

I hereby certify that the following Agenda was posted at least 24 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.



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

AGENDA

Special Meeting of The South Orange County Wastewater Authority Board of Directors

January 9, 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 BOARD SECRETARY'S OFFICE AT 949-234-5452 AT LEAST TWENTY-FOUR (24) 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 BOARD SECRETARY AT LEAST TWENTY-FOUR (24) 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 TWENTY-FOUR (24) 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

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
January 9, 2019

4. <u>CONSENT CALENDAR</u>	<u>PAGE NO</u>
A. <u>Minutes of Board of Directors Meeting (s)</u>	1
1) Board of Directors Meeting November 7, 2019	
2) Board of Directors Meeting December 12, 2019	
 ACTION The Board will be requested to approve subject Minutes.	
B. <u>Minutes of Finance Committee (s)</u>	15
1) Finance Committee Meeting Minutes September 3, 2019	
 ACTION The Board will be requested to receive and file subject Minutes.	
C. <u>Financial Reports for the Month of October 2019</u>	18
a) Summary of Disbursements for October 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 Expenses:	
➤ O&M Environmental Safety Costs Summary (Exhibit E-1)	
➤ O&M Environmental Safety Costs by PC (Exhibit E-1.2)	
➤ Residual Engineering, After Transfer to Capital (Exhibit E-2)	
➤ Administration (Exhibit E-3)	
➤ Information Technology (Exhibit E-4)	
 ACTION Staff recommends the Board of Directors to ratify the October 2019 disbursements for the period of October 1, 2019, through October 31, 2019, totaling \$2,417,679, and to receive and file the October 2019 Financial Reports as submitted.	
D. <u>Financial Reports for the Month of November 2019</u>	35
a) Summary of Disbursements for November 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)	
 ACTION Staff recommends the Board of Directors to ratify the November 2019 disbursements for the period of November 1, 2019, through November 30, 2019, totaling \$2,154,482, and to receive and file the November 2019 Financial Reports as submitted.	
E. <u>Operational Reports – November 2019</u>	40
1) Monthly Operations Report – November 2019	
2) Ocean Outfall Discharges	
3) Beach/Ocean Monitoring Report	
4) Recycled Water Report	
5) Pretreatment Report – December 2019	

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PAGE NO

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

F. Capital Improvement Program Status Report 81

ACTION The Board will be requested to receive and file report(s).

5. GENERAL MANAGER'S REPORTS

A. Resolution No. 2020-01 Approving A Revised Employee Manual..... 95

ACTION Staff recommends the Board to approve "Resolution No. 2020-01 of the Board of Directors of the South Orange County Wastewater Authority Documenting Approval of the Revised Employee Manual for all SOCWA Employees".

B. Resolution No. 2020-02 Approving A Memorandum of Understanding with the SOCWA Employee Association for the period July 1, 2020 to June 30, 2023..... 155

ACTION Staff recommends the Board approve "Resolution No. 2020-02 of the Board of Directors of the South Orange County Wastewater Authority Approving a Memorandum of Understanding with the SOCWA Employee Association for the Period July 1, 2020 to June 30, 2023".

C. Alternate Board Secretary

ACTION The Board will be requested appoint Danita Hirsh as Alternate Board Secretary.

D. General Manager's Status Report 183

ACTION Information and discussion

6. CLOSED SESSION

A. Closed Session Pursuant to Government Code Section 54957

1. Public Employee Performance Evaluation – Title: General Manager

7. OTHER MATTERS

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

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

AGENDA
South Orange County Wastewater Authority
Board of Directors Meeting
January 9, 2019

[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
FEBRUARY 6, 2020

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

DRAFT

**Board of Directors
Regular Meeting**

November 7, 2019

The Regular Meeting of the South Orange County Wastewater Authority (SOCWA) Board of Directors Meeting was held on November 7, 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 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 REBENDSOLF	City of San Clemente	Director [arrived 8:35 am]
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
ANNA SUTHERLAND	Accounts Payable
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
RICH NAGEL	Jacobs Engineering Group
TIM ROSS	JCI Jones Chemicals
MIKE GASKINS	El Toro Water District
DENNIS CAFFERTY	El Toro Water District
BILL GREEN	South Coast Water District
RICK SHINTAKU	South Coast Water District
JOE McDIVITT	South Coast Water District
GREG PENNINGTON	South Coast Water District
FERNANDO PALUDI	Trabuco Canyon Water District
DON FROELICH	Moulton Niguel Water District
TREVOR AGRELIUS	Moulton Niguel Water District
ROBB GRANTHAM	Santa Margarita Water District

1. CALL TO ORDER

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

2. PLEDGE OF ALLEGIANCE – Director Freshley

3. ORAL COMMUNICATIONS

None

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, 4E, and 4G as submitted. Agenda item 4f was pulled for further clarification.

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 Dopudja	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Aye

F. Capital Improvement Program

Mr. Manning pulled agenda item 4f to provide the Board with updated data on the Capital Improvement Program. The Board had requested a more detail description of project information pertaining to JB Latham Package B. An open discussion ensued.

At the direction of Chairperson Ferons, this was an information item; no action was taken.

5. GENERAL MANAGER'S REPORT

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

Ms. Burnett stated that Mr. Rich Nagel of Jacobs Engineering Group was present and would be providing the Board with a presentation of the work on Water Reuse. Ms. Burnett noted that before Mr. Nagel, Mr. Burror would kick-off the presentation with an overview of SOCWA's staff perspective as a wastewater treatment provider to the Member Agencies. Rich Nagel's presentation updated work ongoing at the State Board. Mr. Nagel also covered the opportunities into the future. Mr. Nagel also distributed a letter from the Los Angeles Department of Water & Power (LADWP) to the Board on "Raw Water Augmentation Review Panel Support." An open discussion ensued.

This was an information item; no action was taken.

B. Financial Edge NXT Upgrade

Ms. Burnett stated that the current version of Financial Edge (version 7) is outdated and will no longer be supported by Blackbaud, and by upgrading to FE NXT, it would provide the ability to move data to the Cloud, as well as offer better data security. Ms. Burnett said staff was seeking Board input as there were two recommended options for upgrading the Financial Edge system. Option one would be to upgrade the system to FE NXT plus one year of product support at a cost impact of \$74,000. Option two would be to upgrade to FE NXT plus the first year of product support costing \$56,293, and two additional years of product support at \$29,604 per year for a total of 3 years support following system upgrade. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Dunbar authorizing the General Manager to contract for the upgrade of FE NXT plus 3 years of service: 1st year at \$56,293, and two additional years at \$29,604 per 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 Freshley Aye
	Director Reinhart Aye
	Director Rebensdorf Aye

C. San Juan Creek Outfall NPDES Permit (PC5)

Ms. Baylor updated the Board on the Advisory Committee's discussion on incorporating the Doheny Desal Project into the Report of Waste Discharge from the San Juan Creek Ocean Outfall and NPDES Permits. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Rebensdorf of the PC5 Board approving 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.

Motion carried:	Aye 5, Nay 0, Abstained 0, Absent 0
	Director Ferons Aye
	Director Erdman Aye
	Director Miller Aye
	Director Collings Aye
	Director Rebensdorf Aye

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

Ms. Burnett stated that Mr. Burror had been working diligently on pricing alternates and had initiated a Request for Proposal (RFP) for contracting out the services to provide the specified chemicals needed for the disinfection of recycled water and in the odor control scrubbers at the treatment plants. She stated in the process of conducting the RFP, one of the vendors had raised concerns on the RFP process of award and recommendations. Ms. Burnett referred to Ms. Adriana Ochoa, SOCWA's legal counsel, for further direction on the subject.

Ms. Ochoa stated before continuing the discussion; there was a public speaker in the audience who wanted to address the Board to express his concerns on the subject.

Mr. Tim Ross of JCI Jones Chemicals stated that he was protesting the award of agenda Item 5d in specific, the 12.5% Sodium Hypochlorite. He stated JCI Chemical submitted an RFP in good faith to supply said products. Mr. Ross indicated their proposal was found to be least expensive, as noted in the bid results posted on SOCWA's website. He stated that the posting noted SOCWA contacted Olin after the proposals were received and offered them an opportunity as SOCWA's last-best offer process to submit an updated proposal. The proposal that was resubmitted by Olin reflected their total cost to be \$76 less than JCI. JCI was not provided the same opportunity and believed the process to be unfair.

Ms. Ochoa thanked Mr. Ross for his comments and acknowledged that we were also in receipt of his protest letter. She stated that Procopio had an opportunity to review his concerns in relation to the law and the RFP Policy. Ms. Ochoa noted for the purpose of public record that SOCWA was not obligated to go out to bid and that the process was prudent and responsible in terms of assuring fair and competitive pricing, and she noted that staff had been directed by the Board to bid out these types of services. Ms. Ochoa also noted that there was no statute nor law that required SOCWA to award contracts to the lowest responsible bidder. The RFP stated that although the cost is a significant factor, the selection of the successful respondent would include consideration of the entire proposal; and she noted that the contention that staff recommended awarding the contract to Olin based on the \$76 dollar difference was inaccurate. She stated that Procopio drafted the response letter to JCI Jones Chemicals addressing the concerns of the protest and that SOCWA had the right to select the proposal most advantages to SOCWA, and the right to allow individual proposers to submit better offers as done here.

Ms. Ochoa stated that before discussing the matter further, and in light of the protest letter and statements made in public session, that a point had been reached that based on existing facts and circumstances, there was a significant exposure for potential litigation against the Authority and in her opinion, further discussion in open session concerning the matter would prejudice the position of SOCWA and recommended to the Board to move the item into Closed Session to address any questions the Board members may have on the matter and so that the Board may confer with its legal counsel. The Board was permitted to move into Closed Session pursuant to Government Code Section 54956.9(a) and 54956.9(b)(2).

The Board moved to closed session on the item at the end of the meeting (see below).

ACTION TAKEN

Motion was made by Director Dunbar and seconded by Director Miller as pursuant to government code section 54956.9(a) and 54956.9(b)(2) to move into Closed Session to confer with legal counsel on the matter of JCI Jones Chemicals protest letter.

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 Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Aye

As directed by the Chairperson Ferons for the purpose of efficiency, and since a Closed Session was already scheduled, the Board was requested to hold off on convening to Closed Session and continue addressing the remainder of the agenda. He noted that agenda item 5e was also scheduled for Closed Session, and unless the Board had no other questions, the Board would vote on the item later in the meeting.

Following the closed session at the end of the meeting, the following motion and action proceeded:

The Board directed staff to reject all proposals, and to allow each vendor an opportunity to submit updated pricing. Staff was also directed to inform the vendors that SOCWA would be reevaluating their information submitted to date, with any updated pricing, for the best value to SOCWA and the member agencies.

ACTION TAKEN

Motion was made by Director Freshley and seconded by Director Miller to authorize staff to ~~negotiate with any vendor staff deemed appropriate, including seeking additional information from JCI, and reject all proposals, to allow each vendor an opportunity to update pricing, to reevaluate vendor submitted information and~~ select a vendor to supply Sodium Hypochlorite products for two (2) years with up to three (3) optional annual renewals, ~~and authorize the~~ The Board authorized 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.

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 Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Aye

- 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).

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Iseman to approve the revised Employee Manual dated November 7, 2019, and 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.

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 Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Aye

- F. General Manager's Status Report

Ms. Burnett stated that due to time constraints and unless there were any questions from the Board regarding the report that she recommended the Board receives and file the report. She noted that included was the list of employee reimbursements for Board consideration on pages 135-138. Ms. Burnett also said that she had additional packets for each member to pick up before leaving the meeting with information on items that potentially were being considered for Decembers' meeting. She finally stated that staff contacted the State Auditors Office provided an update on SOCWA progress to consider revisions to the JPA. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller to receive and file the General Manager's Status Report.

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 Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Aye

G. Monthly Progress Report on State Audit Recommendations

This was an information item; no action was taken.

Chairperson Ferons stated that the Board would be moving to Closed Session.

Ms. Ochoa stated the Closed Session is authorized pursuant to Government Code Section 54956.9(a) and 54956.9(b)(2).

The Board took a five-minute recess before convening to Closed Session at 10:03 a.m.

6. CLOSED SESSION

A Closed Session was conducted Pursuant to Government Code Section 54956.9(a) and 54956.9(b)(2) to confer with Legal Counsel regarding potential litigation.

The meeting reconvened to Open Session at 10:40 a.m.

REPORT OUT OF CLOSED SESSION

As noted above, the Board of Directors met in Closed Session to discuss the potential litigation of JCI Jones Chemicals regarding the contract award for providing 12.5% Sodium Hypochlorite as noted in Opened Session on agenda item 5d. Action taken on the item is reported above.

There were no reportable items.

7. OTHER MATTERS

None

8. ADJOURNMENT

There being no further business, Director Ferons adjourned the meeting at 10.44 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 November 7, 2019, and approved by the Board of Directors of the South Orange County Wastewater Authority.

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

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

Board of Directors

December 12, 2019

The Special Meeting of the South Orange County Wastewater Authority (SOCWA) Board of Directors Meeting was held on December 12, 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 were present:

DAN FERONS	Santa Margarita Water District	Director
DENNIS ERDMAN	South Coast Water District	Director
TONI ISEMAN	City of Laguna Beach	Director [exited 10:35 am]
RAY MILLER	City of San Juan Capistrano	Alternate Director
KATHRYN FRESHLEY	El Toro Water District	Director
MATT COLLINGS	Moulton Niguel Water District	Alternate Director
STEPHEN DOPUDJA	Trabuco Canyon Water District	Director
DOUG REINHART	Irvine Ranch Water District	Director

Absent:

MIKE DUNBAR	Emerald Bay Service District	Director
DAVE REBENS DORF	City of San Clemente	Director

Staff Present:

BETTY BURNETT	General Manager
MARY CAREY	Finance Controller
JASON MANNING	Director of Engineering
JIM BURROR	Director of Operations
AMBER BAYLOR	Director of Environmental Compliance
RONI GRANT	Associate Engineer
DAVID LLOYD	IT Administrator
KONSTANTIN SHILKOV	Senior Accountant
NADYN KIM	Accountant
ANNA SUTHERLAND	Accounts Payable
DINA ASH	HR Administrator
JEANETTE CONTINOLA	Procurement & Contracts Administrator
DAN WHEELER	Superintendent O&M
CECIL ROMERO	Maintenance Mechanic
DANITA HIRSH	Administrative Assistant

Also Present:

ADRIANA OCHOA	Director of Engineering
MIKE GASKINS	El Toro Water District
DENNIS CAFFERTY	El Toro Water District
DON FROELICH	Moulton Niguel Water District
MICHAEL PEREA	Trabuco Canyon Water District
ROBB GRANTHAM	Santa Margarita Water District
TREVOR AGRELIUS	Moulton Niguel Water District

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

None

Chairperson Ferons pulled agenda item 5A in consideration of addressing Resolution No. 2019-07 Commendation for Dan Wheeler.

5. GENERAL MANAGER’S REPORT

- a. Resolution No. 2019-07 Commendation for Dan Wheeler

ACTION TAKEN

Motion was made by Director Miller and seconded by Director Erdman to approve Resolution No. 2019-07 and authorize Chairman Dan Ferons to sign the Commendation for Mr. Wheeler on behalf of the Board of Directors of the South Orange County Wastewater Authority.

Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
Director Ferons	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Absent
Director Collings	Aye
Director Dopudja	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Absent

4. CONSENT CALENDAR

Director Erdman noted that the Finance Committee had reviewed items 4E, 4F, and 4H and had submitted to the Board of Directors as recommended. He requested pulling item 4G for discussion prior to taking action.

Director Collings pulled items 4E and 4F for further discussion.

Director Freshley pulled item 4A for language clarification.

Chairman Ferons noted the he would entertain a motion to approve the remainder of the Consent Calendar items B, C, D, H, I, J, K, L, and M.

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ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller to approve the Consent Calendar agenda items 4B, 4C, 4D, 4H, 4I, 4J, 4K, 4L, and 4M as submitted.

Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
Director Ferons	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Absent
Director Collings	Aye
Director Dopudja	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Absent

A. Minutes of the Board of Directors Meeting November 7, 2019

Director Freshley stated that regarding the Purchasing issue, in the Minutes had not clarified the direction was for staff to the vendors to resubmit the RFP for reevaluation. She stated the General Manager's Report had captured the language correctly and requested the Minutes reflect the same language.

Ms. Burnett stated the Minutes would be revised and brought back to the Board for consideration of approval at its January 2020 meeting.

E. Comprehensive Annual Financial Report (CAFR) for the Fiscal Years ended June 30, 2019 and 2018

Director Collings noted at the Finance Committee's December 10th meeting that it was recommended to remove pages 61-66 of the CAFR due to the changes in the GASB and the timeline methodology. He stated those pages showed a ten year trend of the Net Pension Liability and OPEB and because the calculations and methodology had changed during that period, the presentation was inconsistent. He noted the Finance Committee was in support of pulling the pages from the CAFR and bringing the information back next year specific to when the GASB implementations started and begin the trending period from that point. Director Collings continued stating he had requested seeing the template seeing the templated used by the Finance Controller for determining the assigned liability based on Member Agency to have a better understanding of the allocations. He noted that he was in support of approving the CAFR with the comments made. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Collings and seconded by Director Erdman to receive and file the Comprehensive Annual Financial Report (CAFR) including the independent Auditors Report for Fiscal Year ended June 30, 2019 and 2018 excluding pages 61-66.

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Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
	Director Ferons Aye
	Director Iseman Aye
	Director Erdman Aye
	Director Miller Aye
	Director Dunbar Absent
	Director Collings Aye
	Director Freshley Aye
	Director Reinhart Aye
	Director Rebensdorf Absent

F. Use Audit FY 2018-19 Budget vs. Actual including Cash Roll Forward as of June 30, 2019

Director Collings noted that prior to the next years budget, he would like to be more involved with staff in having a better understanding of how the calculations are applied in the Use Audit going forward.

ACTION TAKEN

Motion was made by Director Collings and seconded by Director Erdman to approve the FY 2018-19 Use Audit and collection from and payments to SOCWA member agencies consistent with the results of the Use Audit as presented, and to receive and file the Cash Roll Forward as of June 30, 2019.

Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
	Director Ferons Aye
	Director Iseman Aye
	Director Erdman Aye
	Director Miller Aye
	Director Dunbar Absent
	Director Collings Aye
	Director Dopudja Aye
	Director Freshley Aye
	Director Reinhart Aye
	Director Rebensdorf Absent

G. Q1 FY 2019-20 Cash Roll Forward as of September 30, 2019

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller to receive and file the Q1 Fiscal Year 2019-20 Cash Roll Forward as submitted.

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Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
Director Ferons	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Absent
Director Collings	Aye
Director Dopudja	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Absent

5. GENERAL MANAGER'S REPORT

B. Resolution No. 2019-08 Commendation for Mark Watson

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller to approve Resolution No. 2019-08 and authorize Chairman Dan Ferons to sign the Commendation for Mr. Watson on behalf of the Board of Directors of the South Orange County Wastewater Authority.

Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
Director Ferons	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Absent
Director Collings	Aye
Director Dopudja	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Absent

C. Uniform Purchasing Policy and Procedures Update

Ms. Burnett updated the Board on the discussion and comments made at the Finance Committee December 10, 2019 meeting. She stated the Finance Committee had moved to approve revisions to Appendix 1 on page 161, and revisions to Exhibit 5 on page 169. She noted the discussions surrounded determining a better definition of discretionary expenses. She also noted that Exhibit 2 would go back to the Finance Committee for further discussion at a later date, and in the interim a redistribution of spending authority across the agency was needed due to the retirement of the Superintendent of Operations & Maintenance. Ms. Burnett stated the Finance Committee was in agreement to approve the revisions made to Appendix 1 and Exhibit 5 which would be a modification to the current recommended action in the staff report. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller that the Board of Directors concurred with the Finance Committee on the modified recommendation to approve Exhibit 1, Appendix 1, and Exhibit 5 of the Uniform Purchasing Policy and Procedures.

Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
Director Ferons	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Absent
Director Collings	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Absent

D. Award of Grit and Screeings Contract

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Miller to authorize the General Manager to enter into a contract with Athens Service, Inc. for hauling Grit and Screenings for two (2) years with up to 3 annual optional renewals with the following prices in Table 1 as specified in the report.

Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
Director Ferons	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Absent
Director Collings	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Absent

E. Award of Foul Air Scrubber Maintenance Services Contract

ACTION TAKEN

Motion was made by Director Erdman and seconded by Director Iseman to authorize the General Manager to Award a contract to Integrated Municipal Systems, LLC., for scrubber maintenance services for two (2) years with up to 3 annual optional renewals as specified in the report.

Motion carried:	Aye 8, Nay 0, Abstained 0, Absent 2
Director Ferons	Aye
Director Iseman	Aye
Director Erdman	Aye
Director Miller	Aye
Director Dunbar	Absent
Director Collings	Aye
Director Freshley	Aye
Director Reinhart	Aye
Director Rebensdorf	Absent

F. IT Master Plan Update 2019

Ms. Burnett and Ms. Baylor provided the Board with an overview of the IT Strategic Plan for SOCWA noting the plan provided a baseline of the organizations hardware and software, and to determine the goals for moving forward. An open discussion ensued.

The Board provided comments on improving the IT Strategic Plan and directed staff to bring back at a later date for review and consideration.

G. General Manager's Status Report

Ms. Burnett gave a brief update to the Board of Directors on the progress of the Manager's JPA Workshop meetings. She stated that Ms. Ochoa would be discussing the major proposed changes to the JPA Agreement what was distributed to the Managers on September 19, 2019. An open discussion ensued.

Ms. Ochoa stated the next steps would be to circulate the proposed language to member agencies general counsel for feedback. The Board of Directors concurred.

Ms. Burnett stated the proposed meeting calendar for 2020 was on page 215 and noted certain calendar dates were adjusted to avoid conflicting dates with the ACWA and CASA Conferences to prevent last minute rescheduling.

H. Monthly Progress on State Audit Recommendations

Ms. Burnett also noted the State Audit Report on page 216 would no longer be included in her status report to the Board as all the final reportings had been submitted to the State.

The Board took a five-minute recess before convening to Closed Session at 10:48 a.m.

6. CLOSED SESSION

A Closed Session was conducted Pursuant to Government Code Section 54957.

- Public Employee Performance Evaluation
 - Title: General Manger

The meeting reconvened to Open Session at 11:05 a.m.

REPORT OUT OF CLOSED SESSION

There were no reportable actions.

7. OTHER MATTERS

None

8. ADJOURNMENT

There being no further business, Director Ferons adjourned the meeting at 11:05 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 December 12, 2019, and approved by the Board of Directors of the South Orange County Wastewater Authority.

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

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

Finance Committee

September 3, 2019

The Regular Meeting of the South Orange County Wastewater Authority (SOCWA) Finance Committee Meeting was held on September 3, 2019, at 10:30 a.m. at their Administrative Offices located at 34156 Del Obispo Street, Dana Point, California. The following members of the Finance Committee were present:

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

Absent:

TONI ISEMAN	City of Laguna Beach
BETTY BURNETT	General Manager

Staff Present:

MARY CAREY	Finance Controller
JASON MANNING	Director of Engineering
JIM BURROR	Director of Operations
AMBER BAYLOR	Director of Environmental Compliance
DINA ASH	Human Resource Administrator
KONSTANTIN SHILKOV	Senior Accountant
NADYN KIM	Accountant
ANNA SUTHERLAND	Accounts Payable
DANITA HIRSH	Administrative Assistant

Also Present:

TRACIE STENDER	Procopio Law Firm
NEELY SHAHBAKTI	El Toro Water District
TREVOR AGRELIUS	Moulton Niguel Water District
GAVIN CURRAN	City of Laguna Beach

1. Call Meeting to Order

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

2. Pledge of Allegiance – Director Collings

3. Public Comments – None

4. Approval of Minutes

- Finance Committee Meeting Minutes of April 9, 2019; and
- Finance Committee Meeting Minutes of August 20, 2019

ACTION TAKEN

Motion was made by Director Miller and seconded by Director Grantham to approve Finance Committee Minutes for April 9, 2019; and August 20, 2019 as submitted.

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

5. SOCWA 457b Plan Improvements

Ms. Burnett updated the Finance Committee on the progress status of updating SOCWA's existing 457b plan. An open discussion ensued.

ACTION TAKEN

Motion was made by Director Grantham and seconded by Director Miller to recommend the Board of Directors approve the SOCWA 457b 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.

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

6. Annual Financial Statements Audit FY2018-19 - Progress

Ms. Carey gave an update to the Finance Committee on the progress status of the Annual Financial Statements Audit for FY2018-19.

ACTION TAKEN

Motion was made by Director Miller and seconded by Director Erdman to recommend the Board of Directors receive and file the report.

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

7. Adjournment

There being no further business, Chairperson Erdman adjourned the meeting at 10:58 a.m.

I HEREBY CERTIFY that the foregoing Minutes are a true and accurate copy of the Minutes of the Special Meeting of the South Orange County Wastewater Authority Finance Committee of September 3, 2019, and approved by the Finance Committee and received and filed by the Board of Directors of the South Orange County Wastewater Authority.

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

Agenda Item

4c

Board of Directors Meeting

Meeting Date: January 9, 2020

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

Summary/Discussion

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

- a) Summary of Disbursements for October 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 Expenses:
 - O&M Environmental Safety Costs Summary (Exhibit E-1)
 - O&M Environmental Safety Costs by PC (Exhibit E-1.2)
 - Residual Engineering, After Transfer to Capital (Exhibit E-2)
 - Administration (Exhibit E-3)
 - Information Technology (Exhibit E-4)

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 October 2019.

Fiscal impact

October 2019 cash disbursements were: \$2,417,679.

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

Recommended Action:

Staff recommend the Board of Directors to ratify the October 2019 disbursements for the period of October 1, 2019, through October 31, 2019, totaling \$2,417,679, and to receive and file the October 2019 Financial Reports as submitted.

