overhaul of Centrifuge #2 in July; expenses are planned to level off.
- (14) Common expenses included several large repairs in anticipation of the winter weather; expenses are planned to level off.
- (15) Additional toxicity testing due to NPDES permitting accelerated monitoring at Aliso Creek Ocean Outfall.
- (16) These are pass through costs that will be billed to private companies directly and reversed during the year.
- (17) Water use is higher than planned to meet a new recommendation for odor scrubber operations to reduce equipment fouling.
- (18) Ferric Chloride usage is elevated due to higher than normal hydrogen sulfides in the sewer systems discharging to CTP.
- (19) Elevated use of generator fuel at CTP was due to power company work in the area.
- (20) Small tools spending is expected to level off.
- (21) Several staff membership dues were paid in late summer; expenses are planned to level off.
- (22) The FY16-17 storm damage repair was completed and was determined to be a maintenance expense.
- (23) The credit for power generated at RTP is higher than projected due to the increased value of the electricity. The value is calculated each month based on SCE rates and has doubled since 2016.  
 Bleach usage has been elevated in the first quarter due to elevated recycled water use and decreased flows to the plant causing partial nitrification that consumes elevated levels of bleach in the disinfection process. O&M staff has removed one aeration tank from service to reduce nitrification. The change was planned for the winter to minimize potential disruptions of recycled water in the summer and fall.
- (25) SOCWA purchased a number of Design Standards, Guidelines, and Operations study manuals for new staff to use at the plant.
- (26) Office supply costs are elevated but expected to level off.
- (27) Liquids expenses included several large repairs in anticipation of the upcoming winter weather; expenses are planned to level off.
- (28) Several failed valves were replaced at RTP that could not wait until the annual AWT maintenance shutdown in January.
- (29) The Aliso Creek Ocean Outfall sampling station has failed and is in the process of being assessed for potential replacement.

**South Orange County Wastewater Authority  
Budget vs. Actual Comparison - Residual Engineering, after transfer to Capital**

For the Period Ended April 30, 2019

	FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended
Salary and Fringe				
**-5000-**-**-00	199,834	172,333	27,501	86.2%
01-5401-03-00-00	143,880	130,111	13,769	90.4%
Total Payroll Costs	343,714	302,445	41,269	88.0%
Other Expenses				
01-5015-03-00-00	7,500	-	7,500	0.0%
01-5022-03-00-00	3,060	-	3,060	0.0%
01-5023-03-00-00	200	192	8	95.8%
01-5031-03-00-00	-	145	(145)	0.0%
01-5034-03-00-00	6,659	11,122	(4,463)	167.0%
01-5035-03-00-00	4,000	-	4,000	0.0%
01-5037-03-00-00	5,000	1,890	3,111	37.8%
01-5039-03-00-00	2,025	846	1,179	41.8%
01-5061-03-00-00	300	177	123	59.2%
01-5301-03-00-00	4,200	-	4,200	0.0%
01-5309-03-00-00	20,637	5,021	15,616	24.3%
01-5705-03-00-00	-	3,505	(3,505)	0.0%
01-5802-03-00-00	300	26	274	8.6%
01-6500-03-00-00	59,860	41,417	18,443	69.2%
Total Other Expenses	113,741	64,371	49,369	56.6%
<b>Total Expenses</b>	<b>457,455</b>	<b>366,816</b>	<b>90,639</b>	<b>80.2%</b>

The costs in this department will vary based on the amount of work required to support Capital Projects vs. Non-Capital Projects.

**South Orange County Wastewater Authority  
Budget vs. Actual Comparison - Administration**

For the Period Ended April 30, 2019

	FY 2018-19 Budget	*Board Approved Expenditure not in Budget	Adjusted Budget	Actual	(Over)/Under Budget	% Expended
<b>Salary and Fringe</b>						
01-6000-04-00-00 Regular Salaries-Admin or IT	985,352		985,352	757,567	227,786	76.9%
01-6001-04-00-00 Overtime Salaries-Admin or IT	12,000		12,000	11,049	951	92.1%
01-6315-04-00-00 Comp Time - Admin	10,000		10,000	6,633	3,367	66.3%
01-6401-04-00-00 Fringe Benefits IN to ADMIN or IT	709,453		709,453	567,833	141,620	80.0%
<b>Total Payroll Costs</b>	<b>1,716,805</b>	<b>-</b>	<b>1,716,805</b>	<b>1,343,081</b>	<b>373,724</b>	<b>78.2%</b>
<b>Other Expenses</b>						
01-5018-04-00-00 Public Notices/ Public Relations	1,400		1,400	-	1,400	0.0%
01-6101-04-00-00 HR Recruitment & Employee Relations	21,200		21,200	17,775	3,425	83.8%
01-6102-04-00-00 Subscriptions	3,243		3,243	2,206	1,037	68.0%
01-6200-04-00-00 Management Support Services	112,500	92,391	204,891	139,797	65,094	68.2% (1)
01-6201-04-00-00 Audit	40,000		40,000	20,000	20,000	50.0%
01-6202-04-00-00 Legal	250,000		250,000	205,664	44,336	82.3% (2)
01-6204-04-00-00 Postage	2,319		2,319	1,615	704	69.6%
01-6223-04-00-00 Office Supplies - Admin	8,471		8,471	4,228	4,243	49.9%
01-6224-04-00-00 Office Equipment Admin or IT	8,000		8,000	351	7,649	4.4%
01-6234-04-00-00 Memberships & Trainings	89,520		89,520	67,251	22,269	75.1%
01-6239-04-00-00 Travel & Conference	20,800		20,800	22,668	(1,868)	109.0%
01-6240-04-00-00 Scholarship Sponsorship	1,000		1,000	-	1,000	0.0%
01-6241-04-00-00 Education Reimbursement	-		-	3,000	(3,000)	0.0%
01-6310-04-00-00 Miscellaneous	20,000		20,000	19,990	10	99.9%
01-6311-04-00-00 Mileage	1,000		1,000	731	269	73.1%
01-6317-04-00-00 Contract Services Misc	4,936		4,936	4,072	865	82.5%
01-6500-04-00-00 IT Allocations in to PC's & Depts.	141,240		141,240	78,909	62,331	55.9%
01-6601-04-00-00 Shipping/Freight	1,500		1,500	3,305	(1,805)	220.4%
01-6705-04-00-00 Monthly Car Allowance	12,000		12,000	10,015	1,985	83.5%
<b>Total Other Expenses</b>	<b>739,130</b>	<b>92,391</b>	<b>831,521</b>	<b>601,578</b>	<b>229,944</b>	<b>72.3%</b>
<b>Total Expenses</b>	<b>2,455,935</b>	<b>92,391</b>	<b>2,548,326</b>	<b>1,944,659</b>	<b>603,667</b>	<b>76.3%</b>

\* Additional Budget disclosed during Finance Committee meeting 2/19

(1) Costs include Carollo Engineering utility cost allocation study, \$42,269, expended to date and Actuaries costs for the Long Term Liabilities Methodologies Study, \$37,792. These Board Approved Projects were not included in the Administration Budget. The Board approved a Budget increase of \$92,391 on March 7, 2019 to cover these costs.

(2) Procopio Firm is anticipated to be over legal budget due to start-up work and project to evaluate changes to JPA Agreement this FY.

**South Orange County Wastewater Authority  
Budget vs. Actual Comparison-IT**

For the Period Ended April 30, 2019

	FY 2018-19 Budget	Actual	(Over)/Under Budget	% Expended
<b>Salary &amp; Fringe</b>				
01-6000-05-00-00	93,378	71,123	22,255	76.2%
01-6001-05-00-00	3,082	1,222	1,859	39.7%
01-6315-05-00-00	2,332	3,142	(810)	134.7%
01-6401-05-00-00	67,232	53,698	13,534	79.9%
<b>Total Salary &amp; Fringe</b>	<b>166,024</b>	<b>129,184</b>	<b>36,839</b>	<b>77.8%</b>
<b>Other Expenses</b>				
01-5028-05-00-00	1,000	-	1,000	0.0%
01-5035-05-00-00	12,000	-	12,000	0.0%
01-5037-05-00-00	400	-	400	0.0%
01-5061-05-00-00	-	498	(498)	0.0%
01-6200-05-00-00	64,500	3,663	60,837	5.7%
01-6234-05-00-00	2,750	96	2,654	3.5%
01-6239-05-00-00	4,210	-	4,210	0.0%
01-6300-05-00-00	98,893	69,023	29,870	69.8%
01-6301-05-00-00	11,657	2,474	9,182	21.2%
01-6302-05-00-00	45,800	84,580	(38,780)	184.7% (1)
01-6303-05-00-00	129,940	90,612	39,328	69.7%
01-6305-05-00-00	157,000	80,812	76,188	51.5%
01-6306-05-00-00	46,800	55,979	(9,179)	119.6%
01-6307-05-00-00	43,735	24,213	19,522	55.4%
01-6308-05-00-00	160	130	30	81.3%
01-6309-05-00-00	55,200	40,526	14,674	73.4%
01-6310-05-00-00	5,000	329	4,671	6.6%
01-6312-05-00-00	2,275	1,801	474	79.1%
01-6601-05-00-00	276	-	276	0.0%
<b>Total Other Expenses</b>	<b>681,596</b>	<b>454,738</b>	<b>226,859</b>	<b>66.7%</b>
<b>Total Expenses before Allocation</b>	<b>847,620</b>	<b>583,922</b>	<b>263,698</b>	<b>68.9%</b>
<b>IT Allocations (Out) to PC's &amp; Depts</b>				
01-6400-05-00-00	(847,620)	(583,922)	(263,698)	68.9%
<b>Total IT Allocations (Out) to PC's &amp; Depts</b>	<b>(847,620)</b>	<b>(583,922)</b>	<b>(263,698)</b>	<b>68.9%</b>

(1) Additional IT system security, not included in the budget

**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Finance Committee**

**April 23, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Finance Committee Meeting was held on April 23, 2019, at 10:30 a.m. at their Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of the Finance Committee were present:

DENNIS ERDMAN	South Coast Water District
RAY MILLER	City of San Juan Capistrano
MATT COLLINGS	Moulton Niguel Water District
KATHRYN FRESHLEY	El Toro Water District
ROBB GRANTHAM	Santa Margarita Water District

Absent:

TONI ISEMAN	City of Laguna Beach
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Staff Present:

MARY CAREY	Finance Controller
KONSTANTIN SHILKOV	Senior Accountant
NAYDN KIM	Accountant
ANNA SUTHERLAND	Accounts Payable
BRIAN PECK	Director of Engineering
JIM BURROR	Director of Operations
AMBER BAYLOR	Director of Environmental Compliance
DAVID LLOYD	IT Administrator
TERI NOSON	Clerk of the Board

Also Present:

NEELY SHAHBAKHTI	El Toro Water District
MATTHEW PEREA	South Coast Water District
DAVE REBENSORF	City of San Clemente
GAVIN CURRAN	City of Laguna Beach

**1. Call meeting to Order**

Chairman Erdman called the meeting to order at 10:31 a.m. and welcomed everyone present.

**2. Pledge of Allegiance**

Director Collings led the Pledge of Allegiance to the Flag of the United States of America.

**3. Public Comments**

There were no public comments.

ACTION TAKEN

None.



**4. Approval of Financial Matters**

Ms. Carey reported that SOCWA was currently under budget at approximately \$1,200,000. Currently all Project Committees and Departments are within their budgets at under 75%. The Fringe Rate was updated due to the lower labor base. The budgeted Fringe Rate was 72%, and the forecasted Fringe Rate is 75.5%; the 75.5% was incorporated in all the budget schedules.

**ACTION TAKEN**

Motion was made by Director Grantham and seconded by Director Freshley to recommend to the Board of Directors to ratify the March 2019 disbursements for the period from March 1, 2019, through March 31, 2019, totaling \$1,896,583 and to receive and file the March 2019, Financial Reports.

Motion carried: Aye 5; Nay 0; Abstain 0; Absent 1

Director Collings	Aye
Director Erdman	Aye
Director Miller	Aye
Director Grantham	Aye
Director Iseman	Absent
Director Freshley	Aye

**5. FY 2019/2020 O&M Budget**

Ms. Baylor reviewed 5.a. *Outfall Cost* of the PowerPoint presentation *Finance Committee Agenda Items 5a & 5b: San Juan Creek Ocean Outfall (PC-5) Costs & Distributions*, which is herewith attached to these minutes. Ms. Baylor reported a correction of the Fiscal Year 2018-19, on page 21, under the Discussion/Analysis section (first sentence) of the Agenda Item, and noted that the presentation was updated accordingly on slide two (2) attached. An open discussion ensued throughout the presentation.

Mr. Burror reviewed 5.b. *Cost Distributions*, on page 23, and reported that prior to the Finance Committee meeting today, there was a Project Committee No. 5 (PC5) Technical Advisory Group meeting. The PC5 members agreed to move forward with the Board approved 'Alternative 1- All Fixed, Outfall Capacity, Final Carollo Recommended'. The PC5 members also indicated a consensus to consider other alternatives for the next budget cycle, as well as continue discussions as SOCWA and member agencies convene for JPA discussions relative to the Project Committees. An open discussion ensued throughout the presentation.

Ms. Baylor provided comments on item 5.c. *PC12 Compliance Study*, on page 23, as submitted. An open discussion ensued.

**ACTION TAKEN**

Motion was made by Director Collings and seconded by Director Freshley to recommend to the Board of Directors to approve the additional PC12 Compliance Study work request with the caveat to the Board to create a detailed work plan with costs for FY 2018-19 and FY 2019-20.

Motion carried:	Aye 5; Nay 0; Abstain 0; Absent 1
Director Collings	Aye
Director Erdman	Aye
Director Miller	Aye
Director Grantham	Aye
Director Iseman	Absent
Director Freshley	Aye

**6. FY 2019/2020 Budget Preparation**

Ms. Carey reported the Cost of Living adjustment was 2.5%; the CPI Index came in at 2.7%. The O&M Budget was adjusted to reflect the 2.7% CPI Index and did not change the Fringe Rate of 71.9%.

**ACTION TAKEN**

Information item, no action taken.

**7. Pension & OPEB Funding Opportunities**

Ms. Carey provided brief comments as submitted on page 28, and referenced page 31 of the Finance Package. Ms. Carey reported staff met with member agency Financial Officers and consultant Julio Morales, UFI Financial Solutions, provided a presentation addressing pension and retiree medical liability issues (OPEB) as submitted on page 29.

**ACTION TAKEN**

Information item, no action taken.

**8. SOCWA Administration Costs**

Ms. Carey reported that there would be no change in the Administration head-count in FY 2019-20. The Board approved the current head-count for FY 2019-20; in FY 2020-21, there would be a change, and the change is included in the FY 2019-20 Budget. Ms. Carey reviewed the PowerPoint presentation *Administration Expenses* as submitted on page 50. An open discussion ensued throughout the presentation.

**ACTION TAKEN**

Information item, no action taken.

**9. Policy for Funding of Capital Work**

Ms. Carey reported staff recommended to continue to report Capital Expenses as currently reported, and reviewed the *Policy of Capital Funding* as submitted on page 59. An open discussion ensued.

**ACTION TAKEN**

There being no objection from the Finance Committee, Chairman Erdman directed staff to further review/discuss Agenda Item 9. *Policy of Capital Funding* and resubmit to the Finance Committee for consideration.

**10. Two-Year Capital Budget (Including Small Capital)**

Mr. Peck reviewed the PowerPoint presentation *SOCWA Capital Improvements Budget Fiscal Years 2019/20 and 2020/21 - Large Capital Projects* as submitted on page 60. An open discussion ensued throughout the presentation. Finance staff provided a handout of the proposed Capital Work Plan and Quarterly Expenditures by Project Committee for FY 19-20 and 20-21.

Mr. Burror reviewed the PowerPoint presentation *SOCWA Small Internal Capital Budget Overview* as submitted on page 70. An open discussion ensued throughout the presentation.

**ACTION TAKEN**

Information item, no action taken.

**11. Agenda Preparation Software/Audio Visual Hardware**

Mr. Lloyd provided a brief overview of the Agenda Item as submitted on page 75. An open discussion ensued.

**ACTION TAKEN**

The Finance Committee took no action on this item. There being no objection from the Finance Committee, Chairman Erdman directed staff to add the *Agenda Preparation Software/Audio Visual Hardware* item to the Board of Directors May 2019 Agenda for discussion from the Board.

**12. Internship Program at SOCWA**

Ms. Baylor provided an overview of the proposed Internship Program as submitted on page 77.

**ACTION TAKEN**

Motion was made by Director Freshley and seconded by Director Miller to recommend to the Board of Directors to establish an Internship Program Policy with a projection to hire two (2) Interns for the period beginning June 24, 2019, to September 15, 2019.

Motion carried: Aye 5; Nay 0; Abstain 0; Absent 1

Director Collings	Aye
Director Erdman	Aye
Director Miller	Aye
Director Grantham	Aye
Director Iseman	Absent
Director Freshley	Aye

**13. Adjournment**

There being no further business, Chairman Erdman adjourned the meeting at 12:18 p.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of Special Meeting of the South Orange County Wastewater Authority Finance Committee of April 23, 2019, and approved and ratified by the Board of Directors of the South Orange County Wastewater Authority.

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Betty Burnett, General Manager/Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

**SOCWA**  
**Finance Committee Agenda**  
**Items 5a & 5b:**  
**San Juan Creek Ocean Outfall**  
**(PC-5) Costs & Distributions**  
**April 23, 2019**

1

**Item 5a: PC 5 & 24**  
**Outfall Budget Projections**

<b>Fiscal Year (FY)</b>	<b>PC 5 Budget (\$)</b>	<b>PC 24 Budget (\$)</b>
FY 18-19	\$518,447	\$522,848
FY 19-20	\$508,796	\$499,884
FY 19-20 Fringe Update	\$499,256	\$492,104
<b>Budget Difference between FY 18-19 and FY 19-20 Fringe Rate</b>	<b>\$19,191</b>	<b>\$30,744</b>

2

## PC-5 Cost line items and drivers

- ▶ Do not change with flow (required by NPDES permit)
  - Salaries/overtime/benefits
  - Utilities
  - Support services (consulting, etc.)
  - Maintenance (vehicles, port cleaning, IT, etc.)
  - Insurance/property & liability
  - Safety supplies
  - Travel expense/tech. conferences
  - Laboratory supplies and testing
  - Special studies – dilution, plume, kelp & metering studies
- ▶ Fixed, but are calculated based on permitted flow
  - Permit fees

3

## Cost alternatives requested

- ▶ Alternative 1 – All Fixed – Outfall Capacity – Final Carollo Recommended – Board Approved
- ▶ Alternative 2 – All Fixed – Permitted Capacity
- ▶ Alternative 3 – Permitting Variable (Actual Flow Allocation) – All Other Costs Fixed (Outfall Capacity Allocation) – Draft Carollo Recommendation
- ▶ Alternative 4 – Permitting Variable (Actual Flow Allocation) – All Other Costs Fixed (Outfall Permitted Capacity Allocation)
- ▶ Alternative 5 – Permitting Fixed (Permitted Capacity Allocation) – All Other Costs Fixed (Outfall Capacity Allocation)

4

## Agreement

### Current Approach

- ▶ Costs allocated based on use (actual flows)
- ▶ Costs allocated not based on use (capacity ownership)

### Unanimous Agreement

- ▶ Other budget allocations can be approved unanimously

5

## PC5 permitted outfall capacities

Facility	Permitted Capacity by Facility (mgd)	Agency	Permitted Capacity by Agency (mgd)
SOCWA JBL	13.0	CSJC	4.0
		MNWD	3.0
		SCWD	3.75
		SMWD	2.25
SMWD Chiquita	9.0	SMWD	9.0
MNWD 3A	6.0	MNWD	4.0
		SMWD	2.0
CSC WRF	6.98	CSC	6.98
CSC Segunda	1.0	CSC	1.0
CSJC GW	2.2	CSJC	2.2
SCWD GW	0.6	SCWD	0.6
<b>Total</b>	<b>38.78</b>		<b>38.78</b>

6

## Permitted capacity by agency

Agency	Permitted Capacity (mgd)	Permitted Capacity (%)
CSC	7.98	20.578%
CSJC	6.2	15.988%
MNWD	7.0	18.051%
SCWD	4.35	11.217%
SMWD	13.25	34.166%
Total	38.78	100.000



Average Monthly

7

## Outfall capacity (ownership) by agency

Agency	Ownership Capacity (mgd)	Ownership Capacity (%)
CSC	13.30	16.6250%
CSJC	8.86	11.0750%
MNWD	12.41	15.5125%
SCWD	9.97	12.4625%
SMWD	35.46	44.3250%
Total	80.00	100.0000%



Peak Hydraulic Capacity

8



## Outfall permit capacity versus ownership capacity

Agency	Permitted Capacity (%)	Ownership Capacity (%)
CSC	20.578%	16.6250%
CSJC	15.988%	11.0750%
MNWD	18.051%	15.5125%
SCWD	11.217%	12.4625%
SMWD	34.166%	44.3250%
Total	100.000	100.0000%

9

## Cost alternatives requested

- ▶ Alternative 1 – All Fixed – Outfall Capacity – Final Carollo Recommended – Board Approved
- ▶ Alternative 2 – All Fixed – Permitted Capacity
- ▶ Alternative 3 – Permitting Variable (Actual Flow Allocation) – All Other Costs Fixed (Outfall Capacity Allocation) – Draft Carollo Recommendation
- ▶ Alternative 4 – Permitting Variable (Actual Flow Allocation) – All Other Costs Fixed (Outfall Permitted Capacity Allocation)
- ▶ Alternative 5 – Permitting Fixed (Permitted Capacity Allocation) – All Other Costs Fixed (Outfall Capacity Allocation)

10

## Cost alternatives summary

Agency	Alternative 1 - All Fixed - Outfall Capacity - Final Carollo Recommended	Alternative 2 - All Fixed - Permitted Capacity	Alternative 3 - Permitting Variable (Actual Flow Allocation) - All Other Costs Fixed (Outfall Capacity Allocation) - Draft Carollo Recommendation	Alternative 4 - Permitting Variable (Actual Flow Allocation) - All Other Costs Fixed (Outfall Capacity Allocation)	Alternative 5 - Permitting Fixed (Permitted Capacity Allocation) - All Other Costs Fixed (Outfall Capacity Allocation)
CSC	\$79,089	\$97,921	\$86,266	\$99,360	\$84,827
CSJC	\$52,726	\$76,079	\$65,674	\$81,912	\$59,842
MNWD	\$73,807	\$85,896	\$76,199	\$84,605	\$77,490
SCWD	\$59,340	\$53,378	\$62,762	\$58,617	\$57,524
SMWD	\$210,903	\$162,589	\$184,962	\$151,370	\$196,181
Total	\$475,864	\$475,864	\$475,864	\$475,864	\$475,864

11

## FY17/18 Budget versus FY19/20 Budget Issues

► Flows for SMWD dropped in FY16-17

Agency	Budget FY17-18 Flow by Agency (mgd)	Budgeted (%)	Actual FY17-18 Flow by Agency (mgd)	Budgeted (%)	Outfall Capacity (mgd)	Outfall Capacity (%)
SMWD	3.732	31.518%	1.550	14.154%	35.46	44.33%



12

## Staff recommendation

- ▶ Alternative #1 approved by the Board for inclusion in the budget at March 2019 meeting.
- ▶ Staff would consider recommending and updated motion with unanimous support from the PC-5 agencies.

13

## DISCUSSION

63

## PC24 permitted outfall capacities

Facility	Permitted Capacity by Facility (mgd)	Agency	Permitted Capacity by Agency (mgd)
SOCWA CTP	6.7	CLB	2.54
		EBSD	0.20
		MNWD	1.96
		SCWD	2.00
SCWD – ACWRF	0.32	SCWD	0.32
SOCWA RTP	12.0	MNWD	12.0
ETWD	6.0	ETWD	6.0
IRWD – LAWRP	7.5	IRWD	7.5
IRWD – IDP&SGU	1.85	IRWD	1.85
Total	34.37		38.78

15

## PC-24 permitted capacity by agency

Agency	Permitted Capacity (mgd)	Permitted Capacity (%)
CLB	2.54	7.390%
EBSD	0.2	0.582%
MNWD	13.96	40.617%
SCWD	2.32	6.750%
IRWD	9.35	27.204%
ETWD	6	17.457%
Total	34.37	100.000%



Average Monthly

16

## PC-24 outfall capacity (ownership) by agency

Agency	Ownership Capacity (mgd)	Ownership Capacity (%)
CLB	5.5	11.000%
EBSD	0.39	0.780%
MNWD	21.924	43.848%
SCWD	6.155	12.310%
IRWD	7.88	15.760%
ETWD	8.151	16.302%
Total	50	100.000%



Peak Hydraulic Capacity

17

## PC-24 outfall permit capacity versus ownership capacity

Agency	Permitted Capacity (%)	Ownership Capacity (%)
CLB	7.390%	11.000%
EBSD	0.582%	0.780%
MNWD	40.617%	43.848%
SCWD	6.750%	12.310%
IRWD	27.204%	15.760%
ETWD	17.457%	16.302%
Total	100.000%	100.000%

18

## PC24-cost alternatives summary

Agency	Alternative 1 - All Fixed - Outfall Capacity - Final Carollo Recommended	Alternative 2 - All Fixed - Permitted Capacity	Alternative 3 - Permitting Variable (Actual Flow Allocation) - All Other Costs Fixed (Outfall Capacity Allocation) - Draft Carollo Recommendati on	Alternative 4 - Permitting Variable (Actual Flow Allocation) - All Other Costs Fixed (Outfall Capacity Allocation)	Alternative 5 - Permitting Fixed (Permitted Capacity Allocation) - All Other Costs Fixed (Outfall Capacity Allocation)
CLB	\$59,398	\$35,045	\$59,398	\$47,044	\$47,399
EBSD	\$3,299	\$2,759	\$3,299	\$2,621	\$3,437
ETWD	\$88,501	\$82,785	\$88,501	\$92,454	\$78,832
IRWD	\$86,104	\$129,006	\$86,104	\$125,269	\$89,841
MNWD	\$186,236	\$192,612	\$186,236	\$175,177	\$203,671
SCWD	\$50,681	\$32,010	\$50,681	\$31,653	\$51,038
Total	\$474,218	\$474,218	\$474,218	\$474,218	\$474,218

19

**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Finance Committee**

**March 26, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Finance Committee Meeting was held on March 26, 2019, at 10:30 a.m. at their Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of the Finance Committee were present:

DENNIS ERDMAN	South Coast Water District
ROBB GRANTHAM	Santa Margarita Water District
RAY MILLER	City of San Juan Capistrano
KATHRYN FRESHLEY	El Toro Water District
MATT COLLINGS	Moulton Niguel Water District

**Absent:**

DAVID SHISSLER	City of Laguna Beach
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**Staff Present:**

BETTY BURNETT	General Manager
MARY CAREY	Finance Controller
JIM BURROR	Director of Operations
JASON MANNING	Senior Engineer
KONSTANTIN SHILKOV	Senior Accountant
NADYN KIM	Accountant
DINA ASH	HR Administrator
JEANETTE COTINOLA	Contracts Administration
DANITA HIRSH	Administrative Assistant

**Also Present:**

GREG MOSER	Procopio
MADDIE ATKINS	Carollo Engineers
DENNIS CAFFERTY	El Toro Water District
NEELY SHAHBAKTI	El Toro Water District
MATT PEREA	South Coast Water District
GAVIN CURRAN	City of Laguna Beach
DAVE REBENDORF	City of San Clemente
TREVOR AGRELIUS	Moulton Niguel Water District
PAMELA ARENDS-KING	South Coast Water District

**1. Call Meeting to Order**

Chairperson Erdman called the meeting to order at 10:30 a.m.

**2. Pledge of Allegiance** – Director Kathryn Freshley

**3. Public Comments** – None

**4. Approval of Minutes**

- a. Finance Committee Meeting Minutes of November 16, 2018
- b. Finance Committee Meeting Minutes of November 30, 2018
- c. Finance Committee Meeting Minutes of January 28, 2018
- d. Finance Committee Meeting Minutes of February 19, 2019

**ACTION TAKEN**

Motion was made by Director Miller and seconded by Director Grantham to approve Finance Committee Meeting Minutes for November 16, 2018, November 30, 2018, and January 28, 2019, and February 19, 2019, as submitted.

Motion carried:	Aye 5, Nay 0, Abstained 0, Absent 1
	Director Erdman           Aye
	Director Shissler       Absent
	Director Miller         Aye
	Director Grantham     Aye
	Director Collings     Aye
	Director Freshley     Aye

**5. Financial Reports for the Month of February 2019**

**ACTION TAKEN**

Motion was made by Director Grantham and seconded by Director Miller to recommend to the Board of Directors to ratify the February 2019 disbursements for the period from February 1, 2019, through February 29, 2019, totaling \$1,975,071, and to receive and file the February 2019 Financial Reports as submitted.

Motion carried:	Aye 5, Nay 0, Abstained 0, Absent 1
	Director Erdman           Aye
	Director Shissler       Absent
	Director Miller         Aye
	Director Grantham     Aye
	Director Collings     Aye
	Director Freshley     Aye

**6. FY 2019/2020 O&M Budget**

Ms. Burnett gave a presentation on the 1<sup>st</sup> Budget Development Kickoff for FY 2019/2020. Ms. Burnett reviewed with the Committee the proposed Budget schedule that would allow for comments and questions before the May 23, Board Budget Workshop. An open discussion ensued.

Ms. Carey discussed in detail, the cost savings of making an annual lump sum payment for the Unfunded Pension Liability vs. monthly payments.

Regarding supporting a lump sum payment option, Chairperson Erdman polled the Committee members who were present on whether they supported a lump sum payment on the Unfunded Liability Pension as presented by staff.

There was a concurrence amongst the members to support a lump sum payment to PERS/OPEB for the annual UAL payment for the Unfunded Liability Pension Fund.



Ms. Carey stated, after the actuarial analysis was completed, SOCWA's goal was to focus on funding the Tier-1 Classic at 80%, which is currently 73.5% funded. An open discussion ensued.

Chairperson Erdman polled the Committee members on what percentage goal each of their perspective *agencies currently have if any*.

Each member responded as follows:

- ETWD = Not in PERS; have 401k Plan
- SMWD = Have had discussions w/SMWD Board, and an 80% goal is reasonable
- SCWD = Currently beyond 80% funded; 80% is a very good goal to maintain
- CSJC = No comment
- MNWD = Board has not established a funding policy associated with the unfunded liabilities.

Chairperson Erdman convened the meeting for a recess at 11:45 a.m.  
The meeting reconvened at 11:51 a.m.

Mr. Burror went over SOCWA's staffing trends and succession planning. An open discussion ensued.

Information item; No action was taken.

## **7. Carollo Cost Distribution Report**

Mr. Burror introduced Ms. Maddie Atkins, a representative for Carollo Engineers. Mr. Burror updated the Committee on changes made to the report on the permitting costs of the outfalls as a fixed vs. variable cost. An open discussion ensued.

### **ACTION TAKEN**

Motion was made by Director Grantham and seconded by Director Miller to recommend to the Board of Directors to receive and file the March 20, 2019, Operational Cost Distribution Analysis prepared by Carollo Engineers. Also, Staff will proceed to include the report recommendations in the FY2019-20 Draft Budget preparations.

Motion carried:	Aye 5, Nay 0, Abstained 0, Absent 1
	Director Erdman Aye
	Director Shissler Absent
	Director Miller Aye
	Director Grantham Aye
	Director Collings Aye
	Director Freshley Aye

## **8. Policy for Funding of Capital Work**

There was a concurrence amongst the members to postpone agenda item until the Budget meetings.

## **9. Adjournment**

There being no further business, Chairperson Erdman adjourned the meeting at 1:00 p.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Finance Committee of

March 26, 2019, and approved by the Finance Committee and received and filed by the Board of Directors of the South Orange County Wastewater Authority.

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Betty Burnett, General Manager/Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

# Agenda Item

**Meeting Date:** June 6, 2019

**TO:** Board of Directors  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** Jim Burror, Director of Operations  
**SUBJECT:** April 2019 Operations Report

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## **Summary/Discussion**

The following selected operational reports are provided monthly to the Board of Directors. The operational reports included are as follows:

1) Monthly Operational Report

An eight (8) page overview and comparison of owner use of facilities, including influent and recycled water production. The pages include ongoing calculation used by SOCWA for billing the agencies. Other items include important statistics for regulatory compliance, visits by the public to the treatment works, and other vendor interactions. The information is broken down by facility and by member agency.

2) SOCWA Ocean Outfall Discharges by Agency

This data shows how much water is being discharged to the ocean each month and for the last 12 months. This data is presented for the agencies planning reuse projects to better understand the potential to expand water reuse in their service area.

3) Beach Ocean Monitoring Report

4) Recycled Water Report

5) Pretreatment Report

## **Fiscal impact**

No change

## **Recommendation**

Receive and file the Operational Reports.

# Monthly Operational Report

# SOCWA Operational Report April, 2019

## Excursion, Complaint, and Violation Event

Events	CTP	RTP	JBL	Totals
Odor	0	0	0	0
Noise	0	0	1(1)	1
Spills	1(2)	0	0	1
Violations	0	0	0	0
Others	0	0	0	0

(1) The noise complaint at JBL was attributed to overnight construction on PCH.

(2) The spill at CTP was from the SCWD forcemain that is being slip lined. The forcemain is now out of service with a bypass in place. All sewage was captured and returned to the treatment plant.

### Plant Wastewater Billing Characteristics

Key Parameters	CTP	RTP	JBL TP1	JBL TP2	Totals
Influent (mgd) (3)	2.53	6.92	4.21	0.87	14.53
Effluent (mgd)	2.70	2.87	4.21	1.10	10.87
Peak Flow (mgd)	7.26	18.36	11.82	6.34	43.78
Influent BOD (mg/l)	397	246	259	282	
Influent TSS (mg/l)	319	332	411	466	
Effluent BOD (mg/l)	5.3	3.9	7.6	7.3	
Effluent TSS (mg/l)	7.6	5.7	9.5	10.2	
Effluent Turbidity (NTU)	2.8	2.4	4.8	5.1	

(3) CTP Influent value does not include AWT backwash in this table.

### Recycled Water (AWT) Operations

Key Parameters	CTP(1)	RTP	JBL	Totals
Average Flow (mgd)	0.00	4.06		4.06
Days of Operation (days)	30	30		
Total Flow (million gallons)	0.0	121.7		121.7
Plant Irrigation (million gallons)	0.00	0.00	0.29	
AWT Time Online (%)	0.0	100.0		

(1) AWT offline for SOCWA and SCWD AWT construction project.

### Wastewater Unit Definitions

mgd = million gallons per day

mg/l = milligram per liter also known as parts per million

NTU = Nephelometric Turbidity Units

# SOCWA Operational Report April, 2019 (cont'd)

## Biosolids Management

Biosolids Management Site	CTP	RTP	JBL	Totals
Synagro Compost (tons)		763.3	0.0	763.3
Nursery Products (tons)		183.5	427.0	610.5
Prima Deshecha (tons)		237.8	61.0	298.8
Other: (tons)		0.0	0.0	0.0
Total Processed (tons)		1,184.6	488.0	1,672.6

## Summary of Maintenance Activities

Task Type	CTP	RTP	JBL	Totals
Preventative Maintenance	401	527	284	1,212
Corrective Maintenance	40	54	153	247

## Site Visitors

Visitor Types	CTP	RTP	JBL	Totals
Regulatory	0	0	0	0
Member Agency	0	3	5	8
Residents	0	0	0	0
Others	24	0	46	70
Tours #/Visitors	0	25	2	27

## Grit Disposal Management

Grit & Screenings	CTP	RTP	JBL	Totals
Simi Valley Landfill (tons)	8.6	24.1	19.7	52.5

## Chemical and Energy Utilization

Chemical/Utility	CTP	RTP	JBL	Totals
Ferric Chloride (tons)	NA	NA	NA	0.0
Utility Power Purchase (kWh)	189,885	-5,490	276,745	461,140
Cogen Power (kWh)		575,504	438,611	1,014,115
Natural Gas (Dth)	19	1,331	1,845	3,194
Digester Gas to Engine (scfm)		9,864,127	6,244,195	16,108,322
Digester Gas to Boiler (scfm)		0		0
Digester Gas to Flares (scfm)		236,752	280,943	517,695
Digester Gas Power Savings		\$55,054		

(1) The bills to calculate these values are received after this report is prepared for the Board meeting, but will be available upon request at the Board meeting.

NA = Not Available at the time this report was generated.

### Wastewater Unit Definitions

kWh = kilowatt hours

Dth = Dekatherms

scfm = standard cubic feet per minute

# SOCWA Operational Report April, 2019 (cont'd)

## Agency Wastewater Flows to SOCWA by Facility (Including Internal Waste Streams Used for Billing)

Agency	CTP (mgd)	CTP (%)	RTP (mgd)	JBL (mgd)	JBL (%)	Total (mgd)
CLB	1.681	66.49%				1.68
EBSB	0.052	2.06%				0.05
SCWD	0.795	31.45%		1.606	31.08%	2.40
MNWD	0.000	0.00%	6.92	1.400	27.10%	8.32
CSJC				2.080	40.26%	2.08
SMWD				0.081	1.57%	0.08
Total	2.528	100.00%	6.92	5.167	100.00%	14.62

## Total Agency Outfall Flows by Outfall System-Billing Flows

Agency	SJCOO (mgd)	SJCOO (%)	SJCOO Meter (mgd)	ACOO (mgd)	ACOO (%)	Total (mgd)	Notes
CLB				1.68	14.24%	1.68	
EBSB				0.05	0.44%	0.05	
SCWD	1.61	13.23%		0.97	8.21%	2.57	Includes Desalters
MNWD	2.01	16.58%		2.87	24.30%	4.88	
ETWD				2.30	19.47%	2.30	Direct Outfall Only
CSJC	2.51	20.64%				2.51	Includes Desalter
SMWD	3.02	24.89%				3.02	Includes Chiquita
CSC	2.99	24.66%				2.99	Direct Outfall Only
IRWD				3.94	33.34%	3.94	Direct Outfall Only
Total	12.14	100.00%	12.57	11.80	100.00%	23.25	

# SOCWA Operational Report April, 2019 (cont'd)

## FY Flow/Solids Summary-Billing

### Project Committee No. 2 Liquids (JBL)

Agency	Own (mgd)	Own (%)	Budget (mgd)	Budget (%)	Month (mgd)(1)	Month (%)	FY Avg to Date (mgd)	FY Avg to Date (%)
CSJC	4.00	30.77%	2.12	31.98%	2.080	40.26%	2.07	36.20%
MNWD	3.00	23.08%	1.40	21.12%	1.400	27.10%	1.40	24.44%
SCWD	3.75	28.85%	1.70	25.64%	1.606	31.08%	1.71	29.92%
SMWD	2.25	17.31%	1.41	21.27%	0.081	1.57%	0.54	9.44%
<b>Total</b>	<b>13.00</b>	<b>100.00%</b>	<b>6.63</b>	<b>100.00%</b>	<b>5.167</b>	<b>100.00%</b>	<b>5.728</b>	<b>100.00%</b>

### Project Committee No. 2 Solids (JBL)

Agency	Own (lbs/d)	Own (%)	Budget (lbs/d)	Budget (%)	Month (lbs/d)	Month (%)	36 Month Rol. Avg. (lbs/d) (2)	36 Month Rol. Avg. (%)
CSJC	11,572	30.00%	5,767	24.54%	6,261	39.44%	5,744	27.82%
MNWD	8,340	21.62%	4,396	18.70%	3,875	24.41%	5,486	26.57%
SCWD	7,715	20.00%	5,391	22.94%	5,515	34.74%	5,231	25.33%
SMWD	10,946	28.38%	7,949	33.82%	224	1.41%	4,186	20.27%
<b>Total</b>	<b>38,573</b>	<b>100.00%</b>	<b>23,503</b>	<b>100.00%</b>	<b>15,875</b>	<b>100.00%</b>	<b>20,647</b>	<b>100.00%</b>

### Project Committee No. 5 - Effluent Pumping Station (SJCOO EPS)

Agency	Own (%)	Variable Budget (mgd)	Variable Budget (%)	Month Outfall Flow (mgd)	Month Outfall Flow (%)	Month EPS Outfall Flow (mgd)	Month EPS Outfall Flow (%)
CSC	16.62%	2.531	21.57%	2.99	24.66%		
CSJC	11.08%	2.348	20.01%	2.51	20.64%	2.08	40.26%
MNWD(3)	15.51%	2.013	17.16%	2.01	16.58%	1.40	27.10%
SCWD	12.47%	1.740	14.83%	1.61	13.23%	1.61	31.08%
SMWD	44.32%	3.101	26.43%	3.02	24.89%	0.08	1.57%
<b>Total</b>	<b>100.00%</b>	<b>11.733</b>	<b>3.10%</b>	<b>12.14</b>	<b>100.00%</b>	<b>5.17</b>	<b>100.00%</b>

(1) Influent billing meter summary:

- a. CSJC is metered daily in the collection system. The area-velocity meter has an accuracy of +/- 20%.
- b. MNWD is assumed to be 1.4 mgd unless Treatment Plant 3A is discharging to the sewer. If other discharges occur, they are estimated.
- c. SCWD flows are the summation of the DPSD and Victoria PS meters. The two metering systems have an accuracy of +/- 10%.
- d. The Oso Trabuco sewer is metered daily in the collection system. The flows from MNWD are subtracted from the metering data collected to determine SMWD's flows. The metering system in the collection system has an accuracy of +/- 20%.

(2) The 36-month average is the average of the past 36 months. The Use Audit is based on the last 3 Fiscal Years versus the average of the past 36 months.

(3) All monthly flow data for 3A is reported as part of MNWD's flow to the ocean outfall.



# SOCWA Operational Report April, 2019 (cont'd)

## FY Flow/Solids Summary-Billing (cont'd)

### Project Committee No. 5 - Outfall (SJCOO)

Agency	FY Avg Outfall Flow (mgd)	FY Avg Outfall Flow (%)	FY Avg EPS Outfall Flow (mgd)	FY Avg EPS Outfall Flow (%)
CSC	2.869	24.21%		
CSJC	2.466	20.81%	2.07	36.23%
MNWD	2.334	19.70%	1.40	24.47%
SCWD	1.843	15.55%	1.71	29.95%
SMWD	2.405	20.30%	0.49	8.56%
Total	11.848	100.00%	5.72	100.00%

### Project Committee No. 15 (CTP)

Agency	Own (mgd)	Own (%)	Budget (mgd)	Budget (%)	Month (mgd)	Month (%)	FY Avg to Date (mgd)	FY Avg to Date (%)
CLB	2.54	37.91%	1.770	59.00%	1.681	66.49%	1.604	60.81%
EBSD	0.20	2.99%	0.050	1.67%	0.052	2.06%	0.050	1.91%
SCWD	2.00	29.85%	1.180	39.33%	0.795	31.45%	0.983	37.28%
MNWD	1.96	29.25%	0.000	0.00%	0.000	0.00%	0.000	0.00%
Total	6.70	100.00%	3.000	100.00%	2.528	100.00%	2.638	100.00%

### Project Committee No. 17 Liquids (RTP)

Agency	Budget Liquids (mgd)	Budget Liquids (%)	Month Plant Influent (mgd)	Month Centrate (mgd)	Month Total (mgd)(1)	Month Total (%)	FY Avg to Date (mgd)	FY Avg to Date (%)
CLB	0.01220	0.157%	0.0000	0.0168	0.0168	0.24%	0.0145	0.19%
EBSD	0.00040	0.005%	0.0000	0.0005	0.0005	0.01%	0.0005	0.01%
SCWD	0.00810	0.104%	0.0000	0.0079	0.0079	0.11%	0.0089	0.12%
ETWD	0.01410	0.181%	0.0000	0.0147	0.0147	0.21%	0.0140	0.18%
MNWD	7.75000	99.553%	6.9237	0.0530	6.9767	99.43%	7.6934	99.51%
Total	7.78480	100.000%	6.9237	0.0930	7.0166	100.00%	7.7314	100.00%

(1) Month total does not double count MNWD centrate. It is included in the Monthly Plant Influent too.

# SOCWA Operational Report April, 2019 (cont'd)

## FY Flow/Solids Summary (cont'd)

### Project Committee No. 17 Solids (RTP)

Agency	Own (lbs/d)	Own (%)	Budget (lbs/d)	Budget (%)	Total Month (lbs)	Total Month (%)	FY Avg Total to Date (lbs)	FY Avg Total to Date (%)
CLB	5,605	11.22%	5,133	12.48%	199,841	18.06%	181,996	15.67%
EBSD	295	0.59%	158	0.38%	6,182	0.56%	5,710	0.49%
SCWD	4,480	8.96%	3,546	8.62%	94,540	8.55%	112,212	9.66%
ETWD	10,200	20.41%	5,755	13.99%	175,191	15.84%	175,068	15.07%
MNWD	29,395	58.82%	26,532	64.52%	630,593	57.00%	686,632	59.11%
Total	49,975	100.00%	41,124	100.00%	1,106,348	100.00%	1,161,617	100.00%

### Project Committee No. 24 (ACOO)

Agency	Own (%)	Budget (mgd)	Budget (%)	Month Outfall Flow (mgd)	Month Outfall Flow (%)	FY Avg Outfall Flow (mgd)	FY Avg Outfall Flow (%)
CLB	11.000%	1.89	17.73%	1.681	14.24%	1.604	13.98%
EBSD	0.780%	0.05	0.47%	0.052	0.44%	0.050	0.44%
ETWD	16.302%	2.46	23.08%	2.298	19.47%	2.658	23.16%
IRWD	15.760%	2.48	23.26%	3.936	33.34%	3.362	29.30%
MNWD	43.848%	3.08	28.89%	2.868	24.30%	3.322	28.95%
SCWD	12.310%	0.70	6.57%	0.969	8.21%	0.479	4.18%
Total	100.000%	10.66	100.00%	11.803	0.00%	11.476	100.00%

## SOCWA Operational Report April, 2019 (cont'd)

### Select Critical Equipment Repairs

#### JBL - PC2

Replaced failed TWAS flow meter.

