

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).



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

## **AGENDA**

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

November 7, 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 the item is discussed by the board. There will be a three-minute limit for public comments.

**AGENDA**  
South Orange County Wastewater Authority  
Board of Directors Meeting  
November 7, 2019

4. CONSENT CALENDAR PAGE NO.

A. Minutes of Board of Directors Meeting (s)

- |   |   |
|---|---|
| 1) Board of Directors Meeting September 5, 2019 ..... | 1 |
| 2) Board of Directors Meeting September 17, 2019..... | 6 |
| 3) Board of Directors Meeting October 3, 2019 .....   | 8 |

ACTION        The Board will be requested to approve subject Minutes.

B. Financial Reports for the Month of July 2019

- |  |    |
|--|----|
| a) Summary of Disbursements for July 2019 ( Exhibit A) .....     | 13 |
| b) Schedule of Funds Available for Reinvestment (Exhibit B)..... | 14 |
| c) Local Agency Investment Fund (LAIF) .....                     | 15 |
| d) Schedule of Cash And Investments (Exhibit C).....             | 16 |

ACTION        Information Item (this item will be reviewed at the Finance  
Committee November 12, 2019 meeting and return for  
action to the December 2019 Board Meeting)

C. Financial Reports for the Month of August 2019

- |  |    |
|--|----|
| a) Summary of Disbursements for August 2019 ( Exhibit A).....    | 18 |
| b) Schedule of Funds Available for Reinvestment (Exhibit B)..... | 19 |
| c) Local Agency Investment Fund (LAIF) .....                     | 20 |
| d) Schedule of Cash And Investments (Exhibit C).....             | 21 |

ACTION        Information Item (this item will be reviewed at the Finance  
Committee November 12, 2019 meeting and return for  
action to the December 2019 Board Meeting)

D. Financial Reports for the Month of September 2019

- |   |    |
|---|----|
| a) Summary of Disbursements for September ( Exhibit A) .....                  | 23 |
| b) Schedule of Funds Available for Reinvestment (Exhibit B).....              | 24 |
| c) Local Agency Investment Fund (LAIF) .....                                  | 25 |
| d) Schedule of Cash And Investments (Exhibit C).....                          | 26 |
| e) Budget vs. Actual Capital Spending Year-to-Date (Exhibit D) .....          | 27 |
| f) Capital Graph-Budget vs. Actual Spending Year -to-Date (Exhibit D-1) ..... | 28 |
| g) Budget vs. Actual Expenses Year to Date                                    |    |
| ➤ Operations and Environmental Summary (Exhibit E-1).....                     | 29 |
| ➤ Operations and Environmental by PC (Exhibit E-1.2) .....                    | 31 |
| ➤ Residual Engineering, after transfer to Capital (Exhibit E-2) .....         | 37 |
| ➤ Administration (Exhibit E-3) .....  | 38 |
| ➤ Information Technology (IT) (Exhibit E-4) .....                             | 39 |

**AGENDA**  
South Orange County Wastewater Authority  
Board of Directors Meeting  
November 7, 2019

ACTION      Information Item (this item will be reviewed at the Finance Committee November 12, 2019 meeting and return for action to the December 2019 Board Meeting)

E. Operational Reports – September 2019

1) Monthly Operations Report – September 2019 .....	41
2) Ocean Outfall Discharges .....	51
3) Quarterly Report on Key Operational Expenses .....	53
4) Beach/Ocean Monitoring Report.....	61
5) Recycled Water Report.....	83
6) Pretreatment Report – September and October 2019.....	88

ACTION      The Board will be requested to receive and file the September 2019 Operations Reports.

F. Capital Improvement Program

1) Status Report(s) .....	92
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ACTION      The Board will be requested to receive and file report(s).

G. SOCWA 457 Plan Adoption Agreement..... 94

ACTION      The Board will be requested to approve the SOCWA 457 Plan Adoption Agreement.

5. GENERAL MANAGER’S REPORTS

A. Update on Advanced Water Treatment & Direct/Indirect Potable Reuse (DPR/IPR) ..... 110

- 1) Opportunities, Challenges & Ideas at JBL/RTP/CTP – SOCWA staff presentation;
- 2) DPR/IPR Framework, CA WateReuse Action Plan and Industry Update – Rich Nagel, Jacobs presentation

ACTION      Information Item

B. Financial Edge NXT Upgrade ..... 117

ACTION      The Board will be requested to authorize the General Manager to contract for the upgrade to FE NXT and select one of two options:

- |                                      |  |
|--------------------------------------|--|
| • Upgrade plus 3 years of service    | \$56,293 (Yr. 1)*,<br>29,604 (2 more years)*<br>*\$42,897 in savings |
| Or                                   |  |
| • Upgrade plus one-year subscription | \$74,600   |

**AGENDA**  
South Orange County Wastewater Authority  
Board of Directors Meeting  
November 7, 2019

C. San Juan Creek Ocean Outfall NPDES Permit (PC5)..... 120

ACTION      The PC5 Board will be requested to approve the inclusion and update of the San Juan Creek Ocean Outfall Report of Waste Discharge to include the Doheny Desal Project with conditions for updated modeling and monthly monitoring.

D. Chlor Alkali Products 5.25%-12.5% Sodium Hypochlorite (Bleach) and 30%-50% Sodium Hydroxide (Caustic Soda) Contract Awards ..... 123

- ACTIONS    1) Staff recommends the Board authorize the General Manager to enter into a contract with Olin, Inc. for sodium hypochlorite products for two (2) years with pricing as set forth in the staff report with up to three (3) optional annual renewals; and
- 2) Staff recommends the Board authorize the General Manager to enter into a contract with North Star Chemical, Inc. (a DBA of Pacific Star Chemical, LLC.) for sodium hydroxide products for two (2) years with pricing as set forth in the staff report with up to three (3) optional annual renewals.

E. SOCWA Employee Manual Update & Side Letter Agreement to SOCWA Employee Association Memorandum of Understanding for the Period July 1, 2017 to June 30, 2020, and July 1 2020 to June 30, 2023. (Open session items may follow Closed Session). ..... 128

- ACTIONS    1) Staff recommends approval of the revised Employee Manual dated November 7, 2019: and
- 2) Staff recommends the approval of Side Letter No. 5 to the SOCWA Employee Association Memorandum of Understanding (“MOU”) for the Period July 1, 2017 to June 30, 2020, and Side Letter No. 1 to the MOU for the Period July 1, 2020 to June 30, 2023.

F. General Manager’s Status Report ..... 129

ACTION      Information Item

G. Monthly Progress Report on State Audit Recommendations ..... 139

ACTION      Information Item

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## **AGENDA**

South Orange County Wastewater Authority  
Board of Directors Meeting  
November 7, 2019

### 6. CLOSED SESSION

- A. Closed Session Pursuant to Government Code § 54957.6 Conference with Labor Negotiators:

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

Employee Organization: SOCWA Employee's Association

### 7. OTHER MATTERS

- A. Open discussion or items received too late to be agendaized.

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.]

### 8. ADJOURNMENT

THE NEXT SOCWA BOARD MEETING  
DECEMBER 12, 2019

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

**DRAFT**

**Board of Directors**

**September 5, 2019**

The Regular Meeting of the South Orange County Wastewater Authority (SOCWA) Board of Directors Regular Meeting was held on September 5, 2019, at 8:30 a.m. at their Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of the Board of Directors Special Meeting were present:

DAN FERONS	Santa Margarita Water District	Director
DENNIS ERDMAN	South Coast Water District	Director
TONI ISEMAN	City of Laguna Beach	Director
RAY MILLER	City of San Juan Capistrano	Alternate Director
MIKE GASKINS	El Toro Water District	Alternate Director
MATT COLLINGS	Moulton Niguel Water District	Alternate Director
DAVE REBENDS DORF	City of San Clemente	Director [arrived 8:34am]
MICHAEL PEREA	Trabuco Canyon Water District	Alternate Director
DOUG REINHART	Irvine Ranch Water District	Director
MIKE DUNBAR	Emerald Bay Service District	Director

**Staff Present:**

BETTY BURNETT	General Manager
MARY CAREY	Finance Controller
JIM BURROR	Director of Operations
JASON MANNING	Director of Engineering
AMBER BAYLOR	Director of Environmental Compliance
RONNIE GRANT	Associate Engineer
KONSTANTIN SHILKOV	Senior Accountant
NADYN KIM	Accountant
ANNA SUTHERLAND	Accounts Payable/Payroll Clerk
DINA ASH	HR Administrator
JEANETTE COTINOLA	Procurement & Contracts Administrator
DANITA HIRSH	Administrative Assistant

**Also Present:**

ADRIANA OCHOA	Procopio Law Firm
DENNIS CAFFERTY	El Toro Water District
DON FROELICH	Moulton Niguel Water District
KATHRYN FRESHLEY	El Toro Water District
JOE McDIVITT	South Coast Water District
FERNANDO PALUDI	Trabuco Canyon Water District
TREVOR AGRELIUS	Moulton Water District
STEVE GREYSHOCK	Greycomm, LLC

**1. CALL TO ORDER**

Chairperson Ferons called the meeting to order at 8:30 a.m.

**2. PLEDGE OF ALLEGIANCE – Director Reinhart**

### **3. ORAL COMMUNICATIONS**

Alternate Director Perea introduced Fernando Paludi as the new General Manager for Trabuco Canyon Water District.

### **4. CONSENT CALENDAR**

Ms. Burnett pulled Consent Calendar agenda items B.2.b, and B.2.c, and informed the Board that the Minutes were vetted and approved at the Finance Committee meeting on September 3, 2019.

#### **ACTION TAKEN**

Motion was made by Director Erdman and seconded by Director Dunbar to approve the Consent Calendar, including agenda items B.2.b. and B.2.c. as submitted.

Motion carried:	Aye 10, Nay 0, Abstained 0, Absent 0
	Director Ferons Aye
	Director Iseman Aye
	Director Erdman Aye
	Director Miller Aye
	Director Dunbar Aye
	Director Collings Aye
	Director Perea Aye
	Director Gaskins Aye
	Director Reinhart Aye
	Director Rebensdorf Aye

### **5. ENGINEERING MATTERS**

#### **A. Project Committee 2**

##### **1) Award of Condition Assessment – JB Latham Treatment Plant Blower Building (Plant 1)**

#### **ACTION TAKEN**

Motion was made by Director Collings and seconded by Director Erdman for Project Committee 2 Members to approve the award of condition assessment contract to Carollo Engineers at a fee not to exceed \$95,813, and approve a budget increase of \$15,000 identified in Tables 2 and 4, and approve including \$15,000 in the Fiscal Year 2019/2020 Non-Capital Projects budget.

Motion carried:	Aye 4, Nay 0, Abstained 0, Absent 0
	Director Ferons Aye
	Director Erdman Aye
	Director Miller Aye
	Director Collings Aye

### **6. GENERAL MANAGER'S REPORT**

#### **A. FY2018-19 Annual Financial Statements Audit FY2018-19 Progress**

ACTION TAKEN

There was a consensus amongst the Board to receive and file the report.

B. SOCWA 457 Plan Improvements

Ms. Burnett briefed the Board on the progress made to improve the plan documents and agreements to the SOCWA 457 Plan. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller to approve the SOCWA 457 Plan document and authorize the General Manager to enter into the requisite service agreements with Nationwide Private in a form approved by counsel, and retain Wells Fargo Advisory Services to provide Plan Advisory Services, and give an update review on the plans performance in one year.

Motion carried:	Aye 10, Nay 0, Abstained 0, Absent 0
	Director Ferons Aye
	Director Iseman Aye
	Director Erdman Aye
	Director Miller Aye
	Director Dunbar Aye
	Director Collings Aye
	Director Perea Aye
	Director Gaskins Aye
	Director Reinhart Aye
	Director Rebensdorf Aye

C. Revised SOCWA Policy Establishing Guidelines for Travel and Expenses Reimbursement

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller to approve the August 2019 revision to the SOCWA Policy Establishing Guidelines for Travel and Expense Reimbursement, and rescind prior Policy, SOCWA Resolution No. 2011-04, SOCWA Policy Establishing Guidelines for Travel and Expense Reimbursement.

Motion carried:	Aye 10, Nay 0, Abstained 0, Absent 0
	Director Ferons Aye
	Director Iseman Aye
	Director Erdman Aye
	Director Miller Aye
	Director Dunbar Aye
	Director Collings Aye
	Director Perea Aye
	Director Gaskins Aye
	Director Reinhart Aye
	Director Rebensdorf Aye

D. Appointment of Executive Committee and Finance Committee Members



Ms. Burnett reported, when the members of the Board were voted on, there was no definitive clarification by name on who was appointed to the Executive Committee and Finance Committee. She stated that it was determined that the Executive Committee was appointed by the Chair and was a part of the initial approval that was no longer in question. However, the Finance Committee Member appointment needed to be addressed.

Ms. Adriana Ochoa of Procopio law discussed the existing language of the bylaws and made recommendations to the Board for purposes of clarification. An open discussion ensued.

#### ACTION TAKEN

Being there were no requests to change the current structure of the member agencies on the Finance Committee, Chairman Ferons stated the appointments would stand as is with South Coast Water District, City of Laguna Beach, City of San Juan Capistrano, Moulton Niguel Water District, Santa Margarita Water District, and El Toro Water District.

#### E. Use Audit Flow and Solids Methodology Annual Update

Ms. Baylor provided a verbal report on the Annual Flow & Solids Methodology in use for FY2018-19 reporting. Ms. Baylor, reported based on a recommendation from Director Erdman to include in the appendices and appendix that detailed the various questions and responses from the member agencies related to the methodology. Ms. Baylor stated that the redline version was for the purpose of memorializing the changes that were made based on the first iteration of the draft that was sent out. An open discussion ensued.

This was an information item; no action was taken.

#### F. General Managers Status Report

Ms. Burnett stated that she is open to any questions regarding her staff report. She also asked Ms. Baylor to update the Board on any violations.

Ms. Baylor reported on the series of effluent violations stating that one of the violations was in relation to the Aliso Creek Ocean Outfall. However, subsequent analysis showed that SOCWA was within compliance, and the information would be forwarded to the Regional Board. She also reported on violations at the San Juan Creek Ocean Outfall stating, staff was working on ensuring management level controls are engaged to prevent future incidents.

This was an information item; no action was taken.

#### G. Monthly Progress Report on State Audit Recommendations

Ms. Burnett reported on the progress of the State Audit recommendations. Discussion ensued regarding meetings being held by the SOCWA Managers to review the existing JPA Agreements and to consider recommendations to the Board. A letter will be going out to the State Auditors reporting on the progress made to date.

This was an information item; no action was taken.

### **7. OTHER MATTERS**

None

**ADJOURNMENT**

There being no further business, Director Ferons adjourned the meeting at 9:23 a.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Regular Meeting of the South Orange County Wastewater Authority Board of Directors on September 5, 2019, as approved 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

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

**DRAFT**

**Board of Directors  
Special Meeting**

**September 17, 2019**

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Board of Directors was held on September 17, 2019, at 1:00 p.m. at their Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of the Board of Directors Special Meeting were present:

DAN FERONS	Santa Margarita Water District	Director (Chair)
TONI ISEMAN	City of Laguna Beach	Director
RAY MILLER	City of San Juan Capistrano	Alternate Director
KATHRYN FRESHLEY	El Toro Water District	Director
MATT COLLINGS	Moulton Niguel Water District	Alternate Director
DAVE REBENDS DORF	City of San Clemente	Director
GLENN ACOSTA	Trabuco Canyon Water District	Alternate Director
DOUG REINHART	Irvine Ranch Water District	Director
MIKE DUNBAR	Emerald Bay Service District	Director

**Absent:**

DENNIS ERDMAN	South Coast Water District
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**Staff Present:**

BETTY BURNETT	General Manager
DANITA HIRSH	Administrative Assistant

**Also Present:**

FERNANDO PALUDI	Trabuco Canyon Water District
ADRIANNA OCHOA	Procopio Law Firm
BRAD NEUFELD	Varner & Brandt LLP
KONRAD RASMUSSEN	McCormick, Mitchell & Rasmussen, APC

**1. CALL TO ORDER**

Chairperson Ferons called the meeting to order at 1:00 p.m.

**2. PLEDGE OF ALLEGIANCE – Director Toni Iseman**

**3. PUBLIC COMMENTS**

Mr. Fernando Paludi, General Manager of Trabuco Canyon Water District, greeted the Board of Directors.

**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 Teri Noson v. South Orange County Waste Water Authority, et al.*  
Orange County Sup. Ct Case No. 30-2018-01016336-CU-OE-CJC

The meeting reconvened to Open Session at 2:25 a.m.

There were no reportable actions from Closed Session.

**ADJOURNMENT**

There being no further business, Director Ferons adjourned the meeting at 2:25 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 Board of Directors on September 17, 2019, as approved 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

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

**Board of Directors  
Regular Meeting**

**October 3, 2019**

The Regular Meeting of the South Orange County Wastewater Authority (SOCWA) Board of Directors Regular Meeting was held on October 3, 2019, at 8:30 a.m. at their Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of the Board of Directors Special Meeting were present:

DAN FERONS	Santa Margarita Water District	Director
DENNIS ERDMAN	South Coast Water District	Director
TONI ISEMAN	City of Laguna Beach	Director
RAY MILLER	City of San Juan Capistrano	Alternate Director
KATHRYN FRESHLEY	El Toro Water District	Director
MATT COLLINGS	Moulton Niguel Water District	Alternate Director
DAVE REBENDS DORF	City of San Clemente	Director [arrived 8:34am]
STEPHEN DOPUDJA	Trabuco Canyon Water District	Director
DOUG REINHART	Irvine Ranch Water District	Director
MIKE DUNBAR	Emerald Bay Service District	Director

**Staff Present:**

BETTY BURNETT	General Manager
MARY CAREY	Finance Controller
JIM BURROR	Director of Operations
JASON MANNING	Director of Engineering
AMBER BAYLOR	Director of Environmental Compliance
RONNIE GRANT	Associate Engineer
KONSTANTIN SHILKOV	Senior Accountant
NADYN KIM	Accountant
DINA ASH	HR Administrator
JEANETTE COTINOLA	Procurement & Contracts Administrator
DANITA HIRSH	Administrative Assistant

**Also Present:**

ADRIANA OCHOA	Procopio Law Firm
BRAD NEUFELD	Varner & Brandt LLP

**1. CALL TO ORDER**

Chairperson Ferons called the meeting to order at 8:30 a.m.

**2. PLEDGE OF ALLEGIANCE – Director Dopudja**

**3. ORAL COMMUNICATIONS**

Public Speaker: Mike Beanan of Laguna Bluebelt Coalition

#### **4. CONSENT CALENDAR**

##### **ACTION TAKEN**

Motion was made by Director Freshley and seconded by Director Erdman to approve the Consent Calendar agenda items 4A, 4B, 4C, 4D, and 4E, as submitted.

Motion carried:	Aye 10, Nay 0, Abstained 0, Absent 0
Director Feron	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Aye
Director Collings	Aye
Director Dopudja	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Aye

#### **5. ENGINEERING MATTERS**

##### **A. Project Committee 2**

##### **ACTION TAKEN**

Motion was made by Director Collings and seconded by Director Erdman for Project Committee 2 Board to approve the award of contract for engineering services for agenda item 5.A.1., to Hazen & Sawyer at a fee of \$199,546, agenda item 5.A.2., to Carollo Engineers at a fee of \$152,971, and agenda item 5.A.3., to Kleinfelder at a fee of \$152,360 as submitted.

Motion carried:	Aye 4, Nay 0, Abstained 0, Absent 0
Director Feron	Aye
Director Erdman	Aye
Director Miller	Aye
Director Collings	Aye

##### **B. Project Committee(s) 5, 17, and 24**

##### **ACTION TAKEN**

Motion was made by Director Erdman and seconded by Director Dunbar for Project Committees 5, 17, and 24 Board to approve the award of contract for engineering services for agenda item 5.B.1 to Dudek for PC5 at a fee of \$93,890, PC17 at a fee of \$137,625, and PC24 at a fee of \$25,030, total \$256,545 as submitted.

Motion carried:	Aye 9, Nay 0, Abstained 0, Absent 0
Director Feron	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Aye
Director Collings	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Aye

Director Erdman commented on Item 5, Engineering Matters, that he would like to see the Board of Directors develop tangible goals for the three treatment plants. Perhaps the decision will be made to re-rate the plant flows, to have an alternative to manage storm-related flows, or to adopt new forms of treatment technology above activated sludge treatment. As an example of a goal to reach toward, Director Erdman commented that perhaps PC 2 should set a goal to be at 50% water reuse by 2025. He noted that other SOCWA member agencies set goals and take actions toward achieving those goals and SOCWA should have specific goals.

Discussion ensued regarding meetings being held by the SOCWA Managers to consider recommendations to the Board. Director Reinhart commented that revisions to the JPA Agreement should proceed before planning for facilities.

## **6. GENERAL MANAGER'S REPORT**

### **6.A. FY2018-19 Annual Financial Statements Audit, Use Audit and Cash Roll Forward Update**

#### **ACTION TAKEN**

There was a consensus amongst the Board of Directors to receive and file the report.

### **6.B. General Manager's Report**

Mr. Burror, Director of Operations, commended and congratulated Bill Paddock on being the recipient of the nationally recognized "*The Goody Bag*" Award at WEFTEC 2019, for his invention of a fisheye filtration system. After discovering fisheyes (globules of polymer) were blocking his facility's polymer flow switch and ball checks and triggering multiple "low polymer flow" alarms daily, Paddock and his staff decided to create a filter using an old chemical tote. They cut a hole in the tote and fashioned a filter from screen door material. It worked, but the process was labor-intensive because they had to frequently clean the filter to maintain flow. After a few iterations, they landed on using a replaceable 600-micron bag filter that could be replaced easily when full. They also installed a removable filtration platform that could be placed on top of any tote, and a pneumatic double diaphragm pump, which enables them to place the filtration system above the tank. Paddock credits his success to communicating with staff.

## **7. OTHER MATTERS**

None

The meeting convened to Closed Session at 9:40 a.m.

### **CLOSED SESSION**

#### **1. 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

The meeting reconvened to Open Session at 10:24 a.m.

**REPORT OUT OF CLOSED SESSION**

The Board of Directors met in closed session to discuss the SOCWA Employee Association Agreement. There were no reportable items.

**ADJOURNMENT**

There being no further business, Director Ferons adjourned the meeting at 10.24 a.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Regular Meeting of the South Orange County Wastewater Authority Board of Directors on October 3, 2019, and approved 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

## 4.B.

**Board of Directors Meeting**

**Meeting Date:** November 7, 2019

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

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### **Summary/Discussion**

The following selected financial reports will be presented to the Finance Committee at its November 12, 2019, meeting. The items will be provided to the Board to receive and file at the December Board Meeting. These reports include:

- a) Summary of Disbursements for July 2019 (Exhibit A)
- b) Schedule of Funds Available for Reinvestment (Exhibit B)
- c) Local Agency Investment Fund (LAIF)
- d) Schedule of Cash and Investments (Exhibit C)

For Budget vs. Actual Expenses, Capital Spending Year-to-Date and Capital Graph Budget vs. Actual Spending Year-to-Date please refer to financial report for the month of September 2019.

### **Fiscal impact**

July 2019 cash disbursements were: \$3,497,969. Increase primarily due to UAL Annual Lump Sum payment of \$867 thousand.

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

### **Recommended Action:**

Information Item

**Exhibit A**

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

	<u><b>Actual</b></u>
General Fund	(1,434,829)
PC 2 - Jay B. Latham Plant	(682,259)
PC 3 - SOCWA Plant/PCA AWT	-
PC 5 - San Juan Creek Ocean Outfall	(20,366)
PC 8 - Pretreatment Program	(8,448)
PC 12 SO - Water Reclamation Permits	(37,589)
PC 15 - Coastal Treatment Plant/AWT	(499,836)
PC 17 - Joint Regional Wastewater Reclamation	(772,362)
PC 21 - Effluent Transmission Main	(27,761)
PC 24 - Aliso Creek Ocean Outfall	(14,518)
<b>Total</b>	<u><u><b>(\$3,497,969)</b></u></u>

\*Increase primarily due to UAL Annual Lump Sum payment of \$867 thousand

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
SCHEDULE OF FUNDS AVAILABLE FOR REINVESTMENT  
as of July 31, 2019**

CASH IN BANK: (BEGINNING BAL.)	999,536
L.A.I.F. FUNDS: (BEGINNING BAL.)	19,855,958
DEPOSITS, TRANSFERS & ADJUSTMENTS:	3,066,231
FUND REQUIREMENTS:	
BILLS FOR CONSIDERATION	<u>(3,497,969)</u>
	<u><b>\$ 20,423,756</b></u>

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)
09/09/19	2.31	2.35	177
09/10/19	2.30	2.35	176
09/11/19	2.30	2.35	176
09/12/19	2.29	2.35	179
09/13/19	2.29	2.35	179
09/14/19	2.29	2.35	179
09/15/19	2.29	2.35	179
09/16/19	2.28	2.35	182
09/17/19	2.27	2.35	188
09/18/19	2.27	2.35	187
09/19/19	2.27	2.35	186
09/20/19	2.26	2.35	185
09/21/19	2.26	2.34	185
09/22/19	2.26	2.34	185
09/23/19	2.26	2.34	186
09/24/19	2.26	2.34	185
09/25/19	2.25	2.34	184
09/26/19	2.25	2.34	186
09/27/19	2.25	2.34	187
09/28/19	2.25	2.34	187
09/29/19	2.25	2.34	187
09/30/19	2.25	2.34	185
10/01/19	2.22	2.22	200
10/02/19	2.22	2.22	200
10/03/19	2.21	2.22	198
10/04/19	2.21	2.22	198
10/05/19	2.21	2.21	198
10/06/19	2.21	2.21	198
10/07/19	2.21	2.21	197
10/08/19	2.21	2.21	197
10/09/19	2.21	2.21	196

\*Daily yield does not reflect capital gains or losses

[View Prior Month Daily Rates](#)

### LAIF Performance Report

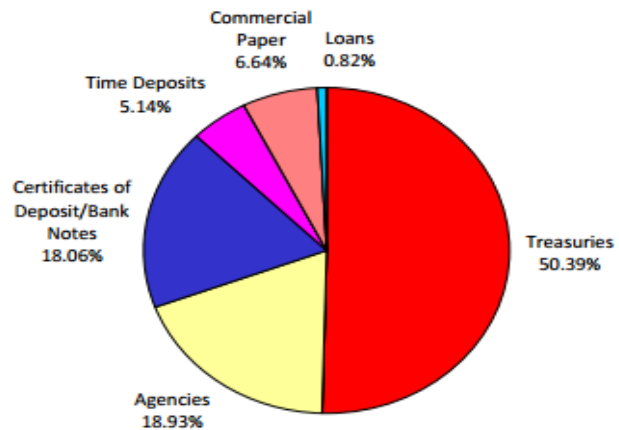
Quarter Ending 06/30/19

Apportionment Rate: 2.57  
 Earnings Ratio: .00007028813234525  
 Fair Value Factor: 1.001711790  
 Daily: 2.39%  
 Quarter to Date: 2.44%  
 Average Life: 173

#### PMIA Average Monthly Effective Yields

**Sep 2019 2.280**  
 Aug 2019 2.341  
 July 2019 2.379

### Pooled Money Investment Account Portfolio Composition 08/31/19 \$94.8 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 10/09/2019

Exhibit C

**South Orange County Wastewater Authority  
Schedule of Cash and Investments  
as of July 31, 2019**

MVA	\$ 1,115,402	(A)
A/P Checking	166,485	(B)
Payroll Checking	366,965	(C)
State LAIF	18,774,905	(D)
<b>Total Cash in Bank</b>	<b>\$ 20,423,756</b>	
Petty Cash	1,600	(E)
<b>Total Operating Cash</b>	<b>\$ 20,425,356</b>	
OPEB Trust	5,169,172	(F)
<b>Total Cash and Investments</b>	<b>\$ 25,594,529</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.

# Agenda Item

## 4.C.

**Board of Directors Meeting**

**Meeting Date:** November 7, 2019

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

---

### **Summary/Discussion**

The following selected financial reports will be presented to the Finance Committee at its November 12, 2019, meeting. The items will be provided to the Board to receive and file at the December Board Meeting. These reports include:

- a) Summary of Disbursements for August 2019 (Exhibit A)
- b) Schedule of Funds Available for Reinvestment (Exhibit B)
- c) Local Agency Investment Fund (LAIF)
- d) Schedule of Cash and Investments (Exhibit C)

For Budget vs. Actual Expenses, Capital Spending Year-to-Date and Capital Graph Budget vs. Actual Spending Year-to-Date please refer to financial report for the month of September 2019.

### **Fiscal impact**

August 2019 cash disbursements were: \$2,189,220.

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

### **Recommended Action:**

Information Item

Exhibit A

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

	<b>Actual</b>
General Fund	(779,787)
PC 2 - Jay B. Latham Plant	(465,078)
PC 3 - SOCWA Plant/PCA AWT	-
PC 5 - San Juan Creek Ocean Outfall	(27,228)
PC 8 - Pretreatment Program	(8,394)
PC 12 SO - Water Reclamation Permits	(16,452)
PC 15 - Coastal Treatment Plant/AWT	(197,674)
PC 17 - Joint Regional Wastewater Reclamation	(647,255)
PC 21 - Effluent Transmission Main	(21,729)
PC 24 - Aliso Creek Ocean Outfall	(25,622)
<b>Total</b>	<b><u>(\$2,189,220)</u></b>

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY  
SCHEDULE OF FUNDS AVAILABLE FOR REINVESTMENT  
as of August 31, 2019**

CASH IN BANK: (BEGINNING BAL.)	1,648,852
L.A.I.F. FUNDS: (BEGINNING BAL.)	18,774,905
DEPOSITS, TRANSFERS & ADJUSTMENTS:	1,342,997
FUND REQUIREMENTS:	
BILLS FOR CONSIDERATION	<u>(2,189,220)</u>
	<u><u>\$ 19,577,534</u></u>

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)
09/09/19	2.31	2.35	177
09/10/19	2.30	2.35	176
09/11/19	2.30	2.35	176
09/12/19	2.29	2.35	179
09/13/19	2.29	2.35	179
09/14/19	2.29	2.35	179
09/15/19	2.29	2.35	179
09/16/19	2.28	2.35	182
09/17/19	2.27	2.35	188
09/18/19	2.27	2.35	187
09/19/19	2.27	2.35	186
09/20/19	2.26	2.35	185
09/21/19	2.26	2.34	185
09/22/19	2.26	2.34	185
09/23/19	2.26	2.34	186
09/24/19	2.26	2.34	185
09/25/19	2.25	2.34	184
09/26/19	2.25	2.34	186
09/27/19	2.25	2.34	187
09/28/19	2.25	2.34	187
09/29/19	2.25	2.34	187
09/30/19	2.25	2.34	185
10/01/19	2.22	2.22	200
10/02/19	2.22	2.22	200
10/03/19	2.21	2.22	198
10/04/19	2.21	2.22	198
10/05/19	2.21	2.21	198
10/06/19	2.21	2.21	198
10/07/19	2.21	2.21	197
10/08/19	2.21	2.21	197
10/09/19	2.21	2.21	196

\*Daily yield does not reflect capital gains or losses

[View Prior Month Daily Rates](#)

## LAIF Performance Report

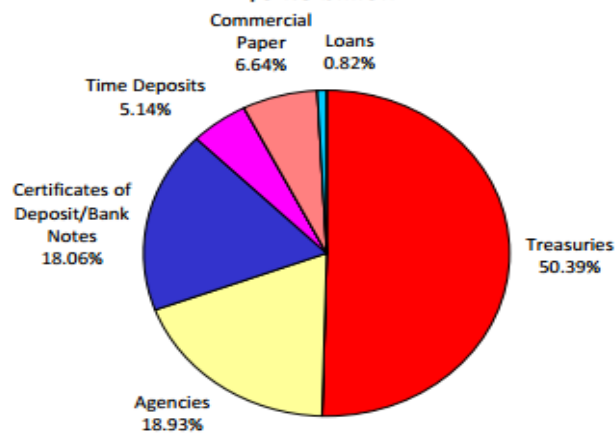
Quarter Ending 06/30/19

Apportionment Rate: 2.57  
 Earnings Ratio: .00007028813234525  
 Fair Value Factor: 1.001711790  
 Daily: 2.39%  
 Quarter to Date: 2.44%  
 Average Life: 173

### PMIA Average Monthly Effective Yields

Sep 2019 2.280  
 Aug 2019 2.341  
 July 2019 2.379

## Pooled Money Investment Account Portfolio Composition 08/31/19 \$94.8 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 10/09/2019

Exhibit C

**South Orange County Wastewater Authority  
Schedule of Cash and Investments  
as of August 31, 2019**

MVA	\$ 4,972	(A)
A/P Checking	524,312	(B)
Payroll Checking	123,345	(C)
State LAIF	18,924,905	(D)
<b>Total Cash in Bank</b>	<b>\$ 19,577,534</b>	
Petty Cash	1,600	(E)
<b>Total Operating Cash</b>	<b>\$ 19,579,134</b>	
OPEB Trust	5,115,158	(F)
<b>Total Cash and Investments</b>	<b>\$ 24,694,291</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.
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- (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.

# Agenda Item

## 4.D.

**Board of Directors Meeting**

**Meeting Date:** November 7, 2019

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

---

### **Summary/Discussion**

The following selected financial reports will be presented to the Finance Committee at its November 12, 2019, meeting. The items will be provided to the Board to receive and file at the December Board Meeting. These reports include:

- a) Summary of Disbursements for September 2019 (Exhibit A)
- b) Schedule of Funds Available for Reinvestment (Exhibit B)
- c) Local Agency Investment Fund (LAIF)
- d) Schedule of Cash and Investments (Exhibit C)
- e) Budget vs. Actual Capital Spending YTD (Exhibit D)
- f) Capital Graph-Budget vs. Actual Spending Year-to-Date (Exhibit D-1)
- g) Budget vs. Actual Expenses Year-to-Date:
  - 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**

September 2019 cash disbursements were: \$1,927,835.

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

### **Recommended Action**

Information Item

Exhibit A

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

	<u>Actual</u>
General Fund	(400,162)
PC 2 - Jay B. Latham Plant	(438,006)
PC 3 - SOCWA Plant/PCA AWT	-
PC 5 - San Juan Creek Ocean Outfall	(14,322)
PC 8 - Pretreatment Program	(8,754)
PC 12 SO - Water Reclamation Permits	(14,926)
PC 15 - Coastal Treatment Plant/AWT	(305,788)
PC 17 - Joint Regional Wastewater Reclamation	(694,688)
PC 21 - Effluent Transmission Main	(22,914)
PC 24 - Aliso Creek Ocean Outfall	(28,273)
<b>Total</b>	<u><u><b>(\$1,927,835)</b></u></u>

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

CASH IN BANK: (BEGINNING BAL.)	652,629
L.A.I.F. FUNDS: (BEGINNING BAL.)	18,924,905
DEPOSITS, TRANSFERS & ADJUSTMENTS:	7,309,390
FUND REQUIREMENTS:	
BILLS FOR CONSIDERATION	<u>(1,927,835)</u>
	<u><u>\$ 24,959,088</u></u>

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).