Exhibit A

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

	<u>Actual</u>
General Fund	(479,790)
PC 2 - Jay B. Latham Plant	(973,575)
PC 3 - SOCWA Plant/PCA AWT	-
PC 5 - San Juan Creek Ocean Outfall	(12,634)
PC 8 - Pretreatment Program	(6,566)
PC 12 SO - Water Reclamation Permits	(29,834)
PC 15 - Coastal Treatment Plant/AWT	(286,010)
PC 17 - Joint Regional Wastewater Reclamation	(597,072)
PC 21 - Effluent Transmission Main	(20,138)
PC 24 - Aliso Creek Ocean Outfall	(12,060)
Total	<u><u>(\$2,417,679)</u></u>

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

CASH IN BANK: (BEGINNING BAL.)	711,184
L.A.I.F. FUNDS: (BEGINNING BAL.)	24,247,905
DEPOSITS, TRANSFERS & ADJUSTMENTS:	4,339,259
FUND REQUIREMENTS:	
BILLS FOR CONSIDERATION	<u>(2,417,679)</u>
	<u>\$ 26,880,668</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)
11/25/19	2.08	2.15	212
11/26/19	2.08	2.15	211
11/27/19	2.07	2.15	220
11/28/19	2.07	2.15	220
11/29/19	2.07	2.15	220
11/30/19	2.07	2.15	218
12/01/19	2.07	2.15	217
12/02/19	2.07	2.15	219
12/03/19	2.07	2.14	218
12/04/19	2.07	2.14	218
12/05/19	2.06	2.14	219
12/06/19	2.06	2.14	221
12/07/19	2.06	2.14	221
12/08/19	2.06	2.14	221
12/09/19	2.06	2.14	223
12/10/19	2.06	2.14	224
12/11/19	2.05	2.13	225
12/12/19	2.05	2.13	228
12/13/19	2.04	2.13	227
12/14/19	2.04	2.13	227
12/15/19	2.04	2.13	227
12/16/19	2.04	2.13	226
12/17/19	2.04	2.13	226
12/18/19	2.04	2.13	227
12/19/19	2.04	2.13	226
12/20/19	2.03	2.12	224
12/21/19	2.03	2.12	224
12/22/19	2.03	2.12	224
12/23/19	2.03	2.12	222
12/24/19	2.03	2.12	225
12/25/19	2.03	2.12	225

*Daily yield does not reflect capital gains or losses

[View Prior Month Daily Rates](#)

LAIF Performance Report

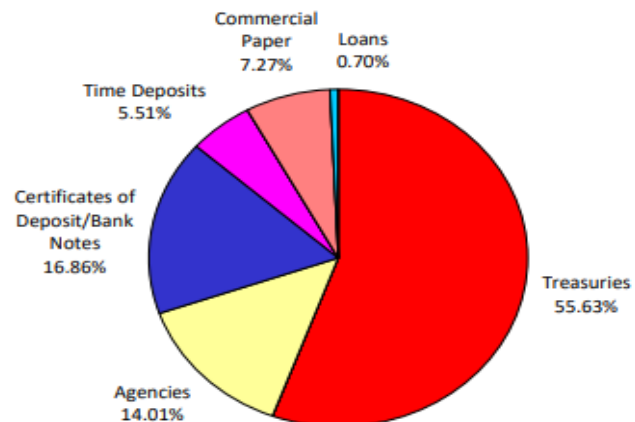
Quarter Ending 09/30/19

Apportionment Rate: 2.45
 Earnings Ratio: .00006701807521016
 Fair Value Factor: 1.001642817
 Daily: 2.25%
 Quarter to Date: 2.34%
 Average Life: 185

PMIA Average Monthly Effective Yields

Nov 2019 2.103
 Oct 2019 2.190
 Sep 2019 2.280

Pooled Money Investment Account Portfolio Composition 11/30/19 \$86.9 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) and interest earned on the Wildfire Fund loan pursuant to Public Utility Code 3288 (a).
 Based on data available as of 12/25/2019

Exhibit C

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

MVA	\$ 2,387,855	(A)
A/P Checking	1,380,599	(B)
Payroll Checking	82,325	(C)
State LAIF	23,029,889	(D)
Total Cash in Bank	\$ 26,880,668	
Petty Cash	1,600	(E)
Total Operating Cash	\$ 26,882,268	
OPEB Trust	5,225,869	(F)
Total Cash and Investments	\$ 32,108,137	

Notes:

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

South Orange County Wastewater Authority
O & M & Environmental Safety Costs Summary
For the Period Ended October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	% Expended
Salary and Fringe							
5000--**	Regular Salaries-O&M	4,620,132	10,289	4,630,421	1,474,143	3,156,279	31.8%
5001--**	Overtime Salaries-O&M	109,504		109,504	23,403	86,101	21.4% (1)
5306--**	Scheduled Holiday Work	28,692		28,692	5,802	22,890	20.2%
5315--**	Comp Time - O&M	7,796		7,796	4,314	3,482	55.3% (1)
5401--**	Fringe Benefits IN to PC's & Depts.	3,323,840		3,323,840	1,057,428	2,266,412	31.8%
5700--**	Standby Pay	67,600		67,600	22,508	45,092	33.3%
	Total Payroll Costs	8,157,564	10,289	8,167,853	2,587,599	5,580,255	31.7%
Other Expenses							
5002--**	Electricity	1,022,564		1,022,564	438,308	584,256	42.9% (2)
5003--**	Natural Gas	266,504		266,504	72,175	194,329	27.1%
5004--**	Potable & Reclaimed Water	84,992		84,992	20,989	64,003	24.7%
5005--**	Co-generation Power Credit	(325,004)		(325,004)	(222,895)	(102,109)	68.6%
5006--**	Chlorine/Sodium Hypochlorite	506,000		506,000	220,531	285,469	43.6% (3)
5007--**	Polymer Products	805,004		805,004	226,026	578,978	28.1%
5008--**	Ferric Chloride	304,992		304,992	160,330	144,662	52.6%
5009--**	Odor Control Chemicals	130,000		130,000	37,302	92,698	28.7%
5010--**	Other Chemicals - Misc.	2,996		2,996	-	2,996	0.0%
5011--**	Laboratory Services	44,412		44,412	8,856	35,556	19.9%
5012--**	Grit Hauling	128,252		128,252	44,487	83,765	34.7%
5013--**	Landscaping	159,996		159,996	50,768	109,228	31.7%
5014--**	Engineering - Misc.	1,000		1,000	24,790	(23,790)	2479.0% (5)
5015--**	Management Support Services	360,212		360,212	84,742	275,470	23.5%
5016--**	Audit - Environmental	600		600	-	600	0.0%
5017--**	Legal Fees	28,352		28,352	8,536	19,816	30.1%
5018--**	Public Notices/ Public Relations	5,004		5,004	100	4,904	2.0%
5019--**	Contract Services Misc.	199,996		199,996	113,657	86,339	56.8% (4)
5021--**	Small Vehicle Expense	24,064		24,064	9,349	14,715	38.9%
5022--**	Miscellaneous Expense	18,004		18,004	11,641	6,363	64.7%
5023--**	Office Supplies - All	43,004		43,004	12,083	30,921	28.1%
5024--**	Petroleum Products	49,004		49,004	10,776	38,228	22.0%
5025--**	Uniforms	54,004		54,004	18,858	35,146	34.9%
5026--**	Small Vehicle Fuel	31,500		31,500	5,919	25,581	18.8%
5027--**	Insurance - Property/Liability	210,096		210,096	76,703	133,393	36.5%
5028--**	Small Tools & Supplies	74,872		74,872	30,840	44,032	41.2%
5030--**	Trash Disposal	6,992		6,992	1,259	5,733	18.0%
5031--**	Safety Program & Supplies	117,356		117,356	64,166	53,190	54.7% (6)
5032--**	Equipment Rental	7,004		7,004	-	7,004	0.0%
5033--**	Recruitment	3,004		3,004	769	2,235	25.6%
5034--**	Travel Expense/Tech. Conferences	61,932		61,932	32,558	29,374	52.6% (7)
5035--**	Training Expense	55,168		55,168	5,603	49,566	10.2%
5036--**	Laboratory Supplies	93,256		93,256	28,669	64,587	30.7%
5037--**	Office Equipment	25,000		25,000	2,871	22,129	11.5%
5038--**	Permits	500,128		500,128	26,547	473,581	5.3%
5039--**	Membership Dues/Fees	22,892		22,892	17,833	5,059	77.9% (8)
5044--**	Offshore Monitoring	36,000		36,000	23,375	12,625	64.9% (9)
5046--**	Effluent Chemistry	28,004		28,004	18,421	9,583	65.8%
5047--**	Access Road Expenses	49,000		49,000	20,806	28,194	42.5%
5048--**	Storm Damage	20,008		20,008	549	19,459	2.7%
5049--**	Biosolids Disposal	1,355,004		1,355,004	482,089	872,915	35.6%
5050--**	Contract Services Generators - 29A	22,008		22,008	-	22,008	0.0%
5052--**	Janitorial Services	102,008		102,008	25,569	76,440	25.1%
5053--**	Contract Serv - Digester Cleaning - 29E	59,996		59,996	-	59,996	0.0%
5054--**	Diesel Truck Maint	41,000		41,000	14,335	26,665	35.0%
5055--**	Diesel Truck Fuel - 37B	14,996		14,996	2,951	12,045	19.7%
5056--**	Maintenance Equip. & Facilities (Solids)	356,004		356,004	110,106	245,898	30.9%
5057--**	Maintenance Equip. & Facilities (Liquids)	663,000		663,000	171,058	491,942	25.8%
5058--**	Maintenance Equip. & Facilities (Common)	87,008		87,008	35,104	51,904	40.3% (10)
5059--**	Maintenance Equip. & Facilities (Co-Gen)	957,996		957,996	230,059	727,937	24.0%
5060--**	Maintenance Equip. & Facilities (AWT)	74,000		74,000	15,935	58,065	21.5%
5061--**	Mileage	2,508		2,508	789	1,719	31.5%
5068--**	MNWD Potable Water Supplies & Svcs.	24,972		24,972	4,002	20,970	16.0%
5069--**	Outfall Inspection/Port Cleaning	60,004		60,004	-	60,004	0.0%
5076--**	SCADA Infrastructure	20,992		20,992	698	20,294	3.3%
5077--**	IT Direct	16,080		16,080	13,793	2,287	85.8% (11)
5101--**	Employee Recognition	-		-	93	(93)	0.0%
5105--**	Co-Generation Power Credit - Offset	325,000		325,000	222,895	102,105	68.6%
5303--**	Group Insurance Waiver	14,396		14,396	4,795	9,601	33.3%
5305--**	Medicare Tax Payments for Employees	2,784		2,784	1,398	1,386	50.2%
5309--**	Operating Leases	21,800		21,800	7,575	14,225	34.7%
5705--**	Monthly Car Allowance	28,184		28,184	9,538	18,646	33.8%
5706--**	Effluent Pond Cleaning	90,000		90,000	-	90,000	0.0%
6500--**	IT Allocations in to PC's & Depts.	592,694		592,694	210,101	382,593	35.4%
	Total Other Expenses	10,188,598	-	10,188,598	3,271,179	6,917,419	32.1%
	Total O&M Expenses	18,346,162	10,289	18,356,451	5,858,778	12,497,674	31.9%

* Change related to additional salary

South Orange County Wastewater Authority
O & M & Environmental Safety Costs Summary
For the Period Ended October 31, 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 24% as of October 31st.
- (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) Costs are related to security for doors and gates.
- (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 October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
02 - Jay B. Latham Plant							
Salary and Fringe							
02-5000-**-***	Regular Salaries-O&M	1,539,152	5,045	1,544,197	521,021	1,023,176	33.7%
02-5001-**-***	Overtime Salaries-O&M	35,144		35,144	7,903	27,241	22.5% (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	2,972	536	84.7% (1)
02-5401-**-***	Fringe Benefits IN to PC's & Depts.	1,107,296		1,107,296	374,522	732,774	33.8%
02-5700-**-***	Standby Pay	13,520		13,520	9,202	4,318	68.1% (2)
	Total Payroll Costs	2,711,944	5,045	2,716,989	918,177	1,798,812	33.8%
Other Expenses							
02-5002-**-***	Electricity	399,688		399,688	174,169	225,519	43.6% (3)
02-5003-**-***	Natural Gas	168,004		168,004	37,258	130,746	22.2%
02-5004-**-***	Potable & Reclaimed Water	24,000		24,000	6,687	17,313	27.9%
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	47,498	56,238	45.8% (5)
02-5009-**-***	Odor Control Chemicals	28,988		28,988	6,084	22,904	21.0%
02-5010-**-***	Other Chemicals - Misc.	1,000		1,000	-	1,000	0.0%
02-5011-**-***	Laboratory Services	10,916		10,916	548	10,368	5.0%
02-5012-**-***	Grit Hauling	51,252		51,252	16,154	35,098	31.5%
02-5013-**-***	Landscaping	41,780		41,780	24,527	17,253	58.7% (6)
02-5014-**-***	Engineering - Misc.	-		-	11,668	(11,668)	0.0% (7)
02-5015-**-***	Management Support Services	33,004		33,004	6,773	26,231	20.5%
02-5017-**-***	Legal Fees	3,328		3,328	206	3,122	6.2%
02-5019-**-***	Contract Services Misc.	60,240		60,240	29,533	30,707	49.0%
02-5021-**-***	Small Vehicle Expense	10,004		10,004	2,232	7,772	22.3%
02-5022-**-***	Miscellaneous Expense	8,000		8,000	6,447	1,553	80.6%
02-5023-**-***	Office Supplies - All	28,000		28,000	6,675	21,325	23.8%
02-5024-**-***	Petroleum Products	14,124		14,124	3,423	10,701	24.2%
02-5025-**-***	Uniforms	20,000		20,000	8,212	11,788	41.1% (8)
02-5026-**-***	Small Vehicle Fuel	15,004		15,004	3,190	11,814	21.3%
02-5027-**-***	Insurance - Property/Liability	68,556		68,556	25,935	42,621	37.8%
02-5028-**-***	Small Tools & Supplies	35,496		35,496	8,360	27,136	23.6%
02-5030-**-***	Trash Disposal	2,000		2,000	470	1,530	23.5%
02-5031-**-***	Safety Program & Supplies	39,652		39,652	19,710	19,942	49.7% (9)
02-5032-**-***	Equipment Rental	3,000		3,000	-	3,000	0.0%
02-5033-**-***	Recruitment	1,000		1,000	275	725	27.5%
02-5034-**-***	Travel Expense/Tech. Conferences	15,964		15,964	9,323	6,641	58.4% (10)
02-5035-**-***	Training Expense	13,168		13,168	2,803	10,365	21.3%
02-5036-**-***	Laboratory Supplies	14,520		14,520	4,667	9,853	32.1%
02-5037-**-***	Office Equipment	13,000		13,000	738	12,262	5.7%
02-5038-**-***	Permits	22,500		22,500	17,626	4,874	78.3%
02-5039-**-***	Membership Dues/Fees	4,200		4,200	7,243	(3,043)	172.5% (11)
02-5049-**-***	Biosolids Disposal	450,000		450,000	155,314	294,686	34.5%
02-5050-**-***	Contract Services Generators - 29A	10,004		10,004	-	10,004	0.0%
02-5052-**-***	Janitorial Services	41,000		41,000	12,457	28,543	30.4%
02-5053-**-***	Contract Serv - Digester Cleaning - 29E	59,996		59,996	-	59,996	0.0%
02-5054-**-***	Diesel Truck Maint	21,000		21,000	6,391	14,609	30.4%
02-5055-**-***	Diesel Truck Fuel - 37B	6,000		6,000	1,365	4,635	22.8%
02-5056-**-***	Maintenance Equip. & Facilities (Solids)	155,004		155,004	48,794	106,210	31.5%
02-5057-**-***	Maintenance Equip. & Facilities (Liquids)	254,000		254,000	55,644	198,356	21.9%
02-5058-**-***	Maintenance Equip. & Facilities (Common)	28,000		28,000	16,967	11,033	60.6%
02-5059-**-***	Maintenance Equip. & Facilities (Co-Gen)	369,996		369,996	106,249	263,747	28.7%
02-5061-**-***	Mileage	1,504		1,504	242	1,262	16.1%
02-5076-**-***	SCADA Infrastructure	6,996		6,996	698	6,298	10.0%
02-5077-**-***	IT Direct	8,040		8,040	6,634	1,406	82.5% (12)
02-5303-**-***	Group Insurance Waiver	3,600		3,600	1,199	2,401	33.3%
02-5305-**-***	Medicare Tax Payments for Employees	1,116		1,116	799	317	71.6%
02-5309-**-***	Operating Leases	21,800		21,800	7,575	14,225	34.7%
02-5705-**-***	Monthly Car Allowance	12,592		12,592	5,342	7,250	42.4%
02-6500-**-***	IT Allocations in to PC's & Depts.	197,448		197,448	69,992	127,456	35.4%
	Total Other Expenses	3,229,220	-	3,229,220	1,052,629	2,176,591	32.6%
	Total Expenses	5,941,164	5,045	5,946,209	1,970,806	3,975,403	33.1%

South Orange County Wastewater Authority
O&M Budget vs. Actual Comparison by PC
For the Period Ended October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
05 - San Juan Creek Ocean Outfall							
Salary and Fringe							
05-5000-**-***	Regular Salaries-O&M	102,104		102,104	32,705	69,399	32.0%
05-5001-**-***	Overtime Salaries-O&M	900		900	-	900	0.0%
05-5401-**-***	Fringe Benefits IN to PC's & Depts.	73,456		73,456	23,509	49,947	32.0%
	Total Payroll Costs	176,460	-	176,460	56,214	120,246	31.9%
Other Expenses							
05-5003-**-***	Natural Gas	500		500	-	500	0.0%
05-5014-02-00-00	Engineering - Misc.	-		-	2,794	(2,794)	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	550	2,462	18.3%
05-5027-**-***	Insurance - Property/Liability	6,248		6,248	2,216	4,032	35.5%
05-5031-**-***	Safety Supplies	1,004		1,004	-	1,004	0.0%
05-5034-**-***	Travel Expense/Tech. Conferences	3,712		3,712	1,277	2,435	34.4%
05-5035-**-***	Training Expense	5,988		5,988	110	5,878	1.8%
05-5036-**-***	Laboratory Supplies	19,468		19,468	5,522	13,946	28.4%
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	11,688	6,312	64.9% (13)
05-5046-**-***	Effluent Chemistry	14,000		14,000	9,053	4,947	64.7% (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	4,643	8,457	35.4%
	Total Other Expenses	332,536	-	332,536	39,459	293,077	11.9%
	Total Expenses	508,996	-	508,996	95,673	413,323	18.8%
08 - Pre Treatment							
Salary and Fringe							
08-5000-**-***	Regular Salaries-O&M	92,352		92,352	27,911	64,441	30.2%
08-5315-**-***	Comp Time - Environment	-		-	363	(363)	0.0%
08-5401-**-***	Fringe Benefits IN to PC's & Depts.	66,436		66,436	20,063	46,373	30.2%
	Total Payroll Costs	158,788	-	158,788	48,337	110,451	30.4%
Other Expenses							
08-5011-**-***	Laboratory Services	2,996		2,996	1,420	1,576	47.4% (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	24	1,032	2.3%
08-5022-**-***	Miscellaneous Expense	2,004		2,004	-	2,004	0.0%
08-5026-**-***	Small Vehicle Fuel - 37A	1,500		1,500	190	1,310	12.6%
08-5027-**-***	Insurance - Property/Liability	2,160		2,160	787	1,373	36.4%
08-5028-**-***	Small Tools & Supplies	3,876		3,876	1,179	2,697	30.4%
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	235	1,329	15.0%
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	4,199	7,641	35.5%
	Total Other Expenses	52,484	-	52,484	8,740	43,744	16.7%
	Total Expenses	211,272	-	211,272	57,077	154,195	27.0%
12 - Water Reclamation Permits							
Salary and Fringe							
12-5000-**-***	Regular Salaries-O&M	35,084		35,084	32,221	2,863	91.8% (16)
12-5401-**-***	Fringe Benefits IN to PC's & Depts.	25,248		25,248	23,161	2,087	91.7% (16)
	Total Payroll Costs	60,332	-	60,332	55,382	4,950	91.8%
Other Expenses							
12-5015-**-***	Management Support Services	270,000		270,000	65,922	204,078	24.4%
12-5017-**-***	Legal Fees	2,004		2,004	-	2,004	0.0%
12-5027-**-***	Insurance - Property/Liability	2,364		2,364	945	1,419	40.0%
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	1,596	2,912	35.4%
	Total Other Expenses	301,156	-	301,156	69,346	231,810	23.0%
	Total Expenses	361,488	-	361,488	124,728	236,760	34.5%

South Orange County Wastewater Authority
O&M Budget vs. Actual Comparison by PC
For the Period Ended October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
15 - Coastal Treatment Plant							
Salary and Fringe							
15-5000-**-***	Regular Salaries-O&M	954,416	1,115	955,531	273,710	681,821	28.6%
15-5001-**-***	Overtime Salaries-O&M	18,928		18,928	7,582	11,346	40.1%
15-5306-**-***	Scheduled Holiday Work	2,596		2,596	547	2,049	21.1%
15-5315-**-***	Comp Time - O&M	4,288		4,288	780	3,508	18.2%
15-5401-**-***	Fringe Benefits IN to PC's & Depts.	686,636		686,636	196,749	489,887	28.7%
15-5700-**-***	Standby Pay	27,040		27,040	3,320	23,720	12.3%
	Total Payroll Costs	1,693,904	1,115	1,695,019	482,688	1,212,331	28.5%
Other Expenses							
15-5002-**-***	Electricity	270,960		270,960	89,280	181,680	32.9%
15-5003-**-***	Natural Gas	3,000		3,000	79	2,921	2.6%
15-5004-**-***	Potable & Reclaimed Water	30,996		30,996	7,416	23,580	23.9%
15-5006-**-***	Chlorine/Sodium Hypochlorite	99,000		99,000	41,690	57,310	42.1%
15-5007-**-***	Polymer Products	1,004		1,004	-	1,004	0.0%
15-5008-**-***	Ferric Chloride	28,368		28,368	18,859	9,509	66.5% (17)
15-5009-**-***	Odor Control Chemicals	56,216		56,216	14,827	41,389	26.4%
15-5011-**-***	Laboratory Services	14,000		14,000	3,209	10,791	22.9%
15-5012-**-***	Grit Hauling	30,000		30,000	8,503	21,497	28.3%
15-5013-**-***	Landscaping	50,548		50,548	9,572	40,976	18.9%
15-5014-**-***	Engineering - Misc.	1,000		1,000	4,561	(3,561)	456.1% (18)
15-5015-**-***	Management Support Services	4,500		4,500	2,134	2,366	47.4%
15-5017-**-***	Legal Fees	15,000		15,000	788	14,212	5.3%
15-5019-**-***	Contract Services Misc.	59,036		59,036	42,258	16,778	71.6%
15-5021-**-***	Small Vehicle Expense - 31A	6,004		6,004	148	5,856	2.5%
15-5022-**-***	Miscellaneous Expense	2,996		2,996	1,254	1,742	41.9%
15-5023-**-***	Office Supplies - All	4,004		4,004	2,141	1,863	53.5%
15-5024-**-***	Petroleum Products	1,660		1,660	-	1,660	0.0%
15-5025-**-***	Uniforms	9,000		9,000	2,396	6,604	26.6%
15-5026-**-***	Small Vehicle Fuel - 37A	5,000		5,000	289	4,711	5.8%
15-5027-**-***	Insurance - Property/Liability	35,372		35,372	12,702	22,670	35.9%
15-5028-**-***	Small Tools & Supplies	9,524		9,524	7,437	2,087	78.1% (19)
15-5030-**-***	Trash Disposal	2,996		2,996	597	2,399	19.9%
15-5031-**-***	Safety Program & Supplies	36,048		36,048	12,494	23,554	34.7% (9)
15-5032-**-***	Equipment Rental	1,000		1,000	-	1,000	0.0%
15-5033-**-***	Recruitment	1,000		1,000	247	753	24.7%
15-5034-**-***	Travel Expense/Tech. Conferences	15,968		15,968	5,352	10,616	33.5%
15-5035-**-***	Training Expense	13,268		13,268	2,220	11,048	16.7%
15-5036-**-***	Laboratory Supplies	16,500		16,500	6,624	9,876	40.1%
15-5037-**-***	Office Equipment	2,000		2,000	682	1,318	34.1%
15-5038-**-***	Permits	23,236		23,236	2,038	21,198	8.8%
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	20,806	28,194	42.5%
15-5048-**-***	Storm Damage	20,008		20,008	549	19,459	2.7%
15-5050-**-***	Contract Services Generators - 29A	4,004		4,004	-	4,004	0.0%
15-5052-**-***	Janitorial Services	20,008		20,008	3,732	16,276	18.7%
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	35,750	143,250	20.0%
15-5058-**-***	Maintenance Equip. & Facilities (Common)	22,000		22,000	3,551	18,449	16.1%
15-5060-**-***	Maintenance Equip. & Facilities (AWT) 41-E	37,000		37,000	5,982	31,018	16.2%
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	-		-	3,579	(3,579)	0.0% (20)
15-5303-**-***	Group Insurance Waiver	3,604		3,604	1,199	2,405	33.3%
15-5305-**-***	Medicare Tax Payments for Employees	1,668		1,668	599	1,069	35.9%
15-5705-**-***	Monthly Car Allowance	4,200		4,200	1,398	2,802	33.3%
15-6500-**-***	IT Allocations in to PC's & Depts.	122,436		122,436	43,402	79,034	35.4%
	Total Other Expenses	1,323,488	-	1,323,488	425,575	897,913	32.2%
	Total Expenses	3,017,392	1,115	3,018,507	908,264	2,110,244	30.1%

South Orange County Wastewater Authority
O&M Budget vs. Actual Comparison by PC
For the Period Ended October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
17 - Joint Regional Wastewater Reclamation and Sludge Handling							
Salary and Fringe							
17-5000-**-***	Regular Salaries-O&M	1,797,416	4,129	1,801,545	553,263	1,248,282	30.7%
17-5001-**-***	Overtime Salaries-O&M	54,072		54,072	7,843	46,229	14.5%
17-5306-**-***	Scheduled Holiday Work	12,772		12,772	2,699	10,073	21.1%
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	395,478	897,642	30.6%
17-5700-**-***	Standby Pay	27,040		27,040	9,987	17,053	36.9%
	Total Payroll Costs	3,184,420	4,129	3,188,549	969,435	2,219,114	30.4%
Other Expenses							
17-5002-**-***	Electricity	351,916		351,916	174,860	177,056	49.7% (21)
17-5003-**-***	Natural Gas	95,000		95,000	34,839	60,161	36.7%
17-5004-**-***	Potable & Reclaimed Water	29,996		29,996	6,886	23,110	23.0%
17-5005-**-***	Co-generation Power Credit	(325,004)		(325,004)	(222,895)	(102,109)	68.6%
17-5006-**-***	Chlorine/Sodium Hypochlorite	402,000		402,000	175,896	226,104	43.8% (22)
17-5007-**-***	Polymer Products	482,000		482,000	160,438	321,562	33.3%
17-5008-**-***	Ferric Chloride	172,888		172,888	93,973	78,915	54.4% (23)
17-5009-**-***	Odor Control Chemicals	44,796		44,796	16,390	28,406	36.6%
17-5010-**-***	Other Chemicals - Misc.	1,996		1,996	-	1,996	0.0%
17-5011-**-***	Laboratory Services	16,500		16,500	3,679	12,821	22.3%
17-5012-**-***	Grit Hauling - 21A	47,000		47,000	19,831	27,169	42.2%
17-5013-**-***	Landscaping	67,668		67,668	16,669	50,999	24.6%
17-5014-**-***	Engineering - Misc.	-		-	5,641	(5,641)	0.0% (7)
17-5015-**-***	Management Support Services	13,204		13,204	8,467	4,737	64.1%
17-5017-**-***	Legal Fees	1,500		1,500	6,991	(5,491)	466.1%
17-5019-**-***	Contract Services Misc.	80,720		80,720	41,710	39,010	51.7%
17-5021-**-***	Small Vehicle Expense	7,000		7,000	6,945	55	99.2%
17-5022-**-***	Miscellaneous Expense	5,004		5,004	3,940	1,064	78.7%
17-5023-**-***	Office Supplies - All	11,000		11,000	3,267	7,733	29.7%
17-5024-**-***	Petroleum Products	33,220		33,220	7,354	25,866	22.1%
17-5025-**-***	Uniforms	25,004		25,004	8,250	16,754	33.0%
17-5026-**-***	Small Vehicle Fuel	9,996		9,996	2,250	7,746	22.5%
17-5027-**-***	Insurance - Property/Liability	88,132		88,132	31,573	56,559	35.8%
17-5028-**-***	Small Tools & Supplies	25,976		25,976	13,864	12,112	53.4%
17-5030-**-***	Trash Disposal	1,996		1,996	192	1,804	9.6%
17-5031-**-***	Safety Program & Supplies	39,648		39,648	31,765	7,883	80.1% (9)
17-5032-**-***	Equipment Rental	3,004		3,004	-	3,004	0.0%
17-5033-**-***	Recruitment	1,004		1,004	247	757	24.6%
17-5034-**-***	Travel Expense/Tech. Conferences	15,956		15,956	15,328	628	96.1% (10)
17-5035-**-***	Training Expense	15,172		15,172	234	14,938	1.5%
17-5036-**-***	Laboratory Supplies	23,208		23,208	6,764	16,444	29.1%
17-5037-**-***	Office Equipment	10,000		10,000	1,451	8,549	14.5%
17-5038-**-***	Permits	41,624		41,624	4,236	37,388	10.2%
17-5039-**-***	Membership Dues/Fees	4,312		4,312	5,240	(928)	121.5% (11)
17-5049-**-***	Biosolids Disposal	905,004		905,004	326,775	578,229	36.1%
17-5050-**-***	Contract Services Generators - 29A	8,000		8,000	-	8,000	0.0%
17-5052-**-***	Janitorial Services	41,000		41,000	9,380	31,620	22.9%
17-5054-**-***	Diesel Truck Maint	19,004		19,004	7,944	11,060	41.8%
17-5055-**-***	Diesel Truck Fuel - 37B	8,000		8,000	1,586	6,414	19.8%
17-5056-**-***	Maintenance Equip. & Facilities (Solids)	201,000		201,000	61,312	139,688	30.5%
17-5057-**-***	Maintenance Equip. & Facilities (Liquids)	230,000		230,000	79,664	150,336	34.6%
17-5058-**-***	Maintenance Equip. & Facilities (Common)	35,000		35,000	14,586	20,414	41.7% (24)
17-5059-**-***	Maintenance Equip. & Facilities (Co-Gen)	588,000		588,000	123,810	464,190	21.1%
17-5060-**-***	Maintenance Equip. & Facilities (AWT)	37,000		37,000	9,952	27,048	26.9%
17-5061-**-***	Mileage	1,004		1,004	258	746	25.7%
17-5068-**-***	MNWD Potable Water Supplies & Svcs.	24,972		24,972	4,002	20,970	16.0%
17-5076-**-***	SCADA Infrastructure	7,000		7,000	-	7,000	0.0%
17-5077-**-***	IT Direct	8,040		8,040	3,579	4,461	44.5% (25)
17-5101-01-00-00	Employee Recognition	-		-	93	(93)	0.0%
17-5105-**-***	Co-Generation Power Credit - Offset	325,000		325,000	222,895	102,105	68.6%
17-5303-**-***	Group Insurance Waiver	7,192		7,192	2,397	4,795	33.3%
17-5705-**-***	Monthly Car Allowance	11,392		11,392	2,797	8,595	24.6%
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	81,738	148,848	35.4%
	Total Other Expenses	4,620,630	-	4,620,630	1,639,041	2,981,589	35.5%
	Total Expenses	7,805,050	4,129	7,809,179	2,608,476	5,200,703	33.4%

South Orange County Wastewater Authority
O&M Budget vs. Actual Comparison by PC
For the Period Ended October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures*	Adjusted Budget	Actual	(Over)/Under Budget	%Expended
21 - Effluent Transmission Main							
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							
21-5014-**-**-**	Engineering - Misc.	-	-	-	127	(127)	0.0%
21-5019-02-00-00	Contract Services Misc. - 29	-	-	-	157	(157)	0.0%
21-5027-**-**-**	Insurance - Property/Liability	740	-	740	244	496	32.9%
	Total Other Expenses	740	-	740	528	212	71.3%
	Total Expenses	740	-	740	1,156	(416)	156.2%
24 - Aliso Creek Ocean Outfall							
Salary and Fringe							
24-5000-**-**-**	Regular Salaries-O&M	99,608	-	99,608	32,946	66,662	33.1%
24-5001-**-**-**	Overtime Salaries-O&M	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	23,682	47,966	33.1%
	Total Payroll Costs	171,716	-	171,716	56,737	114,979	33.0%
Other Expenses							
24-5015-**-**-**	Management Support Services	22,496	-	22,496	723	21,773	3.2%
24-5017-**-**-**	Legal Fees	1,004	-	1,004	-	1,004	0.0%
24-5027-**-**-**	Insurance - Property/Liability	6,524	-	6,524	2,300	4,224	35.3%
24-5031-**-**-**	Safety Supplies	1,004	-	1,004	-	1,004	0.0%
24-5034-**-**-**	Travel Expense/Tech. Conferences	3,704	-	3,704	1,277	2,427	34.5%
24-5035-**-**-**	Training Expense	6,008	-	6,008	-	6,008	0.0%
24-5036-**-**-**	Laboratory Supplies	19,560	-	19,560	5,093	14,467	26.0%
24-5038-**-**-**	Permits	186,756	-	186,756	882	185,874	0.5%
24-5039-**-**-**	Membership Dues/Fees	5,500	-	5,500	-	5,500	0.0%
24-5044-**-**-**	Offshore Monitoring	18,000	-	18,000	11,688	6,312	64.9% (13)
24-5046-**-**-**	Effluent Chemistry	14,004	-	14,004	9,368	4,636	66.9% (14)
24-5058-**-**-**	Maintenance Equip. & Facilities (Common) 41-C	1,004	-	1,004	-	1,004	0.0%
24-5069-**-**-**	Outfall Inspection/Port Cleaning	30,004	-	30,004	-	30,004	0.0%
24-6500-**-**-**	IT Allocations in to PC's & Depts.	12,776	-	12,776	4,529	8,247	35.5%
	Total Other Expenses	328,344	-	328,344	35,860	292,484	10.9%
	Total Expenses	500,060	-	500,060	92,597	407,463	18.5%
Total O&M Expenses		18,346,162	10,289	18,356,451	5,858,778	12,497,674	31.9%

* Change related to additional salary

South Orange County Wastewater Authority
O&M Budget vs. Actual Comparison by PC
For the Period Ended October 31, 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 28% in the end of October.
- (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 a 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.