Rebuilt Seepex split case pump for feed pump #1.

Replaced and rebuilt the polymer pump on Polyblend #1

Repaired leaking flood control station sump discharge line.

Repaired leaking process water manifold near plant sump.

Replaced leaking bleach line in the process water channel.

Replaced failed Effluent Pump #2 motor and coupling.

Replaced failed 4-side Grit Auger lower bearing.

Fabricated and installed a new Primary #7 influent gate stand to replace the corroded unit.

Rebuilt Wemco 4x4, 3x3 and 6x6 pumps for future use.

Replaced failed regulator on DAFT #1 air compressor.

#### CTP - PC15

Troubleshoot the East RAS Bleach Pump.

Replaced failed motor sheave on Fresh Air Fan #8.(\*)

Replaced failed motor of West #2 Skimmer.

Worked with SCWD on leak in their influent forcemain.

Replaced worn oil indicator sight glass to both Clearwell Pumps.

Replaced leaking Secondary West Tank #3 water line.

Replaced failed 4 inch Dezurik valve on East Grit Auger.

#### RTP - PC17

Repaired leak in the heat loop.

Troubleshoot the RAS #4 pump.

Replaced ORT Fan #6 motor and bearing.(\*)

Replaced the motor on the CTP tow motor to allow for use on hills at CTP.

Replaced faulty discharge gauge on Scrubber 3, stage 2/3 recirculation pump.

Removed 3 HiOx aeration panels from Tank #4 and rebuild them for installation in Tank #5.

Troubleshoot frozen check valve on Digester Recirculation Pump #2.

Replaced failed upper bearings on Centrifuge Conveyor.

Cleaned out and repaired waste gas flare flashbacks.

Repaired failed Scrubber #2 Bleach Pump discharge line.

#### ELECTRICAL - ALL PC'S

Troubleshoot the Headworks bubbler at JBL.

Troubleshoot the SCADA historian point additions.

Troubleshoot the SCADA reports after software upgrades.

Updated the SCADA WIN-911 callout alarm module.

Replaced failed RAS #3 & #4 motors at RTP.

Removed faulty Vapex pump assembly and replaced it with a new model at CTP.

Replaced failed SC200 on the 4-side Headworks.

Items with a (\*) have been identified as preventable repairs.

## SOCWA Operational Report April, 2019 (cont'd)

### Select Critical Equipment Repairs (cont'd)

#### ELECTRICAL - ALL PC'S (cont'd)

Troubleshoot the fixed gas detectors at JBL.

Troubleshoot the Co-Gen engine auxiliary receptacles at JBL.

Replaced failed effluent bubbler level tubing.

Troubleshoot the AWT Filter Cell Pulse Count Sensor at RTP.

Replaced failed gas flow meters at RTP.

Troubleshoot the Engine Exhaust Bypass Control Valve at JBL.

Continued work at RTP on Engine emissions control systems.

Items with a (\*) have been identified as preventable repairs.

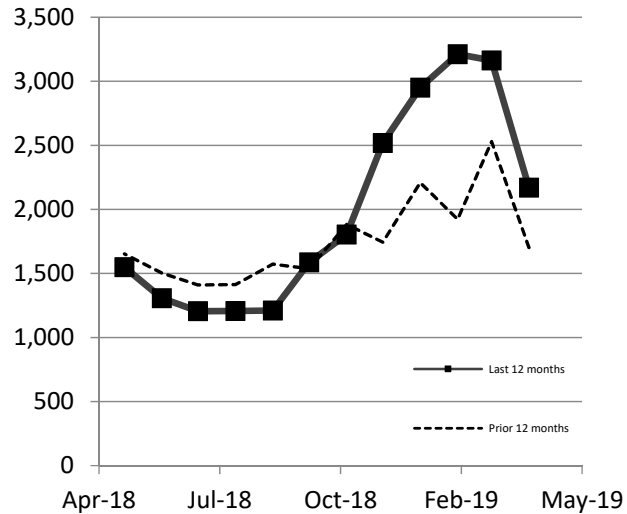
# SOCWA Ocean Outfall Discharges by Agency

## SOCWA Outfall Discharge Report April, 2019

Agency	SJCOO (mgd)	SJCOO (%)	ACOO (mgd)	ACOO (%)	Total (mgd)
CLB			1.68	14.24%	1.68
EBSD			0.05	0.44%	0.05
SCWD	1.61	13.23%	0.97	8.21%	2.57
MNWD	2.01	16.58%	2.87	24.30%	4.88
ETWD			2.30	19.47%	2.30
CSJC	2.51	20.64%			2.51
SMWD	3.02	24.89%			3.02
CSC	2.99	24.66%			2.99
IRWD			3.94	33.34%	3.94
<b>Total</b>	<b>12.14</b>	<b>100.00%</b>	<b>11.80</b>	<b>100.00%</b>	<b>23.25</b>
or Acre-Feet per year equivalent					26,043

### 12-Month Running Total Discharge to Ocean Outfalls (AF)

Apr-19	2,170
Mar-19	3,163
Feb-19	3,211
Jan-19	2,950
Dec-18	2,518
Nov-18	1,804
Oct-18	1,587
Sep-18	1,210
Aug-18	1,207
Jul-18	1,205
Jun-18	1,307
May-18	1,549
<b>Total</b>	<b>23,825</b>



# Beach / Ocean Monitoring Report

# Aliso Creek Outfall



ALISO CREEK OCEAN OUTFALL MONITORING REPORT

March 2019

DATE	IRWD			EL TORO WRP			REGIONAL PLANT			SOCWA			SOCWA			IRWD		SCWD		ACOO		Rain Fall inches	
	LOS ALISOS WRP FLOW MGD	TSS mg/L	cBOD mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L	SS mg/L		SS mg/L
03/01/19	4.132	9.1	7.1	<0.3	ND	3.881	8.0	3.0	0.1	2.668	4.8	4.0	<0.1	0.376	0.616	0.000	16.563						
03/02/19	3.911	13.0		<0.3		4.184	4.46			2.650				0.377	0.615	0.000	16.197					0.82	
03/03/19	3.997	18.0	16.0	<0.3	6.7	3.836	6.7	3.0	<0.1	3.189	8.3	5.0		0.376	0.616	0.000	18.504					0.07	
03/04/19	3.898	12.0	12.0	<0.3	9.6	4.150	6.3	3.0	0.2	2.922	5.9	4.0	0.1	0.377	0.615	0.000	18.082					0.26	
03/05/19	4.057	14.0	6.7	<0.3	7.8	4.197	7.9	0.2	0.2	2.770	7.5	5.0	<0.1	0.377	0.614	0.000	17.445					0.02	
03/06/19	3.907	10.0	6.9	<0.3	8.0	3.772	8.3	3.0	0.6	2.750	7.7	5.0	0.1	0.358	0.615	0.000	16.432					0.30	
03/07/19	5.490	7.7	6.2	<0.3	14.0	3.788	10.7	4.0	0.2	2.860	5.2	4.0	<0.1	0.375	0.614	0.000	18.647					0.03	
03/08/19	6.096	13.0	8.1	<0.3	0.1	3.662	7.3	2.0	0.1	2.727	3.7	3.0	<0.1	0.375	0.423	0.000	18.493					0.02	
03/09/19	6.411	10.0		<0.3	2.984		5.090	9.4	4.0	2.578				0.590	0.000	0.000	17.653						
03/10/19	6.333	9.8	5.3	<0.3	3.852	9.2	5.7	3.0	<0.1	2.785	4.8	6.0		0.734	0.000	0.000	18.874						
03/11/19	6.234	6.1	4.4	<0.3	3.786	13.2	6.0	3.0	0.1	2.701	11.8	9.0	<0.1	0.766	0.003	0.000	18.790					0.12	
03/12/19	5.593	6.1	4.4	<0.3	4.080	12.0	8.1	5.0	0.1	2.737	7.8	6.0	<0.1	0.766	0.504	0.000	19.130					0.18	
03/13/19	5.628	8.0	5.0	<0.3	3.817	13.6	7.2	4.0	<0.1	2.942	7.3	6.0	<0.1	0.766	0.615	0.000	18.948						
03/14/19	5.601	5.3	3.4	<0.3	3.541	9.4	8.8	0.1	0.1	2.741	4.2	3.0	<0.1	0.765	0.604	0.000	18.142						
03/15/19	5.621	7.5	3.5	<0.3	3.305		4.890	6.5	2.0	2.741	4.2	3.0	<0.1	0.766	0.617	0.000	20.435						
03/16/19	5.713	9.0		<0.3	3.426		7.400	4.7	2.0	2.726	4.0	3.0	0.1	0.766	0.628	0.000	20.964						
03/17/19	5.772	9.4	3.9	<0.3	3.788	7.5	5.1	2.0	<0.1	2.791	6.6	6.0		0.766	0.626	0.000	21.663						
03/18/19	5.769	7.3	3.1	<0.3	3.151	14.2	8.0	6.0	0.1	2.823	6.4	6.0	0.1	0.766	0.623	0.000	20.982						
03/19/19	5.781	10.0	3.5	<0.3	3.437	10.0	9.9	6.0	0.1	2.799	12.1	7.0	0.1	0.766	0.624	0.000	20.887						
03/20/19	5.714	11.0	4.1	<0.3	3.010	16.0	8.5	2.0	0.1	2.720	7.6	3.0	<0.1	0.742	0.620	0.000	20.176					0.14	
03/21/19	5.262	12.0	4.6	<0.3	3.785	10.4	4.1	3.0	0.2	2.658	4.9	3.0	<0.1	0.766	0.649	0.000	20.310					0.05	
03/22/19	5.292	7.7	3.9	<0.3	3.039		7.400	5.7	<0.1	2.648	3.3			0.764	0.640	0.000	19.783						
03/23/19	5.760	9.8		<0.3	3.514		7.210			2.706				0.765	0.639	0.000	20.594						
03/24/19	5.765	7.9	4.6	<0.3	3.781	9.6	6.7	7.0	<0.1	2.755	8.9	5.0		0.764	0.638	0.000	21.173						
03/25/19	5.904	6.0	3.7	<0.3	3.186	9.2	8.3	5.0	<0.1	2.783	6.8	6.0	<0.1	0.765	0.619	0.000	21.147						
03/26/19	5.808	4.8	3.8	<0.3	3.274	18.6	7.3	4.0	0.1	2.654	7.2	4.0	0.1	0.764	0.587	0.000	20.577						
03/27/19	3.481	6.3	4.5	<0.3	2.107	5.6	7.6	4.0	<0.1	2.734	8.4	5.0	<0.1	0.416	0.579	0.000	16.717						
03/28/19	3.306	5.2	4.2	<0.3	3.240	10.0	6.9	4.0	0.1	2.652	5.3	3.0	0.1	0.611	0.578	0.000	17.477						
03/29/19	3.305	6.2	4.4	<0.3	2.230		7.290	5.5	3.0	2.716	3.9	3.0	<0.1	0.765	0.578	0.000	16.884						
03/30/19	3.316	7.2		<0.3	5.667		7.180			2.675				0.477	0.593	0.000	19.908						
03/31/19	3.314	12.0	4.7	<0.3	3.646	12.4	7.5	4.0	0.1	2.774	2.7	3.0		0.673	0.594	0.000	18.241						
AVG	5.038	9.1	5.5	<0.3	3.584	10.9	6.479	7.2	3.6	2.752	6.4	4.7	<0.1	0.628	0.545	0.000	19.026						
TOTAL	156.17				111.12		200.85			85.32				19.48	16.89	0.000	589.82						2.01

Unified Beach Monitoring

#1

South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: March 2019  
 REPORT DUE: May 1 2019  
 SAMPLE SOURCE: Surf zone  
 TYPE OF SAMPLE: Grab

REPORT FREQUENCY: Monthly  
 EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan  
 SAMPLES COLLECTED BY: SOCWA Lab  
 SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: High Tide 903  
 Weather: Clear

COMMENTS: Rain on 3/6/19

STA#	DATE	TIME	SM9222B	Total Coliform CFU/100ml	Fecal Coliform SM9222D	Enterococcus EPA 1600	Material of Sewage Origin			Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
							Onshore	Offshore	Material of Sewage							
S3	03/07/19	740	30	20	60	None	None	None	None	None	Green	60	Clear			
S4	03/07/19	1020	<10	<10	<10	None	None	None	None	None	Green		Clear			
S5	03/07/19	1005	<10	<10	<10	None	None	None	None	None	Green		Clear			
S6	03/07/19	945	10	<10	<10	None	None	None	None	None	Green		Clear			
WEST	03/07/19	935	90	10	40	None	None	None	None	None	Green		Clear			
S7	03/07/19	930	<10	10	<10	None	None	None	None	None	Green		Clear			
S8	03/07/19	920	60	20	20	None	None	None	None	None	Blue		Clear			
S9	03/07/19	905	>=430	290	170	None	None	None	None	None	Green		Clear			
ACM1	03/07/19	840	>=4,000	2,000	2,000	None	None	None	None	None	Green		Turbid	Flowing		
S10	03/07/19	830	1,500	270	400	None	None	None	None	None	Green		Slightly Turbid			
S11	03/07/19	815	210	30	50	None	None	None	None	None	Green		Clear			
S12	03/07/19	805	60	20	10	None	None	None	None	None	Green		Clear			

RECREATIONAL WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

Unified Beach Monitoring

#2

South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: March 2019

REPORT FREQUENCY: Monthly

REPORT DUE: May 1, 2019

EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan

SAMPLE SOURCE: Receiving water surf zone

SAMPLES COLLECTED BY: SOCWA Lab

TYPE OF SAMPLE: Grab

SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: Low Tide 919

Weather: Partly Cloudy

COMMENTS:

STA#	DATE	TIME	Total Coliform		Fecal Coliform	Enterococcus	Material of Sewage Origin			Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			SM9222B	SM9222D			Onshore	Offshore	EPA 1600							
S3	03/13/19	750	30	10	10	10	None	None	None	None	Green	58	Clear			
S4	03/13/19	1015	20	<10	<10	<2	None	None	None	None	Green		Clear			
S5	03/13/19	955	30	<10	<10	10	None	None	None	None	Green		Clear			
S6	03/13/19	935	20	<10	<10	2	None	None	None	None	Green		Clear			
WEST	03/13/19	925	30	30	30	2	None	None	None	None	Green		Clear			
S7	03/13/19	920	30	10	10	4	None	None	None	None	Green		Clear			
S8	03/13/19	915	30	<10	<10	2	None	None	None	None	Blue		Clear			
S9	03/13/19	905	40	<10	<10	10	None	None	None	None	Green		Clear			
ACM1	03/13/19	855	20	<10	<10	4	None	None	None	None	Green		Clear			
S10	03/13/19	845	10	<10	<10	4	None	None	None	None	Green		Clear			
S11	03/13/19	825	50	<10	<10	8	None	None	None	None	Green		Clear			
S12	03/13/19	815	30	<10	<10	10	None	None	None	None	Green		Clear			

RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

Unified Beach Monitoring

#3

South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: March 2019 REPORT FREQUENCY: Monthly  
 REPORT DUE: May 1, 2019 EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan  
 SAMPLE SOURCE: Receiving water surf zone SAMPLES COLLECTED BY: SOCWA Lab  
 TYPE OF SAMPLE: Grab SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: High Tide 1041

Weather: Clear

COMMENTS:

STA#	DATE	TIME	Total Coliform		Enterococcus	Material of Sewage Origin		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			SM9222B	SM9222D		Onshore	Offshore							
S3	03/22/19	750	<10	<10	<10	None	None	None	None	Green		Clear		
S4	03/22/19	1015	10	10	<10	None	None	None	None	Green		Clear		
S5	03/22/19	955	<10	<10	<10	None	None	None	None	Green		Clear		
S6	03/22/19	935	<10	<10	<10	None	None	None	None	Green		Clear		
WEST	03/22/19	930	<10	<10	<10	None	None	None	None	Green		Clear		
S7	03/22/19	925	<10	<10	<10	None	None	None	None	Green		Clear		
S8	03/22/19	915	<10	<10	<10	None	None	None	None	Blue		Clear		
S9	03/22/19	905	10	<10	<10	None	None	None	None	Green		Clear		
ACM1	03/22/19	845	10	<10	<10	None	None	None	None	Green		Slightly Turbid	Flowing	
S10	03/22/19	835	<10	<10	<10	None	None	None	None	Green		Clear		
S11	03/22/19	820	<10	<10	<10	None	None	None	None	Green		Clear		
S12	03/22/19	815	<10	<10	<10	None	None	None	None	Green		Clear		

RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

Unified Beach Monitoring

#4

South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: March 2019  
 REPORT DUE: May 1, 2019  
 SAMPLE SOURCE: Receiving water surf zone  
 TYPE OF SAMPLE: Grab

REPORT FREQUENCY: Monthly  
 EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan  
 SAMPLES COLLECTED BY: SOCWA Lab  
 SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: Low Tide @ 0833

Weather: Overcast

COMMENTS:

4.4

STA#	DATE	TIME	Total Coliform		Enterococcus	Material of Sewage Origin	Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			CFU/100ml SM9222B	CFU/100ml SM9222D									
S3	03/26/19	8:34	20	<20	<2	None	None	None	Green	56	Slightly Turbid		
S4	03/26/19	8:57	10	10	<2	None	None	None	Green	55	Slightly Turbid		
S5	03/26/19	9:14	10	10	<2	None	None	None	Green		Slightly Turbid		
S6	03/26/19	9:30	<10	<10	<2	None	None	None	Green		Slightly Turbid		
WEST	03/26/19	9:36	<10	<10	<2	None	None	None	Green		Slightly Turbid		
S7	03/26/19	9:38	<10	<10	<2	None	None	None	Green		Slightly Turbid		
S8	03/26/19	11:10	<10	<10	<2	None	None	None	Green		Slightly Turbid		
S9	03/26/19	10:53	20	<10	6	None	None	None	Green		Slightly Turbid		
ACM1	03/26/19	10:44	50	<10	2	None	None	None	Green		Slightly Turbid	Flowing	
S10	03/26/19	10:00	<10	<10	4	None	None	None	Green	56	Slightly Turbid		1
S11	03/26/19	10:14	20	10	6	None	None	None	Green		Slightly Turbid		
S12	03/26/19	10:21	<10	<10	<2	None	None	None	Green	58	Slightly Turbid		

RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

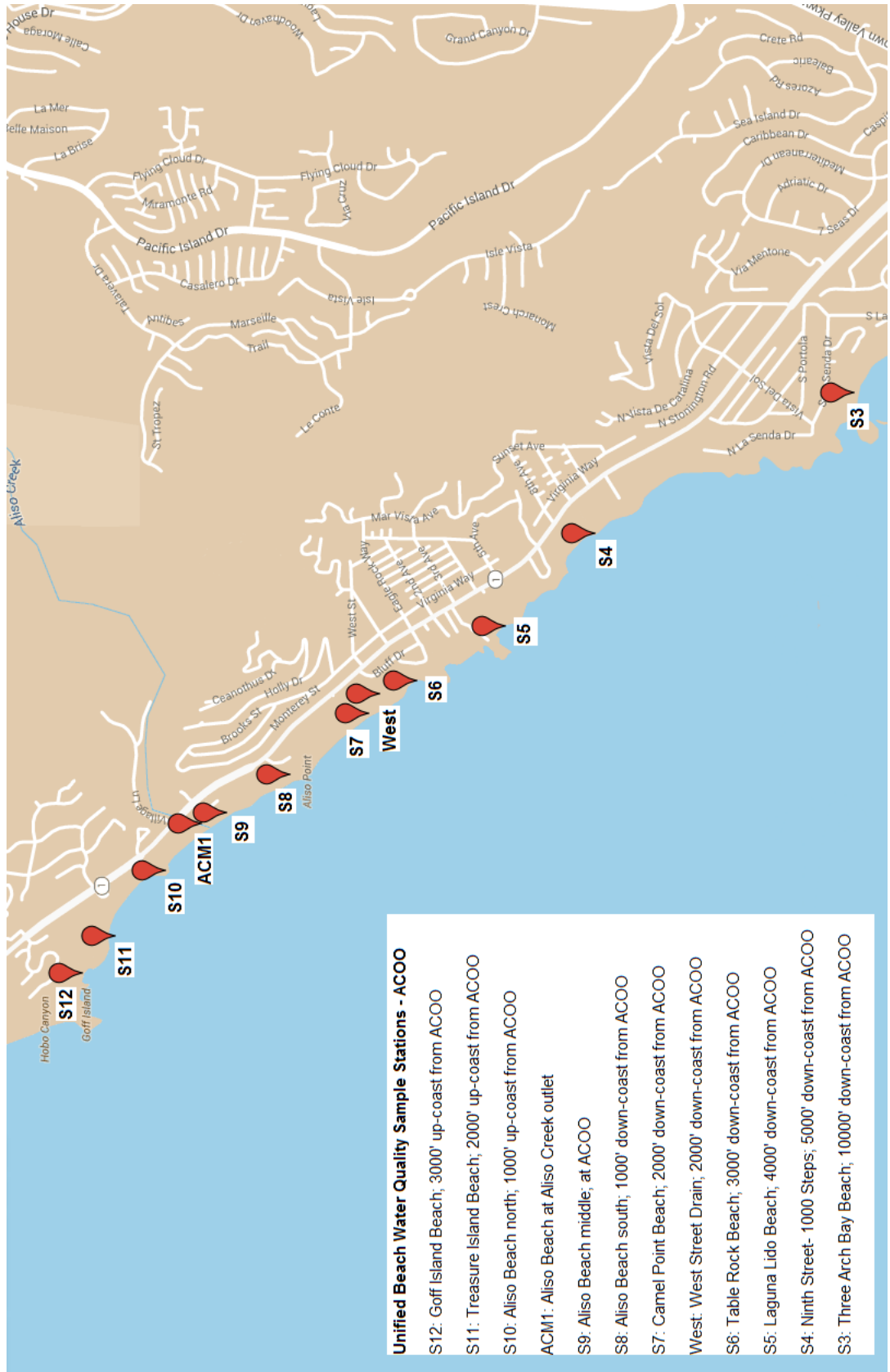
## Aliso Creek Ocean Outfall

### Unified Beach Water Quality Monitoring Stations

SOCWA's NPDES discharge permit requires participation in the South Orange County Unified Beach Water Quality Monitoring Program. The monitoring stations below are by SOCWA at least once per week for Total and Fecal Coliform and Enterococcus Bacteria.

Station	Location
S3	Three Arch Bay Beach; 10,000' down-coast from ACOO
S4	Ninth Street-1000 Steps; 5,000' down-coast from ACOO
S5	Laguna Lido Beach; 4,000 down-coast from ACOO
West	West Street Drain; 2,000' down-coast from ACOO
S6	Table Rock Beach; 3,000' down-coast from ACOO
S7	Camel Point Beach; 2,000' down-coast from ACOO
S8	Aliso Beach south; 1,000' down-coast from ACOO
S9	Aliso Beach middle; at ACOO
ACM1	Aliso Beach at Aliso Creek Outlet
S10	Aliso Beach north; 1,000' up-coast of ACOO
S11	Treasure Island Beach; 2,000' up-coast of ACOC
S12	Goff Island Beach; 3,000' up-coast of ACOO

## Unified Beach Water Quality Sample Station Map – Aliso Creek Ocean Outfall



MONITORING REPORT

Off Shore Stations

South Orange County Wastewater Authority

DISCHARGE: Aliso Creek Ocean Outfall

REPORT FOR: March 2019

REPORT DUE: May 1, 2019

SAMPLE SOURCE: Receiving water, nearshore and offshore

EXACT SAMPLE POINTS: As specified in permit

SAMPLES COLLECTED BY: Seaventures/SOCWA staff

SAMPLES ANALYZED BY: SOCWA Lab

REPORT FREQUENCY: Monthly

SAMPLING FREQUENCY: Monthly

TYPE OF SAMPLE: Grab

Comments: Large pod of dolphins (>400) in sample area

Sta No.	Sample Depth	Sample Date	Total Coliform	Fecal Coliform	Enterococcus	Sample Time	Oil & Grease	Sewage Debris	0 - None 1 - Mild 2 - Moderate 3 - Severe
			CFU/100ml SM9222B	CFU/100ml SM9222D	CFU/100ml EPA 1600				
A-1	Surface	03/05/19	2	<2	<2	802	0	0	
A-1	Mid depth	03/05/19	<10	<10	<10				
A-2	Surface	03/05/19	<2	<2	<2	748	0	0	
A-2	Mid depth	03/05/19	<10	<10	<10				
A-3	Surface	03/05/19	<2	<2	<2	752	0	0	
A-3	Mid depth	03/05/19	<10	<10	<10				
A-4	Surface	03/05/19	<2	<2	<2	806	0	0	
A-4	Mid depth	03/05/19	<10	<10	<0				
A-5	Surface	03/05/19	<2	<2	<2	758	0	0	
A-5	Mid depth	03/05/19	<10	<10	<10				
B-1	Surface	03/05/19	8	<10	2	742	0	0	
B-1	Mid depth	03/05/19	<10	10	<10				
B-2	Surface	03/05/19	<2	<2	<2	811	0	0	
B-2	Mid depth	03/05/19	<10	<10	<10				
N1	Surface	03/05/19	<2	<2	<2	828	0	0	
N2	Surface	03/05/19	4	<2	<2	825	0	0	
N3	Surface	03/05/19	<2	<2	2	823	0	0	
N4	Surface	03/05/19	4	<2	<2	821	0	0	
N5	Surface	03/05/19	4	<2	<2	820	0	0	
N6	Surface	03/05/19	2	<2	<2	819	0	0	
N7	Surface	03/05/19	4	<2	<2	818	0	0	

REQUIREMENT: (1) Floating particulates and grease and oil shall not be visible. (2) The discharge of waste shall not cause aesthetically undesirable discoloration of the ocean surface.



**Compliance Summary Report  
Aliso Creek Ocean Outfall 2019**

ACOO Permit Order No. R9-2012-0013							
Agency - Facility	Violation Date	Constituent	Effluent Limit Violation	Units	Permit Limit	Reported Value	Potential Fine
No violations during this reporting period.							



**SOCWA and MEMBER AGENCY FACILITIES  
ACOO Spill / Overflow Report Log - 2019  
Order No. R9-2012-0013 ~ NPDES Permit No. CA0107611**

Reporting Agency	Responsible Agency	Estimated Volume (Gallons)	Type of Discharge	Location/Comments	Receiving Waters	Date Reported To State	Date Resolved
SOCWA	SOCWA - Coastal Treatment Plant	10,800	Raw Sewage	The spill was completely recovered recirculated back into the treatment plant. There was no raw sewage that left the facility.	N/A	No	02-09-19

# San Juan Creek Outfall

SAN JUAN CREEK OCEAN OUTFALL MONITORING REPORT

April 2019

DATE	J.B. LATHAM FACILITY			SAN CLEMENTE WRP			SMWD CHIQUITA WRP			3-A PLANT			CSJC		SCWD		SJCOO		Rain Fall inches	
	FLOW MGD	TSS mg/L	cBOD mg/L	SS ml/L	FLOW MGD	TSS mg/L	cBOD mg/L	SS ml/L	FLOW MGD	TSS mg/L	cBOD mg/L	SS ml/L	FLOW MGD	Desalter FLOW	MGD	Desalter FLOW	MGD	FLOW		MGD
04/01/19	4.790	10.0	7.7	0.2	2.298	4.9	8.0	<0.1	2.560	8.0	13.8	0.1	1.610	8.0	9.0	0.1	0.428	No Flow	9.170	
04/02/19	4.670	12.0	7.1	0.2	2.881	4.7	8.0	<0.1	1.790	4.8	13.0	0.2	0.390	6.4	12.0	ND	0.428	No Flow	8.500	0.01
04/03/19	4.710	9.8	4.8	0.2	3.005	10.4	8.0	<0.1	1.170	4.3	3.5	0.2	0.204	4.8	11.0	ND	0.423	No Flow	9.450	0.03
04/04/19	4.610	7.1	4.2	0.1	3.147	6.1	7.0	<0.1	2.640	3.7	2.9	0.2	0.200				0.423	No Flow	8.200	
04/05/19	4.680	11.2	6.7	<0.1	2.886	12.0	8.0	<0.1	3.380	3.7	2.3	0.3	0.391	7.2	8.0	0.1	0.423	No Flow	7.120	
04/06/19	4.520				2.798				3.670				0.621				0.424	No Flow	8.490	0.01
04/07/19	4.770	6.5	6.0		2.290				3.400				0.828	6.8	8.0	ND	0.425	No Flow	7.930	
04/08/19	4.820	7.0	5.7	0.1	3.619	8.4	7.0	<0.1	2.290	3.5	11.5	0.1	0.304	4.4	7.0	ND	0.427	No Flow	4.560	
04/09/19	4.600	20.6	12.4	0.1	3.599	8.0	8.0	<0.1	2.240	3.8	10.2	0.3	0.315	5.2	8.0	ND	0.429	No Flow	9.780	
04/10/19	4.650	10.2	8.4	0.2	3.554	12.4	8.0	<0.1	2.240	1.0	2.1	0.4	0.175	3.2	5.0	ND	0.426	No Flow	11.570	
04/11/19	4.680	24.1	10.0	0.1	3.220	10.4	7.0	<0.1	2.530	2.0	2.5	<0.1	0.547	8.8	9.0	ND	0.426	No Flow	11.350	
04/12/19	4.630	9.5	8.4	<0.1	2.697	9.6	8.0	<0.1	1.040	4.8	2.5	0.3	0.570				0.424	No Flow	12.430	
04/13/19	4.620				2.913				0.780				0.418				0.426	No Flow	9.930	
04/14/19	4.670	6.5	10.3		2.774				3.370				0.585	6.4	7.0	ND	0.426	No Flow	9.080	
04/15/19	4.790	8.0	10.2	0.1	3.068	11.2	7.0	<0.1	2.760	3.6	10.4	0.1	0.915	10.0	11.0	ND	0.426	No Flow	12.950	
04/16/19	4.830	6.2	8.2	0.1	3.038	9.2	6.0	<0.1	1.350	3.7	12.5	0.2	0.927	6.8	8.0	ND	0.410	No Flow	10.820	
04/17/19	5.190	10.2	5.6	<0.1	2.887	10.8	8.0	<0.1	1.870	3.6	3.1	<0.1	0.308	6.0	8.0	ND	0.425	No Flow	9.070	
04/18/19	5.100	6.6	5.8	0.1	2.134	8.8	7.0	<0.1	3.330	3.2	3.6	0.1	0.280	4.8	8.0	ND	0.426	No Flow	10.410	
04/19/19	4.780	6.8	5.5	0.1	2.551	10.0	8.0	<0.1	1.410	3.1	2.6	0.1	0.217				0.428	No Flow	11.280	
04/20/19	4.800				2.697				1.930				0.569				0.428	No Flow	8.080	
04/21/19	5.050	6.8	7.3		3.094				3.280				0.896	4.8	7.0	ND	0.429	No Flow	10.140	
04/22/19	4.960	5.6	8.5	0.1	3.065	14.0	7.0	<0.1	3.110	4.7	11.8	0.3	0.987	6.4	8.0	ND	0.429	No Flow	11.960	
04/23/19	4.800	7.6	6.2	0.1	2.886	18.0	7.0	<0.1	1.990	5.0	10.2	0.1	0.849	12.8	10.0	ND	0.425	No Flow	10.810	
04/24/19	4.580	6.8	6.9	0.2	2.882	17.6	9.0	<0.1	2.000	4.5	3.8	0.2	0.437	4.8	7.0	ND	0.421	No Flow	7.050	
04/25/19	4.870	7.6	6.8	0.1	3.244	14.4	8.0	<0.1	4.190	5.2	3.5	0.2	0.389	6.8	8.0	0.1	0.420	No Flow	7.190	
04/26/19	4.650	7.7	5.4	0.1	3.880	25.6	8.0	<0.1	0.800	7.4	5.1	0.2	0.376				0.423	No Flow	7.930	
04/27/19	4.670				2.920				0.360				0.452				0.424	No Flow	7.570	
04/28/19	4.720	9.6	8.8		3.228				3.170				0.709	5.6	7.0	0.1	0.425	No Flow	8.160	
04/29/19	4.750	15.5	11.6	0.1	2.803	26.8	12.0	1.0	2.980	4.5	10.4	<0.1	1.148	6.8	8.0	ND	0.424	No Flow	8.650	0.01
04/30/19	4.690	12.5	6.4	0.2	3.747	21.3	11.0	<0.1	2.610	5.0	13.2	0.1	1.764	11.2	11.0	ND	0.422	No Flow	12.020	0.03
AVG	4.755	9.7	7.5	<0.1	2.994	12.5	8.0	<0.1	2.341	4.2	7.0	<0.2	0.613	6.7	8.4	ND0.0	0.425	No Flow	9.388	
TOTAL	142.650				89.805				70.240				18.381				12.743	No Flow	281.650	0.09

Unified Beach Monitoring

#1

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: April 2019

REPORT FREQUENCY: Monthly

REPORT DUE: June 1, 2019

EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan

SAMPLE SOURCE: Receiving water surf zone

SAMPLES COLLECTED BY: SOCWA Lab

TYPE OF SAMPLE: Grab

SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: high tide 859

Weather: Overcast

COMMENTS: SJC1z flowing at S-0

STA#	DATE	TIME	Total Coliform		Enterococcus	Material of Sewage Origin		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			CFU/100ml SM9222B	CFU/100ml SM9222D		CFU/100ml EPA 1600	Onshore							
S0	04/03/19	932	>=300	100	100	None	None	None	None	Green		Turbid	Flowing	
S1	04/03/19	945	>=100	20	60	None	None	None	None	Brown		Turbid		
S2	04/03/19	910	<20	<20	<2	None	None	None	None	Green		Turbid		
DSB5	04/03/19	855	>=16,000	3,000	6,000	None	None	None	None	Brown	62	Turbid		
S3	04/03/19	950	200	20	80	None	None	None	None	Brown		Turbid		
DSB4	04/03/19	952	80	20	90	None	None	None	None	Brown		Turbid		
S5	04/03/19	1005	60	20	30	None	None	None	None	Brown	62	Turbid		
DSB1	04/03/19	1016	40	<20	30	None	None	None	None	Brown		Turbid		
SJC1	04/03/19	930	500	200	200	None	None	None	None	Green		Turbid	Flowing	

RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

Unified Beach Monitoring

#2

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: April 2019

REPORT FREQUENCY: Monthly

REPORT DUE: June 1, 2019

EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan

SAMPLE SOURCE: Receiving water surf zone

SAMPLES COLLECTED BY: SOCWA Lab

TYPE OF SAMPLE: Grab

SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: Low Tide 855

Weather: Clear

COMMENTS:

STA#	DATE	TIME	Total Coliform		Enterococcus	Material of Sewage Origin		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			CFU/100ml SM9222B	CFU/100ml SM9222D		CFU/100ml	EPA 1600							
S0	04/11/19	835	>=200	100	20	None	None	None	None	Green		Slightly Turbid		
S1	04/11/19	850	200	40	20	None	None	None	None	Green		Slightly Turbid		
S2	04/11/19	755	200	60	6	None	None	None	None	Green	60	Slightly Turbid		
DSB5	04/11/19	745	40	<20	20	None	None	None	None	Green		Slightly Turbid		
S3	04/11/19	855	100	20	10	None	None	None	None	Green		Clear		
DSB4	04/11/19	900	200	60	10	None	None	None	None	Green		Slightly Turbid		
S5	04/11/19	910	200	100	10	None	None	None	None	Green		Slightly Turbid		
DSB1	04/11/19	920	100	80	8	None	None	None	None	Green		Slightly Turbid		
C1	04/11/19	810	>=800	400	90	None	None	None	None	Green		Slightly Turbid	Flowing	

RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

Unified Beach Monitoring

#3

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: April 2019

REPORT FREQUENCY: Monthly

REPORT DUE: June 1, 2019

EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan

SAMPLE SOURCE: Receiving water surf zone

SAMPLES COLLECTED BY: SOCWA Lab

TYPE OF SAMPLE: Grab

SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: High Tide 900

Weather: Clear

COMMENTS:

STA#	DATE	TIME	Total Coliform		Fecal Coliform	Enterococcus	Material of Sewage Origin			Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			CFU/100ml	SM9222B			CFU/100ml	SM9222D	EPA 1600							
S0	04/18/19	1230	>=1,000	800	800	800	None	None	None	None	Green	59	Slightly Turbid			
S1	04/18/19	1240	200	100	100	100	None	None	None	None	Green		Slightly Turbid			
S2	04/18/19	1145	20	20	8	8	None	None	None	None	Green		Slightly Turbid			
DSB5	04/18/19	1135	900	<20	2	2	None	None	None	None	Green		Slightly Turbid			
S3	04/18/19	1245	100	80	90	90	None	None	None	None	Green		Slightly Turbid			
DSB4	04/18/19	1250	40	<20	30	30	None	None	None	None	Green		Slightly Turbid			
S5	04/18/19	1255	<20	<20	<2	<2	None	None	None	None	Green		Slightly Turbid			
DSB1	04/18/19	1305	40	<20	<20	<20	None	None	None	None	Green		Slightly Turbid			
C1	04/18/19	1205	2,000	2,000	1,000	1,000	None	None	None	None	Brown		Turbid	Flowing		

RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

Unified Beach Monitoring

#4

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: April 2019

REPORT FREQUENCY: Monthly

REPORT DUE: June 1, 2019

EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan

SAMPLE SOURCE: Receiving water surf zone

SAMPLES COLLECTED BY: SOCWA Lab

TYPE OF SAMPLE: Grab

SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: Low Tide 0931

Weather: Overcast

COMMENTS:

STA#	DATE	TIME	Total Coliform		Fecal Coliform	Enterococcus	Material of Sewage Origin			Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds	
			CFU/100ml	SM9222B			CFU/100ml	EPA 1600	Onshore								Offshore
			SM9222D	CFU/100ml			None	None	None								None
S0	04/25/19	818	>=920	1,600	200	None	None	None	None	None	Green		Slightly Turbid	Flowing			
S1	04/25/19	831	80	100	20	None	None	None	None	None	Green		Slightly Turbid				
S2	04/25/19	810	20	40	10	None	None	None	None	None	Green	61	Slightly Turbid				
DSB5	04/25/19	800	220	200	50	None	None	None	None	None	Brown		Clear				
S3	04/25/19	836	20	20	10	None	None	None	None	None	Green		Slightly Turbid		2		
DSB4	04/25/19	837	20	<20	20	None	None	None	None	None	Green	61	Slightly Turbid				
S5	04/25/19	843	20	20	2	None	None	None	None	None	Green		Slightly Turbid				
DSB1	04/25/19	849	<20	<20	2	None	None	None	None	None	Green		Slightly Turbid				
C1	04/25/19	821	<100	<100	<2	None	None	None	None	None	Green	61	Slightly Turbid				

RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.



Unified Beach Monitoring

#5

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: April 2019 REPORT FREQUENCY: Monthly  
 REPORT DUE: June 1, 2019 EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan  
 SAMPLE SOURCE: Receiving water surf zone SAMPLES COLLECTED BY: SOCWA Lab  
 TYPE OF SAMPLE: Grab SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: High Tide 722

Weather: Drizzle

COMMENTS:

STA#	DATE	TIME	Total Coliform		Fecal Coliform		Enterococcus		Material of Sewage Origin				Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			CFU/100ml	SM9222B	CFU/100ml	SM9222D	CFU/100ml	EPA 1600	Onshore	Offshore									
			CFU/100ml	SM9222B	CFU/100ml	SM9222D	CFU/100ml	EPA 1600	Onshore	Offshore									
S0	04/30/19	835	20	<20	<20	10	None	None	None	None	None	None	None	Green	65	Turbid			
S1	04/30/19	840	20	100	2	2	None	None	None	None	None	None	None	Green		Turbid			
S2	04/30/19	828	<20	<20	2	2	None	None	None	None	None	None	None	Green		Turbid			
DSB5	04/30/19	820	10,000	300	900	<2	None	None	None	None	None	None	None	Green		Turbid			
S3	04/30/19	845	20	<20	2	2	None	None	None	None	None	None	None	Green		Turbid			
DSB4	04/30/19	850	<20	<20	2	2	None	None	None	None	None	None	None	Green		Turbid			
S5	04/30/19	900	300	80	100	80	None	None	None	None	None	None	None	Green	65	Turbid		Flowing	
DSB1	04/30/19	906	100	40	80	80	None	None	None	None	None	None	None	Green		Turbid			
C1	04/30/19	830	200	200	20	20	None	None	None	None	None	None	None	Green		Turbid			

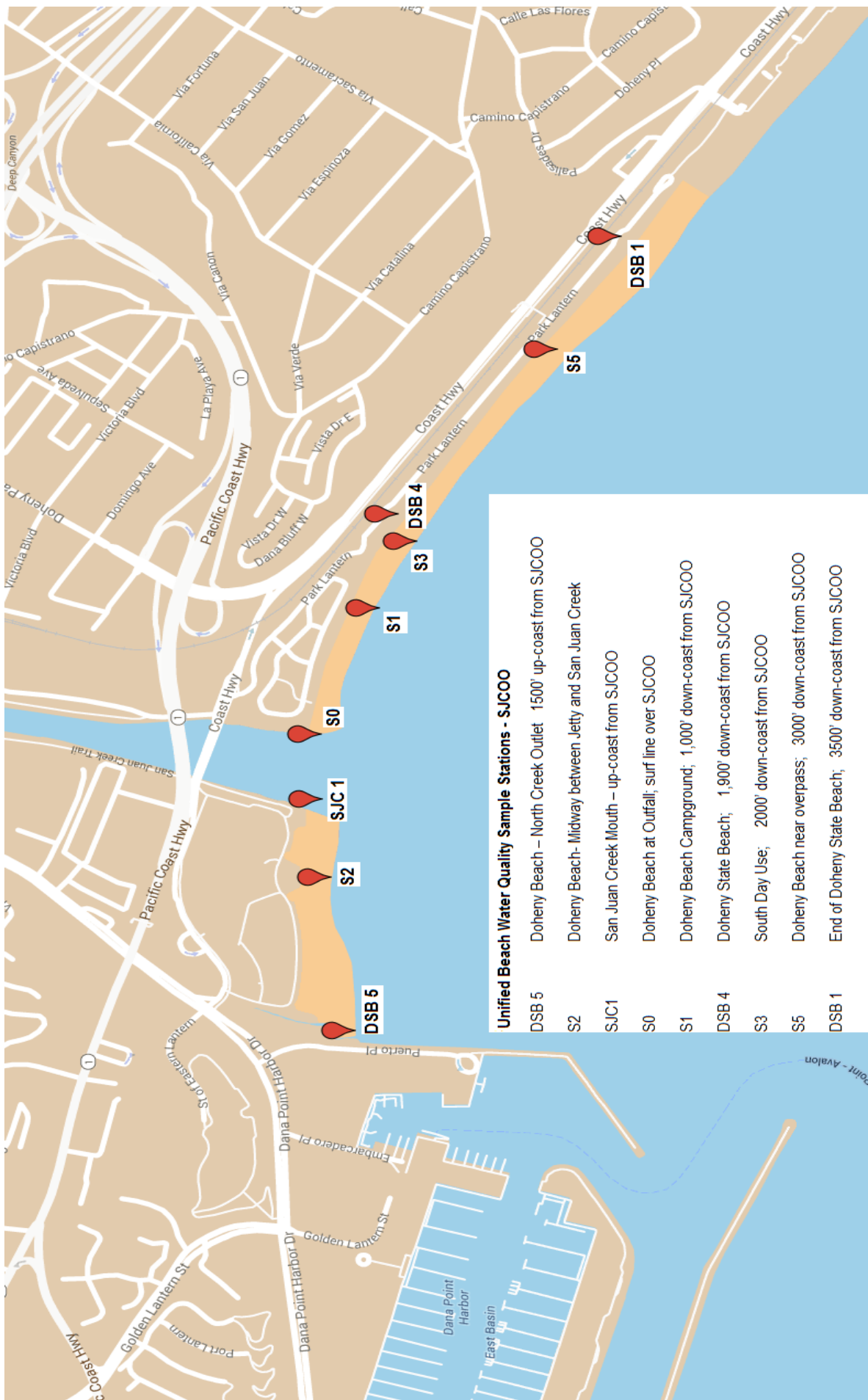
RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

## San Juan Creek Ocean Outfall

### Unified Beach Water Quality Monitoring Stations

SOCWA's NPDES discharge permit requires participation in the South Orange County Unified Beach Water Quality Monitoring Program. The monitoring stations below are tested by SOCWA at least once per week for Total and Fecal Coliform and Enterococcus Bacteria.