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

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## CALIFORNIA STATE TREASURER FIONA MA, CPA



### PMIA Performance Report

Date	Daily Yield*	Quarter to Date Yield	Average Maturity (in days)
09/09/19	2.31	2.35	177
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09/17/19	2.27	2.35	188
09/18/19	2.27	2.35	187
09/19/19	2.27	2.35	186
09/20/19	2.26	2.35	185
09/21/19	2.26	2.34	185
09/22/19	2.26	2.34	185
09/23/19	2.26	2.34	186
09/24/19	2.26	2.34	185
09/25/19	2.25	2.34	184
09/26/19	2.25	2.34	186
09/27/19	2.25	2.34	187
09/28/19	2.25	2.34	187
09/29/19	2.25	2.34	187
09/30/19	2.25	2.34	185
10/01/19	2.22	2.22	200
10/02/19	2.22	2.22	200
10/03/19	2.21	2.22	198
10/04/19	2.21	2.22	198
10/05/19	2.21	2.21	198
10/06/19	2.21	2.21	198
10/07/19	2.21	2.21	197
10/08/19	2.21	2.21	197
10/09/19	2.21	2.21	196

\*Daily yield does not reflect capital gains or losses

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### LAIF Performance Report

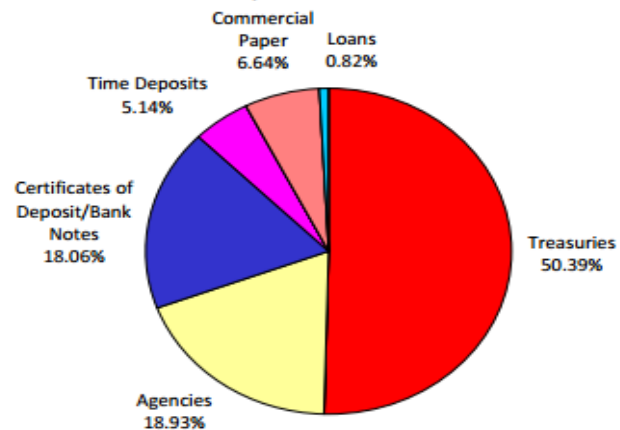
Quarter Ending 06/30/19

Apportionment Rate: 2.57  
 Earnings Ratio: .00007028813234525  
 Fair Value Factor: 1.001711790  
 Daily: 2.39%  
 Quarter to Date: 2.44%  
 Average Life: 173

#### PMIA Average Monthly Effective Yields

**Sep 2019 2.280**  
 Aug 2019 2.341  
 July 2019 2.379

### Pooled Money Investment Account Portfolio Composition 08/31/19 \$94.8 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 10/09/2019

Exhibit C

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

MVA	\$ 5,324	(A)
A/P Checking	584,947	(B)
Payroll Checking	120,913	(C)
State LAIF	24,247,905	(D)
<b>Total Cash in Bank</b>	<b>\$ 24,959,088</b>	
Petty Cash	1,600	(E)
<b>Total Operating Cash</b>	<b>\$ 24,960,688</b>	
OPEB Trust	5,159,724	(F)
<b>Total Cash and Investments</b>	<b>\$ 30,120,412</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.
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- (F) OPEB Trust Fund; these funds can only be used for Retiree Health Benefits.

## Exhibit D

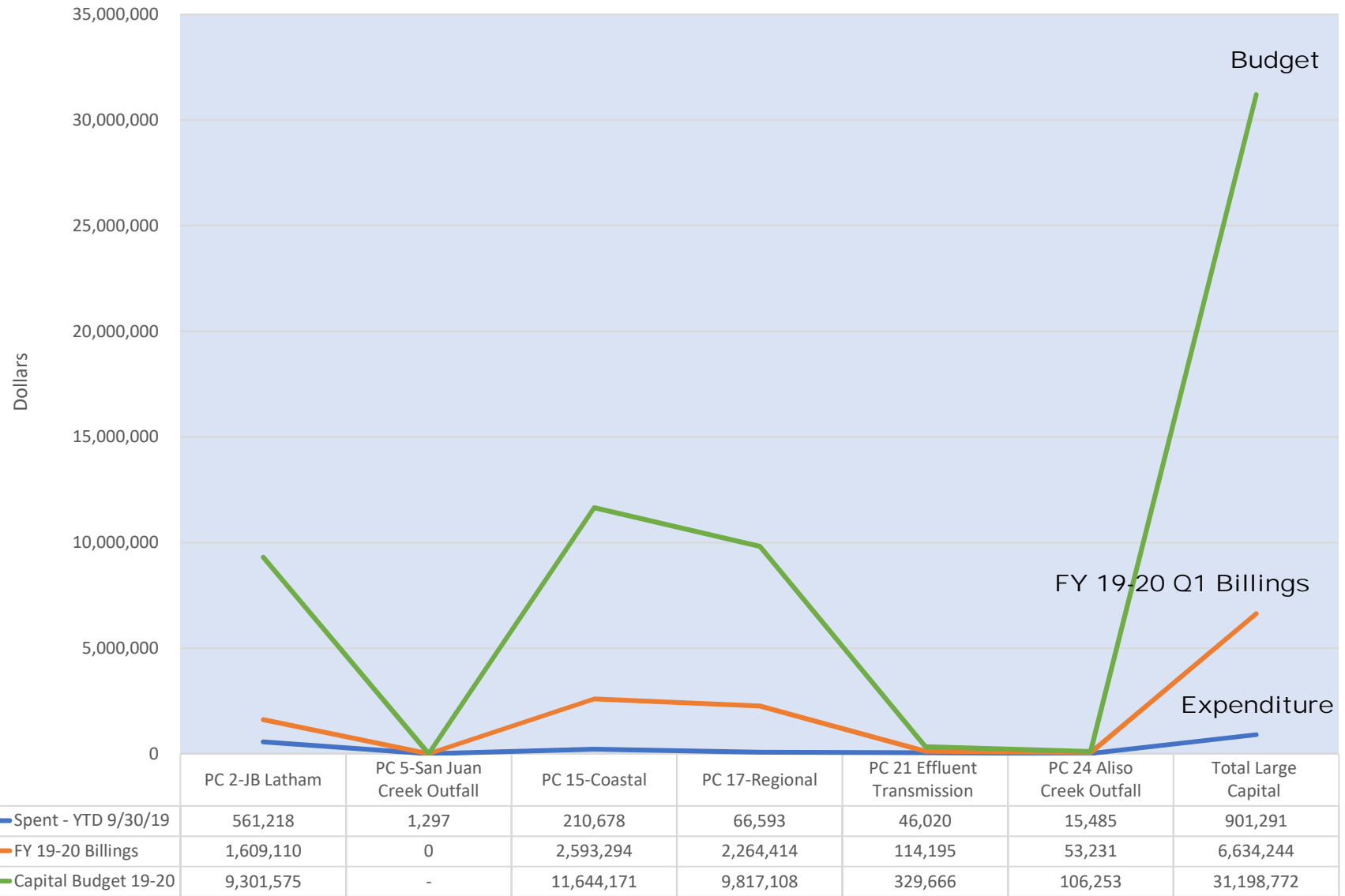
**South Orange County Wastewater Authority  
Capital Projects Summaries  
For the Period Ended September 30, 2019**

Description	FY 2019-20 Budget vs. Actual Spending							
	Capital Budget	Fiscal Year Spending	(Over)/ Under Budget	% Expended	Member Agency Billed	Member Agency Collections	Current Receivables	% Expended vs. Billed
PC 2-JB Latham	9,301,575	561,218	8,740,358	6.0%	1,609,110	1,609,110		34.9%
* PC 5-San Juan Creek Outfall	-	1,297	(1,297)		-	-		
PC 15-Coastal	11,644,171	210,678	11,433,493	1.8%	2,593,294	2,593,294		8.1%
PC 17-Regional	9,817,108	66,593	9,750,515	0.7%	2,264,414	2,264,414		2.9%
PC 21 Effluent Transmission	329,666	46,020	283,645	14.0%	114,195	114,195		40.3%
PC 24 Aliso Creek Outfall	106,253	15,485	90,768	14.6%	53,231	53,231		29.1%
Total Large Capital	31,198,772	901,291	30,297,482	2.9%	6,634,244	6,634,244	-	13.6%
Non-Capital Engineering	838,687	26,267	812,420	3.1%	141,949	141,949		18.5%
Non-Capital Misc Engineering	425,000	-	425,000	0.0%	106,252	106,252		0.0%
Small Internal Capital	2,047,504	265,155	1,782,349	13.0%	511,876	511,876		51.8%
Total Capital	34,509,964	1,192,713	33,317,251	3.5%	7,394,321	7,394,321	-	16.1%

\* PC 5 does not have a budget for FY 19-20 due to Cash on Hand for work that shifted into the current year.



## Large Capital Projects Fiscal Year '19-20 Budget vs. Exhibit D-1 Year-to-Date (Q1) Expenditures & Billings as of 9/30/2019



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

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	% Expended
<b>Salary and Fringe</b>							
**5000-**-**	Regular Salaries-O&M	4,620,132	10,289	4,630,421	1,125,651	3,504,771	24.3%
**5001-**-**	Overtime Salaries-O&M	109,504		109,504	16,654	92,850	15.2% (1)
**5306-**-**	Scheduled Holiday Work	28,692		28,692	5,774	22,918	20.1%
**5315-**-**	Comp Time - O&M	7,796		7,796	3,161	4,635	40.5% (1)
**5401-**-**	Fringe Benefits IN to PC's & Depts.	3,323,840		3,323,840	801,456	2,522,384	24.1%
**5700-**-**	Standby Pay	67,600		67,600	17,308	50,292	25.6%
	Total Payroll Costs	8,157,564	10,289	8,167,853	1,970,004	6,197,850	24.1%
<b>Other Expenses</b>							
**5002-**-**	Electricity	1,022,564		1,022,564	326,351	696,213	31.9% (2)
**5003-**-**	Natural Gas	266,504		266,504	41,811	224,693	15.7%
**5004-**-**	Potable & Reclaimed Water	84,992		84,992	14,467	70,525	17.0%
**5005-**-**	Co-generation Power Credit	(325,004)		(325,004)	(177,480)	(147,524)	54.6%
**5006-**-**	Chlorine/Sodium Hypochlorite	506,000		506,000	169,330	336,670	33.5% (3)
**5007-**-**	Polymer Products	805,004		805,004	163,196	641,808	20.3%
**5008-**-**	Ferric Chloride	304,992		304,992	113,707	191,285	37.3% (4)
**5009-**-**	Odor Control Chemicals	130,000		130,000	25,627	104,373	19.7%
**5010-**-**	Other Chemicals - Misc.	2,996		2,996	-	2,996	0.0%
**5011-**-**	Laboratory Services	44,412		44,412	7,738	36,674	17.4%
**5012-**-**	Grit Hauling	128,252		128,252	35,455	92,797	27.6%
**5013-**-**	Landscaping	159,996		159,996	43,603	116,393	27.3%
**5014-**-**	Engineering - Misc.	1,000		1,000	8,908	(7,908)	890.8% (5)
**5015-**-**	Management Support Services	360,212		360,212	44,988	315,224	12.5%
**5016-**-**	Audit - Environmental	600		600	-	600	0.0%
**5017-**-**	Legal Fees	28,352		28,352	6,275	22,077	22.1%
**5018-**-**	Public Notices/ Public Relations	5,004		5,004	100	4,904	2.0%
**5019-**-**	Contract Services Misc.	199,996		199,996	62,054	137,942	31.0%
**5021-**-**	Small Vehicle Expense	24,064		24,064	1,764	22,300	7.3%
**5022-**-**	Miscellaneous Expense	18,004		18,004	1,391	16,613	7.7%
**5023-**-**	Office Supplies - All	43,004		43,004	10,417	32,587	24.2%
**5024-**-**	Petroleum Products	49,004		49,004	10,620	38,384	21.7%
**5025-**-**	Uniforms	54,004		54,004	14,216	39,788	26.3%
**5026-**-**	Small Vehicle Fuel	31,500		31,500	4,098	27,402	13.0%
**5027-**-**	Insurance - Property/Liability	210,096		210,096	56,508	153,588	26.9%
**5028-**-**	Small Tools & Supplies	74,872		74,872	25,186	49,686	33.6%
**5030-**-**	Trash Disposal	6,992		6,992	916	6,076	13.1%
**5031-**-**	Safety Program & Supplies	117,356		117,356	55,532	61,824	47.3% (6)
**5032-**-**	Equipment Rental	7,004		7,004	-	7,004	0.0%
**5033-**-**	Recruitment	3,004		3,004	28	2,976	0.9%
**5034-**-**	Travel Expense/Tech. Conferences	61,932		61,932	29,589	32,343	47.8% (7)
**5035-**-**	Training Expense	55,168		55,168	1,473	53,695	2.7%
**5036-**-**	Laboratory Supplies	93,256		93,256	21,895	71,361	23.5%
**5037-**-**	Office Equipment	25,000		25,000	2,330	22,670	9.3%
**5038-**-**	Permits	500,128		500,128	26,219	473,909	5.2%
**5039-**-**	Membership Dues/Fees	22,892		22,892	16,956	5,936	74.1% (8)
**5044-**-**	Offshore Monitoring	36,000		36,000	20,937	15,063	58.2% (9)
**5046-**-**	Effluent Chemistry	28,004		28,004	11,334	16,670	40.5%
**5047-**-**	Access Road Expenses	49,000		49,000	-	49,000	0.0%
**5048-**-**	Storm Damage	20,008		20,008	-	20,008	0.0%
**5049-**-**	Biosolids Disposal	1,355,004		1,355,004	268,449	1,086,555	19.8%
**5050-**-**	Contract Services Generators - 29A	22,008		22,008	-	22,008	0.0%
**5052-**-**	Janitorial Services	102,008		102,008	19,661	82,347	19.3%
**5053-**-**	Contract Serv - Digester Cleaning - 29E	59,996		59,996	-	59,996	0.0%
**5054-**-**	Diesel Truck Maint	41,000		41,000	8,720	32,280	21.3%
**5055-**-**	Diesel Truck Fuel - 37B	14,996		14,996	2,077	12,919	13.9%
**5056-**-**	Maintenance Equip. & Facilities (Solids)	356,004		356,004	72,682	283,322	20.4%
**5057-**-**	Maintenance Equip. & Facilities (Liquids)	663,000		663,000	128,154	534,846	19.3%
**5058-**-**	Maintenance Equip. & Facilities (Common)	87,008		87,008	29,037	57,971	33.4% (10)
**5059-**-**	Maintenance Equip. & Facilities (Co-Gen)	957,996		957,996	167,212	790,784	17.5%
**5060-**-**	Maintenance Equip. & Facilities (AWT)	74,000		74,000	15,416	58,584	20.8%
**5061-**-**	Mileage	2,508		2,508	553	1,955	22.0%
**5068-**-**	MNWD Potable Water Supplies & Svcs.	24,972		24,972	3,612	21,360	14.5%
**5069-**-**	Outfall Inspection/Port Cleaning	60,004		60,004	-	60,004	0.0%
**5076-**-**	SCADA Infrastructure	20,992		20,992	-	20,992	0.0%
**5077-**-**	IT Direct	16,080		16,080	11,744	4,336	73.0% (11)
**5101-**-**	Employee Recognition	-		-	93	(93)	0.0%
**5105-**-**	Co-Generation Power Credit - Offset	325,000		325,000	177,480	147,520	54.6%
**5303-**-**	Group Insurance Waiver	14,396		14,396	3,687	10,709	25.6%
**5305-**-**	Medicare Tax Payments for Employees	2,784		2,784	1,071	1,713	38.5%
**5309-**-**	Operating Leases	21,800		21,800	5,659	16,141	26.0%
**5705-**-**	Monthly Car Allowance	28,184		28,184	7,276	20,908	25.8%
**5706-**-**	Effluent Pond Cleaning	90,000		90,000	-	90,000	0.0%
**6500-**-**	IT Allocations in to PC's & Depts.	592,694		592,694	145,950	446,744	24.6%
	Total Other Expenses	10,188,598	-	10,188,598	2,266,069	7,922,529	22.2%
<b>Total O&amp;M Expenses</b>		<b>18,346,162</b>	<b>10,289</b>	<b>18,356,451</b>	<b>4,236,072</b>	<b>14,120,379</b>	<b>23.1%</b>

\* Change related to additional salary

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

- (1) More staff has elected to choose Comp Time instead of Overtime Salaries than anticipated. Considering both line items together, the overall Overtime Budget is 27% in the first quarter of the FY.
- (2) Power costs are elevated, and the line item Budget may need to be adjusted due to high energy demand charges as discussed with the Board in May during the approval of the FY 2019-20 Budget.
- (3) Bleach usage is elevated in the summer and lowers with lower recycled water demand in the winter; expenses are planned to level off.
- (4) Ferric chloride usage is elevated in the summer and lowers in the winter; expenses are planned to level off.
- (5) Costs are associated with scanning and filing historic documents; expenses are planned to level off.
- (6) The first quarter includes the purchase of new boots per the Employee Manual; expenses are planned to level off.
- (7) Two of the three planned major conferences were attended by staff in the first quarter of the Fiscal Year including, WEFTEC and HACHWIMS; expenses are planned to level off.
- (8) Membership renewals are primarily paid in July; expenses are planned to level off.
- (9) Additional costs due to replacement of moors in the ocean for sample location identification.
- (10) The RTP Operations Building required a large plumbing project to replace leaking cast iron plumbing that was corroded and cracked; expenses are planned to level off.
- (11) PC specific SCADA laptops and software were purchased in the first quarter; expenses are planned to level off.

**South Orange County Wastewater Authority**  
**O&M Budget vs. Actual Comparison by PC**  
For the Period Ended September 30, 2019

**02 - Jay B. Latham Plant**

## Salary and Fringe

02-5000-**-**	Regular Salaries-O&M	1,539,152	5,045	1,544,197	402,650	1,141,547	26.1%
02-5001-**-**	Overtime Salaries-O&M	35,144		35,144	6,335	28,809	18.0% (1)
02-5306-**-**	Scheduled Holiday Work	13,324		13,324	2,557	10,767	19.2%
02-5315-**-**	Comp Time - O&M	3,508		3,508	1,896	1,612	54.0% (1)
02-5401-**-**	Fringe Benefits IN to PC's & Depts.	1,107,296		1,107,296	285,808	821,488	25.8%
02-5700-**-**	Standby Pay	13,520		13,520	6,602	6,918	48.8% (2)
	Total Payroll Costs	2,711,944	5,045	2,716,989	705,846	2,011,143	26.0%

## Other Expenses

02-5002-**-**	Electricity	399,688		399,688	125,068	274,620	31.3% (3)
02-5003-**-**	Natural Gas	168,004		168,004	26,454	141,550	15.7%
02-5004-**-**	Potable & Reclaimed Water	24,000		24,000	4,633	19,367	19.3%
02-5006-**-**	Chlorine/Sodium Hypochlorite	5,000		5,000	2,945	2,055	58.9% (4)
02-5007-**-**	Polymer Products	322,000		322,000	65,588	256,412	20.4%
02-5008-**-**	Ferric Chloride	103,736		103,736	33,488	70,248	32.3% (5)
02-5009-**-**	Odor Control Chemicals	28,988		28,988	4,026	24,962	13.9%
02-5010-**-**	Other Chemicals - Misc.	1,000		1,000	-	1,000	0.0%
02-5011-**-**	Laboratory Services	10,916		10,916	512	10,404	4.7%
02-5012-**-**	Grit Hauling	51,252		51,252	12,386	38,866	24.2%
02-5013-**-**	Landscaping	41,780		41,780	24,527	17,253	58.7% (6)
02-5014-**-**	Engineering - Misc.	-		-	3,566	(3,566)	0.0% (7)
02-5015-**-**	Management Support Services	33,004		33,004	5,223	27,781	15.8%
02-5017-**-**	Legal Fees	3,328		3,328	103	3,225	3.1%
02-5019-**-**	Contract Services Misc.	60,240		60,240	18,267	41,974	30.3%
02-5021-**-**	Small Vehicle Expense	10,004		10,004	1,100	8,904	11.0%
02-5022-**-**	Miscellaneous Expense	8,000		8,000	1,281	6,719	16.0%
02-5023-**-**	Office Supplies - All	28,000		28,000	5,891	22,109	21.0%
02-5024-**-**	Petroleum Products	14,124		14,124	3,266	10,858	23.1%
02-5025-**-**	Uniforms	20,000		20,000	6,307	13,693	31.5% (8)
02-5026-**-**	Small Vehicle Fuel	15,004		15,004	2,092	12,912	13.9%
02-5027-**-**	Insurance - Property/Liability	68,556		68,556	19,085	49,471	27.8%
02-5028-**-**	Small Tools & Supplies	35,496		35,496	7,659	27,837	21.6%
02-5030-**-**	Trash Disposal	2,000		2,000	332	1,668	16.6%
02-5031-**-**	Safety Program & Supplies	39,652		39,652	16,890	22,762	42.6% (9)
02-5032-**-**	Equipment Rental	3,000		3,000	-	3,000	0.0%
02-5033-**-**	Recruitment	1,000		1,000	28	972	2.8%
02-5034-**-**	Travel Expense/Tech. Conferences	15,964		15,964	7,498	8,466	47.0% (10)
02-5035-**-**	Training Expense	13,168		13,168	1,137	12,031	8.6%
02-5036-**-**	Laboratory Supplies	14,520		14,520	3,394	11,126	23.4%
02-5037-**-**	Office Equipment	13,000		13,000	671	12,329	5.2%
02-5038-**-**	Permits	22,500		22,500	17,516	4,984	77.9%
02-5039-**-**	Membership Dues/Fees	4,200		4,200	6,756	(2,556)	160.9% (11)
02-5049-**-**	Biosolids Disposal	450,000		450,000	83,231	366,769	18.5%
02-5050-**-**	Contract Services Generators - 29A	10,004		10,004	-	10,004	0.0%
02-5052-**-**	Janitorial Services	41,000		41,000	9,790	31,210	23.9%
02-5053-**-**	Contract Serv - Digester Cleaning - 29E	59,996		59,996	-	59,996	0.0%
02-5054-**-**	Diesel Truck Maint	21,000		21,000	3,925	17,075	18.7%
02-5055-**-**	Diesel Truck Fuel - 37B	6,000		6,000	928	5,072	15.5%
02-5056-**-**	Maintenance Equip. & Facilities (Solids)	155,004		155,004	18,761	136,243	12.1%
02-5057-**-**	Maintenance Equip. & Facilities (Liquids)	254,000		254,000	42,295	211,705	16.7%
02-5058-**-**	Maintenance Equip. & Facilities (Common)	28,000		28,000	11,791	16,209	42.1%
02-5059-**-**	Maintenance Equip. & Facilities (Co-Gen)	369,996		369,996	59,126	310,870	16.0%
02-5061-**-**	Mileage	1,504		1,504	89	1,415	5.9%
02-5076-**-**	SCADA Infrastructure	6,996		6,996	-	6,996	0.0%
02-5077-**-**	IT Direct	8,040		8,040	5,951	2,089	74.0% (12)
02-5303-**-**	Group Insurance Waiver	3,600		3,600	922	2,678	25.6%
02-5305-**-**	Medicare Tax Payments for Employees	1,116		1,116	617	499	55.3%
02-5309-**-**	Operating Leases	21,800		21,800	5,659	16,141	26.0%
02-5705-**-**	Monthly Car Allowance	12,592		12,592	4,050	8,542	32.2%
02-6500-**-**	IT Allocations in to PC's & Depts.	197,448		197,448	48,621	148,827	24.6%
	Total Other Expenses	3,229,220	-	3,229,220	723,449	2,505,771	22.4%
	Total Expenses	5,941,164	5,045	5,946,209	1,429,295	4,516,913	24.0%

**South Orange County Wastewater Authority**  
**O&M Budget vs. Actual Comparison by PC**  
For the Period Ended September 30, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
<b>05 - San Juan Creek Ocean Outfall</b>							
Salary and Fringe							
05-5000-**-**	Regular Salaries-O&M	102,104		102,104	25,708	76,396	25.2%
05-5001-**-**	Overtime Salaries-O&M	900		900	-	900	0.0%
05-5401-**-**	Fringe Benefits IN to PC's & Depts.	73,456		73,456	18,479	54,977	25.2%
	Total Payroll Costs	176,460	-	176,460	44,187	132,273	25.0%
Other Expenses							
05-5003-**-**	Natural Gas	500		500	-	500	0.0%
05-5014-02-00-00	Engineering - Misc.	-		-	1,397	(1,397)	0.0% (7)
05-5015-**-**	Management Support Services	15,004		15,004	723	14,281	4.8%
05-5017-**-**	Legal Fees	3,012		3,012	275	2,737	9.1%
05-5027-**-**	Insurance - Property/Liability	6,248		6,248	1,627	4,621	26.0%
05-5031-**-**	Safety Supplies	1,004		1,004	-	1,004	0.0%
05-5034-**-**	Travel Expense/Tech. Conferences	3,712		3,712	1,274	2,438	34.3%
05-5035-**-**	Training Expense	5,988		5,988	-	5,988	0.0%
05-5036-**-**	Laboratory Supplies	19,468		19,468	4,056	15,412	20.8%
05-5038-**-**	Permits	196,000		196,000	882	195,118	0.5%
05-5039-**-**	Membership Dues/Fees	5,496		5,496	-	5,496	0.0%
05-5044-**-**	Offshore Monitoring	18,000		18,000	10,469	7,531	58.2% (13)
05-5046-**-**	Effluent Chemistry	14,000		14,000	4,582	9,418	32.7% (14)
05-5058-**-**	Maintenance Equip. & Facilities (Common)	1,004		1,004	-	1,004	0.0%
05-5069-**-**	Misc-Capital-Dilution & Metering Study	30,000		30,000	-	30,000	0.0%
05-6500-**-**	IT Allocations in to PC's & Depts.	13,100		13,100	3,226	9,874	24.6%
	Total Other Expenses	332,536	-	332,536	28,510	304,026	8.6%
	Total Expenses	508,996	-	508,996	72,697	436,299	14.3%
<b>08 - Pre Treatment</b>							
Salary and Fringe							
08-5000-**-**	Regular Salaries-O&M	92,352		92,352	21,858	70,494	23.7%
08-5315-**-**	Comp Time - Environment	-		-	363	(363)	0.0%
08-5401-**-**	Fringe Benefits IN to PC's & Depts.	66,436		66,436	15,712	50,724	23.7%
	Total Payroll Costs	158,788	-	158,788	37,933	120,855	23.9%
Other Expenses							
08-5011-**-**	Laboratory Services	2,996		2,996	1,280	1,716	42.7% (15)
08-5015-**-**	Management Support Services	2,004		2,004	-	2,004	0.0%
08-5016-**-**	Audit - Environmental	600		600	-	600	0.0%
08-5017-**-**	Legal Fees	2,504		2,504	-	2,504	0.0%
08-5018-**-**	Public Notices/ Public Relations	5,004		5,004	100	4,904	2.0%
08-5021-**-**	Small Vehicle Expense - 31A	1,056		1,056	12	1,044	1.1%
08-5022-**-**	Miscellaneous Expense	2,004		2,004	-	2,004	0.0%
08-5026-**-**	Small Vehicle Fuel - 37A	1,500		1,500	112	1,388	7.5%
08-5027-**-**	Insurance - Property/Liability	2,160		2,160	583	1,577	27.0%
08-5028-**-**	Small Tools & Supplies	3,876		3,876	98	3,778	2.5%
08-5031-02-00-00	Safety Program & Supplies	-		-	197	(197)	0.0%
08-5034-**-**	Travel Expense/Tech. Conferences	4,348		4,348	-	4,348	0.0%
08-5035-**-**	Training Expense	1,564		1,564	-	1,564	0.0%
08-5038-**-**	Permits and Fines	10,012		10,012	-	10,012	0.0%
08-5039-**-**	Membership Dues/Fees	1,016		1,016	409	607	40.3% (11)
08-6500-**-**	IT Allocations in to PC's & Depts.	11,840		11,840	2,917	8,923	24.6%
	Total Other Expenses	52,484	-	52,484	5,709	46,775	10.9%
	Total Expenses	211,272	-	211,272	43,642	167,630	20.7%
<b>12 - Water Reclamation Permits</b>							
Salary and Fringe							
12-5000-**-**	Regular Salaries-O&M	35,084		35,084	24,355	10,729	69.4% (16)
12-5401-**-**	Fringe Benefits IN to PC's & Depts.	25,248		25,248	17,507	7,741	69.3% (16)
	Total Payroll Costs	60,332	-	60,332	41,862	18,470	69.4%
Other Expenses							
12-5015-**-**	Management Support Services	270,000		270,000	28,581	241,419	10.6%
12-5017-**-**	Legal Fees	2,004		2,004	-	2,004	0.0%
12-5027-**-**	Insurance - Property/Liability	2,364		2,364	723	1,641	30.6%
12-5034-**-**	Travel Expense/Tech. Conferences	2,280		2,280	-	2,280	0.0%
12-5038-**-**	Permits	20,000		20,000	882	19,118	4.4%
12-6500-**-**	IT Allocations in to PC's & Depts.	4,508		4,508	1,109	3,399	24.6%
	Total Other Expenses	301,156	-	301,156	31,294	269,862	10.4%
	Total Expenses	361,488	-	361,488	73,156	288,332	20.2%

**South Orange County Wastewater Authority**  
**O&M Budget vs. Actual Comparison by PC**  
For the Period Ended September 30, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
<b>15 - Coastal Treatment Plant</b>							
Salary and Fringe							
15-5000-**-**-**	Regular Salaries-O&M	954,416	1,115	955,531	201,915	753,616	21.1%
15-5001-**-**-**	Overtime Salaries-O&M	18,928		18,928	4,245	14,683	22.4%
15-5306-**-**-**	Scheduled Holiday Work	2,596		2,596	547	2,049	21.1%
15-5315-**-**-**	Comp Time - O&M	4,288		4,288	703	3,585	16.4%
15-5401-**-**-**	Fringe Benefits IN to PC's & Depts.	686,636		686,636	144,340	542,296	21.0%
15-5700-**-**-**	Standby Pay	27,040		27,040	2,670	24,370	9.9%
	Total Payroll Costs	1,693,904	1,115	1,695,019	354,420	1,340,600	20.9%
Other Expenses							
15-5002-**-**-**	Electricity	270,960		270,960	69,672	201,288	25.7%
15-5003-**-**-**	Natural Gas	3,000		3,000	35	2,965	1.2%
15-5004-**-**-**	Potable & Reclaimed Water	30,996		30,996	5,307	25,689	17.1%
15-5006-**-**-**	Chlorine/Sodium Hypochlorite	99,000		99,000	33,829	65,171	34.2%
15-5007-**-**-**	Polymer Products	1,004		1,004	-	1,004	0.0%
15-5008-**-**-**	Ferric Chloride	28,368		28,368	13,993	14,375	49.3% (17)
15-5009-**-**-**	Odor Control Chemicals	56,216		56,216	9,010	47,206	16.0%
15-5011-**-**-**	Laboratory Services	14,000		14,000	2,738	11,262	19.6%
15-5012-**-**-**	Grit Hauling	30,000		30,000	7,173	22,827	23.9%
15-5013-**-**-**	Landscaping	50,548		50,548	7,179	43,369	14.2%
15-5014-**-**-**	Engineering - Misc.	1,000		1,000	1,972	(972)	197.2% (18)
15-5015-**-**-**	Management Support Services	4,500		4,500	2,134	2,366	47.4%
15-5017-**-**-**	Legal Fees	15,000		15,000	702	14,298	4.7%
15-5019-**-**-**	Contract Services Misc.	59,036		59,036	19,650	39,386	33.3%
15-5021-**-**-**	Small Vehicle Expense - 31A	6,004		6,004	134	5,870	2.2%
15-5022-**-**-**	Miscellaneous Expense	2,996		2,996	-	2,996	0.0%
15-5023-**-**-**	Office Supplies - All	4,004		4,004	1,807	2,197	45.1%
15-5024-**-**-**	Petroleum Products	1,660		1,660	-	1,660	0.0%
15-5025-**-**-**	Uniforms	9,000		9,000	1,664	7,336	18.5%
15-5026-**-**-**	Small Vehicle Fuel - 37A	5,000		5,000	239	4,761	4.8%
15-5027-**-**-**	Insurance - Property/Liability	35,372		35,372	9,367	26,005	26.5%
15-5028-**-**-**	Small Tools & Supplies	9,524		9,524	7,314	2,210	76.8% (19)
15-5030-**-**-**	Trash Disposal	2,996		2,996	448	2,548	14.9%
15-5031-**-**-**	Safety Program & Supplies	36,048		36,048	11,805	24,243	32.7% (9)
15-5032-**-**-**	Equipment Rental	1,000		1,000	-	1,000	0.0%
15-5033-**-**-**	Recruitment	1,000		1,000	-	1,000	0.0%
15-5034-**-**-**	Travel Expense/Tech. Conferences	15,968		15,968	4,681	11,287	29.3%
15-5035-**-**-**	Training Expense	13,268		13,268	168	13,100	1.3%
15-5036-**-**-**	Laboratory Supplies	16,500		16,500	5,302	11,198	32.1%
15-5037-**-**-**	Office Equipment	2,000		2,000	649	1,351	32.5%
15-5038-**-**-**	Permits	23,236		23,236	1,928	21,308	8.3%
15-5039-**-**-**	Membership Dues/Fees	2,368		2,368	4,941	(2,573)	208.7% (11)
15-5047-**-**-**	Access Road Expenses	49,000		49,000	-	49,000	0.0%
15-5048-**-**-**	Storm Damage	20,008		20,008	-	20,008	0.0%
15-5050-**-**-**	Contract Services Generators - 29A	4,004		4,004	-	4,004	0.0%
15-5052-**-**-**	Janitorial Services	20,008		20,008	2,799	17,209	14.0%
15-5054-**-**-**	Diesel Truck Maint - 31B	996		996	-	996	0.0%
15-5055-**-**-**	Diesel Truck Fuel - 37B	996		996	-	996	0.0%
15-5057-**-**-**	Maintenance Equip. & Facilities (Liquids)	179,000		179,000	24,009	154,991	13.4%
15-5058-**-**-**	Maintenance Equip. & Facilities (Common)	22,000		22,000	2,201	19,799	10.0%
15-5060-**-**-**	Maintenance Equip. & Facilities (AWT) 41-E	37,000		37,000	5,464	31,536	14.8%
15-5061-01-00-00	Mileage	-		-	289	(289)	0.0%
15-5076-**-**-**	SCADA Infrastructure	6,996		6,996	-	6,996	0.0%
15-5077-01-00-00	IT Direct	-		-	2,896	(2,896)	0.0% (20)
15-5303-**-**-**	Group Insurance Waiver	3,604		3,604	922	2,682	25.6%
15-5305-**-**-**	Medicare Tax Payments for Employees	1,668		1,668	454	1,214	27.2%
15-5705-**-**-**	Monthly Car Allowance	4,200		4,200	1,075	3,125	25.6%
15-6500-**-**-**	IT Allocations in to PC's & Depts.	122,436		122,436	30,150	92,286	24.6%
	Total Other Expenses	1,323,488	-	1,323,488	294,100	1,029,388	22.2%
	Total Expenses	3,017,392	1,115	3,018,507	648,519	2,369,988	21.5%