South Orange County Wastewater Authority
O&M Budget vs. Actual Comparison by PC
For the Period Ended October 31, 2019

- (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 October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures *	Adjusted Budget	Actual	(Over)/Under Budget	% Expended	
Salary and Fringe								
01-5000-03-00-00	Regular Salaries-O&M	207,349	714	208,063	95,728	112,335	46.0%	(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	68,812	80,361	46.1%	(1)
	Total Payroll Costs	356,522	714	357,236	164,540	192,696	46.1%	
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	2,061	3,189	39.3%	(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	19,705	35,883	35.4%	
	Total Other Expenses	100,339	-	100,339	34,348	65,991	34.2%	
Total Engineering Expenses		456,862	714	457,575	198,888	258,687	43.5%	

* 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 October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures *	Adjusted Budget	Actual	(Over)/Under Budget	% Expended
Salary and Fringe							
01-6000-04-00-00	Regular Salaries-Admin or IT	1,030,445	3,092	1,033,537	310,307	723,230	30.0%
01-6001-04-00-00	Overtime Salaries-Admin or IT	6,000		6,000	2,111	3,889	35.2%
01-6315-04-00-00	Comp Time - Admin	5,000		5,000	3,456	1,544	69.1%
01-6401-04-00-00	Fringe Benefits IN to ADMIN or IT	741,332		741,332	223,056	518,276	30.1%
	Total Payroll Costs	1,782,777	3,092	1,785,869	538,931	1,246,939	30.2%
Other Expenses							
01-6101-04-00-00	HR Recruitment & Employee Relations	34,200		34,200	6,241	27,959	18.2%
01-6102-04-00-00	Subscriptions	2,000		2,000	480	1,520	24.0%
01-6200-04-00-00	Management Support Services	100,000		100,000	49,178	50,822	49.2%
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	86,469	163,531	34.6%
01-6204-04-00-00	Postage	2,400		2,400	2,875	(475)	119.8%
01-6223-04-00-00	Office Supplies - Admin	6,000		6,000	3,736	2,264	62.3%
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	44,214	45,786	49.1%
01-6239-04-00-00	Travel & Conference	21,500		21,500	7,137	14,363	33.2%
01-6310-04-00-00	Miscellaneous	23,000		23,000	10,540	12,460	45.8%
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	1,700	3,800	30.9%
01-6500-04-00-00	IT Allocations in to PC's & Depts.	132,191		132,191	46,860	85,331	35.4%
01-6601-04-00-00	Shipping/Freight	3,667		3,667	2,019	1,648	55.0%
01-6705-04-00-00	Monthly Car Allowance	12,000		12,000	3,996	8,004	33.3%
	Total Other Expenses	729,046	-	729,046	290,714	438,332	39.9%
Total Admin Expenses		2,511,823	3,092	2,514,915	829,645	1,685,270	33.0%

* Change related to additional salary

South Orange County Wastewater Authority
Budget vs. Actual Comparison-IT
For the Period Ended October 31, 2019

		FY 2019-20 Budget	Board Approved Expenditures *	Adjusted Budget	Actual	(Over)/Under Budget	% Expended
Salary & Fringe							
01-6000-05-00-00	Regular Salaries-Admin or IT	98,482	518	99,000	29,067	69,933	29.5%
01-6001-05-00-00	Overtime Salaries-Admin or IT	-		-	3,767	(3,767)	0.0%
01-6401-05-00-00	Fringe Benefits IN to ADMIN or IT	70,851		70,851	20,918	49,933	29.5%
	Total Salary & Fringe	169,333	518	169,851	53,753	116,098	31.7%
Other Expenses							
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	2,931	569	83.7%
01-6300-05-00-00	Software Maintenance Agreements	51,967		51,967	50,688	1,279	97.5% (1)
01-6301-05-00-00	Hardware Maintenance Agreements	7,126		7,126	699	6,427	9.8%
01-6302-05-00-00	Cloud Subscriptions (Internet)	75,124		75,124	32,858	42,266	43.7%
01-6303-05-00-00	Telecommunications	127,036		127,036	44,450	82,586	35.0%
01-6305-05-00-00	IT Professional Services	236,919		236,919	34,270	202,649	14.5%
01-6306-05-00-00	Small Hardware Purchases (< \$5k)	20,900		20,900	18,760	2,140	89.8%
01-6307-05-00-00	Small Software Purchases & Licenses (<\$5k)	24,908		24,908	15,977	8,931	64.1%
01-6308-05-00-00	IT Memberships	160		160	704	(544)	440.0%
01-6309-05-00-00	Operating Leases	55,200		55,200	19,136	36,064	34.7%
01-6310-05-00-00	Miscellaneous	5,000		5,000	865	4,135	17.3%
01-6312-05-00-00	Computer & Photocopy Supplies	-		-	1,576	(1,576)	0.0%
	Total Other Expenses	611,140	-	611,140	222,912	388,228	36.5%
Total Expenses before Allocation		780,473	518	780,991	276,665	504,326	35.4%
IT Allocations (Out) to PC's & Depts							
01-6400-05-00-00	IT Allocations (OUT) to PC's & Depts.	(780,473)	(518)	(780,991)	(276,665)	(504,326)	35.4%
	Total IT Allocations (Out) to PC's & Depts	(780,473)	(518)	(780,991)	(276,665)	(504,326)	35.4%

* Change related to additional salary

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

Agenda Item

4d

Board of Directors Meeting

Meeting Date: January 9, 2020

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

Summary/Discussion

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

- a) Summary of Disbursements for November 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 November 2019.

Fiscal impact

November 2019 cash disbursements were: \$2,154,482.

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

Recommended Action:

Staff recommend the Board of Directors to ratify the November 2019 disbursements for the period of November 1, 2019, through November 30, 2019, totaling \$2,154,482, and to receive and file the November 2019 Financial Reports as submitted.

Exhibit A

**South Orange County Wastewater Authority
Summary of Disbursements for November 2019
as of November 30, 2019**

	Actual
General Fund	(395,157)
PC 2 - Jay B. Latham Plant	(562,464)
PC 3 - SOCWA Plant/PCA AWT	-
PC 5 - San Juan Creek Ocean Outfall	(215,233)
PC 8 - Pretreatment Program	(8,802)
PC 12 SO - Water Reclamation Permits	(24,308)
PC 15 - Coastal Treatment Plant/AWT	(219,537)
PC 17 - Joint Regional Wastewater Reclamation	(533,152)
PC 21 - Effluent Transmission Main	(1,974)
PC 24 - Aliso Creek Ocean Outfall	(193,856)
Total	<u>(2,154,482)</u>

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

CASH IN BANK: (BEGINNING BAL.)	3,850,779
L.A.I.F. FUNDS: (BEGINNING BAL.)	23,029,889
DEPOSITS, TRANSFERS & ADJUSTMENTS:	6,607,195
FUND REQUIREMENTS:	
BILLS FOR CONSIDERATION	<u>(2,154,482)</u>
	<u>\$ 31,333,381</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)
11/25/19	2.08	2.15	212
11/26/19	2.08	2.15	211
11/27/19	2.07	2.15	220
11/28/19	2.07	2.15	220
11/29/19	2.07	2.15	220
11/30/19	2.07	2.15	218
12/01/19	2.07	2.15	217
12/02/19	2.07	2.15	219
12/03/19	2.07	2.14	218
12/04/19	2.07	2.14	218
12/05/19	2.06	2.14	219
12/06/19	2.06	2.14	221
12/07/19	2.06	2.14	221
12/08/19	2.06	2.14	221
12/09/19	2.06	2.14	223
12/10/19	2.06	2.14	224
12/11/19	2.05	2.13	225
12/12/19	2.05	2.13	228
12/13/19	2.04	2.13	227
12/14/19	2.04	2.13	227
12/15/19	2.04	2.13	227
12/16/19	2.04	2.13	226
12/17/19	2.04	2.13	226
12/18/19	2.04	2.13	227
12/19/19	2.04	2.13	226
12/20/19	2.03	2.12	224
12/21/19	2.03	2.12	224
12/22/19	2.03	2.12	224
12/23/19	2.03	2.12	222
12/24/19	2.03	2.12	225
12/25/19	2.03	2.12	225

*Daily yield does not reflect capital gains or losses

[View Prior Month Daily Rates](#)

LAIF Performance Report

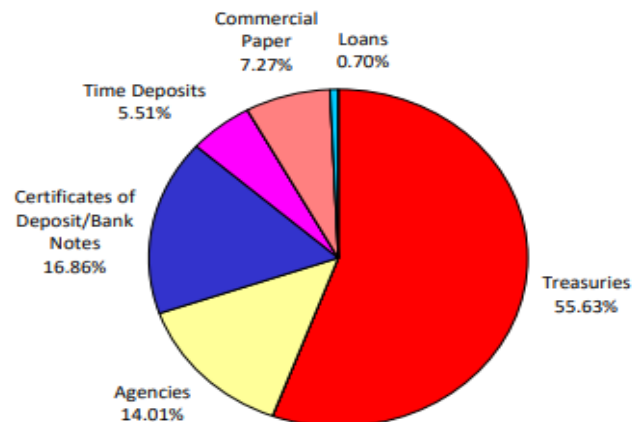
Quarter Ending 09/30/19

Apportionment Rate: 2.45
 Earnings Ratio: .00006701807521016
 Fair Value Factor: 1.001642817
 Daily: 2.25%
 Quarter to Date: 2.34%
 Average Life: 185

PMIA Average Monthly Effective Yields

Nov 2019 2.103
 Oct 2019 2.190
 Sep 2019 2.280

Pooled Money Investment Account Portfolio Composition 11/30/19 \$86.9 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) and interest earned on the Wildfire Fund loan pursuant to Public Utility Code 3288 (a).
 Based on data available as of 12/25/2019

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

MVA	\$ 4,645	(A)
A/P Checking	880,539	(B)
Payroll Checking	138,647	(C)
State LAIF	30,309,550	(D)
Total Cash in Bank	\$ 31,333,381	
Petty Cash	1,600	(E)
Total Operating Cash	\$ 31,334,981	
OPEB Trust	5,327,849	(F)
Total Cash and Investments	\$ 36,662,830	

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

4e

Board of Directors Meeting

Meeting Date: January 9, 2020

TO: Board of Directors

FROM: Betty Burnett, General Manager

STAFF CONTACT: Jim Burror, Director of Operations

SUBJECT: November 2019 Operations Report

Summary/Discussion

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

1) Monthly Operational Report

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

2) SOCWA Ocean Outfall Discharges by Agency

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

3) Beach Ocean Monitoring Report

4) Recycled Water Report

5) Pretreatment Report

Fiscal impact

None.

Recommended Action

Receive and file the Operational Reports.

Monthly Operational Report

SOCWA Operational Report November, 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	1(1)	1
Others	0	0	0	0

(1) Settleable solids violation due to sampling collection method by O&M staff. Procedure updated to avoid future sampling issues.

Plant Wastewater Billing Characteristics

Key Parameters	CTP	RTP	JBL TP1	JBL TP2	Totals
Influent (mgd) (1)	2.10	7.65	5.19	0.90	15.83
Effluent (mgd)	2.56	3.05	5.19	2.12	12.91
Peak Flow (mgd)	20.45	23.08	14.69	10.00	68.22
Influent BOD (mg/l)	347	214	455	247	
Influent TSS (mg/l)	717	319	1,370	607	
Effluent BOD (mg/l)	8.5	2.6	6.3	7.4	
Effluent TSS (mg/l)	16.1	6.4	9.1	12.4	
Effluent Turbidity (NTU)	5.1	1.9	3.5	4.4	

(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)	0.69	4.61		5.30
Days of Operation (days)	26	30		159.0
Total Flow (million gallons)	20.8	138.2		
Plant Irrigation (million gallons)	0.00	0.30	0.29	
AWT Time Online (%)	85.0	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 November, 2019 (cont'd)

Biosolids Management

Biosolids Management Site	CTP	RTP	JBL	Totals
Synagro Compost (tons)		782.0	0.0	782.0
Nursery Products (tons)		353.8	626.1	979.9
Prima Deshecha (tons)		56.4	174.1	230.5
Other: (tons)		0.0	0.0	0.0
Total Processed (tons)		1,192.2	800.2	1,992.3

Summary of Maintenance Activities

Task Type	CTP	RTP	JBL	Totals
Preventative Maintenance	162	524	154	678
Corrective Maintenance	46	35	117	152

Site Visitors

Visitor Types	CTP	RTP	JBL	Totals
Regulatory	0	0	0	0
Member Agency	0	0	0	0
Residents	0	0	0	0
Others	10	14	28	52
Tours #/Visitors	0	0	1	0

Grit Disposal Management

Grit & Screenings	CTP	RTP	JBL	Totals
Simi Valley Landfill (tons)	6.0	26.0	NA	32.0

Chemical and Energy Utilization

Chemical/Utility	CTP	RTP	JBL	Totals
Ferric Chloride (tons)	NA	NA	NA	0.0
Utility Power Purchase (kWh)	208,334	-6,727	126,310	327,917
Cogen Power (kWh)		577,426	446,810	1,024,236
Natural Gas (Dth)	18	3,794	1,460	5,272
Digester Gas to Engine (scfm)		4,332,767	7,500,246	11,833,013
Digester Gas to Boiler (scfm)		0		0
Digester Gas to Flares (scfm)		4,920,090	258,629	5,178,719
Digester Gas Power Savings		\$52,841.47		

(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 November, 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	1.532	68.82%				1.53
EBSD	0.038	1.69%				0.04
SCWD	0.656	29.49%		1.569	25.80%	2.23
MNWD	0.000	0.00%	7.65	1.400	23.01%	9.05
CSJC				2.051	33.71%	2.05
SMWD				1.063	17.48%	1.06
Total	2.226	100.00%	7.65	6.083	100.00%	15.96

Total Agency Outfall Flows by Outfall System-Billing Flows

Agency	SJCOO (mgd)	SJCOO (%)	SJCOO Meter (mgd)	ACOO (mgd)	ACOO (%)	Total (mgd)	Notes
CLB				1.53	16.00%	1.53	
EBSD				0.04	0.39%	0.04	
SCWD	1.73	16.03%		0.92	9.57%	2.65	Includes Desalters
MNWD	2.09	19.33%		3.05	31.81%	5.14	
ETWD				2.86	29.88%	2.86	Direct Outfall Only
CSJC	2.39	22.11%				2.39	Includes Desalter
SMWD	1.89	17.47%				1.89	Includes Chiquita
CSC	2.71	25.06%				2.71	Direct Outfall Only
IRWD				1.18	12.34%	1.18	Direct Outfall Only
Total	10.82	100.00%	12.94	9.57	100.00%	20.39	

SOCWA Operational Report November, 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%	2.051	33.71%	2.04	34.29%
MNWD	3.00	23.08%	1.40	21.12%	1.400	23.01%	1.40	23.50%
SCWD	3.75	28.85%	1.70	25.64%	1.569	25.80%	1.58	26.49%
SMWD	2.25	17.31%	1.41	21.27%	1.063	17.48%	0.94	15.72%
Total	13.00	100.00%	6.63	100.00%	6.083	100.00%	5.96	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%	5,558	23.82%	5,964	29.19%
MNWD	8,340	21.62%	4,396	18.70%	6,398	27.41%	5,606	27.43%
SCWD	7,715	20.00%	5,391	22.94%	6,525	27.96%	5,231	25.60%
SMWD	10,946	28.38%	7,949	33.82%	4,858	20.82%	3,633	17.78%
Total	38,573	100.00%	23,503	100.00%	23,339	100.00%	20,434	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%	2.71	25.06%		
CSJC	11.08%	2.348	20.01%	2.39	22.11%	2.05	33.71%
MNWD(3)	15.51%	2.013	17.16%	2.09	19.33%	1.40	23.01%
SCWD	12.47%	1.740	14.83%	1.73	16.03%	1.57	25.80%
SMWD	44.32%	3.101	26.43%	1.89	17.47%	1.06	17.48%
Total	100.00%	11.733	3.10%	10.82	100.00%	6.08	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 November, 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	2.295	22.94%		
CSJC	2.736	27.34%	2.04	34.29%
MNWD	1.809	18.08%	1.40	23.50%
SCWD	1.768	17.67%	1.58	26.49%
SMWD	1.398	13.97%	0.94	15.72%
Total	10.006	100.00%	5.96	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%	1.532	68.82%	1.652	66.58%
EBSD	0.20	2.99%	0.050	1.67%	0.038	1.69%	0.048	1.93%
SCWD	2.00	29.85%	1.180	39.33%	0.656	29.49%	0.782	31.50%
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%	2.226	100.00%	2.482	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	0.0129	0.0129	0.17%	0.0132	0.18%
EBSD	0.00040	0.005%	0.0000	0.0003	0.0003	0.00%	0.0004	0.01%
SCWD	0.00810	0.104%	0.0000	0.0055	0.0055	0.07%	0.0062	0.08%
ETWD	0.01410	0.181%	0.0000	0.0153	0.0153	0.20%	0.0147	0.20%
MNWD	7.75000	99.553%	7.6507	0.0634	7.7141	99.56%	7.4661	99.54%
Total	7.78480	100.000%	7.6507	0.0974	7.7481	100.00%	7.5006	100.00%

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

SOCWA Operational Report November, 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%	139,730	13.21%	150,214	14.06%
EBSD	295	0.59%	158	0.38%	3,436	0.32%	4,363	0.41%
SCWD	4,480	8.96%	3,546	8.62%	59,875	5.66%	71,034	6.65%
ETWD	10,200	20.41%	5,755	13.99%	166,075	15.70%	167,736	15.70%
MNWD	29,395	58.82%	26,532	64.52%	688,389	65.10%	674,844	63.18%
Total	49,975	100.00%	41,124	100.00%	1,057,504	100.00%	1,068,189	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%	1.532	16.00%	1.652	25.14%
EBSD	0.780%	0.05	0.47%	0.038	0.39%	0.048	0.73%
ETWD	16.302%	2.46	23.08%	2.860	29.88%	1.869	28.43%
IRWD	15.760%	2.48	23.26%	1.182	12.34%	1.365	20.77%
MNWD	43.848%	3.08	28.89%	3.046	31.81%	1.450	22.07%
SCWD	12.310%	0.70	6.57%	0.916	9.57%	0.189	2.87%
Total	100.000%	10.66	100.00%	9.573	0.00%	6.573	100.00%

SOCWA Operational Report November, 2019 (cont'd)

Select Critical Equipment Repairs

JBL - PC2

Rebuilt damaged Bar Rake #1.
Replaced failed Secondary Tank #2 wear strips and drive.
Replaced failed Secondary Tank #3 wear strips and drive.
Replaced failed RAS #4 Check Valve.
Replaced failed RAS Pump #7.
Troubleshoot Plant #1 inline foul air fans.
Building #40 equipment storage reorganization project.
Cleaned rag and rocks from Plant #1 influent channels.
Rebuilt failed polymer recirculation pump.
Repaired failed aeration header seal.
Prepared for winter storms.
Replaced obsolete Plant #1 blower room equipment bay doors.
Troubleshoot scrubber recirculation pump.
Troubleshoot primary sludge flow meter.
Troubleshoot plant storm pump.
Replaced failing Plant #1 Headworks Fresh Air Fan.

CTP - PC15

Troubleshoot the North TWAS Pump Controller.
Troubleshoot the AWT Filter Cell #7 Inlet Valves.
Replaced failed Sludge Export drain valve.
Replaced failed low-pressure air compressor.
Started a project to replace failing East Scum Pump.
Replaced failing scrubber recirculation pumps and associated valves.
Replaced AWT Bleach Tank site glass.
Replaced failing East Scum Pump valves.
Continued to troubleshoot new AWT control systems and valves.

RTP - PC17

Removed and replaced leaking isolation and check valves on a vertical turbine pump and replaced corroded discharge piping.
Replaced failed aeration panels in Aeration Tank #2.
Installed a newly fabricated odor box to replace the corroded box in Aeration Tank #2.
Rebuilt failed Seepex Progressive Cavity Centrifuge Feed Pump #3.
Rebuild Seepex Progressive Cavity Centrifuge Feed Pump #4.
Installed new strainer system for Cogen water system.
Prepared for winter storms.
Replaced two failed upper screws on Centrifuge Elevating Conveyor #1.
Replaced failed wet end parts on Diaphragm Metering East RAS Bleach Pump.
Replaced failed wet end parts on Diaphragm Metering West RAS Bleach Pump.
Replaced failed motor on Diaphragm Metering AWT 2 CCT Bleach Pump.
Replaced failed stator on Seepex Progressive Cavity SET Pump 6.
Replaced leaking 6" valve on the El Toro Loading Station.

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

SOCWA Operational Report November, 2019 (cont'd)

Select Critical Equipment Repairs (cont'd)

Support Services - ALL PC'S

Continued to troubleshoot RTP Engine SCR system.
Troubleshooted the JBL SCR.
Troubleshooted the JBL engine heat loop system.
Repaired RTP wall exhaust fan in Building #40.
Installed new Emerald Bay flow meter.
Installed a control cabinet for the new strainer at RTP.
Removed the primary sludge pump wires to prepare for construction demolition at RTP.
Replaced corroded conduit on Digester #3 Mixing Pump at JBL.
Installed a new local disconnect switch on DAFT #1 at JBL.
Replaced failed lighting system in the Electrical Storage Area at JBL.
Decommissioned and removed the Soda Ash Skid at JBL.
Upgraded Buildings #2, #6, #13, and #30 outside lighting to LED's at CTP.
Supported warranty work on CTP's AWT.
Performed Construction support at all Plants.
Troubleshooted and replaced a DO probe at CTP.
Added average DO calculations to SCADA screens at RTP.
Troubleshooted Engine Hot Water SCADA programming for JBL and RTP.
Troubleshooted RTP Huffman Blower Panelview Failure.
Created a new SCADA page for the CTP AWT upgraded facilities.

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

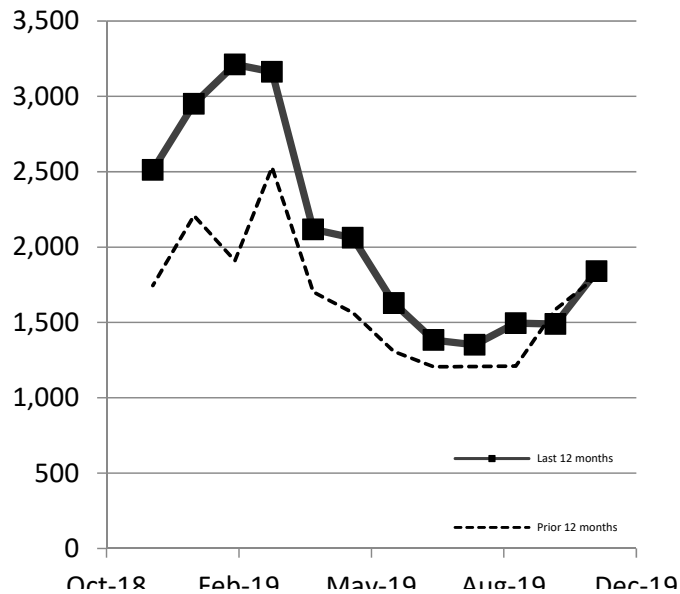
SOCWA Ocean Outfall Discharges by Agency

SOCWA Outfall Discharge Report November, 2019

Agency	SJCOO (mgd)	SJCOO (%)	ACOO (mgd)	ACOO (%)	Total (mgd)
CLB			1.53	16.00%	1.53
EBSD			0.04	0.39%	0.04
SCWD	1.73	16.03%	0.92	9.57%	2.65
MNWD	2.09	19.33%	3.05	31.81%	5.14
ETWD			2.86	29.88%	2.86
CSJC	2.39	22.11%			2.39
SMWD	1.89	17.47%			1.89
CSC	2.71	25.06%			2.71
IRWD			1.18	12.34%	1.18
Total	10.82	100.00%	9.57	100.00%	20.39
or Acre-Feet per year equivalent					22,840

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

Nov-19	1,839
Oct-19	1,489
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	2,511
Total	25,198



Beach / Ocean Monitoring Report

ALISO CREEK OCEAN OUTFALL MONITORING REPORT

November 2019

DATE	IRWD LOS ALISOS WRP				EL TORO WRP				SOCWA REGIONAL PLANT				SOCWA COASTAL PLANT				IRWD IDP	IRWD SGU	SCWD ACWRF	ACOO	Rain
	FLOW	TSS	cBOD	SS	FLOW	TSS	cBOD	SS	FLOW	TSS	cBOD	SS	FLOW	TSS	cBOD	SS	FLOW	FLOW	FLOW	FLOW	Fall
	MGD	mg/L	mg/L	ml/L	MGD	mg/L	mg/L	ml/L	MGD	mg/L	mg/L	ml/L	MGD	mg/L	mg/L	ml/L	MGD	MGD	MGD	MGD	inches
11/01/19	No Flow				1.913	12.0	6.9	<0.1	0.930	10.9	2.0	<0.1	1.129	20.2	10.0	0.4	0.766	0.600	0.003	5.341	0.00
11/02/19	No Flow				1.900	9.6		<0.1	0.80				1.764				0.766	0.635	0.002	5.867	0.00
11/03/19	No Flow				2.430	9.2		<0.1	0.830	5.6	2.0	<0.1	2.021	23.4			0.797	0.664	0.004	6.746	0.00
11/04/19	No Flow				2.521	10.0	6.6	<0.1	4.170	10.8	4.0	<0.1	2.967	24.0	11.0	0.1	0.765	0.636	0.005	11.064	0.00
11/05/19	No Flow				1.642	9.4	5.3	<0.1	1.340	5.5	2.0	<0.1	4.842	23.2	11.0	0.1	0.766	0.590	0.006	9.186	0.00
11/06/19	No Flow				1.879	8.6	5.8	<0.1	0.790	6.1	2.0	<0.1	6.567	13.6	6.0	<0.1	0.463	0.587	0.090	10.376	0.00
11/07/19	No Flow				1.713	9.2	4.8	<0.1	0.720	4.7	2.0	0.2	5.809	22.2	10.0	<0.1	0.315	0.583	0.101	9.241	0.00
11/08/19	No Flow				1.865	7.6	5.4	<0.1	0.820	6.7	3.0	0.1	4.287	16.2	7.0	0.1	0.380	0.583	0.107	8.042	0.00
11/09/19	No Flow				2.168	8.8		<0.1	0.940				1.755				0.636	0.578	0.082	6.159	0.00
11/10/19	No Flow				2.031	8.6		<0.1	1.240	5.2	3.0	<0.1	1.811	7.7	5.0		0.766	0.565	0.081	6.494	0.00
11/11/19	No Flow				2.524	9.8	6.0	<0.1	2.510	7.8	3.0	<0.1	2.370	17.3	6.0	0.1	0.766	0.564	0.002	8.736	0.00
11/12/19	No Flow				2.547	11.0	6.8	<0.1	1.790	5.8	2.0	0.1	2.249	15.9	6.0	<0.1	0.480	0.579	0.071	7.716	0.00
11/13/19	No Flow				3.384	11.0	5.8	0.1	1.130	4.9	2.0	0.1	1.270	17.5	10.0	0.2	0.379	0.581	0.124	6.868	0.01
11/14/19	No Flow				1.629	15.8	8.2	<0.1	1.660	6.2	3.0	<0.1	1.782	3.6	4.0	<0.1	0.380	0.577	0.013	6.041	0.00
11/15/19	No Flow				2.361	12.8	7.1	<0.1	1.840	5.6	3.0	0.1	1.933	11.3	7.0	<0.1	0.459	0.576	0.090	7.259	0.00
11/16/19	No Flow				2.372	13.2		<0.1	3.870				2.054				0.378	0.588	0.104	9.366	0.00
11/17/19	No Flow				3.562	10.6		<0.1	4.170	4.2	3.0	0.1	2.090	10.5	20.0		0.378	0.592	0.116	10.908	0.01
11/18/19	No Flow				2.003	23.0	11.3	<0.1	2.710	7.3	2.0	0.1	2.106	5.9	4.0	<0.1	0.266	0.590	0.070	7.745	0.00
11/19/19	No Flow				3.832	13.0	7.5	<0.1	1.990	6.1	5.0	<0.1	1.619	3.3	3.0	<0.1	0.248	0.590	0.135	8.414	0.00
11/20/19	No Flow				4.185	15.0	8.3	<0.1	3.630	5.3	<2.0	0.1	1.653	7.9	4.0	<0.1	0.638	0.589	0.155	10.850	0.17
11/21/19	No Flow				3.135	15.4	8.9	<0.1	4.540	5.2	2.0	0.2	2.035	9.6	5.0	0.1	0.763	0.587	0.000	11.060	0.01
11/22/19	No Flow				4.455	11.2	6.9	<0.1	4.890	3.7	2.0	<0.1	2.061	7.8	4.0	0.1	0.723	0.579	0.004	12.712	0.00
11/23/19	No Flow				4.468	16.2		<0.1	4.740				2.579				0.762	0.593	0.133	13.275	0.00
11/24/19	No Flow				2.214	18.3		<0.1	4.770	5.3	3.0	0.1	2.643	15.9	13.0		0.762	0.605	0.125	11.119	0.00
11/25/19	No Flow				4.581	19.7	10.2	<0.1	4.880	5.7	2.0	0.1	2.675	22.3	11.0	2.0	0.762	0.603	0.098	13.599	0.00
11/26/19	No Flow				3.990	21.0	10.5	<0.1	4.790	6.9	2.0	0.3	1.983	35.0	14.0	0.3	0.440	0.600	0.101	11.904	0.00
11/27/19	No Flow				3.455	26.3	14.7	0.1	4.850	7.5	2.0	0.2	2.449	16.9	9.0	0.1	0.633	0.439	0.156	11.982	0.32
11/28/19	No Flow				4.427	23.3	12.7	0.2	5.820	5.7	2.0	0.9	1.642	21.6	11.0	0.2	0.682	0.588	0.118	13.277	2.03
11/29/19	No Flow				3.336	23.8	13.1	0.2	7.970	10.2	4.0	0.3	2.365	28.6	14.0	0.2	0.764	0.584	0.151	15.170	0.22
11/30/19	No Flow				3.280	22.0		0.1	6.240				2.064				0.763	0.582	0.000	12.929	0.01
AVG	No Flow				2.860	14.2	8.2	<0.1	3.046	6.4	2.6	<0.2	2.486	16.1	8.5	<0.2	0.595	0.587	0.075	9.648	
TOTAL	No Flow				85.80				91.37				74.57				17.85	17.61	2.247	289.45	2.78