Station	Location
DSB 5	Doheny Beach – North Creek Outlet 1500' up-coast from SJCOO
S2	Doheny Beach- Midway between Jetty and San Juan Creek
SJC1	San Juan Creek Mouth – up-coast from SJCOO
S0	Doheny Beach at Outfall; surf line over SJCOO
S1	Doheny Beach Campground; 1,000' down-coast from SJCOO
DSB 4	Doheny State Beach; 1,900' down-coast from SJCOO
S3	South Day Use; 2000' down-coast from SJCOO
S5	Doheny Beach near overpass; 3000' down-coast from SJCOO
DSB 1	End of Doheny State Beach; 3500' down-coast from SJCOO



MONITORING REPORT

Offshore

South Orange County Wastewater Authority

DISCHARGE: San Juan Creek Ocean Outfall

REPORT FOR: April 2019

REPORT FREQUENCY: Monthly

REPORT DUE: June 1, 2019

SAMPLE SOURCE: Receiving water, nearshore and offshore

SAMPLING FREQUENCY: Monthly

EXACT SAMPLE POINTS: As specified in permit

TYPE OF SAMPLE: Grab

SAMPLES COLLECTED BY: Seaventures/SOCWA staff

SAMPLES ANALYZED BY: SOCWA Lab

Comments: Very Choppy; High Tide 811

Sta No.	Sample Depth	Sample Date	Total Coliform CFU/100ml SM9222B	Fecal Coliform CFU/100ml SM9222D	Enterococcus CFU/100ml EPA 1600	Sample Time	Oil & Grease	Sewage Debris	
A-1	Surface	04/02/19	2	2	<2	922	0	0	0 - None
A-1	Mid depth	04/02/19	100	20	<10				1 - Mild
A-2	Surface	04/02/19	<2	<2	<2	927	0	0	2 - Moderate
A-2	Mid depth	04/02/19	90	30	10				3 - Severe
A-3	Surface	04/02/19	<2	<2	<2	930	0	0	
A-3	Mid depth	04/02/19	130	50	30				
A-4	Surface	04/02/19	2	<2	<2	936	0	0	
A-4	Mid depth	04/02/19	10	10	<10				
A-5	Surface	04/02/19	<2	<2	<2	934	0	0	
A-5	Mid depth	04/02/19	60	40	20				
B-1	Surface	04/02/19	2	<2	<2	916	0	0	
B-1	Mid depth	04/02/19	<10	<10	<10				
B-2	Surface	04/02/19	<2	<2	<2	940	0	0	
B-2	Mid depth	04/02/19	<10	<10	<10				
N1	Surface	04/02/19	<2	<2	<2	911	0	0	
N2	Surface	04/02/19	<2	<2	<2	906	0	0	
N3	Surface	04/02/19	2	<2	<2	902	0	0	
N4	Surface	04/02/19	18	22	<2	857	0	0	
N5	Surface	04/02/19	6	2	<2	854	0	0	
N6	Surface	04/02/19	2	2	<2	851	0	0	

REQUIREMENT: (1) Floating particulates and grease and oil shall not be visible. (2) The discharge of waste shall not cause aesthetically undesirable discoloration of the ocean surface.

**Compliance Summary Report  
San Juan Creek Ocean Outfall 2019**

Agency	Violation Date	Constituent	Effluent Limit Violation	Units	Permit Limit	Reported Value	Potential Fine
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**No Violations During this Reporting Period**

**SOCWA and MEMBER AGENCY FACILITIES  
 SJCOO Spill / Overflow Report Log - 2019  
 Order No. R9-2012-0012 ~ NPDES Permit No. CA0107417**

Reporting Agency	Responsible Agency	Estimated Volume (Gallons)	Type of Discharge	Location/Comments	Receiving Waters	Date Reported To State	Date Resolved
				No Spills for this Monitoring Period			

# Recycled Water Report

**Compliance Summary Report  
Recycled Water Permit  
2019**

**Waste Discharge Requirement Order 97 - 52**

<b>Agency - Facility</b>	<b>Violation Date</b>	<b>Constituent</b>	<b>Effluent Limit Violation</b>	<b>Units</b>	<b>Permit Limit</b>	<b>Reported Value</b>	<b>Remarks</b>
TCWD - RRWRP	10/19/2018	Nitrate as NO3	Annual	mg/L	45	68	Results reported in January. Agency to begin quarterly accelerated monitoring.
SOCWA - RTP	1/16/2019- 1/22/2019	Coliform	30-day Max	cfu/100mL	23	37-548	There were six instances of exceedances of MPN greater than 23 cfu/100mL. Permit limits no more than one sample in excess of 23 in 30 day period. Chlorine contact basin past scheduled annual maintenance due to storm as key contributor to exceedances. Chlorine contact basin cleaned early February.
SOCWA - RTP	1/16/2019	Coliform	Instantaneous	cfu/100mL	240	548	Chlorine contact basin past scheduled annual maintenance due to storm as key contributor to exceedances. Chlorine contact basin cleaned early February.
SOCWA - RTP	1/22/2019- 1/30/2019	Coliform	7 Day Median	cfu/100mL	2.2	3-37	There were nine exceedances of the 7 day median. Chlorine contact basin past scheduled annual maintenance due to storm as key contributor to exceedances. Chlorine contact basin cleaned early February.
SOCWA - RTP	1/3/2019	Manganese	12-Month	mg/L	0.05	0.07	
SOCWA - RTP	1/3/2019	TDS	12-Month	mg/L	1000	1024	SOCWA began accelerated monitoring.
SMWD - 3A	1/1/2019	Manganese	12-Month	mg/L	0.05	0.06	Plant offline but running annual average continues to be above the permit limit.
SOCWA - RTP	2/5/2019	Manganese	12-Month	mg/L	0.05	0.08	
SOCWA - RTP	2/5/2019	TDS	12-Month	mg/L	1000	1072	
SOCWA - CTP	2/28/2019	Manganese	12-Month	mg/L	0.05	0.06	Plant offline but running annual average continues to be above the permit limit.
SMWD - 3A	2/7/2019	Manganese	12-Month	mg/L	0.05	0.06	
SMWD - 3A	2/9/2019	Coliform	Instantaneous	cfu/100mL	<2	2419	Suspected sample contamination.
SOCWA - RTP	3/5/2019	Manganese	12-Month	mg/L	0.05	0.07	
SMWD - 3A	3/20/2019	Manganese	12-Month	mg/L	0.05	0.07	
SOCWA - RTP	4/16/2019	Manganese	12-Month	mg/L	0.05	0.07	
SMWD - 3A	4/30/2019	Manganese	12-Month	mg/L	0.05	0.07	



## SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

### QUARTERLY RECYCLED WATER MONITORING

Monitoring Period Ending: Apr 30, 2019

Constituent	Units	12-month Avg Maximum Permit Limit	IRWD-LAWRP 12-month Average	ETWD-WRP 12-month Average	TCWD 12-month Average	SMWD Oso 12-month Average	SMWD Chiquita 12-month Average	SMWD Nichols 12-month Average	MNWD-3A 12-month Average	MNWD-RTP 12-month Average	SCWD-CTP 12-month Average
TDS	mg/L	1000	757*	957**	962	816	831	857	885	1,156	927***
Chloride	mg/L	375	143	218	259	169	199	255	200	268	268
Sulfate	mg/L	400	225	305	275	227	208	197	224	370	210
Sodium	mg/L	None	145	183	184	163	163	190	143	190	190
Alkalinity	mg/L	None	-	-	-	-	-	-	240	243	170
Adjusted SAR	Ratio	None	5.05	-	4.51	4.99	5.20	5.61	4.53	4.11	4.05
Iron	mg/L	0.3	0.056	0.083	0.017	0.013	0.150	0.029	0.12	0.160	0.096
Manganese	mg/L	0.05	0.031	0.012	0.011	0.015	0.040	0.017	0.070	0.087	0.060
MBAS	mg/L	0.5	0.07	0.00	0.17	0.19	0.28	0.16	0.03	0.03	0.05
Boron	mg/L	0.75	0.24	0.260	0.297	0.355	0.380	0.367	0.30	0.340	0.34
Fluoride	mg/L	None	0.33	0.990	0.29	0.830	0.60	0.52	0.76	0.93	0.61
Total Organic Carbon	mg/L	None	10.5	-	9.9	12.0	10.6	7.0	9.2	14.6	10.0

\* The LAWRP 12-month permit limits are listed below:

TDS 1000 mg/L  
Chloride 180 mg/L  
Sulfate 340 mg/L

\*\*The ETWD 12-month permit limits are listed below:

TDS 910 mg/L

\*\*\* The CTP 12-month permit limits are listed below:

TDS 1200 mg/L  
Chloride 400 mg/L  
Sulfate 500 mg/L

SOCWA Service Area  
Recycled Water Production (ac-ft) 2019

Agency	Facility or Region	Jan '19	Feb '19	Mar '19	Apr '19	May '19	Jun '19	Jul '19	Aug '19	Sep '19	Oct '19	Nov '19	Dec '19	Annual Totals
CSJC 1	3-A Plant/MNWD	0.00	0.00	0.00	0.00									0.00
CSJC 2	Chiquita/SMWD	0.18	0.00	3.89	35.02									39.10
CSJC 3	Non-Domestic Well	13.29	3.41	11.50	27.69									55.89
ETWD	Region 8	23.64	10.09	41.03	130.77									205.53
IRWD														
4	IRWD - 8	35.00	11.25	16.55	82.85									145.65
4	IRWD - 9	15.72	2.97	10.97	60.60									90.27
SCWD	SOCWA CTP	-0.83	0.00	0.00	0.00									-0.83
MNWD	JRP	245.54	221.48	112.32	373.36									952.71
	3-A Plant	0.00	14.35	74.85	176.55									265.76
5	CTP	10.71	1.48	-15.58	-74.25									-77.64
SMWD	Oso Creek	103.42	142.27	151.76	139.67									537.12
	Chiquita	179.53	45.27	55.06	235.14									514.99
	Nichols	2.00	1.97	1.94	1.73									7.64
TCWD	RRWRP	41.93	23.76	22.53	35.95									124.18
<b>TOTALS</b>		<b>670.14</b>	<b>478.31</b>	<b>486.81</b>	<b>1225.08</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>2860.34</b>

- 1 Denotes transfer of recycled water from MNWD (3A Plant) for use in the CSJC service area. Not counted as additional production.
- 2 Denotes recycled water purchased from SMWD Chiquita-WRP used in the CSJC service area. Not counted as additional production.
- 3 Denotes nondomestic groundwater produced from wells used for landscape irrigation.
- 4 IRWD production is from recycled water production, nonpotable water wells, and surface water impoundments
- 5 Denotes transfer of recycled water from SCWD (SOCWA CTP) for use in the MNWD service area. Not counted as additional production.  
Note: All of ETWD reclaimed water produced and used in Region 8.  
NR = No Report

# Pretreatment Report

# Agenda Item

**Legal Counsel Review:** N/A

**Meeting Date:** June 6, 2019

**TO:** SOCWA Board of Directors  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** Katie Greenwood, Source Control Manager  
**SUBJECT:** Monthly Pretreatment Report, April and May 2019  
San Juan Creek Ocean Outfall  
NPDES Permit #CA0107417 Order #R9-2012-0012  
Aliso Creek Ocean Outfall  
NPDES Permit #CA0107611 Order #R9-2012-0013

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## Summary of Program Activities

The Environmental Protection Agency (EPA) published a new rule for Management Standards for Hazardous Waste Pharmaceuticals on February 22, 2019, and SOCWA staff will be drafting a facility notification letter which may be circulated through SOCWA's Member Agencies (MA). The effective date of the sewer-related prohibition is 6 months after publication. EPA Region 9 and EPA Headquarters are not expecting POTWs to modify their pretreatment programs to incorporate this prohibition since it is a Resource Conservation and Recovery Act (RCRA) regulation revision; not a Clean Water Act/pretreatment regulation revision (and therefore not a reason to revise pretreatment legal authority, unless POTWs want to for added notification). SOCWA staff is working on a rule notification letter to be sent to medical facilities and may be reaching out to MA Staff for assistance in circulation.

State contractors conducted a Pretreatment Compliance Audit (PCA) of SOCWA's Pretreatment Program on December 5-6, 2018. SOCWA Staff continues to wait on the issuance of the report and now understands that it should be issued by June 2019.

## Permit Related Activities

The following Wastewater Discharge (WD) Permits, Special Wastewater Discharge (SWD) Permits, Nuisance Water-Special Wastewater Discharge (NSWD) Permits, Non-Industrial Wastewater Discharge (NIWD) forms, and BMP letters were issued or are in the process of being drafted for issuance:

CLB - NSWD Permit No. CLB-N4-001 – Multiple Dry Weather Diversions – Renewal NSWD Permit to continue to allow dry weather diversion flows to be discharged to the sewer. A renewal permit was issued on July 30, 2018. SCWD and CLB have worked out a New Agreement for three diversion structures located in SCWD jurisdiction and operated by CLB staff. Once signed, SOCWA will modify the CLB NSWD Permit and attach the Agreement.

CSC - NSWD Permit No. CSC-N4-001 – Multiple Dry Weather Diversions – Renewal Permit to continue to allow dry weather diversion flows to be discharged to the sewer. The present permit expires on May 20, 2019. A renewal permit application was provided to CSC on April 16, 2019. SOCWA staff expects a new development, Marblehead, to be added as an additional diversion area to the NSWD renewal permit. Staff plans to visit/inspect all diversion areas prior to renewal.

CSC – WD Permit No. CSC-1-002 – Non-Significant Categorical Industrial User (NSCIU) - WD Permit to allow Glaukos to continue discharge of and certify a daily discharge of no more than

100 gpd of wastewater subject to metal finishing rules under 40 CFR Part 433. A permit application was received on May 8, 2019.

### Inspections

SMWD – On May 8, 2019, SOCWA staff inspected one of Applied Medical’s facilities located at 30200 Avenida de las Banderas, Rancho Santa Margarita, CA to evaluate a request to discharge less than 50 gpd of wastewater generated from the soaking and cleaning of ceramic setters used to stabilize metal parts under high heat conditions.

### Enforcement

#### Glaukos, 229 Avenida Fabricante, San Clemente, CA 92672

Issued a Notice of Non-Compliance (NON) on April 30, 2019, for failing to submit a timely permit application as required by an industrial wastewater inspection performed in October 2018. SOCWA received the requested permit application on May 8, 2019, and considered the enforcement action resolved.

#### Applied Medical Resources, 30152 Aventura, Rancho Santa Margarita, and CA 92688

Issued a Warning NON (WNON) on May 22, 2019, for failing to sample and analyze for cadmium as part of the April self-monitoring (SMR) report compliance associated with WD Permit No. SMWD -1-004. Cadmium is a parameter for which Applied Medical is required to measure in its effluent monthly and compliance history going back for a little over three years shows cadmium to be non-detect. SOCWA considers this enforcement action resolved.

### Trainings and Committee Meetings Attended

Staff attended the NACWA 2019 National Pretreatment & Pollution Prevention Workshop May 14-17, 2019.

- o Included one full day of advanced local limits training.

### Summary of IWS Activities, Enforcement, and Types of IUs in the SOCWA Service Area - YTD through May 22, 2019

<u>MA</u>		<u>Events</u>	<u>Permit</u>	<u>NIWD</u>	<u>BMP</u>	<u>FSE</u>	<u>OSE</u>	<u>Closed</u>	<u>Enforcement</u>	<u># of</u>
<u>IUs</u>										
CLB	(S)	0	3	2	5	8	111	0	0	129
CSC	(M)	0	7	35	18	181	1283	0	0	1524
CSJC	(S)	0	2	27	59	137	1669	0	1	1894
ETWD	(M)	0	3	98	0	262	134	0	0	497
EBSA	(U)	0	1	0	0	0	0	0	0	1
IRWD	(S)	0	4	51	21	63	920	0	0	1059
MNWD	(S)	60	4	124	40	625	2102	12	0	2895
SMWD	(S)	34	6	19	20	197	783	8	0	1025
SCWD	(S)	0	7	33	7	148	184	0	1	380
TCWD	(S)	0	11	0	0	7	33	0	0	51
SOCWA	(S)	0	3	1	0	0	0	0	1	4
Totals		94	51	390	170	1628	7219	20	3	9459
Dentist (All)										484
<b>Total Known IUs</b>										<b>9943</b>

(S) = SOCWA conducts PT program.  
(M) = MA conducts PT program /w SOCWA oversight.  
(U) = Urban Diversion Only.  
YTD = Year to Date.

NIWD = Non-industrial Waste Discharger.  
BMP = Best Management Practices.  
FSE = Food Service Establishment.  
OSE = Other Surveyed Establishment.

# Agenda Item

**Legal Counsel Review:** N/A

**Meeting Date:** June 6, 2019

**TO:** Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Jason Manning, Senior Engineer

**SUBJECT:** Capital Improvement Program Status Report

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The status of the SOCWA Capital Improvement Program is presented in the tables on the following pages.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 2(R) - JB LATHAM TREATMENT PLANT CAPITAL PROJECTS  
(\*18/'19)**

<b>Task Code</b>	<b>Description</b>	<b>Phase</b>	<b>Status</b>
<b>CAPITAL IMPROVEMENT PROJECT LIQUIDS</b>			
3213-000	Water System Piping Improvements (2014)	Construction	Study completed. Remaining work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3214-000	4MGD Diversion Flow Meter & Control Structure (2012)	Design	This work has been delayed until the development of Package 'D' in Fiscal Year '19/'20.
3212-000	East Primary Influent Channel Repair (2015)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3280-000	Facility Improvements B - Basin Upgrades (2018)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3252-000	Plant 1 Standby Power Generator Replacement (2017)	Design	Operations staff has requested a standby power generator large enough to supply power to all of Plant No.1. Design on hold to allow consideration of larger unit (see Project 3352-000).
3250-000	Plant 1 Grit Basin Improvements (2017)	Construction	The coating subcontractor is currently working in the grit basin.
3253-000	Effluent System Valve Replacement (2017)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3350-000	Motor Control Center 'M' Replacement (2019)	Design	RFP for engineering services for project to be issued in June 2019.
3351-000	Facility Improvements B - Basin Upgrades Construction I (2019)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 2(R) - JB LATHAM TREATMENT PLANT CAPITAL PROJECTS  
(18/19)**

<b>Task Code</b>	<b>Description</b>	<b>Phase</b>	<b>Status</b>
<b>CAPITAL IMPROVEMENT PROJECT COMMON</b>			
3218-000	Energy Building Roof Reconstruction (2015)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3216-000	Hoist System for Maintenance Shop (2013)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3286-000	PLC Upgrades (2018)	Construction	Ongoing.
3352-000	Electrical System Evaluation (2018)	Study	RFP for engineering services for project to be issued in June 2019.
4001-000	Plant Drain System Study (2017) (NCP)	Study	TetraTech is proceeding with the evaluation of the drain system.
<b>CAPITAL IMPROVEMENT PROJECT SOLIDS</b>			
3287-000	Facility Improvements B - DAFT and Ancillary Solids Improvements (2018)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3210-000	Facility Improvements - Solids Area (2015)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3353-000	Centrate System Design (2019)	Design	Issue RFP for design in June 2019.
3354-000	Emulsion Polymer Feeder Replacement (2019)	Design	SOCWA has purchased demonstration unit. Performance will be evaluated for six months before making decision on remaining units.
3355-000	Digester No.4 Rehabilitation (2019)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.
3356-000	Facility Improvements B - DAFT and Ancillary Solids Improvements Construction - Part I (2019)	Construction	This work is part of the Package 'B' Improvements. The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting.



**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 5 - SAN JUAN CREEK OCEAN OUTFALL CAPITAL PROJECTS  
(\*18/'19)**

<b>Task Code</b>	<b>Description</b>	<b>Phase</b>	<b>Status</b>
<b>CAPITAL IMPROVEMENT PROJECTS</b>			
3601-000	Junction Structure Rehabilitation Design	Design	SOCWA provided additional information at the April 3, 2019 Engineering Committee meeting with the recommendation to continue with updated proposals. The proposals for this work will be presented at the June 6, 2019 Board Meeting.
3357-000	Junction Structure Reinforcement Permitting and Final Design	Design	SOCWA provided additional information at the April 3, 2019 Engineering Committee meeting with the recommendation to continue with updated proposals. The proposals for this work will be presented at the June 6, 2019 Board Meeting.
4004-000	Emergency Plan Development (2016) (NCP)	Study	SOCWA staff preparing Final Plan based on preliminary work completed by Black & Veatch. Target completion is June 2019.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 15(R) - COASTAL TREATMENT PLANT CAPITAL PROJECTS  
(18/19)**

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
<b>CAPITAL IMPROVEMENT PROJECTS LIQUIDS</b>			
1367	Export Sludge Line Repair & Rip Rap (R - 2) (2012)	Design	Protection in this area has been largely addressed through the routing of the new Export Sludge pipeline as well as through minor embankment protection features that will be integrated with Export Sludge System replacement. Project expected to advertise for bid in May, 2019.
3595-000	Primary Device Electrical Conduit and Conductor Replacement (2018)	Bid	Project part of Facility Improvements Project. Award of construction contract for Facility Improvements Project will be presented at the June 6, 2019 SOCWA Board meeting.
3514-000	CTP Facility Improvements Upgrade Design (2016)	Bid	Project part of Facility Improvements Project. Award of construction contract for Facility Improvements Project will be presented at the June 6, 2019 SOCWA Board meeting.
3534-000	Export Sludge System (1997)	Design	USFWS has completed review and transferred documentation to USACOE for Nationwide Permit application. Project expected to advertise for bid in May, 2019.
3594-000	PLC Replacement (2018)	Construction	Project underway by SOCWA Operations department.
3592-000	Facility Improvements Project Design (2018)	Bid	Project part of Facility Improvements Project. Award of construction contract for Facility Improvements Project will be presented at the June 6, 2019 SOCWA Board meeting.
3358-000	Personnel Building Reconstruction (2019)	Design	Project to advertise for bids in September, 2019.
3359-000	Facility Improvements Project Construction - Part I (2019)	Bid	Project part of Facility Improvements Project. Award of construction contract for Facility Improvements Project will be presented at the June 6, 2019 SOCWA Board meeting.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 15(R) - COASTAL TREATMENT PLANT CAPITAL PROJECTS  
(\*18/19)**

<b>Task Code</b>	<b>Description</b>	<b>Phase</b>	<b>Status</b>
<b>CAPITAL IMPROVEMENT PROJECTS LIQUIDS</b>			
3361-000	AWMA Road Sites West 1 and 2 Embankment Protection (2019)	Design	Proposals have been received from Tetra Tech and Dudek. These proposals will be presented to the Engineering Committee on June 13, 2019
3362-000	Aliso Creek Long Term Repair Planning (2019)	Planning	Proposals have been received from Tetra Tech and Dudek. These proposals will be presented to the Engineering Committee on June 13, 2019
3553-000	Plant Drainage Improvements (2017)	Design	TetraTech has completed design. Project expected to advertise for bid in May 2019.
3360-000	Vehicle Storage Building Roof (2019)	Construction	Project completed by Operations staff.
<b>CAPITAL IMPROVEMENT PROJECT AWT</b>			
3596-000	Applied Water VFD Pump Panel and Electrical (AWT) (2018)	Construction	Work by SS Mechanical in substantially complete
3364-000	Chlorine Contact Basin Mixer Construction (AWT) (2019)	Construction	Installation of clearwell pump valves anticipated in July 2019
3365-000	MCC A Replacement Construction (AWT) (2019)	Construction	Work by SS Mechanical in substantially complete
3366-000	AWT Filter Valve Upgrade Construction (AWT) (2019)	Construction	Work by SS Mechanical in substantially complete

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS  
(18/19)**

Task Code	Description	Phase	Status
<b>CAPITAL IMPROVEMENT PROJECT LIQUIDS</b>			
3701-000	Secondary Electrical System Rerouting (2014)	Construction	Part of the RTP Miscellaneous Improvements 2018 Project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3730-000	Primary Gallery Upgrade (2014)	Construction	Part of the RTP Miscellaneous Improvements 2018 Project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3702-000	Waste Activated Sludge VFD Control Panel (2013)	Construction	Part of the RTP Miscellaneous Improvements 2018 Project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3752-000	AWT No.2 Upgrade Design (2017)	Design	The design by Carollo is completed. The timing of the bid is under discussion.
3781-000	Primary Scum Skimmer Replacement (2018)	Design	Design completed by Lee & Ro; this work will be bid in 2021.
3784-000	DAF (Mannich) Polymer System Replacement (2018)	Construction	Part of the RTP Miscellaneous Improvements 2018 Project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3785-000	DAF Dissolution Tank System Replacement (2018)	Construction	Part of the RTP Miscellaneous Improvements 2018 Project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3786-000	Primary Gallery Mechanical and Electrical Upgrade (2018)	Construction	Part of the RTP Miscellaneous Improvements 2018 Project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3367-000	Southwest Influent Sewer and Manhole Design (2019)	Design	The draft RFP for this item will be presented to the Engineering Committee after completion of the Moulton Niguel Water District study.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS  
(\*18/19)**

<b>Task Code</b>	<b>Description</b>	<b>Phase</b>	<b>Status</b>
<b>CAPITAL IMPROVEMENT PROJECT LIQUIDS</b>			
3368-000	Aeration System Upgrade (2019)	Design	This project is scheduled to advertise for bid in May 2019
3369-000	Aeration Gate Replacement (2019)	Design	This project is scheduled to advertise for bid on May 2019
4008-000	Effluent Equalization Pond and Gate Condition Assessment (2017) (NCP)	Condition Assessment	Due to weather, this will be delayed until Spring of 2020
<b>CAPITAL IMPROVEMENT PROJECT COMMON</b>			
3761-000	External Lighting Upgrade (2017)	Bid	This item has been removed from the Miscellaneous Improvements 2018 project and will be repackaged in a subsequent project.
3370-000	Administration Building Repair Design (2019)	Design	Kick-off meeting held with Tetra Tech on May 9, 2019.
3371-000	West Slope Protection Evaluation (2019)	Study	Kick-off meeting held with Tetra Tech on May 9, 2019.
3372-000	Motor Control Center A, G, H Design (2019)	Design	The SOCWA Board approved the award of contract to Lee & Ro at the March 7, 2019, SOCWA Board Meeting.
3373-000	Southside Plant Flooding Evaluation (2019)	Study	Kick-off meeting held with Tetra Tech on May 9, 2019.
3374-000	SE Electrical Manhole Reconstruction (2018)	Design	The SOCWA Board approved the award of contract to Lee & Ro at the March 7, 2019, SOCWA Board Meeting.
3788-000	PLC Upgrade (2018)	Construction	Project underway by SOCWA Operations Dept.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS  
(18/19)**

<b>Task Code</b>		<b>Description</b>	<b>Phase</b>	<b>Status</b>
<b>CAPITAL IMPROVEMENT PROJECT SOLIDS</b>				
3375-000	Phase I Solids Piping Upgrade (2019)		Construction	This project is expected to advertise for bid in July 2019.
3376-000	Dewatering Room Floor Sealing and Lighting (2019)		Design	Harper & Associates has been retained to provide a specification for the floor sealing.
3377-000	Energy Building Roof and Breezeway (2019)		Construction	Part of the RTP Miscellaneous Improvements 2018 Project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3379-000	SET Piping Reconstruction (2019)		Construction	This project is expected to advertise for bid in July 2019.
3790-000	Solids Area Upgrade Design (2018)		Design	Lee & Ro is working on the design for the modifications to the digester gas piping.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 21 - EFFLUENT TRANSMISSION MAIN CAPITAL PROJECTS  
(\*18/\*19)**

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
<b>CAPITAL IMPROVEMENT PROJECTS</b>			
3181-000	Air Vacuum Release Valve Replacement Reach D (2018)	Study	Technical memorandum received from TetraTech. The project was reviewed with the SOCWA Engineering Committee on November 8, 2018. Construction will be programmed into future budgets.
3182-000	Air Vacuum Release Valve Replacement Reach E (2018)	Study	Technical memorandum received from TetraTech. The project was reviewed with the SOCWA Engineering Committee on November 8, 2018. Construction will be programmed into future budgets.
4004-000	Trail Bridge Creek Crossing Protection (Reach D)	Design	Draft memorandum received from TetraTech; presentation was made at Engineering Committee on November 8, 2018. Direction was made to TetraTech regarding which alternative is to be addressed in the CEQA process.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 24 - ALISO CREEK OCEAN OUTFALL CAPITAL PROJECTS  
(\*18/\*19)**

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
<b>CAPITAL IMPROVEMENT PROJECTS</b>			
3480-000	Internal Seal Replacement (2018)	Design	A purchase order has been issued to Black & Veatch to provide design documents. The project is expected to advertise for bidding in May, 2019.
4004-000	Emergency Plan Development (2016) (NCP)	Study	SOCWA staff preparing Final Plan based on preliminary work completed by Black & Veatch. Target completion is May, 2019.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 2(R) - JB LATHAM TREATMENT PLANT CAPITAL PROJECTS**

Task Code	Description	Fiscal Year 18/19	Fiscal Year 19/20			
		4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
<b>FACILITY IMPROVEMENTS PACKAGE B</b>						
3213-000	Water System Piping Improvements (2014)	C	C	C	C	C
3202-000	Preliminary and Primary Treatment Improvements (Package "B") (2016)	C	C	C	C	C
3285-000	Main Plant Drain Line Reconstruction (2018)	C	C	C	C	C
3280-000;						
3351-000	Facility Improvements B - Basin Upgrades (2018)	C	C	C	C	C
3287-000;						
3356-000	Facility Improvements B - DAFT (2018)	C	C	C	C	C
3212-000	East Primary Influent Channel Repair (2015)	C	C	C	C	C
3218-000	Energy Building Roof Reconstruction (2015)	C	C	C	C	C
3216-000	Hoist System for Maintenance Shop (2013)	C	C	C	C	C
3287-000;						
3210-000;						
3355-000	Facility Improvements - Digester 4 Imps. (2018)	C	C	C	C	C
3253-000	Effluent System Valve Replacement (2017)	C	C	C	C	C

P	CA	ENV	
Planning	Condition Assessment	Environmental/Permitting	Design
			Bidding and Award
			Construction



**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 2(R) - JB LATHAM TREATMENT PLANT CAPITAL PROJECTS**

Task Code	Description	Fiscal Year 18/19	Fiscal Year 19/20			
		4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
<b>INDEPENDENT PROJECTS</b>						
3250-000	Plant 1 Grit Basin Improvements (2017)	C				
3286-000	PLC Upgrades (2018)	C				
4001-000	Plant Drain System Study (2017) (NCP)	P				
3350-000	MCC "M" Replacement Design (2019)	D	D			
3354-000	Emulsion Polymer Feeder Replacement (2019)	C				
3353-000	Centrate System Design (2019)	D	D			
		P	Planning			D
		CA	Condition Assessment			B&A
		ENV	Environmental/Permitting			C

Design  
Bidding and Award  
Construction

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 15(R) - COASTAL TREATMENT PLANT CAPITAL PROJECTS**

Task Code	Description	Fiscal Year 18/19				Fiscal Year 19/20			
		4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr			
<b>FACILITY IMPROVEMENTS PACKAGE</b>									
3592-000;		B&A	C	C	C	C			
3359-000	Facility Improvements Project Design (2018)	B&A	C	C	C	C			
3595-000	Primary Device Electrical Conduit (2018)	B&A	C	C	C	C			
3593-000	Primary Sludge Valve Replacement (2018)	B&A	C	C	C	C			
<b>TERTIARY SYSTEM IMPROVEMENTS 2018</b>									
3597-000;		C							
3365-000	MCC-A Replacement (2018)	C							
3596-000	Applied Water VFD Pump Panel and Electrical (2018)	C							
3364-000	Chlorine Contact Basin Mixer Construction (AWT) (2019)	C							
3366-000	AWT Filter Valve Upgrade Construction (AWT) (2019)	C							
<b>EXPORT SLUDGE SYSTEM REPLACEMENT</b>									
		B&A	C	C	C	C			
1367	Export Sludge Line Repair & Rip Rap (R - 2) (2012)	B&A	C	C	C	C			
3534-000	Export Sludge System (1997)	B&A	C	C	C	C			

P	Planning	D	Design
CA	Condition Assessment	B&A	Bidding and Award
ENV	Environmental/Permitting	C	Construction

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 15(R) - COASTAL TREATMENT PLANT CAPITAL PROJECTS**

Task Code	Description	Fiscal Year 18/19				Fiscal Year 19/20			
		4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr			
<b>INDEPENDENT PROJECTS</b>									
3594-000	PLC Replacement (2018)	C							
3553-000	Plant Drainage Improvements (2017)	C							
3358-000	Personnel Building Reconstruction (2019)	B&A	C	C					
3361-000	AWMA Road Sites West 1 and 2 Embankment Protection (2019)	ENV	ENV	ENV	ENV	ENV	ENV	B&A	
3362-000	Aliso Creek Long Term Repair Planning (2019)	ENV	ENV	ENV					

P	CA	ENV	
Planning	Condition Assessment	Environmental/Permitting	Design
			Bidding and Award
			Construction

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS**

Task Code	Description	Fiscal Year 18/19	Fiscal Year 19/20			
		4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
<b>MISCELLANEOUS IMPROVEMENTS 2018</b>						
3701-000	Secondary Electrical System Rerouting (2014)	C	C	C	C	C
3702-000	Waste Activated Sludge VFD Control Panel (2013)	C	C	C	C	C
3730-000	Primary Gallery Upgrade (2014)	C	C	C	C	C
3781-000	Primary Scum Skimmer Replacement (2018)	C	C	C	C	C
3784-000	DAF (Mannich) Polymer System Replacement (2018)	C	C	C	C	C
3785-000	DAF Dissolution Tank System Replacement (2018)	C	C	C	C	C
3786-000	Primary Gallery Mechanical and Electrical Upgrade (2018)	C	C	C	C	C
3377-000	Energy Building Roof and Breezeway (2019)	C	C	C	C	C
3761-000	External Lighting Upgrade (2017)					
<b>MISCELLANEOUS IMPROVEMENTS 2019</b>						
3787-000;		B&A	C	C	C	C
3368-000	Aeration Area Upgrade Design (2018)	B&A	C	C	C	C
3369-000	Aeration Gate Replacement (2019)	B&A	C	C	C	C
3375-000	Phase I Solids Piping Upgrade (2019)	B&A	C	C	C	C
3752-000	AWT No.2 Upgrade Design (2017)					
3379-000	SET Piping Reconstruction (2019)	B&A	C	C	C	C

P	Planning	Design
CA	Condition Assessment	Bidding and Award
ENV	Environmental/Permitting	Construction
		D
		B&A
		C

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS**

Task Code	Description	Fiscal Year 18/19	Fiscal Year 19/20			
		4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
<b>INDEPENDENT PROJECTS</b>						
3788-000	PLC Upgrade (2018)	C				
3367-000	Southwest Influent Sewer and Manhole Design (2019)	D	D			
3370-000	Administration Building Repair Design (2019)	D	C			
3371-000	West Slope Protection Evaluation (2019)	P				
3372-000	Motor Control Center A, G, H Design (2019)	D	D			
3373-000	Southside Plant Flooding Evaluation (2019)	P				
3374-000	SE Electrical Manhole Reconstruction (2018)	C	C			
3376-000	Dewatering Room Floor Sealing and Lighting (2019)	B&A	C			

P	Design
CA	Bidding and Award
ENV	Construction
	Planning
	Condition Assessment
	Environmental/Permitting
D	Design
B&A	Bidding and Award
C	Construction

# Agenda Item

<b>Budgeted:</b> Yes
<b>Budget amount:</b> \$1,725,000.00
<b>Line Items:</b> PC 15 Task 3592-000
<b>Legal Counsel Review:</b> No
<b>Meeting Date:</b> June 6, 2019

**TO:** Project Committee No. 15

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Roni Young, Associate Engineer

**SUBJECT:** Change Orders to Hazen and Sawyer Engineers Design Services  
Contract for the Coastal Treatment Plant Facility Improvements Project

## Recommendation

The Engineering Committee recommends that the Project Committee No. 15 Board of Directors approve Change Orders 8 through 11 and 15 through 18 to the design services contract with Hazen and Sawyer for the Coastal Treatment Plant Facility Improvements Project.

## Change Orders

- Recommend Change Orders 8 through 11 and 15 through 18 to the design services contract for the Facility Improvements Project (PC 15, Task 3592-000). Note that Change Orders 12, 13, and 14 are still under negotiation.

CO #	CO Item	Description	Change Order Price	Cumulative Change Order*	Status
8	Headworks Roof Replacement	Original scope addressed only skylights; further investigation noted the deterioration of Headworks Building roof	\$12,788.00	\$71,613.00	SOCWA Engineering Committee Recommended
9	DAF MCC Building Roof Replacement	Additional design work to replacement the DAF MCC Building roof	\$10,230.00	\$81,843.00	SOCWA Engineering Committee Recommended

<b>CO #</b>	<b>CO Item</b>	<b>Description</b>	<b>Change Order Price</b>	<b>Cumulative Change Order*</b>	<b>Status</b>
10	Additional Concrete and Grating Repair	Additional design work to repair concrete and grating in the area around the Grit Basins.	\$10,230.00	\$92,073.00	SOCWA Engineering Committee Recommended
11	Delete Rerouting Conduit in MCC-1M and E1M	Delete design work to reroute conduit in MCC 1M and E1M	-\$20,875.00	\$71,198.00	SOCWA Engineering Committee Recommended
15	Relocation of the Drainage Pump Station (DPS) Variable Frequency Drive (VFD) and Control Panel	Additional design work to relocate the DPS VFD and control panel to an indoor location.	\$5,200.00	\$76,398.00	SOCWA Engineering Committee Recommended
16	Accommodating SCE Requirements	Additional design work to accommodate SCE requirements for the equipment pad.	\$14,755.00	\$91,153.00	SOCWA Engineering Committee Recommended
17	Rerouting of Conduits for Electrical Handhole No. 6	Additional design work to reroute conduits for Electrical Handhole No. 6 due to conflict found during potholing.	\$7,410.00	\$98,563.00	SOCWA Engineering Committee Recommended
18	Accommodating Changes to Switchgear Rating	Additional design work to accommodate changes to allow potential future addition switchgear sections.	\$8,600.00	\$107,163.00	SOCWA Engineering Committee Recommended

\*Cumulative for specific task order only

**Advisory Status**

This item was reviewed with the SOCWA Engineering Committee on May 16, 2019. The change orders were recommended by the present Project Committee 15 Engineering Committee members with the abstention of the representative of the Moulton Niguel Water District (MNWD).

**Financial Status**

Original Contract Amount:	_____ \$ 1,195,286.00
Net change by previous change orders:	_____ \$ 58,825.00
Contract amount prior to this change order:	_____ \$ 1,254,111.00
Net increase, decrease due to this change order:	_____ \$ 48,338.00
New contract amount, including this change order:	_____ \$ 1,302,449.00

The allocation of the change order costs is shown below.

<b>Member Agency</b>	<b>Task 3592-000</b>
Emerald Bay Service District	\$1,445.30
City of Laguna Beach	\$18,324.94
Moulton Niguel Water District	\$14,138.87
South Coast Water District	\$14,428.89
<b>Total</b>	<b>\$48,338.00</b>

The overall project remains within budget. The revised project ledger is presented in Exhibit A.



**Exhibit A**

Project Cost Ledger: Coastal Treatment Plant  
 Facility Improvements Design  
 (Millions)

	Facility Improvements Design
<b><u>Budget (2018/2019)</u></b>	<b>1.725</b>
<b><u>Budget Task Codes</u></b>	<b>3592-000</b>
<u>Estimated Costs-Constr.</u>	0.000
<u>Construction Change Orders</u>	0.000
<u>Design</u>	1.195
<u>Design Change Orders</u>	0.107
<u>Contingency</u>	0.423
<u>Construction Management</u>	0.000
<u>Utilities</u>	0.000
<b>Total Project Costs</b>	<b>1.725</b>
<u>Spending</u>	
Total Current Spending	(1.147)
Remaining Spending	(0.578)
<b>Remaining Budget</b>	<b>0.000</b>

# Agenda Item

<b>Budgeted:</b> Yes
<b>Budget amount:</b> \$1,090,000.00
<b>Line Item:</b> PC 15, Tasks 3364-000, 3596-000, 3365-000 and 3366-000
<b>Legal Counsel Review:</b> No
<b>Meeting Date:</b> June 6, 2019

**TO:** Project Committee No. 15

**FROM:** Betty Burnett, General Manager

**STAFF CONTRACT:** Roni Young, Associate Engineer

**SUBJECT:** Change Orders to SS Mechanical Construction Contract for the Coastal Treatment Plant Tertiary System Upgrades Project

## Recommendation

The Engineering Committee recommends that the Project Committee No. 15 Board of Directors approve Change Orders 3 and 4 to the construction contract with SS Mechanical Construction for the Coastal Treatment Plant Tertiary System Upgrades Project.

## Change Orders

1. Recommend Change Order 3 for the construction contract of MCC A Replacement (PC 15, Task 3365-000)

CO #	CO Item	Description	Change Order Price	Total Change Order Price*	Status
3	Installation of Additional Breaker	Labor, material, and equipment, and subcontractor costs to install an additional breaker to feed the sodium hypochlorite system	\$3,613.05	\$3,613.05	SOCWA Engineering Committee Recommended

\*Cumulative change order cost for this task code only

2. Recommend Change Order 4 for the construction contract of AWT Filter Upgrade (PC 15, Task 3366-000)

CO #	CO Item	Description	Change Order Price	Total Change Order Price*	Status
4	Repair Existing Conduits for the Filter System	Labor, material, equipment, and subcontractor costs to perform the work associated with the repair of existing filter system conduits	\$2,913.57	\$13,600.74	SOCWA Engineering Committee Recommended

\*Cumulative change order cost for this task code only

**Advisory Status**

Reviewed and recommended by the SOCWA Engineering Committee on May 16, 2019.

**Financial Status**

Original Contract Amount:	_____	\$	883,211.00
Net change by previous change orders:	_____	\$	61,206.64
Contract amount prior to this change order:	_____	\$	944,417.64
Net increase, decrease due to this change order:	_____	\$	6,526.62
New contract amount, including this change order:	_____	\$	950,944.26

The overall project remains within budget. The update project ledger is presented in Exhibit A.

These change orders are attributed to Project Committee 15 AWT. The cost is fully allocated to the South Coast Water District.

Exhibit A  
 Project Cost Ledger: Coastal Treatment Plant  
 Tertiary Upgrade Project  
 (Millions)

	Chlorine Contact Basins Mixers	Applied Water VFDs	MCC A Replace- ment	AWT Filter Upgrade	Total
<b>Budget (2018/19)</b>	<b>0.125</b>	<b>0.230</b>	<b>0.200</b>	<b>0.535</b>	<b>1.090</b>
<b><u>Budget Task Codes</u></b>	<b>3364-000</b>	<b>3596-000</b>	<b>3365-000</b>	<b>3366-000</b>	
<u>Actual Bid Costs-Constr.</u>	0.053	0.146	0.194	0.490	0.883
<u>Construction Change Orders</u>	0.051	0.000	0.004	0.014	0.068
<u>Previous Costs (Prior Construct and Design)</u>	0.000	0.000	0.000	0.000	0.000
Contingency	0.022	0.074	-0.012	0.005	0.088
Construction Services	0.000	0.010	0.015	0.025	0.050
<b>Total Project Costs</b>	<b>0.125</b>	<b>0.230</b>	<b>0.200</b>	<b>0.535</b>	<b>1.090</b>
<u>Spending</u>					
Total Current Spending	(0.053)	(0.038)	(0.019)	(0.491)	(0.600)
Remaining Spending	(0.072)	(0.192)	(0.181)	(0.044)	(0.490)
<b>Remaining Budget</b>	<b>0.072</b>	<b>0.192</b>	<b>0.181</b>	<b>0.044</b>	<b>0.490</b>

**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Project Committee No. 15**

**April 25, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Project Committee No. 15 was held on April 25, 2019, at 8:00 a.m. at their Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of Project Committee No. 15 were present:

JOHN PIETIG	City of Laguna Beach
MIKE DUNBAR	Emerald Bay Service District
RICK SHINTAKU	South Coast Water District

Absent:

MATT COLLINGS	Moulton Niguel Water District
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Staff present:

TERI NOSON	Clerk of the Board [exit 8:05 a.m.]
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Also Present:

JEREMY JUNGREIS	Rutan & Tucker, LLP
GREGORY BROWN	Brown & Charbonneau, LLP
TIFFANY ACKLEY	Kidman Law LLP
ALLISON BURNS	Stradling Yocca Carlson & Rauth, P.C.
GREG MOSER	Procopio
STEVE GREYSHOCK	Greycomm, LLC

**1. Call Meeting to Order**

Chairperson Dunbar called the meeting to order at 8:04 a.m. and welcomed everyone present.

**2. Public Comments**

There were no public comments received.

ACTION TAKEN

None.

The PC 15 Committee went into Closed Session at 8:05 a.m.

**3. Closed Session**

A Closed Session was conducted for the following matter:

Existing Litigation per paragraph (1) of subdivision (d) of Government Code Section 54956.9, *Case of SOCWA et al. v. Moulton Niguel Water District*  
Case Number RIC 1721240.

The PC 15 meeting reconvened in Open Session at 9:49 a.m.

**Report Out of Closed Session**

Chairperson Dunbar reported that there were no reportable actions from Closed Session.

**Adjournment**

There being no further business, Chairperson Dunbar adjourned the meeting at 9:50 a.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Project Committee No. 15 of April 25, 2019, and approved by the Board of Directors of the South Orange County Wastewater Authority.

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Betty C. Burnett, General Manager / Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Project Committee No. 15  
April 2, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Project Committee No. 15 was held on April 2, 2019, at 7:30 a.m., at SOCWA's Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of Project Committee No. 15 were present:

MIKE DUNBAR	Emerald Bay Service District
JOHN PIETIG	City of Laguna Beach
DENNIS ERDMAN	South Coast Water District

Absent:

MATT COLLINGS	Moulton Niguel Water District
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Staff present:

BETTY BURNETT	General Manager
DANITA HIRSH	Administrative Assistant

Also Present:

JEREMY JUNGREIS	Rutan & Tucker, LLP
GREGORY BROWN	Brown & Charbonneau, LLP
ALLISON BURNS	Stradling Yocca Carlson & Rauth, P.C.[via teleconference]
GREG MOSER	Procopio

**1. Call Meeting to Order**

Chairperson Dunbar called the meeting to order at 7:39 a.m.