**South Orange County Wastewater Authority**  
**O&M Budget vs. Actual Comparison by PC**  
For the Period Ended September 30, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted 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	1,797,416	4,129	1,801,545	422,038	1,379,507	23.4%
17-5001-***.**	Overtime Salaries-O&M	54,072		54,072	6,001	48,071	11.1%
17-5306-***.**	Scheduled Holiday Work	12,772		12,772	2,670	10,102	20.9%
17-5315-02-01-00	Comp Time - O&M	-		-	165	(165)	0.0%
17-5401-***.**	Fringe Benefits IN to PC's & Depts.	1,293,120		1,293,120	300,111	993,009	23.2%
17-5700-***.**	Standby Pay	27,040		27,040	8,037	19,003	29.7%
	Total Payroll Costs	3,184,420	4,129	3,188,549	739,022	2,449,527	23.2%
Other Expenses							
17-5002-***.**	Electricity	351,916		351,916	131,611	220,305	37.4% (21)
17-5003-***.**	Natural Gas	95,000		95,000	15,321	79,679	16.1%
17-5004-***.**	Potable & Reclaimed Water	29,996		29,996	4,527	25,469	15.1%
17-5005-***.**	Co-generation Power Credit	(325,004)		(325,004)	(177,480)	(147,524)	54.6%
17-5006-***.**	Chlorine/Sodium Hypochlorite	402,000		402,000	132,556	269,444	33.0% (22)
17-5007-***.**	Polymer Products	482,000		482,000	97,608	384,392	20.3%
17-5008-***.**	Ferric Chloride	172,888		172,888	66,225	106,663	38.3% (23)
17-5009-***.**	Odor Control Chemicals	44,796		44,796	12,591	32,205	28.1%
17-5010-***.**	Other Chemicals - Misc.	1,996		1,996	-	1,996	0.0%
17-5011-***.**	Laboratory Services	16,500		16,500	3,208	13,292	19.4%
17-5012-***.**	Grit Hauling - 21A	47,000		47,000	15,896	31,104	33.8%
17-5013-***.**	Landscaping	67,668		67,668	11,897	55,771	17.6%
17-5014-***.**	Engineering - Misc.	-		-	1,973	(1,973)	0.0% (7)
17-5015-***.**	Management Support Services	13,204		13,204	7,604	5,600	57.6%
17-5017-***.**	Legal Fees	1,500		1,500	5,195	(3,695)	346.3%
17-5019-***.**	Contract Services Misc.	80,720		80,720	23,981	56,739	29.7%
17-5021-***.**	Small Vehicle Expense	7,000		7,000	517	6,483	7.4%
17-5022-***.**	Miscellaneous Expense	5,004		5,004	109	4,895	2.2%
17-5023-***.**	Office Supplies - All	11,000		11,000	2,719	8,281	24.7%
17-5024-***.**	Petroleum Products	33,220		33,220	7,354	25,866	22.1%
17-5025-***.**	Uniforms	25,004		25,004	6,246	18,758	25.0%
17-5026-***.**	Small Vehicle Fuel	9,996		9,996	1,655	8,341	16.6%
17-5027-***.**	Insurance - Property/Liability	88,132		88,132	23,264	64,868	26.4%
17-5028-***.**	Small Tools & Supplies	25,976		25,976	10,114	15,862	38.9%
17-5030-***.**	Trash Disposal	1,996		1,996	137	1,859	6.8%
17-5031-***.**	Safety Program & Supplies	39,648		39,648	26,639	13,009	67.2% (9)
17-5032-***.**	Equipment Rental	3,004		3,004	-	3,004	0.0%
17-5033-***.**	Recruitment	1,004		1,004	-	1,004	0.0%
17-5034-***.**	Travel Expense/Tech. Conferences	15,956		15,956	14,862	1,094	93.1% (10)
17-5035-***.**	Training Expense	15,172		15,172	168	15,004	1.1%
17-5036-***.**	Laboratory Supplies	23,208		23,208	5,442	17,766	23.4%
17-5037-***.**	Office Equipment	10,000		10,000	1,011	8,989	10.1%
17-5038-***.**	Permits	41,624		41,624	4,127	37,497	9.9%
17-5039-***.**	Membership Dues/Fees	4,312		4,312	4,850	(538)	112.5% (11)
17-5049-***.**	Biosolids Disposal	905,004		905,004	185,218	719,786	20.5%
17-5050-***.**	Contract Services Generators - 29A	8,000		8,000	-	8,000	0.0%
17-5052-***.**	Janitorial Services	41,000		41,000	7,072	33,928	17.2%
17-5054-***.**	Diesel Truck Maint	19,004		19,004	4,795	14,209	25.2%
17-5055-***.**	Diesel Truck Fuel - 37B	8,000		8,000	1,149	6,851	14.4%
17-5056-***.**	Maintenance Equip. & Facilities (Solids)	201,000		201,000	53,921	147,079	26.8%
17-5057-***.**	Maintenance Equip. & Facilities (Liquids)	230,000		230,000	61,849	168,151	26.9%
17-5058-***.**	Maintenance Equip. & Facilities (Common)	35,000		35,000	15,045	19,955	43.0% (24)
17-5059-***.**	Maintenance Equip. & Facilities (Co-Gen)	588,000		588,000	108,086	479,914	18.4%
17-5060-***.**	Maintenance Equip. & Facilities (AWT)	37,000		37,000	9,952	27,048	26.9%
17-5061-***.**	Mileage	1,004		1,004	175	829	17.4%
17-5068-***.**	MNWD Potable Water Supplies & Svcs.	24,972		24,972	3,612	21,360	14.5%
17-5076-***.**	SCADA Infrastructure	7,000		7,000	-	7,000	0.0%
17-5077-***.**	IT Direct	8,040		8,040	2,896	5,144	36.0% (25)
17-5101-01-00-00	Employee Recognition	-		-	93	(93)	0.0%
17-5105-***.**	Co-Generation Power Credit - Offset	325,000		325,000	177,480	147,520	54.6%
17-5303-***.**	Group Insurance Waiver	7,192		7,192	1,843	5,349	25.6%
17-5705-***.**	Monthly Car Allowance	11,392		11,392	2,151	9,241	18.9%
17-5706-***.**	Effluent Pond Cleaning	90,000		90,000	-	90,000	0.0%
17-6500-***.**	IT Allocations in to PC's & Depts.	230,586		230,586	56,780	173,806	24.6%
	Total Other Expenses	4,620,630	-	4,620,630	1,154,042	3,466,588	25.0%
	Total Expenses	7,805,050	4,129	7,809,179	1,893,064	5,916,115	24.2%

**South Orange County Wastewater Authority**  
**O&M Budget vs. Actual Comparison by PC**  
For the Period Ended September 30, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
<b>21 - Effluent Transmission Main</b>							
Salary and Fringe							
21-5000-01-14-00	Regular Salaries-O&M	-	-	-	365	(365)	0.0%
21-5401-01-00-00	Fringe Benefits IN to PC's & Depts.	-	-	-	263	(263)	0.0%
	Total Payroll Costs	-	-	-	628	(628)	0.0%
Other Expenses							
21-5019-02-00-00	Contract Services Misc. - 29	-	-	-	157	(157)	0.0%
21-5027-**-**-**	Insurance - Property/Liability	740	740	740	174	566	23.5%
	Total Other Expenses	740	-	740	331	409	44.7%
	Total Expenses	740	-	740	959	(219)	129.6%
<b>24 - Aliso Creek Ocean Outfall</b>							
Salary and Fringe							
24-5000-**-**-**	Regular Salaries-O&M	99,608	99,608	99,608	26,762	72,846	26.9%
24-5001-**-**-**	Overtime Salaries-O&M	460	460	460	74	386	16.1%
24-5315-02-11-00	Comp Time - O&M	-	-	-	34	(34)	0.0%
24-5401-**-**-**	Fringe Benefits IN to PC's & Depts.	71,648	71,648	71,648	19,237	52,411	26.8%
	Total Payroll Costs	171,716	-	171,716	46,107	125,609	26.9%
Other Expenses							
			-				
24-5015-**-**-**	Management Support Services	22,496	22,496	22,496	723	21,773	3.2%
24-5017-**-**-**	Legal Fees	1,004	1,004	1,004	-	1,004	0.0%
24-5027-**-**-**	Insurance - Property/Liability	6,524	6,524	6,524	1,685	4,839	25.8%
24-5031-**-**-**	Safety Supplies	1,004	1,004	1,004	-	1,004	0.0%
24-5034-**-**-**	Travel Expense/Tech. Conferences	3,704	3,704	3,704	1,274	2,430	34.4%
24-5035-**-**-**	Training Expense	6,008	6,008	6,008	-	6,008	0.0%
24-5036-**-**-**	Laboratory Supplies	19,560	19,560	19,560	3,702	15,858	18.9%
24-5038-**-**-**	Permits	186,756	186,756	186,756	882	185,874	0.5%
24-5039-**-**-**	Membership Dues/Fees	5,500	5,500	5,500	-	5,500	0.0%
24-5044-**-**-**	Offshore Monitoring	18,000	18,000	18,000	10,469	7,531	58.2% (13)
24-5046-**-**-**	Effluent Chemistry	14,004	14,004	14,004	6,752	7,252	48.2% (14)
24-5058-**-**-**	Maintenance Equip. & Facilities (Common) 41-C	1,004	1,004	1,004	-	1,004	0.0%
24-5069-**-**-**	Outfall Inspection/Port Cleaning	30,004	30,004	30,004	-	30,004	0.0%
24-6500-**-**-**	IT Allocations in to PC's & Depts.	12,776	12,776	12,776	3,146	9,630	24.6%
	Total Other Expenses	328,344	-	328,344	28,633	299,711	8.7%
	Total Expenses	500,060	-	500,060	74,740	425,320	14.9%
<b>Total O&amp;M Expenses</b>		<b>18,346,162</b>	<b>10,289</b>	<b>18,356,451</b>	<b>4,236,072</b>	<b>14,120,379</b>	<b>23.1%</b>

\* Change related to additional salary



**South Orange County Wastewater Authority  
O&M Budget vs. Actual Comparison by PC**

For the Period Ended September 30, 2019

- (1) More staff has elected to choose Comp Time instead of Overtime Salaries than anticipated. Considering both line items together, the overall Overtime Budget is 27% in the first quarter of the FY.
- (2) Standby Pay is elevated due to the rotation schedule of the staff. The overall Standby Pay for O&M is on Budget and is anticipated to level out over the FY.
- (3) Power costs are elevated, and the line item Budget may need to be adjusted due to high energy demand charges as discussed with the Board in May during the approval of the FY 2019-20 Budget.
- (4) A leak in the fiberglass tank required staff to drain the bleach tank and refill it. The bleach drained from the leaking tank is being stored in temporary totes and will be used over the next few months.
- (5) Ferric usage for the new engine is still being adjusted to stay in compliance with SCAQMD permits. This line item may need to be adjusted as discussed with the Board in May during the approval of the FY 2019-20 Budget.
- (6) Annual trees work was completed at the beginning of the FY; expenses are planned to level off.
- (7) Costs are associated with scanning and filing historic documents; expenses are planned to level off.
- (8) Staff completed the restocking of PPE for the upcoming Winter; expenses are planned to level off.
- (9) The first quarter includes the purchase of new boots per the Employee Manual; expenses are planned to level off.
- (10) Two of the three planned major conferences were attended by staff in the first quarter of the Fiscal Year including, WEFTEC and HACHWIMS; expenses are planned to level off.
- (11) Membership renewals are primarily paid in July; expenses are planned to level off.
- (12) An additional software license for JBL's Lockout-Tagout procedures was purchased. Also, a JBL SCADA laptop was replaced. Since both items are directly attributed to JBL, they are charged to PC-2; expenses are planned to level off.
- (13) Additional costs due to replacement of moors in the ocean for sample location identification.
- (14) Additional costs due to accelerated monitoring at the outfall due to chronic toxicity exceedance.
- (15) Annual pretreatment sampling, costs will level off through the year.
- (16) Intern time included in this budget line item.
- (17) Ferric chloride usage is elevated in the summer at CTP and lowers in the winter; expenses are planned to level off.
- (18) Costs are associated with scanning and filing historic documents for CTP; expenses are planned to level off.
- (19) O&M staff procured a number of tools at the beginning of the FY; expenses are planned to level off.
- (20) A CTP SCADA laptop was replaced and is directly attributed to CTP; expenses are planned to level off.
- (21) Additional power is being purchased due to warranty work on the new engine.
- (22) Bleach usage is elevated in the summer at RTP and lowers with lower recycled water demand in the winter; expenses are planned to level off.
- (23) Ferric chloride usage is elevated in the summer at RTP and lowers in the winter; expenses are planned to level off.
- (24) The RTP Operations Building required a large plumbing project to replace leaking cast iron plumbing that was corroded and cracked; expenses are planned to level off.
- (25) An RTP SCADA laptop was replaced and is directly attributed to RTP; expenses are planned to level off.

**South Orange County Wastewater Authority**  
**Budget vs. Actual Comparison - Engineering**  
For the Period Ended September 30, 2019

		<b>FY 2019-20 Budget</b>	<b>Board Approved Expenditures *</b>	<b>Adjusted Budget</b>	<b>Actual</b>	<b>(Over)/Under Budget</b>	<b>% Expended</b>	
Salary and Fringe								
01-5000-03-00-00	Regular Salaries-O&M	207,349	714	208,063	80,280	127,783	38.6%	(1)
01-5302-03-01-00	Performance Based Merit Pay	-		-	-	-	0.0%	
01-5401-03-00-00	Fringe Benefits IN to PC's & Depts.	149,173		149,173	56,402	92,771	37.8%	(1)
	Total Payroll Costs	356,522	714	357,236	136,681	220,554	38.3%	
Other Expenses								
01-5015-03-00-00	Management Support Services	9,600		9,600	-	9,600	0.0%	
**5022-**-**-00	Miscellaneous Expense	3,121		3,121	-	3,121	0.0%	
01-5023-03-00-00	Office Supplies - All	204		204	-	204	0.0%	
01-5031-03-00-00	Safety Supplies	300		300	-	300	0.0%	
01-5033-03-00-00	Recruitment	-		-	7,539	(7,539)	0.0%	(2)
01-5034-03-00-00	Travel Expense/Tech. Conferences	12,625		12,625	3,153	9,472	25.0%	
01-5035-03-00-00	Training Expense	4,400		4,400	-	4,400	0.0%	
01-5037-03-00-00	Office Equipment	400		400	-	400	0.0%	
01-5039-03-00-00	Membership Dues/Fees	1,350		1,350	-	1,350	0.0%	
01-5061-03-00-00	Mileage	500		500	61	439	12.2%	
01-5309-03-00-00	Operating Leases	6,695		6,695	1,830	4,865	27.3%	
01-5705-03-00-00	Monthly Car Allowance	5,250		5,250	1,576	3,674	30.0%	(1)
01-5802-03-00-00	Shipping/Freight	306		306	-	306	0.0%	
01-6500-03-00-00	IT Allocations in to PC's & Depts.	55,588		55,588	13,688	41,900	24.6%	
	Total Other Expenses	100,339	-	100,339	27,847	72,492	27.8%	
<b>Total Engineering Expenses</b>		<b>456,862</b>	<b>714</b>	<b>457,575</b>	<b>164,528</b>	<b>293,046</b>	<b>36.0%</b>	

\* Change related to additional salary

(1) The 2nd quarter will have a significantly lower percentage expended due to reduced staff effective on 10/1.

(2) Staffing costs; Director Engineering and Sr. Engineer.

**South Orange County Wastewater Authority**  
**Budget vs. Actual Comparison- Administration**  
For the Period Ended September 30, 2019

		<b>FY 2019-20 Budget</b>	<b>Board Approved Expenditures *</b>	<b>Adjusted Budget</b>	<b>Actual</b>	<b>(Over)/Under Budget</b>	<b>% Expended</b>
<b>Salary and Fringe</b>							
01-6000-04-00-00	Regular Salaries-Admin or IT	1,030,445	3,092	1,033,537	241,598	791,940	23.4%
01-6001-04-00-00	Overtime Salaries-Admin or IT	6,000		6,000	1,691	4,309	28.2%
01-6315-04-00-00	Comp Time - Admin	5,000		5,000	2,636	2,364	52.7%
01-6401-04-00-00	Fringe Benefits IN to ADMIN or IT	741,332		741,332	173,666	567,666	23.4%
	<b>Total Payroll Costs</b>	<b>1,782,777</b>	<b>3,092</b>	<b>1,785,869</b>	<b>419,591</b>	<b>1,366,278</b>	<b>23.5%</b>
<b>Other Expenses</b>							
01-6101-04-00-00	HR Recruitment & Employee Relations	34,200		34,200	5,749	28,451	16.8%
01-6102-04-00-00	Subscriptions	2,000		2,000	400	1,600	20.0%
01-6200-04-00-00	Management Support Services	100,000		100,000	46,147	53,853	46.1%
01-6201-04-00-00	Audit	45,000		45,000	25,000	20,000	55.6%
01-6202-04-00-00	Legal	250,000		250,000	74,821	175,179	29.9%
01-6204-04-00-00	Postage	2,400		2,400	1,483	917	61.8%
01-6223-04-00-00	Office Supplies - Admin	6,000		6,000	1,746	4,254	29.1%
01-6224-04-00-00	Office Equipment Admin or IT	400		400	-	400	0.0%
01-6234-04-00-00	Memberships & Trainings	90,000		90,000	33,377	56,623	37.1%
01-6239-04-00-00	Travel & Conference	21,500		21,500	6,261	15,239	29.1%
01-6310-04-00-00	Miscellaneous	23,000		23,000	8,213	14,787	35.7%
01-6311-04-00-00	Mileage	1,188		1,188	270	918	22.8%
01-6317-04-00-00	Contract Services Misc	5,500		5,500	1,275	4,225	23.2%
01-6500-04-00-00	IT Allocations in to PC's & Depts.	132,191		132,191	32,552	99,639	24.6%
01-6601-04-00-00	Shipping/Freight	3,667		3,667	1,736	1,931	47.3%
01-6705-04-00-00	Monthly Car Allowance	12,000		12,000	3,072	8,928	25.6%
	<b>Total Other Expenses</b>	<b>729,046</b>	<b>-</b>	<b>729,046</b>	<b>242,104</b>	<b>486,942</b>	<b>33.2%</b>
<b>Total Admin Expenses</b>		<b>2,511,823</b>	<b>3,092</b>	<b>2,514,915</b>	<b>661,695</b>	<b>1,853,220</b>	<b>26.3%</b>

\* Change related to additional salary

**South Orange County Wastewater Authority**  
**Budget vs. Actual Comparison-IT**  
For the Period Ended September 30, 2019

		<b>FY 2019-20 Budget</b>	<b>Board Approved Expenditures *</b>	<b>Adjusted Budget</b>	<b>Actual</b>	<b>(Over)/Under Budget</b>	<b>% Expended</b>
<b>Salary &amp; Fringe</b>							
01-6000-05-00-00	Regular Salaries-Admin or IT	98,482	518	99,000	21,977	77,023	22.3%
01-6001-05-00-00	Overtime Salaries-Admin or IT	-		-	2,072	(2,072)	0.0%
01-6401-05-00-00	Fringe Benefits IN to ADMIN or IT	70,851		70,851	15,425	55,426	21.8%
	<b>Total Salary &amp; Fringe</b>	<b>169,333</b>	<b>518</b>	<b>169,851</b>	<b>39,440</b>	<b>130,411</b>	<b>23.3%</b>
<b>Other Expenses</b>							
01-5028-05-00-00	Small Tools & Supplies	1,000		1,000	-	1,000	0.0%
01-5037-05-00-00	Office Equipment	600		600	-	600	0.0%
01-6102-05-00-00	Subscriptions	700		700	-	700	0.0%
01-6234-05-00-00	Memberships & Trainings	1,000		1,000	-	1,000	0.0%
01-6239-05-00-00	Travel & Conference	3,500		3,500	2,745	755	78.4%
01-6300-05-00-00	Software Maintenance Agreements	51,967		51,967	48,797	3,170	93.9% (1)
01-6301-05-00-00	Hardware Maintenance Agreements	7,126		7,126	-	7,126	0.0%
01-6302-05-00-00	Cloud Subscriptions (Internet)	75,124		75,124	28,955	46,169	38.5%
01-6303-05-00-00	Telecommunications	127,036		127,036	32,310	94,726	25.4%
01-6305-05-00-00	IT Professional Services	236,919		236,919	10,984	225,935	4.6%
01-6306-05-00-00	Small Hardware Purchases (< \$5k)	20,900		20,900	10,630	10,270	50.9%
01-6307-05-00-00	Small Software Purchases & Licenses (<\$5k)	24,908		24,908	2,053	22,855	8.2%
01-6308-05-00-00	IT Memberships	160		160	704	(544)	440.0%
01-6309-05-00-00	Operating Leases	55,200		55,200	14,580	40,620	26.4%
01-6310-05-00-00	Miscellaneous	5,000		5,000	173	4,827	3.5%
01-6312-05-00-00	Computer & Photocopy Supplies	-		-	819	(819)	0.0%
	<b>Total Other Expenses</b>	<b>611,140</b>	<b>-</b>	<b>611,140</b>	<b>152,749</b>	<b>458,391</b>	<b>25.0%</b>
<b>Total Expenses before Allocation</b>		<b>780,473</b>	<b>518</b>	<b>780,991</b>	<b>192,190</b>	<b>588,802</b>	<b>24.6%</b>
<b>IT Allocations (Out) to PC's &amp; Depts</b>							
01-6400-05-00-00	IT Allocations (OUT) to PC's & Depts.	(780,473)	(518)	(780,991)	(192,190)	(588,802)	24.6%
	<b>Total IT Allocations (Out) to PC's &amp; Depts</b>	<b>(780,473)</b>	<b>(518)</b>	<b>(780,991)</b>	<b>(192,190)</b>	<b>(588,802)</b>	<b>24.6%</b>

\* Change related to additional salary

(1) SCADA license agreement billed at the beginning of the fiscal year.

# Agenda Item

## 4.E.

**Meeting Date:** November 7, 2019

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

A nine (9) 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) Quarterly Report on Key Operational Expenses

A seven (7) page overview of monthly expenses for key operational expenses with estimated projections for the Fiscal Year. The key parameters that are being tracked are Electricity, Odor Control, Polymer, Biosolids, Maintenance expenses (not including SOCWA staff labor), small capital purchases and safety.

4) Beach Ocean Monitoring Report

5) Recycled Water Report

6) Pretreatment Report

### **Fiscal impact**

No change.

### **Recommended Action:**

Information Item; receive and file the Operational Reports.

# Monthly Operational Report

# SOCWA Operational Report September, 2019

## Excursion, Complaint, and Violation Events

Events	CTP	RTP	JBL	Totals
Odor	0	0	0	0
Noise	0	0	0	0
Spills	0	0	0	0
Violations	0	0	0	0
Others	0	0	0	0

## Plant Wastewater Billing Characteristics

Key Parameters	CTP	RTP	JBL TP1	JBL TP2	Totals
Influent (mgd) (1)	2.31	7.52	4.96	0.88	15.66
Effluent (mgd)	1.80	1.31	4.96	1.66	9.74
Peak Flow (mgd)	9.42	15.00	11.09	5.56	41.07
Influent BOD (mg/l)	240	235	255	284	
Influent TSS (mg/l)	329	317	513	409	
Effluent BOD (mg/l)	5.0	3.3	5.2	4.3	
Effluent TSS (mg/l)	6.7	5.7	6.3	6.1	
Effluent Turbidity (NTU)	3.7	2.8	2.3	2.2	

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

## Recycled Water (AWT) Operations

Key Parameters	CTP	RTP	JBL	Totals
Average Flow (mgd)	1.37	6.20		7.57
Days of Operation (days)	30	30		
Total Flow (million gallons)	41.0	186.1		227.1
Plant Irrigation (million gallons)	0.00	0.24	0.30	
AWT Time Online (%)	90.0	100.0		

### 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 September, 2019 (cont'd)

## Biosolids Management

Biosolids Management Site	CTP	RTP	JBL	Totals
Synagro Compost (tons)		738.3	0.0	738.3
Nursery Products (tons)		155.8	559.6	715.4
Prima Deshecha (tons)		268.6	223.3	491.9
Other: (tons)		0.0	0.0	0.0
Total Processed (tons)		1,162.6	783.0	1,945.6

## Summary of Maintenance Activities

Task Type	CTP	RTP	JBL	Totals
Preventative Maintenance	130	1,007	262	1,399
Corrective Maintenance	34	137	105	276

## Site Visitors

Visitor Types	CTP	RTP	JBL	Totals
Regulatory	0	0	0	0
Member Agency	0	0	4	4
Residents	0	0	0	0
Others	0	0	44	44
Tours #/Visitors	0	34	1	35

## Grit Disposal Management

Grit & Screenings	CTP	RTP	JBL	Totals
Simi Valley Landfill (tons)	12.0	23.7	NA	35.7

## Chemical and Energy Utilization

Chemical/Utility	CTP	RTP	JBL	Totals
Ferric Chloride (tons)	NA	NA	NA	NA
Utility Power Purchase (kWh)	197,967	36,799	193,845	428,611
Cogen Power (kWh)		552,096	446,860	998,956
Natural Gas (Dth)	NA	NA	1,485	1,485
Digester Gas to Engine (scfm)		7,342,834	7,107,387	14,450,221
Digester Gas to Boiler (scfm)		0		0
Digester Gas to Flares (scfm)		760,534	245,082	1,005,616
Digester Gas Power Savings		\$78,394.98		

(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 September, 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	1.622	66.40%				1.62
EBSD	0.051	2.09%				0.05
SCWD	0.770	31.51%		1.573	26.94%	2.34
MNWD	0.000	0.00%	7.52	1.400	23.99%	8.92
CSJC				2.024	34.67%	2.02
SMWD				0.840	14.40%	0.84
Total	2.443	100.00%	7.52	5.837	100.00%	15.80

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

Agency	SJCOO (mgd)	SJCOO (%)	SJCOO Meter (mgd)	ACOO (mgd)	ACOO (%)	Total (mgd)	Notes
CLB				1.62	27.02%	1.62	
EBSD				0.05	0.85%	0.05	
SCWD	1.75	17.08%		0.03	0.56%	1.79	Includes Desalters
MNWD	1.65	16.11%		1.31	21.86%	2.97	
ETWD				1.68	28.04%	1.68	Direct Outfall Only
CSJC	3.49	34.02%				3.49	Includes Desalter
SMWD	1.30	12.68%				1.30	Includes Chiquita
CSC	2.06	20.11%				2.06	Direct Outfall Only
IRWD				1.30	21.67%	1.30	Direct Outfall Only
Total	10.26	100.00%	8.99	6.00	100.00%	16.27	

# SOCWA Operational Report September, 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%	2.024	34.67%	2.07	34.60%
MNWD	3.00	23.08%	1.40	21.12%	1.400	23.99%	1.40	23.41%
SCWD	3.75	28.85%	1.70	25.64%	1.573	26.94%	1.61	26.87%
SMWD	2.25	17.31%	1.41	21.27%	0.840	14.40%	0.90	15.12%
Total	13.00	100.00%	6.63	100.00%	5.837	100.00%	5.98	100.00%

### 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%	5,676	27.68%	5,955	29.20%
MNWD	8,340	21.62%	4,396	18.70%	6,282	30.63%	5,549	27.21%
SCWD	7,715	20.00%	5,391	22.94%	4,782	23.31%	5,163	25.31%
SMWD	10,946	28.38%	7,949	33.82%	3,771	18.38%	3,729	18.28%
Total	38,573	100.00%	23,503	100.00%	20,511	100.00%	20,396	100.00%

### 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%	2.06	20.11%		
CSJC	11.08%	2.348	20.01%	3.49	34.02%	2.02	34.67%
MNWD(3)	15.51%	2.013	17.16%	1.65	16.11%	1.40	23.99%
SCWD	12.47%	1.740	14.83%	1.75	17.08%	1.57	26.94%
SMWD	44.32%	3.101	26.43%	1.30	12.68%	0.84	14.40%
Total	100.00%	11.733	3.10%	10.26	100.00%	5.84	100.00%

(1) Influent billing meter summary:

- CSJC is metered daily in the collection system. The area-velocity meter has an accuracy of +/- 20%.
- MNWD is assumed to be 1.4 mgd unless Treatment Plant 3A is discharging to the sewer. If other discharges occur, they are estimated.
- SCWD flows are the summation of the DPSD and Victoria PS meters. The two metering systems have an accuracy of +/- 10%.
- 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 September, 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	2.229	22.49%		
CSJC	2.857	28.83%	2.07	34.60%
MNWD	1.793	18.09%	1.40	23.41%
SCWD	1.792	18.08%	1.61	26.87%
SMWD	1.240	12.51%	0.90	15.12%
Total	9.910	100.00%	5.98	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%	1.622	66.40%	1.721	65.65%
EBS	0.20	2.99%	0.050	1.67%	0.051	2.09%	0.050	1.91%
SCWD	2.00	29.85%	1.180	39.33%	0.770	31.51%	0.851	32.44%
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%	2.443	100.00%	2.622	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	0.0135	0.0135	0.18%	0.0133	0.18%
EBS	0.00040	0.005%	0.0000	0.0004	0.0004	0.01%	0.0004	0.01%
SCWD	0.00810	0.104%	0.0000	0.0064	0.0064	0.08%	0.0066	0.09%
ETWD	0.01410	0.181%	0.0000	0.0144	0.0144	0.19%	0.0148	0.20%
MNWD	7.75000	99.553%	7.5163	0.0596	7.5759	99.54%	7.3883	99.53%
Total	7.78480	100.000%	7.5163	0.0944	7.6107	100.00%	7.4233	100.00%

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

# SOCWA Operational Report September, 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%	146,375	14.33%	151,001	14.14%
EBSD	295	0.59%	158	0.38%	4,601	0.45%	4,404	0.41%
SCWD	4,480	8.96%	3,546	8.62%	69,472	6.80%	74,855	7.01%
ETWD	10,200	20.41%	5,755	13.99%	155,877	15.26%	168,210	15.75%
MNWD	29,395	58.82%	26,532	64.52%	644,839	63.15%	669,288	62.68%
Total	49,975	100.00%	41,124	100.00%	1,021,165	100.00%	1,067,758	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%	1.622	27.02%	1.721	30.89%
EBSD	0.780%	0.05	0.47%	0.051	0.85%	0.050	0.90%
ETWD	16.302%	2.46	23.08%	1.684	28.04%	1.550	27.82%
IRWD	15.760%	2.48	23.26%	1.301	21.67%	1.300	23.33%
MNWD	43.848%	3.08	28.89%	1.313	21.86%	0.993	17.81%
SCWD	12.310%	0.70	6.57%	0.033	0.56%	-0.042	-0.75%
Total	100.000%	10.66	100.00%	6.004	0.00%	5.572	100.00%

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

### *Select Critical Equipment Repairs*

#### JBL - PC2

Repaired failed Potable Water valve.  
Replaced cracked flight and broken rails on Primary Basin #9.  
Replaced Gearbox and Drive Sprocket on Primary Basin #9.  
Replaced failing thermostats on the Digester Heat Loop.  
Troubleshooted the Solids Scrubber fan belts.  
Replaced failing seal water lines in the 9-Side Basement.  
Completed the 10-year Polymer tank cleaning project.  
Completed test facilities for 9-Side Polymer injection trials.  
Removed and replaced TWAS Pump #1 for rebuilding.  
RAS and Scrubber Bleach Tank leak repairs completed.  
Replaced the failed Process Water Strainer #1.  
Installed drier canisters on the Polymer Tank to prevent moisture from entering the tank.  
Supported Package B construction activities.

#### CTP - PC15

Troubleshooted the leaking East Waste Pump.  
Troubleshooted the West Basin Mixing Pumps.  
Added bleach piping to AWT mixing chamber to allow bleach dosing at the bottom of the mixing tank to improve disinfection.  
Supported troubleshooting and warranty work for the recently completed AWT Improvement Project.  
Replaced failing West Scum Pump.  
Installed additional access points on exterior fencing to aid landscaping maintenance efforts.  
Repaired leaking East RAS Pump discharge piping.  
Troubleshooted Bleach Pump #2 Backflow Valve.  
Replaced failed auto-drain valve on Compressor #1.

#### RTP - PC17

Completed fabrication and installation of the Aeration Tank #2 Odor Box.  
Performed complete heat loop flush due to the YMCA contractor breaking the pipe.  
Troubleshooted vibrations from Centrifuge #3.  
Scrubber Bleach #2 Tank leak repairs completed.  
Installed new machine guards on 3WLP pumps.  
Finished up a vibration isolation pad on Service Air Compressor #1.  
Supported upcoming construction projects.

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

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

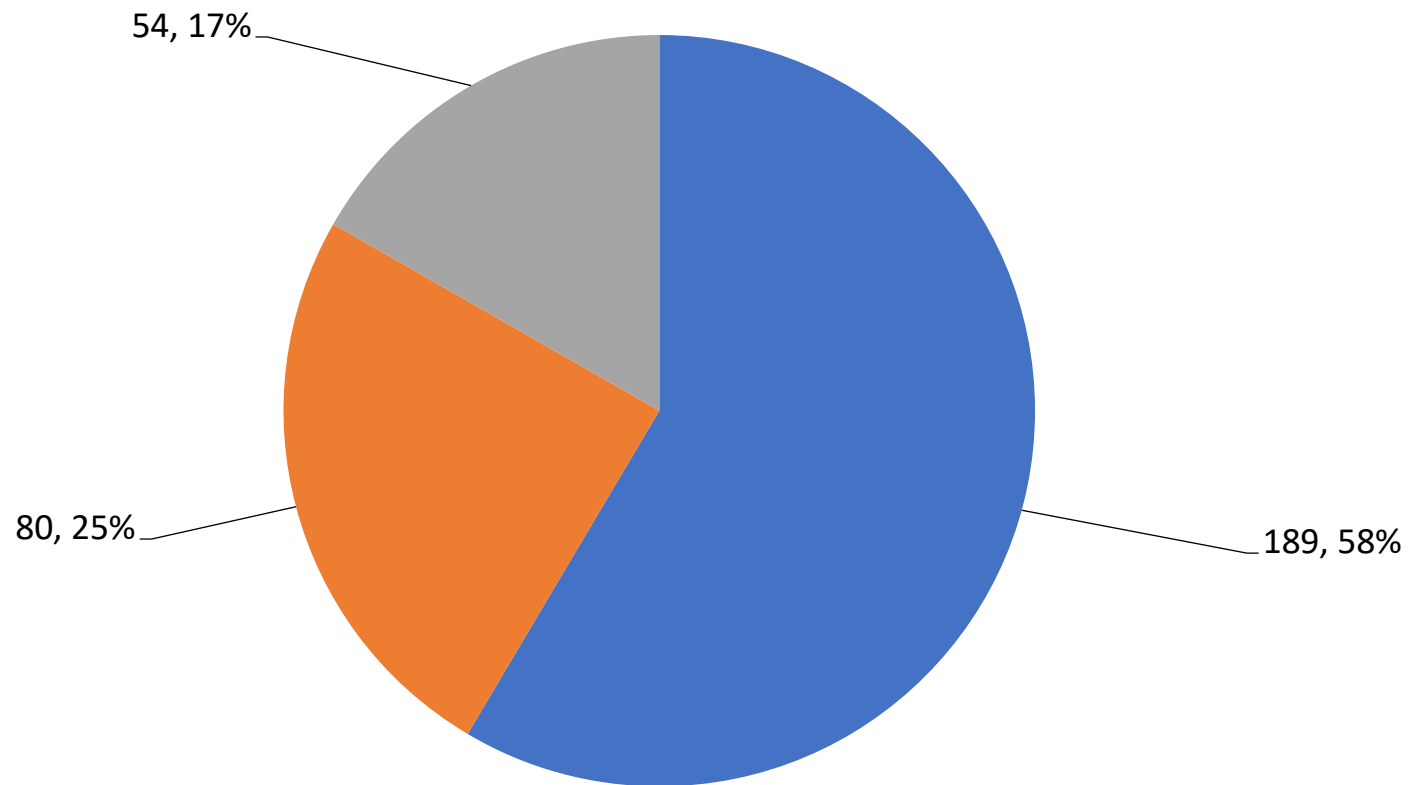
### *Select Critical Equipment Repairs (cont'd)*

#### ELECTRICAL - ALL PC'S

Upgrading SCADA screens for JBL Headworks and RTP.  
Troubleshoot the EBSD new communication conduit to CTP.  
Prepared new SOCWA server location for the upcoming server move at JBL.  
Supported JBL Package B and CTP AWT warranty and construction activities.  
Troubleshoot the Centrifuge control system at JBL.  
Troubleshoot the CTP WAS #2 VFD.  
Replaced the failed RTP Scrubber #1 pH probe.  
Replaced failing control wiring for Flocculator #1 at RTP.  
Replaced failed Heat Loop Pump #4 motor at RTP.  
Supporting troubleshooting Centrifuge #3 at RTP with Andritz.  
Troubleshoot the RTP Polymer Feed Pump.  
Installed additional WiFi equipment around the plant to address dead spots.  
Completed Lube and Waste Oil Control Panel relocation project.  
Troubleshoot and calibrated JBL's digester gas meters.  
Installed a new receptacle for the new 9-Side Scrubber Water Softener.  
Replaced failed SET Pump #3 pressure gauges.  
Replaced Scrubber #1 Vapex Sample Pump motor.  
Replaced failed DPS level switch at CTP.  
Replaced failed Applied Pump #2 cabinet cooling fan at RTP.  
Replaced failed conduit and wiring for Scum Pump #1 at CTP.  
Worked with Western Energy on failed Engine SCR warranty work.  
Replaced failed RTP engine jacket water make up regulator.  
Troubleshoot emission analyzer for engine testing.  
Repaired leaking water line on the Co-Gen Compressor at JBL.  
Replaced failed H2S monitoring equipment sampler pump motor at JBL.