Unified Beach Monitoring

#1

South Orange County Wastewater Authority-Aliso Creek Ocean Outfall

REPORT FOR: November 2019

REPORT DUE: January 1 2020

SAMPLE SOURCE: Surf zone

TYPE OF SAMPLE: Grab

REPORT FREQUENCY: Monthly

EXACT SAMPLE POINTS: As specified in Unified Monitoring Plan

SAMPLES COLLECTED BY: SOCWA Lab

SAMPLES ANALYZED BY: SOCWA Lab

Tidal Condition: High Tide 0451

Weather: Clear

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	11/04/19	1020	<10	<10	<2	None	None	None	None	Green	62	Clear	Flowing	
S4	11/04/19	0955	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S5	11/04/19	0945	<10	<10	<2	None	None	None	None	Green		Clear		
S6	11/04/19	0915	<10	<10	<2	None	None	None	None	Green		Clear		
WEST	11/04/19	0910	<10	<10	<2	None	None	None	None	Green		Clear		
S7	11/04/19	0905	<10	<10	<2	None	None	None	None	Green		Clear		
S8	11/04/19	0900	<10	<10	<2	None	None	None	None	Green		Clear		
S9	11/04/19	0845	10	<10	2	None	None	None	None	Green		Slightly Turbid		
ACM1	11/04/19	0845	70	<10	<2	None	None	None	None	Green		Slightly Turbid		
S10	11/04/19	0830	10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S11	11/04/19	0825	10	<10	<2	None	None	None	None	Green	62	Slightly Turbid		
S12	11/04/19	0820	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		

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: November 2019
 REPORT DUE: January 1, 2020
 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 944

Weather: Fog

COMMENTS:

STA#	DATE	TIME	Total	Fecal	Entero-	Material of Sewage				Water	H2O	Water	Water	
			Coliform	Coliform	coccus	Origin		Oil &	Odor					
			CFU/100ml	CFU/100ml	CFU/100ml	Onshore	Offshore	Grease						
			SM9222B	SM9222D	EPA 1600					Color	Temp(F)	Condition	Outlet	Birds
S3	11/13/19	1000	<10	10	6	None	None	None	None	Green	56	Clear		
S4	11/13/19	942	10	<10	10	None	None	None	None	Green	56	Clear		
S5	11/13/19	925	10	<10	<2	None	None	None	None	Green		Clear		
S6	11/13/19	914	<10	<10	32	None	None	None	None	Green		Clear		
WEST	11/13/19	912	<10	10	8	None	None	None	None	Green		Clear		
S7	11/13/19	910	<10	10	6	None	None	None	None	Green	55	Clear		
S8	11/13/19	855	40	30	12	None	None	None	None	Green		Clear		
S9	11/13/19	849	90	30	26	None	None	None	None	Green		Clear		
ACM1	11/13/19	847	120	100	48	None	None	None	None	Green		Clear		
S10	11/13/19	825	10	<10	4	None	None	None	None	Green		Clear		
S11	11/13/19	820	<10	<10	2	None	None	None	None	Green		Clear		
S12	11/13/19	810	40	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: November 2019
 REPORT DUE: January 1, 2020
 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 0610

Weather: Clear

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	11/18/19	0940	100	<10	<2	None	None	None	None	Green	63	Slightly Turbid		25
S4	11/18/19	0920	<10	<10	10	None	None	None	None	Green		Slightly Turbid		
S5	11/18/19	0910	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S6	11/18/19	0855	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
WEST	11/18/19	0850	30	<10	<2	None	None	None	None	Green		Slightly Turbid		
S7	11/18/19	0845	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S8	11/18/19	0840	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S9	11/18/19	0825	<10	<10	10	None	None	None	None	Green		Turbid		
ACM1	11/18/19	0820	100	10	<2	None	None	None	None	Green		Turbid		
S10	11/18/19	0810	<10	<10	<2	None	None	None	None	Green		Slightly Turbid		
S11	11/18/19	0805	<10	<10	2	None	None	None	None	Green		Slightly Turbid		
S12	11/18/19	0800	<10	10	<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: November 2019
 REPORT DUE: January 1, 2020
 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 757

Weather: Clear

COMMENTS:

STA#	DATE	TIME	Total	Fecal	Entero-	Material of Sewage				Water	H2O	Water	Water	Birds
			Coliform	Coliform	coccus	Origin		Oil &	Odor					
			CFU/100ml	CFU/100ml	CFU/100ml	Onshore	Offshore	Grease						
			SM9222B	SM9222D	EPA 1600					Color	Temp(F)	Condition	Outlet	
S3	11/26/19	755	150	80	>600	None	None	None	None	Green	62	Clear		
S4	11/26/19	1020	<10	<10	2	None	None	None	None	Green		Clear		
S5	11/26/19	955	10	<10	2	None	None	None	None	Green		Clear		
S6	11/26/19	940	10	<10	2	None	None	None	None	Green		Clear		
WEST	11/26/19	935	30	<10	<2	None	None	None	None	Green		Clear		
S7	11/26/19	930	<10	30	2	None	None	None	None	Green		Clear		
S8	11/26/19	925	10	<10	8	None	None	None	None	Blue		Clear		
S9	11/26/19	905	10	10	6	None	None	None	None	Green		Clear		
ACM1	11/26/19	900	20	<10	2	None	None	None	None	Green		Clear		
S10	11/26/19	840	10	<10	4	None	None	None	None	Green		Clear		
S11	11/26/19	830	<10	<10	2	None	None	None	None	Green		Clear		
S12	11/26/19	820	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.

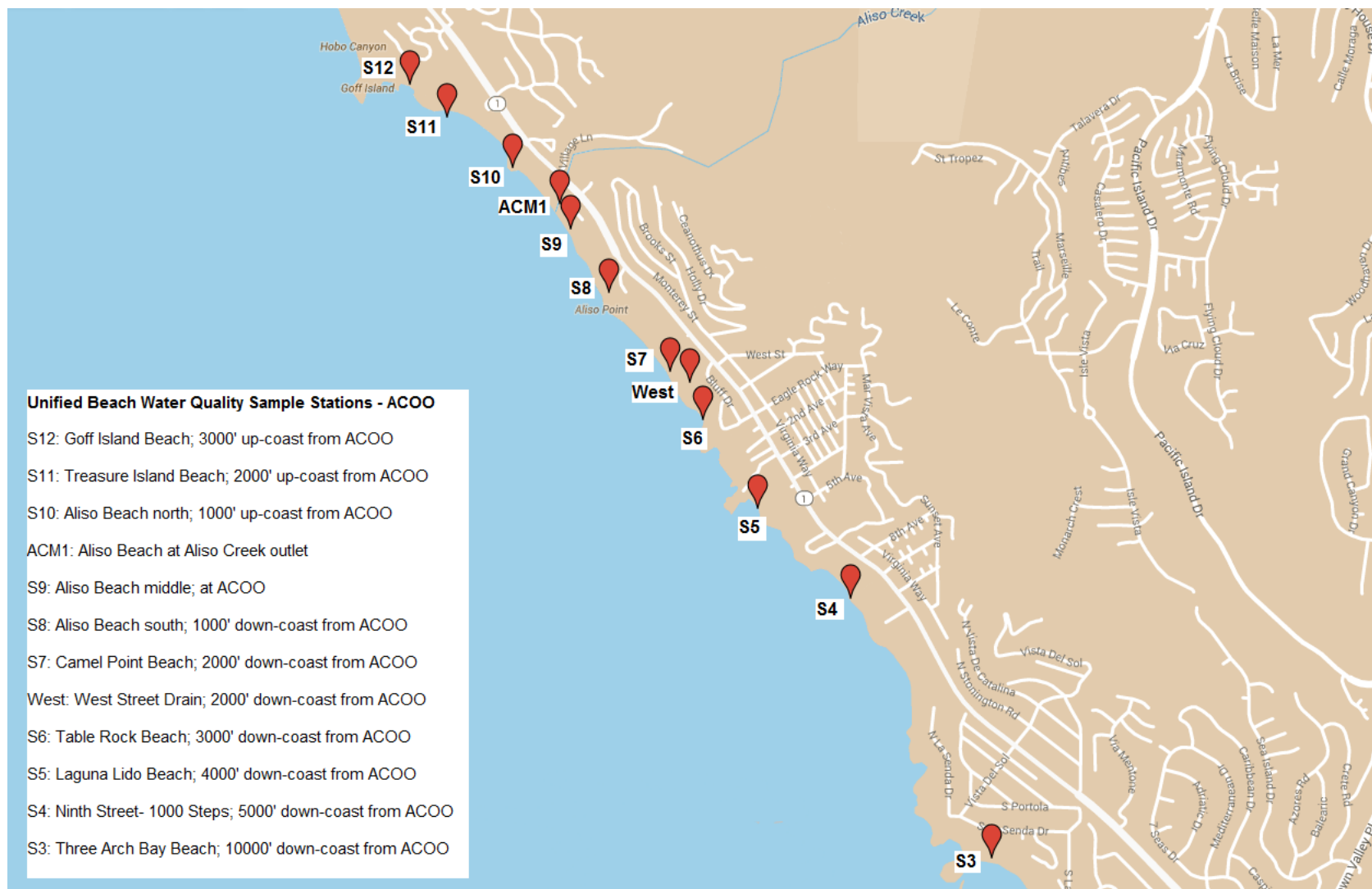
Aliso Creek Ocean Outfall

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 ACOC
S12	Goff Island Beach; 3,000' up-coast of ACOO

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



MONITORING REPORT

Off Shore Stations

South Orange County Wastewater Authority

DISCHARGE: Aliso Creek Ocean Outfall

REPORT FOR: November 2019

REPORT FREQUENCY: Monthly

REPORT DUE: January 1, 2020

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 546

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	11/06/19	<2	<2	<2	757	0	0	
A-1	Mid depth	11/06/19	<10	<10	<10				
A-2	Surface	11/06/19	<2	<2	<2	745	0	0	
A-2	Mid depth	11/06/19	<10	<10	<10				
A-3	Surface	11/06/19	<2	<2	<2	750	0	0	
A-3	Mid depth	11/06/19	<10	<10	<10				
A-4	Surface	11/06/19	<2	<2	<2	802	0	0	
A-4	Mid depth	11/06/19	<10	10	<10				
A-5	Surface	11/06/19	<2	<2	<2	754	0	0	
A-5	Mid depth	11/06/19	<10	<10	<10				
B-1	Surface	11/06/19	<2	<2	<2	739	0	0	
B-1	Mid depth	11/06/19	<10	<10	<10				
B-2	Surface	11/06/19	<2	<2	<2	809	0	0	
B-2	Mid depth	11/06/19	<10	<10	<10				
N1	Surface	11/06/19	<2	<2	<2	822	0	0	
N2	Surface	11/06/19	<2	<2	<2	821	0	0	
N3	Surface	11/06/19	2	2	<2	820	0	0	
N4	Surface	11/06/19	<2	<2	<2	819	0	0	
N5	Surface	11/06/19	2	<2	<2	818	0	0	
N6	Surface	11/06/19	<2	<2	<2	817	0	0	
N7	Surface	11/06/19	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
IRWD	10/7/2019	Biochemical Oxygen Demand Removal	Weekly	%	Weekly	Not Reported	\$3000
IRWD	10/7/2019	Carbonaceous Biochemical Oxygen Demand Removal	Weekly	%	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

November 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
11/01/19	6.400	7.2	5.0	0.5	1.838	4.8	4.0	<0.1	0.010	3.1	2.6	<0.1	0.187	7.4	6.6	0.1	0.430	0.001	10.630	0.00
11/02/19	6.590				1.619				0.000				0.282				0.430	0.196	9.420	0.00
11/03/19	6.730	8.5	7.0		2.347				0.010				0.304	10.4	9.0	0.1	0.430	0.184	9.920	0.00
11/04/19	6.970	9.3	7.7	0.1	2.317	3.2	6.0	<0.1	0.030	0.9	8.0	<0.1	0.065	11.8	9.5	ND	0.310	0.182	9.820	0.00
11/05/19	7.090	9.0	5.0	0.1	2.604	3.2	7.0	<0.1	0.040	1.6	7.3	<0.1	0.040	9.2	8.8	ND	0.431	0.188	9.990	0.00
11/06/19	6.890	11.9	5.7	0.1	1.800	3.4	6.0	<0.1	0.010	1.2	2.1	<0.1	0.013	12.4	10.2	ND	0.428	0.185	9.320	0.00
11/07/19	6.630	10.0	7.3	<0.1	1.977	3.9	5.0	<0.1	0.390	2.5	3.1	<0.1	0.136	9.4	8.8	ND	0.426	0.188	8.860	0.00
11/08/19	6.590	8.0	5.0	0.1	2.207	7.6	7.0	<0.1	0.800	1.4	2.5	<0.1	0.096				0.408	0.171	10.340	0.00
11/09/19	6.580				1.809				0.400				0.085				0.387	0.184	9.610	0.00
11/10/19	6.560	12.6	8.0		2.518				0.520				0.271	8.0	6.3	0.1	0.385	0.183	10.120	0.00
11/11/19	6.770	10.0	5.9	<0.1	2.675	4.7	6.0	<0.1	0.330	3.9	8.1	<0.1	0.308	14.4	12.8	ND	0.402	0.188	10.730	0.00
11/12/19	6.870	9.3	4.8	0.1	2.354	4.3	7.0	<0.1	0.220	3.0	7.2	<0.1	0.405	7.4	7.1	ND	0.340	0.184	10.550	0.00
11/13/19	6.810	8.3	7.3	0.2	2.458	4.0	4.0	<0.1	0.080	2.0	2.4	<0.1	0.279	8.2	7.4	ND	0.417	0.183	10.020	0.01
11/14/19	6.600	10.4	7.0	<0.1	2.224	3.6	4.0	<0.1	2.490	2.7	2.5	0.1	0.118	9.0	7.6	ND	0.434	0.188	10.410	0.00
11/15/19	6.640	10.2	6.0	0.5	2.652	3.4	4.0	<0.1	0.010	1.9	1.8	<0.1	1.216				0.434	0.183	11.710	0.00
11/16/19	6.630				2.552				0.000				0.124				0.436	0.184	10.620	0.00
11/17/19	6.800	3.1	8.9		3.467				0.640				0.388	14.8	10.0	0.1	0.440	0.187	10.260	0.01
11/18/19	7.160	11.0	5.2	0.1	3.136	2.7	7.0	<0.1	0.590	3.5	7.0	0.1	0.248	5.8	6.1	ND	0.443	0.028	11.950	0.00
11/19/19	6.940	8.1	6.0	<0.1	2.680	3.6	8.0	<0.1	0.230	3.1	8.4	<0.1	0.075	7.2	6.6	ND	0.442	No Flow	10.440	0.00
11/20/19	7.110	10.3	6.0	<0.1	2.863	4.7	4.0	<0.1	0.290	2.4	2.9	<0.1	0.016	16.8	12.0	0.1	0.440	0.128	9.720	0.17
11/21/19	7.130	21.6	12.0	5.1	2.466	3.2	5.0	<0.1	1.090	2.0	2.6	<0.1	1.063	13.2	9.7	ND	0.438	0.188	10.410	0.01
11/22/19	7.410	12.7	7.0	0.1	3.353	4.0	4.0	<0.1	1.860	1.8	2.8	<0.1	1.535				0.438	0.183	12.470	0.00
11/23/19	7.370				2.734				1.480				1.583				0.437	0.184	13.570	0.00
11/24/19	7.370	5.9	8.7		2.921				1.520				1.602	8.8	8.2	ND	0.436	0.188	13.710	0.00
11/25/19	7.270	9.3	3.7	<0.1	3.110	4.0	7.0	<0.1	0.610	5.4	7.3	<0.1	1.594	10.6	9.0	0.1	0.188	0.135	13.750	0.00
11/26/19	7.170	8.4	4.6	0.1	3.021	3.6	6.0	<0.1	2.530	4.1	6.2	0.2	1.536	7.4	6.8	<0.1	0.000	0.167	12.310	0.00
11/27/19	7.150	6.1	4.7	<0.1	3.088	3.1	6.0	<0.1	1.230	3.6	3.2	0.2	1.698	5.8	5.5	0.4	0.000	0.193	14.440	0.32
11/28/19	8.370	10.9	6.3	0.1	3.463	4.9	4.0	<0.1	3.180	5.4	3.0	0.5	2.170	8.2	7.5	0.2	0.000	0.204	14.730	2.03
11/29/19	11.120	20.8	11.4	0.1	5.297	3.9	4.0	<0.1	2.050	10.2	4.1	0.2	1.657				0.000	0.202	21.370	0.22
11/30/19	8.960				3.795				2.180				1.636				0.000	0.202	16.690	0.01
AVG	7.156	10.1	6.6	<0.4	2.712	4.0	5.5	<0.1	0.827	3.1	4.5	<0.1	0.691	9.8	8.4	ND0.1	0.341	0.165	11.596	
TOTAL	214.680				81.345				24.820				20.730				10.230	4.961	347.890	2.78

Unified Beach Monitoring

#1

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: November 2019
 REPORT DUE: January 1, 2020
 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 950

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	11/04/19	820	<20	<20	<2	None	None	None	None	Green		Clear		
S1	11/04/19	850	<20	20	<2	None	None	None	None	Green		Clear		
S2	11/04/19	805	<20	<20	4	None	None	None	None	Green		Clear		
DSB5	11/04/19	755	<20	<20	<2	None	None	None	None	Green		Clear		
S3	11/04/19	900	<20	<20	20	None	None	None	None	Green		Clear		
DSB4	11/04/19	905	<20	<20	2	None	None	None	None	Green	63	Clear		
S5	11/04/19	910	<20	<20	<2	None	None	None	None	Green		Clear		
DSB1	11/04/19	920	<20	<20	2	None	None	None	None	Green		Clear		
SJC1	11/04/19	815	<100	<100	<10	None	None	None	None	Green		Clear		

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

Unified Beach Monitoring

#2

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: November 2019
 REPORT DUE: January 1, 2020
 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 0802

Weather: Fog

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	11/12/19	0836	<20	<20	14	None	None	None	None	Green	63	Turbid		15
S1	11/12/19	0845	<20	<20	6	None	None	None	None	Green		Turbid		
S2	11/12/19	0823	40	80	20	None	None	None	None	Green		Turbid		
DSB5	11/12/19	0809	20	<20	14	None	None	None	None	Green		Turbid		
S3	11/12/19	0847	20	20	40	None	None	None	None	Green		Turbid		
DSB4	11/12/19	0846	200	40	180	None	None	None	None	Green		Turbid		
S5	11/12/19	0855	<20	<20	10	None	None	None	None	Green		Turbid		
DSB1	11/12/19	0902	20	<20	6	None	None	None	None	Green		Turbid		
C1	11/12/19	0836	10	<10	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.

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: November 2019
 REPORT DUE: January 1, 2020
 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 1102

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	11/20/19	850	40	<20	4	None	None	None	None	Green	63	Clear		
S1	11/20/19	855	40	<20	<2	None	None	None	None	Green		Clear		
S2	11/20/19	810	<20	20	2	None	None	None	None	Green		Slightly Turbid		
DSB5	11/20/19	755	<20	<20	22	None	None	None	None	Green		Slightly Turbid		
S3	11/20/19	900	40	<20	2	None	None	None	None	Green		Clear		
DSB4	11/20/19	910	40	20	8	None	None	None	None	Green		Clear		
S5	11/20/19	920	<20	<20	<2	None	None	None	None	Green		Clear		
DSB1	11/20/19	925	<20	<20	2	None	None	None	None	Green		Clear		
C1	11/20/19	845	<100	<100	<10	None	None	None	None	Green		Clear		

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

Unified Beach Monitoring

#4

South Orange County Wastewater Authority-San Juan Creek Ocean Outfall

REPORT FOR: November 2019
 REPORT DUE: January 1, 2020
 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 757

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	11/26/19	848	20	<20	8	None	None	None	None	Green		Turbid		
S1	11/26/19	830	200	<20	6	None	None	None	None	Green		Turbid		
S2	11/26/19	910	40	<20	<2	None	None	None	None	Green	61	Turbid		
DSB5	11/26/19	816	20	<20	14	None	None	None	None	Green		Turbid		
S3	11/26/19	835	<20	20	2	None	None	None	None	Green	61	Turbid		
DSB4	11/26/19	839	<20	<20	4	None	None	None	None	Green		Turbid		
S5	11/26/19	825	60	20	18	None	None	None	None	Green		Turbid		
DSB1	11/26/19	820	40	40	4	None	None	None	None	Green		Turbid		
C1	11/26/19	850	100	<100	20	None	None	None	None	Green		Turbid		

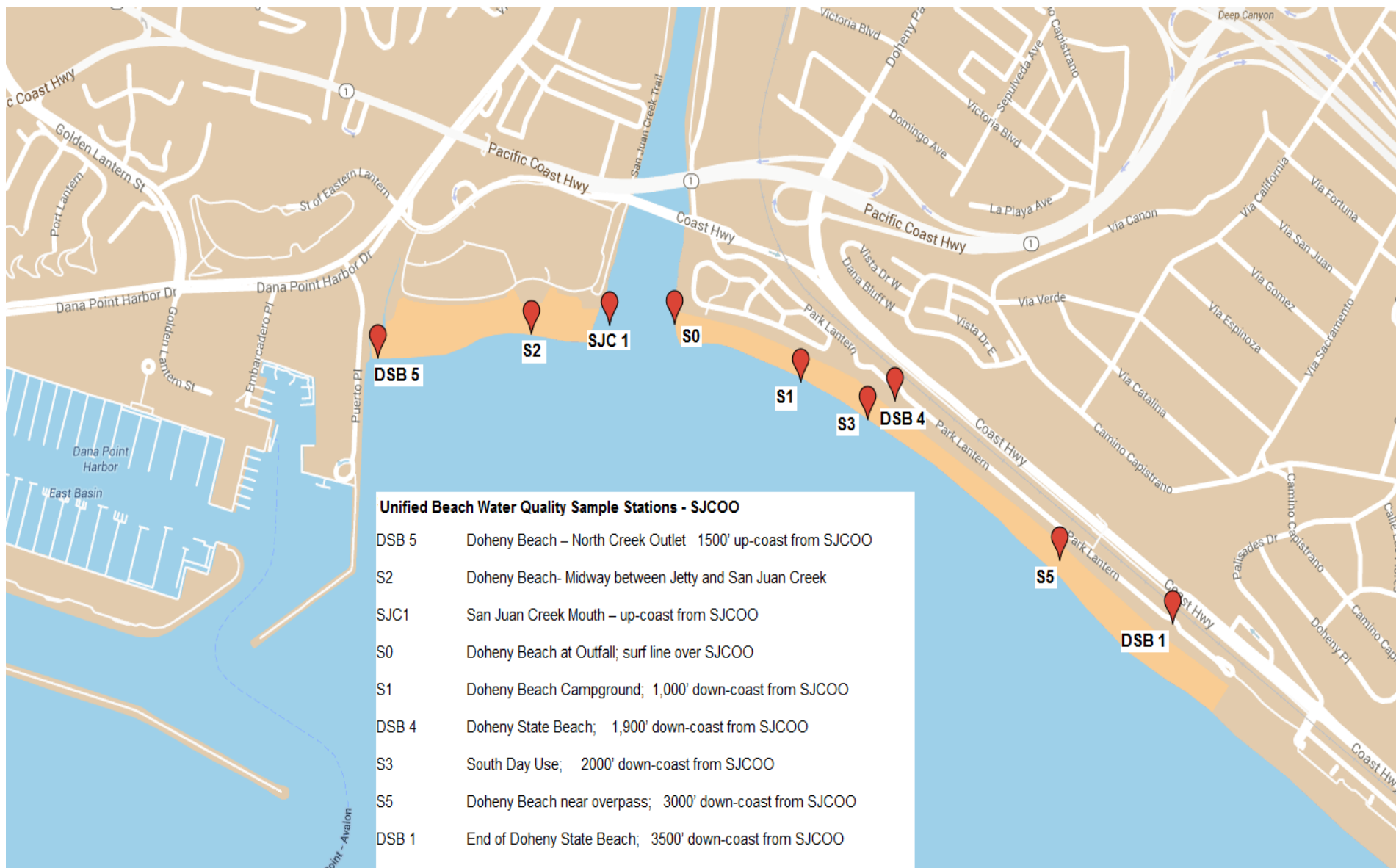
RECEIVING WATER LIMITATIONS: Single Sample Maximum - Total coliform density shall not exceed 10,000 per 100ml; Fecal coliform density shall not exceed 400 per 100ml; Enterococcus density shall not exceed 104 per 100ml.