**2. Public Comments**

None

The Project Committee No. 15 convened to Closed Session at 7:40 a.m.

**3. Closed Session**

A Closed Session was conducted for the following matter:

Existing Litigation per paragraph (1) of subdivision (d) of Government Code Section 54956.9, *Case of SOCWA et al. v. Moulton Niguel Water District*  
Case number RIC1721240.

There were three agencies in attendance for the Closed Session. The agencies in attendance were: City of Laguna Beach, South Coast Water District, and Emerald Bay Service District. The Closed Session concluded at 9:35 a.m. Counsel reported there were no reportable items from the Closed Session.

**Adjournment**

There being no further business, Chairperson Dunbar adjourned the meeting at 9:35 a.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Project Committee No. 15 of April 2, 2019, and approved by the Project Committee No. 15 and received and filed by the Board of Directors of the South Orange County Wastewater Authority.

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Betty C. Burnett, General Manager / Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY



**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Project Committee No. 15  
March 18, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Project Committee No. 15 was held on March 18, 2019, at 12:00 p.m., at the JAMS Mediation & Arbitration located at 500 N. State College Boulevard, 14<sup>th</sup> Floor, Room 1, Orange, California. The following members of Project Committee No. 15 were present:

MIKE DUNBAR	Emerald Bay Service District
JOHN PIETIG	City of Laguna Beach
DENNIS ERDMAN	South Coast Water District

Absent:

MATT COLLINGS	Moulton Niguel Water District
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**1. Call Meeting to Order**

Chairperson Dunbar called the meeting to order at 12:15 p.m.

**2. Public Comments**

None

The Project Committee No. 15 convened to Closed Session at 12:16 p.m.

**3. Closed Session**

A Closed Session was conducted for the following matter:

Existing Litigation per paragraph (1) of subdivision (d) of Government Code Section 54956.9, *Case of SOCWA et al. v. Moulton Niguel Water District*  
Case number RIC1721240.

There were three agencies in attendance for the Closed Session. The agencies in attendance were: City of Laguna Beach, South Coast Water District, and Emerald Bay Service District. The Closed Session concluded at 9.20 p.m. Counsel reported there were no reportable items from the Closed Session.

**Adjournment**

There being no further business, Chairperson Dunbar adjourned the meeting at 9.21 p.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Project Committee No. 15 of March 18, 2019, and approved by the Project Committee No. 15 and received and filed by the Board of Directors of the South Orange County Wastewater Authority.

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Betty C. Burnett, General Manager / Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Project Committee No. 15  
March 6, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Project Committee No. 15 was held on March 6, 2019, at 2:30 p.m., at SOCWA's Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of Project Committee No. 15 were present:

MIKE DUNBAR	Emerald Bay Service District
JOHN PIETIG	City of Laguna Beach
RICK SHINTAKU	South Coast Water District

Absent:

MATT COLLINGS	Moulton Niguel Water District
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Staff Present:

BETTY BURNETT	General Manager
DANITA HIRSH	Administrative Assistant

Also Present:

JEREMY JUNGREIS	Rutan & Tucker, LLP
GREGORY BROWN	Brown & Charbonneau, LLP
ART KIDMAN	Kidman Law, LLP
ALLISON BURNS	Stradling Yocca Carlson & Rauth, P.C.
GREG MOSER	Procopio
STEVE GREYSHOCK	Greycomm, LLC
CURT PRINGLE	Curt Pringle & Associates
JENNIFER FITZGERALD	Curt Pringle & Associates

**1. Call Meeting to Order**

Chairperson Dunbar called the meeting to order at 2:30 p.m.

**2. Public Comments**

None

**3. Open Session**

- a. Approval of Minutes from Prior PC-15 Meetings

**ACTION TAKEN**

Motion was made by Director Pietig and 2<sup>nd</sup> by Director Dunbar to approve the November 21, 2018 Minutes as submitted.

Motion carried: Aye 3, Nay 0, Abstained 0, Absent 1

Director Pietig	Aye
Director Collings	Absent
Director Shintaku	Aye
Director Dunbar	Aye

ACTION TAKEN

Motion was made by Director Pietig and 2<sup>nd</sup> by Director Dunbar to approve the December 5, 2018, and January 16, 2019 Minutes as submitted.

Motion carried: Aye 3, Nay 0, Abstained 0, Absent 1  
Director Pietig Aye  
Director Collings Absent  
Director Shintaku Aye  
Director Dunbar Aye

There was a consensus amongst the PC-15 Committee Members to table the approval of the March 1, 2019, Minutes until the next meeting.

- b. Discussion and direction to staff regarding disposition alternatives for FY2016-17 2017-18 Use Audit Settlement for PC-15

Ms. Burnett briefed the PC-15 Committee Members on prior discussions that had occurred with the Finance Committee regarding Use Audit settlement payouts and the shortfalls going forward with capital improvements for PC-15. She stated that the total amount was about \$810,000 that would be returned to the four agencies of PC-15 and that it was the common cost-shared based on the percentage ownership. She recommended keeping the funds and applying to future improvements but would need PC-15 Committee approval to do so. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Pietig, and 2<sup>nd</sup> by Director Dunbar to retain PC-15's portion of the Use Audit Settlement amount to apply to future PC-15 improvement needs.

Motion carried: Aye 3, Nay 0, Abstained 0, Absent 1  
Director Pietig Aye  
Director Collings Absent  
Director Shintaku Aye  
Director Dunbar Aye

- c. Discussion and direction to staff regarding Possible SOCWA Funding of Capital Program Shortfall for PC-15

Ms. Burnett stated that there had been prior discussions with PC-15 member agencies and non-PC-15 member agencies regarding the possibility of recommending the Board to allow for SOCWA to borrow funds to apply to a shortfall that may relate to future PC-15 improvements. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Dunbar and 2<sup>nd</sup> by Director Pietig to open a discussion with SOCWA's full Board to explore a Bridge/Letter of Credit borrowing arrangement regarding funding PC-15 improvements within SOCWA's Member Agencies as a whole.

Motion carried: Aye 3, Nay 0, Abstained 0, Absent 1  
Director Pietig Aye  
Director Collings Absent  
Director Shintaku Aye  
Director Dunbar Aye

d. Capital Program Planning for PC-15 presentation by Director of Engineering

Mr. Peck gave a presentational overview of the Coastal Treatment Plant in its current condition. An open discussion ensued.

Information item; no action required.

The Project Committee No. 15 convened to Closed Session at 3:20 p.m.

**4. Closed Session**

A Closed Session was conducted for the following matter:

Existing Litigation per paragraph (1) of subdivision (d) of Government Code Section 54956.9, *Case of SOCWA et al. v. Moulton Niguel Water District*  
Case number RIC1721240.

There were three agencies in attendance for the Closed Session. The agencies in attendance were: City of Laguna Beach, South Coast Water District, and Emerald Bay Service District. The Closed Session concluded at 5:28 p.m. Counsel reported there were no reportable items from the Closed Session.

**Adjournment**

There being no further business, Chairperson Dunbar adjourned the meeting at 5:28 p.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Project Committee No. 15 of March 6, 2019, and approved by the Project Committee No. 15 and received and filed by the Board of Directors of the South Orange County Wastewater Authority.

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Betty C. Burnett, General Manager / Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

**MINUTES OF SPECIAL MEETING  
OF THE  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**

**Project Committee No. 15  
March 1, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Project Committee No. 15 was held on March 1, 2019, at 10:00 a.m., at SOCWA's Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of Project Committee No. 15 were present:

MIKE DUNBAR  
DAVID SHISSLER  
DENNIS ERDMAN

Emerald Bay Service District  
City of Laguna Beach  
South Coast Water District

Absent:

MATT COLLINGS

Moulton Niguel Water District

Staff present:

BETTY BURNETT  
DANITA HIRSH

General Manager  
Administrative Assistant

Also Present:

JEREMY JUNGREIS  
GREGORY BROWN  
TIFFANY ACKLEY  
ALLISON BURNS  
GREG MOSER  
STEVE GREYSHOCK  
ZESHAAN YOUNUS

Rutan & Tucker, LLP  
Brown & Charbonneau, LLP  
Kidman Law LLP  
Stradling Yocca Carlson & Rauth, P.C.  
Procopio  
Greycomm, LLC  
Curt Pringle & Associates

**1. Call Meeting to Order**

Chairperson Dunbar called the meeting to order at 10:03 a.m.

**2. Public Comments**

None

The PC-15 Committee convened to Closed Session at 10:05 a.m.

**3. Closed Session**

A Closed Session was conducted for the following matter:

Existing Litigation per paragraph (1) of subdivision (d) of Government Code Section 54956.9, *Case of SOCWA et al. v. Moulton Niguel Water District*  
Case number RIC1721240.

There were three agencies in attendance for the Closed Session. The agencies in attendance were: City of Laguna Beach, South Coast Water District and Emerald Bay Service District. The Closed Session concluded at 11:40 a.m. Counsel reported there were no reportable items from the Closed Session.

**Adjournment**

There being no further business, Chairperson Dunbar adjourned the meeting at 11:40 a.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Project Committee No. 15 of March 1, 2019 and approved by the Project Committee No. 15 and received and filed by the Board of Directors of the South Orange County Wastewater Authority.

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Betty C. Burnett, General Manager / Secretary  
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

# Agenda Item

**Budgeted:** Yes

**Budget amount:** \$380,000

**Line Item:** PC 5 Task 3601-000; 3605-000

**Legal Counsel Review:** No

**Meeting Date:** June 6, 2019

**TO:** Project Committee No. 5  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** Jason Manning, Senior Engineer  
**SUBJECT:** Contract Amendment for Engineering Services for the San Juan Creek Ocean Outfall Junction Structure Rehabilitation Project

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## Summary

This agenda item provides a recommendation for the award of a contract amendment to an existing engineering services contract with Black & Veatch for the San Juan Creek Ocean Outfall Junction Structure Rehabilitation Project.

## Overview

The San Juan Creek Ocean Outfall (SJCOO) Junction Structure Upgrade project was proposed to reinforce the structure around the entrance and exit of the 57-inch diameter outfall pipeline. The need for this work was identified in an analysis prepared by Carollo Engineers. This evaluation indicated that the structure would become stressed when flows through the outfall exceeded 60 mgd.

Black & Veatch was awarded the contract for Phase I of the design on September 24, 2014, to develop the design for the upgrade. The contract fee was \$159,739.00; the contract scope was to complete the design to a 30% level. The overall upgrade involved the insertion of a sleeve through the Junction Structure that would connect each end of the outfall pipeline. The structural weakness would thus be resolved by isolating it from the hydraulic forces within the outfall. The construction would be accomplished in two phases:

1. Remove top of Junction Structure. Confined space entry team enters Structure to make measurements. Temporary cap placed on Junction Structure. This work would take place in the mid to late spring. The sleeve would then be fabricated during the summer months.
2. Remove temporary cap. Install pipeline insertion. Install final structural cap. This work would be accomplished in the fall.

Black & Veatch completed the design to the 30% level in early 2016. However, the project was placed on hold when storms significantly altered the project site. The risk associated with the delay was believed to be minimal due to the relatively low flows through the SJCOO. Flows in the outfall have not exceeded 60 mgd in over 20 years.

The topography around the Junction Structure has stabilized over the past three years. SOCWA staff has begun the process of restarting the project. SOCWA staff requested a proposal from Black & Veatch to update the project. The originally proposed project contract amendment is \$146,800. The amendment included permitting work by Dudek as a sub-consultant to Black & Veatch. This amendment was reviewed by the Engineering Committee on January 17, 2019.

The Project Committee 5 members recommended separating the work into separate proposals from Black & Veatch and Dudek.

The revised Black & Veatch proposal has a cost of \$98,400. The proposed scope of services for the contract amendment is presented in Exhibit A.

**Advisory Committee Review**

The revised proposal for the engineering services contract to Black & Veatch for the completion of the design of the San Juan Creek Ocean Outfall Junction Structure Rehabilitation Project was reviewed by the Engineering Committee on April 3, 2019. The present members of Project Committee 5 Engineering Committee recommended award of the contract amendment to Black & Veatch.

**Fiscal Impact**

The budget status of the two impacted task items for Project Committee 5 are presented in Table 1. The funds for the two task items have already been collected from the member agencies; no further funds need to be collected for the final design of the project.

Table 1 - Budget Status for Engineering and Environmental Services for the San Juan Creek Ocean Outfall Junction Structure Upgrade Project

Task	Budget	Available Budget <sup>1</sup>	Proposed Design (Black & Veatch) Fee	Proposed Environmental Services (Dudek) Fee	Contingency
3601-000	\$205,000.00	\$190,938.00	\$49,200.00	\$95,870.00	\$45,868.00
3605-000	\$175,000.00	\$98,237.00	\$49,200.00	\$40,000.00	\$9,037.00
<b>Total</b>	<b>\$380,000.00</b>	<b>\$289,175.00</b>	<b>\$98,400.00</b>	<b>\$135,870.00</b>	<b>\$54,905.00</b>

**Note:**

1. Cash on hand based on 3rd quarter cash roll forward; no outstanding encumbrances.

The allocation of the engineering services amendment cost to the Project Committee 5 member agencies is presented in Table 2.

Table 2 - Allocation of Engineering Cost to Member Agencies

Member Agency	Proposed Design (Black & Veatch) Fee
Moulton Niguel Water District	\$15,261.84
City of San Clemente	\$16,354.08
City of San Juan Capistrano	\$10,902.72
Santa Margarita Water District	\$43,610.88
South Coast Water District	\$12,270.48
<b>Total</b>	<b>\$98,400.00</b>

**Recommendation**

The following action is recommended:

Approval of the contract amendment for engineering services for Black & Veatch at a fee of not to exceed \$98,400.



## EXHIBIT A SCOPE OF SERVICES

Tasks include the following:

1. Meetings. Prepare for and attend up to four (4) progress meetings at SOCWA offices.
2. Plans and Specifications. Building on the currently 30 percent complete design drawings and specifications, prepare final drawings and specifications suitable for bidding for construction. Incorporate SOCWA comments from the 30 percent review submittal. Submit drawings and specifications to SOCWA for progress review at the 95 percent level of completion. Incorporate SOCWA review comments from the 95 percent review submittal, and finalize documents to 100% level of completion. Although the construction staging and sequencing planning for the project and the methodology to establish a safe construction work area are expected to change, it is assumed that the fundamental design of the junction structure itself will remain unchanged. Changes to the construction documents will be to progress the design from its current level of completion to a final, biddable condition, and to incorporate changes that reflect the changes to construction sequencing and staging necessitated by new site conditions.

More specifically, this effort includes:

- Update site plans (2 drawings) to reflect any changes to construction staging and sequencing approach resulting from work described in Tasks 3 and 4.
  - Update general drawings (2 drawings) to reflect final project, including adding requirements resulting from permitting processes described in Task 6.
  - Finalize mechanical drawings (2 drawings) to bring them from approximately 60% level of completion to final.
  - Prepare structural design plans and details (2 drawings), and specifications as these were not included in the 30% design.
  - Update specifications to reflect updated construction staging and sequencing approach and to incorporate permitting requirements resulting from Task 6.
  - Update civil and mechanical specifications to bring those provided in the 30% design up to final completion. Augment with necessary specifications to provide complete biddable package.
3. Input from Contractor Community. To update the construction staging and sequencing planning for the project, B&V will identify up to two (2) construction contractors with expertise in construction of projects in coastal and tidal areas. B&V (and SOCWA staff if so desired) will meet with the identified contractors to explain the proposed project and solicit their input on feasible methods to set up construction staging areas, and protect the work area and temporary facilities and equipment from tidal action during construction.
  4. Update of Construction Staging and Project Description Information. B&V will update the previously prepared construction staging and sequencing plan, project descriptions, and supporting graphical information to reflect the new site conditions and construction staging and sequencing approach.
  5. Stormwater Pollution Prevention Plan. B&V will prepare a preliminary SWPPP for the Project.

6. Permitting. B&V will provide technical support for Dudek's and SOCWA's permitting efforts.
7. Cost Opinion. Update engineer's opinion of probable construction cost at the 95 percent level of design completion and provide with the 95 percent submittal.
8. Project Management. Provide project management and QA/QC of deliverables associated with tasks included within this Scope of Services.

# Agenda Item

**Budgeted:** Yes

**Budget amount:** \$380,000

**Line Item:** PC 5 Task 3601-000; 3605-000

**Legal Counsel Review:** No

**Meeting Date:** June 6, 2019

**TO:** Project Committee No. 5

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Jason Manning, Senior Engineer

**SUBJECT:** Award of Environmental Services Contract for the San Juan Creek Ocean Outfall Junction Structure Rehabilitation Project

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## Summary

This agenda item provides a recommendation for the award of a contract for environmental services contract to Dudek for the San Juan Creek Ocean Outfall Junction Structure Rehabilitation Project.

## Overview

The San Juan Creek Ocean Outfall (SJCOO) Junction Structure Upgrade project was proposed to reinforce the structure around the entrance and exit of the 57-inch diameter outfall pipeline. The need for this work was identified in an analysis prepared by Carollo Engineers. This evaluation indicated that the structure would become stressed when flows through the outfall exceeded 60 mgd.

Black & Veatch was awarded the contract for Phase I of the design on September 24, 2014, to develop the design for the upgrade. The contract fee was \$159,739.00; the contract scope was to complete the design to a 30% level. The overall upgrade involved the insertion of a sleeve through the Junction Structure that would connect each end of the outfall pipeline. The Black & Veatch contract also included Dudek as a sub-consultant for environmental services. Dudek completed the processing of a Mitigated Negative Declaration as part of the Phase I work.

Black & Veatch completed the design to the 30% level in early 2016. However, the project was placed on hold when storms significantly altered the project site. The risk associated with the delay was believed to be minimal due to the relatively low flows through the SJCOO. Flows in the outfall have not exceeded 60 mgd in over 20 years.

The topography around the Junction Structure has stabilized over the past three years. SOCWA staff has begun the process of restarting the project. SOCWA staff requested a proposal from Black & Veatch to update the project. The originally proposed amendment included permitting work by Dudek as a sub-consultant to Black & Veatch. This amendment was reviewed by the Engineering Committee on January 17, 2019. The Project Committee 5 members recommended separating the work into separate proposals from Black & Veatch and Dudek.

The Dudek proposal has a cost of \$135,870. The proposed scope of services for environmental services is presented in Exhibit A.

**Advisory Committee Review**

The proposal for the environmental services contract to Dudek for the San Juan Creek Ocean Outfall Junction Structure Rehabilitation Project was reviewed by the Engineering Committee on April 3, 2019. The present members of Project Committee 5 Engineering Committee recommended the award of the contract to Dudek.

**Fiscal Impact**

The budget status of the two impacted task items for Project Committee 5 are presented in Table 1. The funds for the two task items have already been collected from the member agencies; no further funds need to be collected for the final design of the project.

Table 1 - Budget Status for Engineering and Environmental Services for the San Juan Creek Ocean Outfall Junction Structure Upgrade Project

Task	Budget	Available Budget <sup>1</sup>	Proposed Design (Black & Veatch) Fee	Proposed Environmental Services (Dudek) Fee	Contingency
3601-000	\$205,000.00	\$190,938.00	\$49,200.00	\$95,870.00	\$45,868.00
3605-000	\$175,000.00	\$98,237.00	\$49,200.00	\$40,000.00	\$9,037.00
<b>Total</b>	<b>\$380,000.00</b>	<b>\$289,175.00</b>	<b>\$98,400.00</b>	<b>\$135,870.00</b>	<b>\$54,905.00</b>

**Note:**

1. Cash on hand based on 3rd quarter cash roll forward; no outstanding encumbrances.

The allocation of the engineering services amendment cost to the Project Committee 5 member agencies is presented in Table 2.

Table 2 - Allocation of Engineering Cost to Member Agencies

Member Agency	Proposed Environmental Services (Dudek) Fee
Moulton Niguel Water District	\$21,073.44
City of San Clemente	\$22,581.59
City of San Juan Capistrano	\$15,054.40
Santa Margarita Water District	\$60,217.58
South Coast Water District	\$16,942.99
<b>Total</b>	<b>\$135,870.00</b>

**Recommendation**

The following action is recommended:

Approval of the contract amendment for engineering services for Dudek at a fee not to exceed \$135,870.

## EXHIBIT A SCOPE OF SERVICES

Tasks include the following:

### 1. Biological Resources Study Update

Given the amount of time that has lapsed since the biological resources technical report was prepared, an updated biological resource study is proposed to support the new environmental document approval process and to support the coastal development permitting effort, which requires current, up-to-date surveys. Dudek will update the existing 2015 report to reflect the current environmental baseline conditions. The impacts assessment, report exhibits, and mitigation measures will also be updated to reflect the latest project understanding, construction methods, and project duration. The biological resource study update includes the following itemized outline of services to be provided by Dudek:

- Prior to conducting an updated field survey, Dudek will review the California Natural Diversity Database and U.S. Fish and Wildlife Service databases to identify any additional special-status species occurrences that have been recorded in the project study area and vicinity since the 2015 report was prepared.
- All areas of potential habitat that might be directly impacted by the proposed project will be mapped to facilitate avoidance and minimization during design. Vegetation communities within the study area will be mapped on a 100-scale topographic/aerial photographic map, based on the List of California Vegetation Alliances and Associations system.
- Dudek will update the existing report to document the survey findings. The letter report will include a discussion of the survey methodology according to the appropriate protocol and adequacy of the surveys.
- The report will provide an updated assessment of existing conditions, an impacts analysis, an updated assessment of the significance of impacts in accordance with CEQA, and recommended mitigation measures.
- The existing regional, vicinity, and biological resources maps will be updated. No new report exhibits will be generated as a result of this update.
- Dudek will perform one round of impacts/design review to support the impacts assessment.
- This scope of work assumes one comment/review cycle.
- Electronic copies of the draft and final report will be provided as in PDF. Up to three hard copies can be provided upon request.
- It is assumed that no focused special-status plant and/or wildlife species surveys will be needed.

### 2. Wetlands Regulatory Agency Permitting Services

In 2016, Dudek submitted applications to the U.S. Army Corps of Engineers (ACOE) and Regional Water Quality Control Board (RWQCB) for issuance of a Section 404 Nationwide Permit and Section 401 Water Quality Certification, respectively. In August 2016, the RWQCB issued Section 401 Water Quality Certification R9-2016-0150 for the project, valid for a 5-year term. The ACOE received the application and assigned it file number SPL-2015-00640. However, because the project was hit with considerable design delays soon after the application was submitted, the ACOE asked that we

formally withdraw the application. Therefore, under this task, Dudek will resubmit and process an application for Section 404 Nationwide Permit authorization.

Section 404 Nationwide Permit processing services include the following:

- Preparation for and attendance at one in-person meeting with ACOE staff to discuss any issues that arise during the application review process
- Preparation of the Section 404 Nationwide Permit application package, including the submittal of a Preliminary Jurisdictional Determination form to officially approve the wetland delineation
- Coordinate with Los Angeles ACOE regulatory staff on the Section 106 Consultation for cultural resources
- Provide project management and permit processing services across a presumed 9-month permit processing period, which includes responding to emails/calls, providing supplemental information to clarify components of the application, and answering questions that arise related to the application

The Section 401 Water Quality Certification issued for the original project is valid until August 2021. If no changes to the design are proposed such that the work footprint increases from what was originally permitted, we can still use this certification assuming SOCWA feels the project can be safely constructed by August 2021. However, to accommodate the time needed to process a Coastal Development Permit (CDP) application, Dudek proposes processing a one-time extension with the RWQCB to extend the Section 401 Water Quality Certification term an additional 5 years. Under this task, Dudek will prepare and process a time extension with the RWQCB. For budget purposes, it is assumed this time extension will be processed within a 6-month period. Included in this cost estimate is additional coordination time we feel is necessary to review the final revised project description with RWQCB staff to obtain concurrence that an additional amendment to the Section 401 Water Quality Certification would not be needed to account for the changes. To elaborate, following preliminary discussions with RWQCB staff in January 2019, an amendment to the Section 401 Water Quality Certification is not likely needed, despite a probable change in the project description and construction methods, provided the work is confined to the originally authorized work footprint. However, once the project description is finalized and the construction methodology is determined, we will review this information in concert with RWQCB staff to obtain concurrence. Note, this scope of work assumes that an amendment to the Section 401 will not be needed and any changes to the proposed project will not incur an increase in the originally authorized work footprint, totaling 0.52 acres. Any fees to process the time extension are included in the cost provided.

### 3. Cultural Resources Inventory

A previous study was prepared to satisfy the CEQA (SOCWA) requirements for cultural resources in support of the proposed project. The present scope accounts for ACOE review for compliance with Section 106 of the National Historic Preservation Act that will be required as part of Section 404 permitting. For the purposes of this scope, we assume that the project area of potential effects (APE) will remain within the previously defined work and staging areas.

### 4. Updated South Central Coast Information Center Records Search

Dudek's cultural resources investigation will include an inventory of all cultural resources within the APE. Dudek will conduct an updated records search for the project APE at the South Central Coast Information Center to meet ACOE Guidelines (must be less than 2 years old). We anticipate direct costs for the records search to be no more than \$700.

5. NAHC and Tribal Coordination

Dudek's cultural resources investigation will include an inventory of all cultural resources within the APE. Dudek will conduct an updated records search for the project APE at the South Central Coast Information Center to meet ACOE Guidelines (must be less than 2 years old). We anticipate direct costs for the records search to be no more than \$700.

6. Updated ACOE-Style Report

Dudek will document the results of the cultural resources investigation in an updated report that meets ACOE requirements. This report will include a table of contents, project location and description, regulatory context, a regional cultural context, review of geomorphic information for suitability to support unanticipated archaeological and paleontological resources, a summary of records search results and tribal outreach, a discussion of impacts to cultural resources, and recommended mitigation. An updated APE map will also be prepared and included in the report. Should cultural resources be identified, or additional field documentation of identified resources be required to evaluate these resources for California Register of Historical Resources listing, Dudek will work with SOCWA to prepare an additional cost and scope to support these efforts. It is assumed that no more than two drafts of this report will be required, and State Historic Preservation Office consultation will be completed by the ACOE. While a State Historic Preservation Office consultation memo is not included in the present scope of work, Dudek will work with SOCWA staff to provide an augmented scope and cost for these efforts should they be required.

7. Hazardous Materials Memorandum

Dudek will prepare a memo identifying existing hazardous materials conditions at the project area. The memo will evaluate an EDR radius search to identify reports of hazardous materials contamination or usage at the project area or contamination at other sites within the American Society of Testing and Materials (ASTM)-standard search radius. Dudek will research sites identified in the EDR radius search. Dudek will review sites with reports on the RWQCB's Geotracker website and the Department of Toxic Substances Control's Envirostor website and located within 0.5 miles of the project area.

The memo will also review historical aerial photographs and topographic maps of the site vicinity. This historical source information can be used to identify historical environmental conditions at the site.

This scope does not include a site visit or a phase I environmental site assessment.

8. Noise

Dudek will prepare a noise analysis addressing potential construction noise and vibration impacts. Campground spaces (transient residential land uses) are located to the north and northeast of the junction structure. These noise-sensitive land uses could

be adversely effected by construction noise and vibration. To characterize the existing noise environment, short-term (i.e., approximately 15 minutes in duration) noise measurements will be conducted at several representative noise-sensitive receiver locations near the project site.

Dudek will assess potential impacts from project construction at nearby noise-sensitive land uses, specifically the campground spaces. Potential construction noise and vibration impacts on noise-sensitive land uses will be evaluated using provided construction equipment and phasing information and the Federal Highway Administration's Roadway Construction Noise Model. Groundborne vibration during construction will be estimated and assessed using methodology and guidance from the Federal Transit Administration.

The significance of noise/vibration impacts will be assessed based on the relevant local, state, and federal thresholds. If significant noise impacts are identified, noise abatement measures to reduce impacts to a less-than-significant level (e.g., temporary noise barriers during the noisiest phases of construction at impacted locations) will be recommended. The environmental setting and regulatory setting, results of the noise analysis, findings of potential effects, and abatement measures will be summarized.

#### 9. Coastal Development Permit Processing

To date, a draft CDP application has been prepared but not yet submitted to the California Coastal Commission (CCC). To complete the CDP application, Dudek will complete key tasks, including coordination with State Lands Commission and State Parks to resolve property interest and construction access logistics; coordinate with the CCC to address potential temporary impacts to public access and recreation, water quality, and biological resources during construction; and present alternatives analysis and design basis for preferred project.

Following submittal of the CDP application, Dudek will review any requests for additional project information and provide recommendations to deem the application complete and prepare for the decision-maker hearing. Note, this scope of work assumes one 30-day CDP application "completeness" review cycle will be required and that material responses will be supported by existing and/or supplemental information provided by SOCWA. Given the uncertainty and the extent of supplemental project materials that may be required to respond during this review process, the need for a supplemental scope of work authorization may be necessary at that time.

Dudek will coordinate with SOCWA and CCC staff leading up to the CCC hearing. Dudek will support SOCWA, as needed, in preparing a presentation for the CCC hearing. In addition, Dudek will attend the CCC hearing and be available to answer questions. Assuming that the CCC approves the CDP and SOCWA wants to seek release of the permit, Dudek will help SOCWA compile all materials needed to satisfy the special conditions and coordinate with CCC staff, as necessary, to oversee issuance of the permit.

In sum, CDP processing services include the following:

- Preparation for and attendance of up to two in-person meetings with SOCWA and/or CCC staff to discuss any issues that come up during the CDP review process
- Preparation of a CDP application package



#### 10. Project Management/Meetings and Hearings

Dudek will attend project meetings and hearings. This task includes project management and administration, regular progress reports and communication with SOCWA, coordination of project team, and quality control. It is assumed that four meetings will be necessary. Additionally, Dudek will attend one Board Committee hearing.

# Agenda Item

**Budgeted:** Yes

**Budget Amount:** \$11,636,721

**Line Item:** PC 15, Tasks 3539-000 and 3545-000

**Legal Counsel Review:** Yes

**Meeting Date:** June 6, 2019

**TO:** Project Committee No. 15

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Roni Young, Associate Engineer

**SUBJECT:** Award of a Construction Contract to PCL Construction for the Coastal Treatment Plant Facility Improvements Project

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## Summary

This agenda item provides a recommendation for the award of a construction contract to PCL Construction for the Coastal Treatment Plant Facility Improvements Project.

## Background

The Coastal Treatment Plant Facility Improvements Project includes the following key elements:

1. Reconstruction of the Ferric Chloride System
2. Replacement of Secondary Sedimentation Basin equipment
3. Construction of a new Drainage Pump Station
4. Fall protection safety improvements
5. Miscellaneous structural and architectural improvements
6. Replacement of the Motor Control Center (MCC) E8M in the Operations Building and MCC-15M and MCC-E15M in the DAF Utility Building
7. DAF Utility Building architectural, structural, and HVAC upgrades
8. Replacement of the main switchgear at a new location in the existing Chlorine Building
9. Chlorine Building architectural, structural, and HVAC upgrades
10. Electrical distribution system upgrades
11. Three grit knife gate valves replacement and access platforms for the valves in the Grit and Screenings Building.

The bidding documents included drawings and specifications prepared by two design firms. Items 1. Through 10. In the list above constituted the Facility Improvements as designed by Hazen and Sawyer. Item 11. was designed by ProjectLine Technical Services.

## Discussion/Analysis

### Bidding Process

Bidding documents were made available to the following list of contractors on March 4, 2019:

- Filanc
- Olsson Construction
- Orion Construction
- Pacific Hydrotech
- PCL Construction
- S.S. Mechanical Construction
- Walsh Construction

Four bids were received and opened on April 16, 2019. The results of these bids are summarized in Table 1. A tabulation of the bids is attached in Exhibit A.

Table 1 – Overall Bid Prices

<b>Contractor</b>	<b>Bid Price</b>
PCL	\$9,209,000.00
Pacific HydroTech	\$9,551,000.00
Orion Construction	\$10,774,000.00
J.R. Filanc	\$10,104,130.00

The apparent low bidder is PCL Construction.

### Bid and Budget Evaluation

The apparent low bid by PCL Construction is compared with the engineer's estimate in Table 2. The bid came in lower than the engineer's estimate.

Table 2 - Comparison of Apparent Low Bid and Engineer's Estimate

<b>Bid Category</b>	<b>Work Items</b>	<b>Apparent Low Bid: PCL Construction</b>	<b>Engineer's Cost Estimate</b>
A1, A16, A21, A22, A23, A24	Basin Structural Improvements	\$913,993.00	\$742,117.00
A1, A14, A27, A36	DAF MCC and Room	\$235,150.00	\$358,048.00
A1, A5, A15, A35, A37, A38	Drainage Pump Station	\$1,117,319.00	\$952,058.00

Table 2 (continued)

Comparison of Apparent Low Bid and Engineer's Estimate

Bid Category	Work Items	Apparent Low Bid: PCL Construction	Engineer's Cost Estimate
A1, A28	Electrical Distribution System	\$546,620.00	\$1,582,380.00
A1, A3, A4, A13, A25, A26, A34, A38	Existing Chlorine Building Modification	\$1,170,548.00	\$809,113.00
A1, A17	Fall Protection Safety Improvements	\$71,164.00	\$621,808.00
A1, A2, A6, A7, A8, A18, A19, A20, A29, A30, A38	Ferric Chloride System Reconstruction	\$1,371,085.00	\$731,808.00
A1, B1	Headworks Isolation Valves	\$84,570.00	\$373,736.00
A1, A39	Headworks Building Architectural	\$162,955.00	\$132,802.00
A1, A31	MCC E8M	\$213,491.00	\$88,029.00
A1, A16, A22	West/East Aeration Basin Influent and Effluent Channel	\$126,724.00	\$132,729.00
A1, A9, A10, A11, A12	Secondary Sedimentation Basins	\$2,293,734.00	\$3,483,802.00
A1, A32, A33	Switchgear Replacement	\$901,647.00	\$1,131,183.00
	Total Construction Cost	\$9,209,000.00	\$11,139,612.00

The bids were reviewed by the design engineer Hazen and Sawyer. The design firm recommended the award of contract to the apparent low bidder PCL Construction.

Table 3 shows the overall funding required for the project. This table also includes the values for the engineering services during construction (ESDC) by Hazen and Sawyer and construction management (CM) by Butier Engineering. The ESDC and CM elements of the project are subject to approval at the June Board of Directors meeting. The projected cost in Table 3 also includes an overall 9% (based on the construction contract value) contingency for contract amendments.

Table 3 - Project Construction Budget

Work Item	Total Budget Required for Construction	Apparent Low Bid by PCL Construction	ESDC	CM	Contingency	
Facility Improvements Project	\$11,340,582	\$9,209,000	490,484	\$812,288	\$828,810	9%

## **California Environmental Quality Act Notice of Exemption**

SOCWA proposes various facility improvements to their CTP. The CTP is a conventional activated sludge treatment plant with a secondary treatment design capacity for 6.7 million gallons per day (MGD). Certain CTP aeration, electrical, and other systems are outdated/are no longer performing reliably. The Project proposes a Facility Improvements Program that includes upgrades, repairs, and replacements to the aeration, electrical, and other systems to improve the existing treatment facilities' safety, reliability, and performance. These improvements would replace or repair equipment and facilities that are outdated or no longer performing reliably.

The Coastal Treatment Plant Facility Improvements Project includes the following key elements:

1. Reconstruction of the Ferric Chloride System
2. Replacement of Secondary Sedimentation Basin equipment
3. Construction of a new Drainage Pump Station
4. Fall protection safety improvements
5. Miscellaneous structural and architectural improvements
6. Replacement of the Motor Control Center (MCC) E8M in the Operations Building and MCC-15M and MCC-E15M in the DAF Utility Building
7. DAF Utility Building architectural, structural, and HVAC upgrades
8. Replacement of the main switchgear at a new location in the existing Chlorine Building
9. Chlorine Building architectural, structural, and HVAC upgrades
10. Electrical distribution system upgrades
11. Three grit knife gate valves replacement and access platforms for the valves in the Grit and Screenings Building.

The design firm Hazen and Sawyer retained sub-consultant Kimley Horn to conduct a CEQA review for the project. The proposed Facility Improvements Project was determined to not have a significant effect on the environment and, therefore, was found to be exempt from CEQA under Class 1 and Class 2 Categorical Exemptions. Exhibit B presents a memorandum prepared by Kimley Horn describing the application of a Notice of Exemption (NOE) for the Facilities Improvement Project. The NOE is presented in Exhibit C. This NOE will be filed by SOCWA staff upon Board approval of the Project.

## **Advisory Committee Review**

The Coastal Treatment Plant Facility Improvements Project bids were reviewed by the members of the Project Committee 15 Engineering Committee on May 16, 2019. The representatives of the City of Laguna Beach and the South Coast Water District recommended an award of construction contract to PCL. The representative from the Moulton Niguel Water District (MNWD) abstained.

## **Fiscal Impact**

The proposed construction contract amount with PCL Construction is \$ 9,209,000.

The budget was initially intended to be divided between three fiscal years: Fiscal Year 2018/19 (Task 3526-000); Fiscal Year 2019/20 (Task 3539-000); and Fiscal Year 2020/21 (Task 3545-000). Actual construction will not begin until Fiscal Year 2019/20. No funds were collected for

Fiscal Year 2018/19 (Task 3526-000). The projected budget for the project is presented in Table 4.

Table 4 - Overall Project Budget

	<b>FY 2019-20</b>	<b>FY 2020-21</b>	<b>Total</b>
Budget Task Code	3539-000	3545-000	
Construction	\$5,525,400	\$3,683,600	\$9,209,000
Engineering Services During Construction	\$294,290	\$196,194	\$490,484
Construction Management	\$487,373	\$324,915	\$812,288
Contingency	\$497,286	\$331,524	\$828,810
Subtotal Construction	\$6,804,349	\$4,536,233	\$11,340,582
SOCWA Engineering	\$167,782	\$128,357	\$296,139
<b>Total Budget</b>	<b>\$6,972,131</b>	<b>\$4,664,590</b>	<b>\$11,636,721</b>

The allocation of the proposed construction cost is presented in Table 5.

Table 5 - Allocation of Proposed Construction Costs

<b>Project Committee 15 Member Agency</b>	<b>Construction Contract Allocation</b>
Emerald Bay Service District	\$275,349.10
City of Laguna Beach	\$3,491,131.90
Moulton Niguel Water District	\$2,693,632.50
South Coast Water District	\$2,748,886.50
<b>TOTAL</b>	<b>\$9,209,000.00</b>

**Requested Action**

The following actions are requested:

Approve the Facilities Improvement Project as described herein, and approve the award of construction contract to PCL Construction at a price not to exceed \$9,209,000.

Exhibit A Coastal Treatment Plant Facility Improvements Project  
 Bid Summary

	Base Bid Item A -	PCL	Pacific HydroTech	Orion Construction	J.R. Filanc
1	Mobilization & demobilization	\$280,000.00	\$800,000.00	\$300,000.00	\$1,000,000.00
2	Piping installation and site improvements	\$81,000.00	\$50,600.00	\$50,000.00	\$166,000.00
3	Demolition of abandoned sodium hypochlorite facilities and site improvements around the Main Switchgear Building	\$39,000.00	\$24,400.00	\$32,000.00	\$109,000.00
4	Grading and paving improvements around the Main Switchgear Building	\$51,000.00	\$50,400.00	\$44,000.00	\$61,000.00
5	Demolition, site improvements and new piping for Drainage Pump Station	\$61,000.00	\$26,100.00	\$160,000.00	\$274,000.00
6	Demo of existing Ferric Chloride System	\$23,000.00	\$13,200.00	\$32,000.00	\$57,000.00
7	Installation and operation of temporary Ferric Chloride System	\$232,000.00	\$35,800.00	\$87,000.00	\$44,000.00
8	Installation of equipment, tankage, and piping for new Ferric Chloride system	\$245,000.00	\$247,700.00	\$260,000.00	\$168,000.00
9	Demolition in Secondary Sedimentation Basins	\$384,000.00	\$118,000.00	\$297,000.00	\$209,000.00
10	Installation of new equipment and appurtenances in the East Secondary Sedimentation Basins	\$819,000.00	\$1,006,000.00	\$775,000.00	\$765,000.00
11	Installation of new equipment and appurtenances in the East Secondary Sedimentation Basins	\$873,000.00	\$743,600.00	\$1,382,000.00	\$864,000.00
12	Modifications to the East Secondary Sedimentation Basin RAS Channel	\$49,000.00	\$32,000.00	\$18,000.00	\$10,000.00
13	Modifications to the Main Switchgear Building HVAC system	\$65,000.00	\$18,100.00	\$47,000.00	\$98,000.00

Exhibit A Coastal Treatment Plant Facility Improvements Project  
 Bid Summary

	<b>Base Bid Item A -</b>	<b>PCL</b>	<b>Pacific HydroTech</b>	<b>Orion Construction</b>	<b>J.R. Filanc</b>
14	Modifications to the DAF Utility Building HVAC system	\$15,000.00	\$18,100.00	\$41,000.00	\$95,000.00
15	Construction of new Drainage Pump Station and discharge piping	\$400,000.00	\$730,200.00	\$900,000.00	\$276,000.00
16	Repair of concrete according to the locations and quantities	\$424,000.00	\$439,100.00	\$250,000.00	\$139,000.00
17	Installations of fall protection	\$69,000.00	\$200,200.00	\$123,000.00	\$165,000.00
18	Excavation and concrete slurry of foundation for Ferric Chloride system	\$200,000.00	\$307,300.00	\$450,000.00	\$188,000.00
19	Construction of concrete containment area for Ferric Chloride system	\$264,000.00	\$104,000.00	\$137,000.00	\$103,000.00
20	Construction of canopies for the Ferric Chloride system	\$12,000.00	\$48,100.00	\$21,000.00	\$24,000.00
21	Structural improvements to the Grit Chambers	\$302,000.00	\$187,500.00	\$267,000.00	\$378,000.00
22	Structural improvements to the Aeration Basins	\$130,000.00	\$134,300.00	\$110,000.00	\$186,000.00
23	Structural improvements to the East Secondary Sedimentation Basins	\$233,000.00	\$124,000.00	\$268,000.00	\$295,000.00
24	Structural improvements to the West Secondary Sedimentation Basins	\$31,000.00	\$84,800.00	\$65,000.00	\$153,000.00
25	Structural improvements to the Main Switchgear Building	\$89,000.00	\$127,900.00	\$93,000.00	\$86,000.00
26	Architectural Improvements to the Main Switchgear Building	\$94,000.00	\$115,000.00	\$123,000.00	\$118,000.00
27	Architectural improvements to the DAF Utility Building	\$28,000.00	\$63,100.00	\$45,000.00	\$43,000.00
28	Installation of buried electrical systems	\$530,000.00	\$1,486,700.00	\$850,000.00	\$556,000.00
29	Installation of power and control system for the new Ferric Chloride system	\$81,000.00	\$40,100.00	\$90,000.00	\$39,000.00
30	Improvements to the electrical system inside the Headworks Electrical Building	\$88,000.00	\$36,400.00	\$50,000.00	\$55,000.00



Exhibit A Coastal Treatment Plant Facility Improvements Project  
 Bid Summary

	<b>Base Bid Item A -</b>	<b>PCL</b>	<b>Pacific HydroTech</b>	<b>Orion Construction</b>	<b>J.R. Filanc</b>
	Improvements to the electrical system inside the Operations Building	\$207,000.00	\$34,100.00	\$75,000.00	\$39,000.00
31	Improvements to the electrical system inside the Generator Building.	\$290,000.00	\$241,500.00	\$150,000.00	\$88,000.00
32	Procurement and installation of Switchgear-MS	\$500,000.00	\$777,800.00	\$750,000.00	\$735,000.00
33	Improvements to the electrical system inside and adjacent to the Main Switchgear Building.	\$470,000.00	\$216,100.00	\$620,000.00	\$561,000.00
34	Improvements to the electrical system inside and adjacent to the North Blower Electrical Building.	\$330,000.00	\$107,100.00	\$170,000.00	\$72,000.00
35	Improvements to the electrical system inside and adjacent to the DAF Control Building	\$185,000.00	\$300,200.00	\$700,000.00	\$751,000.00
36	Installation of Power and Control System for the new Drainage Pump Station	\$80,000.00	\$69,500.00	\$205,000.00	\$438,000.00
37	Modifications to the instrumentation network	\$715,000.00	\$270,400.00	\$580,000.00	\$275,000.00
38	All other items necessary to complete the work associated with the Facility Improvements not described in A1 to A38.	\$158,000.00	\$38,000.00	\$100,000.00	\$346,130.00
39	TOTAL BASE BID A	\$9,127,000.00	\$9,467,400.00	\$10,717,000.00	\$10,029,130.00
	<b>Base Bid Item B</b>				
	Construction of improvements shown on Drawings C-1, C-2, and C-3	\$82,000.00	\$83,600.00	\$157,000.00	\$75,000.00
1	TOTAL BASE BID B	\$82,000.00	\$83,600.00	\$157,000.00	\$75,000.00
	<b>ADD/DEDUCT - List Bid Items Affected and Amount</b>	<b>PCL</b>	<b>Pacific HydroTech</b>	<b>Orion Construction</b>	<b>J.R. Filanc</b>
	A10		\$30,000.00		
	A11			-\$100,000.00	
	<b>Sub Total Add (+) Deduct (-) Items</b>	\$0.00	\$30,000.00	-\$100,000.00	\$0.00
	<b>Total Contract Price</b>	\$9,209,000.00	\$9,581,000.00	\$10,774,000.00	\$10,104,130.00

Exhibit A Coastal Treatment Plant Facility Improvements Project  
 Bid Summary

<b>BID SUMMARY</b>						
<b>STATEMENTS BY BIDDER</b>						
<b>Schedule of Manufacturers for:</b>	<b>PCL</b>	<b>Pacific HydroTech</b>	<b>Orion Construction</b>	<b>J.R. Filanc</b>		
MIC Coating System	Raven	Raven	Sherwin Williams	Raven		
Submersible Screw Centrifugal pumps	Hidrostal	Hidrostal	Hidrostal	Hidrostal		
Liquid Chemical Metering	Pulsafeeder	Pulsafeeder	Pulsafeeder	Pulsafeeder		
Scum Removal Equipment	Brentwood Polychem	Brentwood Polychem	Polychem	Polychem		
Longitudinal Sludge Collectors	Brentwood Polychem	Brentwood Polychem	Polychem	Polychem		
Fiberglass Reinforced Plastic Storage Tanks	Fiberglass Tank Solutions	Fiberglass Tank Solutions	Edwards	Edwards Fiberglass		
Telescoping Valves	DeZurik	Troy	Troy	Troy		
Slide Gates	Whipps	Whipps	Whipps	Whipps		
Low Voltage Switchgear	Square D	Eaton	Square D	Square D		
Low Voltage Motor Control	Square D	Eaton	Square D	Square D		
Centers	Toshiba	Toshiba	Toshiba	Toshiba		
Variable Frequency Drives	Allen Bradley	Allen Bradley	Allen Bradley	Allen Bradley		
Controllers	Sparling	Sparling	Sparling	Sparling		
Magnetic Flow Meter	Hydro Ranger	Hydro Ranger	Siemens	HydroRanger		
Ultrasonic Liquid Level Measurement Systems	Orbinox	Dezurik	Orbinox	DeZurik		
Grit Knife Gate Valves						
<b>Subcontractors for:</b>	<b>PCL</b>	<b>Pacific HydroTech</b>	<b>Orion Construction</b>	<b>J.R. Filanc</b>		
Roofing	Golden State Roofing	Sylvester Roofing Co.	Stone Roofing	Stone Roofing		
HVAC	OAT (Olympic Air)			Olympic Air (OAT)		
Paving	Hardy & Harper, Inc.	Howard Ridley Co.				
Coating	CL Coatings	Murphy Industrial Coatings	CL Coatings	Murphy Industrial		
Electrical	CSI Electrical	Leed Electric	Baker Electric	CSI Electrical		



## MEMORANDUM

**To:** South Orange County Wastewater Authority  
**From:** Kevin Thomas / Rita Garcia, Kimley-Horn and Associates  
**Date:** May 13, 2019  
**Subject:** **Coastal Treatment Plant Facility Improvements Project  
Notice of Exemption**

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### 1.0 INTRODUCTION & PURPOSE

Kimley-Horn and Associates, Inc. has been retained by Hazen and Sawyer to evaluate the proposed SOCWA Coastal Treatment Plant Facility Improvements Project (Project) concerning California Environmental Quality Act (CEQA) compliance. This Memorandum is prepared to present the findings resulting from the CEQA compliance review, as described below. This Memorandum is also prepared to present the recommendations concerning the appropriate CEQA compliance documentation.