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

1st Quarter (7/19 to 9/19) Critical Equipment Corrective Maintenance Repairs (323)



- Beyond Expected Life Equipment Repairs
- Within Expected Useful Life Equipment Repairs
- No Installation Data or Utility Line Work

# SOCWA Ocean Outfall Discharges by Agency

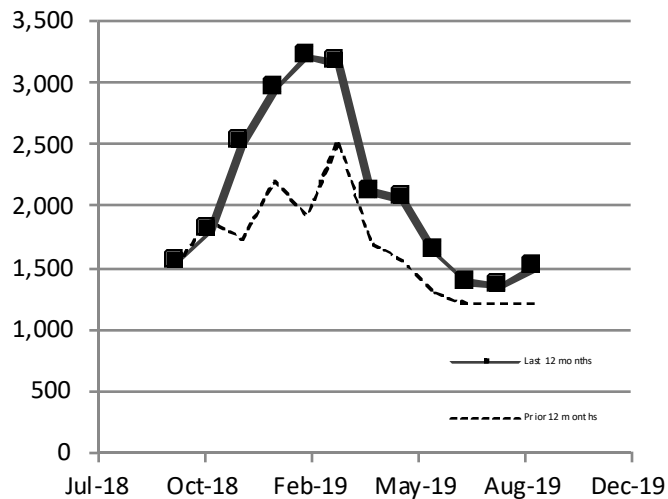


## SOCWA Outfall Discharge Report September, 2019

Agency	SJCOO (mgd)	SJCOO (%)	ACOO (mgd)	ACOO (%)	Total (mgd)
CLB			1.62	27.02%	1.62
EBS			0.05	0.85%	0.05
SCWD	1.75	17.08%	0.03	0.56%	1.79
MNWD	1.65	16.11%	1.31	21.86%	2.97
ETWD			1.68	28.04%	1.68
CSJC	3.49	34.02%			3.49
SMWD	1.30	12.68%			1.30
CSC	2.06	20.11%			2.06
IRWD			1.30	21.67%	1.30
Total	10.26	100.00%	6.00	100.00%	16.27
or Acre-Feet per year equivalent					18,219

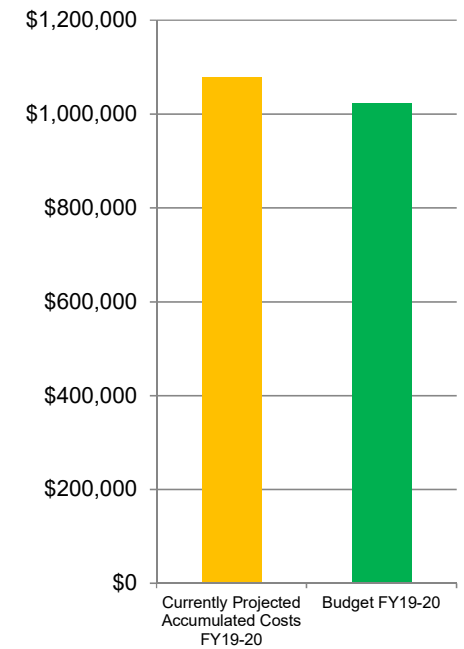
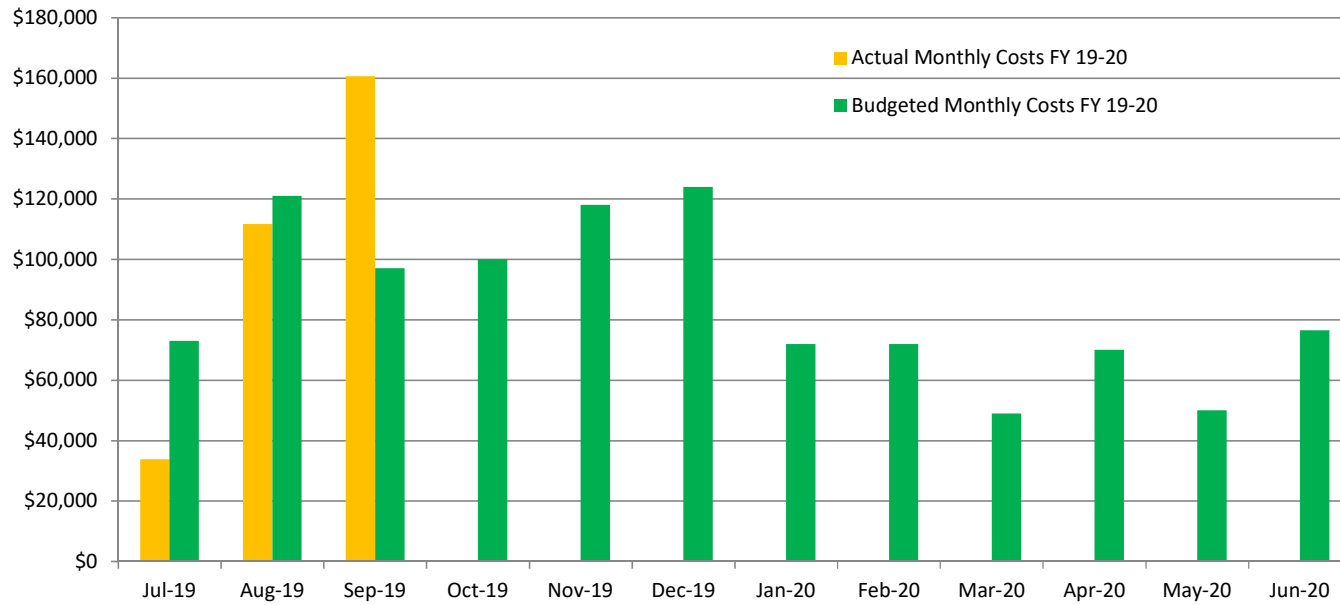
### 12-Month Running Total Discharge to Ocean Outfalls (AF)

Sep-19	1,495
Aug-19	1,351
Jul-19	1,382
Jun-19	1,628
May-19	2,061
Apr-19	2,117
Mar-19	3,163
Feb-19	3,211
Jan-19	2,950
Dec-18	2,518
Nov-18	1,804
Oct-18	1,538
Total	25,219



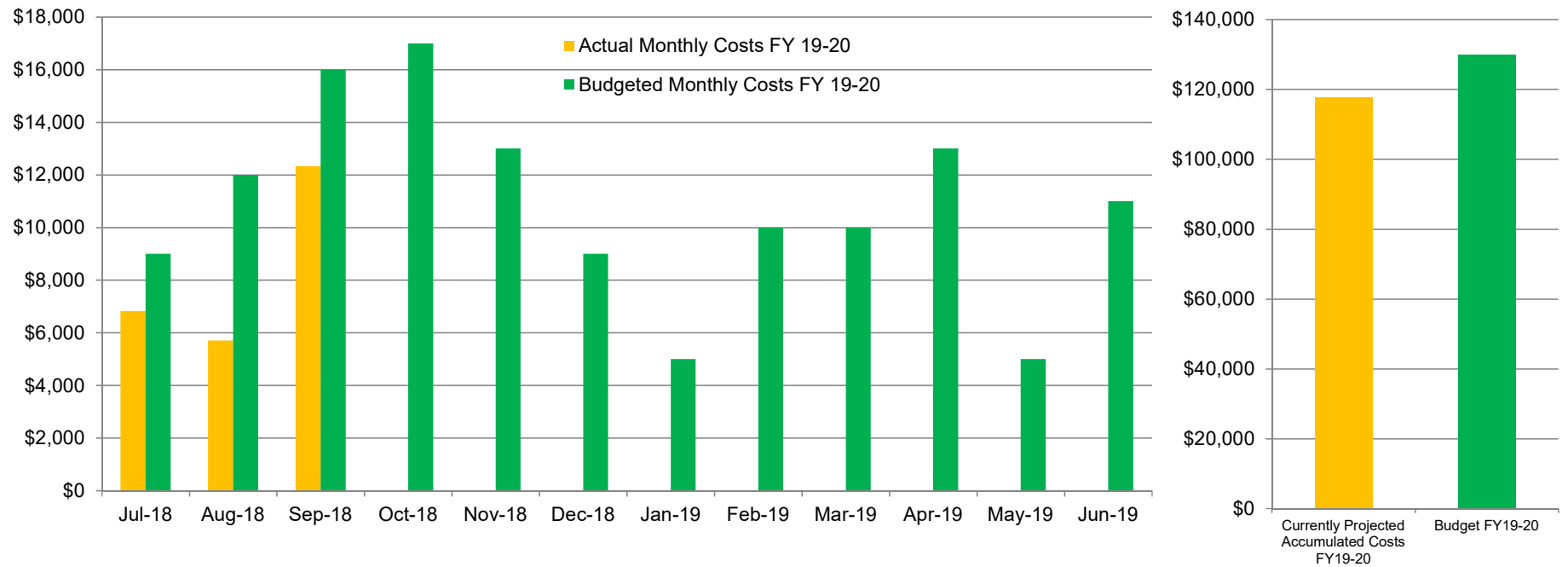
# Quarterly Report on Key Operational Expenses

# Electricity (5002) Costs



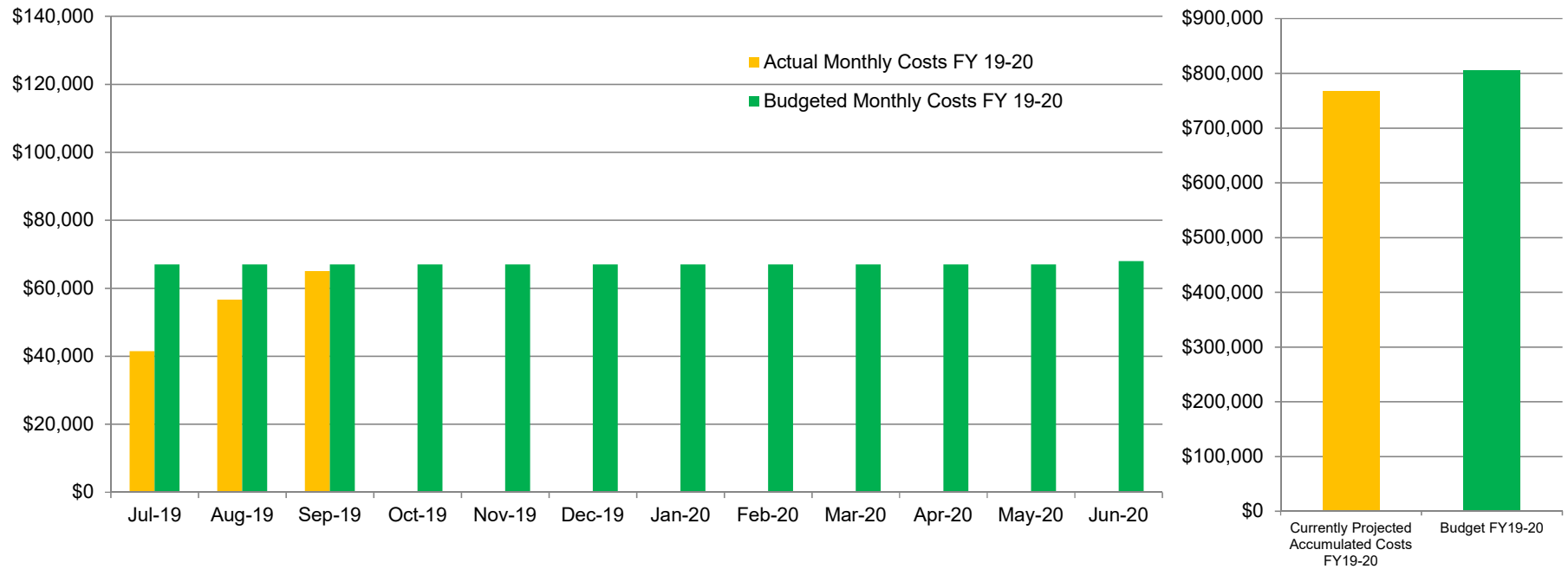
	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Currently Projected Accumulated Costs FY19-20	\$1,079,107
Actual Monthly Costs FY 19-20	\$33,806	\$111,663	\$160,639										Budget FY19-20	\$1,022,500
Budgeted Monthly Costs FY 19-20	\$73,000	\$121,000	\$97,000	\$100,000	\$118,000	\$124,000	\$72,000	\$72,000	\$49,000	\$70,000	\$50,000	\$76,500	Currently Projected Under(+)/Over (-) Budget	-\$56,607

# Odor Control (5009) Costs



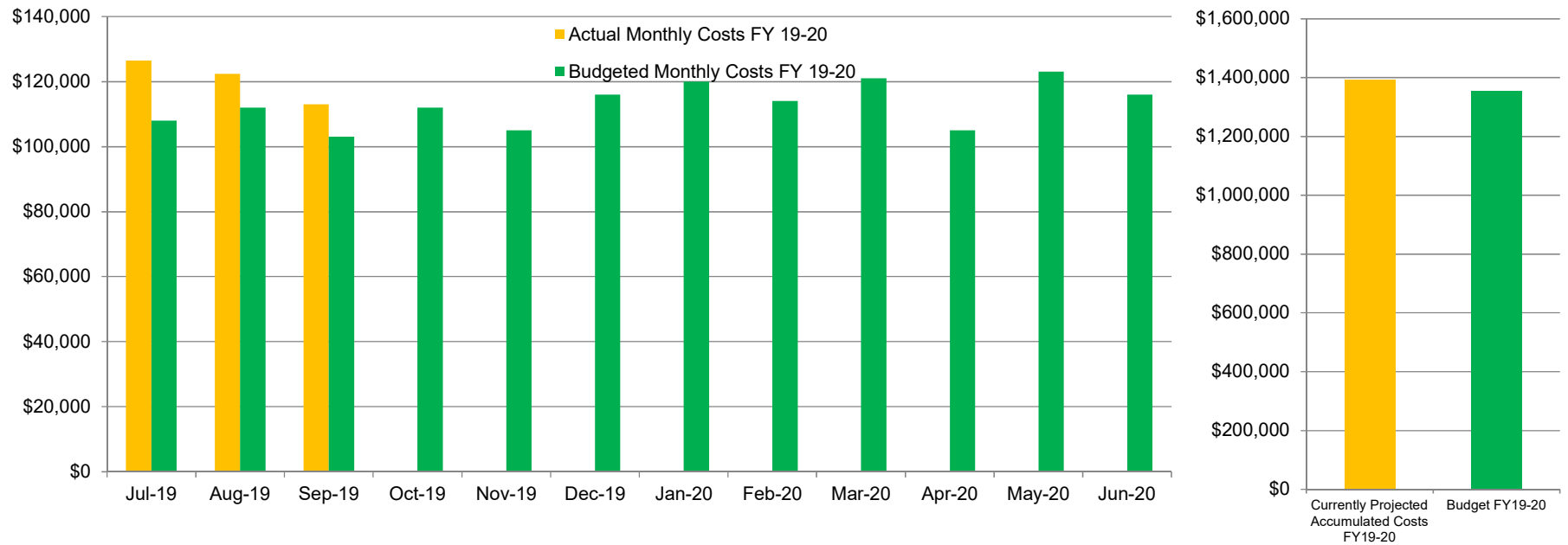
	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Currently Projected Accumulated Costs FY19-20	\$117,860
Actual Monthly Costs FY 19-20	\$6,827	\$5,707	\$12,327										Budget FY19-20	\$130,000
Budgeted Monthly Costs FY 19-20	\$9,000	\$12,000	\$16,000	\$17,000	\$13,000	\$9,000	\$5,000	\$10,000	\$10,000	\$13,000	\$5,000	\$11,000	Currently Projected Under(+)/Over (-) Budget	\$12,140

# Polymer (5007) Costs



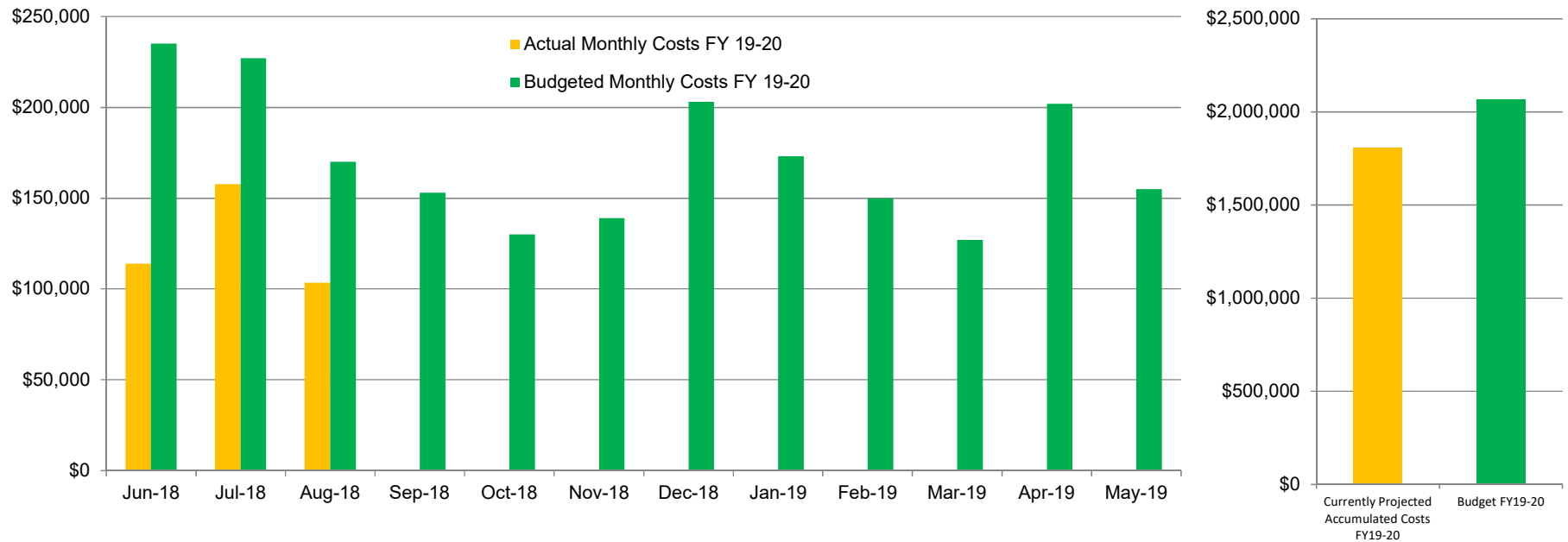
	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Currently Projected Accumulated Costs FY19-20	\$767,196
Actual Monthly Costs FY 19-20	\$41,501	\$56,668	\$65,027										Budget FY19-20	\$805,000
Budgeted Monthly Costs FY 19-20	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000	\$67,000	\$68,000	Currently Projected Under(+)/Over (-) Budget	\$37,804

# Biosolids (5049) Costs



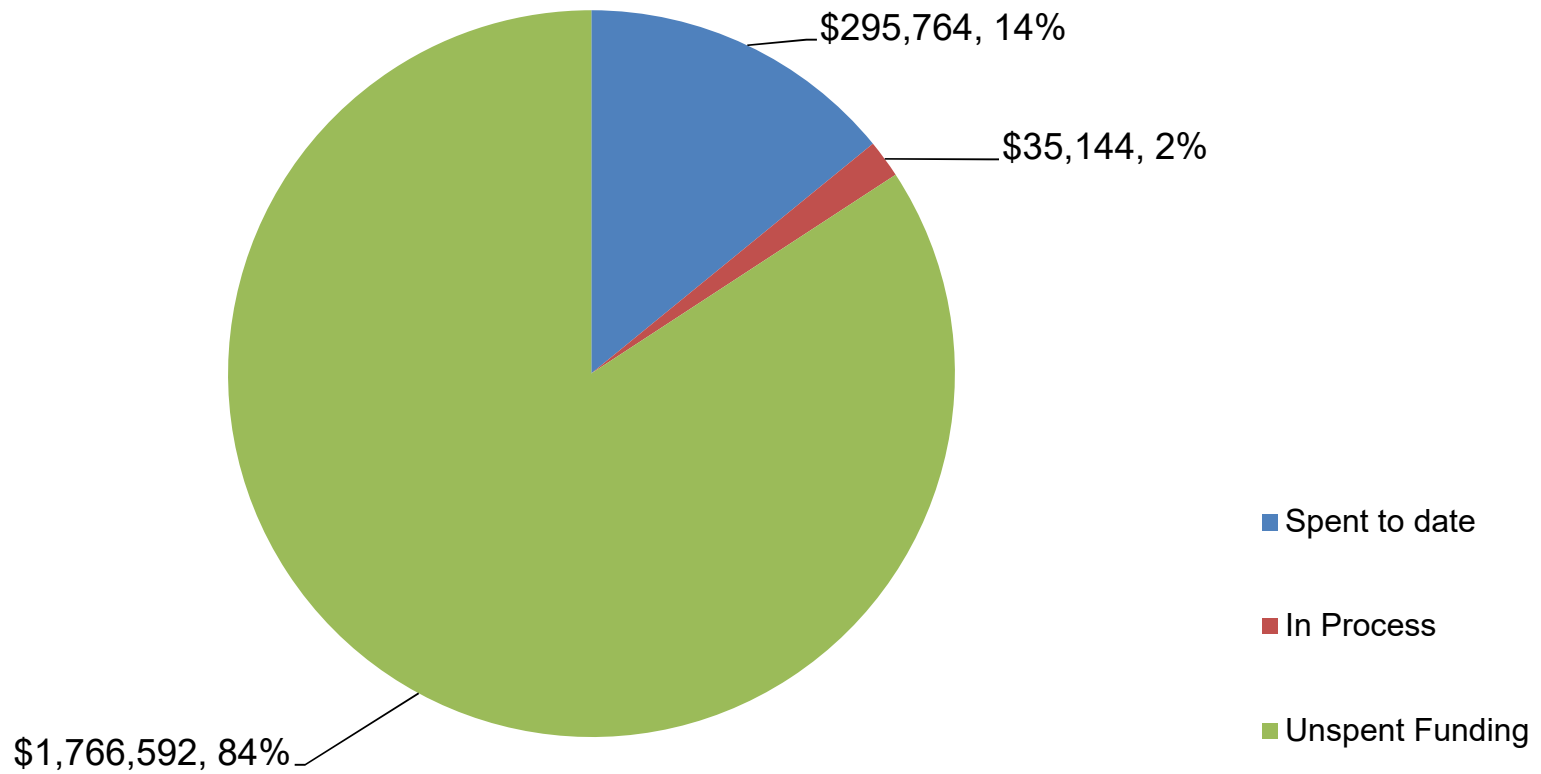
	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Currently Projected Accumulated Costs FY19-20	\$1,393,736
Actual Monthly Costs FY 19-20	\$126,429	\$122,317	\$112,990										Budget FY19-20	\$1,355,000
Budgeted Monthly Costs FY 19-20	\$108,000	\$112,000	\$103,000	\$112,000	\$105,000	\$116,000	\$120,000	\$114,000	\$121,000	\$105,000	\$123,000	\$116,000	Currently Projected Under(+)/Over (-) Budget	-\$38,736

# Maintenance Repair (5056 to 5060) Costs



	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Currently Projected Accumulated Costs FY19-20	
Actual Monthly Costs FY 19-20	\$113,968	\$157,670	\$103,415										Budget FY19-20	\$2,064,000
Budgeted Monthly Costs FY 19-20	\$235,000	\$227,000	\$170,000	\$153,000	\$130,000	\$139,000	\$203,000	\$173,000	\$150,000	\$127,000	\$202,000	\$155,000	Currently Projected Under(+)/Over (-) Budget	\$256,947

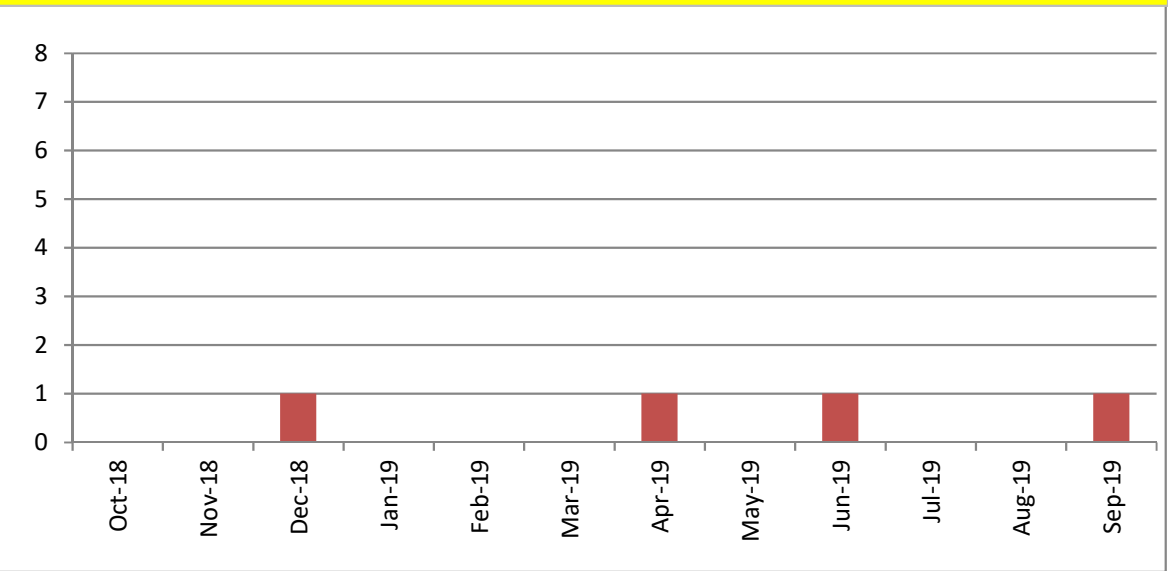
# FY19-20 Small Internal Capital Costs





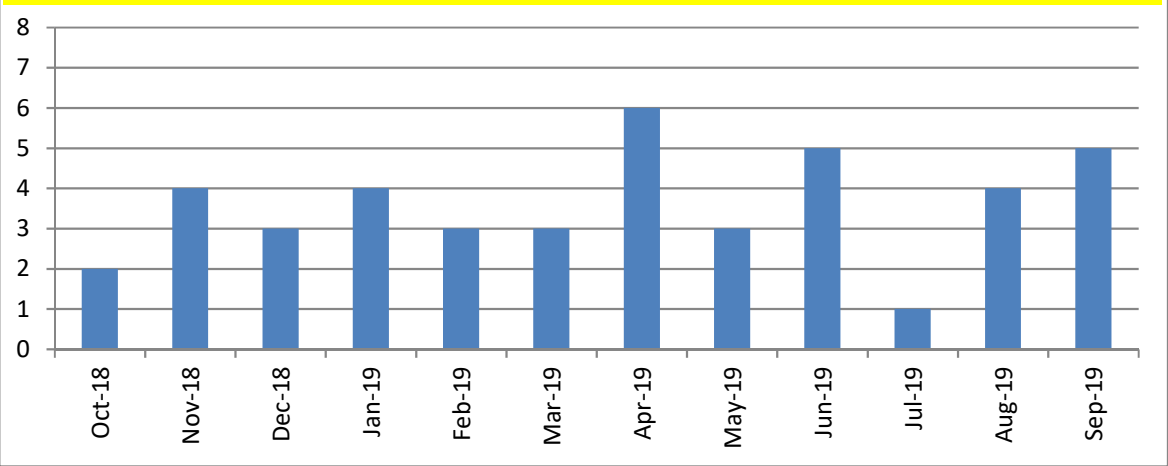
# SAFETY UPDATE - OCTOBER 3, 2019

## OSHA RECORDABLE INJURIES



	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19
OSHA RECORDABLE INJURIES	0	0	1	0	0	0	1	0	1	0	0	1

## NEAR MISS REPORTS



	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19
NEAR MISS REPORTS	2	4	3	4	3	3	6	3	5	1	4	5

## SAFETY TRAINING

TRAINING TOPIC	ATTENDANCE
September '19 - Wildland Fire Training and Additional CPR/First Aid/AED Training	90%
August '19 - Confined Space Entry Rescue Training (for recently hired employees)	95%
August '19 - Additional Active Shooter and Workplace Violence Training	95%
July '19 - Annual Fire Extinguisher Training	95%
June '19 - Annual Confined Space Entry Rescue Refresher Training	95%
May '19 - Annual Heat Illness Training	90%
April '19 - Annual HAZWOPER Refresher Training (8-Hour)	95%
March '19 - Annual Respirator Fit Testing and PPE Use Training	90%
Feb '19 - Annual Bloodborne Pathogens Training	100%
Feb '19 - Additional Arc Flash Training	90%
December '18 - Annual Defensive Driving/Distracted Driving/DUIs Training (w/ CHP)	100%
November '18 - Annual Audiometric Hearing Testing	100%
October '18 - Crane Safety	100%
September '18 - Silica Safety Training	100%
August '18 - Fire Awareness Safety for Field Personnel	100%
August '18 - Lockout/Tagout Training	100%
May '18 - Annual Heat Illness Training	100%
March '18 - CPR/First Aid/AED Training	100% (all SOCWA employees)
January '18 - Additional ICS Training	100%
January '18 - Respiratory PPE Training/Fit Testing	90%
October '17 - Forklift Training / Certification	100%
September '17 - Active Shooter and Workplace Violence Training	100%
July/August '17 - Spill Response Training (hands on training)	100%
May '17 - Safety Culture Training	100%
March '17 - Fall Protection Training	100%
March '17 - CPR, First Aid, and AED Training	100%
January '17 - Lockout/Tagout Training	100%
January '17 - Confined Space Rescue Practice/Training	100%
October '16 - Confined Space Awareness/Entry Rescue Training and Forklift Training	100%
May '16 - Entry Level NIMS/ICS Training and Heat Illness Training	100%
February '16 - Biomechanics/Ergonomics Training and Bloodborne Pathogen Training	100%
Oct '15 and Jan '16 - Initial Confined Space Entry Rescue (3-day trainings)	100%
November '15 - Annual Hearing Testing and Laboratory Safety Training	100%
September '15 - Pre-Storm Workshop, Arc Flash Training, and Forklift Training	100%
August '15 - Fire Prevention for Water Utility Field Staff and Disaster Cost Recovery Training	100%
July '15 - Initiate additional NIMS/ICS Training and Water and Power Resiliency Workshop	Ongoing
June '15 - Initial Confined Space Awareness and Non-Entry Rescue Training	100%

# Beach / Ocean Monitoring Report

# ALISO CREEK OCEAN OUTFALL MONITORING REPORT

September 2019

DATE	IRWD LOS ALISOS WRP				EL TORO WRP				SOCWA REGIONAL PLANT				SOCWA COASTAL PLANT				IRWD IDP	IRWD SGU	SCWD ACWRF	ACOO	Rain
	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	TSS mg/L	cBOD mg/L	SS ml/L	FLOW MGD	FLOW MGD	FLOW MGD	FLOW MGD	Fall inches
09/01/19	No Flow				0.788	8.4		<0.1	3.130	9.6	5.0	<0.1	2.102	7.6	7.0		0.758	0.375	0.099	7.252	0.00
09/02/19	No Flow				1.698	8.6	4.4	0.1	1.07	5.1	4.0	<0.1	1.967	3.0	4.0	<0.1	0.757	0.375	0.085	5.952	0.00
09/03/19	No Flow				1.457	9.0	4.7	0.3	1.250	6.2	3.0	0.1	2.119	4.5	3.0	0.1	0.757	0.374	0.087	6.044	0.00
09/04/19	No Flow				1.450	8.4	4.8	0.2	0.870	6.1	4.0	0.1	1.351	2.8	5.0	<0.1	0.757	0.373	0.119	4.920	0.00
09/05/19	No Flow				0.971	8.6	4.1	0.5	0.810	4.6	3.0	0.1	1.527	4.6	5.0	<0.1	0.758	0.374	0.093	4.533	0.00
09/06/19	No Flow				0.856	15.2	7.8	0.1	0.800	4.5	3.0	0.2	2.241	3.7	2.0	0.1	0.757	0.371	0.106	5.131	0.00
09/07/19	No Flow				2.023	33.0		0.5	0.810				1.531				0.757	0.584	0.094	5.799	0.00
09/08/19	No Flow				1.482	26.0		0.8	2.540	5.6	3.0	<0.1	1.594	1.7	<2.0		0.757	0.605	0.089	7.067	0.00
09/09/19	No Flow				1.929	12.5	6.0	0.2	3.070	7.2	4.0	<0.1	1.939	7.8	7.0	<0.1	0.757	0.599	0.082	8.376	0.00
09/10/19	No Flow				1.236	8.8	4.4	0.1	0.860	7.4	3.0	<0.1	1.525	2.4	4.0	<0.1	0.756	0.590	0.105	5.072	0.00
09/11/19	No Flow				1.466	7.4	4.8	0.1	0.810	4.1	6.0	<0.1	1.532	6.7	3.0	<0.1	0.757	0.574	0.098	5.237	0.17
09/12/19	No Flow				1.805	7.8	4.8	<0.1	0.770	4.6	2.0	0.1	1.343	4.4	5.0	<0.1	0.756	0.571	0.116	5.361	0.00
09/13/19	No Flow				1.748	6.8	4.2	<0.1	0.790	3.5	2.0	<0.1	1.134	9.0	6.0	<0.1	0.756	0.570	0.113	5.111	0.00
09/14/19	No Flow				1.604	8.4		0.1	0.870				1.293				0.757	0.585	0.106	5.215	0.00
09/15/19	No Flow				2.307	8.0		<0.1	1.950	5.2	3.0	<0.1	1.992	2.2	4.0		0.757	0.588	0.068	7.662	0.00
09/16/19	No Flow				1.895	9.0	5.4	<0.1	1.380	6.3	4.0	<0.1	2.002	6.8	6.0	<0.1	0.756	0.564	0.077	6.674	0.00
09/17/19	No Flow				1.743	8.0	4.9	<0.1	0.900	6.1	2.0	<0.1	1.726	6.8	4.0	<0.1	0.757	0.562	0.091	5.779	0.00
09/18/19	No Flow				1.467	9.2	5.6	0.1	0.820	4.9	2.0	<0.1	1.362	10.5	6.0	<0.1	0.756	0.563	0.114	5.082	0.00
09/19/19	No Flow				1.483	10.2	5.3	<0.1	0.780	4.2	<2.0	0.1	1.512	9.1	3.0	<0.1	0.757	0.574	0.111	5.217	0.00
09/20/19	No Flow				1.507	9.2	5.5	0.2	0.780	3.5	2.0	0.1	1.279	6.1	4.0	0.1	0.756	0.577	0.093	4.992	0.00
09/21/19	No Flow				1.651	10.0		0.1	0.780				1.917				0.756	0.576	0.104	5.784	0.00
09/22/19	No Flow				1.921	8.6		<0.1	0.800	5.6	3.0	<0.1	1.231	11.3	7.0		0.756	0.575	0.074	5.357	0.00
09/23/19	No Flow				1.769	9.0	5.6	<0.1	1.150	6.8	3.0	<0.1	1.987	10.5	5.0	0.3	0.756	0.574	0.122	6.358	0.00
09/24/19	No Flow				1.894	10.2	5.5	0.1	0.840	6.6	2.0	<0.1	1.778	7.6	5.0	<0.1	0.756	0.582	0.090	5.940	0.00
09/25/19	No Flow				1.529	10.4	6.0	<0.1	0.820	5.6	2.0	<0.1	2.155	3.9	3.0	<0.1	0.756	0.594	0.110	5.964	0.00
09/26/19	No Flow				1.670	11.2	6.4	<0.1	0.800	6.3	6.0	<0.1	1.901	12.0	8.0	<0.1	0.756	0.613	0.091	5.831	0.01
09/27/19	No Flow				1.364	12.8	7.5	0.1	1.630	6.3	5.0	0.1	1.986	2.8	4.0	0.2	0.759	0.616	0.099	6.454	0.00
09/28/19	No Flow				2.165	12.2		0.1	1.650				1.669				0.760	0.615	0.104	6.963	0.02
09/29/19	No Flow				3.490	14.6		0.3	3.620	7.0	6.0	<0.1	1.594	9.0	8.0		0.759	0.615	0.105	10.183	0.01
09/30/19	No Flow				2.144	13.3	8.1	0.1	2.230	5.5	3.0	<0.1	1.916	18.6	9.0	0.5	0.758	0.613	0.098	7.759	0.00
AVG	No Flow				1.684	11.2	5.5	<0.2	1.313	5.7	3.3	<0.1	1.707	6.7	5.0	<0.1	0.757	0.544	0.098	6.102	
TOTAL	No Flow				50.51				39.38				51.21				22.71	16.32	2.943	183.07	0.21

Unified Beach Monitoring

#1

South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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: Low Tide 705

Weather: Clear

COMMENTS:

STA#	DATE	TIME	Total Coliform CFU/100ml	Fecal Coliform CFU/100ml	Entero- coccus CFU/100ml	Material of Sewage		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			SM9222B	SM9222D	EPA 1600	Onshore	Offshore							
S3	09/04/19	750	<10	<10	<2	None	None	None	None	Green	65	Clear		
S4	09/04/19	1015	<10	10	2	None	None	None	None	Green		Clear		
S5	09/04/19	1030	30	<10	2	None	None	None	None	Green		Clear		
S6	09/04/19	950	180	<10	<2	None	None	None	None	Green		Clear		
WEST	09/04/19	940	10	<10	<2	None	None	None	None	Green		Clear		
S7	09/04/19	930	30	<10	<2	None	None	None	None	Green		Clear		
S8	09/04/19	920	<10	<10	<2	None	None	None	None	Blue		Clear		
S9	09/04/19	905	<10	<10	8	None	None	None	None	Green		Clear		
ACM1	09/04/19	900	10	<10	<2	None	None	None	None	Green		Clear		
S10	09/04/19	835	<10	<10	<2	None	None	None	None	Green		Clear		
S11	09/04/19	825	40	<10	<2	None	None	None	None	Green		Clear		
S12	09/04/19	815	<10	<10	<2	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: September 2019  
 REPORT DUE: November 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: High Tide 853

Weather: Partly Cloudy

COMMENTS:

STA#	DATE	TIME	Total	Fecal	Entero-	Material of Sewage				Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			Coliform	Coliform	coccus	Origin		Oil &	Odor					
			CFU/100ml SM9222B	CFU/100ml SM9222D	CFU/100ml EPA 1600	Onshore	Offshore	Grease						
S3	09/11/19	750	<100	<10	6	None	None	None	None	Green	63	Clear		
S4	09/11/19	1030	<100	<10	<2	None	None	None	None	Green		Clear		
S5	09/11/19	1010	10	<10	<2	None	None	None	None	Green		Clear		
S6	09/11/19	945	<100	<10	<2	None	None	None	None	Green		Clear		
WEST	09/11/19	940	<100	<10	10	None	None	None	None	Green		Clear		
S7	09/11/19	930	<10	10	<2	None	None	None	None	Green		Clear		
S8	09/11/19	920	<10	<10	2	None	None	None	None	Blue		Clear		
S9	09/11/19	900	<10	<10	<2	None	None	None	None	Green		Clear		
ACM1	09/11/19	855	<10	<10	<2	None	None	None	None	Green		Clear		
S10	09/11/19	840	<10	<10	2	None	None	None	None	Green		Clear		
S11	09/11/19	830	<10	<10	<2	None	None	None	None	Green		Clear		
S12	09/11/19	820	<100	20	<2	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.