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: November 2019

REPORT FREQUENCY: Monthly

REPORT DUE: January 1, 2020

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 546

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	11/06/19	<2	<2	<2	916	0	0	
A-1	Mid depth	11/06/19	<10	<10	<10				
A-2	Surface	11/06/19	<2	<2	<2	920	0	0	
A-2	Mid depth	11/06/19	<10	<10	<10				
A-3	Surface	11/06/19	<2	<2	<2	927	0	0	
A-3	Mid depth	11/06/19	20	30	<10				
A-4	Surface	11/06/19	<2	<2	<2	936	0	0	
A-4	Mid depth	11/06/19	<10	10	<10				
A-5	Surface	11/06/19	<2	<2	<2	933	0	0	
A-5	Mid depth	11/06/19	160	170	10				
B-1	Surface	11/06/19	<2	<2	<2	912	0	0	
B-1	Mid depth	11/06/19	<10	<10	<10				
B-2	Surface	11/06/19	<2	<2	<2	943	0	0	
B-2	Mid depth	11/06/19	<10	20	<10				
N1	Surface	11/06/19	<2	<2	<2	905	0	0	
N2	Surface	11/06/19	<2	<2	<2	858	0	0	
N3	Surface	11/06/19	6	<2	<2	854	0	0	
N4	Surface	11/06/19	<2	6	4	852	0	0	
N5	Surface	11/06/19	<2	<2	<2	850	0	0	
N6	Surface	11/06/19	<2	<2	<2	848	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	11/21/2019	Settleable Solids	Instaneous Exceedance	mL/L	Daily	5.1 mL/L	\$3,000
City of San Juan Capistrano	11/26/2019	Oil and Grease	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
City of San Juan Capistrano	11/26/2019	Total Suspended Solids	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
City of San Juan Capistrano	11/26/2019	Turbidity	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
City of San Juan Capistrano	11/26/2019	pH	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
City of San Juan Capistrano	11/26/2019	Settleable Solids	Monitoring Failure	mg/L	Daily	Not Reported	\$3,000
City of San Juan Capistrano	11/26/2019	Conductivity	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
SOCWA	SMWD & SCWD	500	Secondary Effluent	The Chiquita Water Reclamation Plant has a weekly procedure to drain the flow equalization tank. The drain was opened during the weekly maintenance activity which resulted in a surge in the effluent transmission line and a spill at the South Coast Water District's Groundwater Reclamation Facility due to a manhole cover not bolted down. Approximately 200 gallons of secondary effluent was contained on site with approximately 300 gallons entering the storm drain at the SCWD's facility which is adjacent to the San Juan Creek. Investigation found additional wet spots on multiple air relief valves on the effluent transmission main.	San Juan Creek	Yes	10-31-19

Recycled Water Report

**Compliance Summary Report
Recycled Water Permit
2019**

Waste Discharge Requirement Order 97 - 52

Agency - Facility	Violation Date	Constituent	Effluent Limit Violation	Units	Permit Limit	Reported Value	Remarks
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	Instantons	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.
MNWD - 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.
MNWD - 3A	2/7/2019	Manganese	12-Month	mg/L	0.05	0.06	
MNWD - 3A	2/9/2019	Coliform	Instantons	cfu/100mL	<2	2419	Suspected sample contamination.
SOCWA - RTP	3/5/2019	Manganese	12-Month	mg/L	0.05	0.07	
MNWD - 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	
MNWD - 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	
MNWD - 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	
MNWD - 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

Agency - Facility	Violation Date	Constituent	Effluent Limit Violation	Units	Permit Limit	Reported Value	Remarks
SOCWA - CTP	7/23/2019	Manganese	12-Month	mg/L	0.05	0.06	
MNWD - 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	
MNWD - 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	
MNWD - 3A	9/30/2019	Manganese	12-Month	mg/L	0.05	0.07	
SOCWA - RTP	10/2/2019	Manganese	12-Month	mg/L	0.05	0.10	
SOCWA - RTP	10/2/2019	TDS	12-Month	mg/L	1000	1058	
SOCWA - CTP	10/2/2019	Manganese	12-Month	mg/L	0.05	0.06	
MNWD - 3A	10/31/2019	Manganese	12-Month	mg/L	0.05	0.07	
SMWD - OCWRP	10/31/2019	Coliform	Instantons	cfu/100mL	240	1733	SMWD reports unknown source of contamination but that treatment processes were functioning properly.
SOCWA - RTP	11/5/2019	Manganese	12-Month	mg/L	0.05	0.10	
SOCWA - RTP	11/5/2019	TDS	12-Month	mg/L	1000	1042	
SOCWA - CTP	11/5/2019	Manganese	12-Month	mg/L	0.05	0.07	
MNWD - 3A	11/30/2019	Manganese	12-Month	mg/L	0.05	0.07	

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

QUARTERLY RECYCLED WATER MONITORING

Monitoring Period Ending:

Nov 30, 2019

Constituent	Units	12-month Avg Maximum Permit Limit	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	865	694	771	861	971	1,042	898
Chloride	mg/L	375	221	181	188	233	204	240	222
Sulfate	mg/L	400	238	226	200	260	278	282	230
Sodium	mg/L	None	172	140	143	185	180	162	145
Alkalinity	mg/L	None	-	-	-	-	240	223	196
Adjusted SAR	Ratio	None	5.08	4.91	4.73	5.70	4.23	3.97	4.24
Iron	mg/L	0.3	0.027	0.015	0.177	0.156	0.14	0.208	0.129
Manganese	mg/L	0.05	0.018	0.016	0.027	0.011	0.073	0.101	0.066
MBAS	mg/L	0.5	0.06	0.18	0.25	0.25	0.18	0.05	0.07
Boron	mg/L	0.75	0.286	0.320	0.350	0.370	0.32	0.345	0.35
Fluoride	mg/L	None	0.37	0.713	0.71	0.51	0.84	0.96	0.83
Total Organic Carbon	mg/L	None	10.1	12.0	12.0	9.6	5.9	12.1	9.7

*** 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	0.00	0.00	0.00	0.00	0.00	0.00	0.72	19.72	20.69	21.54	24.19		86.86
CSJC 2	Chiquita/ SMWD	0.18	0.00	3.89	35.02	38.25	38.77	37.01	42.02	38.96	35.88	22.32		292.31
CSJC 3	Non-Domestic Well	13.29	3.41	11.50	27.69	18.43	30.35	46.26	43.49	35.62	8.44	4.07		242.55
ETWD	Region 8	23.64	10.09	41.03	130.77	98.00	147.87	197.72	217.60	171.19	158.60	87.93		1284.44
IRWD														0.00
4	IRWD - 8	35.00	11.25	16.55	82.85	115.79	106.75	158.69	161.82	164.62	152.74	107.46		1113.51
4	IRWD - 9	15.72	2.97	10.97	60.60	59.54	69.00	95.59	106.49	96.93	80.73	57.96		656.50
SCWD	SOCWA CTP	-0.83	0.00	0.00	0.00	54.27	97.46	130.23	142.98	125.80	109.71	63.92		723.54
MNWD	JRP	245.54	221.48	112.32	373.36	471.17	551.26	597.14	620.87	571.15	583.61	423.97		4771.88
	3-A Plant	0.00	14.35	74.85	176.55	0.00	0.00	95.39	118.70	129.38	140.22	90.33		839.77
5	CTP	10.71	1.48	-15.58	-74.25	-30.10	5.53	13.20	17.60	15.32	12.78	6.94		-36.37
SMWD	Oso Creek	103.42	142.27	151.76	139.67	138.56	122.54	126.90	147.21	139.97	142.41	138.27		1492.98
	Chiquita	179.53	45.27	55.06	235.14	174.22	364.74	454.75	465.46	425.29	433.17	395.86		3228.47
	Nichols	2.00	1.97	1.94	1.73	1.90	2.03	2.14	2.34	2.10	1.65	1.49		21.29
TCWD	RRWRP	41.93	23.76	22.53	35.95	42.75	41.75	39.98	30.95	34.85	47.67	47.95		410.07
TOTALS		670.14	478.31	486.81	1225.08	1182.77	1578.06	1995.72	2137.24	1971.87	1929.15	1472.65		15127.79

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

4d

Board of Directors Meeting

Meeting Date: January 9, 2020

TO: Board of Directors

FROM: Betty Burnett, General Manager

STAFF CONTACT: Katie Greenwood, Source Control Manager

SUBJECT: Monthly Pretreatment Report, December 2019
San Juan Creek Ocean Outfall
NPDES Permit #CA0107417 Order #R9-2012-0012
Aliso Creek Ocean Outfall
NPDES Permit #CA0107611 Order #R9-2012-0013

Summary of Program Activities

State contractors conducted a Pretreatment Compliance Audit (PCA) of SOCWA's Pretreatment Program on December 5-6, 2018. Staff received the PCA Report via email on November 14, 2019. The following three categorical industrial user (CIU) facility files were reviewed: Global Power Tech. (GP Tech) (Zero Discharger), Jared Jewelry (Non-Significant Discharger, <100 gpd Discharger), and South Coast Fashion Jewelry (SCFJ) (Categorical Industrial Discharger, ~10,000 gpd). Two facilities were also inspected as part of the audit process: Applied Medical's permitted passivation facility and SCFJ.

- The PCA Report includes five required actions for resolution: 1) amend the wastewater discharge (WD) Permit for GP Tech to correctly state sample type as composite and not grab, 2 & 3) include adequate permit language to require notification of planned or anticipated bypass discharges and any changes affecting slug discharge potential, 4) revise SOCWA's sewer use ordinance (SUO) to include a definition for categorical standard, and 5) amend SOCWA's SUO language to correctly reflect IU repeat sampling requirements.
- The PCA Report also includes seven recommendations for program improvement including modification of permit language, the addition of four definitions to SOCWA's SUO, and amendment of SOCWA's SUO language for submittal of IU monitoring results.
- Staff is preparing a PCA Report response to submit to the RWQCB by February 12, 2020.

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:

MNWD – WD Permit No. MNWD-2-001 - SOKA University of America STEM Laboratory – University Staff submitted a permit application in October 2019. SOCWA Staff prepared a draft WD Permit currently under review and on hold until construction of the new laboratory is complete and ready for inspection.

CSC – WD Permit No. CSC-2-010 – Reynard Corporation – Reynard is a lens and custom optics manufacturer in the process of expanding. Facility Staff submitted a permit application on December 15, 2019 and SOCWA Staff is preparing a draft permit to regulate the discharge of wastewater produced and associated with photo development, parts stripping/grinding/polishing, and an ultrasonic cleaner.

IRWD – SWD Permit No. IRWD-4-001 – Beacon Bay Enterprises – A permit modification request to increase the daily flow limit was submitted to SOCWA on December 23, 2019 and is currently under review.

Summary of IWS Activities in the SOCWA Service Area - YTD through December 30, 2019

<u>MA IUs</u>	<u>Events</u>	<u>Permits</u>	<u>NIWD</u>	<u>BMPs</u>	<u>FSEs</u>	<u>OSEs</u>	<u>DSEs</u>	<u>Closed</u>	<u>Enforcement</u>	<u>Total IUs</u>
CLB (S)	0	3	2	5	8	111	0	0	0	129
CSC (S)	2	7	35	18	181	1283	0	0	2	1524
CSJC (S)	1	2	27	59	137	1669	0	0	1	1894
ETWD (M)	1	3	98	0	262	134	0	0	1	497
EBSD (U)	0	1	0	0	0	0	0	0	0	1
IRWD (S)	1	4	51	21	63	920	0	0	0	1059
MNWD (S)	152	4	123	40	622	2063	82	27	1	2934
SMWD (S)	73	6	19	20	197	763	34	17	5	1039
SCWD (S)	0	7	33	7	7	184		0	1	238
TCWD (S)	0	11	0	0	0	33		0	0	44
SOCWA (S)	0	3	1	0	0	0		0	1	4
Totals	178	51	389	170	1480	7164	116	33	12	9363
Other Dentists							368			9731

(S) = SOCWA conducts PT program.

(M) = MA conducts PT program /w SOCWA oversight.

(U) = Urban Diversion Only.

YTD = Year to Date.

NIWD = Non-industrial Waste Discharger.

BMP = Best Management Practices.

FSE = Food Service Establishment.

OSE = Other Surveyed Establishment.

Agenda Item

4f

Board of Directors Meeting

Meeting Date: January 9, 2020

TO: Board of Directors

FROM: Betty Burnett, General Manager

STAFF CONTACT: Jason Manning, Director of Engineering

SUBJECT: Capital Improvement Program Status Report

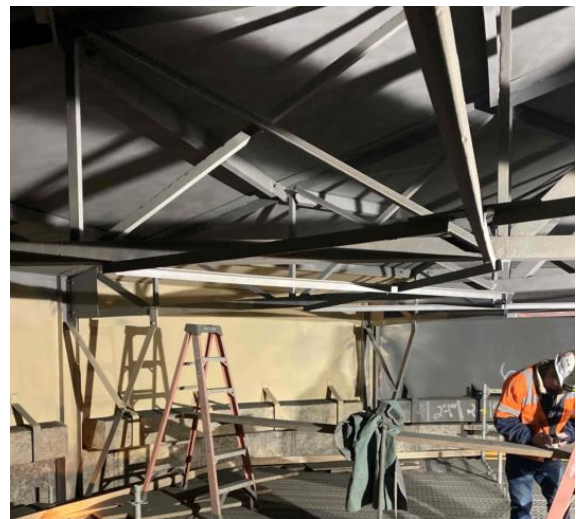
The status of the SOCWA Capital Improvement Program is presented in the tables on the following pages.

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

Plant 1 Basin Repairs, DAF Rehabilitation, Energy Building seismic retrofit and minor rehabilitation, Digester 4 rehabilitation:

Digester 4 Rehabilitation – (Left) Tenting installed for blasting and coating inside of Digester No. 4. (Right) Blasting and coating work inside of Digester No. 4.



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Coastal Treatment Plant Facility Improvements

Basin and Electrical rehabilitation:

Concrete pad demolition underway in the Chlorine Building in preparation for new electrical equipment.



Regional Treatment Plant Miscellaneous Improvements 2018

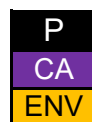
Secondary electrical upgrades and Primary Gallery rehabilitation, installation of access walkway and Energy Building roof.

Secondary Electrical – (Left) Stair removal on Secondary Clarifiers complete to make room for new electrical conduit. (Right) Duct bank installed and pad completed for junction box installation near Administration building.



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	Package B (Plant 1 Basin Repairs, DAF Rehabilitation, Energy Building seismic retrofit and minor rehabilitation, Digester 4 rehabilitation)	C	C	C	C	C	C	C	C
3350-000	MCC "M" Replacement Design	D	D	D	D				
3221-000	Electrical System Evaluation	P	P	P					
3353-000	Centrate System Design		D	D					
4001-000	Plant Drain System Study	P	P						
4201-000	Plant 1 Blower Building Condition Assessment	CA	CA	CA					
4204-000	Electrical Manhole Condition Assessment	CA	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	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		



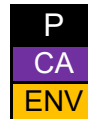
P Planning
CA Condition Assessment
ENV Environmental/Permitting



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 (Basin and Electrical rehabilitation)	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	



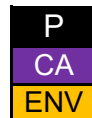
P Planning
CA Condition Assessment
ENV Environmental/Permitting



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 (Secondary electrical upgrades and Primary Gallery rehabilitation, installation of access walkway and Energy Building roof)	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

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 2(R) - JB LATHAM TREATMENT PLANT CAPITAL PROJECTS
('19/'20)**

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECT LIQUIDS			
3220-000	Package B Liquids (Plant 1 Basin repairs, DAF rehabilitation)	Construction	The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting. Tasks 3226-000 and 3228-000 have been combined into to this one Task Code.
4201-000	Plant 1 Blower Building Condition Assessment	Study	The contract was awarded at the September 5, 2019 SOCWA Board Meeting.
4202-000	Pipeline Condition Assessment Methodology Evaluation	Study	Project scheduled to begin in February 2020.
4203-000	Plant Hydraulic Model and Flow Management Plan	Study	The contract was awarded at the October 3, 2019 SOCWA Board Meeting.
3250-000	Plant 1 Grit Basin Improvements (2017)	Construction	This project has been completed.
3350-000	Motor Control Center 'M' Replacement (2019)	Design	This project is part of the JBL Electrical System Evaluation project. The contract was awarded at the October 3, 2019 SOCWA Board Meeting.
CAPITAL IMPROVEMENT PROJECT COMMON			
3231-000	Package B Common (Energy Building seismic retrofit and minor rehabilitation)	Construction	The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting. Tasks 3216-000 and 3230-000 have been combined into to this one Task Code.
3221-000	Electrical System Evaluation	Study	This project is part of the JBL Electrical System Evaluation project. The contract was awarded at the October 3, 2019 SOCWA Board Meeting.
4001-000	Plant Drain System Study (2017) (NCP)	Study	TetraTech is proceeding with the mapping of the drain system.
4204-000	Electrical Manhole Condition Assessment	Study	This project is part of the JBL Electrical System Evaluation project. The contract was awarded at the October 3, 2019 SOCWA Board Meeting.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 2(R) - JB LATHAM TREATMENT PLANT CAPITAL PROJECTS
('19/'20)**

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECT SOLIDS			
3287-000	Package B Solids (Digester 4 rehabilitation)	Construction	The construction contract for Package 'B' was awarded at the April 4, 2019, SOCWA Board meeting. Tasks 3224-000, 3233-000 and 3236-000 have been combined into to this one Task Code.
3353-000	Centrate System Design (2019)	Design	The recommendation for award of the contract is being presented at the October 3, 2019 SOCWA Board Meeting.
4214-000	Solids Management Plan	Study	Project is scheduled to begin in February 2020.

**SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 5 - SAN JUAN CREEK OCEAN OUTFALL CAPITAL PROJECTS
('19/'20)**

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECTS			
3601-000	Junction Structure Rehabilitation Design	Design	The proposals for this work were approved at the June 6, 2019 Board Meeting.
3357-000	Junction Structure Reinforcement Permitting and Final Design	Design	The proposals for this work were approved at the June 6, 2019 Board Meeting.

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 15(R) - COASTAL TREATMENT PLANT CAPITAL PROJECTS
('19/'20)

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECTS LIQUIDS			
3539-000	Facility Improvements (Basin and Electrical Rehabilitation)	Construction	The construction contract for Facility Improvements Project was awarded at the June 6, 2019 SOCWA Board meeting. Task 3595-000 has been combined into to this one Task Code.
3534-000	Export Sludge System (1997)	Design	The California Coastal Commission approved the permit extension. Approval of the Public Access Plan is pending. Due to the timing of the permitting and nesting season, the project has been delayed to start in the fall of 2020.
3358-000	Personnel Building Reconstruction (2019)	Bid	This project is being delayed as we verify ADA compliance for the updates.
3361-000	AWMA Road Sites West 1 and 2 Embankment Protection (2019)	Design	The engineering services contracts were awarded to Tetra Tech and Dudek at the August 8, 2019 SOCWA Board meeting.
3362-000	Aliso Creek Long Term Repair Planning (2019)	Planning	The engineering services contracts were awarded to Tetra Tech and Dudek at the August 8, 2019 SOCWA Board meeting.
3553-000	Plant Drainage Improvements (2017)	Design	TetraTech has completed design. Project expected to advertise for bid in January 2020.
3360-000	Vehicle Storage Building Roof (2019)	Construction	Project completed by Operations staff.
4501-000	Electrical Manhole/Cable Assessment	Study	Project is scheduled to begin in December 2019.
4502-000	Building Roof Condition Assessment	Study	Project is scheduled to begin in December 2019.
CAPITAL IMPROVEMENT PROJECT AWT			
3364-000	Chlorine Contact Basin Mixer Construction (AWT) (2019)	Construction	Installation of clearwell pump valves was completed in August 2019. Design of pilot valve panel and installation will likely occur in December 2019 or January 2020.

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS
('19/'20)

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECT LIQUIDS			
3701-000	Miscellaneous Improvements 2018 (Secondary electrical upgrades and Primary Gallery rehabilitation)	Construction	The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting. Tasks 3702-000, 3730-000, 3784-000, 3785-000, and 3786-000 have been combined into to this one Task Code.
3752-000	AWT No.2 Upgrade Design (2017)	Design	The design by Carollo is completed. The timing of the bid is under discussion.
3758-000	AWT No.2 Upgrade Construction	Bid	A small portion of this project will be completed this year to maintain operation of the AWT
3759-000	AWT No.2 Electrical Upgrades	Bid	A small portion of this project will be completed this year to maintain operation of the AWT
3741-000	Southwest Influent Sewer and Manhole Design (2019)	Design	The draft RFP for this item will be presented to the Engineering Committee after completion of the Moulton Niguel Water District design.
4008-000	Effluent Equalization Pond and Gate Condition Assessment (2017) (NCP)	Condition Assessment	Due to weather, this will be delayed until Spring of 2020

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS
('19/'20)

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECT COMMON			
3769-000	Trailer Drain Line	Construction	This is the common portion of the Miscellaneous Improvement 2018 project. The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting.
3761-000	External Lighting Upgrade	Bid	This item has been removed from the Miscellaneous Improvements 2018 project and will be repackaged in a subsequent project.
3744-000	Administration Building Repair Design (2019)	Design	This project has been awarded to Tetra Tech.
3745-000	West Slope Protection Evaluation (2019)	Study	This project has been awarded to Tetra Tech.
3746-000	Motor Control Center A, G, H Design (2019)	Design	The SOCWA Board approved the award of contract to Lee & Ro at the March 7, 2019, SOCWA Board Meeting.
3747-000	Southside Plant Flooding Evaluation (2019)	Study	This project has been awarded to Tetra Tech.
3740-000	SE Electrical Manhole Reconstruction (2018)	Design	The SOCWA Board approved the award of contract to Lee & Ro at the March 7, 2019, SOCWA Board Meeting.
4703-000	Laboratory Reconstruction Evaluation	Study	Project is scheduled to begin in February 2019.
4704-000	Evaluate Plant and Storm Water Drainage System	Study	Project is scheduled to begin in October 2019.

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 17(R) - REGIONAL TREATMENT PLANT CAPITAL PROJECTS
('19/'20)

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECT SOLIDS			
3751-000	Miscellaneous Improvements 2018 (Installation of access walkway and Energy Building roof)	Construction	The construction contract was awarded to Filanc at the May 16, 2019 SOCWA Board meeting. Task 3790-000 has been combined into to this one Task Code.
3749-000	Phase I Solids Piping Upgrade (2019)	Construction	This project is expected to advertise for bid in January 2020.
3750-000	Dewatering Room Floor Sealing and Lighting (2019)	Design	Harper & Associates has been retained to provide a specification for the floor sealing.
3754-000	SET Piping Reconstruction (2019)	Construction	This project is expected to advertise for bid in November 2019.
3790-000	Solids Area Upgrade Design (2018)	Design	Lee & Ro is working on the design for the modifications to the digester gas piping.
3772-000	Hot Water Piping Reconstruction	Design	Carollo has completed the initial design for upgrading the Hot Water Piping.
3773-000	Cogeneration System Modifications	Design	A review is being conducted to identify the needed elements for this project. The project should advertise for design in October.

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 21 - EFFLUENT TRANSMISSION MAIN CAPITAL PROJECTS
('19/'20)

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECTS			
3105-000	Air Vacuum Release Valve Replacement Reach D Design and Permitting	Design	RFP for design to be submitted in January 2020
3106-000	Air Vacuum Release Valve Replacement Reach E Design and Permitting	Design	RFP for design to be submitted in January 2020
3101-000	Trail Bridge Creek Crossing Protection (Reach D) Design and Permitting	Design	Tetra Tech has submitted a set of design drawings for SOCWA review.

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
PROJECT COMMITTEE NO. 24 - ALISO CREEK OCEAN OUTFALL CAPITAL PROJECTS
('19/'20)

<i>Task Code</i>	<i>Description</i>	<i>Phase</i>	<i>Status</i>
CAPITAL IMPROVEMENT PROJECTS			
3480-000	Internal Seal Replacement (2018)	Design	A purchase order has been issued to Black & Veatch to provide design documents. The project is expected to advertise for bidding in January 2020.

Agenda Item

5a

Board of Directors Meeting

Meeting Date: January 9, 2020

TO: Board of Directors

FROM: Betty Burnett, General Manager

STAFF CONTACT: Dina Ash, Human Resource Administrator

SUBJECT: Resolution No. 2020-01 Approving a Revised Employee Manual

Summary/Discussion

Attached for your review is Resolution No. 2020-01 related to the Board approved Employee Manual. The SOCWA Employee Manual was approved by the Board of Directors at the November 7, 2019 Board meeting. To implement the approval with CalPERS (as to pay and benefits addressed in the document), SOCWA should provide a Resolution demonstrating approval of the Board. The attached Resolution will accomplish documenting the Board approval.

Since the Board approval of the revised Employee Manual at the November 7, 2019 Board meeting, Labor Counsel, Brad Neufeld, has recommended that a Lactation Accommodation Policy be included in the Employee Manual as a new Attachment F in order to comply with a new California law that became effective January 1, 2020.

Fiscal impact

None

Recommended Action

Staff recommends the Board to approve "Resolution No. 2020-01 of the Board of Directors of the South Orange County Wastewater Authority Documenting Approval of the Revised Employee Manual for all SOCWA Employees".

Attachment(s)
Resolution No. 2020-01
Employee Manual

**RESOLUTION NO. 2020-01
OF THE
BOARD OF DIRECTORS OF THE
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
DOCUMENTING APPROVAL OF THE REVISED EMPLOYEE MANUAL
FOR ALL SOCWA EMPLOYEES**

WHEREAS, the employees of the South Orange County Wastewater Authority are a viable and important part of the SOCWA organization, and

WHEREAS, a revised Employee Manual effective November 7, 2019 was presented to the Board for its approval.

NOW, THEREFORE, the Board of Directors of the South Orange County Wastewater Authority does hereby RESOLVE, DETERMINE AND ORDER as follows:

Section 1. The revised Employee Manual effective November 7, 2019 is approved by the Board of Directors on behalf of the Authority.

Section 2. The Secretary of SOCWA shall certify the adoption of Resolution No. 2020-01 and shall maintain a certified copy thereof at the principal office of SOCWA.

PASSED AND ADOPTED BY the Board of Directors of the SOUTH ORANGE COUNTY WASTEWATER AUTHORITY, County of Orange, State of California on the 9th day of January 2020.

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

Daniel R. Feron, Chairman

Betty Burnett, General Manager and Board Secretary

(Seal)

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
EMPLOYEE MANUAL

Effective November 7, 2019
Until Revised

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SECTION I.

A. PURPOSE

It is the objective of the South Orange County Wastewater Authority (SOCWA), hereinafter referred to as the "Agency", to provide fair and equitable personnel management within the Agency.

This manual is intended to insure uniform and fair treatment of applicants for employment and of the Agency employees and to define the obligations, rights, privileges, benefits and prohibitions to all employees of the Agency. This manual may be modified at any time. For employees in a recognized bargaining unit, if there is a conflict between the provisions of this manual and a valid MOU, the MOU shall control.

B. DEFINITIONS

For purposes of this Employee Manual, the following definitions shall apply:

1. **AGENCY**
This shall mean the South Orange County Wastewater Authority authorized under the California State Government Code Section 6500 et. al.
2. **SEA**
This shall mean the SOCWA Employee Association.
3. **BOARD OF DIRECTORS**
This shall mean the Board of Directors of the Agency.
4. **GENERAL MANAGER**
This shall mean the General Manager of the Agency, appointed by the Board of Directors.
5. **DIRECTOR OF OPERATIONS**
This shall mean the Director of Operations of the Agency.
6. **FULL-TIME EMPLOYEE**
This shall mean all employees appointed by the General Manager for employment on a regular basis of eighty hours (80) per pay period.
7. **PART-TIME EMPLOYEE**

This shall mean all employees appointed by the General Manager for employment on a regular basis who work between 40 and 72 hours per pay period.

8. **TEMPORARY EMPLOYEE**

This shall mean any employee hired by the General Manager for a limited period of time and paid by the hour. Except as otherwise explicitly stated in this Manual, temporary employees only receive those benefits required by applicable law.

9. **PROBATIONARY EMPLOYEE**

This shall mean any employee who has taken a new appointment. The employee shall be subject to a probationary period of between six to twelve months.

10. **REGULAR EMPLOYEE**

This shall mean any employee (who is not a temporary employee) who has successfully passed his/her probationary period.

11. **DELEGATION OF RESPONSIBILITY BY THE GENERAL MANAGER OR DESIGNEE**

This shall mean that in the absence of the General Manager, his/her designated representative shall act in his/her behalf.

12. **SAFETY HANDBOOK**

This shall mean that document which contains the Agency Injury and Illness Prevention Safety Program.

C. ORGANIZATION CHART

The Agency current table of organization is depicted as Exhibit "C" to this policy, which exhibit is attached hereto and by reference incorporated herein. The same shall be revised from time to time in each fiscal year and shall be shown in the budget.

SECTION II EMPLOYMENT

A. HIRING

1. The Agency subscribes to the public policies of the United States and the State of California as expressed in all applicable statutes that are necessary to protect and safeguard the right and opportunity of all persons to seek, obtain, and hold employment without discrimination or abridgment because of race, religious creed, color, age, sex, gender, physical or mental disability, medical condition, national origin, gender identity, gender expression, genetic information, sexual orientation, military and veteran status or ancestry. It is the policy of the Agency to

provide equal employment opportunity to all persons. Its recruitment and employment practices, all offers of employment and all its courses of action concerning training opportunities and training, job placement, promotion, compensation and termination are based solely on merit without regard to race, religious creed, color, age, sex, gender, gender identity, sexual orientation, physical or mental disability, medical condition, national origin, gender expression, genetic information, ancestry, military and veteran status or any other protected category. To assist in fulfilling the Agency policies regarding equal employment, the Agency has elected to undertake certain Equal Employment Opportunity Policies set forth in this Employee Manual.

2. All employees shall be appointed to their positions by the General Manager.
3. The General Manager shall hire new employees from time to time for positions as identified in the annual budget. Job classifications are approved by the Board of Directors as detailed in Exhibit "B" and shown on Exhibit "C" with the same being modified from time to time in accordance with Section IV.L.
4. Without approval from the Board of Directors, no direct relations of any Agency personnel shall be employed on a full-time, part-time or temporary basis. (The Agency will follow applicable law regarding marital status discrimination).
5. It shall be required that all employees certify, by signature, that they have received, read and fully understand the current Employee Manual and Safety Handbook.
6. The Agency will comply, to the extent applicable, with the provisions of the Fair Labor Standards Act, and other applicable statutes and regulations regarding wages, hours and benefits.
7. All employees entering full-time or part-time employment are required by Chapter 8 (commencing with Section 3100) Division 4, Title 1 of the Government Code to take and subscribe to an oath of allegiance to support and defend the Constitution of the United State of California.
8. All applicants for employment must complete all portions of the Agency employment application form.
9. It shall be required that all individuals accepting employment provide verification of work authorization and identity pursuant to the Immigration Reform and Control Act of 1986. Completion of the Employee section of Form I-9 is mandatory at hiring.

10. If an employee or applicant has a disability that limits their ability to perform essential job functions, the Agency will make reasonable efforts to accommodate them. To assist in the consideration of reasonable accommodation measures, the employee or applicant is encouraged to submit any relevant information from their physician or other healthcare practitioner. Further, upon an employee or applicant's request for accommodations, a meeting will be scheduled with the Human Resources department to engage in the "interactive process" where potential accommodations will be discussed.

B. EMPLOYEE EVALUATION

1. Original Appointments: Original appointments shall be subject to a probationary period of between six to twelve months. In the event an employee is off work for any reason for two or more weeks during the probationary period, then the probationary period will be extended by the amount of time that employee is away from work.
2. Probation Period: The probationary period shall be regarded as part of the selection process and shall be utilized for close observation and evaluation in order to determine the capability of the probationer to satisfactorily perform the requirements of the position.

After serving the probationary period and receiving a favorable rating from their immediate supervisor and/or Department Director and a favorable recommendation from the General Manager, said employee may thereafter be paid on a monthly basis at the rate fixed no greater than the amount approved by the General Manager and within the range the employee was hired. Passing the probation period with a satisfactory rating is a requirement for continued employment. Each year thereafter, the employee shall receive a performance rating. Upon recommendation of the General Manager, a new employee may be hired at a higher rate than the minimum salary of the applicable range of the salary schedule.

3. Promotional Appointments: Present employees will be notified of promotional opportunities when a vacancy occurs at any of the SOCWA treatment plants. Employees with the required knowledge, certification, skill, ability, interest and physical fitness will be given an opportunity to apply for such vacancies. Decisions regarding promotional appointments shall be made by a review panel appointed by the General Manager. All promotional appointments are subject to final approval by the General Manager. Promotional appointments shall be subject to at least a six (6) month and up to a nine (9) month probationary period. In the event an employee is off work for any reason for two or more weeks during the probationary period, then the probationary period will be extended by the amount of time that the employee is away from work.