The approach for completing the Project's CEQA compliance review involved the following:

- Conducting a site visit and photographic survey on March 13, 2018;
- Reviewing current SOCWA Coastal Treatment Plant (CTP) NPDES permits: *Aliso Creek Ocean Outfall Order No. R9-2012-0012 as Amended by Order No. R9-2014-0105 NPDES No. CA0107417* and *San Juan Creek Ocean Outfall Order No. R9-2012-0013 NPDES No. CA0107611*;
- Reviewing the proposed design and construction plans;
- Reviewing construction truck traffic estimates; and
- Reviewing the following prior CEQA documents:
  - SOCWA. (September 2015). *San Juan Creek Ocean Outfall Junction Structure Rehabilitation, Initial Study and Mitigated Negative Declaration*. Dana Point, CA: SOCWA,
  - SOCWA. (March 2013). *Coastal Treatment Plant Export Sludge Force Main Replacement Project, Final Environmental Impact Report*. Encinitas, CA: DUDEK, and
  - SOCWA. (January 2015). *Addendum to the Final Environmental Impact Report for the Coastal Treatment Plant Export Sludge Force Main Replacement Project*. Encinitas, CA: DUDEK.

## 2.0 STATUTORY AUTHORITY & REQUIREMENTS

### State CEQA Guidelines §15061 – Review for Exemption

A project is exempt from CEQA if:

- 1) The project is exempt by statute (see State CEQA Guidelines Article 18, commencing with §15260).
- 2) The project is exempt pursuant to a Categorical Exemption (CE) (see State CEQA Guidelines Article 19, commencing with §15300) and the application of that CE is not barred by one of the exceptions set forth in State CEQA Guidelines §15300.2.
- 3) The activity is covered by the general rule that CEQA applies only to projects which have the potential for causing a significant effect on the environment. Where it can be seen with certainty that there is no possibility that the activity in question may have a significant effect on the environment, the activity is not subject to CEQA.
- 4) The project will be rejected or disapproved by a public agency.

### State CEQA Guidelines Article 19 - Categorical Exemptions (CE)

The classes of projects listed in State CEQA Guidelines §§15300 to 15332 have been determined not to have a significant effect on the environment and, therefore, are exempt from the provisions of CEQA. The classes of projects that are relevant to the proposed Project are presented below.

State CEQA Guidelines §15301 - Existing Facilities. Class 1 consists of the operation, repair, maintenance, permitting, leasing, licensing, or minor alteration of existing public or private structures, facilities, mechanical equipment, or topographical features, involving negligible or no expansion of use beyond that existing at the time of the lead agency's determination. projects which might fall within Class 1. Among others, examples of projects that qualify as Class 1 include:

- Interior or exterior alterations involving such things as interior partitions, plumbing, and electrical conveyances; and
- Existing facilities of both investor and publicly-owned utilities used to provide electric power, natural gas, sewerage, or other public utility services.

The key consideration is whether the project involves negligible or no expansion of an existing use.

State CEQA Guidelines §15302 - Replacement or Reconstruction. Class 2 consists of replacement or reconstruction of existing structures and facilities where the new structure will be located on the same site as the structure replaced and will have substantially the same purpose and capacity as the structure being replaced. Among others, examples of projects that qualify as Class 2 include replacement or reconstruction of existing utility systems and/or facilities involving negligible or no expansion of capacity.

State CEQA Guidelines §15300.2 - Exceptions. The following conditions are exceptions that bar the application of a CE:

- a) *Location.* Classes 3, 4, 5, 6, and 11 are qualified by consideration of where the project is to be located -- a project that is ordinarily insignificant in its impact on the environment may in a particularly sensitive environment be significant....
- b) *Cumulative Impact.* All exemptions for these classes are inapplicable when the cumulative impact of successive projects of the same type in the same place, over time is significant.
- c) *Significant Effect.* A CE shall not be used for an activity where there is a reasonable possibility that the activity will have a significant effect on the environment due to unusual circumstances.
- d) *Scenic Highways.* A CE shall not be used for a project which may result in damage to scenic resources, including but not limited to, trees, historic buildings, rock outcroppings, or similar resources, within a highway officially designated as a state scenic highway. This does not apply to improvements which are required as mitigation by an adopted negative declaration or certified EIR.
- e) *Hazardous Waste Sites.* A CE shall not be used for a project located on a site which is included on any list compiled pursuant to Government Code §65962.5.
- f) *Historical Resources.* A CE shall not be used for a project which may cause a substantial adverse change in the significance of a historical resource.

## 3.0 PROJECT DESCRIPTION

SOCWA proposes various facility improvements to their CTP. The CTP is a conventional activated sludge treatment plant with a secondary treatment design capacity for 6.7 million gallons per day (MGD). Certain CTP aeration, electrical, and other systems are outdated/are no longer performing reliably. The Project proposes a Facility Improvements Program that includes upgrades, repairs, and replacements to the aeration, electrical, and other systems to improve the existing treatment facilities' safety, reliability, and performance. These improvements would replace or repair equipment and facilities that are outdated or no longer performing reliably. Additionally, the proposed facility improvements would not increase onsite employment or electricity usage. The proposed Project is detailed in the attached Notice of Exemption - Attachment A.

The California Coastal Commission (CCC) approved Coastal Development Permit (CDP) P-78-4365 for the existing CTP (and additional improvements) on February 9, 1979, subject to 16 conditions of approval. The CTP has either previously complied with the conditions or they are not relevant to the currently proposed Project.

Subsequent revisions to CDP P-78-4365 included the following:

- *Staff Report: Permit Amendment 5-15-1670-A1* (California Coastal Commission, May 26, 2016): This proposed amendment involved replacing two main sludge transport pipelines and biological resources mitigation. No modifications to the CTP were proposed; therefore, none of the conditions under this action are relevant to the proposed Project.
- *Addendum to Item W17a: CDP Amendment No. 5-15-1670-A1 (SOCWA & OC Parks)* (California Coastal Commission, June 6, 2016): This addendum addressed Orange County Parks' request to be co-applicant on CDP 5-15-1670-A1. No modifications to the CTP were proposed; therefore, none of the conditions under this action are relevant to the proposed Project.

## 4.0 FINDINGS CONCERNING CEQA COMPLIANCE/CEQA EXEMPTION

Kimley-Horn has completed its evaluation of the proposed Project, as summarized in the following discussions. It has been determined that the proposed Project qualifies as being exempt from CEQA under Class 1, *Existing Facilities*, and Class 2, *Replacement or Reconstruction*. Therefore, it has been determined that the proposed Project would not

have a significant effect on the environment and a CE is the appropriate CEQA documentation. These findings are further discussed below.

## **Exemption Justification Under Class 1 – Existing Facilities**

The proposed improvements would be entirely within the existing developed footprint of the CTP, an existing public utility facility used to provide sewerage service. The proposed improvements would restore/rehabilitate deteriorated/damaged structures, and mechanical equipment to meet current standards. Interior/exterior alterations to plumbing and electrical conveyances are proposed. In addition, the Project is subject to compliance with current County/CDP approvals. Therefore, the Project qualifies for a CE under Class 1.

## **Exemption Justification Under Class 2 - Replacement or Reconstruction**

The proposed improvements would be contained within the existing CTP boundary and would serve the same purpose and production capacity, as under existing conditions. No expansion in use or capacity is proposed. In addition, the Project is subject to compliance with current County/CDP approvals. Therefore, the Project qualifies for a CE under Class 2.

## **Exceptions to Categorical Exemptions**

As previously noted, a project is exempt from CEQA pursuant to a CE provided the application of that CE is not barred by one of the exceptions set forth in State CEQA Guidelines §15300.2. The following demonstrates the Project does not meet any of the exceptions that would bar a CE.

Exception A, Location. This exception pertains to Classes 3, 4, 5, 6, and 11, thus, is not applicable to the proposed Project, which is determined to qualify for a CE under Classes 1 and 2.

Exception B, Cumulative Impact. The proposed Project improvements would take place within the existing CTP boundary and the surrounding area is vacant/undeveloped land. Further, successive projects of the same type in the same place are not expected to occur near the proposed Project site. Therefore, significant cumulative impacts would not occur.

Exception C, Significant Effect. The proposed Project is not expected to have a significant effect on the environment due to unusual circumstances. The Project proposes various facility improvements to an existing treatment plant, which would be contained within the

existing CTP. Additionally, potential impacts concerning construction truck traffic and site lighting would not have a significant effect on the environment or involve an unusual circumstance, as discussed below.

- **Construction Truck Traffic:** The facility improvements would require only nominal grading and would therefore limit construction truck trips to the export of nominal soil/concrete and decommissioned/removed facility equipment/hardware and import of replacement equipment and hardware (periodic commercial trucks and only a few haul trucks per day during the construction period). All construction-related traffic would be closely coordinated with Orange County Parks, with appropriate traffic management measures per SOCWA's standard practices and as required in current CDP and County permit or agreements.

The following roads would be utilized during construction activities: Aliso Creek Road, Wood Canyon Drive, Knollwood, and Aliso Canyon Road.

- Aliso Canyon Trail (Lower Aliso Creek Trail): Originating from the main park entrance at Alicia Parkway, Aliso Canyon Trail parallels Aliso Creek and the paved AWMA Road. The trail provides the only means of accessing Wood and Mathis Canyons from the eastern portions of the park and the main entrance.
- Coastal Treatment Plant Easement: Along the east side of Aliso Creek, an at-grade dirt maintenance road runs through Aliso Canyon from Alicia Parkway to the CTP. The dirt road provides utility access to the CTP pipelines along the east side of Aliso Creek. Several unauthorized trails come down the hillside from the Aliso Summit Trail and connect to this maintenance road. Although, this dirt maintenance road is presently closed to the public, it is used without authorization by hikers, bikers, and other recreational users.
- Aliso Water Management Agency (AWMA) Road: The AWMA Road originates at the main Aliso and Wood Canyon Wilderness Park entrance and parallels the west side of Aliso Creek through Aliso Canyon to the CTP. The road provides access to the CTP located in lower Aliso Canyon above the Aliso Creek Golf Course. This private road is intended for CTP personnel and official County vehicular use only. An agreement between the County and SOCWA provides for public access from the park's main entry to Wood Canyon during weekends and holidays only.



Given the temporary nature of construction activities and since the Project would generate only nominal truck traffic, as discussed above, the Project's construction-related traffic impacts would be less than significant.

- **Site Lighting:** Site lighting is proposed at the Secondary Sedimentation Basins. The proposed lighting would be installed, as shown on a Lighting Plan that would comply with the applicable County of Orange lighting standards for Aliso and Wood Canyons Wilderness Park. To avoid light/glare impacts, all outdoor light fixtures would incorporate light pollution limiting design features: compact fluorescent lamps (CFL) and LED bulbs that produce warm white lighting; shielding to prevent light from being emitted directly to the sky; fixtures with cutoff angles illuminate down, preventing light from escaping above the horizontal plane, minimizing up lighting, and reducing high-angle brightness. Additionally, all improvements would be painted in a matte color and would not include any reflective materials or surfaces. The Lighting Plan is reflected in the construction bid package.

Exception D, Scenic Highways. The area surrounding the Project site is predominately undeveloped with natural landforms and scenic features. However, there are no designated State or County designated scenic highways in the Project site vicinity.<sup>1</sup> Therefore, the Project would not damage scenic resources within a State scenic highway.

Exception E, Hazardous Waste Sites. Government Code §65962.5 refers to the Hazardous Waste and Substances Site List, commonly known as the Cortese List, maintained by the Department of Toxic Substances Control (DTSC). The Project site is not included on the Cortese List.

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<sup>1</sup> California Department of Transportation. (2011). *California Scenic Highway Mapping System*. Retrieved from [http://www.dot.ca.gov/hq/LandArch/16\\_livability/scenic\\_highways/index.htm](http://www.dot.ca.gov/hq/LandArch/16_livability/scenic_highways/index.htm).

**NOTICE OF EXEMPTION**

**APPENDIX E**

**To:** Office of Planning and Research  
 P.O. Box 3044, Room 113  
 Sacramento, CA 95812-3044  
*and*  
 Orange County Clerk Recorder  
 211 West Santa Ana Boulevard  
 Santa Ana, CA 92701

**From (Public Agency):** South Orange County  
 Wastewater Authority  
 34156 Del Obispo Street  
 Dana Point, CA 92629

<b>Project Title:</b>		South Orange County Wastewater Authority (SOCWA) Coastal Treatment Plant Facility Improvements Project	
<b>Project Location - Specific:</b>		29201 La Paz Road, Laguna Niguel, CA 92677	
<b>Project Location - City:</b>		City of Laguna Niguel	
<b>Project Location - County:</b>		County of Orange	
<b>Description of Nature, Purpose, and Beneficiaries of Project:</b>			
<b>Nature:</b>	The Project proposes various facility improvements to SOCWA's existing Coastal Treatment Plant (CTP); see Attachment A.		
<b>Purpose:</b>	Certain CTP electrical and other systems are outdated/no longer performing reliably. The Project's purpose is to implement the necessary upgrades, repairs, and replacements to electrical and other systems to improve the existing treatment facilities' safety, reliability, and performance.		
<b>Beneficiaries:</b>	SOCWA serves more than 500,000 homes and businesses across South Orange County, which would be the beneficiaries of the proposed Project.		
<b>Name of Public Agency Approving Project:</b>		South Orange County Wastewater Authority	
<b>Name of Person or Agency Carrying Out Project:</b>		South Orange County Wastewater Authority	
<b>Exempt Status (check one):</b>		<i>Pursuant to California Environmental Quality Act (CEQA) Statute and Guidelines</i>	
<input type="checkbox"/>	Ministerial (Sec. 21080(b)(1); 15268);		
<input type="checkbox"/>	Declared Emergency (Sec. 21080(b)(3); 152269(a));		
<input type="checkbox"/>	Emergency Project (Sec. 21080(b)(4); 15269(b)(c));		
<input checked="" type="checkbox"/>	Categorical Exemption. Type and Section:		Class 1: Sec. 15301(a), (b), and (d), <i>Existing Facilities</i> Class 2: Sec. 15302(c), <i>Replacement or Reconstruction</i>
<input type="checkbox"/>	Statutory Exemption. Code Number:		
<b>Reasons Why Project is Exempt:</b> The proposed facility improvements have been determined not to have a significant effect on the environment and, therefore, are found to be exempt from CEQA under Class 1 and Class 2 Categorical Exemptions. The proposed improvements are to the CTP, an existing public utility facility used to provide sewerage service. The proposed improvements would restore/rehabilitate deteriorated/damaged structures, facilities, and mechanical equipment to meet current standards. Interior/exterior alterations to plumbing and electrical systems are proposed. Additionally, the proposed improvements would be contained within the existing CTP boundary and would serve the same purpose and production capacity, as under existing conditions. No expansion in use or capacity is proposed. Further, SOCWA and their contractor would be subject to compliance with the CTP's Coastal Development Permit conditions, as well as County regulations pertaining to truck traffic and directional lighting, among others. Finally, the Project does not meet the conditions outlined in State CEQA Guidelines Section 15300.2.			
<b>Lead Agency</b>		<b>Telephone</b>	
<b>Contact Person: Roni Young</b>		<b>&amp; Extension: (949) 234-5410</b>	
<b>If Filed by Applicant:</b>			
1. Attach certified document of exemption finding.		<input type="checkbox"/> Yes	<input type="checkbox"/> No
2. Has a Notice of Exemption been filed by the public agency approving the project?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Signature:</b>		<b>Title:</b>	<b>Date:</b>

<input checked="" type="checkbox"/> Signed by Lead Agency	Date received for filing at OPR:
<input type="checkbox"/> Signed by Applicant	

## SOCWA Coastal Treatment Plant Facility Improvements Project

The South Orange County Wastewater Authority (SOCWA) proposes various facility improvements to the Coastal Treatment Plant (CTP). The CTP is a conventional activated sludge treatment plant with a secondary treatment design capacity for 6.7 million gallons per day (MGD). Certain CTP electrical, and other systems are outdated/are no longer performing reliably. The Project proposes a Facility Improvements Program that includes upgrades, repairs, and replacements to the electrical, and other systems to improve the existing treatment facilities' safety, reliability, and performance. These improvements would replace or repair equipment and facilities that are outdated or no longer performing reliably. Additionally, the proposed facility improvements would not increase onsite employment or electricity usage. The basis of design for the proposed Facility Improvements Program are detailed in the following Technical Memorandums (TM):

- SOCWA CTP Facility Improvements Engineering Services – Electrical Facility Review Technical Memorandum (Hazen and Sawyer, April 13, 2018) (Hazen, 2018a); and
- Coastal Treatment Plant Facility Improvements Engineering Services – Basis of Design Memorandum – Other Unit Processes (Hazen and Sawyer, April 13, 2018) (Hazen, 2018c).

Proposed improvements would be subject to the CTP's current agency approvals, including CDP and NPDES, and associated CDP conditions.

The proposed facility improvements, all of which would occur within the CTP boundaries, and the proposed Facility Plan are illustrated on Exhibit 1, Facility Plan.

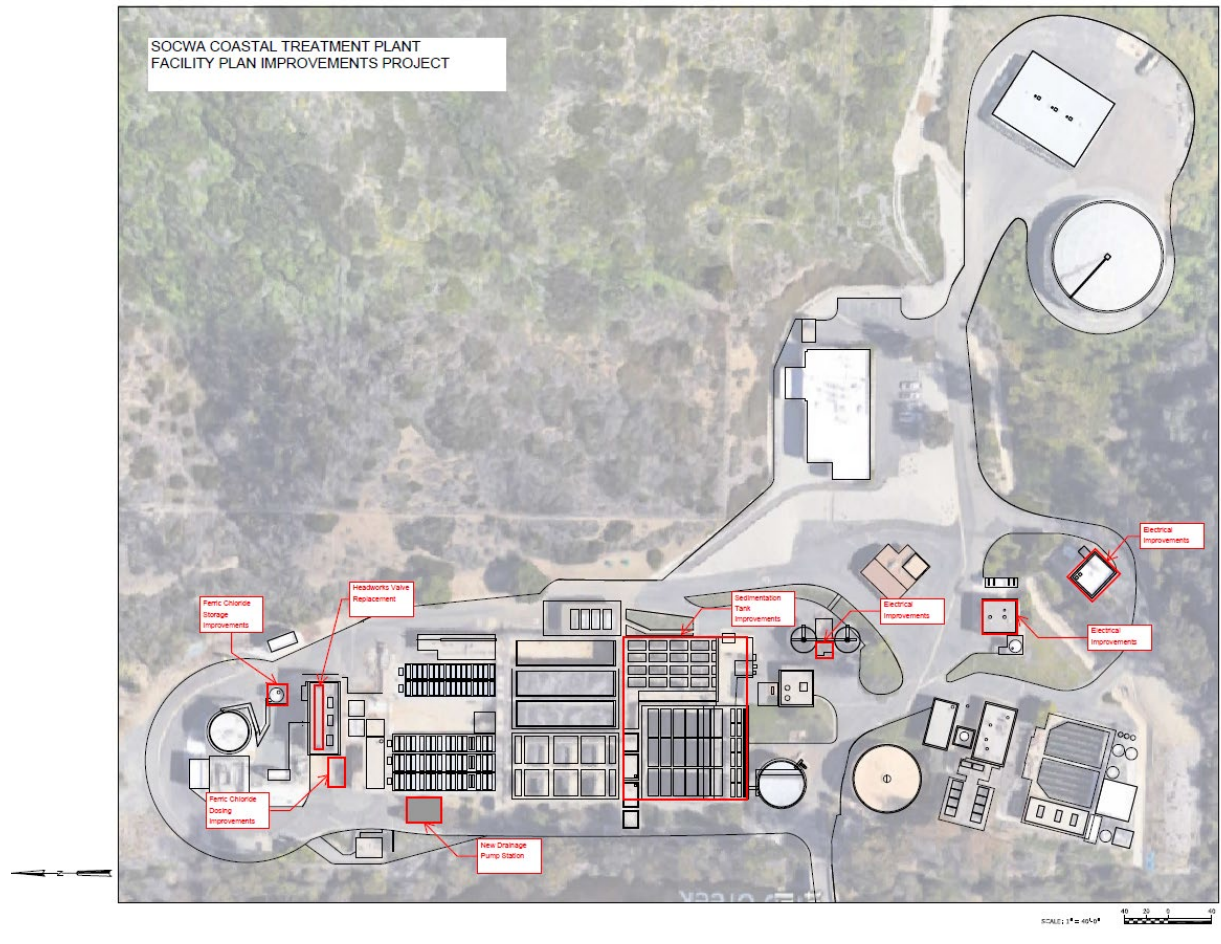
### Proposed Improvements

#### ELECTRICAL FACILITIES

Portions of the CTP's electrical system have reached the end of their useful life and require upgrading to ensure the CTP continues to run reliably in the future. Electrical improvements are proposed, as described below.

**Main Switchgear.** The CTP relies on a Main Switchboard to distribute power throughout the plant. The existing Main Switchboard is corroded, obsolete, and no longer manufactured. The switchgear breakers have become a reliability concern, as parts are no longer available. The switchgear's location within the existing electrical building is not compliant with the National Electric Code. The existing Main Switchboard assembly would be replaced with a new low voltage power circuit breaker switchgear assembly that will be located within the existing Chlorine Storage Building. This building is no longer in use and will be re-purposed to become the Main Switchgear Building as part of the Project.

**EXHIBIT 1**



**Utility Service Requirements.** The new utility service requires the following new equipment:

- Utility riser on pole
- Pad-mounted primary switch
- Utility transformer
- Metering equipment
- 2000A service entrance utility meter section and switchgear with outdoor rated enclosure

Various infrastructure and connections are required for the Southern California Edison (SCE) service including pad/vaults for pad mounted switch and utility transformer, primary conduits, a secondary cable trench, and primary and secondary conductors.

**Standby Generator.** The existing Main Switchboard contains a generator control panel that would be replaced after switchboard demolition. A new generator control panel would be installed on the standby generator in the Generator Building. Various additional improvements to the standby generator and its controls are proposed.

**Power Distribution Additions and Upgrades.**

*Feeder Requirements*

The distribution upgrades include replacing and adding feeders to two MCCs and one 480 V panelboard. In addition to the MCC feeder replacement, the proposed switchgear location and blower system require additional feeders to new and existing electrical equipment including:

- New utility service equipment at the new Main Switchgear Building,
- New MCC in the new North Blower Building,
- Existing standby generator in Generator Building, and
- New 480 V panelboard E9DP in the Generator Building.

*Ductbank Requirements and Routing*

Once the new duct banks are in place, new feeders would be routed using available spares.

*Headworks MCC Generator Connection*

Existing MCC-1 and MCC-1E are in the Headworks Power Building. A new generator circuit breaker and cable connection terminals are proposed in MCC-1E for connecting a standby or portable generator in the future.

**Site Lighting.**

Site lighting is proposed at the Secondary Sedimentation Basins. The proposed lighting would be installed, as shown on a Lighting Plan that would comply with the applicable County of Orange lighting standards for Aliso and Wood Canyons Wilderness Park. To avoid light/glare impacts, all outdoor light fixtures would incorporate light pollution limiting design features: compact fluorescent lamps (CFL) and LED bulbs that produce warm white lighting; shielding to prevent light from being emitted directly to the sky; fixtures with cutoff angles illuminate down, preventing light from escaping above the horizontal plane, minimizing up lighting, and reducing high-angle brightness. Additionally, all improvements would be painted in a matte color and would not include any reflective materials or surfaces.

### **Temporary Power During Construction.**

During removal of the Main Switchboard and installation of the new switchgear and utility equipment, temporary power is proposed to maintain CTP operations. Stand-alone temporary diesel generators are proposed to supply power to the main distribution panelboards and MCCs throughout the CTP during construction, as needed. One or more backup generator units would be available onsite should one of the temporary generators fail. This approach is proposed to provide a local power source for each area, if required, and flexibility for the other construction activities and sequencing required by the Project.

### **OTHER UNIT PROCESSES**

Proposed improvements to the other unit processes are required to address components and processes that are outdated/are no longer performing reliably. These improvements are summarized below.

**Headworks Facilities.** The 1990's ferric chloride system has not undergone significant rehabilitation since constructed. The CTP has historically experienced high concentrations of Total Dissolved Solids (TDS) in the recycled product water produced by the AWTF Facility. TDS meters and probes installed in 2012 to identify the source of high TDS concentrations have had reliability problems. The proposed ferric chloride system upgrades consist of replacing the ferric chloride storage tank and metering pumps and providing a new ferric chloride dosing point and expanded containment structure.

**Motor Control Center (MCC) Replacement.** Three MCCs in the Operations and DAF Utility Buildings show significant signs of corrosion and replacement parts are no longer available. These MCCs would be replaced with panelboards. Additionally, Dissolved Air Flotation (DAF) Electrical Room improvements are proposed.

**Secondary Sedimentation Basins.** There are seven secondary sedimentation basins - four east basins and three west. The east basins have not been rehabilitated since construction in 1967 (east) and 1983 (west). The proposed upgrades include replacing the chain and flight sludge collectors, collector drives, installing new scum skimmers, scum beaches, and drives, replacing launders and weirs, installing new mud valves along the basin floor, and replacing telescoping valves and conduit and wire to each drive unit. Modifications are proposed to all seven basins.

**Dissolved Air Flotation (DAF) Motor Control Center (MCC) and Room.** The proposed improvements are:

- Door Replacement: To improve access for electrical equipment installation in the DAF MCC Room, the north door would be replaced with a new single door with panic hardware and frame with a removable transom. The south door would be replaced with a standard sized size single door with panic hardware using the existing doorframe.
- HVAC Improvement: As part of the electrical upgrade (see below), air conditioning is proposed to maintain the electrical equipment temperature.

**Drainage Pump Station (DPS).** The existing DPS is in an enclosed building that is subject to flooding during severe wet weather events. The existing DPS includes one submersible and two vertical centrifugal pumps. The existing DPS both returns process drainage flows from within the CTP and handles overflows from Moulton Niguel Water District. To correct an existing deficiency involving influent sampling, a new DPS is proposed to pump process drain flows to the Primary Clarifier Influent Channel. The proposed DPS would be located east of the existing DPS; also see *Structural Improvements* below. The drainage pipes currently feeding the wet well of the existing DPS would be relocated to feed the new DPS. The new DPS would consist of two submersible pumps (one duty and one standby) in an 8.0-foot diameter circular pre-cast wet well approximately 25 feet deep, with an aluminum hatch cover and stainless-steel guiderail system.

A separate rectangular precast concrete discharge valve vault with aluminum hatch cover would be installed adjacent to the wet well to house the discharge isolation and check valves. The existing DPS would be renamed Moulton Niguel Pump Station would continue to pump emergency overflows.

**Fall Protection Safety.** A fall protection and confined space evaluation was conducted (Arcadis U.S., 2016) for the CTP in compliance with Cal/OSHA regulations. To correct the identified deficiencies, various improvements are proposed including new handrails/guardrails, modifying existing handrails/guardrails, replacing hatch covers, installing skylight screens, installing grating, replacing ladder grab bars, among others.

**Structural Improvements.** The structural improvements involve the “Other Process Improvements” discussed above and consist of the Headworks Facility, Secondary Sedimentation Basins, DAF MCC and Room, Drainage Pump Station, slab-on-grade replacement between Secondary Sedimentation Basins, and miscellaneous concrete repairs around Primary Sedimentation, Aeration and Secondary Sedimentation Basins. The structural improvements to these facilities include the following:

- Demolition and reconstruction of the containment walls and stair access for the Ferric Chloride Storage Tank. Line the interior containment area surfaces with a protective coating.
- Replace deteriorating roll-up door in the Headworks Building lower grit room.
- Replace leaking and deteriorating skylights at Headworks Building roof with similar dome style skylight. Either non-penetrating skylight screen or free-standing portable railing system is proposed around the skylight for fall protection.
- The Headworks Building’s existing concrete roof has suffered from hairline fractures that result in leakage into the upper floor of the building during wet weather events. The existing built-up roofing material would be replaced with a single ply membrane roofing material (PVC or KEE).
- Rehabilitation concrete beam struts and miscellaneous concrete repairs to slab walkway surfaces and upper basin walls are proposed. Modifications to the eroded Return Activated Sludge (RAS) Channel (along the East Secondary Sedimentation Basins) are also proposed.
- Single doors on the north and south sides of DAF building at MCC room, and support of new HVAC equipment on existing concrete roof deck are proposed.
- A new DPS consisting of a buried 8.0-foot diameter x 25-foot deep precast concrete wet well structure and a rectangular shaped, 5.0-foot deep precast concrete valve vault structure is proposed.
- Cracked and deteriorated concrete slab-on-grade between Secondary Sedimentation Basins would be replaced (concrete slab-on-grade with reinforcing steel).
- Concrete repairs are proposed throughout primary, aeration, and secondary basins. Improvements also include replacement of aluminum solid plank grating covers over channels and severely corroded embedded angle seats. The tops of channel walls would be reconstructed to at least 12” in height. Removal of existing protective coating on interior concrete surfaces of channels is proposed, where applicable, and Microbiologically Influenced Corrosion (MIC) coating system would be installed. Other proposed repairs in these areas include surface cracking and spall repair, as required.

# Agenda Item

**Budgeted:** Yes

**Budget Amount:** \$11,636,721

**Line Item:** PC 15, Tasks 3539-000 and 3545-000

**Legal Counsel Review:** No

**Meeting Date:** June 6, 2019

**TO:** Project Committee No. 15

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Roni Young, Associate Engineer

**SUBJECT:** Award of Engineering Services during Construction to Hazen and Sawyer for the Coastal Treatment Plant Facility Improvements Project

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## Summary

This agenda item provides a recommendation for the award of an engineering services contract during construction (ESDC) to Hazen and Sawyer for the Facility Improvements Project at the Coastal Treatment Plant.

## Background

The Coastal Treatment Plant Facility Improvements Project includes the following key elements:

1. Reconstruction of the Ferric Chloride System
2. Replacement of Secondary Sedimentation Basin equipment
3. Construction of a new Drainage Pump Station
4. Fall protection safety improvements
5. Miscellaneous structural and architectural improvements
6. Replacement of the Motor Control Center (MCC) E8M in the Operations Building and MCC-15M and MCC-E15M in the DAF Utility Building
7. DAF Utility Building architectural, structural, and HVAC upgrades
8. Replacement of the main switchgear at a new location in the existing Chlorine Building
9. Chlorine Building architectural, structural, and HVAC upgrades
10. Electrical distribution system upgrades
11. Three grit knife gate valves replacement and access platforms for the valves in the Grit and Screenings Building.

The bidding documents included drawings and specifications by two design firms. Items 1 through 11 in the list above constituted the Facility Improvements as designed by Hazen and Sawyer. Item 12 Was designed by ProjectLine Technical Services.

The construction project will be presented for a recommendation to award to the apparent low bidder PCL Construction at the SOCWA Board of Directors meeting on June 6, 2019.

## Discussion/Analysis

SOCWA has traditionally requested the services of the design firm to provide construction support services. These services include the response to the requests for information, review of shop drawings, assistance during start-up, and drafting of the as-built drawings.



Hazen and Sawyer was selected for design through a competitive selection process. The firm submitted a sole-source proposal for engineering support services during construction for SOCWA review. The services are relevant only to the elements design by Hazen and Sawyer. The scope of work for the project is included as Exhibit A.

The proposal includes a small design item for the connection for temporary power to the main switchgear. The need for the design was identified by SOCWA staff during the bid process to allow operation flexibility.

The proposed fee for the engineering services during construction is 5.1% of the construction cost. This is consistent with past projects.

### Advisory Committee Review

The attached proposal for engineering services during construction for the Coastal Treatment Plant Facility Improvements project was reviewed by the Engineering Committee on May 16, 2019. The representative from the Moulton Niguel Water District (MNWD) abstained from the recommendation. The representatives of the City of Laguna Beach and the South Coast Water District recommended an award of construction contract to PCL. The representative from the Moulton Niguel Water District (MNWD) abstained.

The Engineering Committee requested that SOCWA staff include the construction services as part of the design contract during future work.

### Fiscal Impact

The proposed Hazen and Sawyer fee for engineering services during construction is \$490,484.

The budget for the Facility Improvements Project was initially intended to be divided between three fiscal years: Fiscal Year 2018/19 (Task 3526-000); Fiscal Year 2019/20 (Task 3539-000); and Fiscal Year 2020/21 (Task 3545-000). Actual construction will not begin until Fiscal Year 2019/20. No funds were collected for Fiscal Year 2018/19 (Task 3526-000). The projected budget for the project is presented in Table 1.

Table 1 - Overall Project Budget

	FY 2019-20	FY 2020-21	Total
Budget Task Code	3539-000	3545-000	
Construction	\$5,525,400	\$3,683,600	\$9,209,000
Engineering Services During Construction	\$294,290	\$196,194	\$490,484
Construction Management	\$487,373	\$324,915	\$812,288
Contingency	\$497,286	\$331,524	\$828,810
Subtotal Construction	\$6,804,349	\$4,536,233	\$11,340,582
SOCWA Engineering	\$167,782	\$128,357	\$296,139
<b>Total Budget</b>	<b>\$6,972,131</b>	<b>\$4,664,590</b>	<b>\$11,636,721</b>

Table 1 shows the overall funding required for the project. This table also includes the values for the proposed construction contract engineering services during construction (ESDC) for Hazen and Sawyer, and construction management for Butier Engineering. The Butier contract will be brought before the Board of Directors on June 6, 2019. The projected cost in Table 1 also includes an overall 9% allowance for contract amendments.

The allocation of the proposed Hazen and Sawyer engineering services during construction contract is presented in Table 2.

Table 2 - Allocation of Cost to Member Agency

<b>Project Committee 15</b>	<b>Engineering Services during Construction</b>
<i>Member Agency</i>	<i>Allocation</i>
Emerald Bay Service District	\$14,665.47
City of Laguna Beach	\$185,942.48
Moulton Niguel Water District	\$143,466.57
South Coast Water District	\$146,409.48
<b>Total</b>	<b>\$490,484.00</b>

### **Recommendation**

The following action is recommended:

Approval of the award of the engineering services during construction contract to Hazen and Sawyer at a fee not to exceed \$490,484.

Exhibit A  
Scope of Work

Tasks include the following:

1. RFI Responses – Respond to Design Clarifications and Requests for Information (RFIs). Contractor will submit all requests in writing to SOCWA. All responses will be submitted in writing to SOCWA. It is assumed that there will be a maximum of 80 RFIs.
2. Shop Drawing Review – Review shop drawings and other submittals as required in the Contract Documents. Review procedures will be as specified in the Contract Documents and as directed by SOCWA. Hazen will review shop drawings for conformance with the design documents. The review does not relieve the Contractor from specification or contractual requirements. Contractor is expected to provide complete submittals. It is assumed that there will be a maximum of 200 submittals and 80 resubmittals.
3. Change Order Assistance – Review and analyze Change Order Requests to determine their merit relative to the Contract Documents and design intent. The review of change orders will only be upon the request of SOCWA. It is assumed that there will be a maximum of 8 change orders total. Hazen's review and analysis of Change Order Requests will include review of scope and pricing information submitted by the Contractor and/or SOCWA.
4. Record Drawing Preparation – Hazen will prepare record drawings from markups made by the Contractor and reviewed by SOCWA's construction manager. Total number of drawings is 170 and record drawings will be submitted electronically, as pdf files in half and full size formats and as 2 hard copies, full size, in Draft and Final.
8. Design of Connection for Temporary Power to the Main Switchgear: Hazen will design a connection for temporary power to the main switchgear to provide operation flexibility. The design will be incorporated into the final record drawings.
9. Meetings and Site Visits - Meetings with construction manager and SOCWA. It is assumed that there will be 16 progress meetings and 8 inspection visits over the duration of the project.
10. Project Management - Coordination with construction manager and SOCWA.

# Agenda Item

**Budgeted:** Yes

**Budget amount:** \$32,183,976

**Line Item:** PC 2 Tasks 3220-000, 3224-000, 3225-000, 3231-000 and PC 15 Tasks 3539-000, 3545-000

**Legal Counsel Review:** No

**Meeting Date:** June 6, 2019

**TO:** Project Committees No. 2 and 15

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Brian Peck, Director of Engineering

**SUBJECT:** Award of Construction Management Services Contract to Butier Engineering for the J. B. Latham Treatment Plant Package "B" Improvements and the Coastal Treatment Plant Facility Improvements Projects

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## Summary

This agenda item includes the recommendation of the award of a construction management contract to the firm Butier Engineering for the J. B. Latham Treatment Plant (JBLTP) Package "B" Improvements and the Coastal Treatment Plant (CTP) Facility Improvements Projects.

### Background - J. B. Latham Treatment Plant Package "B" Improvements

The JBLTP Package "B" Improvements Project includes the following key elements:

1. Rehabilitation of piping and valves at the Effluent Pump Station
2. Limited equipment rehabilitation of Plant 2 Secondary Sedimentation Basins
3. Structural and equipment rehabilitation of the Plant 1 Secondary Sedimentation Basins
4. Structural and equipment rehabilitation of the Primary Effluent Channel (Plant 1 portion)
5. Structural and equipment rehabilitation of the Plant 1 Primary Influent Channel and Sedimentation Basins
6. Structural and equipment rehabilitation of the Plant 2 Primary Influent Channel Basins
7. Structural and equipment rehabilitation of Dissolved Air Flotation Thickener Nos. 1 and 2
8. Construction of a new Thickened Waste Activated Sludge Pump Station
9. Cleaning and equipment rehabilitation of the Digester 1 and 2 mixing and heating systems
10. Structural rehabilitation of the Digesters 1 and 2 Control Building roof
11. Equipment rehabilitation of the Digester 3 and Digester 4 heating systems
12. Replacement of the Digesters 3 and 4 Control Building roof stairs
13. Construction of a new boiler inside of the Energy Recovery Building
14. Removal of the existing boiler within the Digesters 1/2 Control Building
15. Seismic improvements to the Energy Building
16. Structural rehabilitation of the Dewatering Building and Energy Recovery Building roof including the replacement of the skylights
17. Construction of a new monorail system inside of the Energy Building
18. Demolition of the existing Laboratory Building
19. Miscellaneous plant-wide safety improvements for fall protection
20. Structural and coating repairs within Digester 4
21. Mechanical, electrical and instrumentation improvements associated with Digester 4 rehabilitation

The bidding documents included drawings and specifications by two design firms. Items 1 through 19. In the list above constituted the Package “B” Improvements as designed by Carollo Engineers. Items 20 and 21 were part of the Digester 4 Upgrade designed by Tetra Tech.

The construction project was awarded to Olsson Construction at the SOCWA Board of Directors meeting on April 4, 2019.

#### Background – Coastal Treatment Plant Facility Improvements Project

The Coastal Treatment Plant Facility Improvements Project includes the following key elements:

1. Reconstruction of the Ferric Chloride System
2. Replacement of Secondary Sedimentation Basin equipment
3. Construction of a new Drainage Pump Station
4. Fall protection safety improvements
5. Miscellaneous structural and architectural improvements
6. Replacement of the Motor Control Center (MCC) E8M in the Operations Building and MCC-15M and MCC-E15M in the DAF Utility Building
7. DAF Utility Building architectural, structural, and HVAC upgrades
8. Replacement of the main switchgear at a new location in the existing Chlorine Building
9. Chlorine Building architectural, structural, and HVAC upgrades
10. Electrical distribution system upgrades
11. Three grit knife gate valves replacement and access platforms for the valves in the Grit and Screenings Building.

The bidding documents included drawings and specifications prepared by two design firms. Items 1. Through 10. In the list above constituted the Facility Improvements as designed by Hazen and Sawyer. Item 11. was designed by ProjectLine Technical Services.

A recommendation for the award of construction contract to PCL Construction will be presented at the SOCWA Board of Directors meeting on June 6, 2019.

#### Background – Construction Management Services for Combined Projects

The J. B. Latham Treatment Plant Package “B” Improvements and the Coastal Treatment Plant Facility Improvements Project represents two of the largest construction projects that SOCWA has awarded in the past 20 years. SOCWA staff proposed, and the Engineering Committee agreed to attempt to procure one construction management firm to provide services for both projects. The goal of this approach was to reduce the overall project cost with a project team that would utilize shared resources.

#### **Discussion/Analysis**

Requests for proposals (RFP’s) were submitted to the following six firms:

- Butier
- Carollo
- Dudek
- Hazen & Sawyer
- Jacobs/CH2MHill
- MWH Constructors

Proposals were received from four firms (a fifth firm Hazen & Sawyer is a sub-consultant on the Butier team).

### Proposals and Interviews

The proposals are summarized in Table 1 (on page 4). The proposals from each of the submitting firms reflected excellent construction management capabilities. A tabulation of the proposed fees for each of the submitting firms is presented in Table 2 (on page 5).

The Engineering Committee members determined that Butier and MWH Constructors had qualified teams with estimates of efforts that most reflected the expected needs of the projects. The Engineering Committee requested that Butier Engineering and MWH Constructors participate in interviews with the Committee.

Interviews were conducted with Butier Engineering and MWH Constructors at a Special Engineering Committee meeting. The present members of the Project Committees 2 and 15 Engineering Committee recommended the award of the construction management services to Butier Engineering. Both firms interviewed extremely well. The interview panel members recommended Butier based both on past experience and on the project approach.

Butier Engineering's proposal indicated that their proposed fee of \$1,708,015 for doing both projects represented an approximate savings of \$300,000 compared with contracting for each project individually.

The scope of work for the proposed contract is presented in Exhibit A.