## South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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: High Tide 1044

Weather: Partly Cloudy

COMMENTS:

			Total	Fecal	Entero-									
			Coliform	Coliform	coccus	Material of Sewage								
			CFU/100ml	CFU/100ml	CFU/100ml	Origin		Oil &		Water	H2O	Water	Water	
STA#	DATE	TIME	SM9222B	SM9222D	EPA 1600	Onshore	Offshore	Grease	Odor	Color	Temp(F)	Condition	Outlet	Birds
S3	09/16/19	1010	10	<10	2	None	None	None	None	Green	69	Slightly Turbid		10
S4	09/16/19	0950	<10	100	10	None	None	None	None	Green		Slightly Turbid		
S5	09/16/19	0925	<10	<10	<2	None	None	None	None	Green		Clear		
S6	09/16/19	0910	10	<10	<2	None	None	None	None	Green		Clear		
WEST	09/16/19	0905	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S7	09/16/19	0900	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S8	09/16/19	0850	<10	<10	<2	None	None	None	None	Green		Clear		
S9	09/16/19	0839	<10	<10	<2	None	None	None	None	Green	70	Turbid		
ACM1	09/16/19	0840	10	<10	<2	None	None	None	None	Green		Turbid		
S10	09/16/19	0820	<10	<10	10	None	None	None	None	Green		Slightly Turbid		
S11	09/16/19	0815	<10	<10	4	None	None	None	None	Green		Slightly Turbid		
S12	09/16/19	0810	30	20	<2	None	None	None	None	Green		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

#4

South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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: High tide 643

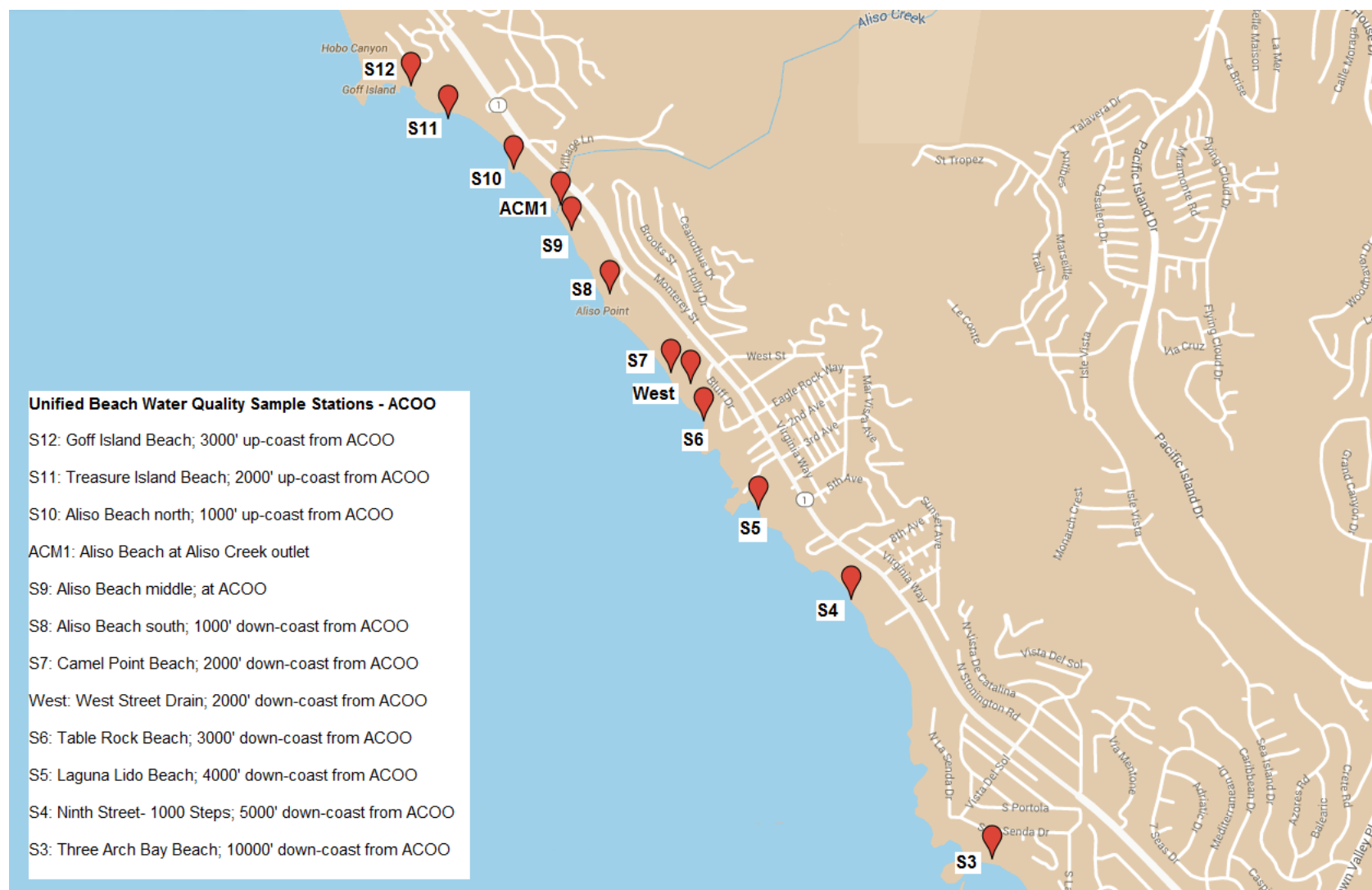
Weather: Overcast

COMMENTS:

			Total	Fecal	Entero-									
			Coliform	Coliform	coccus	Material of Sewage								
			CFU/100ml	CFU/100ml	CFU/100ml	Origin		Oil &		Water	H2O	Water	Water	
STA#	DATE	TIME	SM9222B	SM9222D	EPA 1600	Onshore	Offshore	Grease	Odor	Color	Temp(F)	Condition	Outlet	Birds
S3	09/23/19	948	<10	<10	<2	None	None	None	None	Green	70	Clear		
S4	09/23/19	0930	<10	<10	<2	None	None	None	None	Green		Clear		
S5	09/23/19	915	<10	<10	10	None	None	None	None	Green		Clear		
S6	09/23/19	902	<10	<10	<2	None	None	None	None	Green		Clear		
WEST	09/23/19	900	20	<10	4	None	None	None	None	Green		Clear		
S7	09/23/19	855	10	<10	2	None	None	None	None	Green	70	Clear		
S8	09/23/19	840	30	<10	10	None	None	None	None	Green		Clear		
S9	09/23/19	830	40	80	16	None	None	None	None	Green		Clear		
ACM1	09/23/19	823	60	40	8	None	None	None	None	Green		Clear		
S10	09/23/19	810	<10	10	2	None	None	None	None	Green		Clear		
S11	09/23/19	800	<10	<10	2	None	None	None	None	Green		Clear		
S12	09/23/19	745	100	<10	<2	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 Water Quality Sample Station Map – Aliso Creek Ocean Outfall





## **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 tested 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 ACOO
S12	Goff Island Beach; 3,000' up-coast of ACOO

## MONITORING REPORT

## Off Shore Stations

South Orange County Wastewater Authority

DISCHARGE: Aliso Creek Ocean Outfall

REPORT FOR: September 2019

REPORT FREQUENCY: Monthly

REPORT DUE: November 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: High Tide 743

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	0 - None 1 - Mild 2 - Moderate 3 - Severe
A-1	Surface	09/25/19	<2	<2	<2	800	0	0	
A-1	Mid depth	09/25/19	<10	<10	<10				
A-2	Surface	09/25/19	<2	<2	<2	749	0	0	
A-2	Mid depth	09/25/19	<10	<10	<10				
A-3	Surface	09/25/19	<2	<2	<2	753	0	0	
A-3	Mid depth	09/25/19	<10	<10	<10				
A-4	Surface	09/25/19	<2	<2	<2	804	0	0	
A-4	Mid depth	09/25/19	<10	<10	<10				
A-5	Surface	09/25/19	<2	<2	<2	756	0	0	
A-5	Mid depth	09/25/19	<10	<10	<10				
B-1	Surface	09/25/19	<2	<2	<2	740	0	0	
B-1	Mid depth	09/25/19	<10	<10	<10				
B-2	Surface	09/25/19	<2	<2	<2	809	0	0	
B-2	Mid depth	09/25/19	<10	<10	<10				
N1	Surface	09/25/19	<2	<2	<2	827	0	0	
N2	Surface	09/25/19	<2	<2	4	825	0	0	
N3	Surface	09/25/19	<2	<2	<2	824	0	0	
N4	Surface	09/25/19	2	2	<2	822	0	0	
N5	Surface	09/25/19	<2	<2	2	819	0	0	
N6	Surface	09/25/19	<2	2	<2	817	0	0	
N7	Surface	09/25/19	2	<2	<2	815	0	0	

REQUIREMENT: (1) Floating particulates and grease and oil shall not be visible. (2) The discharge of wasteshall 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
ACOO - SOCWA Outfall	5/14/2019	Chronic Toxicity	Monthly	Tuc	238	500	\$3000
South Coast Water District - CTP	5/1/2019	Dissolved Oxygen	Weekly	mg/L	Weekly	Not Reported	\$3000
South Coast Water District - CTP	5/1/2019	Temperature	Weekly	C	Weekly	Not Reported	\$3000

**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.	None	02-09-19	02-09-19
SOCWA	SOCWA - Coastal Treatment Plant	500	Secondary Effluent - did not leave the site	The AWT was backwashing more then usual due to treatment issues. The sequencing of the backwashes is very precise and completed automatically through a sequential process via the AWT controls. During a backwash cycle, the influent valve is shut along with the filtrate valve. The spent backwash water exits the cell through the trough valve and gravity flows to the mudwell holding tank and then makes its way to the plant drainage pump station. Sunday 9-29-2019, the trough valve failed on cells 1 and 7 causing the cells to overflow into the adjacent concrete pad and planter. The backwash flow from cell 7 made its way to the storm water sump pump where it was captured and returned to the mudwell. The overflow from cell 1 was contained to the planter and was not captured however, did not leave the plant site.	None	09-29-19	09-29-19

# SAN JUAN CREEK OCEAN OUTFALL MONITORING REPORT

September 2019

DATE	J.B. LATHAM FACILITY				SAN CLEMENTE WRP				SMWD CHIQUITA WRP				3-A PLANT				CSJC Desalter	SCWD Desalter	SJCOO	Rain Fall
	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	TSS mg/L	cBOD mg/L	SS ml/L	FLOW MGD	FLOW MGD	FLOW MGD	inches
09/01/19	6.480	6.6	4.7		2.299	5.0	5.0	<0.1	1.110				0.096	5.6	5.5	ND	1.471	0.183	11.630	0.00
09/02/19	6.100	4.8	4.4	<0.1	2.221	3.2	5.0	<0.1	1.730	5.5	6.6	<0.1	0.117	4.4	5.5	ND	1.471	0.060	10.600	0.00
09/03/19	6.770	4.9	3.0	0.1	1.998	3.4	5.0	<0.1	0.860	5.4	7.3	<0.1	0.202	13.0	10.5	ND	1.471	0.171	11.630	0.00
09/04/19	6.630	4.1	4.7	0.1	2.150	2.0	3.0	<0.1	1.230	4.6	4.5	<0.1	0.107	7.6	7.2	ND	1.471	0.187	10.670	0.00
09/05/19	6.530	4.9	4.0	<0.1	1.575	1.8	3.0	<0.1	1.290	3.4	2.6	0.3	0.194	10.0	9.2	ND	1.471	0.184	10.460	0.00
09/06/19	6.300	3.3	4.0	0.1	1.899	2.6	3.0	<0.1	0.030	6.1	4.6	0.1	0.212				1.471	0.188	10.660	0.00
09/07/19	6.160				1.733	8.0	7.0	<0.1	0.000				0.205				1.471	0.184	9.080	0.00
09/08/19	6.370	6.3	4.7	<0.1	2.336				1.290				0.250	4.4	6.1	ND	1.471	0.184	9.820	0.00
09/09/19	6.400	7.8	5.5	<0.1	1.887	3.8	5.0	<0.1	1.170	5.4	7.4	<0.1	0.283	5.2	6.2	ND	1.471	0.188	11.040	0.00
09/10/19	6.650	9.1	5.3	<0.1	1.893	3.0	7.0	<0.1	0.070	4.6	6.4	<0.1	0.249	7.2	6.7	ND	1.471	0.184	11.330	0.00
09/11/19	6.330	8.5	4.7	0.1	2.036	2.5	3.0	<0.1	0.020	2.8	2.8	<0.1	0.260	7.6	7.1	ND	1.471	0.188	9.760	0.17
09/12/19	6.090	5.6	5.2	<0.1	1.469	3.0	4.0	<0.1	0.490	4.3	3.2	<0.1	0.266	5.6	5.8	ND	1.471	0.183	8.980	0.00
09/13/19	5.690	6.1	4.4	0.1	2.030	2.5	5.0	<0.1	0.020	1.7	2.5	<0.1	0.280				1.471	0.184	9.920	0.00
09/14/19	6.220				1.590				0.000				0.280				1.471	0.188	9.350	0.00
09/15/19	6.310	2.8	3.0		2.026				0.000				0.385	7.4	7.1	ND	1.471	0.184	9.550	0.00
09/16/19	6.390	6.1	4.7	<0.1	2.606	3.0	6.0	<0.1	0.000				0.396	6.8	6.2	ND	1.471	0.187	10.310	0.00
09/17/19	6.440	6.3	3.7	<0.1	2.004	2.7	7.0	<0.1	0.000				0.361	17.4	13.5	ND	1.471	0.184	9.480	0.00
09/18/19	6.380	5.4	5.0	0.1	2.466	3.2	6.0	<0.1	0.000				0.361	17.0	13.5	ND	1.471	0.190	9.910	0.00
09/19/19	6.440	5.4	2.7	<0.1	0.437	3.0	5.0	<0.1	0.000				0.446	21.6	17.0	ND	1.471	0.182	8.960	0.00
09/20/19	6.010	5.3	4.0	0.1	2.657	3.7	6.0	<0.1	0.020	2.2	3.3	<0.1	0.461				1.411	0.184	9.600	0.00
09/21/19	6.280				2.152				0.000				0.211	7.4	7.0	0.2	1.471	0.188	9.000	0.00
09/22/19	6.500	4.9	3.7		2.427				0.000				0.290	6.0	6.8	0.1	1.471	0.183	9.680	0.00
09/23/19	6.760	5.7	3.7	0.1	2.731	4.2	4.0	<0.1	0.060	1.8	7.5	<0.1	0.294	13.4	11.0	ND	1.471	0.186	10.080	0.00
09/24/19	6.390	3.6	2.5	<0.1	2.104	4.6	5.0	<0.1	0.460	2.1	6.3	<0.1	0.151	4.0	5.2	0.1	1.471	0.185	9.730	0.00
09/25/19	6.150	6.5	4.2	<0.1	2.065	3.6	4.0	<0.1	0.000				0.196	4.2	4.8	0.1	1.471	0.184	9.700	0.00
09/26/19	6.200	12.5	7.2	0.1	1.571	3.5	4.0	<0.1	0.960	2.1	3.6	<0.1	0.200	5.8	5.4	0.1	1.471	0.183	9.100	0.01
09/27/19	6.170	8.2	12.8	0.1	2.226	3.7	5.0	<0.1	0.050	2.3	3.0	<0.1	0.163				1.411	0.187	10.110	0.00
09/28/19	5.060				2.557				0.870				0.163				1.471	0.184	9.740	0.02
09/29/19	5.940	6.2	7.3	<0.1	2.487				1.620				0.251	10.8	9.3	0.1	1.471	0.184	10.520	0.01
09/30/19	6.520	11.3	8.7	<0.1	2.279	8.6	7.0	<0.1	0.490	6.8	7.5	1.3	0.256	5.2	5.2	ND	1.471	0.188	11.850	0.00
AVG	6.289	6.2	4.9	<0.1	2.064	3.7	5.0	<0.1	0.461	3.8	4.9	<0.2	0.253	8.6	7.9	ND0.0	1.467	0.181	10.075	
TOTAL	188.660				61.911				13.840				7.586				44.010	5.419	302.250	0.21

Unified Beach Monitoring

#1

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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 620

Weather: Clear

COMMENTS:

STA#	DATE	TIME	Total Coliform CFU/100ml	Fecal Coliform CFU/100ml	Entero- coccus CFU/100ml	Material of Sewage Origin		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			SM9222B	SM9222D	EPA 1600	Onshore	Offshore							
S0	09/03/19	0752	<20	<20	<2	None	None	None	None	Green		Turbid		
S1	09/03/19	0840	<20	<20	2	None	None	None	None	Green		Turbid		
S2	09/03/19	0830	<20	<20	<2	None	None	None	None	Green		Turbid		
DSB5	09/03/19	0820	<20	20	<2	None	None	None	None	Green	70	Turbid		
S3	09/03/19	0841	<20	<20	2	None	None	None	None	Green		Turbid		
DSB4	09/03/19	0842	<20	<20	2	None	None	None	None	Green		Turbid		
S5	09/03/19	0850	<20	<20	2	None	None	None	None	Green		Turbid		
DSB1	09/03/19	0900	<20	<20	<2	None	None	None	None	Green	70	Turbid		
SJC1	09/03/19	0753	<100	<100	<2	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.

## South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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: High Tide 0806

Weather: Partly Cloudy

COMMENTS:

STA#	DATE	TIME	Total	Fecal	Entero-	Material of Sewage		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			Coliform	Coliform	coccus	Onshore	Offshore							
			CFU/100ml	CFU/100ml	CFU/100ml									
			SM9222B	SM9222D	EPA 1600									
S0	09/09/19	0855	<20	<20	<2	None	None	None	None	Green	69	Turbid		
S1	09/09/19	0900	<20	<20	2	None	None	None	None	Green		Turbid		
S2	09/09/19	0820	<20	<20	<2	None	None	None	None	Green		Turbid		
DSB5	09/09/19	0815	60	60	2	None	None	None	None	Green	69	Turbid		
S3	09/09/19	0910	<20	<20	<2	None	None	None	None	Green		Turbid		
DSB4	09/09/19	0915	<20	<20	2	None	None	None	None	Green		Slightly Turbid		
S5	09/09/19	0920	<20	<20	20	None	None	None	None	Green	69	Slightly Turbid		
DSB1	09/09/19	0925	<20	<20	6	None	None	None	None	Green		Slightly Turbid		
C1	09/09/19	0855	<100	<100	4	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.

## South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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: High 1044

Weather: Partly Cloudy

COMMENTS:

STA#	DATE	TIME	Total	Fecal	Entero-	Material of Sewage		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			Coliform	Coliform	coccus	Onshore	Offshore							
			CFU/100ml	CFU/100ml	CFU/100ml									
			SM9222B	SM9222D	EPA 1600									
S0	09/16/19	820	<20	<20	2	None	None	None	None	Green	73	Turbid		
S1	09/16/19	835	<20	20	<2	None	None	None	None	Green		Turbid		
S2	09/16/19	810	<20	20	<2	None	None	None	None	Green		Turbid		
DSB5	09/16/19	800	120	140	2	None	None	None	None	Green		Turbid		
S3	09/16/19	840	<20	<20	4	None	None	None	None	Green	73	Turbid		
DSB4	09/16/19	841	<20	20	<2	None	None	None	None	Green		Turbid		
S5	09/16/19	850	<20	<20	2	None	None	None	None	Green		Turbid		
DSB1	09/16/19	900	<20	<20	8	None	None	None	None	Green		Turbid		
C1	09/16/19	824	<100	<100	<2	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.



## South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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 1108

Weather: Overcast

COMMENTS:

STA#	DATE	TIME	Total Coliform CFU/100ml	Fecal Coliform CFU/100ml	Entero- coccus CFU/100ml	Material of Sewage		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			SM9222B	SM9222D	EPA 1600	Onshore	Offshore							
S0	09/23/19	8:28	20	20	4	None	None	None	None	Green	70	Slightly Turbid		10
S1	09/23/19	8:43	<20	<20	4	None	None	None	None	Green		Slightly Turbid		
S2	09/23/19	8:17	<20	20	20	None	None	None	None	Green		Slightly Turbid		
DSB5	09/23/19	8:07	<200	<20	2	None	None	None	None	Green		Clear		
S3	09/23/19	8:47	20	<20	6	None	None	None	None	Green	70	Slightly Turbid		
DSB4	09/23/19	8:49	20	<20	10	None	None	None	None	Green		Slightly Turbid		
S5	09/23/19	8:55	20	<20	8	None	None	None	None	Green	70	Slightly Turbid		
DSB1	09/23/19	9:01	20	<20	2	None	None	None	None	Green		Slightly Turbid		
C1	09/23/19	8:24	<100	<100	<10	None	None	None	None	Green		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.

## South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: September 2019  
 REPORT DUE: November 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

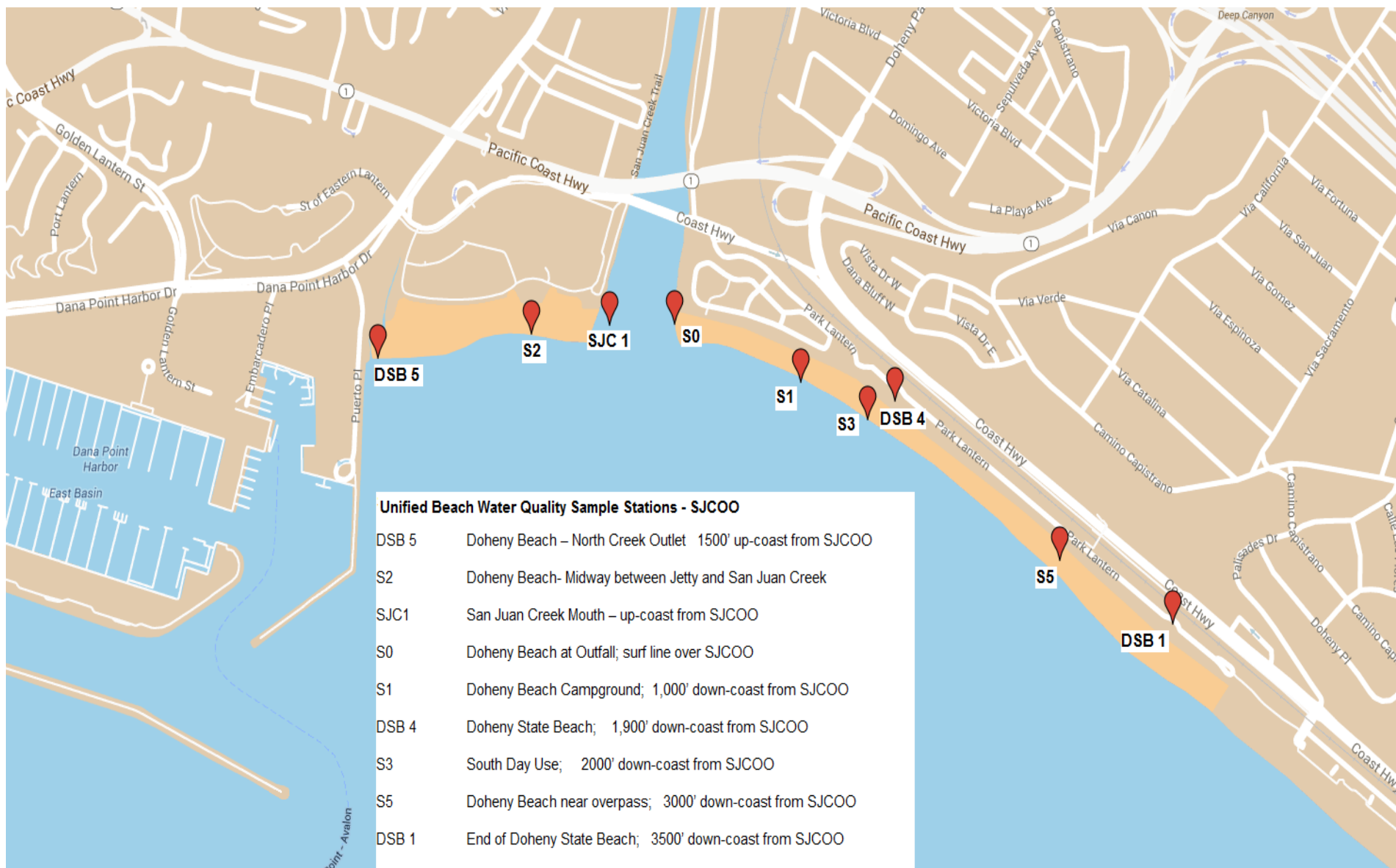
Tidal Condition: High 10:33

Weather: Clear

COMMENTS:

STA#	DATE	TIME	Total Coliform CFU/100ml	Fecal Coliform CFU/100ml	Entero- coccus CFU/100ml	Material of Sewage		Oil & Grease	Odor	Water Color	H2O Temp(F)	Water Condition	Water Outlet	Birds
			SM9222B	SM9222D	EPA 1600	Onshore	Offshore							
S0	09/30/19	820	<20	<20	2	None	None	None	None	Green	70	Turbid		
S1	09/30/19	835	<20	<20	<2	None	None	None	None	Green		Turbid		
S2	09/30/19	810	<20	<20	2	None	None	None	None	Green		Turbid		
DSB5	09/30/19	800	20	<20	6	None	None	None	None	Green		Slightly Turbid		
S3	09/30/19	838	<20	<20	2	None	None	None	None	Green	70	Turbid		
DSB4	09/30/19	840	<20	<20	<2	None	None	None	None	Green		Turbid		
S5	09/30/19	848	<20	<20	<2	None	None	None	None	Green		Turbid		
DSB1	09/30/19	855	<20	<20	2	None	None	None	None	Green		Turbid		
C1	09/30/19	824	<100	<100	10	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: September 2019

REPORT FREQUENCY: Monthly

REPORT DUE: November 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: High Tide 743

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	09/25/19	<2	<2	<2	924	0	0	
A-1	Mid depth	09/25/19	<10	<10	<10				
A-2	Surface	09/25/19	2	2	<2	930	0	0	
A-2	Mid depth	09/25/19	10	<10	<10				
A-3	Surface	09/25/19	<2	<2	<2	934	0	0	
A-3	Mid depth	09/25/19	<10	<10	<10				
A-4	Surface	09/25/19	<2	<2	<2	940	0	0	
A-4	Mid depth	09/25/19	<10	<10	<10				
A-5	Surface	09/25/19	<2	<2	<2	937	0	0	
A-5	Mid depth	09/25/19	<10	<10	<10				
B-1	Surface	09/25/19	<2	<2	<2	918	0	0	
B-1	Mid depth	09/25/19	30	10	10				
B-2	Surface	09/25/19	<2	<2	<2	945	0	0	
B-2	Mid depth	09/25/19	<10	<10	<10				
N1	Surface	09/25/19	<2	<2	<2	911	0	0	
N2	Surface	09/25/19	<2	<2	<2	909	0	0	
N3	Surface	09/25/19	<2	2	2	907	0	0	
N4	Surface	09/25/19	<2	2	<2	900	0	0	
N5	Surface	09/25/19	<2	<2	<2	856	0	0	
N6	Surface	09/25/19	<2	<2	<2	853	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

SJCOO Permit Order No. R9-2012-0012							
Agency	Violation Date	Constituent	Effluent Limit Violation	Units	Permit Limit	Reported Value	Potential Fine
City of San Clemente	6/26/2019	cBOD	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
Moulton Niguel Water District	6/18/2019	cBOD	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
Moulton Niguel Water District	6/18/2019	Total Suspended Solids	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
Moulton Niguel Water District	06/21/2019	cBOD	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
Moulton Niguel Water District	06/21/2019	Total Suspended Solids	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
Moulton Niguel Water District	06/21/2019	Settleable Solids	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000

**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
SOCWA	SMWD	5,000	Recycled Water	Transferring sludge from digester 5 to sludge holding tank through common transfer line connected to digester 1 which is offline and being cleaned caused flow through open flush valve at digester 1. Operator stopped flow through valve after about 10 minutes of transfer but cleanup required use of around 5000 gallons of plant wash water. Everything is contained in the plant.	None	Yes	05-26-19

# 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	Instaneous	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	Instaneous	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	
SOCWA - RTP	5/16/2019	Manganese	12-Month	mg/L	0.05	0.09	
SOCWA - RTP	5/16/2019	TDS	12-Month	mg/L	1000	1123	
SMWD - 3A	offline	Manganese	12-Month	mg/L	0.05	0.07	Offline
SOCWA - RTP	6/4/2019	Manganese	12-Month	mg/L	0.05	0.09	
SOCWA - RTP	6/4/2019	TDS	12-Month	mg/L	1000	1084	
SOCWA - CTP	6/4/2019	Manganese	12-Month	mg/L	0.05	0.06	
SMWD - 3A	6/12/2019	Manganese	12-Month	mg/L	0.05	0.07	
SOCWA - RTP	7/23/2019	Manganese	12-Month	mg/L	0.05	0.09	
SOCWA - RTP	7/23/2019	TDS	12-Month	mg/L	1000	1071	

**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>
SOCWA - CTP	7/23/2019	Manganese	12-Month	mg/L	0.05	0.06	
SMWD - 3A	7/3/2019	Manganese	12-Month	mg/L	0.05	0.07	
SOCWA - RTP	8/15/2019	Manganese	12-Month	mg/L	0.05	0.09	
SOCWA - RTP	8/15/2019	TDS	12-Month	mg/L	1000	1064	
SOCWA - CTP	8/15/2019	Manganese	12-Month	mg/L	0.05	0.06	
SMWD - 3A	8/1/2019	Manganese	12-Month	mg/L	0.05	0.07	
SOCWA - RTP	9/12/2019	Manganese	12-Month	mg/L	0.05	0.10	
SOCWA - RTP	9/30/2019	TDS	12-Month	mg/L	1000	1064	
SOCWA - CTP	9/12/2019	Manganese	12-Month	mg/L	0.05	0.06	
SMWD - 3A	9/30/2019	Manganese	12-Month	mg/L	0.05	0.07	

## SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

### QUARTERLY RECYCLED WATER MONITORING

Monitoring Period Ending: Sep 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	832	1,000	854	711	777	847	935	1,064	878
Chloride	mg/L	375	180	250	220	181	188	237	203	245	212
Sulfate	mg/L	400	226	330	236	220	198	235	262	294	225
Sodium	mg/L	None	168	195	167	145	148	187	170	162	140
Alkalinity	mg/L	None	-	-	-	-	-	-	240	264	188
Adjusted SAR	Ratio	None	5.00	-	5.08	4.91	4.80	5.64	4.36	3.88	4.18
Iron	mg/L	0.3	0.016	0.090	0.025	0.015	0.168	0.128	0.13	0.196	0.102
Manganese	mg/L	0.05	0.038	0.015	0.018	0.016	0.030	0.012	0.070	0.096	0.058
MBAS	mg/L	0.5	0.11	0.00	0.06	0.18	0.34	0.22	0.14	0.03	0.04
Boron	mg/L	0.75	0.30	0.270	0.282	0.320	0.355	0.368	0.32	0.343	0.34
Fluoride	mg/L	None	0.39	0.980	0.38	0.713	0.69	0.51	0.83	1.07	0.81
Total Organic Carbon	mg/L	None	11.0	-	10.3	12.0	11.4	8.4	7.0	14.1	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	0.00	0.72	19.72	20.69				41.13
CSJC 2	Chiquita/SMWD	0.18	0.00	3.89	35.02	38.25	38.77	37.01	42.02	38.96				234.11
CSJC 3	Non-Domestic Well	13.29	3.41	11.50	27.69	18.43	30.35	46.26	43.49	35.62				230.04
ETWD	Region 8	23.64	10.09	41.03	130.77	98.00	147.87	197.72	217.60	171.19				1037.91
IRWD														
4	IRWD - 8	35.00	11.25	16.55	82.85	115.79	106.75	158.69	161.82	164.62				853.32
4	IRWD - 9	15.72	2.97	10.97	60.60	59.54	69.00	95.59	106.49	96.93				517.81
SCWD	SOCWA CTP	-0.83	0.00	0.00	0.00	54.27	97.46	130.23	142.98	125.80				549.90
MNWD	JRP	245.54	221.48	112.32	373.36	471.17	551.26	597.14	620.87	571.15				3764.30
	3-A Plant	0.00	14.35	74.85	176.55	0.00	0.00	95.39	118.70	129.38				609.23
5	CTP	10.71	1.48	-15.58	-74.25	-30.10	5.53	13.20	17.60	15.32				-56.10
SMWD	Oso Creek	103.42	142.27	151.76	139.67	138.56	122.54	126.90	147.21	139.97				1212.30
	Chiquita	179.53	45.27	55.06	235.14	174.22	364.74	454.75	465.46	425.29				2399.44
	Nichols	2.00	1.97	1.94	1.73	1.90	2.03	2.14	2.34	2.10				18.14
TCWD	RRWRP	41.93	23.76	22.53	35.95	42.75	41.75	39.98	30.95	34.85				314.45
TOTALS		670.14	478.31	486.81	1225.08	1182.77	1578.06	1995.72	2137.24	1971.87				11726.00

- 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:** November 7, 2019

**TO:** Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Katie Greenwood, Source Control Manager

**SUBJECT:** Monthly Pretreatment Report, September and October 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**

State contractors audited SOCWA's pretreatment program on December 5-6, 2018 and Staff is waiting to receive the report. Staff communicated on October 16, 2019 with the State contractors and understands that the final audit report was provided to State Staff for review in September 2019 and the report should be issued to SOCWA by the end of November 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 discharge 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 – WD Permit No. CSJC-2-001–Staff modified the WD Permit on October 11, 2019 because of findings associated with an inspection conducted on September 26, 2019. The Permit changes included an update to the sampling location description, sample location diagrams and required BMPs associated with wash rack inlets and holding tanks.

SMWD – WD Permit No. SMWD-1-004–Staff modified the WD Permit on October 17, 2019 to increase the permitted daily flow limit from 1000 gallons to 2000 gallons. The facility submitted the flow increase request because of an increase in daily flow resulting from inspection findings in July 2019 which required the facility to connect its process sink to its holding tank prior to discharge to the sewer.

### **Trainings and Committee Meetings Attended**

On October 7, 2019, SOCWA Staff joined the first day of the California Stormwater Quality Association (CASQA) Annual Conference in Monterey by webcast to listen in on training associated with new alternative compliance options under State General Industrial Permit (IGP) amendments which take effect July 2020.

On October 16, 2019, SOCWA Staff attended the Annual OC Strike Force Training/ Networking Event at the Irvine Ranch Water District Rattlesnake Reservoir Facility. Training was provided by Orange County Public Works Staff who presented on drone operation for use of environmental surveillance.

On October 30, 2019, SOCWA Staff attended the quarterly training event hosted by CWEA Pretreatment, Pollution Prevention, and Stormwater (P3S) committee at the Sanitation Districts of Los Angeles County (LACSD). Special guest speaker Professor Joseph Reichenberger, PE BCEE of the Loyola Marymount University Department of Civil Engineering and Environmental Science, presented on stormwater management, stormwater pollutant control, stormwater capture and reuse, and elementary engineering economics for determining if a project is financially attractive. Additionally, there were tours of LACSD's San Jose Creek (SJC) Wastewater Treatment Plant and Material Recovery Facility (MRF).

### **Inspections**

On September 26, 2019, SOCWA Staff conducted a site inspection of the Mission Riding Park to document recent process changes and discuss proposed changes. Inspection findings resulted in an update to the WD Permit as described above and a requirement that Site Staff provide copies of tank pump out receipts to be submitted with the October 2019 self-monitoring report (SMR) due November 20, 2019.

On September 24, 2019, SOCWA Staff conducted an industrial waste inspection of the CSJC's Groundwater Treatment Plant to document treatment process changes and discuss recent high measurements of manganese (Mn) associated with monthly self-monitoring. Staff jointly performed sampling on October 1, 2019. Results for Mn measured higher than historical data for one of four samples. SOCWA Staff requested Site Staff modify its sampling procedures to collect more representative samples and provide a timeline for having reservoir tanks cleaned of excess sludge which may be the cause of higher manganese results.