Any employee, who is in a Grade I or II category, may be promoted to a Grade II or III upon:

- 1) Successful completion of the required or voluntary applicable exam; and
 - 2) Two consecutive above-standard performance reviews, one while in possession of the higher certification and recommendation of the employee's supervisor and approval of the General Manager.
4. Rejection during Probationary Period: A probationary employee may be rejected at any time without the right of appeal or hearing during the probationary period. A rejected probationer serving as a result of original appointment shall be dismissed from service. A rejected probationer serving as a result of promotional appointment shall be reinstated to the position or class, or comparable position, from which promoted, unless otherwise dismissed from service as provided in this policy.
 5. Reclassification. When a full-time employee is reclassified and the position he/she occupies is reclassified to a position with a lower salary range, the employee will be designated at the lower salary range unless otherwise recommended by the employee's supervisor and concurred with by the General Manager.
 6. Performance Evaluation: Employees who have passed their probationary period shall have their performance evaluated by their supervisors at least annually from the date of completing probation (anniversary date) (If an employee is out on an approved leave of greater than two consecutive weeks (excluding vacations), the evaluation date shall be moved back by an amount equal to the leave, less two weeks.) Additional evaluations may be prepared on such a frequency as is deemed appropriate by the supervisor. The evaluation and appraisal form will be reviewed together by both the employee and his/her supervisor and signed after having been reviewed and approved by the General Manager.

C. WORK DAYS

1. Work day shifts may be changed from time to time, in regard to the respective job functions. The workweek schedule will commence on Sunday and end on Saturday.

SOCWA establishes work schedules and start times to meet the needs of the organization. Normal work weeks consist of either five eight-hour day weeks (5/80), a 36-44 hour pay period (9/80) schedule, or a four ten-hour per day schedule (4-10). Additional work weeks may be considered and approved by the General Manager at his or her sole discretion.

Current work schedules available year-round are:

5 days per week, 8 hours per day (5/40)
9 days per pay period (9/80)
4 days per week, 10 hours per day (4/10)

Individual employees are assigned a work schedule by management and may, at the General Manager's sole discretion, determine which type of work week the employee will work (5/40, 9/80 or 4/10).

In addition, employees may request to work flexible starting hours (starting at either 6:00 a.m. or 7:00 a.m.). Management retains the sole right to determine whether or not SOCWA can accommodate the request.

2. The designated work schedule will be established by the appropriate department head, subject to approval by the General Manager. The Agency may change work schedules at any time in its sole discretion.
3. Under normal weather and operating conditions, employees subject to shift changes will be given one hundred forty-four (144) hour advance notice of any changes in their normal work schedule, except in cases of an emergency as determined by the General Manager. At the end of the weather or operating emergency, the employee's shift will revert to what it was prior to the emergency.
4. In cases where the employee could not be given one hundred forty-four (144) hour advance notice of a shift change, the employee will be eligible to receive compensation equal to the rate of one and one-half times the employee's rate of pay for the first day of the altered work schedule.
5. Employees in the Operation, Maintenance or Laboratory Divisions may, at the discretion of the General Manager, be assigned to work at any of the SOCWA treatment plants.
6. Employees are required to be dressed and ready for work at the start of their scheduled work period. Punctuality is expected at all times and a lack of same is grounds for discipline or termination.
7. An employee shall personally notify his/her supervisor within one (1) hour of the start of the employee's assigned shift of the employee's inability to report to work on that shift. Repeated failure to comply with this provision is grounds for disciplinary action.

D. OUTSIDE EMPLOYMENT

1. No full-time employee shall be permitted outside employment without a written request approved by the General Manager so that it can be determined if there is any conflict of interest with his/her job with the

Agency. Conflicts of interest include, but are not limited to, (a) having a financial interest in or working for or with any contractor, subcontractor, agency, district, or any other entity retained by the Agency, and (b) holding an outside job which precludes the employee from fulfilling each and every aspect of his/her job with the Agency, including, for example, the ability to meet standby commitments, to be at work on time and to work overtime.

2. It is understood that all employees represent the Agency and their actions shall not be in conflict with the mission of the Agency. Any failure to comply will be considered grounds for disciplinary action.

E. JOB INJURY

1. The Agency has entered into a Self-Insurance Program for California Workers' Compensation Liabilities. On-the-job injury claims will be processed by a third-party adjuster.
2. All on-the-job injuries shall be reported within twenty-four (24) hours to the employees' supervisor, Department Director, Human Resources or General Manager. Any necessary medical treatment or first aid will be obtained immediately. All work-related injuries will be referred to a licensed medical physician selected by the Agency, unless the employee has a pre-designated physician form on file. Work-related injuries not treated by the Agency physician may not be covered by workers' compensation.
3. Workers' compensation benefits may be coordinated with sick leave benefits and/or accrued vacation time if the employee notifies Human Resources in writing as soon as reasonably possible after the leave commences.

F. CAL/OSHA (OCCUPATIONAL SAFETY AND HEALTH ACT)

1. The Agency will furnish the employee with a place of employment which is safe and healthful as required by applicable law.

Due to the occupation exposure to potentially infectious material, the Agency offers vaccinations listed below at no out of pocket cost to the employee:

Hepatitis A Hepatitis B Typhoid Tetanus Polio

The General Manager will periodically review and update this list based on the potential for employee exposures.

2. The employee's personal matters including attire and hair shall not present a safety hazard or prevent full and proper utilization of safety equipment.
3. The Agency shall maintain safety rules and regulations, updated as necessary but at least annually, which are in complete conformance with the Federal and State regulations. (Refer to the Safety Handbook.)
4. Safety meetings shall be held on a regular basis and all plant personnel are required to attend. Administrative (non-plant) personnel may attend said meetings as directed by the General Manager.
5. It shall be required that all employees certify by signature that they have received, read and fully understand the adopted safety rules and regulations. The safety rules and regulations will be certified annually by the employees.
6. All employees shall be expected to comply with all safety rules and regulations and failure to do so shall be considered as grounds for dismissal.

G. DISCIPLINARY ACTION OR TERMINATION

1. The General Manager or his/her designee has the authority to discipline or terminate any employee for cause. The following is a nonexclusive list of the types of disciplinary actions which may be imposed.
 - a. Oral or written warnings.
 - b. Probation - the placing of an individual in a position wherein his/her past and current performance is being re-evaluated. Failure to improve his/her performance during the probationary period will result in further disciplinary action.
 - c. Suspension – an involuntary absence with or without pay.
 - d. Demotion - reduction from a position in one class to a position in another class having a lower salary range, affected for disciplinary purposes. (Demotions resulting from organizational changes and layoffs are not disciplinary).
 - e. Termination - discharge from service with the Agency.
2. It is intended that discipline be imposed primarily for corrective purposes and to address deficiencies in work performance. Failure of the employee to respond to the corrective action may result in further disciplinary action

up to and including termination. The following is a nonexclusive list of the more common causes for disciplinary action or termination:

- a. Action contrary to the personnel rules and regulations of the Agency.
 - b. Inefficiency or incompetence.
 - c. Willful disobedience or insubordination.
 - d. Self-imposed physical or mental disability.
 - e. Dishonesty.
 - f. Possession or use of illegal drugs (including, but not limited to, marijuana, in all forms, as it remains illegal under federal law).
 - g. Improper use of legal drugs.
 - h. Being under the influence of drugs or alcohol on the Agency premises, or while engaged in Agency business.
 - i. Possession and or use of a firearm or other non-authorized weapon on Agency premises, in an Agency vehicle, or while engaged in Agency business.
 - j. Disorderly, immoral or illegal conduct.
 - k. Discourteous treatment of the public or fellow employees.
 - l. Conviction of a felony.
 - m. Unauthorized absence without leave.
 - n. Neglect of duty
 - o. Action incompatible with, or not in the best interest of public service.
 - p. Failure to follow safe working practices or failure to report promptly any injury.
3. In cases of disciplinary suspensions, demotions or terminations, a regular employee shall be given prior written notification of the proposed disciplinary action. Notification shall include the following (1) A statement of the proposed action; (2) The reason therefore; (3) The effective date of the disciplinary action; (4) The name, position and authority of the person or persons initiating the proposed disciplinary action; (5) The name,

position and authority of the person or persons with whom rests the final decision of the proposed action; (6) The names of witnesses used to substantiate the cause for the disciplinary action, and (7) The notice of the right to respond orally or in writing to the authority imposing the discipline. Copies of materials supportive of the disciplinary action shall be attached to the notification.

4. Any regular employees (not probationary and temporary employees) shall have the right to an Administrative Review of a disciplinary suspension, a demotion, or termination. A written request for such a review shall be submitted to the General Manager within seven (7) calendar days of the date of mailing of the notice to proposed disciplinary action. If a timely request for review is submitted, the review shall be conducted before a representative of management (the General Manager or his/her designee) prior to the effective date of the disciplinary action.

The employee may submit written rebuttal material prior to the review and present oral and written evidence at the time of the review. The employee is entitled to representation (including an attorney). The management representative conducting the review shall make a finding of fact to support the reason for the disciplinary action, should such action be deemed appropriate. The employee shall be notified of the management representative's decision in writing. This decision shall be final.

5. A disciplinary suspension of two (2) or more working days, a disciplinary demotion or a disciplinary termination may be appealed to the Board of Directors or designee(s) by filing a written appeal with the General Manager within ten (10) calendar days from the date of the disciplinary notice.
6. Upon termination, the employee shall be given an exit interview during which final administrative and personnel tasks can be completed. During the interview, the employee will be given a full accounting and check for all moneys due the employee computed to termination date. The review, will include, but is not limited to, a discussion of all benefits, including accrued sick leave, accrued vacation, public employees' retirement system, health insurance, life insurance and disability insurance, and the ability to continue these as provided by law.
7. Upon termination, the employee shall return all previously assigned property of the Agency. The cost of property not returned shall be charged to the employee.

H. ADDRESS CHANGE

It is important that the Agency maintain current home addresses and telephone numbers for all employees. Should the employee's telephone become disconnected for

any reason, it is the responsibility of the employee to establish an emergency contact and provide that information to the Agency as soon as possible. There may be occasions when it is imperative that the Agency reach an employee when he/she is at home. The Agency should also be able to contact the employee's family or emergency contact person in case of accident or illness at work. Employees shall notify the Agency of any change of address or telephone number by updating their information through the ADP Payroll Systems.

I. PHYSICAL EXAMINATION

1. Due to safety concerns involved in plant operation, all employees shall be required to pass a medical or physical examination and, for positions designated by the General Manager only, a drug test prior to employment with the Agency. The Agency shall select a licensed medical physician to perform the examination and test, the cost of which shall be borne by the Agency. The examination will determine the applicant's physical fitness to perform the job.
2. In accordance with OSHA regulations, all employees who, in the course of their employment are required to wear respiratory protective equipment must undergo a health evaluation to determine if they are physically able to perform the work and use the equipment. The evaluation may include a spirometer test and may also include a physical examination if determined medically necessary by a licensed medical physician selected by the Agency. The evaluation will be done annually. The cost of the examination will be borne by the Agency.
3. The Agency shall bear the cost of a physical examination and drug test for all employees required to take such examination as a condition of continued employment.

J. GRIEVANCE PROCEDURE

1. A grievance procedure has been established for the following purposes:
 - a. Promoting improved employer/employee relations by establishing an appropriate means for determining the validity of grievances; i.e., claims by an employee that the Agency has violated, misinterpreted or misapplied an obligation to the employee as such obligation is expressed and written in this Manual.
 - b. Providing a method of resolving such claims as closely as possible to the point of origin and as informally as possible.
 - c. Encouraging free communication between supervisors and employees.
2. The following steps shall be taken when filing a grievance.

- a. Step One: Employees who have a grievance shall first take it up verbally with their division supervisor within seven (7) calendar days after they knew or reasonably should have known of the occurrence of the cause of the grievance and any action taken. Management retains the right to have a representative from Human Resources present at such a grievance meeting.
- b. Step Two: If the grievance is not resolved within seven (7) calendar days after its submission in Step One.
- Employees may submit the grievance in writing to the division supervisor within seven (7) calendar days thereafter.
 - The division supervisor shall meet with the employee within seven (7) calendar days after submission of the grievance.
 - The division supervisor shall deliver his/her answer, in writing, to the employee within seven (7) calendar days after such meeting.

At this and subsequent steps in the grievance procedure, employees have the right to present their grievance with or without a representative at their option. Should an employee choose to have representation, they must submit, in writing, their intention to do so with the name and title of their representative to the appropriate division supervisor at the time of the Step Two grievance submission.

- c. Step Three: If the grievance is not resolved within seven (7) calendar days after its submission in Step Two,
- Employees may submit the grievance in writing to the Department Director within seven (7) calendar days thereafter.
 - The Department Director shall meet with the employee within seven (7) calendar days after submission of the grievance.
 - The Department Director shall deliver his/her answer, in writing, to the employee within seven (7) calendar days after such meeting.
- d. Step Four: If the grievance is not resolved in the Third Step,
- The aggrieved employee may submit the grievance in writing to the General Manager within seven (7) calendar days after the Department Director's answer is received.

- The General Manager shall meet with the employee within seven (7) calendar days after receiving the grievance.
- The General Manager shall deliver his/her answer in writing within seven (7) calendar days after such a meeting.

After Step One, failure of the aggrieved employee to follow the timeline set forth in the grievance procedure shall be considered a waiver of the employee's right to grieve the matter any further and acceptance of the decision at the prior level. Timelines may be extended by mutual written agreement.

K. SMOKING

Smoking (including vapes and e-cigarettes) is prohibited on SOCWA property except in designated areas on approved breaks.

SECTION III. BENEFITS

A. VACATION

1. Accrual Rates:

All regular full-time employees shall accrue the following vacations hours which will be properly credited on a biweekly basis.

- i. For employees hired prior to July 1, 2014, the following applies:
 - 1st through 5 years of employment (end of 5th year) - 96 hours per year
 - 6 through 10 years of employment (end of 10th year) - 120 hours per year
 - Beginning the 11th year of employment - 160 hours per year
- ii. For employees hired on or after July 1, 2014, the following applies:
 - 1st through 5 years of employment (end of 5th year) - 80 hours per year
 - 6 through 10 years of employment (end of 10th year) - 120 hours per year
 - Beginning the 11th year of employment - 160 hours per year

2. Part-time regular employees who work at least 40 hours per pay period shall accrue vacation subject to the schedule set forth in paragraph 1 above, but it shall be prorated on the basis of the number of hours worked.
3. All vacation time must have prior approval. The Supervising Managers/Department Head may approve vacation.
4. Vacation requests for over forty (40) days must be submitted no less than two weeks prior to the commencement of the requested vacation, except in an emergency situation as determined by the General Manager or his/her designee.
5. Vacation duration is limited to no more than 120 hours (3 weeks) without special approval by the General Manager.
6. Vacation requests submitted three (3) months in advance and approved at least four (4) weeks prior to the commencement of the requested vacation, will not be canceled by anyone other than the employee except in cases of an emergency as determined by the General Manager, his/her designee or the Department Director.
7. Any employee separating from employment who has not taken earned vacation shall receive pay for each hour (or part thereof) of earned vacation according to the level of earnings for such employee on the last day worked.
8. Not more than 240 hours may be accrued and carried over from one calendar year to the next calendar year. For all hours in excess of 240 hours, employees will receive compensation for those hours at their current rate of pay at the end of the first pay period that ends in December.
9. Eligible new hires shall accrue vacation beginning with the date of hire but may not utilize such during the first six (6) months of their probationary period.
10. Employees may request up to 40 hours pay in lieu of vacation, subject to approval by the General Manager, provided the employee has taken 7 consecutive days off in any combination of holidays, vacation, personal days, weekends, scheduled days off, etc., within the last 12 months. This policy may be used up to a maximum of 2 times within twelve consecutive months. After the employee has been paid for the second 40 hours of vacation pay in lieu of vacation he/she will not be granted another 40 hours vacation pay in lieu of vacation until it has been 12 consecutive months from the original and first date of request.

11. Every effort shall be made by the employee to schedule at least one continuous forty (40) hour (one week) vacation during the year.

B. HOLIDAYS

1. All full-time employees and those eligible part-time employees shall receive the following paid holidays:

New Year's Day (January 1)
Presidents Day (third Monday in February)
Memorial Day (last Monday in May)
Independence Day (July 4)
Labor Day (first Monday in September)
Veteran's Day (November 11)
Thanksgiving Day
Thanksgiving Holiday (Friday after Thanksgiving Day)
Christmas Day (December 25)

- 2.. Whenever a holiday falls on a Saturday not scheduled as a regular workday, the preceding Friday shall be observed as the day off. Whenever a holiday falls on a Sunday not scheduled as a regular workday, the following Monday shall be observed as the day off.
3. When a holiday falls on an employee's regular scheduled day off and the employee would otherwise lose the holiday, the employee will be paid for the amount of a regularly scheduled work day as straight-time pay. If staffing requirements allow, an employee may elect to take a regularly scheduled day off, providing the day off falls within the same pay period as the holiday. Arrangements for such days off must be made with the employee's supervisor.
4. In addition, all full-time employees are eligible to receive three (3) personal days per fiscal year. If the need for paid personal days is foreseeable, the employee must provide their immediate supervisor reasonable advance notification.

Personal days accrue on July 1 of each year and must be taken prior to June 30 of the following year.

A personal day is the equivalent of a full day worked regardless of the number of hours in the employee's shift at the time the personal day is used (8, 9- or 10-hour shift).

All Part-time employees are eligible to receive 13 ½ hours of personal leave per fiscal year (beginning July 1) or to be determined based on which quarter hired in.

Once an employee has given his/her notice of termination, there will be no further accumulation of personal days.

5. An employee must have been paid for the entire amount of regularly scheduled hours the days immediately prior to and following a holiday observed by the Agency in order to be paid holiday pay.
6. All employees eligible to receive paid holidays, and who are regularly scheduled to work on a holiday observed by the Agency, shall be paid at one and one-half times their normal rate of pay for hours worked on the holiday. This is in addition to the holiday pay (or day off in lieu) at eight, nine or ten-hour's straight time, depending on the employee's schedule. Employees not scheduled to work but who are called in to work shall receive compensation equal to double their normal rate of pay for the first consecutive nine or ten hours worked (depending on employee's schedule). All consecutive hours worked beyond nine or ten (depending on employee's schedule) on a holiday will be paid at three times the employees' normal rate of pay.
7. Temporary employees shall be entitled to paid holidays only if such a holiday falls on a day such employee would ordinarily be required to work.

C. SICK LEAVE

1. All regular full-time employees shall accrue sick leave hours which will begin with the date of hire, on a biweekly basis, but may not utilize such during the first thirty (30) days of employment.
 - Employee hired prior to July 1, 2014, earn ninety-six (96) hours of sick leave per year:
 - Employee hired on or after July 1, 2014, earn eighty (80) hours of sick leave per year:
2. Part-time regular employees who work at least forty (40) hours in a pay period shall accrue sick leave subject to Paragraph 1 above, but it shall be prorated on the basis of the number of hours worked and in no case shall it be less than that required by applicable law.
3. Sick leave may be used as required by California law including cases where an employee's presence is required elsewhere to attend to the illness of a "family member". "Family member" is defined as: a child (whether biological, adopted, or foster child, stepchild, legal ward, or a child to whom the employee stands in loco parentis) regardless of the age of the child or dependency status, a parent (whether biological, adoptive, or foster parent, stepparent, or legal guardian of an employee or the employee's spouse or registered domestic partner, or a person who stood

in loco parentis when the employee was a minor child), a spouse, a registered domestic partner, a grandparent, a grandchild, and a sibling. Employee leave for the serious health condition of members of their immediate family is also governed by the Agency Family Leave policy as detailed in this Employee Manual Attachment "C". The Agency will also approve the use of employee's accrued paid sick time if the employee is a victim of domestic violence, sexual assault, stalking and as otherwise required by applicable law.

4. Except where prohibited by applicable law, the General Manager may require a doctor's certificate if an employee's absence exceeds three (3) consecutive working days. If an employee is absent for five (5) consecutive working days, a doctor's certificate shall generally be mandatory in order to return to work.
5. An employee may carry over a maximum of two hundred and forty (240) hours of accumulated sick leave on an annual basis. This annual basis shall end on the last day of the first pay period that ends in December. For all hours in excess of 176 hours, employees will be eligible to receive compensation for 75% of those hours at their current rate of pay. Such compensation will be paid at the end of the first pay period that ends in December.
6. When an employee has utilized their total accumulated sick leave, accrued vacation may be taken to the extent available providing the employee receives prior approval (refer to Section III-A, above, regarding submittal of vacation requests). If an employee does not elect to utilize, does not have sufficient accrued vacation time to cover the absence, and/or does not receive prior approval for the use of vacation leave, the employee shall not receive compensation.
7. Accumulated sick leave and/or vacation time may be utilized by an employee during his/her family leave or pregnancy disability leave.
8. Employees who have given two weeks written notice of their intention to leave the employ of the Agency shall be paid 75% of their accumulated sick leave above 176 hours on the date of termination.

Employees, who have given at least two weeks written notice of their intention to retire from the Agency, shall be paid for all unused sick leave at a rate of 75% upon retirement.

9. Sick leave shall not be used in lieu of or in addition to vacation and/or holidays for the intent of extending the vacation or the holiday period.
10. Sick leave notification: Employees calling in sick must speak directly to their immediate supervisor; text messages, phone messages or emails will not be considered appropriate notification. Sick leave notification must be

given to your immediate supervisor by 8:00 a.m., or within one hour of the start of your normal work day schedule. If the need for paid sick days is foreseeable, the employee must provide their immediate supervisor reasonable advance notification.

11. Temporary employees accrue sick leave at the rate of one (1) hour for every thirty (30) hours worked. They are eligible to use sick leave beginning on the 90th day of their employment with the Agency. Temporary employees may not cash out any accrued but unused sick leave for any reason during their employment at the Agency. Sick leave will not be paid-out upon termination of employment for temporary employees.

D. LEAVE OF ABSENCE

1. Non-Medical Leave: Upon approval from the General Manager on a written request, an employee may be granted a leave of absence without pay for non-medical reasons. No employee benefits will be paid or accrue during this absence, with the exception of insurance coverage which will remain in effect for the remaining days of the month in which the leave began.
2. Military Leave of Absence: Military leave of absence is governed by provisions of federal law and the Military and Veterans Code of the State of California, including Section Nos. 395 and 395.02 and applicable federal law.
3. Miscellaneous:
 - An employee on an unpaid leave of absence shall not accrue vacation pay or sick leave during their leave, nor shall they be eligible for holiday pay (see Section III-B, par 6). Except as may be required by law, all benefits, including medical insurance, will cease for any employee whose leave of absence exceeds twelve (12) months.
 - An employee who falsely claims leave under this policy or supplies false information, in an attempt to obtain leave under this policy shall be subject to disciplinary action up to and including discharge. An employee who works for any other employer while out on leave is also subject to disciplinary action up to and including discharge.
 - The workweek schedule will commence on Sunday and end on Saturday. An employee is permitted the use of accumulated vacation time once sick leave is exhausted when an employee is on an extended leave of absence (2 weeks or more), without securing separate approval for use of the vacation. Employees are responsible to notify Human Resources if they wish to use this provision.

- The following leave of absences with pay shall not reduce any employee benefits, including their allowable California Family Rights Act (“CFRA”) and Federal Family and Medical Leave Act (“FMLA”) time as described in Attachment C.
4. Bereavement Leave: Whenever any full-time employee is compelled to be absent from duty for reason of death or critical illness of a member of his/her family or his/her spouse's family such as a spouse, registered domestic partner, parent, child, brother, sister, grandchild or grandparent, the employee shall be entitled to three (3) days of leave with pay and if necessary, may take an additional three (3) days to be charged against accrued sick leave if approved by the General Manager.
 5. Absence due to a birth or adoption in the immediate family: Whenever any full-time employee is compelled to be absent from duty for reason of the birth or adoption of a child, the employee shall be entitled to three (3) days of leave with pay and if necessary, may take an additional three (3) days to be charged against accrued sick leave if approved by the General Manager. Employees may also be entitled to additional unpaid time off pursuant to the Agency’s FMLA/CFRA policy set forth in Attachment C.

E. LIGHT DUTY

Light duty is defined as a temporary work assignment provided to injured employees (1) who are unable to perform their normal job duties, and (2) who have obtained from their doctor a release to work with restrictions.

Employees who are injured and are able to return to work with restrictions will be entitled to light duty provided (1) there is light duty available, (2) the employee is qualified to perform the light duty assignment, and (3) the light duty assignment can be performed within the scope of the employee’s restrictions.

F. HEALTH, DENTAL INSURANCE AND VISION CARE PLAN

1. Full-time employees and their dependents are provided a group dental and vision care plan; the premiums for the vision and dental are paid for by the Agency for full-time employees. Eligibility for dental and vision insurance will begin the first of the month following thirty (30) days of employment.
2. Regular part-time employees who meet the applicable eligibility requirements established by the Agency insurance partner shall be provided health, dental and vision insurance for themselves and their dependents, upon request.

The cost of the premiums for dental and vision insurance for part-time employees will be shared by the Agency and the employee based upon the number of hours the employee normally works in an eighty (80) hour pay period.

For example, an employee who normally works sixty (60) hours will pay 25% of the premium, while an employee who normally works forty (40) hours will pay 50% of the premium. Withholdings will be calculated as they are in paragraph #2 above.

- Full-time employees and their dependents are provided with group health insurance coverage under the CalPERS PEMCHA program.

Employees of the Agency shall be eligible for a monthly health insurance allowance from the Agency equal to an amount that is 95% of the average of all health plans CalPERS makes available to the Agency, excluding the PERS Care Plan, at the appropriate level of coverage selected by the employee (employee, employee + 1, or employee + family). The Health Allowance shall be made available through the Agency's Cafeteria Plan in order to preserve it as a nontaxable benefit and a portion of the Health Allowance will be designated as the PEMHCA Minimum contribution and paid directly to CalPERS. If an employee enrolls in a CalPERS health plan with a monthly premium that exceeds the Health Allowance, the excess cost will be the employee's responsibility. Contributions to be paid for by the employee will be calculated on an annual basis and withheld in equal amounts over the amount of pay periods in the year. Unequal remainder amounts will be included in the final paycheck for the calendar year. Eligibility for health coverage and the Health Allowance will begin the first of the month following thirty (30) days of employment.

3. Contributions to be paid for by the employee will be calculated on an annual basis and withheld in equal amounts over the amount of pay periods in the year. Unequal remainder amounts will be included in the final paycheck for the calendar year.
4. It is mandatory that each employee notifies the Agency, in writing, whenever any additions or deletions occur in the status of his/her dependents. Failure to do so may result in a lapse of coverage for the additional dependent(s).
5. In lieu of health insurance coverage, eligible employees may elect to receive compensation at a rate of \$300 per month in addition to their regular pay. Employees must show current proof of health insurance coverage under another plan outside of the Agency and may be required to periodically show proof upon request. Requests for compensation in lieu of health insurance coverage should be in writing and are subject to review and approval of the General Manager. Compensation will begin on the first of the month following cancellation of coverage from the Agency Health Plan.

G. SHORT TERM AND LONG -TERM DISABILITY INSURANCE

Effective thirty days after employment, both short-term and long-term disability insurance coverage is provided for all full-time and part-time employees; the premiums are paid for by the Agency.

H. LIFE INSURANCE

1. Effective thirty days after employment, group life insurance is provided to all full-time and part-time employees at an amount of \$100,000. The premiums for full-time employees are paid for by the Agency. The premiums for part-time employees are shared 50/50 by the Agency and the employee. (The cost of premiums, paid by the Agency for life insurance in excess of \$50,000 is considered noncash compensation for tax purposes.)
2. It is mandatory that each employee notify the Human Resource Department whenever any desired change in beneficiary data.
3. SOCWA offers employees the option to purchase additional life insurance coverage for themselves, spouse and dependents.

I. UNEMPLOYMENT INSURANCE

Unemployment insurance may be available to qualified employees by the Agency. To apply for benefits or to determine eligibility, employees should contact their nearest Employment Development Department office.

J. RETIREMENT

1. All regular full and part-time employees are covered by the Public Employees' Retirement System (PERS).

TIER 1 Employees hired prior to February 1, 2011 are on the 2.5% at 55 formula with the employee paying the full employee contribution..

TIER 2 Employees hired between February 1, 2011 and December 31, 2012, will be on the 2% at 55 formula with the employee paying the full employee contribution.

TIER 3 Employees hired as of January 1, 2013, that do not qualify as an existing PERS "Classic" employee are on the 2% at 62 formula with the employee paying the full employee contribution.

2. Post-Retirement Health Care

2.2 Pursuant to PEMHCA and relevant CalPERS regulations, a retired employee will qualify for retiree medical benefits if his or her retirement from the Agency is effective within 120 days of his or her separation from employment with the Agency and the retired employee receives a retirement allowance from CalPERS resulting from his or her service with the Agency. Retired employees who satisfy the preceding requirements ("Eligible Retirees") are eligible to continue health coverage with CalPERS for themselves and their eligible dependents. All allowances described in this section shall only be available to Eligible Retirees enrolling in a CalPERS health plan.

2.3 The retiree health benefits provided by the Agency vary depending upon an Eligible Retiree's date of employment with the Agency. The Agency provides retiree health benefits as follows:

a. Employees hired before July 1, 2017. Eligible Retirees hired before July 1, 2017 will receive a monthly amount from the Agency not to exceed the Health Allowance made available by the Agency to active employees ("Tier I Allowance"). The Tier I Allowance will be paid as follows:

- an amount equal to the PEMHCA Minimum will be paid directly to CalPERS by the Agency; and
- a reimbursement by the Agency will be paid to the retiree for the monthly health insurance premiums actually paid by the retiree, in an amount not to exceed the difference between the Tier I Allowance and the PEMHCA Minimum.