Table 1 - Proposal Summary

<b>Firm</b>	<b>Butier Engineering</b>	<b>Carollo Engineers</b>	<b>Dudek</b>	<b>MWH Constructors</b>
Project Manager	Marc Butier	John Newbrough	George Litzinger	Edmond Sayegh
Resident Engineer, JBLTP	Lou Francuz	Rick Doeve	Terry Krie	Alexandria Jamieson
Resident Engineer - CTP	Lou Francuz	John Benusik	Terry Krie	Alexandria Jamieson
Principal	Marc Butier	Doug Lanning	George Litzinger	Randy Lovan
Subconsultants	<ul style="list-style-type: none"> <li>Hazen &amp; Sawyer - Proactive review of documents; coordination with SCE; document management.</li> </ul>	<ul style="list-style-type: none"> <li>Harper &amp; Associates – Coating Inspection</li> <li>Arcadis – Hazardous Waste Inspection</li> </ul>	<ul style="list-style-type: none"> <li>Rockwell Construction Services – E and I</li> <li>MTGL – Lab/Soils Testing Services</li> <li>Chandrani Havaladar - Scheduling</li> </ul>	<ul style="list-style-type: none"> <li>CSI – Coating Inspection</li> <li>Materials Inspection - Ninyo &amp; Moore</li> <li>Haz Mat Specialist</li> </ul>
Qualifications	Prior work for SOCWA; Hazen understanding of CTP project; broad CM experience	Prior work for SOCWA; understanding of JBLTP project; experience with similar work	Similar projects for Goleta Sanitary District and City of Coachella	Numerous projects working for member agencies; experience with similar work
Total Labor Hours (Both Facilities)	10,861	12,130	12,600	11,970
Total Labor Hours (JBLTP Only)	6,651	8,137	8,600	7,782
Total Labor Hours (CTP Only)	5,982	5,698	5,900	6,198
Contract Issues	None	No major issues	None	None
Proposal Requirement Compliance	Complied	Complied	Complied	Complied

Table 2 - Proposed Fees

<b>Construction Management Firms</b>	<b>Proposed Fee</b>
Butier Engineering	\$1,708,015
Carollo Engineers	\$2,122,393
Dudek	\$2,065,000
MWH Constructors	\$1,867,649

### **Advisory Committee Review**

The construction management proposals for the J. B. Latham Treatment Plant Package “B” Improvements and the Coastal Treatment Plant Facility Improvements Projects were reviewed by the Engineering Committee on March 14, 2019. Interviews were conducted with Butier Engineering and MWH Constructors on April 4, 2019. The Engineering Committee recommended the award of the construction management contract to Butier Engineering.

### **Fiscal Impact**

The proposed contract amount with Butier Engineering is \$1,708,015.00. The service fees are allocated \$895,727.00 for the J. B. Latham Treatment Plant (Project Committee 2) and \$812,288.00 for the Coastal Treatment Plant (Project Committee 15).

The construction for the J. B. Latham Treatment Plant Package “B” Improvements was originally programmed in Fiscal Year 2018/19 with three task codes:

- 3220-000 Facilities Improvements Package “B” Basins (Liquids)
- 3224-000 Digester 4 Improvements (Solids)
- 3225-000 Facilities Improvements Package “B” DAF’s and Ancillary Systems (Solids)

The budget amounts in these three items will be increased to reflect the results of the bids, as shown in Table 3 (on page 6). A fourth budget line item will be added to reflect Package “B” improvements associated with the Common cost center.



Table 3 - J. B. Latham Treatment Plant Package “B” Improvements Project Overall Budget

	FY 2019-20	FY 2020-21	Total
<b>Construction</b>			
- Liquids	\$4,626,000	\$3,084,000	\$7,710,000
- Common	\$726,000	\$484,000	\$1,210,000
- Solids	\$5,043,000	\$3,362,000	\$8,405,000
- Total	\$10,395,000	\$6,930,000	\$17,325,000
<b>Engineering Services During Construction</b>			
- Liquids	\$245,633	\$163,756	\$409,389
- Common	\$38,549	\$25,700	\$64,249
- Solids	\$280,134	\$186,756	\$466,890
- Total	\$564,317	\$376,211	\$940,528
<b>Construction Management</b>			
- Liquids	\$239,171	\$159,447	\$398,618
- Common	\$37,535	\$25,024	\$62,559
- Solids	\$260,730	\$173,820	\$434,550
- Total	\$537,436	\$358,291	\$895,727
<b>Contingency</b>			
- Liquids	\$370,080	\$246,720	\$616,800
- Common	\$58,080	\$38,720	\$96,800
- Solids	\$403,440	\$268,960	\$672,400
- Total	\$831,600	\$554,400	\$1,386,000
<b>Total</b>	\$12,328,353	\$8,218,902	\$20,547,255

The Coastal Treatment Plant Facility Improvements budget was initially intended to be divided between three fiscal years: Fiscal Year 2018/19 (Task 3526-000); Fiscal Year 2019/20 (Task 3539-000); and Fiscal Year 2020/21 (Task 3545-000). Actual construction will not begin until Fiscal Year 2019/20. No funds were collected for Fiscal Year 2018/19 (Task 3526-000). The projected budget for the project is presented in Table 4 (on page 7).

Table 4 - Coastal Treatment Plant Facility Improvements Project Overall Budget

	<b>FY 2019-20</b>	<b>FY 2020-21</b>	<b>Total</b>
Budget Task Code	3539-000	3545-000	
Construction	\$5,525,400	\$3,683,600	\$9,209,000
Engineering Services During Construction	\$294,290	\$196,194	\$490,484
Construction Management	\$487,373	\$324,915	\$812,288
Contingency	\$497,286	\$331,524	\$828,810
Subtotal Construction	\$6,804,349	\$4,536,233	\$11,340,582
SOCWA Engineering	\$167,782	\$128,357	\$296,139
<b>Total Budget</b>	<b>\$6,972,131</b>	<b>\$4,664,590</b>	<b>\$11,636,721</b>

The allocation of the proposed construction management contract cost is presented in Table 5.

Table 5 - Allocation of Proposed Contract Cost

<b>Member Agency</b>	<b>Project Committee 2</b>	<b>Project Committee 15</b>	<b>Total</b>
Emerald Bay Service District	\$0	\$24,287	\$24,287
City of Laguna Beach	\$0	\$307,938	\$307,938
Moulton Niguel Water District	\$199,933	\$237,594	\$437,527
City of San Juan Capistrano	\$272,028	\$0	\$272,028
Santa Margarita Water District	\$206,618	\$0	\$206,618
South Coast Water District	\$217,148	\$242,468	\$459,616
<b>Total</b>	<b>\$895,727</b>	<b>\$812,288</b>	<b>\$1,708,015</b>

**Recommendation**

The following action is recommended:

Approval of the award of the construction management contract to Butier Engineering for the J. B. Latham Treatment Plant Package “B” Improvements and the Coastal Treatment Plant Facility Improvements Projects at a price not to exceed \$1,708,015.

Exhibit A  
Scope of Work

Tasks include the following:

**I. Document Review**

Butier's Technical Review Team will consist of key personnel from Butier and Hazen and Sawyer. The Team will review the project plans and technical specifications for the JBLTP Package 'B' Improvements and Coastal Treatment Plant Facility Improvements Projects. The primary purpose of the review will be to identify potential risks to the Authority and recommend risk mitigation measures. It is not intended to be a full "constructability review." The Technical Review Team will also review the conformed documents and identify items for potential value engineering, key vulnerabilities for contractor requests for contract adjustment, and critical path items.

**II. Pre-Construction Meeting**

Prior to the start of construction, the Butier Team will assist the Authority with conducting a Pre-Construction meeting with the Design Engineer(s), Contractor, and agencies and stakeholders. The project team will outline the following to the Contractor: overall project objectives, schedules, schedule of values, contractual roles, contract administration guidelines, reinforcement of specific requirements for safety, traffic access, environmental constraints, and coordination issues for the work. The meeting will emphasize the project's philosophy of teamwork and cooperation as goals to achieve a safely constructed project.

**III. Progress Meetings**

Butier's Resident Engineer (RE) will schedule and chair weekly meetings for the project with the Authority staff, engineer, contractor, subcontractors, utility companies, or other agencies as required. Each meeting will cover site safety, progress, job problems, and any actions requiring clarification of design intent, ambiguities in contract documents, and other key issues. Action monitoring will be implemented to ensure compliance and timely response by all parties.

**IV. Monthly Progress Reports**

The RE will prepare a monthly progress report and submit to the Authority for review. The report will include a summary of the prior month's main accomplishments and current construction activities; overall Contractor's conformance to contract schedule and quality requirements; identification of key problems, action items, and issues along with recommendation for solutions; summary of progress payments, change orders disputes, submittals, RFIs, and notices of noncompliance; and photographs of representative project activities.

## V. Document Control System

Butier and Hazen and will jointly complete this task to provide a web-based document controls integration utilizing SOCWA's SharePoint site. The scope of work will include the following:

- Create a project calendar
  - Create document libraries to manage daily reports, RFIs, submittals, meeting notes, photographs, contract documents modified to reflect change orders, schedules, tests, contract amendments, and punch lists.
  - Ensure documents can be searched by any properties.
  - Configure file versioning so that the change history can be tracked
  - Provide on-going SharePoint site maintenance as-needed
- In parallel, Butier will implement Procore Project control system to supplement and enhance the required SharePoint site.

## VI. Quality Control & Quality Assurance

The Butier Team will provide specific QA/QC Plans for the JBLTP and Coastal Treatment Plant Facility Improvements Projects. The QA/QC Plans will reflect a set of objectives defined by Authority staff and assigned CM and field inspection personnel. They will be organized accordingly: Organization and Responsibility; Execution and Schedule; Procedural Requirements; Requirements for Consultants; and Project Quality Management Audits.

Quality Assurance is the confirmation process that all procedures directing the work have been developed and followed and any corrective actions required have been implemented. Procedures or actions to be confirmed include:

- Construction management plan;
- Training of staff in QA/QC requirements;
- Submittal process plan;
- Document control plan;
- Identification of Authority approvals at appropriate milestones;
- Control of testing to determine validity and accuracy of data collected in the field;
- Calibration and testing of equipment;
- Identification of the need for corrective action; and
- Audit to verify compliance with the QA/QC Plan.

Quality Control is the actual checking and validation of the inputs and outputs of the work.

Activities to be verified for the work include the following:

- Review by quality control team;
- Identification and compliance with applicable codes, ordinances, permits, environmental requirements, etc.;
- Review input data and check calculations;
- Review drawings, specifications, technical reports, memos, meeting minutes;
- Perform constructability, operability, maintainability, and usability reviews; and
- Review design for compliance with safety standards.

## VII. Inspection

Butier will provide comprehensive civil/mechanical, structural, coatings and electrical inspection services as needed. The services will be performed by qualified inspectors to confirm that the JBLTP and Coastal Treatment Plant facilities and equipment are fabricated and constructed according to the plans and specifications. All inspectors have appropriate technical certifications in the designated field of expertise in which inspection services are being performed. All certifications have been provided under the key personnel's résumés.

### a. Daily Inspection Reports

The Construction Inspectors will prepare and submit to the Authority daily inspection reports, documenting construction activities including the date, day of week, and weather conditions; hours of work; personnel on site; time periods of equipment being used; idle or inoperable equipment; details of each activity; difficulties encountered; controversial matters/disputes; deficiencies and violations; instructions issued to the construction contractor; safety concerns; description of accidents; major material and equipment deliveries to the site; names of visitors to the site; and delays and extra work. Inspection reports will be submitted to the Authority on a weekly basis.

**b. Digital Photographic Library**

The Construction Inspectors will provide and log construction digital photographs on a daily basis. A digital photographic library will be maintained of significant construction activities. The photographs will be labeled with the date, location, and narrative information. Additional digital photographs will be taken to document differing site conditions, change order and claim items, and any special or unique conditions as they arise. The photographic library will be turned over to the Authority at the completion of the construction contract.

In addition, the Inspectors will be responsible for the following: participating in weekly construction meetings; reviewing Contractor's two week "look ahead" schedules and coordinating inspection staffing needs with the RE; reviewing Contractor's payment request with RE for accuracy; reviewing Contractor's record drawings prior to monthly progress payment; preparing written response giving general indication of missing items to be completed by Contractor; discussing responses to RFIs with the RE as required and coordinating the replies to the Contractor; and assisting the RE in the review of the submittals.

**VIII. Schedule Review**

The RE and Senior Scheduler will review, analyze and comment on the Contractor's initial construction schedule and will evaluate and monitor the schedule and progress for the overall project on a weekly basis. The RE and Senior Scheduler will also update the overall project schedule to reflect actual progress and changes. Slippage of any contract activities on the critical path, as well as time sequence problems, will be identified early so that the construction management team may take corrective action if possible. Any deviations will be incorporated into the Contractor's subsequent monthly update. The Butier CM Team utilizes Primavera Project Planner (P6) schedule and control systems.

The RE will ensure that the Contractor submits a construction schedule for review within 10 calendar days after Notice to Proceed. The RE will also ensure that a two-week look-ahead schedule is developed in coordination with the Contractor and provided bi-weekly at progress meetings. The RE and Senior Scheduler will evaluate and monitor the construction schedule and progress for the overall project and will update the schedule to reflect actual progress and changes. Slippage of any contract activities on the critical path, as well as time sequence problems, will be identified early so that the construction management team may take corrective action if possible. The Contractor should be required to re-evaluate the logic of his original schedule and resubmit revised planning should the original plan be ineffective or not followed. The RE will notify the Authority and Contractor when actual progress is behind.

All Contractor time extensions must be supported by critical path impacts on the approved baseline schedule. All delays, regardless of source, will be documented as to the nature and responsibility and an analysis will be made of its effect on the project's progress, including the effects of all authorized change orders. Following this procedure will assist the Authority in claims evaluation for recommendations of meritorious or non-meritorious Contractor claims.

**IX. Cost Control System**

The RE will establish a cost control system for monitoring and updating the status of the project costs and budget throughout the project. As stated earlier, our CM Team utilizes Primavera Project Planner (P6) to integrate cost and schedule. The cost-loaded CPM schedule will provide the RE with the basis for cash flow projections.

#### **X. Safety Monitoring**

The Resident Engineer and Construction Inspectors will monitor the Contractor's Safety Program required for compliance with Cal/OSHA. The Contractor will submit a copy of its current Health and Safety plan modified to reflect site-specific health and safety conditions related to the project. All issues with respect to traffic, haul routes, work areas, safety clothing, hazardous waste, etc. will be discussed. **All CAL/OSHA safety regulations are to be strictly enforced by the Contractor's Safety Engineer.**

#### **XI. Payment Request Reviews**

The RE will receive, check, and verify all Contractor monthly progress payment requests and other project-related invoices based upon the cost-loaded schedule. The progress payment worksheet will be based on an approved schedule of values. Progress pay requests will be checked against the approved schedule of assigned values and actual in-place quantities verified at the end of the pay period. The pay request format will be established by the project team to expedite checking, processing, and subsequent updating of project budgets and cost projections and forwarded to the Authority for approval and payment to the Contractor.

#### **XII. Change Order Reviews**

##### **a. Log and Track Change Orders**

The Resident Engineer will utilize the document control system to track and document all changes for added costs or credits. The RE will have no authority to issue changes or modifications to the contract documents. The Authority or the Contractor may initiate a change, or request for changes or modifications may arise due to differing site conditions. The RE will track, document, and negotiate all changes for added costs or credits with the construction Contractor and evaluate all schedule impacts of changes in addition to advising the Authority of equitable cost and time adjustments for proposed or authorized changes including credits, if any, that are due. At the Authority's direction, the RE will prepare and issue to the Contractor appropriate change order documents. The RE will provide to the Design Consultant copies of all approved change orders. The RE will also prepare draft formal Change Orders and forward them to the Authority for formal authorization. The RE will work with the Contractor to establish labor, equipment rates, and applicable mark-ups that will be used in future negotiation of change orders. These shall be established in accordance with the Contract Documents.

##### **b. Claims Management**

The Resident Engineer and Field Staff will minimize the potential impact of claims through prompt and equitable resolution with minimal disruption to the on-going construction effort. The primary means of claims management is the prompt processing of change orders. Change orders must be fairly reviewed against the contract documents for validity. When deemed valid, reasonable and equitable adjustments in time and money are to be provided. Effective change order practices will in turn foster a spirit of teamwork and partnering between the Authority and the Contractor and will benefit the entire project. If the Authority and the Contractor disagree over the contractual merit of a change order, a claim may arise. If this occurs, the change request will be flagged in the change order tracking system to designate a changed status for monitoring and reporting.

#### **XIII. Testing Coordination**

The RE will be responsible for coordinating special testing, including soils, concrete and welding. The RE will review testing results and transmit the testing or inspection reports, findings or other related information to the various project stakeholders. Testing services will be provided under a separate contract to SOCWA.

#### **XIV. Operations Coordination**

The Butier Team will perform ongoing coordination with the Authority's Operations staff. All temporary shutdowns will be coordinated by Butier's RE. The RE and Field Inspectors will work with the Contractor and Operations staff to resolve potential conflicts. Training will also be coordinated with Operations staff.

#### **XV. Southern California Edison Coordination — Coastal Treatment Plant Only**

Communication and coordination with SCE will be the key to success for the Coastal Treatment Plant Facility Improvements Project, particularly during the replacement of the Plant's main switchgear. Mr. Christopher Thunhorst from Hazen and Sawyer will act as the Team's SCE Liaison. He developed a successful working relationship with SCE during the design phase of the Coastal Treatment Plant Project, which will provide for streamlined communication. His responsibilities will include the following:

- Reviewing SCE service plan for coordination with Contractor's construction sequencing plan;
- Attending initial coordination meeting with SCE;
- Conducting up to two (2) additional follow up meetings/calls with SCE; and
- General coordination via phone or email.

It is understood that shop drawings for electrical service entrance equipment will be reviewed by Hazen under a separate contract directly with SOCWA. Butier will transmit electrical service entrance shop drawings directly to SCE for review and approval.

#### **XVI. Hazardous Materials Disposal — J. B. Latham Treatment Plant Only**

The Butier Team will provide necessary oversight to monitor the demolition of the Laboratory Building at the JBLTP with associated removal of hazardous materials. The selected contractor will be primarily responsible for the safety and compliance issues related to the removal of Hazardous Waste.

#### **XVII. Record Drawings**

The RE will coordinate with the Contractor on a weekly basis to ensure that an accurate set of record drawings are kept on site and up to date. The CM Team will maintain a set of marked-up record drawings and monitor the "as-built" drawings prepared by the Contractor for technical accuracy and acceptance standards. The record drawings will be submitted to the Design Engineer at 25, 50, 75, and 100 percent completion. Electronic files on flash drive or DVD will also be submitted upon completion of the project. The CM Team will make proper record drawings a condition of progress payment review. The Resident Engineer will coordinate the progress payment with the Authority.

#### **XVIII. Project Close-Out**

##### **a. Detailed Project Punch Lists**

The Butier Team will prepare detailed project punch lists at substantial completion of the project and will oversee and coordinate construction testing and start-up for final recommendation for final acceptance. The RE will coordinate the correction of deficiencies and schedule, coordinate

and conduct a final walk-through prior to acceptance of work with the Design Engineer, Authority's Operation and Maintenance team, and other staff as directed by the Authority's Project Manager. Upon correction of deficiencies by the Contractor, the Resident Engineer will provide certification of Contractor compliance on work items specifically requested by the Authority.

**b. Final Payment Requests**

The RE will prepare recommendations and documents for Authority approval of Certificates of Substantial Completion and Notices of Completion, and verify that work, testing, cleanup, and demobilization are complete. Following filing of Notice of Completion, the RE will check and submit the Contractor's final payment requests.

**c. Verify Contractor's Project Record Drawings**

The RE and Construction Inspector will review the Contractor's project record drawings for accuracy and completeness.

**d. Operation and Maintenance Manuals**

The RE will coordinate the assembly of warranties, guarantees, and operations and maintenance manuals required per contract documents and establish final acceptance date after the final punch list is complete. The entire project library will be turned over to the Authority at this point for their files and project library.

Once the Authority accepts any part of the plant for purposes of beneficial occupancy, it will be formalized by documentation that describes the construction and date accepted and informs the Authority that the warranty period has started as of that date.

**e. O&M Manuals and Warranty Expiration**

The Resident Engineer will coordinate the assimilation of operation and maintenance manuals as provided by the Design Engineer and the Contractor and will verify that their number and content are complete and accurate. The RE will assemble three (3) copies of the material into presentation binders and one (1) electronic copy on a flash drive or DVDs in a format acceptable to the Authority. Each O&M manual will include catalog cuts on equipment, factory test reports, list of spare parts, maintenance schedules, list of suppliers and phone numbers, electrical wiring diagrams and programming ladder logic printouts. A list of special equipment requirements and precautions will also be included.

The RE will prepare a warranty expiration worksheet for the project. The spreadsheet will contain major equipment items and be broken down into specific process areas and include a Product Name, Manufacturer, Serial Number, Warranty Period and Warranty Expiration Date for each piece of equipment. The spreadsheet will be provided in an electronic format.

**f. Operator Training**

The Resident Engineer will coordinate any operator training for use of any specialty equipment.

**g. Final Executive Summary Report**

The Resident Engineer will prepare and submit a final comprehensive executive summary report to the Authority no later than 60 calendar days following the filing of the Notice of Completion. The report will include a complete overview of the contract, Contractor's performance, accomplishments, a comparison of preliminary and final costs, cash flows, schedules, and recommendations for alleviating design, construction management, and construction problems on the project.

**h. Turn Over All Documents and Files**



The Butier Team will furnish all original project documents and final project reports to the Authority within 60 calendar days following filing of the Notice of Completion. Project documents will be delivered in form and fashion acceptable to the Authority. The electronic files will be provided on flash drive or DVDs and will be labeled with the project name.

# Agenda Item

**Legal Counsel Review:** N/A

**Meeting Date:** June 6, 2019

**TO:** Board of Directors  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** Mary Carey, Finance Controller  
**SUBJECT:** Investment Policy for Public Funds Annual Review

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## Summary


At its December 7, 2017, Board of Directors meeting, the Board approved Resolution No. 2017-09 and repealed Resolution 2007-05 bringing the Investment Policy for Public Funds current.

As directed by the Board, the General Manager and Finance Controller are to review the policy annually and recommend any revisions necessary. Staff has completed the review and evaluation of the Investment Policy for Public Funds for FY18-19 and have found no changes to be made at this time.

## Recommendation


Finance Committee recommends the Board of Directors receive and file subject report indicating there is no change to the SOCWA Investment Policy based on the annual review.

# **Investment Policy For Public Funds**

	<b>POLICY NUMBER 2017-XX</b>
<b>Agency Policy</b>	<b>Title: Investment Policy for Public Funds</b>
Revised: December 7, 2017	

## **TABLE OF CONTENTS**

- 1. Purpose of Policy**
- 2. Objective**
- 3. General Policy**
- 4. Delegation of Authority**
- 5. Ethics and Conflicts of Interests**
- 6. Authorized Financial Institutions**
- 7. Safekeeping and Custody**
- 8. Reporting Guidelines**
- 9. Policy Revisions**
- 10. Policy Approval and Adoption**

	<b>POLICY NUMBER 2017-XX</b>
<b>Agency Policy</b>	<b>Title: Investment Policy for Public Funds</b>
Revised: December 7, 2017	

**1. PURPOSE OF POLICY**

This statement is intended to provide guidelines to the Agency General Manager for the prudent investment of the South Orange County Wastewater Authority’s (“SOCWA”) available funds, and to outline policies for the safe and prudent management of SOCWA funds without sacrificing safety or liquidity. The Finance Committee will review this Policy annually, and if advisable, will recommend changes for approval of the Board of Directors.

**2. OBJECTIVE**

SOCWA’s cash management system is designed to accurately monitor and forecast expenditures and revenues. All funds will be invested with the intent of maximizing safety and liquidity.

**3. GENERAL POLICY**

SOCWA invests member agency funds deposited with SOCWA in accordance with the prudent investor standard, Government Code Section 53600.3, which states:


“When investing, reinvesting, purchasing, acquiring, exchanging, selling or managing public funds, a trustee shall act with care, skill, prudence and diligence under the circumstances then prevailing, including but not limited to the general economic conditions and the anticipated needs of the agency, that a prudent person acting in a like capacity and familiarity with those matters would use in the conduct of funds of a like character and with like aims, to safeguard the principal and maintain the liquidity needs of the agency. Within the limitations of this section and considering individual investments as part of an overall strategy, investments may be acquired as authorized by law.”

As long as the investment complies with the aforesaid standard and is allowable under current statutes of the State of California (Government Code Section 53600 et seq.), SOCWA has a range of investment opportunities.

Investments may be made in the following:

(See Attachment A-1)


The list of permitted investments under Attachment A-1 does not include all of those which are permitted under the California Government Code; rather this list includes the securities which are most appropriate to SOCWA. Specific limitations on these investments are specified.

	<b>POLICY NUMBER 2017-XX</b>
<b>Agency Policy</b>	<b>Title: Investment Policy for Public Funds</b>
Revised: December 7, 2017	

Criteria for selecting investments and order of priority are:

- a) **Safety.** The Safety and risk associated with an investment refer to the potential loss of principal, interest, or a combination of these amounts. SOCWA only operates in those investments that are considered very safe.
- b) **Liquidity.** This refers to the ability to “cash in” at any moment in time with a minimal chance of losing some portion of principal or interest. Liquidity is an important investment quality especially when the need for unexpected funds occurs.
- c) **Yield.** Yield is potential dollar earnings an investment can provide, and sometimes is described as the rate of return.
- d) **Safekeeping.** Securities purchased from brokers/dealers shall be held in third party safekeeping by that trust department of the local agency’s bank or other designated third party trust, in local agencies name and control whenever possible.
- e) **Investment objective.** The cash management system of SOCWA is designed to accurately monitor and forecast expenditures and revenues, thus insuring the investment of monies to the fullest extent possible. SOCWA attempts to obtain the highest interest yields possible as long as investments meet the criteria required for safety and liquidity.
- f) **Maximum Secured Investment.** SOCWA may invest in Certificates of Deposit up to a maximum amount of \$250,000 per institution. SOCWA will rely on the FDIC \$250,000 insured limit to obtain security on the invested funds and will request that interest earned be paid monthly, in order to reduce the risk of loss interest.
- g) Should premature cancellation of an investment vehicle (under Attachment A-2) become necessary, the General Manager shall consult with either the Finance Committee, the Finance Committee Chairman, or the Board Chairman as time allows and determine the appropriate action to ensure the safety of SOCWA deposits. The SOCWA Finance Committee will be notified as soon as possible of the steps taken.

All member agency funds, to be invested, will be held in the California State local Agency Investment Fund (LAIF) unless the General Manager is instructed by the Finance Committee to invest in the investment vehicles listed in Attachment A-2. Staff would then present proposals to the Finance Committee, outlining the specifics of any investments to be made that meet the requirements of this policy. Upon approval, from the Finance Committee, investments will be made as soon as funds can be transferred. Any changes to investments approved by the Finance Committee will be reported to the Board of Directors at the next meeting of the Board of Directors.

	<b>POLICY NUMBER 2017-XX</b>
<b>Agency Policy</b>	<b>Title: Investment Policy for Public Funds</b>
Revised: December 7, 2017	

4. DELEGATION OF AUTHORITY

Authority to manage SOCWA’s investment program is derived from the approval of Resolution No. 2017-08 Adopting Investment Policy for+ Public Funds. Management responsibility for the program is hereby delegated to the General Manager of SOCWA who, pursuant to the approved terms under this Policy, has established investment program procedures and span of control requirements for staff. No person may engage in an investment transaction except as provided under the terms of this policy.

Broker/Dealers will be avoided whenever possible, unless specifically authorized by the Finance Committee.

5. ETHICS AND CONFLICTS OF INTERESTS

Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions. Employees shall disclose to the General Manager any material financial interests in financial institutions that conduct business within the SOCWA jurisdiction, and they shall further disclose any personal financial/investment positions or interests related to the performance of the SOCWA’s portfolio. Employees and officers shall subordinate their personal investment transactions to those of SOCWA, particularly with regard to the time of purchases and sales. These requirements are in addition to other conflict of interest rules that may otherwise apply.

6. AUTHORIZED FINANCIAL INSTITUTIONS


No public deposits shall be made except in a qualified public depository as established by state law. No Certificate Deposit shall be placed with any institution unless such deposit is FDIC insured.

7. SAFEKEEPING AND CUSTODY

All security transactions entered into by the SOCWA shall be conducted on a delivery-versus payment (DVP) basis. A third-party custodian designated by the General Manager and evidenced by safekeeping receipt will hold securities.

8. REPORTING GUIDELINES

In accordance with Government Code 53646, the General Manager shall submit to the Board of Directors a monthly investment report. The report shall include a complete description of the portfolio including: the type of investments, the issuers, maturity dates, par values and the current market values of each component of the portfolio. The report will also include the source of the portfolio valuation (with the exception of LAIF). As specified in Government Code 53646(e), if all funds are placed in the State LAIF or FDIC-insured accounts, copies of the latest statements from such institutions may be provided in lieu of the foregoing report

	<b>POLICY NUMBER 2017-XX</b>
<b>Agency Policy</b>	<b>Title: Investment Policy for Public Funds</b>
Revised: December 7, 2017	

elements. The report must also include a certification that (1) all investment actions executed since the last report have been made in full compliance with this Policy, and (2) SOCWA will meet its expenditure obligations for the next six months, or provide an explanation as to why money monies shall or may not be available. The General Manager shall maintain a complete and timely record of all investment transactions.

**9. POLICY REVISIONS**

This Policy will be reviewed annually by the General Manager and the Finance Controller in consultation with the Agency’s legal counsel and the Finance Committee. Updates to the Attachments, A-1 and A-2 will occur whenever applicable federal, state or local regulations change or otherwise as the need arises. This Policy may only be revised by the Board of Directors.

**10. POLICY APPROVAL AND ADOPTION**

This Policy has been reviewed by the SOCWA Board of Director’s and adopted by Resolution 2017-08 on December 7, 2017.



**EXHIBIT A-1**

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
INVESTMENT POLICY – November 2, 2017**

Type of Investment	Major Provisions	Additional Restrictions imposed by SOCWA
Local Agency investment Fund (LAIF)	Permits a local agency to deposit funds with the State Treasurer for the purpose of investment in securities prescribed in Government Code Section 16430. (Government code Section 16429.1 et seq.)	None. Note: Current maximum deposit set by LAIF is \$40 million dollars.
Passbook Savings Account Demand Deposits	Savings in federally insured Banks and Thrifts insured by the FDIC. All funds exceeding \$250,000.00 at any time must be collateralized according to state statutes.	None.

**Exhibit A-2**  
**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY**  
**INVESTMENT POLICY – November 2, 2017**

Type of Investment	Major Provisions	Additional Restrictions imposed by SOCWA
Negotiable Certificate of Deposits	Permits a local agency to deposit funds in certificates of deposit in accordance with the requirements of Government Code 53601(i)	In compliance with Statute.
U.S. Treasury Notes	Permits a local agency to deposit funds in U.S. Treasury Notes in accordance with Government Code Section 53601(b)	In compliance with Statute.
Other Joint Powers Agency Investments	Permits a local agency to deposit funds with Other California Joint Powers Agency Investment programs in accordance with Government Code Section 53601(p)	In compliance with Statute.

# Agenda Item

**Legal Counsel Review:** N/A

**Meeting Date:** June 6, 2019

**TO:** Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Mary Carey, Finance Controller

**SUBJECT:** Large Capital Cash Roll Forward as of March 31, 2019 (Q3)  
Refunds: Large Capital, PC-15 Use Audit and Additional Cash  
as of June 30, 2018

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## Summary

Per direction from the Board of Directors and the State Auditors, the Authority is required to report large capital cash balances by project committee, capital project and member agency quarterly to the member agencies.

In response to the requirement, attached are:

1. Cash Roll Forward Reconciliation to Recorded Cash as of Q3, March 31, 2019
  - Cash Roll Forward Narrative/Notes explaining reconciling items
2. Large Capital Cash by PC, Capital Project, and Member Agency
3. Non-Capital Cash by PC and Member Agency (Engineering Expense Item)
4. Small Capital Cash by PC, Capital Project, and Member Agency

With respect to the large capital cash refund of closed projects as of March 31, 2019, the Board should note that the Q3 Quarterly Cash Roll Forward will be used to support the return of cash on closed large capital projects. Also attached is a spreadsheet by Project Committee and Member Agency of Inactive Projects Cash to be returned.

The Finance Committee reviewed the Cash Roll Forward and the Cash to be Returned at the May 21, 2019, Finance Committee Meeting. These items were also discussed at the May 23, 2019 Board Budget Workshop with a recommendation to review at the June 6, Board of Directors Meeting for approval to issue refunds. Information requested at the two prior Board/Finance Committee meetings has been included in the attached PowerPoint slides.

## Recommendation

- a. Additional Committee comments and recommendations to the Board
- b. Board of Directors to receive and file the Q3, March 31, 2019, Report
- c. Board to approve issuing refunds for Large Capital, PC-15 Use Audit and Additional Cash as of June 30, 2018

# Cash Roll Forward As of March 31, 2019 (Q3)

June 6, 2019  
Board Meeting

**South Orange County Wastewater Authority**  
**Cash Roll Forward Reconciliation**  
**Fiscal Year End 2016, 2017, 2018 and as of March 31, 2019 (Q3)**

Note		6/30/2016	6/30/2017	6/30/2018	3/31/2019
(1)	<b>Cash on Hand</b>	5,777,486	12,949,694	13,557,237	17,624,105
	Accounts Payable	(2,453,079)	(2,682,688)	(2,314,106)	(1,230,888)
	Accrued Payroll	(129,958)	(102,661)	(127,396)	(9,127)
	Accounts Receivable	316,772	1,069,282	1,660,444	2,072,571
(2)	PTO Reserves	(684,767)	(653,282)	(620,032)	(713,888)
	Due to Mbr Agency	(1,692,399)	(1,358,841)	(3,910,599)	(944,512)
	Due From Mbr Agency	1,316,255	1,069,819	2,433,322	
	Audit Adjustment	311,131			
	Prepaid (Insurance Premiums)	65,614	65,082	204,867	220,987
	Deposits	18,000	19,500		
(3)	<b>Available Cash</b>	<b>2,845,055</b>	<b>10,375,905</b>	<b>10,883,737</b>	<b>17,019,248</b>
(4)	Large Capital Cash (Per Cash Roll Forward)	2,223,007	9,168,439	8,793,369	12,742,097
(5)	Non Capital Engineering Cash Balance		295,062	(81,041)	(156,328)
(6)	Moulton Niguel Non Capital Engineering Accounts Receivable		(21,831)	(22,416)	22,416
(7)	Moulton Niguel Large Capital Accounts Receivable		649,490	1,382,366	1,628,464
(8)	Add Use Audit Settlement			216,467	
(9)	Add Use Audit Settlement	211,626	(49,931)	(49,931)	
(10)	<b>Total Large Capital Cash</b>	<b>2,434,633</b>	<b>10,041,229</b>	<b>10,238,817</b>	<b>14,236,648</b>
(11)	Small Capital Carryover	129,000	(129,000)		
(12)	Cash Collected for PC 2 Zephyr Wall		76,318		
(13)	Other misc. fringe adj. interest adj. etc.		22,331	(4,916)	
(14)	Moulton Niguel Small Capital Unpaid Invoices				379,470
(15)	Small Capital Cash Collected in Excess of Expenditures				652,332
(16)	O&M Cash Collected in Excess of Expenditures				883,300
(17)	<b>Total Cash From Member Agencies</b>	<b>2,563,633</b>	<b>10,010,878</b>	<b>10,233,900</b>	<b>16,151,758</b>
(18)	<b>Difference</b>	<b>281,422</b>	<b>365,027</b>	<b>649,837</b>	<b>867,492</b>
<b>Additional Cash From Other Sources:</b>					
(a)	<b>Prior Year Balance</b>		281,422	365,027	649,837
(b)	County of Orange Bankruptcy Payment	18,714			
(c)	County of Orange Admin Fees	13,626			
(d)	County of Orange Access Maintenance	3,000			
(e)	City of Laguna Niguel Heat Transfer	31,320			
(f)	SMWD Lab Fees	17,820			
(g)	Coke machine	30			
(h)	FEMA Reimbursement			136,995	
(i)	Interest Income Received	24,587	45,294	114,150	153,169
(j)	Recycling Income	16,710	11,708	2,112	843
(k)	PC 23 Admin Payment		9,135		
(l)	Mutual Omaha Refund		8,034		
(m)	Interest received		4,934	25,256	52,418
(n)	LAIF Interest Adj.		3,000		
(o)	Grant Revenue		1,500		
(p)	Other misc. expenses (fringe adj., interest adj., etc.)				
(q)	Sale of Fixed Assets	20,289		6,297	11,226
(r)	Other misc adjustments	135,326			
	<b>Total Other Cash</b>	<b>281,422</b>	<b>365,027</b>	<b>649,837</b>	<b>867,492</b>

### **Cash Roll Forward Narrative - Q3**

1. Cash on Hand from Bank Statements and reconciled to the General Ledger.
2. Adjustment for Current Assets and Liabilities, Obligations against the Cash, Open accounts payable, Use Audit Due to Member Agencies (PC15 only); and Paid Time Off Reserves. The offset to these items is recorded as an Expense or in Construction-in-Progress if Capital related.

Amounts due to the Authority, Accounts Receivable (largely PC 15 past due capital billings to Moulton Niguel) and Prepaids.

3. Available Cash (Item 1 above less Item 2). The Authority does not carry Cash Reserves, residual cash from O&M and Small Capital is returned to the Member Agencies via the Use Audit, therefore, Cash on Hand should be Large Capital Cash.
4. Large Capital Cash is supported by a subsidiary report detailing by project committee, wastewater code and capital project:
  - a) Beginning Cash Balance from audited financial statements and Cash Roll Forward as of 6/30/2018
  - b) Contributions based on the quarterly capital billings
  - c) Actual expenditures taken from the general ledger
  - d) Use Audit Settlement
  - e) Grant Revenue
  - f) Net Cash balance
5. Non-Capital Engineering Cash Balance is based on the quarterly invoices less actual expenditures. This process began in FY 2016-17.
6. Past Due PC 15 Large Capital Receivables included in the Accounts Receivable adjustment above, therefore, added back.
10. Total Large Capital Cash
14. Moulton Niguel Small Capital Unpaid Invoices as of March 31, 2019
15. Total Small Capital Cash Collected in Excess of Expenditures (broken down by Project and Member Agency on the following pages attached)
16. O&M Cash Collected in Excess of Expenditures
18. Difference is an additional cash from other sources than Member Agencies (broken down by line item in the schedule below).

**South Orange County Wastewater Authority**  
**Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>PC 02 J B Latham</b>										
<b>Liquids</b>										
3201-000 - Aeration/Cogeneration Design/Construction (2009)	-	-	-	-	-	-	-	-	-	-
3202-000 - Preliminary and Primary Treatment Improvements Design (2016)	-	-	80,390	-	-	-	60,333	45,255	75,418	261,396
3203-000 - Effluent Standby Generator ATS Repl (2016)	-	-	48,510	-	-	-	36,381	27,286	45,478	157,655
3204-000 - Facility Improvements - Structural Repairs (2015)	-	-	(27,434)	-	-	-	(20,577)	(15,432)	(25,721)	(89,164)
3211-000 Scum Sump Relining/Reconstruction (2015)	-	-	731	-	-	-	549	411	686	2,377
3212-000 - East Primary Influent Channel Repair	-	-	6,860	-	-	-	5,148	3,864	6,435	22,307
3213-000 - Water System Piping Improvements (2014)	-	-	7,046	-	-	-	5,284	3,962	6,605	22,897
3214-000 - 4 MGD Diversion Flow Meter & Control Structure (2012)	-	-	16,079	-	-	-	12,063	9,049	15,078	52,269
3250-000 - Plant 1 Grit Basins and Handling (2017)	-	-	33,247	-	-	-	24,961	18,726	31,202	108,135
3251-000 - Effluent Flow Meter Replacement (2017)	-	-	16,358	-	-	-	11,119	8,341	13,900	49,718
3252-000 - Plant 1 Standby Power Generator Repl (2017)	-	-	57,666	-	-	-	43,271	32,455	54,090	187,482
3253-000 - Effluent System Valves Replacement (2107)	-	-	27,244	-	-	-	21,598	16,200	26,997	92,039
3254-000 - Additional Package B Liquids Design (2017)	-	-	46,669	-	-	-	35,016	26,262	43,771	151,718
3280-000 - Facility Improvements B - Basin Upgrades (2018)	-	-	21,719	-	-	-	16,356	12,338	20,469	70,883
3285-000 - Main Plant Drain Line Reconstruction (2018)	-	-	33,660	-	-	-	25,256	18,943	31,570	109,428
3215-000 - Motor Control Center M Replacement Design (2019)	-	-	10,000	-	-	-	7,500	5,625	9,375	32,500
3220-000 - Facility Improvements B - Basin Upgrades Construction I (2019)	-	-	-	-	-	-	-	-	-	-
<b>Total PC 02 Liquids</b>	-	-	<b>378,745</b>	-	-	-	<b>284,259</b>	<b>213,284</b>	<b>355,352</b>	<b>1,231,640</b>
<b>Common</b>										
3205-000 - West Side Power System Upgrade (2013)	-	-	16,099	-	-	-	11,825	12,042	12,867	52,833
3206-000 - Diesel Storage Tank (2016)	-	-	-	-	-	-	-	-	-	-
3207-000 - Foul Air System Evaluation (2016)	-	-	14,553	-	-	-	10,706	10,942	11,698	47,899
3216-000 - Hoist System for Maintenance Shop (2013)	-	-	7,414	-	-	-	5,455	5,567	5,960	24,397
3217-000 - Lighting System Improvements (2014)	-	-	6,623	-	-	-	4,872	4,979	5,324	21,798
3218-000 - Energy Building Roof reconstruction (2014)	-	-	6,655	-	-	-	4,896	4,999	5,346	21,897
3260-000 - SCADA System Upgrade (2017)	-	-	25,451	-	-	-	18,754	19,157	20,467	83,829
1113- Facility Safety Review (2015)	-	-	6,077	-	-	-	4,470	4,569	4,885	20,000
1114- Monitoring and Control Facility Plan (2015)	-	-	13,673	-	-	-	10,057	10,279	10,990	45,000
3286-000 - PLC Upgrades (2018)	-	-	15,572	-	-	-	11,467	11,715	12,520	51,274
3221-000 - Electrical System Evaluation (2019)	-	-	9,829	-	-	-	7,230	7,389	7,900	32,348
<b>Total PC 02 Common</b>	-	-	<b>121,947</b>	-	-	-	<b>89,731</b>	<b>91,638</b>	<b>97,958</b>	<b>401,273</b>

**South Orange County Wastewater Authority**  
**Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>Solids</b>										
3209-000 - Facility Improvements - Co-Generation Rep. (2016)	-	-	217,756	-	-	-	156,923	206,003	145,172	725,853
3210-000 - Facility Improvements - Solids Area (2015)	-	-	185,725	-	-	-	133,844	175,698	123,817	619,084
3272-000 - Dewatering System Controls Upgrade (2017)	-	-	(19,429)	-	-	-	(34,275)	(18,377)	(12,952)	(85,033)
3287-000 - Facility Improvements B - DAFT and Ancillary Solids Improvements	-	-	14,651	-	-	-	10,549	13,870	9,768	48,838
3222-000 - Centrate System Design (2019)	-	-	12,750	-	-	-	9,189	12,061	8,500	42,500
3223-000 - Emulsion Polymer Feeder Replacement (2019)	-	-	43,408	-	-	-	31,285	41,062	28,939	144,694
3224-000 - Digester No.4 Rehabilitation (2019)	-	-	98,196	-	-	-	70,772	92,888	65,464	327,320
3225-000 - Facility Improvements B - DAFT and Ancillary Solids Improvement	-	-	(1,355)	-	-	-	(976)	(1,282)	(903)	(4,516)
<b>Total PC 02 Solids</b>	-	-	<b>551,702</b>	-	-	-	<b>377,310</b>	<b>521,924</b>	<b>367,804</b>	<b>1,818,741</b>
<b>Total PC 02 JB Latham</b>	-	-	<b>1,052,394</b>	-	-	-	<b>751,301</b>	<b>826,846</b>	<b>821,114</b>	<b>3,451,654</b>
<b>PC 3A Plant</b>										
3301-000 Surface Drainage Improvements (2014)	-	-	-	-	-	-	(15,027)	(5,879)	-	(20,906)
3302-000 Primary Sedimentation Upgrade (2011)	-	-	-	-	-	-	(37,738)	(14,763)	-	(52,501)
3303-000 Channel & Basin Lining Repair (2013)	-	-	-	-	-	-	72,886	28,514	-	101,400
3304-000 Aeration System Upgrade (2015)	-	-	-	-	-	-	(515,623)	(201,716)	-	(717,339)
3305-000 Electrical/Structural Repairs (2003)	-	-	-	-	-	-	548,516	214,584	-	763,100
3306-000 Settlement Repair - West Side (2013)	-	-	-	-	-	-	8,804	3,444	-	12,248
<b>Total PC 3A Plant</b>	-	-	-	-	-	-	<b>61,819</b>	<b>24,184</b>	-	<b>86,003</b>