On October 14, 2019, SOCWA Staff conducted an industrial waste inspection of Control Components located in Rancho Santa Margarita to confirm present processes from which discharge to the sewer occurs.

### **Enforcement**

SMWD - On October 17, 2019, SOCWA issued a warning notice of non-compliance (WNON) to Applied Medical (*Permit No. SMWD-1-004, Passivation Process*) for exceeding its permit flow limit on two days during the month of September 2019. The flow exceedances were the result of a finding associated with the inspection performed in July 2019 which required the process room sink be connected to the wastewater holding tank so that rinse wastewaters are additionally captured and sampled monthly prior to discharge to the sewer. The facility SMR submittal included a request to increase the permitted flow limit which SOCWA granted as described above.

SMWD - On October 17, 2019, SOCWA issued a NON to Applied Medical (*Permit No. SMWD-1-003, Rubber Manufacturing*) for exceeding the permit limit for zinc on September 3, 2019 at Sampling Location 002 and for failing to notify SOCWA of the exceedance within 24 hrs. of becoming aware of the violation. Applied Medical collected an additional sample within 30 days as required and the measured zinc was compliant with permit limits. SOCWA considers this enforcement action resolved.

**Summary of IWS Activities in the SOCWA Service Area - YTD through October 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)	2	7	35	18	181	1283	0	2	1524
CSJC	(S)	1	2	27	59	137	1669	0	1	1894
ETWD	(M)	1	3	98	0	262	134	0	1	497
EBS	(U)	0	1	0	0	0	0	0	0	1
IRWD	(S)	1	4	51	21	63	920	0	0	1059
MNWD	(S)	107	4	123	40	625	2068	19	1	2933
SMWD	(S)	63	6	19	20	197	761	14	5	1037
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		175	51	389	170	1628	7163	33	12	9509
Dentist (All)										484
<b>Total Known IUs</b>										<b>9993</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.

**Recommended Action:**

Information Item



# Agenda Item

## 4.F.

**Legal Counsel Review:** N/A

**Meeting Date:** November 7, 2019

**TO:** Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Jason Manning, Director of Engineering

**SUBJECT:** Capital Improvement Program Status Report

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

Below are photos of the three major construction projects currently underway at each of the treatment plants. All three projects are in the beginning phases of construction.

### **JB Latham Package B:**

Digester 4 Rehabilitation – Larger access door cut and internal cleaning of the digester has begun. Scaffolding will be installed inside for blasting and coating work.



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Digester 4 Rehabilitation – Gas mix housing unit removed from top of digester for blasting and coating.



**Regional Treatment Plant Miscellaneous Improvements 2018:**

Secondary Electrical – Trenching from the administration building to the secondary calrifiers has begun.



**Recommended Action:**

Information Item; receive and file the Capital Improvement Program Reports.

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

		Fiscal Year 19/20				Fiscal Year 20/21			
Quarter		1st	2nd	3rd	4th	1st	2nd	3rd	4th
3220-000; 3216-000; 3287-000	Facility Improvements Package B	C	C	C	C	C	C	C	C
3350-000	MCC "M" Replacement Design	D	D	D					
3221-000	Electrical System Evaluation	P	P						
3353-000	Centrate System Design		D	D					
4001-000	Plant Drain System Study	P							
4201-000	Plant 1 Blower Building Condition Assessment	CA	CA						
4204-000	Electrical Manhole Condition Assessment	CA	CA						
4214-000	Solids Management Plan			P	P				
4202-000	Pipeline Condition Assessment Methodology Evaluation		P	P					
4203-000	Plant Hydraulic Model and Flow Management Plan	P	P						
3234-000	Centrate Piping Reconstruction						B&A	C	C
3235-000; 3227-000	Package D Solids Design					D	D	D	D
3285-000	Main Plant Drain Line Reconstruction						B&A	C	C
4205-000	Influent Flow Metering Evaluation					P			
4206-000	Plant 1 Grit Handling Evaluation						P	P	
4207-000	Chlorine Contact Basin/Effluent Pump Station Condition Assessment						CA		
4208-000	Dana Point Influent Sewer Condition Assessment					CA			
4209-000	Plant 1 Influent Sewer Condition Assessment					CA			
4210-000	Plant 1 Bypass Sewer Condition Assessment					CA			
4211-000	Site Storage Evaluation							P	P
3229-000	Drainage Pump Station Reconstruction						B&A	C	C
4212-000	Buried Utility Master Plan						P	P	
4213-000	Electrical Conduit and Cable Master Plan					P	P		



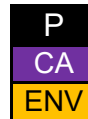
P Planning  
CA Condition Assessment  
ENV Environmental/Permitting



D Design  
B&A Bidding and Award  
C Construction

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

		Fiscal Year 19/20				Fiscal Year 20/21			
Quarter		1st	2nd	3rd	4th	1st	2nd	3rd	4th
3525-000	Personnel Building Reconstruction		B&A	C					
3539-000	Facility Improvements Construction	C	C	C	C	C	C	C	C
3541-000	Export Sludge System Reconstruction					B&A	C	C	C
3553-000	Plant Drainage Improvements		B&A	C	C				
4501-000	Electrical Manhole/Cable Assessment		CA	CA					
4502-000	Building Roof Condition Assessment		CA	CA					
3542-000	South Section Embankment Protection					ENV	ENV	ENV	ENV
15137	Foul Air System Condition Assessment						CA		
15138	Scum Pump Station Condition Assessment							CA	
4503-000	Site Storage Evaluation						P	P	
15139	Buried Utility Master Plan							P	P
3544-000	Aeration Upgrade Construction			D	B&A	C	C	C	
3546-000	Chlorine Contact Basin Gates					D	B&A	C	



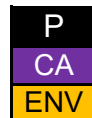
P Planning  
CA Condition Assessment  
ENV Environmental/Permitting



D Design  
B&A Bidding and Award  
C Construction

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

		Fiscal Year 19/20				Fiscal Year 20/21			
Quarter		1st	2nd	3rd	4th	1st	2nd	3rd	4th
3701-000; 3769-000; 3751-000	Miscellaneous Improvement 2018	C	C	C	C	C			
3753-000	Aeration Diffuser Upgrade		B&A	C	C	C			
3741-000	Southwest Influent Sewer and MH Repair Design			D	D				
3756-000	Secondary Clarifier Safety Repairs		B&A	C	C				
3757-000	Miscellaneous Safety Imps - Liquids		B&A	C	C				
3761-000	External Lighting Upgrade		B&A	C	C				
3771-000	Miscellaneous Safety Imps - Solids		B&A	C	C				
3749-000	Phase I Solids Piping Upgrade			B&A	C	C			
3755-000	SE Sewer Rehabilitation			B&A	C	C			
3758-000	AWT No. 2 Reconstruction				B&A	C	C		
3759-000	AWT No. 2 Electrical Upgrades				B&A	C	C		
3772-000	Hot Water Piping Reconstruction			B&A	C	C			
3766-000	AWT Hypochlorite Tanks Shade			B&A	C	C			
3773-000	Cogeneration System Modifications	D	D	B&A	C	C			
4704-000	Evaluate Plant and Storm Water Drainage System	P	P						
4703-000	Laboratory Reconstruction Evaluation			P	P	P			



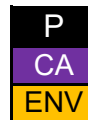
P Planning  
CA Condition Assessment  
ENV Environmental/Permitting



D Design  
B&A Bidding and Award  
C Construction

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

		Fiscal Year 19/20				Fiscal Year 20/21			
Quarter		1st	2nd	3rd	4th	1st	2nd	3rd	4th
17087	Odor Control Chemical Tank					C			
17088	Primary Sedimentation Condition Assessment					CA			
37001-000; 37002-000; 3779-000	MCC A, C, G, H Replacement					B&A	C	C	
37002-000	West Slope Protection						B&A	C	C
37003-000	Admin Building Door & Window Repair						B&A	C	C
3775-000	Aeration Basin Handrail Upgrade						B&A	C	C
3776-000	Effluent Pond Gate Replacement					B&A	C	C	
3777-000; 3778-000	Site Lighting Upgrade							B&A	C
4701-000	Interstage Pump Station Condition Assessment						CA		
4702-000	Site Storage Evaluation							P	P



P Planning  
CA Condition Assessment  
ENV Environmental/Permitting



D Design  
B&A Bidding and Award  
C Construction

# Agenda Item

## 4.G.

**Legal Counsel Review:** N/A

**Meeting Date:** November 7, 2019

**TO:** Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Dina Ash, HR Administrator

**SUBJECT:** SOCWA 457 Plan Adoption Agreement

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### **Summary**

At the September 5, 2019 Board Meeting the SOCWA Board approved the Basic Plan Document for the new SOCWA 457 Plan. The Board also authorized staff to move forward to complete the services agreement documentation with Nationwide Private for plan administration and services. Staff has worked with Nationwide and outside counsel, Sherrie Boutwell, to prepare the next step documentation, which includes the attached Adoption Agreement. The Adoption Agreement identifies the specific details applicable to the SOCWA 457 Plan. Conversion of the 457 Plan from Nationwide public to Nationwide Private is underway with expected plan transition in early January 2020.

### **Recommended Action:**

Staff recommends that the Board of Directors approve the SOCWA 457 Plan Adoption Agreement.

**ADOPTION AGREEMENT FOR  
ELIGIBLE GOVERNMENTAL 457 PLAN**

The undersigned Employer, by executing this Adoption Agreement, establishes an Eligible 457 Plan ("Plan"). The Employer, subject to the Employer's Adoption Agreement elections, adopts fully the Plan provisions. This Adoption Agreement, the basic plan document and any attached Appendices, amendments, or agreements permitted or referenced therein, constitute the Employer's entire plan document. *All "Election" references within this Adoption Agreement or the basic plan document are Adoption Agreement Elections. All "Article" or "Section" references are basic plan document references. Numbers in parentheses which follow election numbers are basic plan document references.* Where an Adoption Agreement election calls for the Employer to supply text, the Employer may lengthen any space or line, or create additional tiers. When Employer-supplied text uses terms substantially similar to existing printed options, all clarifications and caveats applicable to the printed options apply to the Employer-supplied text unless the context requires otherwise. The Employer makes the following elections granted under the corresponding provisions of the basic plan document.

**1. EMPLOYER (1.11).**

Name: South Orange County Wastewater Authority

Address: 34156 Del Obispo Street  
Street

Dana Point California 92629  
City State Zip

Telephone: (949) 234-5400

Taxpayer Identification Number (TIN): 33-0969816

**2. PLAN NAME.**

Name: South Orange County Wastewater Authority 457(b) Deferred Compensation Plan

**3. PLAN YEAR (1.25).** Plan Year means the 12 consecutive month period (except for a short Plan Year) ending every (Choose one of a. or b. and choose c. if applicable): [Note: Complete any applicable blanks under Election c. with a specific date, e.g., "June 30" OR "the last day of February" OR "the first Tuesday in January." In the case of a Short Plan Year or a Short Limitation Year, include the year, e.g., "May 1, 2013."]

- a. ☒ **December 31.**
- b. ☐ **Plan Year: ending:** \_\_\_\_\_.
- c. ☐ **Short Plan Year: commencing:** \_\_\_\_\_ **and ending:** \_\_\_\_\_.

**4. EFFECTIVE DATE (1.08).** The Employer's adoption of the Plan is a (Choose one of a. or b. Complete c. if new plan OR complete c. and d. if an amendment and restatement. Choose e. if applicable):

- a. ☐ **New Plan.**
- b. ☒ **Restated Plan.** The Plan is a substitution and amendment of an existing 457 plan.

**Initial Effective Date of Plan**

- c. ☒ April 2, 1998 (enter month day, year; hereinafter called the "Effective Date" unless 4d is entered below)

**Restatement Effective Date** (If this is an amendment and restatement, enter effective date of the restatement.)

- d. ☒ January 1, 2020 (enter month day, year)

**Special Effective Dates: (optional)**

- e. ☐ **Describe:** \_\_\_\_\_.

**5. CONTRIBUTION TYPES.** (If this is a frozen Plan (i.e., all contributions have ceased), choose a. only):

**Frozen Plan**

- a. ☐ **Contributions cease.** All Contributions have ceased or will cease (Plan is frozen).
1. **Effective date of freeze:** \_\_\_\_\_ [Note: Effective date is optional unless this is the amendment or restatement to freeze the Plan.]



**Contributions.** The Employer and/or Participants, in accordance with the Plan terms, make the following Contribution Types to the Plan (Choose one or more of b. through d. if applicable):

- b. ☒ **Pre-Tax Elective Deferrals.** The dollar or percentage amount by which each Participant has elected to reduce his/her Compensation, as provided in the Participant's Salary Reduction Agreement (Choose one or more as applicable.):

And will Matching Contributions be made with respect to Elective Deferrals?

1. ☒ Yes. See Question 16.

2. ☐ No.

And will Roth Elective Deferrals be made?

3. ☒ Yes. [Note: The Employer may not limit Deferrals to Roth Deferrals only.]

4. ☐ No.

- c. ☒ **Nonelective Contributions.** See Question 17.

- d. ☒ **Rollover Contributions.** See Question 30.

6. **EXCLUDED EMPLOYEES (1.10).** The following Employees are Excluded Employees and are not eligible to participate in the Plan (Choose one of a. or b.):

- a. ☐ **No exclusions.** All Employees are eligible to participate.

- b. ☒ **Exclusions.** The following Employees are Excluded Employees (Choose one or more of 1. through 4.):

1. ☐ **Part-time Employees.** The Plan defines part-time Employees as Employees who normally work less than \_\_\_\_\_ hours per week.

2. ☐ **Hourly-paid Employees.**

3. ☐ **Leased Employees.** The Plan excludes Leased Employees.

4. ☒ **Specify:** Any Employee classified as Hourly, Part-time, Seasonal or Temporary Employees as provided in Regulation section 31.3121(b)(7)-2(d)(2)(iii)

7. **INDEPENDENT CONTRACTOR (1.16).** The Plan (Choose one of a., b. or c.):

- a. ☐ **Participate.** Permits Independent Contractors to participate in the Plan.

- b. ☒ **Not Participate.** Does not permit Independent Contractors to participate in the Plan.

- c. ☐ **Specified Independent Contractors.** Permits the following specified Independent Contractors to participate:

[Note: If the Employer elects to permit any or all Independent Contractors to participate in the Plan, the term Employee as used in the Plan includes such participating Independent Contractors.]

8. **COMPENSATION (1.05).** Subject to the following elections, Compensation for purposes of allocation of Deferral Contributions means:

**Base Definition** (Choose one of a., b. or c.):

- a. ☒ Wages, tips and other compensation on Form W-2.

- b. ☐ Code §3401(a) wages (wages for withholding purposes).

- c. ☐ 415 safe harbor compensation.

[Note: The Plan provides that the base definition of Compensation includes amounts that are not included in income due to Code §§401(k), 125, 132(j)(4), 403(b), SEP, 414(h)(2), & 457. Compensation for an Independent Contractor means the amounts the Employer pays to the Independent Contractor for services, except as the Employer otherwise specifies below.]

**Modifications to Compensation definition.** The Employer elects to modify the Compensation definition as follows (Choose one of d. or e.):

- d. ☒ **No modifications.** The Plan makes no modifications to the definition.

- e. ☐ **Modifications** (Choose one or more of 1. through 5.):

1. ☐ **Fringe benefits.** The Plan excludes all reimbursements or other expense allowances, fringe benefits (cash and noncash), moving expenses, deferred compensation and welfare benefits.

2. ☐ **Elective Contributions.** [1.05(E)] The Plan excludes a Participant's Elective Contributions.

3. ☐ **Bonuses.** The Plan excludes bonuses.
4. ☐ **Overtime.** The Plan excludes overtime.
5. ☐ **Specify:** \_\_\_\_\_.

**Compensation taken into account.** For the Plan Year in which an Employee first becomes a Participant, the Plan Administrator will determine the allocation of matching and nonelective contributions by taking into account *(Choose one of f. or g.):*

- f. ☒ **Plan Year.** The Employee's Compensation for the entire Plan Year.
  - g. ☐ **Compensation while a Participant.** The Employee's Compensation only for the portion of the Plan Year in which the Employee actually is a Participant.
9. **POST-SEVERANCE COMPENSATION (1.05(F)).** Compensation includes the following types of Post-Severance Compensation paid within any applicable time period as may be required *(Choose one of a. or b.):*
- a. ☐ **None.** The Plan does not take into account Post-Severance Compensation as to any Contribution Type except as required under the basic plan document.
  - b. ☒ **Adjustments.** The following Compensation adjustments apply *(Choose one or more):*
    1. ☒ **Regular Pay.** Post-Severance Compensation will include Regular Pay and it will apply to all Contribution Types.
    2. ☒ **Leave-Cashouts.** Post-Severance Compensation will include Leave Cashouts and it will apply to all Contribution Types.
    3. ☒ **Nonqualified Deferred Compensation.** Post-Severance Compensation will include Deferred Compensation and it will apply to all Contribution Types.
    4. ☐ **Salary Continuation for Disabled Participants.** Post-Severance Compensation will include Salary Continuation for Disabled Participants and it will apply to all Contribution Types.
    5. ☐ **Differential Wage Payments.** Post-Severance Compensation will include Differential Wage Payments (military continuation payments) and it will apply to all Contribution Types.
    6. ☐ **Describe alternative Post-Severance Compensation definition, limit by Contribution Type, or limit by Participant group:** \_\_\_\_\_.
10. **NORMAL RETIREMENT AGE (1.20).** A Participant attains Normal Retirement Age under the Plan *(Choose one of a. or b.):*
- a. ☐ **Plan designation.** [Plan Section 3.05(B)] When the Participant attains age \_\_\_\_\_. *[Note: The age may not exceed age 70 1/2. The age may not be less than age 65, or, if earlier, the age at which a Participant may retire and receive benefits under the Employer's pension plan, if any.]*
  - b. ☒ **Participant designation.** [Plan Section 3.05(B) and (B)(1)] When the Participant attains the age the Participant designates, which may not be earlier than age the age at which the Participant is eligible for retirement from CalPERS and may not be later than age 70 1/2. *[Note: The age may not exceed age 70 1/2.]*

**Special Provisions for Police or Fire Department Employees** *(Choose c. and/or d. as applicable):*

- c. ☐ **Police department employees.** [Plan Section 3.05(B)(3)] *(Choose 1. or 2.):*
    1. ☐ **Plan designation.** [Plan Section 3.05(B)] When the Participant attains age \_\_\_\_\_. *[Note: The age may not exceed age 70 1/2 and may not be less than age 40.]*
    2. ☐ **Participant designation.** [Plan Section 3.05(B) and (B)(1)] When the Participant attains the age the Participant designates, which may not be earlier than age \_\_\_\_\_ (no earlier than age 40) and may not be later than age \_\_\_\_\_. *[Note: The age may not exceed age 70 1/2.]*
  - d. ☐ **Fire department employees.** [Plan Section 3.05(B)(3)] *(Choose 1. or 2.):*
    1. ☐ **Plan designation.** [Plan Section 3.05(B)] When the Participant attains age \_\_\_\_\_. *[Note: The age may not exceed age 70 1/2 and may not be less than age 40.]*
    2. ☐ **Participant designation.** [Plan Section 3.05(B) and (B)(1)] When the Participant attains the age the Participant designates, which may not be earlier than age \_\_\_\_\_ (no earlier than age 40) and may not be later than age \_\_\_\_\_. *[Note: The age may not exceed age 70 1/2.]*
11. **ELIGIBILITY CONDITIONS (2.01).** *(Choose one of a. or b.):*
- a. ☒ **No eligibility conditions.** The Employee is eligible to participate in the Plan as of his/her first day of employment with the employer.

- b. ☐ **Eligibility conditions.** To become a Participant in the Plan, an Eligible Employee must satisfy the following eligibility conditions *(Choose one or more of 1., 2. or 3.):*
1. ☐ **Age.** Attainment of age \_\_\_\_\_.
  2. ☐ **Service.** Service requirement *(Choose one of a. or b.):*
    - a. ☐ **Year of Service.** One year of Continuous Service.
    - b. ☐ **Months of Service.** \_\_\_\_\_ month(s) of Continuous Service.
  3. ☐ **Specify:** \_\_\_\_\_.
12. **PLAN ENTRY DATE (1.24).** "Plan Entry Date" means the Effective Date and *(Choose one of a. through d.):*
- a. ☐ **Monthly.** The first day of the month coinciding with or next following the Employee's satisfaction of the Plan's eligibility conditions.
  - b. ☐ **Annual.** The first day of the Plan Year coinciding with or next following the Employee's satisfaction of the Plan's eligibility conditions.
  - c. ☒ **Date of hire.** The Employee's employment commencement date with the Employer.
  - d. ☐ **Specify:** \_\_\_\_\_.
13. **SALARY REDUCTION CONTRIBUTIONS (1.30).** A Participant's Salary Reduction Contributions under Election 5b. are subject to the following limitation(s) in addition to those imposed by the Code *(Choose one of a. or b.):*
- a. ☒ **No limitations.**
  - b. ☐ **Limitations.** *(Choose one or more of 1., 2. or 3.):*
    1. ☐ **Maximum deferral amount.** A Participant's Salary Reductions may not exceed: \_\_\_\_\_ *(specify dollar amount or percentage of Compensation).*
    2. ☐ **Minimum deferral amount.** A Participant's Salary Reductions may not be less than: \_\_\_\_\_ *(specify dollar amount or percentage of Compensation).*
    3. ☐ **Specify:** \_\_\_\_\_.
- [Note: Any limitation the Employer elects in b.1. through b.3. will apply on a payroll basis unless the Employer otherwise specifies in b.3.]
- Special NRA Catch-Up Contributions (3.05).** The Plan *(Choose one of c. or d.):*
- c. ☒ **Permits.** Participants may make NRA catch-up contributions.  
AND, Special NRA Catch-Up Contributions *(Choose one of 1. or 2.):*
    1. ☒ will be taken into account in applying any matching contribution under the Plan.
    2. ☐ will not be taken into account in applying any matching contribution under the Plan.
  - d. ☐ **Does not permit.** Participants may not make NRA catch-up contributions.
- Age 50 Catch-Up Contributions (3.06).** The Plan *(Choose one of e. or f.):*
- e. ☒ **Permits.** Participants may make age 50 catch-up contributions.
  - f. ☐ **Does not permit.** Participants may not make age 50 catch-up contributions.
14. **SICK, VACATION AND BACK PAY (3.02(A)).** The Plan *(Choose one of a. or b.):*
- a. ☒ **Permits.** Participants may make Salary Reduction Contributions from accumulated sick pay, from accumulated vacation pay or from back pay.
  - b. ☐ **Does Not Permit.** Participants may not make Salary Reduction Contributions from accumulated sick pay, from accumulated vacation pay or from back pay.
15. **AUTOMATIC ENROLLMENT (3.02(B)).** Does the Plan provide for automatic enrollment *(Choose one of the following)* [Note: if Eligible Automatic Contribution Arrangement (EACA), select 15c and complete Questions 31 & 32]:
- a. ☒ **Does not apply.** Does not apply the Plan's automatic enrollment provisions.
  - b. ☐ **Applies.** Applies the Plan's automatic enrollment provisions. The Employer as a Pre-Tax Elective Deferral will withhold \_\_\_\_\_% from each Participant's Compensation unless the Participant elects a different percentage (including zero) under his/her Salary Reduction Agreement. The automatic election will apply to *(Choose one of 1. through 3.):*
    1. ☐ **All Participants.** All Participants who as of \_\_\_\_\_ are not making Pre-Tax Elective

Deferrals at least equal to the automatic amount.

2. ☐ **New Participants.** Each Employee whose Plan Entry Date is on or following: \_\_\_\_\_.
3. ☐ **Describe Application of Automatic Deferrals:** \_\_\_\_\_.
- c. ☐ **EACA.** The Plan will provide an Eligible Automatic Contribution Arrangement (EACA). Complete Questions 31 & 32.
16. **MATCHING CONTRIBUTIONS (3.03).** The Employer Matching Contributions is *(Choose one or more of a. through d.)*:
- a. ☒ **Fixed formula.** An amount equal to 100% of each Participant's Salary Reduction Contributions.
- b. ☐ **Discretionary formula.** An amount (or additional amount) equal to a matching percentage the Employer from time to time may deem advisable of each Participant's Salary Reduction Contributions.
- c. ☐ **Tiered formula.** The Employer will make matching contributions equal to a uniform percentage of each tier of each Participant's Salary Reduction Contributions, determined as follows:

**NOTE:** Fill in only percentages or dollar amounts, but not both. If percentages are used, each tier represents the amount of the Participant's applicable contributions that equals the specified percentage of the Participant's Compensation (add additional tiers if necessary):

Tiers of Contributions (indicate \$ or %)	Matching Percentage
First _____	_____ %
Next _____	_____ %
Next _____	_____ %
Next _____	_____ %

- d. ☒ **Specify: Match is subject to employer established limit** \_\_\_\_\_.

**Time Period for Matching Contributions.** The Employer will determine its Matching Contribution based on Salary Reduction Contributions made during each *(Choose one of e. through h.)*:

- e. ☐ **Plan Year.**
- f. ☐ **Plan Year quarter.**
- g. ☒ **Payroll period.**
- h. ☒ **Specify: Match is subject to employer established limit** \_\_\_\_\_.

**Salary Reduction Contributions Taken into Account.** In determining a Participant's Salary Reduction Contributions taken into account for the above-specified time period under the Matching Contribution formula, the following limitations apply *(Choose one of i. through l.)*:

- i. ☐ **All Salary Reduction Contributions.** The Plan Administrator will take into account all Salary Reduction Contributions.
- j. ☐ **Specific limitation.** The Plan Administrator will disregard Salary Reduction Contributions exceeding \_\_\_\_\_ % of the Participant's Compensation.
- k. ☐ **Discretionary.** The Plan Administrator will take into account the Salary Reduction Contributions as a percentage of the Participant's Compensation as the Employer determines.
- l. ☒ **Specify: The Employer will match up to \$1,100 of Salary Contributions per fiscal year** \_\_\_\_\_.

**Allocation Conditions.** To receive an allocation of Matching Contributions, a Participant must satisfy the following allocation condition(s) *(Choose one of m. or n.)*:

- m. ☒ **No allocation conditions.**
- n. ☐ **Conditions.** The following allocation conditions apply to Matching Contributions *(Choose one or more of 1. through 4.)*:
1. ☐ **Service condition.** The Participant must complete the following number of months of Continuous Service during the Plan Year: \_\_\_\_\_.
2. ☐ **Employment condition.** The Participant must be employed by the Employer on the last day of the Plan Year.
3. ☐ **Limited Severance Exception.** Any condition specified in 1. or 2. does not apply if the Participant incurs a Severance from Employment during the Plan Year on account of death, disability or attainment of Normal Retirement Age in the current Plan Year or in a prior Plan Year.
4. ☐ **Specify:** \_\_\_\_\_.

17. **NONELECTIVE CONTRIBUTIONS (1.19).** The Nonelective Contributions under Election 5c. are made as follows: *(Choose one):*

- a. ☐ **Discretionary - Pro-Rata.** An amount the Employer in its sole discretion may determine.
- b. ☐ **Fixed - Pro Rata.** \_\_\_\_\_ % of Compensation.
- c. ☒ **Other.** A Nonelective Contribution may be made as follows:  
As provided in individual employment contract(s)

**Allocation Conditions. (3.08).** To receive an allocation of Nonelective Contributions, a Participant must satisfy the following allocation condition(s) *(Choose one of d. or e.):*

- d. ☐ **No allocation conditions.**
- e. ☒ **Conditions.** The following allocation conditions apply to Nonelective Contributions *(Choose one or more of 1. through 4.):*
  - 1. ☐ **Service condition.** The Participant must complete the following number of months of Continuous Service during the Plan Year: \_\_\_\_\_.
  - 2. ☐ **Employment condition.** The Participant must be employed by the Employer on the last day of the Plan Year.
  - 3. ☐ **Limited Severance Exception.** Any condition specified in 1. or 2. does not apply if the Participant incurs a Severance from Employment during the Plan Year on account of death, disability or attainment of Normal Retirement Age in the current Plan Year or in a prior Plan Year.
  - 4. ☒ **Specify:** As provided in individual employment contract(s)

18. **TIME AND METHOD OF PAYMENT OF ACCOUNT (4.02).** The Plan will distribute to a Participant who incurs a Severance from Employment his/her Vested Account as follows:

**Timing.** The Plan, in the absence of a permissible Participant election to commence payment later, will pay the Participant's Account *(Choose one of a. through e.):*

- a. ☐ **Specified Date.** \_\_\_\_\_ days after the Participant's Severance from Employment.
- b. ☒ **Immediate.** As soon as administratively practicable following the Participant's Severance from Employment.
- c. ☐ **Designated Plan Year.** As soon as administratively practicable in the \_\_\_\_\_ Plan Year beginning after the Participant's Severance from Employment.
- d. ☐ **Normal Retirement Age.** As soon as administratively practicable after the close of the Plan Year in which the Participant attains Normal Retirement Age.
- e. ☐ **Specify:** \_\_\_\_\_

**Method.** The Plan, in the absence of a permissible Participant election, will distribute the Participant's Account under one of the following method(s) of distribution *(Choose one or more of f. through j. as applicable):*

- f. ☒ **Lump sum.** A single payment.
- g. ☐ **Installments.** Multiple payments made as follows: \_\_\_\_\_.
- h. ☐ **Installments for required minimum distributions only.** Annual payments, as necessary under Plan Section 4.03.
- i. ☐ **Annuity distribution option(s):** \_\_\_\_\_.
- j. ☒ **Specify:** Partial withdrawals, including recurring distributions

**Participant Election.** [Plan Sections 4.02(A) and (B)] The Plan *(Choose one of k., l. or m.):*

- k. ☒ **Permits.** Permits a Participant, with Plan Administrator approval of the election, to elect to postpone distribution beyond the time the Employer has elected in a. through e. and also to elect the method of distribution (including a method not described in f. through j. above).
- l. ☐ **Does not permit.** Does not permit a Participant to elect the timing and method of Account distribution.
- m. ☐ **Specify:** \_\_\_\_\_

**Mandatory Distributions.** Notwithstanding any other distribution election, following Severance from Employment *(Choose n. or o.):*

- n. ☐ **No Mandatory Distributions.** The Plan will not make a Mandatory Distribution.
- o. ☒ **Mandatory Distribution.** If the Participant's Vested Account is not in excess of \$5,000 (unless a different amount selected below) as of the date of distribution, the Plan will make a Mandatory Distribution following Severance from Employment.
  - 1. ☐ **Mandatory Distribution.** If the Participant's Vested Account is not in excess of \$ \_\_\_\_\_ as of the date of

distribution, the Plan will make a Mandatory Distribution following Severance from Employment.

**Exclusion of rollovers in determination of \$5,000 threshold.** In determining the \$5,000 threshold (or other dollar threshold above), rollover contributions will be:

- p. ☒ **included.**  
 q. ☐ **excluded.**

19. **BENEFICIARY DISTRIBUTION ELECTIONS.** Distributions following a Participant's death will be made as follows (Choose one of a. through d.):

- a. ☐ **Immediate.** As soon as practical following the Participant's death.  
 b. ☐ **Next Calendar Year.** At such time as the Beneficiary may elect, but in any event on or before the last day of the calendar year which next follows the calendar year of the Participant's death.  
 c. ☒ **As Beneficiary elects.** At such time as the Beneficiary may elect, consistent with Section 4.03.  
 d. ☐ **Describe:** \_\_\_\_\_.

*[Note: The Employer under Election 19d. may describe an alternative distribution timing or afford the Beneficiary an election which is narrower than that permitted under Election 19c., or include special provisions related to certain beneficiaries, (e.g., a surviving spouse). However, any election under Election 19d. must require distribution to commence no later than the Section 4.03 required date.]*

20. **DISTRIBUTIONS PRIOR TO SEVERANCE FROM EMPLOYMENT (4.05).** A Participant prior to Severance from Employment may elect to receive a distribution of his/her Vested Account under the following distribution options (Choose one of a. or b.):

- a. ☐ **None.** A Participant may not receive a distribution prior to Severance from Employment.  
 b. ☒ **Distributions.** Prior to Severance from Employment are permitted as follows (Choose one or more of 1. through 4.):  
     1. ☒ **Unforeseeable emergency.** A Participant may elect a distribution from his/her Account in accordance with Plan Section 4.05(A) (for the Participant, spouse, dependents or beneficiaries)  
     2. ☒ **De minimis exception.** [Plan Section 4.05(B)] If the Participant: (i) has an Account that does not exceed \$5,000; (ii) has not made or received an allocation of any Deferral Contributions under the Plan during the two-year period ending on the date of distribution; and (iii) has not received a prior Plan distribution under this de minimis exception, then (Choose one of a., b. or c.):  
         a. ☒ **Participant election.** The Participant may elect to receive all or any portion of his/her Account.  
         b. ☐ **Mandatory distribution.** The Plan Administrator will distribute the Participant's entire Account.  
         c. ☐ **Hybrid.** The Plan Administrator will distribute a Participant's Account that does not exceed \$\_\_\_\_\_ and the Participant may elect to receive all or any portion of his/her Account that exceeds \$\_\_\_\_\_ but that does not exceed \$5,000.  
     3. ☒ **Age 70 1/2.** A Participant who attains age 70 1/2 prior to Severance from Employment may elect distribution of any or all of his/her Account.  
     4. ☐ **Specify:** \_\_\_\_\_.

*[Note: An Employer need not permit any in-service distributions. Any election must comply with the distribution restrictions of Code Section 457(d).]*

21. **QDRO (4.06).** The QDRO provisions (Choose one of a., b. or c.):

- a. ☒ **Apply.**  
 b. ☐ **Do not apply.**  
 c. ☐ **Specify:** \_\_\_\_\_.

22. **ALLOCATION OF EARNINGS (5.07(B)).** The Plan allocates Earnings using the following method (Choose one or more of a. through f.):

- a. ☒ **Daily.** See Section 5.07(B)(4)(a).  
 b. ☐ **Balance forward.** See Section 5.07(B)(4)(b).  
 c. ☐ **Balance forward with adjustment.** See Section 5.07(B)(4)(c). Allocate pursuant to the balance forward method, except treat as part of the relevant Account at the beginning of the Valuation Period \_\_\_\_\_% of the contributions made during the following Valuation Period: \_\_\_\_\_.  
 d. ☐ **Weighted average.** See Section 5.07(B)(4)(d). If not a monthly weighting period, the weighting period is \_\_\_\_\_.

e. ☐ **Directed Account method.** See Section 5.07(B)(4)(e).

f. ☐ **Describe Earnings allocation method:** \_\_\_\_\_.

[Note: The Employer under Election 22f. may describe Earnings allocation methods from the elections available under Election 22 and/or a combination thereof as to any: (i) Participant group (e.g., Daily applies to Division A Employees OR to Employees hired after "x" date. Balance forward applies to Division B Employees OR to Employees hired on/before "x" date.); (ii) Contribution Type (e.g., Daily applies as to Discretionary Nonelective Contribution Accounts. Participant-Directed Account applies to Fixed Nonelective Contribution Accounts); (iii) investment type, investment vendor or Account type (e.g., Balance forward applies to investments placed with vendor A and Participant-Directed Account applies to investments placed with vendor B OR Daily applies to Participant-Directed Accounts and balance forward applies to pooled Accounts).]

23. **HEART ACT PROVISIONS (1.31(C)(3)/3.13).** The Employer elects to (Choose one of a. or b. and c. or d.):

**Continued Benefit Accruals.**

a. ☒ **Not apply the benefit accrual provisions of Section 3.13.**

b. ☐ **Apply the benefit accrual provisions of Section 3.13.**

**Distributions for deemed severance of employment (1.31(C)(3))**

c. ☐ **The Plan does NOT permit distributions for deemed severance of employment.**

d. ☒ **The Plan permits distributions for deemed severance of employment.**

24. **VESTING/SUBSTANTIAL RISK OF FORFEITURE (5.11).** A Participant's Deferral Contributions are [Note: If a Participant incurs a Severance from Employment before the specified events or conditions, the Plan will forfeit the Participant's non-vested Account. Caution: if a Deferral is subject to vesting schedule or other substantial risk of forfeiture, it does not count as a deferral for purposes of the annual deferral limit until the year it is fully vested.] (Choose all that apply of a. through d.):

a. ☒ **100% Vested/No Risk of Forfeiture.** Immediately Vested without regard to additional Service and no Substantial Risk of Forfeiture. The following contributions are 100% Vested:

1. ☒ **All Contributions.** (skip to 25.)