If an Eligible Retiree subject to this Section J(2.3)(a) enrolls in a CalPERS health plan with a monthly premium that exceeds the Tier I Allowance, the excess cost will be the Eligible Retiree's responsibility. Conversely, if any Eligible Retirees enrolls in a CalPERS health plan with a monthly premium that is less than the Tier I Allowance, the remainder shall be forfeited.

Eligible Retirees shall be subject to any changes to the health insurance coverage provided by the Agency to the same extent as active employees of the Agency.

b. Employees hired on or after July 1, 2017.

- Eligible Retirees hired on or after July 1, 2017 will receive a monthly amount from the Agency equal to the PEMHCA Minimum, which the Agency will pay directly to CalPERS ("Tier II Allowance"). If an Eligible Retiree subject to this Section

J(2.3)(b) enrolls in a CalPERS health plan with a monthly premium that exceeds the Tier II Allowance, the excess cost will be the Eligible Retiree's responsibility.

- In addition, during employment with the Agency, employees hired on or after July 1, 2017 shall receive an Agency contribution equal to \$200 per month to an individual account under a retiree health savings plan. This amount may be subject to change at the Agency's discretion but will not be reduced below \$200. The retiree health savings plan is to be used exclusively to reimburse qualifying medical expenses during retirement. The retiree health savings plan will be administered by a third-party administrator selected by the Agency.

3. Temporary Employees

3.1 Temporary employee retirement is covered by the Agency deferred compensation plan.

3.2 Temporary employees will be subject to a percentage withholding of their gross salary for retirement as mandated by federal law. Employees must contribute to one of the Agency's deferred compensation plan. The amount must be equal to or greater than the amount which would normally be withheld for Social Security.

3.3 If an employee works more than nine hundred sixty (960) hours per fiscal year, he/she will be added to the PERS system. In such an event, the contributions for the employee and employer will be consistent with applicable law.

K. SOCIAL SECURITY - MEDICARE PORTION

All employees are subject to Medicare tax withholding. Those employees hired before April 1, 1986, including those employees acquired from SCWD and MNWD, and who have not had a break in service, will have the employee portion of Medicare tax paid by the Agency. This employee portion being paid by the employer will be considered compensation for tax purposes.

L. EDUCATIONAL REIMBURSEMENT

Employees are encouraged to improve their own job effectiveness and opportunity for advancement by taking courses and working for a degree, credentials or licenses. The Agency shall provide employees with funds to cover the cost of tuition and registration fees, regular textbooks, lab fees and parking fees for approved job-related courses, as approved in advance by the General Manager. These courses of study must be taken through accredited colleges, universities, correspondence schools or recognized

professional organizations. All textbooks paid through this program become property of the Agency. These courses of study must meet at least one of the following criteria: (1) Directly related to the employee's current position and job duties; (2) Related to their current or related department; or (3) Required for additional professional licenses required within their current or related department.

An employee may receive reimbursement for approved educational expenses up to a maximum of \$750 for any one course and not more than \$3,000 in any one calendar year. No reimbursement will be made until after the completion of the courses and will not be made if reimbursement has been made from any other source.

In order to be eligible for reimbursement an employee must meet all of the following requirements:

- Submit a course approval request to the General Manager prior to starting the course.
- Submit a copy of the "grade card" or similar document from the educational institution, indicating the course of study was completed.
- Receive a passing grade.
- Remain a regular employee with the Agency for a period of one year after the date the course was completed. If the employee does not complete this requirement, the employee must reimburse the Agency upon termination.
- Submit the request for reimbursement to the Finance Department, including original receipts for all eligible expenses.

M. MILEAGE ALLOWANCE

1. Any employee who is required to use a private vehicle in the discharge of his/her duties shall receive the maximum mileage reimbursement as established by the Internal Revenue Service. Such mileage reimbursement shall be made in the next bill payment cycle, after submittal of an approved reimbursement request.
2. The employee shall furnish the Agency and have on file at the office, a current copy of his/her Certificate of Automobile Insurance including Public Liability and Property Damage, minimum coverage (\$30,000, \$60,000, and \$10,000).
3. Use of a private vehicle, for Agency purposes or on Agency property, by an employee is governed by a separate Vehicle and Equipment Policy.

N. DEFERRED COMPENSATION PLAN

Regular full and part-time employees are eligible to participate in the Agency deferred compensation plan(s). The primary purpose of the plan(s) is to provide future payments in lieu of deferred current income upon death, disability, retirement, or other termination of employment. The plan(s) are intended to qualify as eligible State Deferred Compensation Plan(s) within the meaning of Section 457 of the Internal Revenue Code of 1954, as amended. Each employee may elect to become a participant of any Plan(s) and defer payment of part of his/her compensation (within the guidelines of Section 457) by executing the required participation agreement.

The Agency will provide a matching contribution up to \$1,100 per fiscal year.

O. UNIFORMS AND SAFETY EQUIPMENT

The Agency shall provide, as an employee benefit, all full-time field operational personnel with uniforms to be worn while on duty and the necessary Agency owned safety equipment. The Agency shall reimburse full-time field operational personnel, upon date of hire and annually thereafter, up to a maximum amount of \$200.00 for purchase of steel-toed shoes as required by the Agency separate Injury and Illness Prevention Safety Program included in the Safety Handbook. Field operational personnel may purchase a second pair of shoes if funds remain from the original allocation and, if needed, the employee shall contribute the additional funds required. Employees will be allowed to use this amount to also purchase other work uniform related items such as belts, boot/shoe inserts, laces, etc. If, in the discretion of an employee's department head, the employees work boots are worn out or damaged due to work-related wear-and-tear, the department head may authorize the reimbursement of a second pair of boots within one year.

Laboratory personnel will be allowed an additional \$75 per year to purchase aqua shoes to be used for beach sampling.

It is the responsibility of the employee to provide an original receipt of charges for payment reimbursement. All employees shall present a clean and neat appearance at all times.

SECTION IV: COMPENSATION

A. EMPLOYEE COMPENSATION

1. All full-time employees shall receive compensation in accordance with the adjusted ranges in the Salary Schedule (Exhibit A) and job classification (Exhibit B), and the same shall be revised from time to time by action of the Agency Board.
2. Pay days are on a biweekly basis - every other Thursday.

B. MERIT POOL

Award of a merit increase is based on a recommendation by the employee's supervisor and department head, and subject to approval of the General Manager. A merit pay pool equal to approximately 3% of the salaries of all employees will generally be established for the purpose of awarding merit increases.

Individual employees may be awarded a salary increase of between zero and five percent (0 – 5%) based on their level of performance. The total amount of meritorious salary increases shall not exceed the 3% merit pay pool in any fiscal year.

In the event an employee receives a merit increase that is less than the total amount awarded during the review process, due to being topped out in their respective salary range, said employee shall receive the remaining review award in a lump sum.

C. SALARY ADJUSTMENTS

Salary adjustments will be made on the following schedule for all employees:

1. July 1, 2020 salary adjustment equal to Los Angeles—Long Beach—Anaheim CPI—U percentage change for the preceding 12 months ending in March, subject to a 2% minimum and 4% maximum.
2. July 1, 2021 salary adjustment equal to Los Angeles—Long Beach—Anaheim CPI—U percentage change for the preceding 12 months ending in March, subject to a 2% minimum and 4% maximum.
3. July 1, 2022 salary adjustment equal to Los Angeles—Long Beach—Anaheim CPI—U percentage change for the preceding 12 months ending in March, subject to a 2% minimum and 4% maximum.
4. Thereafter, as determined by the Agency Board.

In an effort to remain competitive, SOCWA will review salary ranges against comparator agencies on a bi-annual basis and will adjust ranges if necessary, with the recommendations of the General Manager and approval by the Board. The approved new ranges will be effective at the start of the next fiscal year.

D. INCENTIVE PAY

1. Full-time continuous employees hired prior to July 1, 2017 receiving education certification one step or higher above their existing job classification will be eligible to receive a 2.5% salary increase. Any Grade III employees may receive an additional 2.5% incentive pay if they obtain a certification two-steps above their existing job classification (i.e., Grade III Operator with a Grade V certification), as approved by the General Manager. Employees must first make application to their supervisor to be eligible to

participate in the incentive program including employees whose job classification may not have corresponding education certification. All applications are subject to approval of the General Manager.

2. Employees hired prior to July 1, 2017 that hold both a driving and crane certification will be awarded a one-time salary range increase of 2.5%.
3. Employees hired on or after July 1, 2017 will receive a one-time \$800 payment on achieving a Grade II certificate and a one-time payment of \$1200 upon achieving a Grade III certificate or above.

E. MERIT ADVANCEMENT

Full-time and/or part-time employees in good standing may be recommended for merit advancement. Merit reviews shall take place on an annual basis upon completion of the probationary period.

An employee in good standing is defined as one who has received a performance evaluation rating which meets or exceeds expected standards and who has not received any of the following disciplinary actions within the past twelve (12) month period:

- a) Letter of reprimand
- b) Probation for disciplinary purposes
- c) Suspension and/or demotion for disciplinary purposes

The merit recommendations, if any, are to be made by the employee's supervisor and must be approved by the Department Director and the General Manager.

F. SPECIAL PERFORMANCE AWARD

In recognition of situations where long-term SOCWA employees have reached the top of the established salary range for their current positions and are consequently, no longer eligible to receive salary advancements under the regular merit pool, such employees may be considered for a special performance award. The employee must have received an overall merit-based performance review rating of at least "Exceeds Expectations" or "Above Standard" for the preceding twelve-month evaluation period. The General Manager shall approve all such performance awards in writing. The decision of the General Manager shall be final. No award granted under this program shall be considered to increase the employee's base salary, nor shall the award limit the employee's ability to receive general cost of living increases, which may be granted from time to time. No employee shall receive an award under this program more frequently than once in any twelve-month period. No award granted under this program

shall exceed five percent (5%) of the employee's base salary. The award shall be paid in a lump sum to the employee. No award approved by the General Manager under this program shall require further approval by the Board of Directors; provided, however, that the General Manager shall annually following the end of the fiscal year provide a summary of the granted award during the previous twelve-month period to the Board of Directors. All employees, whether represented by the SOCWA Employee Association (SEA) or not, including management, supervisory, and confidential employees shall be eligible for this program. The decision of the General Manager to grant or withhold an award under this program shall not be subject to the grievance procedure.

G. OVERTIME

1. All employees who are classified as "non-exempt" employees, as defined under the FLSA, will be eligible for overtime pay. For purpose of defining "non-exempt" employees, the Agency policy shall mean all employees except the employees designated in the Management Division.
2. Administrative nonexempt employees will be paid overtime when they actually work more than 40 hours in a workweek. Overtime pay for bargaining unit employees is defined as that time spent on the job over eight (8) hours in one day for those employees on an eight (8) hour, five (5) day week schedule; or over nine/eight (9/8) hours in one day for those employees on a nine/eighty (9/80) schedule; or over ten (10) hours in one day for those employees on a four/ten (4/10) schedule, or over nine/four (9/4) hours in one day for those employees on a nine/four (9/4), five (5) day per week schedule. The workweek for purposes of overtime calculation shall be: (i) for employees on a nine/eighty (9/80) schedule shall begin at the mid-point of their shift on their eight (8) hour day and end seven (7) days later. In order to be eligible for overtime pay, an employee must have his/her supervisor's approval before working overtime.
3. Overtime pay shall be paid at the rate of one and one-half times the employee's regular rate of pay for hours worked in excess of 40 in the workweek for administrative employees and for bargaining unit employees, hours worked beyond the normal work schedule. Non-exempt employees may accrue up to 45 hours of compensatory time off ("CTO") in lieu of overtime compensation. Employees electing CTO in lieu of overtime compensation must indicate it on their time card. Non-bargaining unit employees must also agree with their supervisor prior to performing the work that it will be CTO. Use of compensatory time off must be pre-approved by the employee's supervisor and cannot be cashed out except upon termination of employment.

4. Time worked on a holiday in excess of the regular shift (eight, nine or ten hours) is paid at triple time rate. This applies to either the regularly scheduled employee or to the employee called in to work.
5. Overtime pay, as defined in paragraph 4 above, will be paid to bargaining unit employees who continuously work up to four (4) hours in excess of their normal work schedule or up to eight (8) hours on their regularly scheduled day off. Double time pay, defined as compensation equal to two times an employee's normal rate of pay, will be paid for those hours worked beyond the four (4) or eight (8) hours described above for bargaining unit employees. Hours must be consecutive in order to receive double-time or triple-time pay.
6. For the purpose of computing overtime pay, the formula shall be as follows: regular rate multiplied by 1.5 for the time and one half or 2.0 for double-time pay and 3.0 for triple-time.
7. When hourly employees are required to work overtime for four (4) hours or more beyond his/her regular work schedule or when hourly employees are called out for work outside their regular work schedule and their meal period occurs during such work, they will be given a reasonable meal allowance or furnished a meal and reasonable work time to eat it. Additional meal allowances or meals will be provided at four (4) hour intervals thereafter during the work period. Employees shall submit a receipt and shall be reimbursed for food and non-alcoholic beverages up to a maximum of \$5.00.
8. Efforts will be made to assign overtime on an equal basis to employees who, in management's discretion, are qualified to perform the overtime work. Work will be scheduled by the Director of Operations or his/her designee in advance if possible.
9. Any employee who works weekends (Saturday and/or Sunday) will receive a differential compensation rate, above their normal rate of pay of \$0.75 cent per hour.
10. Non-Exempt Employee Use of Communication Devices

Non-exempt employees may perform necessary and authorized work duties on various communication devices (e.g., smartphones, tablets, laptops, PDAs). All such time spent will be considered as hours worked and will count toward overtime eligibility as set forth by applicable law. Accordingly, they are required to report all time spent working after hours. Therefore, to control costs and avoid unnecessary expenses, non-exempt employees shall not use communication devices for work-related purposes outside of their regularly scheduled hours unless they receive prior instruction from management. In other words, non-exempt

employees are not required to review, read, send, or respond to work-related emails outside of their regularly scheduled hours unless requested to do so with management authorization. All time spent shall be recorded as time worked.

H. ADMINISTRATIVE LEAVE

The General Manager, or designee, may grant paid administrative leave to employees. This may include, but is not limited to, times when exempt employees are required to work above and beyond their normal working hours on behalf of the Agency without additional compensation.

I. STANDBY PAY

1. When Field Personnel have been designated to be on standby duty after their normal workday, they shall be compensated at a rate of \$325.00 per week for any employee in Operations or Maintenance that covers SOCWA facilities when assigned to standby in addition to their regular pay.
2. Standby duties require OPERATORS to be available upon forty-five (45) minutes notice and Maintenance and Electrical/SCADA to be available upon ninety (90) minutes notice, on a twenty-four-hour basis.
3. A mobile phone will be provided for all personnel designated on standby. Employees will be responsible for the mobile phone while in his/her possession and must replace it if lost or damaged due to a willful act or gross negligence.
4. When an employee is called back to work without prior notice, and the employee has completed their normal work shift and left the plant, the employee shall receive a minimum of two (2) hours call back pay.

The two (2) hour minimum, whether or not actually worked, shall be paid at the rate of one and one half times the employee's regular hourly rate.

J. JURY DUTY

Any regular or probationary employee who is required to serve as a juror or who is subpoenaed as a witness in any court in this state, of the United States, or any administrative board or tribunal, shall submit to his/her supervisor notification of the need for such leave of absence as soon as such employee receives notification himself/herself. Any regular or probationary employee shall be entitled to a leave of absence with pay while performing services as a juror or a witness (witness pay is limited to circumstances set forth in applicable Government Code statutes), provided that any such employee shall pay to the Agency any amount received for jury fees, if any, exclusive of travel and subsistence. All regular or probationary employees shall be allowed time off with pay up to a maximum of fifteen (15) working days for the actual

period of service required on such jury. Exempt employee's salary will not be reduced while on jury duty unless they perform no work during the entire work week following the 15 working days of paid jury service. Any jury duty beyond the fifteen (15) days will have to be served under the leave of absence criteria set forth in this policy. Upon return to work, the employee will present to the General Manager proof of service for the actual days served and have it duly authorized by the court.

K. SALARY SCHEDULE

The Agency current salary schedule is depicted as Exhibit "A" to this policy, which exhibit is attached hereto and by this reference incorporated herein.

L. JOB CLASSIFICATION

Job classifications are determined from time to time by the General Manager, and as of July 1, 2019, with the approval of the Annual Budget, the job classifications approved by the Board of Directors are depicted as Exhibit "B" to this policy. Annually, with the approval of the Budget, the General manager shall submit to the Board of Directors changes in job classifications implemented in the prior year due to promotions and hiring for business needs and/or as proposed to be implemented in the coming fiscal year.

M. FAIR PAY ACT POLICY

The Agency follows all applicable state and federal laws requiring equal pay for employees for substantially similar work. Substantially similar work is a composite of skill, effort and responsibility when performed under similar working conditions. Pay discrimination between employees of the opposite sex or between employees of another race or ethnicity is prohibited. Pay differentials may be valid in certain situations as set forth in applicable law. California's Fair Pay Act and the Agency prohibit discrimination and retaliation against any employee who invokes or assists in the enforcement of the Fair Pay Act. Employees will not be retaliated against for inquiring about or discussing wages.

If you believe you are not being paid the same wage as other employees engaged in substantially similar work of a different race, ethnicity or sex, please report your concerns to the Human Resources Department so that appropriate corrective action may be taken.

ATTACHMENT A

Policy Against Employee Harassment and Discrimination.

1. Policy Statement

The Agency strictly prohibits unlawful harassment and discrimination. This includes harassment and discrimination on the basis of sex, gender, sexual orientation, gender identity, gender expression, genetic information, race, color, ancestry, national origin, religious creed, physical disability, mental disability, medical condition, age (over 40), marital status, military and veteran status, or any other protected class under applicable law.

2. Application

- A. This policy applies to all phases of the employment relationship, including, but not limited to, recruitment, testing, hiring, upgrading, promotion/demotion, transfer, layoff, termination, rates of pay, benefits, and selection for training.
- B. This policy applies to all officers and employees of the Agency, including, but not limited to, full and part-time employees, per diem employees, temporary employees, and persons working under contract for the Agency.

3. Harassment Defined

- A. Harassment may consist of offensive verbal, physical, or visual conduct when such conduct is based on or related to an individual's sex and/or membership in one of the above-described protected classifications, and:
 - (1) Submission to the offensive conduct is an explicit or implicit term or condition of employment;
 - (2) Submission to or rejection of the offensive conduct forms the basis for an employment decision affecting the employee; or
 - (3) The offensive conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creates an intimidating, hostile, or offensive working environment.
- B. Examples of what may constitute prohibited harassment include, but are not limited to, the following:
 - (1) Kidding or joking about sex or membership in one of the protected classifications;

- (2) Hugs, pats, and similar physical contact;
- (3) Assault, impeding or blocking movement, or any physical interference with normal work or movement;
- (4) Cartoons, posters, e-mails, texts and other materials referring to sex or membership in one of the protected classifications;
- (5) Threats intended to induce sexual favors;
- (6) Continued suggestions or invitations to social events outside the workplace after being told such suggestions are unwelcome;
- (7) Degrading words or offensive terms of a sexual nature or based on the individual's membership in one of the protected classifications;
- (8) Prolonged staring or leering at a person;
- (9) Similar conduct directed at an individual on the basis of race, color, ancestry, national origin, religious creed, physical disability, mental disability, medical condition, age (over 40), marital status, military or veteran status, sexual orientation, gender, gender identity, gender expression, genetic information, or any other protected classification under applicable law.

4. Procedure

A. Internal Reporting Procedure

- (1) Any employee who believes that he or she has been the victim of sexual or other prohibited harassment or discrimination by co-workers, supervisors, managers, clients or customers, visitors, vendors, or others (including third parties) should immediately notify his or her supervisor or, in the alternative, the General Manager, depending on which individual the employee feels most comfortable in contacting.
- (2) Additionally, supervisors who observe or otherwise become aware of harassment that violates this policy have a duty to report it to the General Manager so the Agency can try to resolve the claim internally.

B. External Reporting Procedure

- (1) Any employee who believes that he or she has been the victim of sexual or other prohibited harassment by coworkers, supervisors, clients or customers, visitors, vendors, or others may file a complaint with the California Department of Fair Employment and

Housing ("the DFEH"). The phone number for the DFEH is located in the phone book under government agencies.

5. Investigation

- A. Upon the filing of a complaint with the Agency, the complainant will be provided with a copy of this policy. The complainant shall be notified in a timely manner that their complaint has been received and will be investigated. The General Manager is the person designated by the Agency to investigate complaints of harassment and/or discrimination. The General Manager may, however, delegate the investigation to qualified, impartial personnel at his/her discretion. In the event the harassment or discrimination complaint is against the General Manager; a different investigator shall be appointed by the President or the Board of Directors. A fair, timely and thorough investigation will be conducted. All parties to the investigation will receive appropriate due process.
- B. Charges filed with the DFEH are investigated by the DFEH.

6. Internal Documentation Procedure

- A. When an allegation of harassment is made by an employee, the person to whom the complaint is made shall immediately prepare a report of the complaint according to the preceding section and submit it to the General Manager.
- B. The investigator shall make and keep a written record of the investigation, including notes of verbal responses made to the investigator by the person complaining of harassment or discrimination, witnesses interviewed during the investigation, the person against whom the complaint of harassment was made, and any other person contacted by the investigator in connection with the investigation. The investigator's notes shall be made at the time the verbal interview is in progress. Any other documentary evidence shall be retained as part of the record of the investigation. Upon completion of the investigation, the results shall be given to the complainant, the alleged harasser, and the General Manager.
- C. Based on the report and any other relevant information, the General Manager shall, within a reasonable period of time, determine whether the conduct of the person against whom a complaint has been made constitutes unlawful harassment or unlawful discrimination. In making that determination, the General Manager shall look at the record as a whole and at the totality of circumstances, including the nature of the conduct in question; the context in which the conduct, if any, occurred; and the conduct of the person complaining of harassment or discrimination. The determination of whether harassment or discrimination occurred will be

made on a case-by-case basis by the General Manager. All investigations should be closed in a timely manner.

7. Confidentiality

All records and information relating to the investigation of any alleged harassment and resulting disciplinary action shall be confidential, except to the extent disclosure is required by law, as part of the investigatory or disciplinary process, or as otherwise reasonably necessary.

8. Remedies

A. Remedial Action

- (1) If the General Manager determines that the complaint of harassment or discrimination is founded, the General Manager shall take immediate and appropriate disciplinary action consistent with the requirements of law and any personnel rules or regulations pertaining to employee discipline. Other steps may be taken to the extent reasonably necessary to prevent recurrence of the harassment and to remedy the complainant's loss, if any.
- (2) Disciplinary action shall be consistent with the nature and severity of the offense, the rank of the harasser, and any other factors relating to the fair and efficient administration of the Agency's operations.

B. In the event a complaint is filed with the DFEH, and the DFEH finds that the complaint has merit, the DFEH will attempt to negotiate a settlement between the parties. If not settled, the DFEH may issue a determination on the merits of the case.

- (1) Where a case is not settled, the DFEH may pursue litigation in civil court with the Complainant as the Real Party in Interest. Legal remedies available through the DFEH for a successful claim by an applicant, employee, or former employee include possible reinstatement to a former job; award of a job applied for; back pay; front pay; reasonable attorneys' fees; and under appropriate circumstances, punitive damages, out-of-pocket losses, affirmative relief, training, and emotional distress damages.
- (2) In the alternative, the DFEH may grant the employee permission to withdraw the case and pursue a private lawsuit seeking similar remedies.

9. Retaliation

Retaliation against anyone for opposing conduct prohibited by this policy or for filing a complaint with or otherwise participating in an investigation, proceeding or hearing conducted by the Agency or the DFEH, is strictly prohibited by state regulations. It may subject the offending person to, among other things, disciplinary action, up to and including, termination of employment.

10. Employee Obligation

- A. Employees are not only encouraged to report instances of harassment or discrimination, they are obligated to report instances of harassment.
- B. Employees are obligated to cooperate in every investigation of harassment or discrimination, including, but not necessarily limited to:
 - (1) Coming forward with evidence, both favorable and unfavorable to a person accused of harassment or discrimination; and
 - (2) Fully and truthfully making a written report or verbally answering questions when required to do so during the course of an Agency investigation of alleged harassment or discrimination.
- C. Knowingly, falsely accusing someone of harassment or discrimination or otherwise knowingly giving false or misleading information in an investigation of harassment or discrimination shall result in disciplinary action, up to and including, termination of employment.

11. Training

The Agency will provide training to employees as required by applicable law.

ATTACHMENT B

Your Rights and Responsibilities as a Pregnant Employee

If you are pregnant, have a related medical condition, or are recovering from childbirth, **PLEASE READ THIS NOTICE.**

California law protects employees against discrimination or harassment because of an employee's pregnancy, childbirth or any related medical condition (referred to below as "because of pregnancy"). California law also prohibits employers from denying or interfering with an employee's pregnancy-related employment rights.

The Agency has an obligation to:

- reasonably accommodate your medical needs related to pregnancy, childbirth or related conditions (such as temporarily modifying your work duties, providing you with a stool or chair, or allowing more frequent breaks);
- transfer you to a less strenuous or hazardous position (where one is available) or duties if medically needed because of your pregnancy; and
- provide you with pregnancy disability leave (PDL) of up to four months (the working days you normally would work in one-third of a year or 17 $\frac{1}{3}$ weeks) and return you to your same job when you are no longer disabled by your pregnancy or, in certain instances, to a comparable job. Taking PDL, however, does not protect you from non-leave related employment actions, such as a layoff.
- provide a reasonable amount of break time and use of a room or other location in close proximity to the employee's work area to express breast milk in private as set forth in the Labor Code.

For pregnancy disability leave:

- PDL is not for an automatic period of time, but for the period of time that you are disabled by pregnancy. Your health care provider determines how much time you will need.
- Once the Agency has been informed that you need to take PDL, the Agency must guarantee in writing that you can return to work in your same position if you request a written guarantee. The Agency may require you to submit written medical certification from your health care provider substantiating the need for your leave.
- PDL may include, but is not limited to, additional or more frequent breaks, time for prenatal or postnatal medical appointments, doctor-ordered bed rest, severe "morning sickness," gestational diabetes, pregnancy-induced hypertension,

preeclampsia, recovery from childbirth or loss or end of pregnancy, and/or post-partum depression.

- PDL does not need to be taken all at once but can be taken on an as-needed basis as required by your health care provider, including intermittent leave or a reduced work schedule, all of which counts against your four-month entitlement to leave.
- Your leave will be paid or unpaid depending on the Agency policy for other medical leaves.
- You may also be eligible for state disability insurance or Paid Family Leave (PFL), administered by the California Employment Development Department.
- At your discretion, you can use any vacation during your PDL.
- The Agency requires you to use any available sick leave during your PDL.
- The Agency is required to continue your group health coverage during your PDL at the same level and under the same conditions that coverage would have been provided if you had continued in employment continuously for the duration of your leave.
- Taking PDL may impact certain of your benefits and your seniority date; please contact Human Resources for details.
- If possible, you must provide at least 30 days' advance notice for foreseeable events (such as the expected birth of a child or a planned medical treatment for yourself.) For events that are unforeseeable, we need you to notify us, at least verbally, as soon as you learn of the need for the leave. Failure to comply with these notice rules is grounds for, and may result in, deferral of the requested leave until you comply with this notice policy.

Notice Obligations of Employees:

- Give the Agency reasonable notice: To receive reasonable accommodation, obtain a transfer, or take PDL, you must give the Agency sufficient notice for it to make appropriate plans. Sufficient notice means 30 days' advance notice if the need for the reasonable accommodation, transfer or PDL is foreseeable, otherwise as soon as practicable if the need is an emergency or unforeseeable.
- Provide a Written Medical Certification from Your Health Care Provider. Except in a medical emergency where there is no time to obtain it, the Agency may require you to supply a written medical certification from your health care provider of the medical need for your reasonable accommodation, transfer or PDL. If the need is an emergency or unforeseeable, you must provide this

certification within the time frame the Agency requests, unless it is not practicable for you to do so under the circumstances despite your diligent, good faith efforts. The Agency must provide at least 15 calendar days for you to submit the certification. See Human Resources for a copy of a medical certification form to give to your health care provider to complete.

- PLEASE NOTE that if you fail to give the Agency reasonable advance notice or written medical certification of your medical need, the Agency may be justified in delaying your reasonable accommodation, transfer, or PDL.

You also may be entitled to additional rights under the California Family Rights Act of 1993 (CFRA) if you have more than 12 months of service with us, have worked at least 1,250 hours in the 12-month period before the date you want to begin your leave and work at a worksite with 50 or more employees within 75 miles of that worksite. This leave may be up to 12 workweeks in a 12-month period for the birth, adoption, or foster care placement of your child or for your own serious health condition (not related to pregnancy) or that of your child, parent or spouse. While the law provides only unpaid leave, employees may choose, or employers may require use of accrued paid leave while taking CFRA leave under certain circumstances. For further information on the availability of CFRA leave, please review your employer's Notice regarding the availability of CFRA leave.

This notice is a summary of your rights and obligations under the Fair Employment and Housing Act (FEHA). For more information about your rights and obligations as a pregnant employee, contact Human Resources, visit the Department of Fair Employment and Housing's website at www.dfeh.ca.gov, or contact the Department at 800-884-1684. The text of the FEHA and the regulations interpreting it are available on the Fair Employment and Housing Commission's website at www.dfeh.ca.gov.