**South Orange County Wastewater Authority  
Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>PC 05 San Juan Creek Ocean Outfall</b>										
3601-000 Junction Structure Reinforcement Phase II (2016)	(3,137)	32,779	23,247	-	-	(2,927)	32,541	84,624	23,810	190,938
3602-000 Emergency Plan Development (2016)	(510)	3,815	2,770	-	-	(476)	3,878	9,720	2,735	21,932
3603-000 Dilution Study (2016)	-	12,465	8,310	-	-	-	11,633	33,240	9,353	75,000
3604-000 - Metering Vault - Piping Upgrades (2016)	-	757	507	-	-	-	706	2,503	568	5,041
3650-000 - Junction Structure Reinforcement Construction (2017)	-	4,294	2,863	-	-	-	4,007	10,962	3,220	25,346
3605-000 - Junction Structure Reinforcement Permitting and Final Design	-	16,327	10,885	-	-	-	15,237	43,539	12,250	98,237
<b>Total PC5 San Juan Creek Ocean Outfall</b>	<b>(3,647)</b>	<b>70,437</b>	<b>48,582</b>	<b>-</b>	<b>-</b>	<b>(3,403)</b>	<b>68,000</b>	<b>184,588</b>	<b>51,936</b>	<b>416,494</b>
<b>PC 15 Coastal Treatment Plant</b>										
<b>Liquids</b>										
3501-000 - Fire Protection (2013)	2,322	-	-	-	181	-	1,009	-	1,828	5,341
3502-000 RAS Hypochlorite System (2013)	46,406	-	-	-	3,657	-	5,133	-	36,540	91,737
3503-000 - Scrubber Upgrade (2013)	171,452	-	-	-	13,518	-	23,400	-	135,001	343,371
3504-000 - Aeration System Modification Design (2015)	44,429	-	-	-	3,504	-	(2,012)	-	34,982	80,903
3505-000 Headworks Overflow Pipe Modification (2015)	32,956	-	-	-	2,598	-	2,070	-	25,950	63,574
3506-000 Structural Mods-Grating Sys & Curb Area E of Maint Shop (2015)	9,988	-	-	-	785	-	6,286	-	7,864	24,923
3507-000 - East Primary Influent Gates (2015)	18,745	-	-	-	1,478	-	(16,621)	-	14,760	18,363
3508-000 - Grit System Knife Gate Valve Replacement (2015)	7,526	-	-	-	600	-	(19,573)	-	5,926	(5,521)
3509-000 - Switchgear Replacement Design (2016)	55,901	-	-	-	4,406	-	507	-	44,016	104,829
3510-000 - East Primary/Aeration Grating Rebate and Concrete Repair (2016)	26,208	-	-	-	2,073	-	(41,949)	-	20,635	6,967
3511-000 Influent/Overflow Condition Assessment (2016)	(109)	-	-	-	(9)	-	(84)	-	(86)	(289)
3512-000 - Basins Between HW Bldg and Primary Basin Grating Rebate and	29,545	-	-	-	2,334	-	(35,467)	-	23,263	19,676
3513-000 Grit System Condition Assessment (2016)	(5,204)	-	-	-	(410)	-	(4,016)	-	(4,098)	(13,727)
3514-000 - CTP Facility Upgrade Design and Financing (2016)	154,234	-	-	-	12,168	-	(30,944)	-	121,441	256,899
3515-000 - Existing Export Sludge Wetwell Refurbishment (2015)	79,704	-	-	-	6,280	-	17,309	-	62,757	166,051
3530-000 Aliso Sulfur Creek Confluence (2014)	(6,991)	-	-	-	(550)	-	(5,395)	-	(5,505)	(18,441)
3531-000 Lighting System Improvements (2014)	(26,343)	-	-	-	(2,074)	-	(20,328)	-	(20,743)	(69,489)
3532-000 - Fire Protection (2013)	828	-	-	-	66	-	-	-	652	1,546
3533-000 - Export Sludge Line Repair & Rip Rap (R-2) (2012)	18,448	-	-	-	1,454	-	6,922	-	14,525	41,350
3534-000 - Export Sludge System (1997)	291,823	-	-	-	22,984	-	48,304	-	229,781	592,892
3535-000 Structural Modifications (2014)	744	-	-	-	58	-	574	-	587	1,963
3540-000 East Primary Sedimentation Scum Skimmers (2013)	(9,433)	-	-	-	(743)	-	(7,279)	-	(7,428)	(24,882)
3550-000 - Export Sludge Pump Addition (2017)	(28,106)	-	-	-	(2,204)	-	(80,886)	-	(22,133)	(133,328)
3551-000 - Add for CTP Facility Upgrade Design (2017)	55,357	-	-	-	4,365	-	(190)	-	43,588	103,120
3552-000 SCADA System Improvements (2017)	46,760	-	-	-	3,689	-	(8,509)	-	36,819	78,758
3553-000 - Plant Drainage Improvements (2017)	69,580	-	-	-	5,485	-	(8,523)	-	54,787	121,329
3554-000 - Odor Scrubber Bleach Tank Replacement (2017)	11,971	-	-	-	943	-	(13,070)	-	9,423	9,267
3592-000 - Facility Improvements Project Design (2018)	96,298	-	-	-	7,655	-	(352,399)	-	75,818	(172,628)
3593-000 - Primary Sludge Valve Replacement (2018)	33,027	-	-	-	2,604	-	-	-	26,004	61,635
3594-000 - PLC Replacement (2018)	31,464	-	-	-	2,480	-	-	-	24,776	58,720
3595-000 - Primary Device Electrical Conduit and Conductor Replacement	38,288	-	-	-	3,020	-	-	-	30,148	71,456
79-CWest Primary Sedimentation Upgrade (2010)	19,013	-	-	-	1,497	-	14,672	-	14,971	50,153
88-CMCC-1 Replacement (2004)	948	-	-	-	75	-	731	-	746	2,500
1317-Facility Safety Review (2015)	7,582	-	-	-	597	-	5,851	-	5,970	20,000
1318-Monitoring and Control Facility Plan (2015)	15,164	-	-	-	1,194	-	11,701	-	11,940	40,000
1355-Channel Rebate Replacement (2013)	(41,701)	-	-	-	(3,284)	-	(32,179)	-	(32,836)	(110,000)
3525-000 - Personnel Building reconstruction (2019)	9,478	-	-	-	746	-	-	-	7,463	17,687
3526-000 - Facility Improvements Project Construction - Part I (2019)	-	-	-	-	-	-	-	-	-	-
3527-000 - Vehicle Storage Building Roof (2019)	32,224	-	-	-	2,537	-	-	-	25,373	60,134
3528-000 - AWMA Road Sites West 1 and West 2 Embankment Protection	52,369	-	-	-	4,124	-	(179)	-	41,235	97,548
3529-000 - Aliso Creek Long Term Repair Planning	23,587	-	-	-	1,857	-	(448)	-	18,572	43,568
<b>Total PC 15 Liquids</b>	<b>1,416,481</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>111,739</b>	<b>-</b>	<b>(535,581)</b>	<b>-</b>	<b>1,115,315</b>	<b>2,107,954</b>

**South Orange County Wastewater Authority  
Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>AWT PC-15</b>										
3516-000 - Disinfection System Upgrade AWT (2011)	-	-	-	-	-	-	-	-	(154,316)	(154,316)
3517-000 - AWT Backwash Pump Replacement (2016)	-	-	-	-	-	-	-	-	(97,541)	(97,541)
3518-000 - Chlorine Mixer Replacement (15AWT) (2015)	-	-	-	-	-	-	-	-	21,636	21,636
3519-000 - Hypochlorite Tank (AWT) (2013)	-	-	-	-	-	-	-	-	72,656	72,656
3532-000 - Fire Protection	-	-	-	-	-	-	-	-	(31,230)	(31,230)
3562-000 - Applied Water Pump System Replacement (AWT) (2017)	-	-	-	-	-	-	-	-	140,870	140,870
3596-000 - Applied Water VFD Pump Panel and Electrical (AWT) (2018)	-	-	-	-	-	-	-	-	113,720	113,720
3597-000 - MCC A Replacement Design (15) (2018)	-	-	-	-	-	-	-	-	56,218	56,218
3536-000 - Chlorine Contact Basin Mixer Design (AWT) (2018)	-	-	-	-	-	-	-	-	74,489	74,489
3537-000 - MCC A Replacement Construction (AWT) (2019)	-	-	-	-	-	-	-	-	(24,945)	(24,945)
3538-000 - AWT Filter Valve Upgrade Construction (AWT) (2019)	-	-	-	-	-	-	-	-	(92,940)	(92,940)
<b>Total PC 15 AWT</b>	-	-	-	-	-	-	-	-	<b>78,617</b>	<b>78,617</b>
<b>Total PC 15 Coastal Treatment Plant</b>	<b>1,416,481</b>	-	-	-	<b>111,739</b>	-	<b>(535,581)</b>	-	<b>1,193,932</b>	<b>2,186,571</b>

**South Orange County Wastewater Authority**  
**Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>PC 17 Joint Regional Wastewater Reclamation</b>										
<b>Liquids</b>										
3701-000 - Secondary Electrical System Rerouting (2014)	-	-	-	-	-	-	305,479	-	-	305,479
3702-000 - Waste Activated Sludge VFD Control Panel (2013)	-	-	-	-	-	-	236,909	-	-	236,909
3703-000 - Influent Line Manhole Reconstruction (2013)	-	-	-	-	-	-	(271,318)	-	-	(271,318)
3704-000 - Odor Control Scrubber Control Panel No. 1 (2013)	-	-	-	-	-	-	20,089	-	-	20,089
3705-000 - Disinfection System Upgrade - Construction (2006)	-	-	-	-	-	-	175,721	-	-	175,721
3706-000 - Secondary Clarifier Retrofit (2) (2013)	-	-	-	-	-	-	334,465	-	-	334,465
3707-000 - Influent Manholes 1 and 2 and Sewer Rehabilitation (2016)	-	-	-	-	-	-	-	-	-	-
3708-000 - Influent Junction Structure Gate Replacement (2016)	-	-	-	-	-	-	-	-	-	-
3709-000 - Influent Junction Structure & Pipe Condition Assessment (2016)	-	-	-	-	-	-	(4,569)	-	-	(4,569)
3710-000 - AWT No. Water Quality Instrumentation Replacement (2016)	-	-	-	-	-	-	-	-	-	-
3711-000 - Primary Influent Channel Condition Assessment (2016)	-	-	-	-	-	-	(11,163)	-	-	(11,163)
3712-000 - Grit Basin Drop Gate and Weir Replacement (2016)	-	-	-	-	-	-	-	-	-	-
3713-000 - Primary Inlet Drop Gate Replacement (2016)	-	-	-	-	-	-	-	-	-	-
3728-000 Secondary Clarifier Retrofit 2	-	-	-	-	-	-	(69,047)	-	-	(69,047)
3729-000 Secondary Clarifier Retrofit	-	-	-	-	-	-	122,539	-	-	122,539
3730-000 - Primary Gallery Upgrade (2014)	-	-	-	-	-	-	112,914	-	-	112,914
3731-000 Primary Clarifier Aluminum Beam Replacement (2013)	-	-	-	-	-	-	174,502	-	-	174,502
3732-000 Standby Hypochlorite Feed System (AWT) (2009)	-	-	-	-	-	-	2,663	-	-	2,663
3733-000 AWT Backwash Pipe Relocation (2014)	-	-	-	-	-	-	15,643	-	-	15,643
3734-000 Secondary Clarifier Retrofit (2012)	-	-	-	-	-	-	(400,302)	-	-	(400,302)
3752-000 - AWT No.2 Upgrade Design (2017)013)	-	-	-	-	-	-	19,335	-	-	19,335
3781-000 - Primary Scum Skimmer Replacement (2018)	-	-	-	-	-	-	19,475	-	-	19,475
3784-000 - Replace DAF (Mannich) Polymer System (2018)	-	-	-	-	-	-	526,532	-	-	526,532
3785-000 - Replace DAF Dissolution Tank System and Compressors (2018)	-	-	-	-	-	-	275,852	-	-	275,852
3786-000 - Primary Gallery Mechanical and Electrical Upgrade (2018)	-	-	-	-	-	-	697,241	-	-	697,241
3787-000 - Aeration Area Upgrade Design (2018)	-	-	-	-	-	-	134,142	-	-	134,142
1410Aeration System Analysis (2015)	-	-	-	-	-	-	25,000	-	-	25,000
3741-000 - Southwest Influent Sewer and MH Repair design (2019)	-	-	-	-	-	-	30,000	-	-	30,000
3742-000 - Aeration System Upgrade (2019)	-	-	-	-	-	-	(2,043)	-	-	(2,043)
3743-000 - Aeration Gate Replacement (2019)	-	-	-	-	-	-	-	-	-	-
<b>Total PC 17 Liquids</b>	-	-	-	-	-	-	<b>2,470,061</b>	-	-	<b>2,470,061</b>

**South Orange County Wastewater Authority**  
**Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>Common PC-17</b>										
3714-000 Odor Analysis (2014)	2,793	-	-	5,084	149	-	39,535	-	2,231	49,793
3715-000 - Switchgear Upgrade (2006)	(139,290)	-	-	(245,833)	(7,414)	-	(1,900,734)	-	(111,259)	(2,404,529)
3716-000 Secondary Access Road Design (2015)	3,298	-	-	6,001	176	-	46,671	-	2,633	58,780
3717-000 - Security Fencing (2015)	-	-	-	-	-	-	-	-	-	-
3718-000 - Access Bridge Upgrades (2015)	-	-	-	-	-	-	-	-	-	-
3725-000 Disinfection Building Roof Repair (2014)	(6,734)	-	-	(12,257)	(360)	-	(95,315)	-	(5,378)	(120,044)
3740-000 Electrical Manhole Reconstruction (2013)	516	-	-	939	28	-	7,304	-	412	9,199
3760-000 - Develop Buried Piping Reconstruction Master Plan (2017)	493	-	-	2,151	32	-	18,531	-	389	21,596
3761-000 - External Lighting Upgrade	16,873	-	-	29,072	895	-	223,716	-	13,482	284,037
3762-000 - Emergency Access Road CEQA and Permits (2017)	5,774	-	-	10,509	309	-	81,723	-	4,609	102,924
3763-000 - Reroute Drains on Plant Perimeter (2017)	1,687	-	-	3,073	90	-	23,898	-	1,349	30,096
3764-000 - SCADA Improvements (2017)	2,102	-	-	5,012	117	-	40,671	-	1,674	49,575
3765-000 - Additional Budget Switchgear Upgrade (2017)	34,266	-	-	62,365	1,833	-	484,987	-	27,364	610,815
3788-000 - PLC Upgrade	4,265	-	-	7,837	227	-	61,035	-	3,408	76,772
3789-000 - Switchgear Upgrade Project Completion (2018)	10,202	-	-	18,567	546	-	144,390	-	8,147	181,852
1411-Facility Safety Review (2015)	1,122	-	-	2,042	60	-	15,880	-	896	20,000
1412-Monitoring and Control Facility Plan (2015)	2,525	-	-	4,595	135	-	35,730	-	2,016	45,000
1453-Lighting Upgrade (2014)	2,805	-	-	5,105	150	-	39,700	-	2,240	50,000
3744-000 - Admin Building Repair design (2019)	3,957	-	-	6,475	208	-	49,304	-	3,162	63,106
3745-000 - West Slope Protection Evaluation (2019)	4,321	-	-	7,070	227	-	53,837	-	3,453	68,908
3746-000 - Motor Control Center A, G, H Design (2019)	9,043	-	-	14,797	476	-	112,677	-	7,227	144,219
3747-000 -Southside Plant Manhole Reconstruction (2019)	3,135	-	-	5,130	165	-	39,065	-	2,505	50,000
3748-000 - SE electrical Manhole reconstruction (2019)	8,935	-	-	14,621	470	-	111,334	-	7,140	142,500
<b>Total PC 17 Common</b>	<b>(27,915)</b>	<b>-</b>	<b>-</b>	<b>(47,645.95)</b>	<b>(1,479.48)</b>	<b>-</b>	<b>(366,061)</b>	<b>-</b>	<b>(22,301)</b>	<b>(465,402)</b>

**South Orange County Wastewater Authority**  
**Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>Solids PC-17</b>										
3719-000 Digester Dome Recoating (2014)	11,513	-	-	20,942	605	-	60,354	-	9,194	102,608
3720-000 - Digester Dome Recoating (2011)	1,292	-	-	2,351	68	-	38,115	-	1,032	42,858
3721-000 Underground Piping Upgrade (2006)	13,340	-	-	24,267	701	-	69,936	-	10,653	118,898
3722-000 - Co-gen Sys Retrofit (formerly Siloxane) (2015)	254,841	-	-	463,578	13,398	-	1,335,985	-	203,513	2,271,314
3723-000 - Recoat Top of Digesters (2016)	-	-	-	-	-	-	-	-	-	-
3724-000 Energy Building Structural and HVAC Modifications (2015)	(963)	-	-	(1,752)	(51)	-	(5,048)	-	(769)	(8,583)
3726-000 Co-Generation System Retrofit Design	(374)	-	-	(681)	(20)	-	(1,961)	-	(299)	(3,335)
3735-000 Odor Control Scrubber Control Panel No. 2 (2013)	1,122	-	-	2,041	59	-	5,882	-	896	10,000
3736-000 Co-Generation System Retrofit Design (2011)	1,471	-	-	2,676	77	-	7,712	-	1,175	13,110
3770-000 - Additional Budget CoGen Upgrade (2017)	35,466	-	-	64,513	1,864	-	154,582	-	28,320	284,745
3790-000 - Solids Area Upgrade Design (2018)	4,239	-	-	7,711	223	-	22,224	-	3,385	37,782
3791-000 - Cogeneration Area Upgrade Project Completion (2018)	22,327	-	-	40,616	1,175	-	117,051	-	17,830	198,999
3749-000 - Phase I Solids Piping Upgrade (2019)	51,953	-	-	94,506	2,732	-	272,358	-	41,488	463,036
3750-000 - Dewatering room Floor Sealing and Lighting (2019)	12,903	-	-	23,472	679	-	67,643	-	10,304	115,000
3751-000 - Energy Building Roof and Breezeway (2019)	40,265	-	-	73,245	2,117	-	211,086	-	32,154	358,867
3754-000 - SET Piping Reconstruction (2019)	4,249	-	-	7,730	223	-	22,277	-	3,394	37,874
<b>Total PC 17 Solids</b>	<b>453,644</b>	<b>-</b>	<b>-</b>	<b>825,215</b>	<b>23,852</b>	<b>-</b>	<b>2,378,193</b>	<b>-</b>	<b>362,270</b>	<b>4,043,174</b>
<b>Total PC 17 Joint Regional Wastewater Reclamation</b>	<b>425,729</b>			<b>777,569</b>	<b>22,372</b>		<b>4,482,193</b>		<b>339,969</b>	<b>6,047,833</b>

**South Orange County Wastewater Authority  
Total Large Capital Cash Roll Forward as of March 31, 2019 (Q3)**

Large Capital Cash Balance as of 3/31/2019										
	16	17	18	19	20	21	22	23	24	
	CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>PC 21 Effluent Transmission Main</b>										
3101-000 - Trail Bridge Crossing Protection - Phase I (D) (2016)	-	-	-	65,417	-	65,415	-	-	-	130,832
3102-000 - EMT Condition Assessment Methodology (B/C) (2016)	-	-	-	11,819	-	11,819	-	-	-	23,639
3181-000 - Air Vacuum Valve Replacement Reach D (2018)	-	-	-	26,850	-	26,850	-	-	-	53,700
3182-000 - Air Vacuum Valve Replacement Reach E (2018)	-	-	-	19,350	-	19,350	-	-	-	38,700
3103-000 - Trail Bridge Crossing Protection - Phase I (D) (2016)	-	-	-	43,500	-	43,500	-	-	-	87,000
3104-000 - Aliso Creek Long term Repair Planning (E) (2019)	-	-	-	30,564	-	30,564	-	-	-	61,128
<b>Total PC 21 Effluent Transmission Main</b>	-	-	-	<b>197,500</b>	-	<b>197,498</b>	-	-	-	<b>394,999</b>
<b>PC 24 Aliso Creek Ocean Outfall</b>										
3401-000 - Emergency Plan Development (2016)	2,679	-	-	3,969	190	3,838	10,678	-	2,998	24,351
3480-000 - Internal Seal Replacement (2018)	14,761	-	-	21,873	1,047	21,149	58,844	-	16,519	134,193
<b>Total PC 24 Aliso Creek Ocean Outfall</b>	<b>17,440</b>	-	-	<b>25,843</b>	<b>1,237</b>	<b>24,987</b>	<b>69,521</b>	-	<b>19,517</b>	<b>158,544</b>
<b>Total Large Capital Cash</b>	<b>1,856,004</b>	<b>70,437</b>	<b>1,100,976</b>	<b>1,000,912</b>	<b>135,348</b>	<b>219,082</b>	<b>4,897,253</b>	<b>1,035,618</b>	<b>2,426,468</b>	<b>12,742,097</b>

**South Orange County Wastewater Authority**  
**Total Non-Capital Cash Roll Forward as of March 31, 2019 (Q3)**

		Non-Capital Cash Balance 3/31/2019									
		16	17	18	19	20	21	22	23	24	
		CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
PC 02 J B Latham											
Total Liquids				(4,842)				(3,634)	(2,723)	(4,538)	(15,737)
Total Common				(2,796)				(2,021)	(2,073)	(2,232)	(9,121)
Total Solids				28,108				20,253	26,590	18,740	93,691
Total PC 02 J B Latham				20,470				14,598	21,794	11,970	68,833
PC 05 San Juan Creek Ocean Outfall											
Total PC 05 SJCOO			14,500	9,667				13,532	38,663	10,878	87,240
PC 15 Coastal Treatment Plant											
Total Liquids		(103,529)				(8,150)		(102,290)		(81,520)	(295,488)
Total AWT									65,559		65,559
Total PC 15 Coastal Treatment Plant		(103,529)				(8,150)		(102,290)		(14,960)	(228,920)
PC 17 Joint Regional Wastewater Reclamation											
Total Liquids								71,682			71,682
Total Solids		(633)			(1,151)	(34)		(3,317)		(505)	(5,640)
Total Common		(7,215)			(11,805)	(380)		(89,894)		(5,766)	(115,059)
Total PC 17 Joint Regional Wastewater Reclamation		(7,847)			(12,956)	(414)		(21,530)		(6,270)	(49,017)
PC 21 Effluent Transmission Main											
Total PC 21 ETM					(29,956)		(29,958)				(59,914)
PC 24 Alliso Creek Ocean Outfall											
Total PC 24 ACOO		2,741			4,334	194	4,199	10,926		3,065	25,460
<b>Total Non-Capital Cash</b>		<b>(108,635)</b>	<b>14,500</b>	<b>30,137</b>	<b>(38,578)</b>	<b>(8,370)</b>	<b>(25,759)</b>	<b>(84,763)</b>	<b>60,457</b>	<b>4,683</b>	<b>(156,328)</b>

**South Orange County Wastewater Authority  
Total Small Capital Cash Roll Forward as of March 31, 2019 (Q3)**

		<b>Small Capital Cash Balance as of 03/31/19</b>									
		16	17	18	19	20	21	22	23	24	
		CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>PC 02 J B Latham</b>											
<b>Liquids</b>											
2244-000	2 ISCO Samplers (between 3 PC's)	-	-	(6,686)	-	-	-	(5,015)	(3,761)	(6,268)	(21,731)
2245-000	Laboratory Equipment Replacement (between 3 PC's)	-	-	(10,921)	-	-	-	(8,191)	(6,143)	(10,239)	(35,495)
2246-000	Primary Motor Operated Valves	-	-	3,462	-	-	-	2,596	1,947	3,245	11,250
2247-000	Return Activated Sludge Pump Rebuild	-	-	(4,843)	-	-	-	(3,632)	(2,724)	(4,540)	(15,739)
2248-000	9-Side headworks exhaust fan	-	-	2,308	-	-	-	1,731	1,298	2,163	7,500
2249-000	Effluent Pump station gas line	-	-	(1,034)	-	-	-	(776)	(582)	(970)	(3,382)
2219-015	New Scum Pump and Controls	-	-	10,982	-	-	-	8,221	6,166	10,276	35,625
2219-016	Raw Sewage Pump Check Valve	-	-	2,308	-	-	-	1,731	1,298	2,163	7,500
2219-017	4 side blower room skylights	-	-	2,308	-	-	-	1,731	1,298	2,163	7,500
2219-018	Scrubber Fan (4-side)	-	-	7,385	-	-	-	5,538	4,154	6,923	24,000
2219-019	RSP Rebuild	-	-	5,769	-	-	-	4,327	3,245	5,409	18,750
2219-020	Stock pri & sec flights and chain	-	-	2,308	-	-	-	1,731	1,298	2,163	7,500
2219-021	Spare Vulcan or Grit Separator	-	-	8,538	-	-	-	6,404	4,803	8,005	27,750
2219-046	Repair Emergency Manual Bypass Barscreen	-	-	(5,277)	-	-	-	(3,959)	(2,968)	(4,947)	(17,150)
	<b>Total PC 02 Liquids</b>	-	-	<b>16,584</b>	-	-	-	<b>12,438</b>	<b>9,328</b>	<b>15,648</b>	<b>53,898</b>
<b>Common</b>											
2219-022	Safety Equipment	-	-	6,837	-	-	-	5,029	5,140	5,495	22,500
2219-023	Paint Oil Storage Building	-	-	1,709	-	-	-	1,257	1,285	1,374	5,625
2219-024	Pressure Washer/Steam Cleaner	-	-	1,253	-	-	-	922	942	1,007	4,125
2219-025	F-250 delivery vehicle (3 Plant Split)	-	-	(694)	-	-	-	(511)	(522)	(558)	(2,285)
2219-026	4" Trash Pump	-	-	338	-	-	-	248	254	271	1,111
2219-027	New Gate Drives for Plant Entrance	-	-	4,558	-	-	-	3,352	3,426	3,663	15,000
2219-028	Fixed gas Detector Equipment	-	-	4,558	-	-	-	3,352	3,426	3,663	15,000
2219-040	Surveillance Camera System Upgrades	-	-	8,432	-	-	-	6,202	6,339	6,777	27,750
2219-041	JBL Wireless Project	-	-	25,067	-	-	-	18,438	18,846	20,149	82,500
2219-042	Tig Welder	-	-	(3,237)	-	-	-	(2,381)	(2,434)	(2,602)	(10,655)
	<b>Total PC 02 Common</b>	-	-	<b>48,619</b>	-	-	-	<b>35,909</b>	<b>36,702</b>	<b>39,241</b>	<b>160,671</b>
<b>Solids</b>											
2219-029	Air Compressor for DAFT	-	-	1,688	-	-	-	1,216	1,596	1,125	5,625
2219-030	Polymer Mixer Replacement	-	-	3,375	-	-	-	2,432	3,193	2,250	11,250
2219-031	Digester mix Pump Valves	-	-	13,500	-	-	-	9,730	12,770	9,000	45,000
2219-032	Spare RAS Bleach Pump	-	-	430	-	-	-	310	407	287	1,433
2219-033	Spare Recirc Pump	-	-	2,363	-	-	-	1,703	2,235	1,575	7,875
2219-034	Ferric Pump	-	-	708	-	-	-	510	670	472	2,359
2219-035	Spare Cogen Parts	-	-	(5,858)	-	-	-	(4,222)	(5,541)	(3,905)	(19,526)
2219-036	Valves	-	-	3,375	-	-	-	2,432	3,193	2,250	11,250
2219-037	Centrifuge Support Equipment	-	-	3,648	-	-	-	2,629	3,451	2,432	12,161
2219-038	Seepex split case pumps	-	-	3,675	-	-	-	2,649	3,477	2,450	12,251
2219-039	Centrifuge Rebuild	-	-	8,632	-	-	-	6,222	8,166	5,755	28,775
2219-043	Gas Blower	-	-	(2,868)	-	-	-	(2,067)	(2,713)	(1,912)	(9,550)
2219-047	Digester Gas Meters	-	-	(4,590)	-	-	-	(3,308)	(4,342)	(3,060)	(15,301)
2291-000	Centrifuge Support Equipment	-	-	(4,202)	-	-	-	(3,028)	(3,975)	(2,801)	(14,005)
	<b>Total PC 02 Solids</b>	-	-	<b>23,876</b>	-	-	-	<b>17,208</b>	<b>22,586</b>	<b>15,918</b>	<b>79,588</b>
	<b>Total PC 02 JB Latham</b>	-	-	<b>89,280</b>	-	-	-	<b>65,555</b>	<b>68,617</b>	<b>70,706</b>	<b>294,156</b>



**South Orange County Wastewater Authority**  
**Total Small Capital Cash Roll Forward as of March 31, 2019 (Q3)**

		<b>Small Capital Cash Balance as of 03/31/19</b>									
		16	17	18	19	20	21	22	23	24	
		CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>PC 15 Coastal Treatment Plant</b>											
<b>Liquids</b>											
2503-000	2 ISCO Samplers (between 3 PC's)	1,422	-	-	-	112	-	-	-	1,119	2,653
2515-000	Laboratory Equipment Replacement (between 3 PC's)	711	-	-	-	56	-	-	-	560	1,326
2516-000	Replacement Scrubber Water Softener	2,843	-	-	-	224	-	-	-	2,239	5,306
2517-000	Process Water Pump	2,843	-	-	-	224	-	-	-	2,239	5,306
2518-000	Secondary chain and flights	5	-	-	-	0	-	(3,287)	-	4	(3,278)
2519-000	Secondary Drive	2,417	-	-	-	190	-	-	-	1,903	4,510
2568-000	Valves	5,688	-	-	-	448	-	-	-	4,478	10,613
2569-000	Primary Skimmer	1,990	-	-	-	157	-	-	-	1,567	3,714
2570-000	Spare Export Sludge Mixer Gearbox	2,559	-	-	-	201	-	-	-	2,015	4,775
2571-000	Valves	7,108	-	-	-	560	-	-	-	5,597	13,265
2572-000	Aeration Panel Replacement	(1,211)	-	-	-	(95)	-	(5,322)	-	(953)	(7,582)
2573-000	Headwork Ventilation Fans	17,061	-	-	-	1,344	-	-	-	13,434	31,839
2574-000	Pump Rebuilds	(10,817)	-	-	-	(852)	-	(14,929)	-	(8,517)	(35,115)
2519-002	Grit Gate Installation	(3,147)	-	-	-	(248)	-	(2,429)	-	(2,478)	(8,302)
	<b>Total PC 15 Liquids</b>	<b>29,471</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>2,321</b>	<b>-</b>	<b>(25,967)</b>	<b>-</b>	<b>23,205</b>	<b>29,031</b>
<b>Common</b>											
2555-000	CTP Wireless Project	(22,149)	-	-	-	(1,744)	-	(17,091)	-	(17,440)	(58,425)
	SCADA Communications Cabling, Conduit and Rewire	(5,297)	-	-	-	(417)	-	(4,087)	-	(4,171)	(13,972)
2561-000	Administration Building Flooring	5,688	-	-	-	448	-	-	-	4,478	10,613
2575-000	F-250 delivery vehicle (3 Plant Split)	(866)	-	-	-	(68)	-	(2,863)	-	(682)	(4,479)
2577-000	Concrete West of headworks - Driveway	14,216	-	-	-	1,119	-	-	-	11,194	26,530
2578-000	Locker Room Remodel and New Sewer	11,089	-	-	-	873	-	-	-	8,731	20,693
2579-000	Replacement 4X4 Vehicle	(3,580)	-	-	-	(282)	-	(9,345)	-	(2,819)	(16,026)
2580-000	Safety Equipment	8,531	-	-	-	672	-	-	-	6,716	15,919
2581-000	Fixed gas Detector Equipment	5,687	-	-	-	448	-	-	-	4,478	10,612
2586-000	Surveillance Camera System Upgrades	21,325	-	-	-	1,679	-	-	-	16,791	39,795
2587-000	Network Switches (Technology Steering Project, SCADA) - Proj	21,325	-	-	-	1,679	-	-	-	16,791	39,795
	<b>Total PC 15 Common</b>	<b>55,988</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4,407</b>	<b>-</b>	<b>(33,386)</b>	<b>-</b>	<b>44,067</b>	<b>71,055</b>
<b>AWT</b>											
2519-001	AWT Bleach Pump	-	-	-	-	-	-	-	-	(10,878)	(10,878)
2582-000	Spare Turbidity Meter	-	-	-	-	-	-	-	-	7,500	7,500
2583-000	Spare Chlorine Analyzer Equipment	-	-	-	-	-	-	-	-	15,000	15,000
2584-000	AWT Bleach Pump Pad Cover	-	-	-	-	-	-	-	-	7,500	7,500
2585-000	Mixer Shaft and Blade	-	-	-	-	-	-	-	-	11,250	11,250
	<b>Total PC 15 AWT</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>30,372</b>	<b>30,372</b>
	<b>Total PC 15 Coastal Treatment Plant</b>	<b>85,439</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>6,728</b>	<b>-</b>	<b>(59,353)</b>	<b>-</b>	<b>97,644</b>	<b>130,458</b>

## South Orange County Wastewater Authority Total Small Capital Cash Roll Forward as of March 31, 2019 (Q3)

		<b>Small Capital Cash Balance as of 03/31/19</b>									
		16	17	18	19	20	21	22	23	24	Total
		CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	
<b>PC 17 Joint Regional Wastewater Reclamation</b>											
<b>Liquids</b>											
2712-000	2 ISCO Samplers (between 3 PC's)	-	-	-	-	-	-	3,750	-	-	3,750
2713-000	Laboratory Equipment Replacement (between 3 PC's)	-	-	-	-	-	-	1,875	-	-	1,875
2714-000	Interstage #2 Pump and Motor Rebuild	-	-	-	-	-	-	(19,609)	-	-	(19,609)
2760-000	RAS #2 Pump and Motor Rebuild	-	-	-	-	-	-	(1,806)	-	-	(1,806)
2761-000	RAS #24 Pump and Motor Rebuild	-	-	-	-	-	-	8,250	-	-	8,250
2762-000	RAS #4 Pump and Motor Rebuild	-	-	-	-	-	-	12,000	-	-	12,000
2763-000	RAS #6 Pump and Motor Rebuild	-	-	-	-	-	-	12,000	-	-	12,000
2764-000	RAS #66 Pump and Motor Rebuild	-	-	-	-	-	-	12,000	-	-	12,000
2765-000	Spare Recirc Pump	-	-	-	-	-	-	(5,950)	-	-	(5,950)
2766-000	Check Valves	-	-	-	-	-	-	10,875	-	-	10,875
2767-000	Aeration Panels	-	-	-	-	-	-	(18,895)	-	-	(18,895)
2768-000	Ferri pumps	-	-	-	-	-	-	(2,092)	-	-	(2,092)
	<b>Total PC 17 Liquids</b>	-	-	-	-	-	-	<b>12,408</b>	-	-	<b>12,408</b>
<b>Common</b>											
2769-000	F-250 delivery vehicle (3 Plant Spt)	(143)	-	-	(234)	(8)	-	(1,785)	-	(115)	(2,285)
2770-000	Safety Equipment	1,411	-	-	2,309	74	-	17,579	-	1,127	22,500
2771-000	Fixed gas Detector Equipment	941	-	-	1,539	50	-	11,719	-	792	15,000
2772-000	Utility vehicle	(51)	-	-	(84)	(3)	-	(636)	-	(41)	(817)
2773-000	Slurry Seal asphalt	1,411	-	-	2,309	74	-	17,579	-	1,127	22,500
2782-000	Surveillance Camera System Upgrades	3,527	-	-	5,771	186	-	43,948	-	2,819	56,250
2783-000	Network Switches (Technology Steering Project, SCADA) - Proj	3,101	-	-	5,075	163	-	38,844	-	2,478	49,462
	<b>Total PC 17 Common</b>	<b>10,198</b>	-	-	<b>16,684</b>	<b>837</b>	-	<b>127,044</b>	-	<b>8,149</b>	<b>162,610</b>
<b>Solids</b>											
2774-000	Centrifuge Incline Conveyor #2 Rehab	(1,156)	-	-	(2,103)	(51)	-	(6,059)	-	(923)	(10,302)
2775-000	Check Valves	1,094	-	-	1,990	58	-	5,735	-	874	9,750
2776-000	Spare Recirc Pump	(668)	-	-	(1,214)	(35)	-	(3,500)	-	(533)	(5,950)
2777-000	Centrifuge Room Lighting	2,525	-	-	4,592	133	-	13,235	-	2,016	22,500
2778-000	Cogen Door Project	1,262	-	-	2,296	66	-	6,617	-	1,008	11,250
2779-000	Centrifuge Rebuild	(1,596)	-	-	(2,902)	(84)	-	(8,365)	-	(1,274)	(14,221)
2780-000	Spare Cogen Parts	2,758	-	-	5,035	155	-	14,511	-	2,210	24,670
	<b>Total PC 17 Solids</b>	<b>4,229</b>	-	-	<b>7,684</b>	<b>222</b>	-	<b>22,174</b>	-	<b>3,376</b>	<b>37,685</b>
<b>AWT</b>											
2781-000	Spare AWT Bleach Pump	-	-	-	-	-	-	15,000	-	-	15,000
	<b>Total PC 17 AWT</b>	-	-	-	-	-	-	<b>15,000</b>	-	-	<b>15,000</b>
<b>Total PC 17 Joint Regional Wastewater Reclamation</b>											
		<b>14,423</b>	-	-	<b>24,378</b>	<b>759</b>	-	<b>176,427</b>	-	<b>11,826</b>	<b>227,716</b>
<b>Total Small Capital Cash</b>											
		<b>69,659</b>	-	-	<b>89,290</b>	<b>7,487</b>	-	<b>182,634</b>	-	<b>69,617</b>	<b>652,332</b>

# Refunds Closed Capital PC 15 Use Audit & Additional Cash

**Large Capital Refund of Inactive Projects Cash as of March 31, 2019  
(See Table A)**

Project Committee	Member Agency										
	Laguna Beach 16	San Clemente 17	Capistrano 18	El Toro 19	EBSD 20	IRWD 21	MNWD 22	SMWD 23	SCWD 24	TCWD 25	Total
PC 2 - Jay B. Latham Plant			305,540				201,817	248,180	230,396		985,934
PC 3							61,819	24,184			86,003
PC 5 - San Juan Creek Ocean Outfall		4,402	2,937				4,108	12,223	3,303		26,973
PC 8 - Pretreatment Program											
PC 12 SO- Water Reclamation Permits											
PC 15 - Coastal Treatment Plant/AWT	369,582				29,163		285,780		133,435		817,961
* PC 17 - Joint Regional Wastewater Reclamation	13,713			26,211	738		309,864		10,944		361,470
PC 21 Effluent Transmission Main				58,019		58,019					116,038
PC 23 North Coast Interceptor											
PC 24 - Aliso Creek Ocean Outfall											
<b>Total</b>	<b>383,295</b>	<b>4,402</b>	<b>308,477</b>	<b>84,230</b>	<b>29,902</b>	<b>58,019</b>	<b>863,388</b>	<b>284,588</b>	<b>378,078</b>		<b>2,394,378</b>

\*Co-Generation Projects Shown Separately.

**PC 17 Co-Gen Projects Cash as of March 31, 2019  
(See Table B)**

Project Committee	Member Agency										
	Laguna Beach 16	San Clemente 17	Capistrano 18	El Toro 19	EBSD 20	IRWD 21	MNWD 22	SMWD 23	SCWD 24	TCWD 25	Total
PC 2 - Jay B. Latham Plant											
PC 3											
PC 5 - San Juan Creek Ocean Outfall											
PC 8 - Pretreatment Program											
PC 12 SO- Water Reclamation Permits											
PC 15 - Coastal Treatment Plant/AWT											
PC 17 - Joint Regional Wastewater Reclamation	222,988			413,220	11,677		394,739		178,046		1,220,670 (1)
PC 21 Effluent Transmission Main											
PC 23 North Coast Interceptor											
PC 24 - Aliso Creek Ocean Outfall											
<b>Total</b>	<b>222,988</b>			<b>413,220</b>	<b>11,677</b>		<b>394,739</b>		<b>178,046</b>		<b>1,220,670 (2)</b>

<b>Total Refund</b>	<b>606,283</b>	<b>4,402</b>	<b>308,477</b>	<b>497,450</b>	<b>41,579</b>	<b>58,019</b>	<b>1,258,127</b>	<b>284,588</b>	<b>556,124</b>	<b>-</b>	<b>3,615,049</b>
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(1) Includes receipt of Southern California Edison Grant, \$879,840 (PC 17, Project 3722)  
 (2) Refunding all Cash except for \$200,000 needed for remaining Co-Gen work.