2. ☐ **Only the following contributions.** (select all that apply):

a. ☐ **Salary Reduction Contributions.**

b. ☐ **Nonelective Contributions.**

c. ☐ **Matching Contributions.**

b. ☐ **Forfeiture under Vesting Schedule.** Vested according to the following:

**Contributions affected.** The following contributions are subject to the vesting schedule (Choose one or more of 1., 2. or 3.):

1. ☐ **Salary Reduction Contributions.**

2. ☐ **Nonelective Contributions.**

3. ☐ **Matching Contributions.**

4. ☐ **Vesting Schedule.**

Years of Service	Vested Percentage
_____	_____ %
_____	_____ %
_____	_____ %
_____	_____ %
_____	_____ %

**For vesting purposes, a "Year of Service" means:**

5. \_\_\_\_\_.

[Note: It is extremely rare to apply a vesting schedule to Salary Reduction Contributions.]

c. ☐ **Substantial Risk of Forfeiture.** Vested only when no longer subject to the following Substantial Risk of Forfeiture as follows:

**Contributions affected.** The following contributions are subject to the substantial risk of forfeiture under c. (Choose one or more of 1., 2. or 3.):

1. ☐ **Salary Reduction Contributions.**

2. ☐ **Nonelective Contributions.**

3. ☐ **Matching Contributions.**

**Risk Provisions:** Vested only when no longer subject to the following Substantial Risk of Forfeiture as follows (Choose one of 4. or 5.):

4. ☐ The Participant must remain employed by the Employer until \_\_\_\_\_, unless earlier Severance from Employment occurs on account of death or disability, as the Plan Administrator shall establish.

5. ☐ Specify: \_\_\_\_\_.

**Additional Provisions** (Choose d. if applicable)

d. ☐ Specify: \_\_\_\_\_.

**FORFEITURE ALLOCATION.** [Plan Sections 5.11(A) and 5.14] The Plan Administrator will allocate any Plan forfeitures as selected below. The Employer has the option to use forfeitures to pay plan expenses first and then allocate the remaining forfeitures in accordance with the selections below: (Choose one of the following):

e. ☐ **Additional Contributions.** As the following contribution type (Choose one of 1. or 2.):

1. ☐ **Nonelective.** As an additional Nonelective Contribution.

2. ☐ **Matching.** As an additional Matching Contribution.

f. ☐ **Reduce Fixed Contributions.** To reduce the following fixed contribution (Choose one of 1. or 2.):

1. ☐ **Nonelective.** To reduce the Employer's fixed Nonelective Contribution.

2. ☐ **Matching.** To reduce the Employer's fixed Matching Contribution.

g. ☐ Specify: \_\_\_\_\_.

25. **TRUST PROVISIONS.** The following provisions apply to Article VIII of the Plan (Choose as applicable; leave blank if not applicable):

a. ☐ **Modifications.** The Employer modifies the Article VIII Trust provisions as follows: \_\_\_\_\_. The remaining Article VIII provisions apply.

b. ☐ **Substitution.** The Employer replaces the Trust with the Trust Agreement attached to the Plan.

26. **CUSTODIAL ACCOUNT/ANNUITY CONTRACT (8.16).** The Employer will hold all or part of the Deferred Compensation in one or more custodial accounts or annuity contracts which satisfy the requirements of Code §457(g) (Choose a. or b., c. if applicable):

a. ☒ **Custodial account(s).**

b. ☒ **Annuity contract(s).**

c. ☐ Specify: \_\_\_\_\_.

[Note: The Employer under c. may wish to identify the custodial accounts or annuity contracts or to designate a portion of the Deferred Compensation to be held in such vehicles versus held in the Trust.]

27. **VALUATION.** In addition to the last day of the Plan Year, the Trustee (or Plan Administrator as applicable) must value the Trust Fund (or Accounts) on the following Valuation Date(s) (Choose one of a. or b.):

a. ☐ **No additional Valuation Dates.**

b. ☒ **Additional Valuation Dates.** (Choose one or more of 1., 2. or 3.):

1. ☒ **Daily Valuation Dates.** Each business day of the Plan Year on which Plan assets for which there is an established market are valued and the Trustee or Employer is conducting business.

2. ☐ **Last day of a specified period.** The last day of each \_\_\_\_\_ of the Plan Year.

3. ☐ **Specified Valuation Dates:** \_\_\_\_\_.

[Note: The Employer under Election 26b.3. may describe Valuation Dates from the elections available under Election 26b. and/or a combination thereof as to any: (i) Participant group (e.g., No additional Valuation Dates apply to Division A Employees OR to Employees hired after "x" date. Daily Valuation Dates apply to Division B Employees OR to Employees hired on/before "x" date.); (ii) Contribution Type (e.g., No additional Valuation Dates apply as to Discretionary Nonelective Contribution Accounts. The last day of each Plan Year quarter applies to Fixed Nonelective Contribution Accounts); (iii) investment type, investment vendor or Account type (e.g., No additional Valuation Dates apply to investments placed with vendor A and Daily Valuation Dates apply to investments placed with vendor B OR Daily Valuation Dates apply to Participant-Directed Accounts and no additional Valuation Dates apply to pooled Accounts).]



28. **TRUSTEE** (Select all that apply; leave blank if not applicable.):

- a. ☒ Individual Trustee(s) who serve as Trustee(s) over assets not subject to control by a corporate Trustee. (Add additional Trustees as necessary.)

Name(s)

**Title(s)**

### General Manager

**Trustee**

Human Resource Administrator

Trustee

**Address and Telephone number (Choose one of 1. or 2.):**

1. ☒ Use Employer address and telephone number.
2. ☐ Use address and telephone number below:

**Address:**

Street

City

State

**Zip**

**Telephone:**

- b. ☐ Corporate Trustee

Name:

**Address:**

### Street

City

State

**Zip**

**Telephone:**

**AND**, the Corporate Trustee shall serve as:

- c. ☐ a Directed (nondiscretionary) Trustee over all Plan assets except for the following:

- d. ☐ a Discretionary Trustee over all Plan assets except for the following:

29. **PLAN LOANS (5.02(A)).** The Plan permits or does not permit Participant Loans (*Choose one of a. or b.*):

- a. ☐ Does not permit.
- b. ☒ Permitted pursuant to the Loan Policy.

30. **ROLLOVER CONTRIBUTIONS (3.09)**. The Plan permits Rollover Contributions subject to approval by the Plan Administrator and as further described below:

**Who may roll over (Choose one of a. or b.):**

- a. ☐ **Participants only.**
- b. ☒ **Eligible Employees or Participants.**

**Sources/Types.** The Plan will accept a Rollover Contribution (Choose one of c. or d.):

- c. ☒ **All.** From any Eligible Retirement Plan and as to all Contribution Types eligible to be rolled into this Plan.
- d. ☐ **Limited.** Only from the following types of Eligible Retirement Plans and/or as to the following Contribution Types:

**Distribution of Rollover Contributions** (Choose one of e., f. or g.):

- e. ☒ **Distribution without restrictions.** May elect distribution of his/her Rollover Contributions Account in accordance with Plan Section 4.05(C) at any time.
- f. ☐ **No distribution.** May not elect to receive distribution of his/her Rollover Contributions Account until the Plan has a distributable event under Plan Section 4.01.
- g. ☐ **Specify:** \_\_\_\_\_

**31. EACA Automatic Deferral Provisions (3.14).**

**Participants subject to the Automatic Deferral Provisions.** The Automatic Deferral Provisions apply to Employees who become Participants after the Effective Date of the EACA (except as provided in d. below). Employees who became Participants prior to such Effective Date are subject to the following (a. – d. are optional):

- a. ☐ **All Participants.** All Participants, regardless of any prior Salary Reduction Agreement, unless and until a Participant makes an Affirmative Election after the Effective Date of the EACA.
- b. ☐ **Election of at least Automatic Deferral amount.** All Participants, except those who, on the Effective Date of the EACA, are deferring an amount which is at least equal to the Automatic Deferral Percentage.
- c. ☐ **No existing Salary Reduction Agreement.** All Participants, except those who have in effect a Salary Reduction Agreement on the effective date of the EACA regardless of the Salary Reduction Contribution amount under the Agreement.
- d. ☐ **Describe:** \_\_\_\_\_

**Automatic Deferral Percentage.** Unless a Participant makes an Affirmative Election, the Employer will withhold the following Automatic Deferral Percentage (select e. or f.):

- e. ☐ **Constant.** The Employer will withhold \_\_\_\_\_ % of Compensation each payroll period.

**Escalation of deferral percentage** (select one or leave blank if not applicable)

1. ☐ **Scheduled increases.** This initial percentage will increase by \_\_\_\_\_ % of Compensation per year up to a maximum of \_\_\_\_\_ of Compensation.
2. ☐ **Other** (described Automatic Deferral Percentage): \_\_\_\_\_

**Automatic Deferral Optional Elections**

- f. ☐ **Optional elections** (select all that apply or leave blank if not applicable)

**Suspended Salary Reduction Contributions.** If a Participant's Salary Reduction Contributions are suspended pursuant to a provision of the Plan (e.g., distribution due to military leave covered by the HEART Act), then a Participant's Affirmative Election will expire on the date the period of suspension begins unless otherwise elected below.

1. ☐ A Participant's Affirmative Election will resume after the suspension period.

**Special Effective Date.** Provisions will be effective as of the earlier of the Effective Date of the EACA provisions unless otherwise specified below.

2. ☐ **Special Effective Date:** \_\_\_\_\_

**32. In-Plan Roth Rollover Contributions.**

- a. ☒ **Yes, allowed.**

**33. In-Plan Roth Rollover Transfers.**

- a. ☐ **Yes, allowed.**

This Plan is executed on the date(s) specified below:

**Use of Adoption Agreement.** Failure to complete properly the elections in this Adoption Agreement may result in disqualification of the Employer's Plan. The Employer only may use this Adoption Agreement only in conjunction with the corresponding basic plan document.

EMPLOYER: South Orange County Wastewater Authority

By: \_\_\_\_\_

General Manager

\_\_\_\_\_  
TRUSTEE

Human Resource Administrator

\_\_\_\_\_  
TRUSTEE

\_\_\_\_\_  
DATE SIGN 

\_\_\_\_\_  
DATE SI 

\_\_\_\_\_  
DATE SIG 

**Social Security Replacement Plan Amendment for the  
South Orange County Wastewater Authority  
457(b) Deferred Compensation Plan**

**ARTICLE I  
PREAMBLE**

1.01 Adoption and effective date of Amendment. The Employer adopts this Amendment to indicate its intention to qualify this Plan as a Social Security Replacement Plan under Code §3121(b)(7)(F), as permitted by the federal Omnibus Budget Reconciliation Act of 1990 (OBRA). This Amendment is effective as of the Effective Date specified below.

1.02 Superseding of inconsistent provisions. This Amendment supersedes the provisions of the Plan to the extent those provisions are inconsistent with the provisions of this Amendment.

1.03 Construction. Except as otherwise provided in this Amendment, any reference to "Section" in this Amendment refers only to sections within this Amendment and is not a reference to the Plan. The Article and Section numbering in this Amendment is solely for purposes of this Amendment, and does not relate to any Plan article, section or other numbering designations unless otherwise specified. Capitalized terms have the meaning given to them in the Plan document unless otherwise defined herein.

**ARTICLE II  
DEFINITIONS**

2.01 The following definition is added to the end of Article I, Definitions, of the basic plan document:

**"Acknowledgement Form/Card"** means the application to the Administrative Services Provider to participate in the Plan when the Plan is a Social Security replacement plan.

2.02 Subsection 1.30 of Article I, Definitions, is hereby amended and restated in its entirety to read as follows:

**"Salary Reduction Contribution"** means a contribution the Employer makes to the Plan pursuant to a Participant's Salary Reduction Agreement or Acknowledgement Form/Card,

**ARTICLE III  
ADOPTION AGREEMENT ELECTIONS**

3.01 Effective Date. The provisions of this Amendment are effective under the Plan as of April 2, 1998.

3.02 **Social Security Replacement Plan.** An amount equal to 7.5% of the Participant's Compensation for the entire Plan Year, reduced by Employee and Employer contributions to this Plan actually contributed to the Participant's Account during such Plan Year.

**Include only part-time, seasonal and temporary Employees**

Regardless of any other provision in the Adoption Agreement to the contrary, the contribution above will only be made for part-time, seasonal, or temporary Employees who are not otherwise covered by another qualifying public retirement system as defined in 26 CFR 31.3121(b)(7)-2.

**Contribution Types.** The required minimum contribution amount of 7.5% to qualify as a Social Security Replacement Plan shall be satisfied by:

- a. ☒ The Participant only via Salary Reduction Contributions.
  - b. ☐ The Employer only via Non-elective Contributions.
  - c. ☐ A combination of the Participant's Salary Reduction Contributions and Employer's Non-elective Contributions, as follows:
    - 1. ☐ Participant shall contribute \_\_\_\_\_% via Salary Reduction Contributions.
    - 2. ☐ Employer shall contribute \_\_\_\_\_% via Non-elective Contributions.
- NOTE: c.1. and c.2. must equal at a minimum 7.5%. If the Employer contributes less than 7.5%, the Participant must contribute a minimum Salary Reduction Contribution of 7.5% minus the Employer's Non-elective Contribution percentage in c.1. The Participant may make a Salary Reduction Contribution in excess of this amount.

#### **ARTICLE IV SOCIAL SECURITY REPLACEMENT PLAN**

##### **4.01 Special eligibility provisions for participants in a Plan used as a Social Security Replacement Plan.**

**(A) Eligibility to participate for new Employees.** A new Employee shall, as a condition of employment to participate in the Plan, sign and file with the Administrative Services Provider an Acknowledgement Form/Card and thereby consenting to a reduction of salary by the amount of the Deferral Contribution specified in the Acknowledgement Form/Card. Contributions to the Participant's Account must equal at least 7.5% of the Participant's Compensation, or such other minimum amount as shall be required for the Plan to be considered a retirement system under Code §3121(b)(7)(F) and 26 CFR 31.3121(b)(7)-2.

**(B) Eligibility to participate for current Employees.** An Employee who is newly eligible to participate in the Plan shall, prior to becoming eligible to participate in the Plan, sign and file with the Administrative Services Provider an Acknowledgement Form/Card and thereby consent to a reduction of salary by the amount of the Deferral Contribution specified in the Acknowledgement Form/Card. Allocations to the Participant's Account must equal at least 7.5% of the Participant's Compensation or such other minimum amount as shall be required for the Plan to be considered a retirement system under Code §3121(b)(7)(F) and 26 CFR §31.3121(b)(7)-2.

**(C) Agreement to defer.** The reduction in the Participant's salary shall begin no earlier than 1) the first pay period commencing during the first month after the date on which the Acknowledgement Form/Card is filed with the Administrative Services Provider for current Employees or 2), for new Employees, the reduction in salary may begin in the calendar month during which the Participant first becomes Eligible to participate as long as the Acknowledgment Form/Card is entered into on or before the first day on which the Participant performs services for the Employer.

**(D) Takeover Plans.** If the Plan is a restated Plan, an Employee who participated in the predecessor plan shall become a Participant in the Plan upon the Employer's execution of the enabling documents for this Plan. Allocations to each such Participant's Account must equal at least 7.5% of the Participant's Compensation, or such other minimum amount as shall be required for the Plan to be considered a retirement system under Code §3121(b)(7)(F) and 26 CFR §31.3121(b)(7)-2, and the reduction in the Participant's salary shall begin immediately thereafter.

**4.02 Investment of SSRP Contributions.** Any Accounts to which the minimum Social Security Replacement Plan Contributions have been deposited must be credited with earnings at a rate that is

reasonable under all the facts and circumstances or the Accounts must be held in a separate trust that is subject to general fiduciary standards and be credited with actual earnings on the trust fund. The Employer may designate an investment with a reasonable rate of earnings to be used to satisfy this requirement for all such Accounts.

4.03 Method of Distribution. If a Participant has separated from Service with a Vested Account Balance of \$5,000.00 or more, he/she may receive, as a form of Benefit Payment, a Total Lump Sum Distribution, Partial Lump Sum Distribution, or Systematic Withdrawal. If a Participant has separated from Service with a Vested Account Balance of less than \$5,000.00, he/she may receive, as a form of Benefit Payment, a Total Lump Sum Distribution only.

This Amendment has been executed this \_\_\_\_\_ day of \_\_\_\_\_, 2019.

**Name of Plan:** \_\_\_\_\_

**Name of Employer:** \_\_\_\_\_

**Plan Sponsor Signature:** \_\_\_\_\_

Plan Sponsor Signature

**Plan Sponsor Name (Please Print):** \_\_\_\_\_

**Title:** \_\_\_\_\_

# Agenda Item

## 5.A.

**Budgeted:** N/A

**Budget Request:** No

**Line Items:**

**Legal Counsel Review:** N/A

**Meeting Date:** November 7, 2019

**TO:** SOCWA Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Jim Burror, Director of Operations; Amber Baylor Director Environmental Compliance

**SUBJECT:** Update on Advanced Water Treatment & Direct/Indirect Potable Reuse (DPR/IPR)

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### Summary

The State Water Board recently closed the comment period on the Proposed Framework for Regulating Direct Potable Reuse in California (Second Edition). For your reference the Second Edition of the Proposed Framework is included with the agenda under separate cover. The Framework sets forth elements identified by the Department of Drinking Water as important to development of uniform criteria for water recycling for potable reuse (direct and indirect). The Framework determines that development of uniform criteria is feasible with some of the aspects of the most direct potable reuse (flange to flange systems) described as appropriate for site specific considerations. The Framework describes a potential regulatory approach and identifies areas appropriate for additional science-based evaluation and consensus. A commend letter submitted by Santa Margarita Water District (SMWD), dated October 9, 2019, is attached.

WaterReuse California has been actively engaged in development of a recommended Plan of Action (July 2019 Report). For your reference the Action Plan is included with the agenda under separate cover. The Action Plan notes that many forms of reuse of water are on the rise as to existing projects in the pipeline (714,000 current projects) and many more in development (800,000+). The Plan suggests to the State Water Board ways to achieve regulatory initiatives and suggests increases in funding and expert panel participation as avenues to pave the way for greater reuse of available sources of reusable water.

SOCWA staff is considering the three SOCWA treatment plants and the ways in which these facilities may be able to increase recycled water production and potentially participate in potable reuse projects into the future.

Two presentations will be provided for the Board at the November 2019 Board meeting. These presentations will focus on updating the Board as to SOCWA opportunities and take a look at the State Framework and WaterReuse Action Plans.

First, Jim Burror will brief the Board on the Opportunities, Challenges and Ideas for the JBL, RTP and CTP facilities. Next, Rich Nagel of Jacobs Engineering will provide a presentation focused on the WaterReuse Action Plan. His presentation will discuss WaterReuse outreach to the State

Water Board, the October 2019 WUE Fact Sheet on Recycled Water and Potable Reuse, and the developing Raw Water Augmentation Regulatory Framework.

**Recommended Action:**

Information Item and Discussion





September 3, 2019

Nancy Vogel  
California Natural Resources Agency  
1416 9<sup>th</sup> Street, Suite 1311  
Sacramento, CA 95814

Erik Ekdahl  
State Water Resources Control Board  
Division of Water Rights  
1001 I Street  
Sacramento, CA 95814

Dear Ms. Vogel and Mr. Ekdahl:

On behalf of WaterReuse California (WRCA), we thank you for the opportunity to share the California WaterReuse Action Plan (Plan) with you at the Natural Resources Agency and State Water Resources Control Board. We hope the Plan, with its 20 recommendations for greatly expanding reuse in the state, will be helpful in the development of the Governor's Water Resiliency Portfolio.

Expanding water recycling, in all its forms, is essential in achieving climate resilience for California and for increasing our water supply to meet the industrial, commercial, agricultural, landscape and drinking water needs of 50 million Californians expected by 2050. With a significant investment of General Fund, bond monies, or other leveraged sources of funds, we believe California can more than double its use of recycled water in the state over the next decade. Below are five recommendations for a one-time funding infusion to advance the use of recycled water in California.

**New or Enhanced Water Recycling Funding Program**

We ask that you create a new funding program focused on water recycling as a tool to creating a water resilient California, or significantly enhancing the existing Water Recycling Funding Program by an investment of at least **\$1 billion** for construction grants and loans, and planning. Currently, the primary source of recycled water funding, the Clean Water State Revolving Fund (CWSRF), has more than \$3.7 billion in funding requests for recycled water projects. This figure does not include major groundwater augmentation projects that are in the planning stages in Southern California, and it does not account for projects that will be developed once the Raw Water Augmentation regulations are complete. We estimate that the near-term needs are closer to \$5 billion. While almost all water recycling projects receive 50 percent or more from local rate payers, state funding remains critical as it not only demonstrates to the local

agencies and communities a strong level of support and commitment to projects but is crucial to ensuring these projects are feasible.

We also support additional staffing at the Division of Financial Assistance to facilitate this level of funding (see below). It is also critical that every effort be made to streamline the environmental and legal review associated with the program as funding delays are often significant.

#### **Increase Funding for Reuse Research**

The development of reuse regulations and innovation to expand the reuse opportunities statewide is dependent upon a robust research program. As indicated in the California WaterReuse Action Plan there are several critical research activities already underway, but much more is needed.

While there are a number of longer-term research needs, we support immediate additional funding for the continuation of the **Bioassay Implementation Advisory Group**. This group is managed by NWRI and includes participation from the Water Board and a wide range of potable reuse stakeholders. WRCA is currently the sole funding source for this group. Additional funding is needed to continue these efforts and address existing and new bioassays monitoring and implementation issues after 2019.

We also support research for new and emerging contaminants and innovative technology and solutions that will heavily impact water recycling, such as PFOA, PFOS, inland brine disposal solutions, onsite desalination for agricultural reuse, and support of research for raw and treated drinking water augmentation.

#### **Provide Funding for the Expert Panel on Raw Water Augmentation**

The development of Raw Water Augmentation (RWA) regulations is one of the most important reuse issues currently before the Water Board. With multiple agencies interested in beginning RWA projects and with the potential for RWA to greatly increase reuse statewide, it is essential that these regulations not be delayed. AB 574 (Quirk 2017) sets a 2023 deadline for the development of RWA regulations and requires that the Water Board assemble an Expert Panel to assist in the development of the regulations. In order to make this deadline, this panel needs to be assembled now and begin assessment of relevant potable research as it becomes final in 2020 and 2021. There is such interest in meeting this deadline that some agencies have indicated a willingness to assist the Water Board in funding the Expert Panel. Whether or not this comes to pass, we support one-time funding for the Water Board to ensure an Expert Panel can assist the Water Board throughout the regulation development process.

#### **Provide Funding to Assist the Water Board in Reuse Data Management**

The recently updated Recycled Water Policy requires all agencies to report a variety of water recycling and wastewater discharge information to the Water Board. With this new reporting starting later this year, WRCA requests that all other types of duplicative reporting on water recycling, such as regional board reporting, be reevaluated to determine if it can be stopped. As appropriate, we would like this data to be useful as

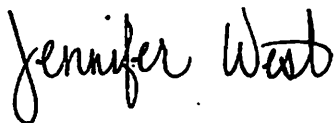
the Water Board works with the Department of Water Resources in implementing Open and Transparent Water Data Act (AB 1755). We support much-needed funding for the Water Board's data collection efforts so that this new source of information on water recycling can be shared with stakeholders, regional boards and others and utilized effectively by state agencies.

**Provide Funding for Water Recycling Staffing Across Multiple Divisions**

We recognize that significant new grant and loan funding for recycled water projects will put staffing pressure on the Water Board's Division of Financial Assistance and other divisions of the Water Board as they review and permit projects. We support one-time funding to increase staffing throughout the Water Board to support reuse efforts. However, we recognize that the Water Board may be limited by statute in how it can pay for staffing, which will be an ongoing cost. Before significant new staffing is added through increasing fees, we would like to work with you to better assess what staffing is needed in all the divisions in order to maximize recycled water.

Thank you again for the opportunity to share the California WaterReuse Action Plan with you and for your willingness to work with us on funding for all the areas described above. If you have questions, please do not hesitate to contact me at [jwest@watereuse.org](mailto:jwest@watereuse.org) or (916) 496-1470.

Sincerely,

A handwritten signature in black ink that reads "Jennifer West". The signature is written in a cursive, flowing style.

Jennifer West  
Managing Director

cc: E. Joaquin Esquivel, Chair, State Water Resources Control Board

## BOARD OF DIRECTORS

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GENERAL MANAGER



# Santa Margarita Water District

October 9, 2019

Comments submitted via [ddwrecycledwater@waterboards.ca.gov](mailto:ddwrecycledwater@waterboards.ca.gov)

Mr. Randy Barnard  
Attn: Ms. Sherly Rosilela  
Division of Drinking Water, Recycled Water Unit  
State Water Resource Control Board  
P.O. Box 100  
Sacramento, CA 95812-100

Subject: Comment Letter on the SWRCB Direct Potable Reuse (DPR) Framework, Second Edition

Dear Mr. Barnard:

The Santa Margarita Water District (District) appreciates the opportunity to provide public comments on the State Water Resources Control Board (State Water Board) Second Edition of '*A Proposed Framework for Regulating Direct Potable Reuse in California*' (Second Edition Framework). The District is currently constructing the 5,000 Acre-foot Trampas Canyon Recycled Water Seasonal Storage Reservoir and planning for potable reuse in conjunction with the San Juan Watershed, so the framework is timely for development of our concepts.

The District supports the State Water Board's decision to update the original documentation with the Second Edition Framework. The Regulatory Approach chapter, in particular, is an important addition. The chapter recognizes that the State is very diverse in its water planning with a common goal of the development of water supply resiliency and increasing the use of recycled water. The outlined approach provides a regulatory process for local agencies to engage in and for regulations to be developed considering the opportunities that are available to a community for potable reuse.

We support the inclusion of allowing a drinking water treatment plant as part of a DPR treatment train to meet the required log reduction, so long as the capability of the drinking water treatment plant can be demonstrated by treatability studies. We support broadening the definition of types of source water supplies for existing treatment plants. Our local region has impaired groundwater treatment plants and we want to ensure we can consider their use and the benefits provided in the analysis. This recommended clarification recognizes that drinking water treatment plants successfully treat a variety of water supply sources, including natural and desalinated groundwater, urban return flows and stormwater in addition to surface water supplies.

The Risk Management Approach is important, and we appreciate the edits clarifying the consideration for project specifics on a case-by-case basis for log reductions. For this to be successful, we are supportive of the State providing you the resources in funding and staff or consultants to support a thorough and timely review of projects. This will be an important aspect for development of projects and support of the State Board goals for recycling.

Comment Letter on Second Edition Framework

October 9, 2019

Page 2

Thank you for the opportunity to provide comments on the Second Edition Framework. The District strongly supports the Second Edition Framework and looks forward to working with the State Water Board on the regulatory developments for DPR as well as on the specific projects proposed by the District.

To address any questions or concerns about our comments please contact:

Don Bunts  
949-459-6602  
donb@smwd.com

Dan Ferons  
949-459-6590  
danf@smwd.com

Very Truly Yours,  
SANTA MARGARITA WATER DISTRICT



Daniel R. Ferons  
General Manager



# Agenda Item

## 5.B

**Budgeted:** Yes

**Budget Request:** Within Existing Budget

**Line Items:** 01-6300-05-00-00  
\$38,485.20; 01-6305-05-00-00 \$36,115

**Legal Counsel Review:** N/A

**Meeting Date:** November 7, 2019

**TO:** SOCWA Board of Directors

**STAFF CONTACT:** Betty Burnett, General Manager

**SUBJECT:** Financial Edge NXT Upgrade

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### Summary

On August 13, 2019, Microsoft released a security update that disabled access for SOCWA employees to the Financial Edge version 7 software package. SOCWA utilizes Microsoft's best practices and updates the network desktops daily, which caused Financial Edge (FE) 7 to fail. The FE 7 software is hosted onsite at SOCWA. After the failure, SOCWA staff spent several days engineering an IT solution to get this system back running.

The FE parent company, Blackbaud Inc., provides a cloud-hosted version of the Financial Edge software program called FE NXT. SOCWA has been in consideration to move to FE NXT for several years and was holding on the decision to allow full development of the software upgrade. FE NXT will not interfere with the security controls in place on the SOCWA business network. At this time, SOCWA staff recommends moving to FE NXT. Benefits of the software upgrade including avoiding loss of staff time due to incompatibility of FE 7 with Microsoft security patches. SOCWA IT staff currently spends approximately five hours each week on the maintenance of the FE 7 program now hosted onsite. The conversion to the cloud will reduce the staff time spent on maintenance of FE 7 onsite.

In the past year, public agencies have experienced system hacking due to security breaches and resulting in ransoming of data. SOCWA seeks to maintain adequate security controls and migration to the NXT version of Financial Edge will assist SOCWA in doing so. Moving FE to the cloud environment available with FE NXT will further safeguard IT controls of the business network. The cloud platform will keep FE NXT up to date, properly configured and in alignment to cybersecurity standards and frameworks such as NIST<sup>1</sup> and AICPA<sup>2</sup>. Financial Edge maintains a team of 38 employees at 5 different locations focusing on cybersecurity for its clients and cloud systems.

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<sup>1</sup> NIST – National Institute of Standards and Technology. A provide level taxonomy of cybersecurity outcomes and a methodology to assess and manage those outcomes.

<sup>2</sup> AICPA – American Institute of CPAs. Develops and communicates management tools for cybersecurity threats and responses to potential breaches.

### **Additional Benefits of FE NXT**

The conversion to FE NXT will offer better functionality for data entry and reporting, automatic data validation features, and the ability to cleanly export data to and from Excel. The changes to use will include faster entering of journal entries, budgets and other information. The new system will allow for the import and storage of supporting documents, improved banking reconciliations and streamlined accounts payable functionality, among other benefits.

### **FE NXT Costs**

A cost comparison chart detailing existing FE 7 system and related costs and contrasting to several purchasing options for FE NXT is attached hereto. The FE 7 maintenance agreement and FE 7 Learn Everything are active through calendar year 2019 with a currently available unexpended budget of \$55,000 for Financial Edge software and related services. The IT Budget has available capacity to fund any of the options selected for the FE NXT upgrade.

Service subscription options include:

- |   |   |
|---|---|
| 1. Upgrade plus one-year subscription     | \$74,600  |
| 2. Upgrade plus 3 years of subscription   | 56,293 (Yr 1), \$29,604 (2 more years)*                         |
| 3. Upgrade one year then renew for 3 more | 74,600 (Yr 1), \$41,899 ( 2 or more years)                      |
| 4. Upgrade plus open annual renewals      | 74,600 (Yr 1), \$54,468 (Yr 2, Yr 3 plus 6%<br>each added year) |

\*Note that Option 2 offers a \$42,897 savings over comparable Option 3.

### **Recommended Action:**

Staff recommends that the Board of Directors authorize the General Manager to contract for the upgrade to FE NXT and select from one of two options:

- Upgrade plus 3 years of service \$56,293 (Yr 1), \$29,604 (2 more years)
- or
- Upgrade plus one-year subscription \$74,600

### Financial Edge Pricing Comparisons

	Current Cost		Option 1 - Yr. 1	Option 2 - Yr. 1	Option 2 - Yr. 2	Option 2 - Yr. 3	Yr. 4	Savings w/ Option 2
FE 7	\$ 67,392.82							
FE NXT			\$ 74,600.20	\$56,293.00	\$29,604.00	\$29,604.00		\$ 42,897.60
Total	\$ 67,392.82		\$74,600.20					

Option 3- Yr. 2	Option 3- Yr. 3	Option 3- Yr. 4
\$41,899.20	\$41,899.20	\$41,899.20

Option 4- Yr. 2	Option 4- Yr. 3	Option 4- Yr. 4
\$54,468.75	\$57,192.19	\$60,051.80

Option 1 = 12 month commitment loss of discounts and no price protection

Option 2 = 36 month commitment with built in discounts and price protection for three years

Option 3 = Renew Option 1 for three year after initial 12 month term

Option 4 = Keep renewing yearly, no price protection and annual increases between 5 to 7 %



# Agenda Item

## 5.C.

**Budgeted:** Yes

**Budget Request:** None

**Line Item:** 05-5038-02-00-00

**Legal Counsel Review:** No

**Meeting Date:** November 7, 2019

**TO:** PC5 Committee Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Amber Baylor, Director of Environmental Compliance

**SUBJECT:** San Juan Creek Ocean Outfall NPDES Permit

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### Summary

The San Diego Regional Water Quality Control Board (SDRWQCB) has indicated that it will bring the San Juan Creek Ocean Outfall (SJCOO) NPDES permit to the Board with the Doheny Desal Project NPDES permit which has delayed the issuance of the SJCOO and Aliso Creek Ocean Outfall (ACOO) permits. On March 11, 2019 GHD, on behalf of South Coast Water District (SCWD), submitted a draft Report of Waste Discharge (ROWD) application to the SDRWQCB. SOCWA staff met with SCWD and GHD on the possible combination of the two NPDES permits to achieve administrative efficiency through removal of monitoring and reporting redundancies. On August 29, 2019, SOCWA staff met with SCWD, GHD, SDRWQCB, and State Water Board staff to discuss the inclusion of the two permits. Regulators are open for the inclusion and the following agenda details the factors considered by SOCWA staff in the recommendation to combine the NPDES permits.

### Discussion

Staff at SOCWA and GHD worked on analysis of potential impacts to the compliance criteria in the San Juan Creek Ocean Outfall (SJCOO) NPDES permit. Staff evaluated the impact of iron and manganese for the *Macrosystis Pyrifera* (giant kelp) and other Ocean Plan constituents at the SJCOO combined effluent location. SOCWA staff did not find any constituent exceeding the NPDES permit limits at the modeled scenarios provided by GHD. In the evaluation of the water quality inputs, iron and manganese were identified in the Doheny Desal Environmental Impact Report as heavily concentrated pockets in the vadose zone for the slant wells. SOCWA staff sent samples to Nautilus Environmental to determine if iron and manganese led to chronic toxicity exceedances in the giant Kelp. Dosing experiments of 1mg/L of iron and manganese (single and combined) indicated that there were not affects to chronic toxicity from iron and manganese on chronic toxicity.

SOCWA staff also evaluated the salinity of the brine discharge to understand the buoyancy of the plume. The outfall is located approximately 95ft below mean sea level. SOCWA measures for bacteriological constituents at both sea level and mid-depth at approximately 50ft below mean sea level. Bacteriological samples collected at the mid-depth indicate if the thermocline is present

thereby trapping the plume from reaching the surface. Due to the relatively shallow depth of the outfall, SOCWA has experienced a 92% compliance rate with bacteriological samples compliance due to the ability of the plume to reach the mid-depth and surface. Table 3.1 from the draft ROWD from SCWD and GHD indicate the potential buoyancy of the plume as indicated below.

**Table 3.1 Plumes 18b Modeling of Doheny Buoyant Discharge Scenarios**

Brine + WW = Total Flow Rate (MGD)	Combined Discharge Salinity (ppt)	Discharge Velocity (m/sec)	Densimetric Froude Number	Depth of 101 to 1 dilution factor (ft)	Depth of max rise of plume (ft)	Distance to max rise of plume, Z <sub>a</sub> (m)	Effective dilution at max rise of plume, S <sub>a</sub>	Minimum Initial Dilution, D <sub>m</sub>	Diameter of ZID (m)
8 mgd wastewater- only baseline	1.25	0.595	4.231	86.96	56.35	13.304	375.5	383.1	196
5 + 8 = 13	25.77	0.967	12.95	70.89	62.90	11.308	130.9	133.9	78
13 mgd wastewater- only baseline	1.25	0.967	6.875	84.51	52.82	14.380	315.4	321.9	165
5 + 13 = 18.0	18.61	1.338	13.62	71.72	53.98	14.026	175.2	178.7	160
18.9 mgd wastewater- only baseline	1.25	1.405	9.996	82.69	50.81	14.992	273.8	279.5	143
5 + 18.9 = 23.9	14.02	1.777	16.02	71.01	50.90	14.965	185.4	189.1	135
31 mgd wastewater- only baseline	1.25	2.305	16.39	79.853	48.50	15.696	226.6	231.3	123.0
5 + 31 = 36.0	9.30	2.677	21.83	78.03	50.05	15.224	192.7	196.6	110.0

Red= dry-weather

Blue= average conditions

Green= wet-weather

The last 20 months of flow at the SJCOO was 11.3 MGD with a high of 29.1 MGD during wet weather. The current conditions mean that there could be an increase in mid-depth bacteriological exceedances of the plume and potential exceedances at the surface when the thermocline disappears. The Operations report for August for the SJCOO provides bacteriological results of when the thermocline disappears, the plume rises to the mid-depth location causing permit exceedances.

Although the modeled inputs for SJCOO from GHD indicate that there were no exceedances of the permit limits at the current dilution factor, there were four exceedances of the California Ocean Plan Objectives: chlordane, heptachlor epoxide, PCBs, and toxaphene. Other water quality analytes that were within 15% of the Ocean Plan Objectives were: beryllium and dieldrin. SOCWA recommends that additional permit limits be added at the compliance point (effluent) on a monthly basis to capture constituents that could contribute to toxicity at the outfall. Current brine discharge points do not monitor for the same analytical constituents as the wastewater treatment facilities. Monthly monitoring by SCWD of these constituents will help identify if the Doheny Desal Project is contributing to potential toxicity exceedances.