Estimated Refund provided previously

3,655,304

**Inactive Large Capital Projects Refund  
Change from 6-30-2018 to 3-31-2019  
( 9 Months Change)**

<b>Original Refund for Inactive Projects as of 6-30-2018</b> (Not Including CO-Gen)	<b>3,029,176</b>
<b>Less Projects with some Remaining Work</b>	
<b>PC 2:</b>	
3252-000 - Plant 1 Standby Power Generator Repl (2017)	(187,482)
3253-000 - Effluent System Valves Replacement (2017)	(91,039)
3209-000 - Facility Improvements - Co-Generation Rep. (2016)	(725,853)
<b>PC 15:</b>	
3504-000 - Aeration System Modification Design (2015)	(80,903)
<b>PC 24:</b>	
3401-000 - Emergency Plan Development (2016)	(24,351)
<b>Total</b>	<b>(1,109,628)</b>
<b>Plus Additional Inactive Projects</b>	
<b>PC 21:</b>	
3102-000 - EMT Condition Assessment Methodology (B/C) (2016)	23,639
3181-000 - Air Vacuum Valve Replacement Reach D (2018)	53,700
3182-000 - Air Vacuum Valve Replacement Reach E (2018)	38,700
<b>Total</b>	<b>116,039</b>
<b>PC 15 Settlement Impact on Inactive Projects</b>	<b>475,652</b>
<b>Costs Increase in FY 2018-19 (9 months)</b> (Original amount was as of 6-30-2018)	<b>(116,861)</b>
<b>Inactive Large Capital Projects Refund as of 3-31-2019 (Q3)</b>	<b>2,394,378</b>

**South Orange County Wastewater Authority  
Table A**

Large Capital Inactive Projects Cash Balance as of 3/31/2019									
CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total
<b>PC 02 J B Latham</b>									
<b>Liquids</b>									
3203-000 - Effluent Standby Generator ATS Repl (2016)		48,510				36,381	27,286	45,478	157,655
3204-000 - Facility Improvements - Structural Repairs (2015)		(27,434)				(20,577)	(15,432)	(25,721)	(89,164)
3211-000 Scum Sump Relining/Reconstruction (2015)		731				549	411	686	2,377
3212-000 - East Primary Influent Channel Repair		6,860				5,148	3,864	6,435	22,307
3213-000 - Water System Piping Improvements (2014)		7,046				5,284	3,962	6,605	22,897
3214-000 - 4 MGD Diversion Flow Meter & Control Structure (2012)		16,079				12,063	9,049	15,078	52,269
3251-000 - Effluent Flow Meter Replacement (2017)		16,358				11,119	8,341	13,900	49,718
<b>Total PC 02 Liquids</b>		<b>68,149</b>				<b>49,968</b>	<b>37,481</b>	<b>62,460</b>	<b>218,059</b>
<b>Common</b>									
3205-000 - West Side Power System Upgrade (2013)		16,099				11,825	12,042	12,867	52,833
3207-000 - Foul Air System Evaluation (2016)		14,553				10,706	10,942	11,698	47,899
3216-000 - Hoist System for Maintenance Shop (2013)		7,414				5,455	5,567	5,960	24,397
3217-000 - Lighting System Improvements (2014)		6,623				4,872	4,979	5,324	21,798
3218-000 - Energy Building Roof reconstruction (2014)		6,655				4,896	4,999	5,346	21,897
1113- Facility Safety Review (2015)		6,077				4,470	4,569	4,885	20,000
1114- Monitoring and Control Facility Plan (2015)		13,673				10,057	10,279	10,990	45,000
<b>Total PC 02 Common</b>		<b>71,095</b>				<b>52,280</b>	<b>53,377</b>	<b>57,070</b>	<b>233,823</b>
<b>Solids</b>									
3210-000 - Facility Improvements - Solids Area (2015)		185,725				133,844	175,698	123,817	619,084
3272-000 - Dewatering System Controls Upgrade (2017)		(19,429)				(34,275)	(18,377)	(12,952)	(85,033)
<b>Total PC 02 Solids</b>		<b>166,295</b>				<b>99,569</b>	<b>157,322</b>	<b>110,865</b>	<b>534,052</b>
<b>Total PC2 JB Latham</b>		<b>305,540</b>				<b>201,817</b>	<b>248,180</b>	<b>230,396</b>	<b>985,934</b>

MNWD	
PC 15 Past Due Receipt	Adjusted Cash Balance

**South Orange County Wastewater Authority  
Table A**

Large Capital Inactive Projects Cash Balance as of 3/31/2019										MNWD	
CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total	PC 15 Past Due Receipt	Adjusted Cash Balance
<b>PC 3SOCWA Plant / PCA AWT</b>											
3301-000 Surface Drainage Improvements (2014)	3301					(15,027)	(5,879)		(20,906)		
3302-000 Primary Sedimentation Upgrade (2011)	3302					(37,738)	(14,763)		(52,501)		
3303-000 Channel & Basin Lining Repair (2013)	3303					72,886	28,514		101,400		
3304-000 Aeration System Upgrade (2015)	3304					(515,623)	(201,716)		(717,339)		
3305-000 Electrical/Structural Repairs (2003)	3305					548,516	214,584		763,100		
3306-000 Settlement Repair - West Side (2013)	3306					8,804	3,444		12,248		
<b>Total PC 3 SOCWA Plant / PCA AWT</b>						<b>61,819</b>	<b>24,184</b>		<b>86,003</b>		
<b>PC 05 San Juan Creek Ocean Outfall</b>											
3602-000 Emergency Plan Development (2016)	3602	3,645	2,430			3,402	9,720	2,735	21,932		
3604-000 Metering Vault - Piping Upgrades (2016)	3604	757	507			706	2,503	568	5,041		
<b>Total PC5 San Juan Creek Ocean Outfall</b>		<b>4,402</b>	<b>2,937</b>			<b>4,108</b>	<b>12,223</b>	<b>3,303</b>	<b>25,973</b>		
<b>PC 15 Coastal Treatment Plant</b>											
<b>Liquids</b>											
3501-000 - Fire Protection (2013)	3501	2,322			181	1,009		1,828	5,341	783	1,792
3502-000 RAS Hypochlorite System (2013)	3502	46,406			3,657	5,133		36,540	91,737	30,676	35,809
3503-000 - Scrubber Upgrade (2013)	3503	171,452			13,518	23,400		135,001	343,371	108,889	132,289
3505-000 Headworks Overflow Pipe Modification (2015)	3505	32,956			2,598	2,070		25,950	63,574	23,360	25,430
3506-000 Structural Mods-Grating Sys & Curb Area E of Maint Shop (2015)	3506	9,988			785	6,286		7,864	24,923	1,423	7,709
3507-000 - East Primary Influent Gates (2015)	3507	18,745			1,478	(16,621)		14,760	18,363	31,083	14,462
3508-000 - Grit System Knife Gate Valve Replacement (2015)	3508	7,526			600	(19,573)		5,926	(5,521)	25,377	5,804
3510-000 - East Primary/Aeration Grating Rebate and Concrete Repair (2015)	3510	26,208			2,073	(41,949)		20,635	6,967	62,165	20,216
3511-000 Influent/Overflow Condition Assessment (2016)	3511	(109)			(9)	(84)		(86)	(289)		(84)
3512-000 - Basins Between HW Bldg and Primary Basin Grating Rebate and Concrete Repair (2015)	3512	29,545			2,334	(35,467)		23,263	19,676	58,259	22,792
3513-000 Grit System Condition Assessment (2016)	3513	(5,204)			(410)	(4,016)		(4,098)	(13,727)		(4,016)
3515-000 - Existing Export Sludge Wetwell Refurbishment (2015)	3515	79,704			6,280	17,309		62,757	166,051	44,190	61,499
3530-000 Also Sulfur Creek Confluence (2014)	3530	(6,991)			(550)	(5,395)		(5,505)	(18,441)		(5,395)
3531-000 Lighting System Improvements (2014)	3531	(26,343)			(2,074)	(20,328)		(20,743)	(69,489)		(20,328)
3532-000 - Fire Protection (2013)	3532	(11,253)			(886)	(8,683.53)		(8,861)	(29,684)	640	(8,044)
3533-000 - Export Sludge Line Repair & Rip Rap (R-2) (2012)	3533	18,448			1,454	6,922		14,525	41,350	7,312	14,234
3535-000 Structural Modifications (2014)	3535	744			58	574		587	1,963		574
3540-000 East Primary Sedimentation Scum Skimmers (2013)	3540	(9,433)			(743)	(7,279)		(7,428)	(24,882)		(7,279)
3550-000 - Export Sludge Pump Addition (2017)	3550	(28,106)			(2,204)	(80,886)		(22,133)	(133,328)	59,191	(21,695)
3554-000 - Odor Scrubber Bleach Tank Replacement (2017)	3554	11,971			943	(13,070)		9,423	9,267	22,304	9,234
79-C West Primary Sedimentation Upgrade (2010)	79-C	19,013			1,497	14,672		14,971	50,153		14,672
88-C MCC-1 Replacement (2004)	88-C	948			75	731		746	2,500		731
1317-Facility Safety Review (2015)	1317	7,582			597	5,851		5,970	20,000		5,851
1318-Monitoring and Control Facility Plan (2015)	1318	15,164			1,194	11,701		11,940	40,000		11,701
1355-Channel Rebate Replacement (2013)	1355	(41,701)			(3,284)	(32,179)		(32,836)	(110,000)		(32,179)
<b>Total PC 15 Liquids</b>		<b>369,582</b>			<b>29,163</b>	<b>(189,872)</b>		<b>291,000</b>	<b>499,874</b>	<b>475,652</b>	<b>285,780</b>

**South Orange County Wastewater Authority  
Table A**

Large Capital Inactive Projects Cash Balance as of 3/31/2019										MNWD	
CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total	PC 15 Past Due Receipt	Adjusted Cash Balance
<b>AWT</b>											
3516-000 - Disinfection System Upgrade AWT (2011)	3516							(154,316)	(154,316)		
3517-000 - AWT Backwash Pump Replacement (2016)	3517							(97,541)	(97,541)		
3518-000 - Chlorine Mxer Replacement (15AWT) (2015)	3518							21,636	21,636		
3519-000 - Hypochlorite Tank (AWT) (2013)	3519							72,656	72,656		
								0	0		
<b>Total PC 15 AWT</b>								<b>(157,565)</b>	<b>(157,565)</b>		
<b>Total PC 15 Coastal Treatment Plant</b>	369,582			29,163		(189,672)		133,435	342,309		
<b>PC 17 Joint Regional Wastewater Reclamation</b>											
<b>Liquids</b>											
3703-000 - Influent Line Manhole Reconstruction (2013)	3703					(271,318)			(271,318)		
3704-000 - Odor Control Scrubber Control Panel No. 1 (2013)	3704					20,089			20,089		
3705-000 - Disinfection System Upgrade - Construction (2006)	3705					175,721			175,721		
3706-000 - Secondary Clarifier Retrofit # 2 (2013)	3706					334,465			334,465		
3709-000 - Influent Junction Structure & Pipe Condition Assessment (2016)	3709					(4,569)			(4,569)		
3711-000 - Primary Influent Channel Condition Assessment (2016)	3711					(11,163)			(11,163)		
3728-000 Secondary Clarifier Retrofit # 2	3728					(69,047)			(69,047)		
3729-000 Secondary Clarifier Retrofit	3729					122,539			122,539		
3731-000 Primary Clarifier Aluminum Beam Replacement (2013)	3731					174,502			174,502		
3732-000 Standby Hypochlorite Feed System (AWT) (2009)	3732					2,663			2,663		
3733-000 AWT Backwash Pipe Relocation (2014)	3733					15,643			15,643		
3734-000 Secondary Clarifier Retrofit (2012)	3734					(400,302)			(400,302)		
1410Aeration System Analysis (2015)	1410					25,000			25,000		
<b>Total PC 17 Liquids</b>						<b>114,222</b>			<b>114,222</b>		
<b>Common</b>											
3714-000 Odor Analysis (2014)	3714	2,793		5,084	149	39,535		2,231	49,793		
3716-000 Secondary Access Road Design (2015)	3716	3,298		6,001	176	46,671		2,633	58,780		
3725-000 Disinfection Building Roof Repair (2014)	3725	(6,734)		(12,257)	(360)	(95,315)		(5,378)	(120,044)		
3740-000 Electrical Manhole Reconstruction (2013)	3740	516		939	28	7,304		412	9,199		
3760-000 - Develop Buried Piping Reconstruction Master Plan (2017)	3760	493		2,151	32	18,531		389	21,596		
3762-000 - Emergency Access Road CEQA and Permits (2017)	3762	5,774		10,509	309	81,723		4,609	102,924		
1411-Facility Safety Review (2015)	1411	1,122		2,042	60	15,880		896	20,000		
1412-Monitoring and Control Facility Plan (2015)	1412	2,525		4,595	135	35,730		2,016	45,000		
1453-Lighting Upgrade (2014)	1453	2,805		5,105	150	39,700		2,240	50,000		
<b>Total PC 17 Common</b>		<b>12,591</b>		<b>24,170</b>	<b>679</b>	<b>189,760</b>		<b>10,048</b>	<b>237,247</b>		
<b>Solids</b>											
3735-000 Odor Control Scrubber Control Panel No. 2 (2013)	3735	1,122		2,041	59	5,882		896	10,000		
<b>Total PC 17 Solids</b>		<b>1,122</b>		<b>2,041</b>	<b>59</b>	<b>5,882</b>		<b>896</b>	<b>10,000</b>		
<b>Total PC 17 Joint Regional Wastewater Reclamation</b>		<b>13,713</b>		<b>26,211</b>	<b>738</b>	<b>309,864</b>		<b>10,944</b>	<b>361,470</b>		



**South Orange County Wastewater Authority  
Table A**

Large Capital Inactive Projects Cash Balance as of 3/31/2019										MNWD	
CLB	CSC	CSJC	ETWD	EESD	IRWD	MNWD	SMWD	SCWD	Total	PC 15 Past Due Receipt	Adjusted Cash Balance
<b>PC 21 Effluent Transmission Main</b>											
3102-000 - EMT Condition Assessment Methodology (B/C) (2016)	3102		11,819		11,819				23,639		
3181-000 - Air Vacuum Valve Replacement Reach D (2018)	3181		26,850		26,850				53,700		
3182-000 - Air Vacuum Valve Replacement Reach E (2018)	3182		19,350		19,350				38,700		
<b>Total PC 21 Effluent Transmission Main</b>			<b>58,019</b>		<b>58,019</b>				<b>116,039</b>		
<b>SOCWA Total 3-31-19 Large Capital Inactive Projects Cash Balance</b>											
	<b>383,295</b>	<b>4,402</b>	<b>308,477</b>	<b>84,230</b>	<b>29,902</b>	<b>58,019</b>	<b>387,738</b>	<b>284,588</b>	<b>378,078</b>	<b>1,918,728</b>	
<b>MNWD PC 15 Past Due Payments Received in May</b>											
						<b>475,652</b>				<b>475,652</b>	
<b>Adjusted Balance and Refund</b>	<b>383,295</b>	<b>4,402</b>	<b>308,477</b>	<b>84,230</b>	<b>29,902</b>	<b>58,019</b>	<b>863,388</b>	<b>284,588</b>	<b>378,078</b>	<b>2,394,378</b>	<b>475,652</b>

**South Orange County Wastewater Authority  
Table B**

<b>PC 17 Co-Generation Large Capital Cash Balance as of 3/31/2019</b>											<b>Refunds Due 3-31-19 at Project Closure</b>	<b>Refunds Due 6-30-18</b>	<b>Change</b>
16	17	18	19	20	21	22	23	24					
CLB	CSC	CSJC	ETWD	EBSD	IRWD	MNWD	SMWD	SCWD	Total				
<b>PC 17 Joint Regional Wastewater Reclamation</b>													
<b>Common</b>													
3715-000 - Switchgear Upgrade (2006)	(139,290)		(245,833)	(7,414)		(1,900,734)		(111,259)	(2,404,529)		(2,404,529)	(2,053,238)	(351,291) (3)
3765-000 - Additional Budget Switchgear Upgrade (2017)	34,266		62,365	1,833		484,987		27,364	610,815		610,815	610,815	-
3789-000 - Switchgear Upgrade Project Completion (2018)	10,202		18,567	546		144,390		8,147	181,852		181,852	181,852	-
<b>Total PC 17 Co-Gen Common</b>	<b>(94,822)</b>		<b>(164,901)</b>	<b>(5,035)</b>		<b>(1,271,356)</b>		<b>(75,748)</b>	<b>(1,611,862)</b>		<b>(1,611,862)</b>	<b>(1,260,571)</b>	<b>(351,291)</b>
<b>Solids</b>													
3719-000 Digester Dome Recoating (2014)	11,513		20,942	605		60,354		9,194	102,608		102,608	102,608	-
3720-000 - Digester Dome Recoating (2011)	1,292		2,351	68		38,115		1,032	42,858		42,858	42,857	1
3721-000 Underground Piping Upgrade (2006)	13,340		24,267	701		69,936		10,653	118,898		118,898	118,898	-
3722-000 - Co-gen Sys Retrofit (formerly Siloxane) (2015)	232,401		422,755	12,221		1,218,347		185,590	2,071,314		2,071,314	1,128,061	943,253 (1), (2) & (3)
3736-000 Co-Generation System Retrofit Design (2011)	1,471		2,676	77		7,712		1,175	13,110		13,110	13,110	-
3770-000 - Additional Budget CoGen Upgrade (2017)	35,466		64,513	1,864		154,582		28,320	284,745		284,745	284,746	(1)
3791-000 - Cogeneration Area Upgrade Project Completion (2018)	22,327		40,616	1,175		117,051		17,830	198,999		198,999	205,001	(6,002)
<b>Total PC 17 Co-Gen Solids</b>	<b>317,811</b>		<b>578,121</b>	<b>16,712</b>		<b>1,666,095</b>		<b>253,794</b>	<b>2,832,532</b>		<b>2,832,532</b>	<b>1,895,282</b>	<b>937,251</b>
<b>Total PC 17 Joint Regional Wastewater Reclamation</b>	<b>222,988</b>		<b>413,220</b>	<b>11,677</b>		<b>394,739</b>		<b>178,046</b>	<b>1,220,670</b>		<b>1,220,670</b>	<b>634,710</b>	<b>585,960</b>

- (1) Received Southern California Edison Grant, \$879,840, in March.
- (2) Refunding all Cash except for \$200,000 needed for remaining issues.
- (3) Reclass between projects 3715 and 3722.

**PC 15 - Coastal Treatment Plant Use Audit Settlement  
 FY 15-16 Audit Adjustment, FY 2016-17 Use Audit & FY 2017-18 Use Audit  
 Refunds Due**

	Laguna Beach	Emerald Bay	Moulton Niguel	South Coast	Total
O&M	417,737	13,784	67,322	311,854	810,697
Small Capital	36,553	2,883	28,182	66,197	133,815
<b>Total</b>	<b>454,290</b>	<b>16,668</b>	<b>95,504</b>	<b>378,051</b>	<b>944,512</b>

## Cash from Other Sources as of June 30, 2018

Project Committee	Member Agency											Before	Change
	Laguna Beach 16	San Clemente 17	Capistrano 18	El Toro 19	EBSD 20	IRWD 21	MNWD 22	SMWD 23	SCWD 24	TCWD 25	Total		
PC 2 - Jay B. Latham Plant	-	-	60,552	-	-	-	39,200	44,952	47,605	-	192,309	201,450	(9,141)
PC 3	-	-	-	-	-	-	30,799	6,994	-	-	37,793	41,492	(3,699)
PC 5 - San Juan Creek Ocean Outfall	-	2,801	2,218	-	-	-	2,347	6,175	2,019	-	15,560	16,193	(633)
PC 8 - Pretreatment Program	540	709	729	437	38	751	1,572	1,471	1,180	-	7,427	8,312	(885)
PC 12 SO- Water Reclamation Permits	-	-	21	19	-	27	90	67	27	27	279	312	(33)
PC 15 - Coastal Treatment Plant/AWT	74,607	-	-	-	4,288	-	8,080	-	69,299	-	156,274	161,819	(5,545)
PC 17 - Joint Regional Wastewater Reclamation	18,793	-	-	25,003	740	-	171,980	-	13,323	-	229,838	209,247	20,590
PC 21 Effluent Transmission Main	-	-	-	2,029	-	2,029	-	-	-	-	4,058	4,058	0
PC 23 North Coast Interceptor	-	-	-	-	-	-	-	-	-	-	-	0	0
PC 24 - Aliso Creek Ocean Outfall	887	-	-	1,623	37	1,372	1,980	-	398	-	6,298	6,952	(654)
<b>Total</b>	<b>94,827</b>	<b>3,510</b>	<b>63,519</b>	<b>29,111</b>	<b>5,102</b>	<b>4,179</b>	<b>256,050</b>	<b>59,659</b>	<b>133,852</b>	<b>27</b>	<b>649,837</b>	<b>649,837</b>	<b>(0)</b>
Before	94,302	3,720	66,755	25,782	5,121	4,421	249,870	62,770	137,065	30	649,837		
*Change	525	(210)	(3,236)	3,329	(19)	(241)	6,179	(3,111)	(3,213)	(3)	0		

Change is due to moving City of Laguna Niguel Heat Transfer, \$31,320, to PC 17

## Cash from Other Sources as of June 30, 2018

Cash Source	Amount				Finance Officers Recommended Allocation Methodology
	FY 2015-16	FY 2016-17	FY 2017-18	3 Years Total	
County of Orange Bankruptcy Payment	18,714			18,714	(4)
County of Orange Admin Fees	13,626			13,626	(4)
County of Orange Access Maintenance	3,000			3,000	(4)
City of Laguna Niguel Heat Transfer	31,320			31,320	(5)
SMWD Lab Fees	17,820			17,820	(4)
Coke machine	30			30	(4)
FEMA Reimbursement			136,995	136,995	(3)
Interest Income Received	24,587	45,294	114,150	184,031	(1)
Recycling Income	16,710	11,708	2,112	30,530	(4)
PC 23 Admin Payment		9,135		9,135	(4)
Mutual Omaha Refund		8,034		8,034	(4)
Interest received for 4th qtr.		4,934	25,256	30,190	(1)
LAIIF Interest Adj.		3,000		3,000	(1)
Grant Revenue		1,500		1,500	(2)
Sale of Fixed Assets	20,289		6,297	26,585	(4)
Other misc adjustments	135,326			135,326	(4)
<b>Total Additional Cash</b>	<b>281,422</b>	<b>83,605</b>	<b>284,810</b>	<b>649,837</b>	

Finance Officers Recommended Allocation Methodology	Method 1 Interest Income	Method 2 Grant Revenue	Method 3-FEMA Reimbursement	Method 4 Various	Method 5 PC Direct	Total
Large Capital Cash on Hand by Member Agency for each Year	217,221					217,221
PC 05 Members, O&M Use Audit		1,500				1,500
PC 02 Members, O&M Use Audit			24,936			24,936
PC 15 Members, O&M Use Audit			52,424			52,424
PC 17 Members, O&M Use Audit			59,635		31,320	90,955
SOCWA Historical Labor Data 2002-2017				262,800		262,800
	<b>217,221</b>	<b>1,500</b>	<b>136,995</b>	<b>262,800</b>	<b>31,320</b>	<b>649,837</b>

# Agenda Item

<b>Budgeted:</b> No
<b>Budget amount:</b> \$51,326
<b>Line Item:</b> 2783-0000
<b>Legal Counsel Review:</b> No
<b>Meeting Date:</b> June 6th, 2019

**TO:** Project Committee No. 17  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** David Lloyd, IT Systems Administrator  
**SUBJECT:** Regional Treatment Plant AT&T Underground Conduit Repair Project

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## Background

The AT&T conduit at the Regional Treatment Plant (RTP) was determined by AT&T not to be suitable for running fiber due to multiple blockages from the road to the Regional Treatment Plant server room. The blockages must be cleared before the fiber Internet connection can be run to the RTP administrative building. This issue was brought to the Board's attention at the April 4, 2019, Board meeting due to the exceedance of the \$50,000 General Manager's spending limit.

## Discussion

Over forty businesses were contacted to obtain a quote to clear the conduit at the Regional Treatment Plant; however, only two businesses were willing to submit a proposal: Dynaforce Electric and TLC Telecom. Dynaforce Electric could not guarantee that the existing COX cable connection running through parallel conduits would not be damaged during this work eliminating Dynaforce as a prospective bidder.

The project was completed on April 22, 2019, and the documentation was verified by AT&T to be acceptable to start work on May 2, 2019. The following dates identify the work completed for this project.

<b>Date</b>	<b>Task/Work Item</b>
February 12, 2019	Initial quote received
March 13, 2019	Change order 1
March 28, 2019	Phase 1 conduit repair begins
April 3, 2019	Change order 2
April 12, 2019	Phase 2 conduit repair begins
April 22, 2019	Conduit repair completed
May 2, 2019	AT&T signed off on documentation to begin fiber install

**Fiscal impact**

Table 1 – PC 17 Member Agency Impact

<b>Common</b>	<b>Ownership %</b>	<b>Impact</b>
CLB	6.27%	\$3,218
EBSB	0.33%	\$169
ETWD	10.26%	\$5,266
MNWD	78.13%	\$40,101
SCWD	5.01%	\$2,571
<b>Total</b>	<b>100.00%</b>	<b>\$51,326</b>

**Recommendation**

Ratify expenditure and receive and file report.

# Agenda Item

<b>Budgeted:</b> No
<b>Funding:</b> Small Capital (PC2)
<b>Recommended Spending:</b> \$133,600
<b>Legal Counsel Review:</b> N/A
<b>Meeting Date:</b> June 6, 2019

**TO:** Board of Directors  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** David Lloyd, IT Administrator  
**SUBJECT:** Agenda Preparation Software / Audio Visual Hardware

---

## Summary

The administrative staff has been interested in the betterment of their ability to prepare board packets, keep accurate meeting records and minutes. The existing use of the hand-held recording system is antiquated, and with the number of meeting attendees and speakers over the last several years increasing, the preparation of documents is cumbersome and challenging. The recording system frequently fails to pick up the speaker over the rustling of papers and background noise. **This is the principal reason for the requested investment in a better system.**

Staff considered budgeting for these improvements in the coming year, however, with the availability of some funding in the SOCWA small capital budget as projected for the close of the current fiscal year, staff would like to purchase an improved system at this time. There are other advantages to adding the new systems:

- Agenda preparation software would offer the option of paperless agendas with links to agenda topics that would eliminate up/down scrolling for those using electronic devices.
- The software could include the ability for streaming video via online access through SOCWA's website, which would give SOCWA greater transparency for all public meetings. Given the number of agency representatives that change over in attending SOCWA meetings, which can be up to 7 differing board/committee representatives or attendees who are speaking for their agency, it would be of benefit to have the ability to review participation by agency representatives. A video archive of meetings would provide background information to the discussion of important topics.

In January 2019, David Lloyd, IT Administrator, and Danita Hirsh, Administrative Assistant II/III collaborated on evaluating a complete integrated system with the following goals in mind:

- Improved audio functionality to isolate speakers and control microphone input
- Agenda Automation (i.e., postings, routing/tracking staff reports, attachments, etc.)
- Meeting Management functionality (i.e., timestamping, voting, motions, etc.)
- Video Streaming (i.e., live and on-demand viewing)
- Voting capabilities; and
- Document Management (i.e., automated meeting archiving and retrieval)



Staff solicited advice and proposals from 5 vendors for Agenda Automation as well as AV equipment providers. Staff is interested in bringing technology in-house to allow for efficiency and clarity in managing meetings and documents, so they also consulted with Chris Cardenas of SOCTV Productions who has been attending and video recording meetings here at SOCWA for some time.

Staff focused on purchasing a limited system that would meet immediate needs. Two software systems were evaluated and based on features and cost considerations, the PrimeGov system is recommended. In contrast to the Granicus System, it offers similar features in agenda preparation, meeting tracking and minutes development but at a lower cost. PrimeGov also has the advantage of providing a one-stop shop for Agenda automation, videoing integration, and voting functions. We also found that AVI-SPI would be the top choice for video cameras, audio speakers, microphones, transmitter, receiver, media display, and necessary hardware. Based on these two options, a small and efficient system can be purchased for:

- \$15,000 Software cost (with a 3% annual increase)
- \$118,600 Hardware cost (this allows for funding 4 cameras for all room angles; cost could be reduced with the use of fewer cameras, each at a cost of \$5,400).

Funding for this project would come from the FY 2018-19 small capital budget for PC 2. Staff recommends redistribution of the costs equally across all project committees with the preparation of the FY Use Audit.

### **Additional Information**

The Finance Committee reviewed this request at the May 21, 2019, Finance Committee meeting and generally concurred in the goal of bettering SOCWA's systems to create efficiency in meeting documentation. Chris Cardenas of SOCTV Production spoke at the meeting in support of the efficiencies to be gained in meeting preparation and documentation noting the importance of simplifying procedures, which the system change would allow. Director Collings asked the Committee to concur in sending the item to the Board for discussion of policy. Directors also asked to see a list of components that would make up the purchase, which is attached hereto. Director Miller moved, and Director Erdman seconded a motion to bring the item to the full board for discussion, and the Finance Committee approved that motion.

### **Recommendation**

- 1) Receive a report from the Finance Committee as to its discussion of the item.
- 2) Staff recommends that the Board authorize the General Manager to acquire a limited software/hardware system to increase quality and improve efficiency in agenda/meeting/documentation functions at SOCWA.



Prepared For:

David Lloyd  
IT Systems Administrator  
South Orange County Wastewater Authority  
Office: 949.234.5413

Date: 4/12/2019  
Expiration Date: 5/31/2019  
Sales Contact: Joshua Hurni  
[joshua.hurni@primegov.com](mailto:joshua.hurni@primegov.com)  
510.519.9000

Software

The PrimeGov legislative management suite is a hosted solution. The pricing is based on operating budget, and all modules are included for one price. There are no limits for the number of users, number of meetings, number of videos, or amount of data uploaded to the solution. The following modules are included:

- Committee Manager
- Agenda Builder
- Electronic Forms
- Workflow
- Real Time Meeting Management (minutes, motions, votes)
- Video Streaming
- Public Portal

For an agency of your size, the annual cost will be \$10,000.00.

Hardware

As a hosted solution, no hardware is required to be installed onsite, with the exception of a Aja Helo video encoder for capturing and streaming live video.

Services

There is no charge for implementation of the solution. The following services are included:

- Project Management
- Installation
- Configuration
- Testing
- Initial Admin and User Training
- Data Conversion
- 2 Onsite Visits for Initial Implementation

Additional Expenses

As outlined above two onsite visits are included for the initial setup, configuration, and training. Additional expenses are billed at a daily per diem of \$60.00. Transportation and lodging are billed as incurred.

Suite Cost Overview

Annual Hosting Fees	\$10,000.00
Implementation (including 1 encoder)	\$5,000.00
<b>TOTAL SYSTEM COST (Year 1)</b>	<b>\$15,000.00</b>
Additional Years	\$15,000.00 + 3% each year



## Room Summary

Prepared For:	David Lloyd
<b>South Orange County Wastewater Authority</b> <b>34156 Del Obispo St</b> <b>Dana Point, CA 92629-2916</b>	

Prepared By:	Mary Kay deJesus
Date Prepared:	04/12/2019
Proposal #:	304416-1
Room Name:	BoardRoom
Valid Until:	06/12/2019

## Equipment List

Mfg	Model	Description	Qty	Unit Price	Extended Price
		<b>DISPLAYS</b>			
LG ELECTRONICS	LGE86UH5EB	LCD, 86" 4K/UHD 500NIT 109LB WIRELESS LAN 24/7	1	\$7,225.88	\$7,225.88
LG ELECTRONICS	LGE65UH5CB	LCD, 65" 4K/UHD 500NIT LED W/SPEAKERS 24/7 (DIGITAL SIGNAGE)	1	\$2,105.88	\$2,105.88
CHIEF	CHITS525TU	MOUNT, ULTRA-LOW PROFILE SWING ARM UP TO 25" EXT 37" TO 58"	2	\$379.55	\$759.10
CRESTRON	CREDMRMC4KSCALERC	4K DigitalMedia 8G+ RECEIVER & ROOM CONTROLLER W/SCALER ----	2	\$1,058.82	\$2,117.64
		<b>VIDEO SWITCHER</b>			
CRESTRON	CREDMMD8X8CPU3	8X8 DigitalMedia SWITCHER	1	\$2,529.41	\$2,529.41
CRESTRON	CREDMC4KZHD	INPUT CARD, HDMI 4K60 4:4:4 HDR FOR DM SWITCHERS	1	\$470.59	\$470.59
CRESTRON	CREDMC4KZC	INPUT CARD, DIGITAL MEDIA 8G+ 4K60 4:4:4 HDR FOR DM SWITCHER	5	\$647.06	\$3,235.30
CRESTRON	CREDMC4KZCOHD	OUTPUT CARD, 2-CH DIGITALMEDIA 8G+ 4K60 4:4:4 HDR FOR DM SWI	1	\$764.71	\$764.71
CRESTRON	CREDMC4KHDO	DM OUTPUT CARD, 2-CHANNEL 4K HDMI	1	\$1,058.82	\$1,058.82
		<b>VIDEO SOURCES</b>			
BARCO ELECTRONICS, INC.	BARR9861510NA	CLICKSHARE COMPLETE STARTER PKG, CS-100 (OWNER FURNISHED)	1	\$0.00	\$0.00
CRESTRON	CREDMTX4K100C1GBT	TRANSMITTER, 4K DigitalMedia 8G+ WALLPLATE (BLACK TEXTURED)	1	\$411.76	\$411.76
OWNER FURNISHED	OFE PC	OWNER FURNISHED PC TO RUN VOTING SOFTWARE	1	\$0.00	\$0.00
		<b>CAMERAS</b>			
PANASONIC	PANAWUN70WPJ	PTZ 4K CAMERA, WHITE, POE+, 20X OPTICAL ZOOM	4	\$5,447.06	\$21,788.24
PANASONIC	PANFEC40WMW	MOUNT, WALL FOR HE40 AND UE70 - WHITE	4	\$174.12	\$696.48
CRESTRON	CREDMTX4K100C1GBT	TRANSMITTER, 4K DigitalMedia 8G+ WALLPLATE	4	\$411.76	\$1,647.04

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Mfg	Model	Description	Qty	Unit Price	Extended Price
		(BLACK TEXTURED)			
		<b>AUDIO</b>			
CRESTRON	CRESAROSIC6TWTEACH	SPEAKER, 6.5" SAROS 2-WAY IN-CEILING, WHT (ORDER IN PAIRS)	4	\$135.29	\$541.16
CRESTRON	CREAMP120070	AMPLIFIER, SINGLE-CHANNEL MODULAR POWER, 200W/CH 70V	1	\$441.18	\$441.18
BIAMP SYSTEMS	BIATESIRAFORTEDANVT	TESIRA FORTE DSP FIXED I/O SERVER W/ 12 IN, 8 OUT, VOIP, DANTE	2	\$2,469.41	\$4,938.82
SHURE	SHUMXWAPT8Z10	TRANSCIEVER, 8-CH ACCESS POINT	2	\$2,626.47	\$5,252.94
SHURE	SHUMXW8Z10	TRANSMITTER, DESKTOP BASE	15	\$447.06	\$6,705.90
SHURE	SHUMX405LPC	5" SHOCK-MOUNTED GOOSENECK, CARDIOID, LESS PREAMPLIFIER	15	\$173.24	\$2,598.60
SHURE	SHUMXW2BETA58Z10	TRANSMITTER, HANDHELD W/ BETA58 MICROPHONE	1	\$497.35	\$497.35
SHURE	SHUMXWNCS8	CHARGING STATION, 8CH NETWORKED	4	\$1,369.12	\$5,476.48
NIVEO PROFESSIONAL	NIVNRS8GP	NETWORK SWITCH, 8-PORT + UPLINK POE+ GIGABIT	1	\$180.00	\$180.00
		<b>CONTROL</b>			
PAKEDGE DEVICE & SOFTWARE	PAKSX24P	SWITCH, 24 PORT GIGABIT POE+	1	\$1,147.06	\$1,147.06
CRESTRON	CRETSW1060BS	TOUCH SCREEN, 10" SURFACE MOUNT - BLACK SMOOTH	1	\$1,411.76	\$1,411.76
CRESTRON	CRETSW1060TTKBS	TABLE TOP KIT FOR TSW-1060, BLACK SMOOTH	1	\$147.06	\$147.06
		<b>EQUIPMENT RACK</b>			
MIDDLE ATLANTIC	MIDDWR1822PD	RACK, 18SP/22D WALLRACK W/PLEXI	1	\$676.06	\$676.06
MIDDLE ATLANTIC	MIDPD915R	POWER STRIP, 9 OUTLET, SINGLE 15 AMP CIRCUIT	1	\$87.88	\$87.88
MIDDLE ATLANTIC	MIDPD815SC	POWER STRIP, EXTRA SHORT 8 OUTLET SINGLE 15 AMP	1	\$78.88	\$78.88
MIDDLE ATLANTIC	MIDDWRFK22	22" DP DWR FAN KIT	1	\$111.18	\$111.18
MIDDLE ATLANTIC	MIDDWRRR18	18 SPACE (31 1/2") DWR REAR RAIL KIT	1	\$37.59	\$37.59
		<b>MISC EQUIPMENT</b>			
				<b>Total</b>	<b>\$75,140.75</b>

## Room Maintenance Services

	Price
Three Year - Customer Care Preferred Onsite	\$9,016.89

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<b>Equipment Total</b>	\$75,140.75
<b>Installation Materials</b>	\$3,930.43
<b>Professional Services</b>	\$21,070.00
<b>Direct Costs</b>	\$0.00
<b>General &amp; Administrative</b>	\$3,080.11
<b>Maintenance Services</b>	\$9,016.89
<b>Subtotal</b>	\$112,238.18
<b>Tax</b>	\$6,302.72
<b>Total</b>	<b>\$118,540.90</b>

**Purchase orders should be addressed to Audio Visual Innovations, Inc.**

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## Investment Summary

Prepared For: <b>David Lloyd</b>	Prepared By: <b>Mary Kay deJesus</b>
<b>South Orange County Wastewater Authority</b> <b>34156 Del Obispo St</b> <b>Dana Point, CA 92629-2916</b>	Date Prepared: <b>04/12/2019</b>
	Proposal #: <b>304416-1</b>
	Valid Until: <b>06/12/2019</b>

### Total Equipment Cost \$79,071.18

Includes cable, connectors, hardware, switches, relays, terminal blocks, panels, etc., to ensure a complete and operational system

### Professional Integration Services \$21,070.00

Includes: Engineering, project management, CAD, on-site installation and wiring, coordination and supervision, testing, checkout, owner training, etc. performed on the Owner's premises. Also includes all fabrication, modification, assembly, rack wiring, programming, warranties, etc., some performed at AVI-SPL

### Direct Costs \$0.00

Includes: Non equipment or labor costs such as travel expenses, per diem, lift and vehicle rentals.

### General & Administrative \$3,080.11

Includes all G & A expenses: bonds, vehicle mileage, shipping & insurance

### Maintenance Services \$9,016.89

Includes room maintenance services and/or customer care hardware and software maintenance services as described in "Room Summary".

<b>Subtotal</b>	<b>\$112,238.18</b>
<b>Tax</b>	<b>\$6,302.72</b>
<b>Total</b>	<b>\$118,540.90</b>

**\* any and all applicable taxes will be included upon invoicing**

**Purchase orders should be addressed to Audio Visual Innovations, Inc.**

Signed \_\_\_\_\_

Printed \_\_\_\_\_

Date \_\_\_\_\_

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# Agenda Item

**Budgeted:** Yes

**Budget Available:** \$200,000

**Line Item:** PC 2, 15 and 17 Small Capital

**Meeting Date:** June 6, 2019

**TO:** Project Committee No(s). 2, 15 and 17  
**FROM:** Betty Burnett, General Manager  
**STAFF CONTACT:** Jim Burror, Director of Operations  
**SUBJECT:** New or Used Heavy Equipment Purchases

---

## Summary

SOCWA needs to update its fleet to include a diesel power truck and replace a Tier 0 tractor with a Tier 2 or 3 tractor. The cost of new or used units is over \$50,000 and requires the authorization of the Board of Directors. Staff proposes that the Board authorize the General Manager to purchase these two (2) vehicles and to allow staff the option to possibly purchase used vehicles. This is because used equipment sells quickly, and delays for Board approvals are not conducive to purchasing used vehicles.

## Discussion

SOCWA currently has a nearly 30-year old tractor at the Coastal Treatment Plant that is used to move heavy equipment, support emergency repairs, and maintain the storm drain systems. The tractor is beyond the end of its useful life. The primary problem is the tractor has become very difficult to start. Under SCAQMD rules, the tractor is classified as a Tier 0 tractor and to minimize air pollution the tractor cannot be allowed to idle. Thus, SOCWA staff is having problems restarting the tractor in the field to avoid idling. The tractor would be replaced with a newer Tier 2 or Tier 3 diesel tractor.

The second vehicle needed is a diesel truck for use during disasters and hauling generators. During the recent emergency exercises, it was found that diesel fuel, not gasoline, will be available during disasters. SOCWA only has one vehicle that uses diesel fuel, but it requires a Class A Driver's License. A diesel truck would also allow staff to haul the generators and large equipment between the plants without the need for a Class A Driver's License.

Staff has been researching prices for both vehicles and has found that the costs range from \$75,000 to \$90,000 for each vehicle. It is above the General Manager's authority of \$50,000. Staff also found that used vehicles occasionally become available and are quickly purchased. Staff would like to purchase used vehicles because we have qualified staff to maintain these types of vehicles. However, staff cannot rule out purchasing new vehicles because these types of vehicles are in heavy demand.

## Fiscal impact

The tractor at CTP would be a PC15 common small capital expense. The diesel truck would be a common small capital expense to be split three ways between PC2 - JBL, PC15 - CTP, and PC17 - RTP.

**Recommendation**

Staff recommends that the Board of Directors: 1) Authorize the General Manager to purchase two (2) heavy equipment vehicles, as described above, each not to exceed \$95,000; and, 2) The General Manager to report the final purchase prices and PC cost distributions to the Board of Directors upon completion.



# Agenda Item

Legal Counsel Review: No

Meeting Date: June 6, 2019

**TO:** SOCWA Board of Directors  
**FROM:** Betty Burnett, General Manager  
**SUBJECT:** General Manager's Status Report

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## Operations and Maintenance Department

### CTP AWT Back Online

After several months on construction, the AWT at CTP is back online. Below is the first water coming through the AWT. O&M staff has been working with Engineering and the contractor to complete the startup and testing of the system.



### JBL Staff Overhauling Centrifuge #1

The smaller D5L centrifuge at JBL was recently overhauled. This smaller unit has been in regular service with the recent overhauls of the 2 larger units. In the below pictures, staff is performing a major overhaul to ensure the machine is fully operational as a backup unit in the future.



### JBL Replaced Scrubber Fan

The O&M staff recently replaced the primary foul air scrubber fan at JBL. The old fan had lost efficiency and needed to be replaced to restore the air volumes collected and treated by the foul air scrubber system. The staff planned the replacement process to stay within the 12-hours that the SCAQMD allows for the scrubber to be offline. The work started at 5 a.m. and was carefully executed. The work was completed well within the 12-hour window. Pictured below are some photos from the work effort.



Before

Staff Removing Old Fan

New Fan Installed

### Occupational Lead Poisoning Prevention Program Update

O&M staff recently updated the list of potential lead hazards at the treatment plants. Lead piping and the associated fitting were primarily used in the now removed chlorine gas systems. The process included documenting material weights to assess if SOCWA could be removed from the annual Occupational Lead Poisoning Prevention filing process with the State. Staff will be updating the safety policies, procedures, and lead-containing inventory list with the updated information.

SOCWA's remaining items that contain lead include lead-acid batteries and several pieces of equipment that use lead bearings. The current inventory remains over the minimum threshold of 1 pound. Staff will also be investigating replacement options for the batteries and bearings to eliminate the lead hazards completely from the treatment plants.

### Environmental Compliance Department

#### Update SOCWA Research Human Health Markers

SOCWA Hf183 Study is underway:

#### *Project 1*

California State University, Fullerton researcher, Dr. Phillip Gedalanga, the principal investigator for the research began coordination with the Santa Margarita Water District to collect tertiary treated samples to account for the matrix effect from recycled water. The treatment strategy will establish a protocol that will be followed up by a series of four separate treatments to distinguish the viability of the Hf183 human marker in recycled water. SOCWA will seek project partners for interlaboratory calibration studies in the Fall of 2019.

*Project 2*

This project is predicated on the effective treatment found in Project 1. No work completed at this time.

*Project 3*

The SOCWA laboratory is continuing speciation work related to Project 3. SOCWA staff received recycled water distribution samples from open recycled water reservoirs and diversion locations within the SOCWA service area. Half of the ten samples received tested positive for *Enterococcus casseliflavus* or *Enterococcus gallinarum*, which are bacteria that are naturally found in the environment. This finding supports the input of naturalized bacteria in the recycled water distribution system.

Wood Innovation Grant

The Fire Ravaged Grant that CASA received has successfully produced biochar to replace carbon that is used in the digester gas conditioning skid at the Regional Treatment Plant and the JB Latham Treatment Plant. The biochar that SOCWA currently uses is 2mm bituminous coal from China. The biochar currently being developed by CASA and Colorado State University is sourced from the tree biomass that was ravaged by the Bark Beetle. The biochar is being received and installed at the Delta Diablo Treatment Plant, Los Angeles County Sanitation Districts, and South Tahoe Public Utilities District. SOCWA will receive the biochar in the Fall after the media has been tested at the other treatment facilities.

# Agenda Item

**Meeting Date:** June 6, 2019

**TO:** Board of Directors  
**FROM:** Betty Burnett, General Manager  
**SUBJECT:** Monthly Progress Report on State Audit Recommendations

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Attached are staff updates for the State Audit Response Schedule.

## **Recommendation**

Information item.

SOCWA State Audit Response Schedule

Page	Recommendations	Supplemental Actions to Implement Recommendations	Preparation Schedule/Responsible Staff	Filing Date
	Annual Report to State Auditor on Progress			Filed on March 21, 2019 (Remaining Open Item – Consideration of Revision to SOCWA JPA to assign method/% of Member Agency Obligations for Unfunded Liabilities)
16	Finish Investigating difference in available cash balances per audited financial statements	<p>(a) Complete investigation of differences in available cash balances to audited financial statements.</p> <p>(b) Develop a method that is agreeable to members for allocating additional cash to the credit of members:</p> <p>(i) Consider allocating to members based on existing proportion to available cash</p> <p>(ii) Implement improved procedures to account for member cash</p>	<p>(a) Prepare results of investigation report, and discuss with Finance Committee and Board</p> <p>(b) Cash Roll Forward results discussed Finance Committee and Board of Directors April, 2018</p> <p>(i) Board to review by June, 2018</p> <p>(ii) Procedures in Place</p>	<p>(a) To be completed: September, 2018 – Submitted to State 9/20/18 for 6 mo. compliance</p> <p>(b)(i) To be Completed: September, 2018 – FCM directed staff to provide alternative methods to allocate and to meet with Agency Finance Officers to review, meeting pending early October 2018 – completed. Board to review and determine final distribution option by 4/4/19. Completed.</p> <p>(ii) 2015-16 Cash Roll Forward was distributed to Board April, 2018; 2016-17 to be reviewed by Finance Committee May, 2018 – Completed.</p>

Next Page	Recommendation	Supplements to Recommendation	Preparation/Schedule/ Responsible Staff	Filing Date
		(iii) Provide Monthly reports of available cash balances to members	(iii) 12/6/18 Board adjusted reporting of available cash to Quarterly Responsible: Finance Officer	(iii) Complete '17-18 update and implement quarterly updates 12/6/18; Fin Com reviewed Jan. 2019. <b>Quarterly review 5/23/19 &amp; 6/6/19.</b>
19	SOCWA and Members should amend the current JPA to expressly state whether members will be responsible for SOCWA retirement benefits	SOCWA should inform plan participants.	Begin consideration of JPA Revisions with assistance of SOCWA Counsel by July, 2018  Submit to Agencies for approval, July, 2019  Responsible: GM/SOCWA Counsel	To be Completed: September, 2019. Plan presented by Procopio to SOCWA Executive Committee on 12/6/18 for review and comment. ExCom directed proceeding with meeting of agency attorneys to review – meeting held 2/14/18. Flow input from agencies requested 1/23/19, due 2/28/19. Response from IRWD & SJC received. <b>Agency Managers Meeting held 5/13/19, Issues Briefed.</b>
28	Develop and follow a timeline with specific deadlines for completing each of its planned year-end tasks	i. Prepare a policy requiring correction of future internal control deficiencies within six months of identifying by external auditor  ii. Develop accounting procedures including step-by-step instructions	(i) Counsel to develop by May 2018 Board meeting. Responsible: GM/SOCWA Counsel (ii) Underway. Responsible: Finance Controller (iii) Counsel to develop by May 2018 Board meeting.	(i) Completed, reported to State Auditor 5/10/18 (ii) Procedures & Schedule for Year End to review with Finance Committee August, 10 2018. Submitted to State

28 Cont.		<p>iii. Amend policy on procurements to specify that SOCWA should enter into agreements of at least 5 years with competitively procured external audit firms.</p> <p>iv. Adopt policy to rotate external auditor when state law requires.</p>	<p>Responsible: GM/SOCWA Counsel.</p> <p>(iv) Counsel to develop by May 2018 Board meeting.</p> <p>Responsible: GM/SOCWA Counsel.</p>	<p>9/20/18 with 6-month compliance update. Completed.</p> <p>(iii)and(iv) completed and submitted to State Auditor with initial 60-day compliance 5/11/18.</p>
34	Assure full compliance with the Public Records Act	<p>(i) Update policy on PRA at least annually to track any changes in laws.</p> <p>(ii) Develop more detailed procedures to ensure that SOCWA responds to requests for records in compliance with PRA.</p> <p>(iii) Establish a policy to retain accurate records and supporting documentation to demonstrate full compliance with all PRA requirements.</p>	<p>(i) April 2018 Board Meeting</p> <p>(ii) May 2018, Procedures/Staff Training</p> <p>(iii) Responsible: GM/SOCWA Counsel</p> <p>April 2018 Board Meeting</p>	<p>(i) Adopted April 2018 Board Meeting</p> <p>(ii) Pending (9/2018)</p> <p>(iii) Adopted April 2018 Board Meeting</p> <p>(iv) Submitted to State Auditor with initial 60- day report on 5/10/18</p>

# Agenda Item

**Meeting Date:** June 6, 2019

**TO:** SOCWA Board of Directors  
**FROM:** Teri Noson, Clerk of the Board  
**SUBJECT:** Report of the Nominating Committee - Election of Officers

The annual election of officers for SOCWA is typically scheduled for the June Board meeting. The Chairman and Vice-Chairman are selected along with the Secretary/Treasurer and an Assistant Secretary. The General Manager is typically selected to serve as the Secretary/Treasurer and the Clerk of the Board as the Assistant Secretary.

At the May Board Meeting Chairman Ferons appointed a Nominating Committee comprised of Director Reinhart and Director Erdman, to recommend nominees for each position. The table below specifies the Nominating Committee's recommendations for the FY 2019/20. It would be appropriate for the presiding Chairman to request a verbal report from the Nominating Committee before asking the Board of Directors to elect/appoint officers for FY 2019/20.

## **NOMINATING COMMITTEE RECOMMENDATIONS – FY 2019/20**

<b><i>Officer</i></b>	<b><i>Nominee</i></b>
Chairman	To be announced
Vice-Chairman	To be announced
Secretary/Treasurer	Betty Burnett, General Manager
Assistant Secretary	Teri Noson, Clerk of the Board

### **Recommendation**

SOCWA Board of Directors elect/appoint Officers to serve the Authority during FY 2019/20.