To determine the annual permit fee and load allocations, the SDRWQCB must have a specific quantity of flow. Ben Niel, Water Quality Control Engineer noted that the updated application for the ROWD from SCWD would need a specific flow rate and modeled scenario with that flow rate. SOCWA is working with staff at SCWD and GHD to update the modeled scenarios in an amended SJCOO ROWD. SCWD will bear the costs for the updated dilution study related to the critical values of the additional flow. The updated dilution study conducted by SCWD will provide dilution factors for the brine mixing zone and the zone of initial dilution as requested by Mr. Niel.

The table below provides the current inputs of flow from each discharge location on the combined effluent of the facilities. The staff recommendation to include the Doheny Desalination Project as another input to the effluent is consistent with historical practice.

SJCOO
<ul style="list-style-type: none"><li>• JB Latham Treatment Plant: 13.0mgd</li><li>• Chiquita Water Reclamation Plant: 9.0mgd</li><li>• 3A Water Reclamation Plant: 6.0mgd</li><li>• City of San Clemente Water Reclamation Plant: 6.98mgd</li><li>• City of San Juan Ground Water Plant: 2.2mgd</li><li>• South Coast Water District Ground Water Recovery Facility: 0.6mgd</li><li>• City of San Clemente Segunda Deschecha Runoff Plant: 1.0mgd</li><li>• Lake Mission Viejo Brine: 1.0mgd</li></ul>
Total = 39.78mgd

On March 20, 2019, the Finance and Engineering Committee members were provided with a technical memo from SOCWA staff regarding the impacts to reduction of flow rates to the outfall. Staff recommended that the design capacities not be reduced due to California anti-backsliding laws. The Carollo Cost Allocation Report also provided a recommendation to allocate all costs to fixed instead of variable which would distribute the cost allocation to ownership percentages of the SJCOO and not flow rates. Due to the timing of the budget, the conversation was tabled until a more robust discussion could occur. SOCWA staff recommends that PC5 members discuss this topic at a future separate meeting occurring due to the impact that the revision of the ROWD will have on permit costs for the next five-year cycle.

#### **Advisory Committee Review**

On September 12, 2019, SOCWA staff brought the request from South Coast Water District (SCWD) to the SOCWA Engineering Committee to include the Doheny Desal Project in the Report of Waste Discharge (ROWD) for the San Juan Creek Ocean Outfall (SJCOO). SOCWA staff reviewed the water quantity and water quality considerations of inclusion of the Doheny Desal Project with the Engineering Committee. SOCWA Engineering Committee agreed to move the request for consideration to the SOCWA PC5 Members.

#### **Budget Impact**

The updated ROWD would need to be resubmitted to the SDRWQCB. Staff budgeted \$2000 in FY 19-20 for additional NPDES consulting services due to the current NPDES permit in administrative review. The current budget for line item 05-5015-02 'Management Support Services' is \$15,000 and can cover the expenses necessary to complete this task. The other budget line item that is projected to be impacted for FY 20-21 is 05-5039-02-00 due to the increased cost in the permit fee due to higher projected flows from the Doheny Desal Project. The permit fee is assessed on an annual basis occurring just after the start of the fiscal year.

#### **Recommended Action:**

Staff recommends that the PC 5 Board of Directors approve the inclusion and update of the San Juan Creek Ocean Outfall Report of Waste Discharge to include the Doheny Desal Project with the condition that updated modeling and monthly monitoring is included in the NPDES permit as described above.

# Agenda Item

## 5.D.

**Budgeted:** Yes

**Budget amount:** \$744,000

**Line Item:** PC 2, 15 and 17 - Line Items 5006 and 5009

**Legal Counsel Review:** Yes

**Meeting Date:** November 7, 2019

**TO:** November 7, 2019

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Jim Burror, Director of Operations

**SUBJECT:** Chlor Alkali Products 5.25%-12.5% Sodium Hypochlorite (Bleach) and 30%-50% Sodium Hydroxide (Caustic Soda) Contract Award

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### Summary

In August, SOCWA requested proposals to supply and deliver chlor-alkali products for use at the South Orange County Wastewater Authority (SOCWA), City of San Clemente (CSC), Moulton Niguel Water District (MNWD), Santa Margarita Water District (SMWD), Trabuco Canyon Water District (TCWD), El Toro Water District (ETWD), and Irvine Ranch Water District (IRWD) with the intent of securing a new contract.

### Discussion/Analysis

SOCWA, and the participating member agencies, use chlor-alkali products extensively in the treatment plants for disinfection of recycled water and in the odor control scrubbers. Chlor-Alkali products include 12.5% sodium hypochlorite, 30% sodium hydroxide, and 50% sodium hydroxide. The proposals were reviewed and evaluated by SOCWA staff.

SOCWA received proposals from the following companies:

- Brenntag Pacific, Inc. (Brenntag)
- JC Jones, Inc. (JC Jones)
- North Star Chemical, Inc. (a DBA of Pacific Star Chemical, LLC.) (North Star)
- Olin, Inc. (Olin)
- Univar USA, Inc. (Univar)

### *Initial Proposal Review for Minimum Requirements*

During the initial review process, SOCWA staff contacted ETWD staff to discuss their request for a 5.25% sodium hypochlorite. It was determined that ETWD had proceeded with a procurement for that type of bleach under their Water Department. Based on this information, SOCWA staff excluded 5.25% sodium hypochlorite from SOCWA's evaluation process.

The initial review of Univar and Brentag proposals were determined to be non-responsive due to the limited number of price options in the proposal. Univar only proposed on full loads of sodium hydroxide. Brentag only proposed sodium hydroxide options and not on sodium hypochlorite. The Request for Proposals instructions included a requirement for pricing of a 4,000-gallon minimum delivery of both products and other options for deliveries in smaller quantities.

#### *Initial Rating of Responsive Proposals*

During the review of the proposals, SOCWA staff determined that the best value for SOCWA, and the participating member agencies, was to pursue two (2) contracts, as follows: (1) one contract for sodium hypochlorite and (2) one contract for sodium hydroxide. This was based on the expertise of the companies proposing and the proposed pricing variations. The vendors were rated on the following:

- Compensation rate (30 points)
- Experience/qualifications (10 points)
- Product integrity (10 points)
- Reference testimony (10 Points)

The initial review of the proposals resulting in the following rankings and ratings included in Tables 1 through 4:

Table 1 - Sodium Hypochlorite Proposal Ratings

Vendor	Proposal Ratings
JC Jones	59.0
North Star	26.0
Olin	59.0

Table 2 - Sodium Hypochlorite Proposal Pricing with Estimated Contract Values

Vendor	Est. Contract Value (1)	Price per gallon - Sodium Hypochlorite 50%				
		(501-1000 gals)	(1001-2000 gals)	(2001-3000 gals)	(3001-4000 gals)	(>4500 gals)
JC Jones	\$513,570	\$2.120	\$1.310	\$0.910	\$0.770	\$0.660
North Star	\$821,323	\$1.810	\$1.530	\$1.430	\$1.200	\$1.050
Olin	\$523,169	\$1.227	\$0.997	\$0.827	\$0.727	\$0.687
Current	\$575,336	\$1.290	\$1.114	\$0.897	\$0.796	\$0.737

Note 1 – Calculated based on FY18-19 delivery qualities.

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Table 3 - Sodium Hydroxide Proposal Ratings Table

Vendor	Proposal Ratings
JC Jones	42.0
North Star	55.0
Olin	30.0

Table 4 - Sodium Hydroxide Proposal Pricing with Estimated Contract Values

Vendor	Est. Contract Value (1)	Price per gallon - Sodium Hydroxide 50%				
		(1-500 gals)	(501-1000 gals)	(1001-2000 gals)	(2001-3900 gals)	(>3901 gals) Full Load
JC Jones	\$52,490	\$4.00	\$3.40	\$2.80	\$2.35	\$2.05
North Star	\$42,809	\$3.25	\$2.70	\$2.40	\$2.30	\$1.95
Olin	\$59,843	\$4.44	\$3.75	\$3.44	\$3.26	\$3.09
Current	\$55,858	\$4.19	\$3.5	\$3.19	\$3.01	\$2.84

Note 1 – Calculated based on FY18-19 delivery qualities.

Table 4 (continued) - Sodium Hydroxide Proposal Pricing with Estimated Contract Values

Vendor	Price per gallon - Sodium Hydroxide 30%					
	(1-500 gals)	(501-700 gal)	(701-1000 gals)	(1001-2000 gals)	(2001-4000 gals)	(>4000 gals) Full Load
JC Jones	\$3.00	\$3.00	\$2.50	\$2.00	\$1.25	\$1.05
North Star	\$1.94	\$1.73	\$1.44	\$1.34	\$1.26	\$1.26
Olin	\$3.34	\$4.14	\$3.71	\$3.33	\$2.78	\$2.64
Current	\$3.09	\$3.89	\$3.46	\$3.08	\$2.53	\$2.39

#### *Last Best and Final Offer Process*

SOCWA staff contacted Olin for sodium hypochlorite. This was because Olin had the same rating as JC Jones, but a number of SOCWA's member agencies use the lower volumes of sodium hypochlorite. JC Jones' pricing would result in a large increase in chemical costs for the agencies that receive small volumes. SOCWA staff needed to better understand Olin's pricing difference between the lower and higher volumes deliveries. After the discussion, SOCWA staff offered Olin an opportunity, as part of SOCWA's Last Best Offer Process to submit an updated proposal.

SOCWA staff contacted North Star to confirm their pricing and to modify the pricing volume descriptions to better capture the proposed contract terms. For example, the category "Over 2,000 gals" was changed to "2,001 to 4000 gals." North Star accepted the proposed changes to the delivery volume descriptions.

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Sodium Hypochlorite

SOCWA staff updated the ranking and ratings with the updated final offer from Olin in Tables 5 and 6 below:

Table 5 – Final Sodium Hypochlorite Proposal Ratings

Vendor	Final Ratings
JC Jones	59.0
North Star	26.0
Olin	60.0

Table 6 – Final Sodium Hypochlorite Proposal Pricing with Estimated Contract Values

Vendor	Est. Contract Value (1)	Price per gallon - Sodium Hypochlorite 50%				
		(501-1000 gals)	(1001-2000 gals)	(2001-3000 gals)	(3001-4000 gals)	(>4500 gals)
JC Jones	\$513,570	\$2.120	\$1.310	\$0.910	\$0.770	\$0.660
North Star	\$821,323	\$1.810	\$1.530	\$1.430	\$1.200	\$1.050
Olin	\$513,494	\$1.297	\$1.067	\$0.897	\$0.797	\$0.670
Current	\$575,336	\$1.290	\$1.114	\$0.897	\$0.796	\$0.737

Note 1 – Calculated based on FY18-19 delivery qualities.

Based on the updated proposal information, SOCWA staff recommends Olin for sodium hypochlorite supply and delivery services.

Sodium Hydroxide

There were no changes in pricing, ranking, or ratings for sodium hydroxide. Based on Table 3 above, SOCWA staff recommends North Star for sodium hydroxide supply and delivery services.

**Prior Related Project Committee or Board Action(s)**

None

**Fiscal impact**

It is estimated that there will be an annual cost decrease of \$48,958, or 8.7%, for sodium hypochlorite, and an annual cost decrease of \$13,048.81, or 23.4%, for sodium hydroxide. This will be broken up between three (3) Project Committees: PC2 (JBL), PC15 (CTP), and PC-17 (RTP).

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**Recommended Action:**

- 1) Staff recommends the Board authorize the General Manager to enter into a contract with Olin, Inc. for sodium hypochlorite products for two (2) years with pricing as set forth below with up to three (3) optional annual renewals; and

Volume	\$/Gallon
(501-1000 gals)	\$1.297
(1001-2000 gals)	\$1.067
(2001-3000 gals)	\$0.897
(3001-4000 gals)	\$0.797
(>4500 gals)	\$0.670

- 2) Staff recommends the Board authorize the General Manager to enter into a contract with North Star Chemical, Inc. (a DBA of Pacific Star Chemical, LLC.) for sodium hydroxide products for two (2) years with pricing as set forth below with up to three (3) optional annual renewals:

Concentration - Volume	\$/Gallon
50% - (1-500 gals)	\$3.25
50% - (501-1000 gals)	\$2.70
50% - (1001-2000 gals)	\$2.40
50% - (2001-3900 gals)	\$2.30
50% - (>3901 gals) Full Load	\$1.95
30% - (1-500 gals)	\$1.94
30% - (501-700 gal)	\$1.73
30% - (701-1000 gals)	\$1.44
30% - (1001-2000 gals)	\$1.34
30% - (2001-4000 gals)	\$1.26
30% - (>4000 gals) Full Load	\$1.26



# Agenda Item

## 5.E.

**Budgeted:** N/A

**Budget Request:** No

**Line Items:**

**Legal Counsel Review:** Yes

**Meeting Date:** November 7, 2019

**TO:** SOCWA Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Dina Ash, Human Resources Administrator  
Brad Neufeld, Special Counsel - Labor

**SUBJECT:** Revised Employee Manual of November 7, 2019; Side Letter No. 5 to the SOCWA Employee Association Memorandum of Understanding ("MOU") for the period July 1, 2017 to June 30, 2020 and Side Letter No. 1 for the MOU for the Period July 1, 2020 to June 30, 2023

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### **Summary**

SOCWA Labor Negotiators, Betty Burnett and Brad Neufeld, have met and conferred with the SOCWA Employee Association ("SEA") representatives for discussion of updates to the SOCWA Employee Manual. SEA agreed to the changes as proposed and previously presented to the Board in closed session. In addition, the parties agreed to add provisions to the Manual to clarify the Agency's practice regarding temporary employees.

Additionally, for the purposes of consistency in the language in the current and prospective MOU documents related to items being updated in the Employee Manual, there is a recommendation to bring forward two side letters. One side letter will provide revisions to the MOU currently in place, and one side letter will revise the prospective MOU set to begin July 1, 2020. The SOCWA negotiators have met and conferred with the SEA regarding several requests for the side letters. The SEA has requested that the MOU Grievance Procedure be revised to uniformly provide for a seven (7) calendar day time interval to avoid potential confusion regarding what would be considered "five (5) working days." This change would make the MOU Grievance Procedure provisions consistent with the proposed changes in the updated Employee Manual. Having consistent timelines in both the Employee Manual and the MOU should ease administration of any grievances by Management.

### **Recommended Action:**

- 1) Staff recommends approval of the revised Employee Manual dated November 7, 2019;
- 2) Staff recommends approval of Side Letter No. 5 to the SOCWA Employee Association Memorandum of Understanding ("MOU") for the Period July 1, 2017 to June 30, 2020 and Side Letter No. 1 to the MOU for the Period July 1, 2020 to June 30, 2023.

# Agenda Item

## 5.F.

**Legal Counsel Review:** N/A

**Meeting Date:** November 7, 2019

**TO:** SOCWA Board of Directors

**FROM:** Betty Burnett, General Manager

**SUBJECT:** General Manager's Status Report

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### **Administration**

#### Report on Employee Reimbursements

Government Code Section 53065.5 requires that each special district disclose annually reimbursements paid of at least \$100 for individual charges for services or products received. Disclosable items include for example meals, transportation, lodging, transportation, and registration fees paid to board members or employees. The attached reimbursements list for FY 2018-19 meets the disclosure requirement.

### **Environmental Compliance Department Update**

#### Environmental Laboratory Accreditation Program

On October 11, 2019, the State Water Resources Control Board released a regulatory package in preparation for the release of the updated Title 22 regulations governing environmental testing in California to the Office of Administrative Law. A notice for a public hearing was issued for a hearing date on December 18, 2019 with public comments due December 20, 2019. The accreditation standard included in the regulatory package is the Nelac Institute (TNI) 2016 version. The California Quality Management (CA QMS) System will be presented as an alternative to the TNI 2016 version at the December 18, 2019 hearing. The CA QMS is the system that was chosen by the Environmental Laboratory Technical Advisory Committee (ELTAC) to be the State system. The Environmental Laboratory Accreditation Program (ELAP) management rejected the technical committee's recommendation and moved forward with the TNI system. Staff worked with industry partners to create the CA QMS to be an efficient alternative that can produce data of known quality that can be audited by ELAP. The Initial Statement of Reason that is required to accompany the release of the regulatory package indicated that agencies will need to acquire additional staff resources in order to satisfy the requirements of the new regulations. SOCWA staff is estimating the need to hire additional laboratory staff for the coming fiscal year in order to comply with the regulations. Staff is working with industry partners to petition the State Water Board to accept the CA QMS to avoid staffing increases.

#### Triennial Review

On September 24, 2019 SOCWA staff participated in the first round of interviews for the Senior Environmental Specialist position at the San Diego Regional Water Quality Control Board. Staff made a recommendation for one of the candidates. The SDRWQCB staff indicate the candidate will begin December 2, 2019. This position will support the work associated with the modification of Basin Plan Objectives important to the application of recycled water within SNWD and MNWD service areas, and these SOCWA agencies are participating in funding for this position.

### **SOCWA Research Plan Update**

SOCWA laboratory intern staff has completed the eight-week project under the SOCWA Project Three Research Plan to evaluate the concentration of naturalized bacteria within the San Juan Creek and Aliso Creek terminus to the beach. The SOCWA intern transferred between 12% and 100% of *Enterococcus* bacteria colonies each week to specialized kits to evaluate the environmental species that were present. The results indicate that between 0% to 100% of the isolates were of environmental origin with no samples exceeding the recreational water quality standards. At San Juan Creek, the average percent environmental bacteria transferred was 54% on the samples collected on the creek side of the berm. There was only one colony transferred during the eight week project on the ocean side of the berm which was human origin. For Aliso Creek, of the isolates that were transferred, 49% of bacteria were of environmental origin, with 53% of the bacteria on the ocean side of the berm of environmental bacteria. The implications of the project is that when recreational water quality standards are exceeded, those exceedances could be to natural sources of bacteria (birds, re-growth in sand, dogs, etc.) thus not posing a true risk to recreators at the beaches in the SOCWA service area. The scientific advisory group reviewed the results of the project with a recommendation to quantify all isolates as part of the current EPA 1600 Method in lieu of continued isolate speciation. Order No. R9-2009-0002 (Orange County Municipal Storm Water Permit) provides a Total Maximum Daily Load (TMDL) compliance pathway to account for exceedances due to natural sources which this project sought to provide a baseline for. SOCWA staff recommends that the SOCWA laboratory staff continue the confirmation step in lieu of the more labor intensive isolation of all colony isolates to determine the concentration of environmental bacteria at the local beaches. There are no budget impacts as the cost of the confirmation step is not labor intensive and the cost for the additional confirmation media is negligible.

### **Safety Program**

#### **Incident Command System (ICS) 300 Training**

National Incident Management System (NIMS) - Incident Command System (ICS) training is required for public employees. FEMA mandated trainings are required to be completed for consideration for reimbursement funding. The Federal Government and the State of California have mandated local government agencies including Special Districts to prepare and train to meet these challenges. Homeland Presidential Directive (HSP-D) requires adoption of NIMS by State, tribal, and local organizations as a condition for Federal preparedness awards. In October, nine SOCWA staff members attended WEROC's National Incident Management System (NIMS) Incident Command System (ICS) 300 Course. This 3-day intermediate-level training helps staff prepare for emergency operations. The course covers emergency organization structures, span of control, and individual's roles. WEROC is planning for the advanced training session (ICS-400) this coming Spring.

### **Operations & Maintenance Department**

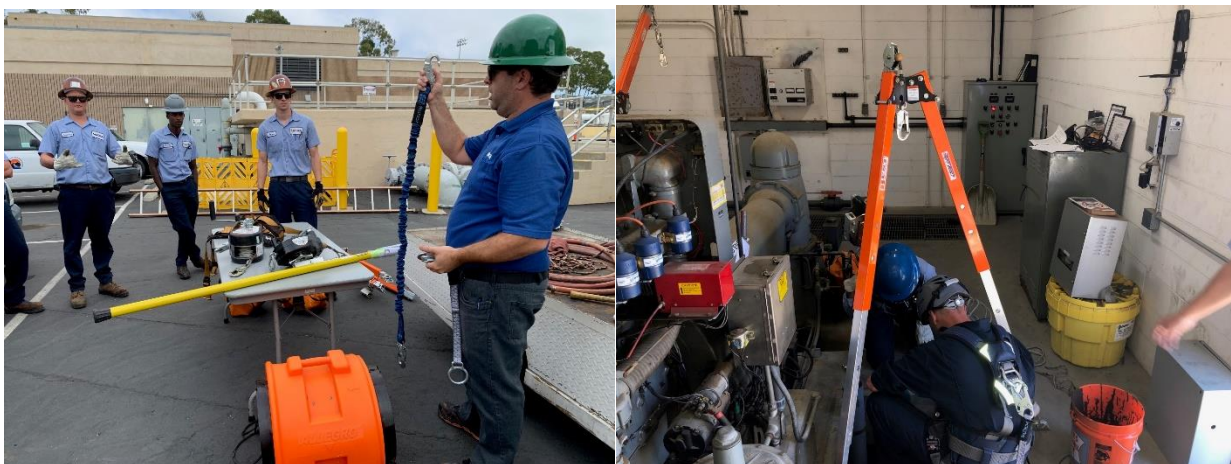
#### **RTP Wi-Fi Expansion**

O&M and IT staff have been working to expand the Wi-Fi network at RTP. The expanded system will fill in areas and buildings that the initial installation did not cover. The expansion will help with calling over cell phones and allow staff to better access equipment information throughout the RTP site. Most of the equipment was installed around the perimeter of the Plant. Here are a few pictures of the new receivers and transmitters.



#### Annual Confined Space Rescue Training Conducted

At least annually, the O&M staff practice rescuing from a confined space. Staff conduct the training by providing for all of the equipment set up needed to simulate an emergency rescue. The exercise includes monitoring the oxygen in the air and protecting rescuing employees from other potential hazards in the space. Below is pictured the rescuing employees preparing for the exercise and also the employees in their PPE over the manway where the exercise takes place.



#### Contracts and RFP Update

O&M staff is in the process of renewing several important contracts for the operations of the plants. It is anticipated that Grit/Screening Hauling and Foul Air Odor Scrubber Cleaning services will be awarded at the December 2019 Board Meeting. The Grit/Screening Hauling contract is a joint contract for the SOCWA and several member agencies. O&M staff is working with those participating agencies to review and recommend the best company for the next contract.

### JBL O&M Project Highlights

O&M staff has been working on several projects at JBL. Here are some photos of the project:  
Staff pictured below are working on a Primary Sludge Valve Replacement.



Shown below is a drier system installed by Staff on the polymer vent lines to prevent moisture from entering the tanks and creating unpumpable balls (aka fish eyes) of the polymer.



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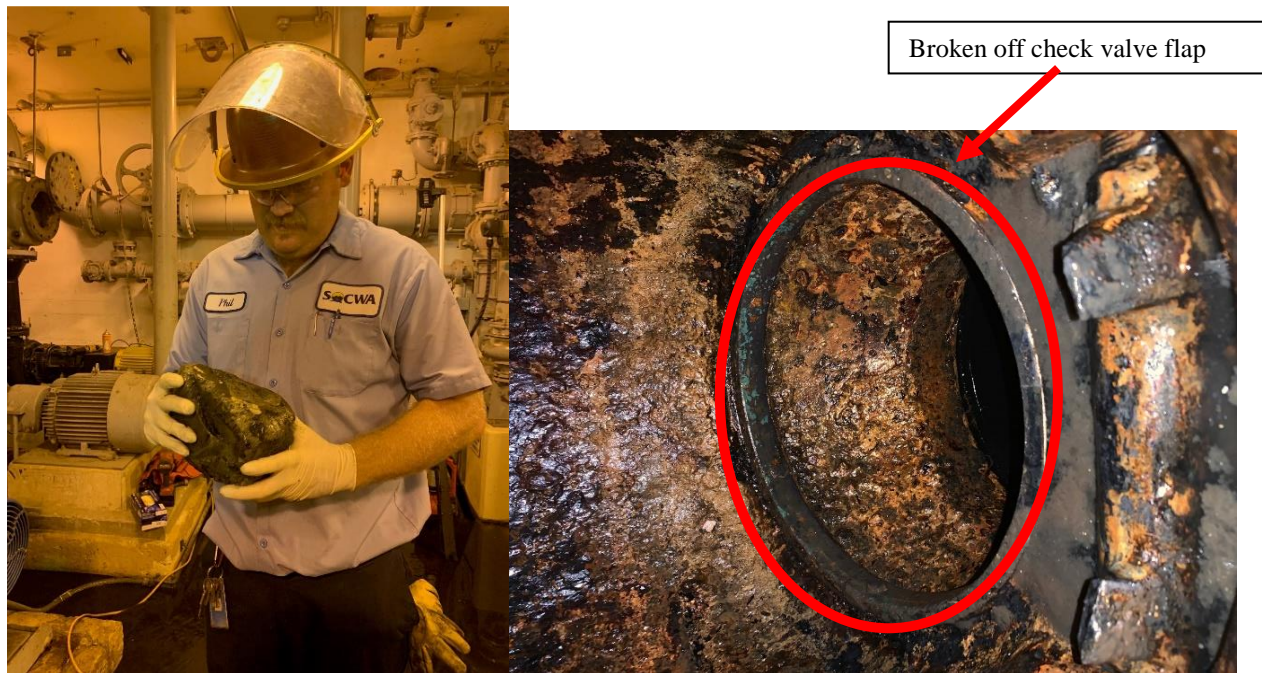
Pictured below is one of the two bleach tanks that O&M staff drained to address leaking flanged joints.



Staff are pictured below replacing a failed brake on Headworks Barscreen #1.



Pictured below, staff removed some large rocks and repaired the equipment damaged from the large rocks. The picture below is a damaged check valve.



#### RTP Carbon Media Swap - Non-Discretionary Purchase over \$50,000

SOCWA is replacing media in two (2) vessels at a time due because the carbon media has been expended. The carbon media is necessary for the RTP engine to operate on digester gas because it removes H<sub>2</sub>S and siloxane. The cost to replace two (2) vessels is \$70,660.00, plus tax and shipping. This type of budgeted operational expense is identified in the SOCWA's Uniform Purchasing Policy and Procedures (Policy) as an essential Non-Discretionary Expense. Non-Discretionary Expenses are approved by the Board with the adoption of the FY19-20 Budget. In addition, Non-Discretionary Contractual Agreements exceeding \$50,000 are subject to review by the Board of Directors.

## REIMBURSEMENT LOG FISCAL YEAR 2018-2019

Employee Name	Date	Ck #	Amount	Description
Ash, Dina				
	7/19/2018	1485	\$702.05	Gift card for retirement-Joe Zimmerman
	10/26/2018	1597	\$690.01	Lodging for CalPERS conference
	12/5/2018	5185	\$141.76	Ham for staff luncheon
Bacon, Keith				
	8/18/2018	4545	\$290.00	CWEA Membership Renewal
	9/1/2018	4749	\$789.96	Airfare to Hach WIMS conference
	8/27/2018	4749	\$750.00	Registration for Hach WIMS conference
	8/27/2018	4749	\$744.25	Lodging for Hach WIMS conference
	4/9/2019	5751	\$666.54	Lodging for CWEA conference
	5/8/2019	5751	\$610.00	Registration for CWEA conference
Burnett, Betty				
	12/2/2018	5649	\$425.00	Airfare to CSRMA Conference
	9/26/2018	5108	\$255.00	Airfare to WEFTEC
Burror, James				
	9/30/2018	4878	\$878.98	Airfare to WEFTEC
Cotinola, Jeanette				
	7/1/2018	4522	\$119.00	Pictures for JBL Admin Building
	9/26/2018	4881	\$884.87	Lodging for CSDA and Public Works seminar
	9/28/2018	4881	\$257.12	Mileage
	12/5/2018	5122	\$159.96	Airfare to CAPPO conference
	1/19/2019	5338	\$201.87	Car Rental at CAPPO conference
	1/19/2019	5338	\$1,528.24	Lodging for CAPPO conference
	4/17/2019	1756	\$139.54	Mileage
	4/17/2019	1756	\$731.07	Lodging for CWEA conference
	5/13/2019	1786	\$318.96	Airfare to CSRMA training and Union Sanitation meeting
	5/13/2019	1786	\$125.29	Car rental at CSRMA
	5/13/2019	1786	\$804.30	Lodging for CSRMA and Union Sanitation meeting
Connor, Teri				
	3/27/2019	5576	\$125.00	Grade 1 certificate
	5/13/2019	5760	\$168.55	Wastewater class
Garcia, Daethina				
	7/24/2018	4555	\$183.12	Safety shoes
	12/19/2018	5199	\$230.00	Grade 3 Exam
Gardner, Richard				
	12/13/2018	5128	\$104.36	FedEx lab samples to Dr. Jenkins
	3/27/2019	1733	\$290.00	CWEA membership
	6/28/2019	1884	\$118.51	Safety shoes
Gesiriech, Gage				
	10/5/2018	4889	\$418.00	Rental Car to Tri-State
	8/13/2018	4619	\$1,167.16	Airfare to WEFTEC
	10/4/2018	4889	\$1,136.96	Lodging for WEFTEC
	9/29/2018	4889	\$1,425.00	WEFTEC registration
	7/25/2018	4556	\$174.53	rental car to Andritz
	4/16/2019	5661	\$210.00	Grade 4 exam
Greenwood, Katie				
	2/10/2019	1701	\$625.02	Lodging for CWEA P3S conference



	5/13/2019	1807	\$236.59	Airfare for NACWA Pretreatment Workshop
	5/13/2019	1807	\$136.86	Rental car for NACWA Pretreatment Workshop
	5/13/2019	1807	\$260.00	Lodging for NACWA Pretreatment Workshop
	4/11/2019	1757	\$154.90	Lodging for CWEA conference
	6/3/2019	1834	\$174.75	Wastewater class
Harper, Mike				
	7/10/2018	4484	\$280.00	CWEA membership
	7/30/2018	4623	\$193.94	Safety shoes
	5/23/2019	5845	\$200.00	Safety glasses
Hirsch, Danita				
	11/28/2018	5133	\$585.87	Mileage
Jardin, Sean				
	9/7/2018	4800	\$153.85	Mileage
Naydn, Kim				
	1/14/2019	1661	\$381.95	Lodging CSMFO conference
Leal, Ernie				
	7/17/2018	4488	\$117.55	Wastewater system class
Lloyd, David				
	7/3/2019	1866	\$280.20	Mileage
	2/28/2019	1704	\$497.98	Mileage
Luce, Kris				
	7/30/2018	4628	\$196.07	Safety shoes
	1/29/2019	5353	\$152.10	NEC class
	2/7/2019	5435	\$100.00	Electrical license renewal
	4/18/2019	5780	\$296.19	CWEA conference
Manning, Jason				
	7/24/2018	4568	\$1,167.16	Airfare to WEFTEC
	7/24/2018	4568	\$950.00	Registration for WEFTEC
	7/24/2018	4568	\$320.00	WEF/CWEA Membership
	9/27/2018	4950	\$747.00	Lodging for WEFTEC
	1/28/2019	5354	\$853.00	CWEA conference
	1/28/2019	5354	\$1,172.86	Airfare to Utility Management conference
	1/28/2019	5354	\$925.00	WEFTEC registration
	3/12/2019	5529	\$1,339.05	Lodging for Utility conference expenses
	4/18/2019	1773	\$143.26	Mileage
	4/18/2019	1773	\$585.00	Lodging for CWEA
Matson, Mike				
	8/21/2018	4674	\$200.00	Safety shoes
Navarro, Jose				
	10/9/2018	4904	\$183.16	Safety shoes
Nuzzo, Garrett				
	8/22/2018	4721	\$242.96	Airfare for Grade V training class
	1/2/2019	5286	\$255.00	Grade V certificate
	11/14/2018	5079	\$117.55	WW Course System Operator
	11/30/2018	5144	\$365.00	Grade V exam reimbursement fee
	11/30/2018	5144	\$117.55	Small Wastewater System class
Paddock, William				
	8/21/2018	4725	\$200.00	Safety shoes
	2/22/2019	5541	\$263.00	WEF membership
	4/25/2019	5932	\$148.77	Mileage

Padilla, Derek				
	4/30/2019	5796	\$188.00	CWEA membership
Paranal, Bryan				
	6/10/2019	5933	\$188.00	CWEA membership
Peacher, Sean				
	7/31/2019	4582	\$450.00	BCSP exam
	10/22/2018	4962	\$148.24	Mileage
Peck, Brian				
	1/7/2019	5405	\$167.36	Training Manuals for O&M from WEFTECH
	1/9/2019	5405	\$353.00	WEF dues
	10/6/2018	5405	\$910.38	Airfare to WEFTECH
	9/29/2018	5405	\$725.00	WEFTEC registration
	1/25/2019	6038	\$241.00	Lodging for CWEA Board Meeting
	4/8/2019	6038	\$575.00	CWEA conference - registration
	5/25/2019	6038	\$356.96	Airfare to CWEA Board Meeting
	6/29/2019	6038	\$512.36	CWEA Board Meeting lodging
Peter, Philip				
	11/28/2018	5146	\$188.00	CWEA membership
	4/19/2019	5799	\$258.68	Mileage
Protopappas, Jason				
	7/5/2018	4443	\$745.96	Hach WIMS conference
	7/26/2018	4584	\$200.00	Safety shoes
Rachac, Adam				
	7/31/2018	4585	\$192.85	Safety shoes
	10/16/2018	4965	\$188.00	CWEA membership
	12/20/2018	5296	\$342.00	Education reimbursement
	3/6/2019	5543	\$243.60	Mileage
	6/20/2019	5993	\$340.00	Education reimbursement
Reed, David				
	8/24/2018	4728	\$102.00	CWEA certificate renewal
	2/20/2019	5486	\$188.00	CWEA membership renewal
	2/20/2019	5486	\$332.00	Airfare for training on Cogen
Rosas-Duarte, Fernando				
	12/6/2018	5149	\$119.50	Education reimbursement
Shilkov, Konstantin				
	12/26/2018	5228	\$1,500.00	Education reimbursement
	1/11/2019	1677	\$160.08	Mileage
	4/1/2019	1750	\$1,500.00	Education reimbursement
	6/25/2019	1870	\$1,500.00	Education reimbursement
Terrebonne, Kirk				
	4/18/2019	5728	\$118.72	CWEA conference
	4/18/2019	5728	\$122.96	Mileage
Vassell, Bradley				
	11/7/2018	5156	\$119.55	Education reimbursement
Vincent, Kyle				
	1/28/2019	5414	\$170.00	Education reimbursement
	6/10/2019	5964	\$188.00	CWEA membership
Wang, Katrina				
	8/15/2018	4686	\$200.00	Safety shoes

	9/19/2018	4832	\$745.96	Airfare to Hach WIMS conference
	9/19/2018	4832	\$750.00	Registration for Hach WIMS conference
	9/19/2018	4832	\$595.40	Lodging for Hack WIMS conference
Watson, Mark				
	7/25/2018	4604	\$200.00	Safety shoes
	10/25/2018	5007	\$150.00	Grade III certificate renewal
	11/28/2018	5175	\$112.00	Mileage
Watson, Laura				
	2/19/2019	5496	\$875.00	CWEA conference PS
Wheeler, Dan				
	10/5/2018	5177	\$1,167.16	Airfare to WEFTEC
	10/5/2018	5177	\$100.00	Dinner for staff at WEFTEC
	10/5/2018	5177	\$1,136.96	Lodging for WEFTEC
Young, Roni				
	11/5/2018	5037	\$165.00	OCWA luncheon and training
	1/31/2019	5418	\$328.00	WEF/CWEA membership
	3/28/2019	5638	\$152.54	Mileage
	4/12/2019	1768	\$575.00	Registration for CWEA conference
	6/28/2019	1895	\$211.70	Mileage
	6/28/2019	1895	\$150.00	OCWA luncheon and training

# Agenda Item

## 5.G.

**Legal Counsel Review:** N/A

**Meeting Date:** November 7, 2019

**TO:** Board of Directors

**FROM:** Betty Burnett, General Manager

**STAFF CONTACT:** Mary Carey, Finance Controller

**SUBJECT:** Monthly Progress on State Audit Recommendations

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Attached are staff updates for the State Audit Response Schedule.

**Recommended Action:**

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 updates occurring as scheduled.</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, <b>flow info. now in from all agencies. Manager meetings: 5/13/19, 8/27/19, 9/27/19. State progress update sent 10/23/19.</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. 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 Responsible: GM/SOCWA Counsel</p> <p>(iii) 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>

Update November 2019