ATTACHMENT C

Employee Rights And Responsibilities Under The Family And Medical Leave Act

Basic Leave Entitlement

FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- for incapacity due to pregnancy, prenatal medical care or child birth;
- to care for the employee's child after birth, or placement for adoption or foster care;
- to care for the employee's spouse, son, daughter or parent, who has a serious health condition; or
- for a serious health condition that makes the employee unable to perform the employee's job.

The 12 month period will be calculated using a rolling 12 month period measured backward from the date the leave is first used.

Military Leave Family Entitlements

Eligible employees whose spouse, son, daughter or parent is on covered active duty or are called to covered active duty status may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is: (1) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness*; or (2) a veteran who was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran, and who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness.*

***The FMLA definitions of “serious injury or illness” for current service members and veterans are distinct from the FMLA definition of “serious health condition.”**

Benefits and Protections

During FMLA leave, the employer must maintain the employee's health coverage under any "group health plan" on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee's leave.

Eligibility Requirements

Employees are eligible if they have worked for a covered employer for at least 12 months, have 1,250 hours of service in the previous 12 months, and if at least 50 employees are employed by the employer within 75 miles of the employee making the request.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

Employees may choose or employers may require use of an accrued paid leave while taking FMLA leave. In order to use paid leave for FMLA leave, employees must comply with the employer's normal paid leave policies.

Employee Responsibilities

Employees must provide 30 days' advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days' notice is not possible, the employee must provide notice as soon as practicable and generally must comply with an employer's normal call-in procedures.

Employees must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Employer Responsibilities

Covered employers must inform employees requesting leave whether they are eligible under FMLA. If they are, the notice must specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

Unlawful Acts by Employers

The FMLA makes it unlawful for any employer to:

- interfere with, restrain, or deny the exercise of any right provided under FMLA; and
- discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer.

FMLA does not affect any federal or state law prohibiting discrimination, or supersede any state or local law or collective bargaining agreement which provides greater family or medical leave rights.

CALIFORNIA FAMILY RIGHTS ACT LEAVE

Eligible employees have similar rights for up to 12 weeks of unpaid, job protected leave under CFRA. One of the differences between CFRA leave and FMLA leave is that CFRA also covers registered domestic partners. In addition, while both CFRA and FMLA leave generally run concurrently, CFRA leave does not run concurrently with Pregnancy Disability Leave. Please see Human Resources if you have questions about your rights to any of these leaves.

ATTACHMENT D

Weapons/Anti Violence Policy

The Agency has adopted a Zero Tolerance Policy against workplace violence. Consistent with this policy, acts or threats of physical violence, including intimidation, harassment, and/or coercion, which involve or affect the Agency, or which occur on Agency property will not be tolerated.

Acts or threats of violence include conduct which is sufficiently severe, offensive, or intimidating to alter the employment conditions at the Agency or to create a hostile, abusive, or intimidating work environment for one or several Agency employees. Examples of workplace violence include, but are not limited to, the following:

- All threats or acts of violence occurring on the Agency premises, regardless of the relationship between the Agency and the parties involved in the incident.
- All threats or acts of violence occurring off the Agency premises involving someone who is acting in the capacity of a representative of the Agency.
- All threats or acts of violence occurring off the Agency premises involving an employee of the Agency if the threats or acts affect the legitimate interests of the Agency.
- Any acts or threats resulting in the conviction of an employee or agent of the Agency, or of an individual performing services for the Agency on a contract or temporary basis, under any criminal code provision relating to violence or threats of violence which adversely affect the legitimate interests and goals of the Agency.

Specific examples of conduct which may be considered threats or acts of violence include, but are not limited to, the following:

- Hitting or shoving an individual.
- Threatening an individual or his/her family, friends, associates, or property with harm.
- The intentional destruction or threat of destruction of Agency property.
- Harassing or threatening phone calls.
- Harassing surveillance or stalking.
- The suggestion or intimation that violence is appropriate.

- Unauthorized possession or inappropriate use of firearms or weapons.

The Agency's prohibition against threats and acts of violence applies to all persons involved in the Agency's operation, including but not limited to Agency personnel, contract, and temporary workers and anyone else on Agency property. Violations of this policy by any individual on Agency property, by any individual acting as a representative of the Agency while off Agency property, or by any individual acting off of Agency property when his/her actions affect the Agency's business interests will lead to disciplinary action (up to and including termination) and/or legal action as appropriate.

Possession while on duty or bringing onto Agency property unauthorized material, such as explosives, weapons (including, but not limited to, firearms and knives), or other similar items, is strictly prohibited.

Every employee and every person on Agency property is required to report incidents of threats or acts of physical violence or any other violation of this policy of which he/she is aware. The report should be made to the Human Resources Department, the reporting individual's immediate supervisor, or another supervisory employee if the immediate supervisor is not available. Nothing in this policy alters any other reporting obligation established in Agency policies or in state, federal, or other applicable law.

ATTACHMENT E

Rights of Victims of Domestic Violence, Sexual Assault and Stalking

1. Your Right to Take Time Off:

- You have the right to take time off from work to get help to protect you and your children's health, safety or welfare. You can take time off to get a restraining order or other court order.
- If your Agency has 25 or more workers, you can take time off from work to get medical attention or services from a domestic violence shelter, program or rape crisis center, psychological counseling, or receive safety planning related to domestic violence, sexual assault, or stalking.
- You may use available vacation, personal leave, accrued paid sick leave or compensatory time off for your leave unless you are covered by a union agreement that says something different. Even if you do not have paid leave, you still have the right to time off.
- In general, you do not have to give your employer proof to use leave for these reasons.
- If you can, you should tell your employer before you take time off. Even if you cannot tell your employer before, your employer cannot discipline you if you give proof explaining the reason for your absence within a reasonable time. Proof can be a police report, court order or doctor's or counselor's note of similar document.

2. Your Right to Reasonable Accommodation:

- You have the right to ask your employer for help or changes in your workplace to make sure you are safe at work. Your employer must work with you to see what changes can be made. Changes in the workplace may include putting in locks, changing your shift or phone number, transferring or reassigning you, or help with keeping a record of what happened to you. Your employer can ask you for a signed statement certifying that your request is for a proper purpose and may also request proof showing your need for an accommodation. Your employer cannot tell your coworkers or anyone else about your request.

3. Your Right to be Free From Retaliation and Discrimination:
Your employer cannot treat you differently or fire you because:

- You are a victim of domestic violence, sexual assault, or stalking.
- You asked for leave time to get help.
- You asked your employer for help or changes in the workplace to make sure you are safe at work.

You can file a complaint with the Labor Commissioner's Office against your employer if he/she retaliates or discriminates against you.

ATTACHMENT F

Lactation Accommodation Policy

The Agency provides employees the right to request lactation accommodation in accordance with California law. The Agency will provide a reasonable amount of break time to accommodate an employee desiring to express breastmilk for the employee's infant child each time the employee has a need to express milk. The break time shall, if possible, run concurrently with any break time already provided to the employee. Break time for a nonexempt employee that does not run concurrently with the rest time authorized for the nonexempt employee shall be unpaid.

The Agency will provide the employee with the use of a room or other location for the employee to express milk in private. This room may include the place where the employee normally works if it otherwise meets the requirements set forth below.

The room shall be safe, clean and free of hazardous materials. There will be a surface to place a breast pump and personal items as well as a place to sit. The room will have access to electricity or alternative devices, including, but not limited to, extension cords or charging stations, needed to operate an electric or battery-powered breast pump. The employee shall also have access to a sink with running water and a refrigerator suitable for storing milk in close proximity to the employee's workspace. If a refrigerator cannot be provided, the Agency may provide another cooling device suitable for storing milk, such as an Agency-provided cooler. If a multipurpose room is used for the lactation, among other uses, the use of the room for lactation shall take precedence over the other uses, but only for the time it is in use for lactation purposes.

Employees who require lactation accommodation should contact Human Resources. If the Agency cannot provide break time or a location that complies with California law the Agency will provide a written response to the employee. Employees have the right to file a complaint with the Labor Commissioner for any violation of the employee's lactation rights under California law.

Exhibit A
Salary Schedule

EXHIBIT "A"

SOCWA
EMPLOYEE HANDBOOK SALARY RANGE SUMMARY
07/01/2019 - 06/30/2020

July 1, 2019		COLA @ 2.7%		1.027
Ranges	Minimum Hourly Salary	Maximum Hourly Salary	Minimum Monthly Salary	Maximum Monthly Salary
33.0	25.70	32.79	\$4,454.67	\$5,683.60
33.5	26.34	33.60	\$4,565.60	\$5,824.00
34.0	26.97	34.46	\$4,674.80	\$5,973.07
34.5	27.65	35.32	\$4,792.67	\$6,122.13
35.0	28.33	36.16	\$4,910.53	\$6,267.73
35.5	29.04	37.06	\$5,033.60	\$6,423.73
36.0	29.74	37.97	\$5,154.93	\$6,581.47
36.5	30.49	38.90	\$5,284.93	\$6,742.67
37.0	31.22	39.86	\$5,411.47	\$6,909.07
37.5	32.01	40.63	\$5,548.40	\$7,042.53
38.0	32.79	41.86	\$5,683.60	\$7,255.73
38.5	33.60	42.91	\$5,824.00	\$7,437.73
39.0	34.46	43.96	\$5,973.07	\$7,619.73
39.5	35.32	45.08	\$6,122.13	\$7,813.87
40.0	36.16	46.12	\$6,267.73	\$7,994.13
40.5	37.06	47.30	\$6,423.73	\$8,198.67
41.0	37.97	48.45	\$6,581.47	\$8,398.00
41.5	38.90	49.67	\$6,742.67	\$8,609.47
42.0	39.86	50.89	\$6,909.07	\$8,820.93
42.5	40.86	52.15	\$7,082.40	\$9,039.33
43.0	41.86	53.42	\$7,255.73	\$9,259.47
43.5	42.91	54.75	\$7,437.73	\$9,490.00
44.0	43.96	56.09	\$7,619.73	\$9,722.27
44.5	45.09	57.50	\$7,815.60	\$9,966.67
45.0	46.12	58.90	\$7,994.13	\$10,209.33
45.5	47.30	60.36	\$8,198.67	\$10,462.40
46.0	48.45	61.84	\$8,398.00	\$10,718.93
46.5	49.67	63.40	\$8,609.47	\$10,989.33
47.0	50.89	64.96	\$8,820.93	\$11,259.73
47.5	52.15	66.55	\$9,039.33	\$11,535.33
48.0	53.42	68.20	\$9,259.47	\$11,821.33
48.5	54.75	69.88	\$9,490.00	\$12,112.53
49.0	56.09	71.60	\$9,722.27	\$12,410.67
49.5	57.50	73.39	\$9,966.67	\$12,720.93
50.0	58.90	75.18	\$10,209.33	\$13,031.20
50.5	60.36	77.07	\$10,462.40	\$13,358.80
51.0	61.84	78.92	\$10,718.93	\$13,679.47
51.5	63.39	80.89	\$10,987.60	\$14,020.93
52.0	64.96	82.88	\$11,259.73	\$14,365.87
52.5	66.55	84.94	\$11,535.33	\$14,722.93
53.0	68.18	87.02	\$11,817.87	\$15,083.47
53.5	69.91	89.21	\$12,117.73	\$15,463.07
54.0	71.59	91.38	\$12,408.93	\$15,839.20
54.5	73.38	93.64	\$12,719.20	\$16,230.93
55.0	75.18	95.94	\$13,031.20	\$16,629.60

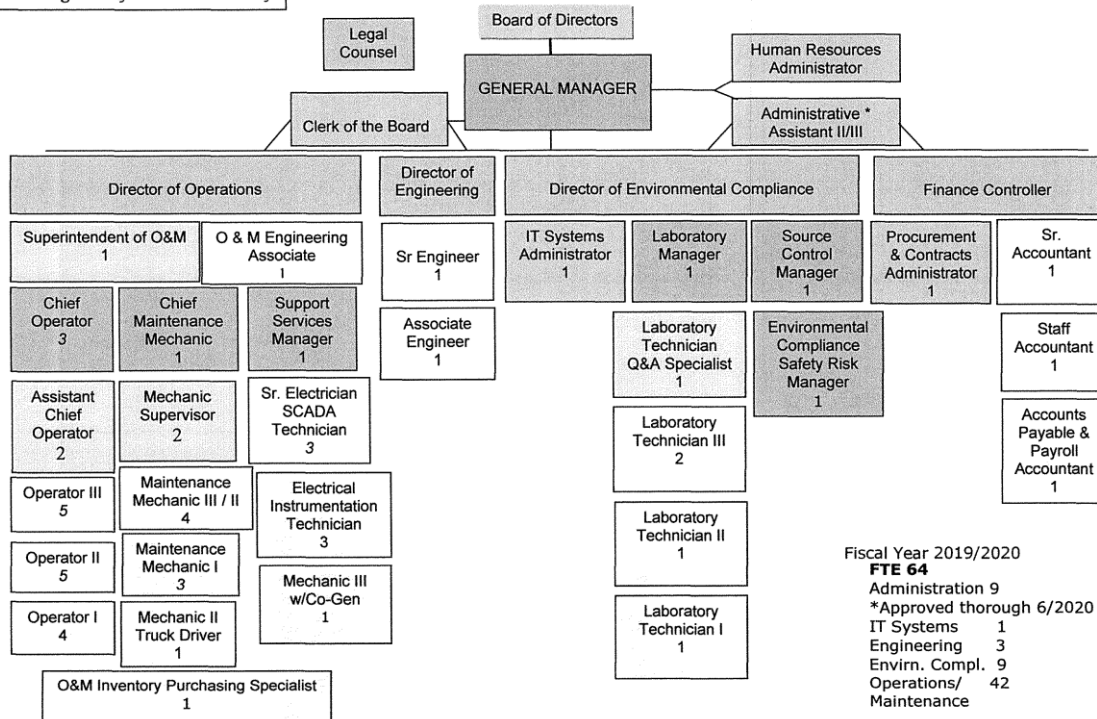
EXHIBIT B
JOB CLASSIFICATIONS

EXHIBIT "B"					
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY					
EMPLOYEE HANDBOOK - JOB CLASSIFICATION SALARY SCHEDULE					
7/1/2019 w/COLA of 2.7%					
SEA Represented Classifications					
Classification	Salary Range	Minimum Hourly Salary	Maximum Hourly Salary	Minimum Monthly Salary	Maximum Monthly Salary
<i>Operations Division</i>					
Operator Grade III	43	\$ 41.86	\$ 53.42	\$ 7,255.73	\$ 9,259.47
Operator Grade II	41	\$ 37.97	\$ 48.45	\$ 6,581.47	\$ 8,398.00
Operator Grade I	37	\$ 31.22	\$ 39.86	\$ 5,411.47	\$ 6,909.07
Operator in Training	35	\$ 28.33	\$ 36.16	\$ 4,910.53	\$ 6,267.73
<i>Maintenance Division</i>					
Mechanic Supervisor	44	\$ 43.96	\$ 56.09	\$ 7,619.73	\$ 9,722.27
Maintenance Mechanic III	42.5	\$ 40.86	\$ 52.15	\$ 7,082.40	\$ 9,039.33
Truck Driver/Maintenance Mechanic II	38	\$ 32.79	\$ 41.86	\$ 5,683.60	\$ 7,255.73
Maintenance Mechanic II	38	\$ 32.79	\$ 41.86	\$ 5,683.60	\$ 7,255.73
Maintenance Mechanic I	36	\$ 29.74	\$ 37.97	\$ 5,154.93	\$ 6,581.47
O&M Inventory/Purchasing Specialist	38	\$ 32.79	\$ 41.86	\$ 5,683.60	\$ 7,255.73
<i>Support Services Division</i>					
Sr. Electrician/SCADA Technician	45	\$ 46.12	\$ 58.90	\$ 7,994.13	\$ 10,209.33
Maintenance Mechanic III /w/Co-Gen	42.5	\$ 40.86	\$ 52.15	\$ 7,082.40	\$ 9,039.33
Electrical/Instrumentation Technician	42	\$ 39.86	\$ 50.89	\$ 6,909.07	\$ 8,820.93
<i>Laboratory Services</i>					
Laboratory Technician III / Q&A Specialist	44.5	\$ 45.09	\$ 57.50	\$ 7,815.60	\$ 9,966.67
Laboratory Technician III	43.5	\$ 42.91	\$ 54.75	\$ 7,437.73	\$ 9,490.00
Laboratory Technician II	41	\$ 37.97	\$ 48.45	\$ 6,581.47	\$ 8,398.00
Laboratory Technician I	39	\$ 34.46	\$ 43.96	\$ 5,973.07	\$ 7,619.73
Laboratory Aide/Sampler	35	\$ 28.33	\$ 36.16	\$ 4,910.53	\$ 6,267.73
Unrepresented Classifications					
Classification	Salary Range	Minimum Hourly Salary	Maximum Hourly Salary	Minimum Monthly Salary	Maximum Monthly Salary
<i>Operations Division</i>					
Assistant Chief Operator	44	\$ 43.96	\$ 56.09	\$ 7,619.73	\$ 9,722.27
Operations Engineering Associate	37	\$ 31.22	\$ 39.86	\$ 5,411.47	\$ 6,909.07
<i>Maintenance Division</i>					
<i>Support Services Division</i>					
Information Technology Systems Administrator	43	\$ 41.86	\$ 53.42	\$ 7,255.73	\$ 9,259.47
<i>Environmental Compliance / Laboratory Services</i>					
Laboratory Manager	48	\$ 53.42	\$ 68.20	\$ 9,259.47	\$ 11,821.33
Source Control Manager	46	\$ 48.45	\$ 61.84	\$ 8,398.00	\$ 10,718.93
Environmental Compliance Safety Risk Manager	43.5	\$ 42.91	\$ 54.75	\$ 7,437.73	\$ 9,490.00
<i>Administration Division</i>					
Procurement/Contracts Administrator	46	\$ 48.45	\$ 61.84	\$ 8,398.00	\$ 10,718.93
Human Resource Administrator	45.5	\$ 47.30	\$ 60.36	\$ 8,198.67	\$ 10,462.40
Clerk of the Board	43	\$ 41.86	\$ 53.42	\$ 7,255.73	\$ 9,259.47
Administrative Assistant II / III	42	\$ 39.86	\$ 50.89	\$ 6,909.07	\$ 8,820.93
Sr. Accountant	43	\$ 41.86	\$ 53.42	\$ 7,255.73	\$ 9,259.47
Staff Accountant	35	\$ 28.33	\$ 36.16	\$ 4,910.53	\$ 6,267.73
Accounts Payable/Payroll Accountant	35	\$ 28.33	\$ 36.16	\$ 4,910.53	\$ 6,267.73
Professional Classifications					
Classification	Salary Range	Minimum Hourly Salary	Maximum Hourly Salary	Minimum Monthly Salary	Maximum Monthly Salary
<i>Operations Division</i>					
Superintendent of O & M	50	\$ 58.90	\$ 75.18	\$ 10,209.33	\$ 13,031.20
Chief Operator	50	\$ 58.90	\$ 75.18	\$ 10,209.33	\$ 13,031.20
<i>Maintenance Division</i>					
Chief Maintenance Mechanic	50	\$ 58.90	\$ 75.18	\$ 10,209.33	\$ 13,031.20
<i>Support Services Division</i>					
Support Services Manager	50	\$ 58.90	\$ 75.18	\$ 10,209.33	\$ 13,031.20
<i>Environmental Compliance / Laboratory Services</i>					
<i>Engineering Division</i>					
Sr. Engineer	50	\$ 58.90	\$ 75.18	\$ 10,209.33	\$ 13,031.20
Associate Engineer	47.5	\$ 52.15	\$ 66.55	\$ 9,039.33	\$ 11,535.33
<i>Administration Division</i>					
Executive Management Classifications					
Classification	Salary Range	Minimum Hourly Salary	Maximum Hourly Salary	Minimum Monthly Salary	Maximum Monthly Salary
<i>Executive Management Division</i>					
General Manager	Set by the Board by Contract				\$ 19,168.93
Director of Operations	54	\$ 71.59	\$ 91.38	\$ 12,408.93	\$ 15,839.20
Director of Engineering	54	\$ 71.59	\$ 91.38	\$ 12,408.93	\$ 15,839.20
Director of Environmental Compliance	54	\$ 71.59	\$ 91.38	\$ 12,408.93	\$ 15,839.20
Finance Controller	52	\$ 64.96	\$ 82.88	\$ 11,259.73	\$ 14,365.87

EXHIBIT C
TABLE OF ORGANIZATION
(As approved FY 2019-20, same may be revised from time to time in each FY)



EXHIBIT C



ACKNOWLEDGMENT

I hereby acknowledge that I have received a copy of the SOCWA EMPLOYEE MANUAL (hereinafter "Manual"), dated November 7, 2019, and that I understand that I am to promptly read its contents. I understand that if I have any questions about the Manual or its contents, I am to discuss them with my supervisor or the Human Resources Department.

I recognize that this Manual supersedes and replaces any previous Manuals, and to the extent that provisions of this Manual conflict with previously issued policies or practices, whether or not such policies and practices were contained in an Employee Manual, this Manual shall prevail. I agree that changes in the policies set out in the Manual are not valid unless made and approved, in writing, by the Board of Directors.

Employee's Name (print or type)

Date: _____

Employee Signature

Date: _____

Witness

Agenda Item

5b

Board of Directors Meeting

Meeting Date: January 9, 2020

TO: Board or Directors

FROM: Betty Burnett, General Manager

STAFF CONTACT: Dina Ash, Human Resource Administrator

SUBJECT: Resolution No. 2020-02 Approving A Memorandum of Understanding with the SOCWA Employee Association for the period July 1, 2020 to June 30, 2023

Summary/Discussion

The revised Employee Memorandum of Understanding with the SOCWA Employee Association (SEA) for the period July 1, 2020 to June 30, 2023 has been presented to the Board of Directors and approved. In order to document the new MOU for CalPERS a resolution of adoption is necessary. Attached for your review is Resolution No. 2020-02 which serves to document approval of the MOU and authorize the execution.

The approved MOU (attached) will replace the current MOU which will expire on June 30, 2020. As the Board will recall, the SEA initiated its request to carryover the terms of the 2017-2020 MOU for an additional three-year contract period. Several minor revisions and a side letter (attached) were approved by the Board with the goal of providing for consistency and clarification of provisions within the MOU.

Fiscal impact

None.

Recommended Action

Staff recommends that the Board approve "Resolution No. 2020-02 of the Board of Directors of the South Orange County Wastewater Authority Approving a Memorandum of Understanding with the SOCWA Employee Association for the Period July 1, 2020 to June 30, 2023."

Attachment(s)
Resolution No. 2020-02
Memorandum of Understanding

**RESOLUTION NO. 2020-02
OF THE
BOARD OF DIRECTORS OF THE
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY
APPROVING A MEMORANDUM OF UNDERSTANDING WITH THE SOCWA EMPLOYEE
ASSOCIATION FOR THE PERIOD JULY 1, 2020 TO JUNE 30, 2023**

WHEREAS, the employees represented by the South Orange County Wastewater Authority ("SOCWA or Authority") Employee Association ("SEA") are a viable and important part of the SOCWA organization, and

WHEREAS, the revised Employee Memorandum of Understanding for the period July 1, 2020 to June 30, 2023 has been presented to the Board for its approval.

NOW, THEREFORE, the Board of Directors of the SOCWA does hereby RESOLVE, DETERMINE AND ORDER as follows:

Section 1. The Board Chairman, on behalf of the Authority, is authorized to execute the Employee Memorandum of Understanding Between the South Orange County Wastewater Authority and the SOCWA Employee Association for the period July 1, 2020 to June 30, 2023 and provide for its implementation.

Section 2. The Secretary of SOCWA shall certify the adoption of Resolution No. 2020-02 and shall maintain a certified copy thereof at the principal office of SOCWA.

PASSED AND ADOPTED BY the Board of Directors of the SOCWA, County of Orange, State of California on the 9th day of January 2020.

SOUTH ORANGE COUNTY WASTEWATER AUTHORITY

Daniel R. Ferons, Chairman

Betty Burnett, General Manager and Board Secretary

(Seal)

**MEMORANDUM OF UNDERSTANDING
BETWEEN THE
SOUTH ORANGE COUNTY
WASTEWATER AUTHORITY
AND THE
SOCWA EMPLOYEE ASSOCIATION**

July 1, 2020 to June 30, 2023

SECTION I

A. RECOGNITION

The South Orange County Wastewater Authority, hereinafter referred to collectively as the "Agency," recognize the SOCWA Employee Association, hereinafter referred to as the "SEA", as the exclusive recognized employee organization for matters within the scope of representation for the classifications shown in Exhibit "A".

B. DURATION

This Memorandum of Understanding shall become effective as of July 1, 2020 and shall remain in full force and effect until June 30, 2023 and shall renew automatically from year to year thereafter unless either party gives at least sixty (60) days' notice in writing to the other party prior to any annual expiration date of their desire to modify or terminate this Agreement.

C. FULL UNDERSTANDING, MODIFICATION AND WAIVER

It is intended that this Memorandum of Understanding sets forth the full and entire understanding of the parties regarding the matters set forth herein, and any other prior or existing understanding or agreements by the parties, whether formal or informal, regarding any such matters are hereby suspended or terminated in their entirety.

Except as specifically provided herein, it is agreed and understood that SEA hereto voluntarily and unqualifiedly waives its rights, and agrees that the Agency will not be required to negotiate with respect to any subject or matter covered herein during the term of this Agreement. Except in cases of emergency as provided by Government Code Section 3504.5, the Agency shall provide reasonable written notice to the SEA of any ordinance, resolution; rule or regulation directly related to matters within the scope of representation proposed to be adopted by the Agency Board of Directors and shall give SEA the opportunity to meet with the Agency representatives.

Any agreement, alteration, understanding, variation, waiver or modification of any of the terms or provisions contained herein shall not be binding upon the parties hereto unless contained in writing signed by both parties and approved and implemented by the Agency Board of Directors.

The waiver of any breach, term or condition of this Agreement by either party shall not constitute a precedent in the future enforcement of all of its terms and provisions.

D. PROVISIONS OF LAW

It is understood and agreed that this Memorandum of Understanding is subject to all current and future applicable federal and state laws, and federal and state regulations. If any part of a provision of this Memorandum of Understanding is in conflict or inconsistent with such above applicable laws, rules and regulations, or is otherwise held to be invalid or unenforceable by any tribunal of competent jurisdiction, such part of provision shall be suspended and superseded by such applicable law or regulations, and the remainder of this Memorandum of Understanding shall not be affected thereby.

E. MANAGEMENT RIGHTS

Except as expressly limited by the provisions of this Memorandum of Understanding, all management rights, including the control, direction, and supervision of all SOCWA operations and personnel are vested in the Agency. Such functions include, but are not limited to, the right to hire new employees; to direct the work force; to determine the types and kind of services to be provided; to hire outside companies and vendors to perform services; to increase and decrease the amount of work available; to schedule and assign work; to determine the number of work shifts and hours of work; to subcontract work; to determine the types of work to be performed; to establish and enforce job standards; qualifications; conduct and safety regulations; to determine job content; and to change materials, processes, services, equipment, jobs, operations, locations and the number and type of facilities. The Agency also retains the right to hire, transfer, promote, demote, layoff and recall employees and to discharge, suspend and discipline employees for just cause.

F. NO STRIKE OR LOCKOUT

During the term of this Memorandum of Understanding, the employees, their agents and representatives, including, but not limited to, SEA will not instigate, promote, sponsor, engage in or condone any strike (including sympathy strike), slow down, concerted stoppage of work, sick-out, or any other disruption of the operations of the Agency, regardless of the reason for so doing. Any employee engaging in such activity prohibited by this Article, or who instigates or gives leadership to such activity, shall be subject to disciplinary action up to and including termination.

During the term of this Memorandum of Understanding, the Agency will not institute a lockout over a dispute with the employees so long as there is no breach of the above no-strike provision.

G. DUES DEDUCTIONS AND NEW HIRE ORIENTATION

The Agency will deduct from each regular paycheck of all employees who have submitted a Dues, Deduction to SEA and remit to the SEA Treasurer, the dues, initiation fees and assessments for each employee as required by California law.

Authorizations for payroll deductions and authorizations to stop payroll deductions will be submitted in writing by the employee to the SEA Treasurer.

No employee shall be obligated to pay dues to SEA until the first of the month following 30 calendar days after the employee first comes into the bargaining unit.

The Association will receive no less than 10 days written notice (via email) in advance of an orientation for new hires whose positions are within their bargaining unit, except that a shorter notice may be provided in a specific instance where there is an urgent need critical to the SOCWA's operations that was not reasonably foreseeable. The Association representative shall have 15 minutes during the orientation, or a longer time if mutually agreed upon, to present information to the new hire(s) related to the Association and MOU. Within 30 days of the date of hire, the SOCWA shall provide the Association with the name, job title, department, work location, work, home, and personal cellular telephone numbers, personal email address on file with the SOCWA and the home address of the new hire (personal information may be excluded upon written request of the employee as set forth in Government Code section 6254.3(c)). In addition, the

SOCWA shall provide the same information for all employees in the bargaining unit to the Association every six months.

H. USE OF AGENCY FACILITIES

SEA may use Agency facilities to hold general membership and Board of Directors meetings with employees. Reasonable release time will be allowed to conduct Association business, subject to approval by the General Manager. Such requests must be made in writing to the Human Resources Department at least 48 hours prior to the date requested. Approval will be granted unless prior Agency use of the facility is scheduled. This permission to use Agency facilities is subject to revocation upon ten (10) days' notice to the SEA.

I. ACCRUAL OF NEW OR EXISTING FACILITIES

In the event any new or existing plant and/or facility is acquired by, or comes under the control or direction of the Agency during the time of this Memorandum of Understanding, the parties agree that the employees of any such plants and/or facilities, occupying positions identical, or substantially similar to, and/or performing job duties identical, and/or substantially similar to classifications contained herein, shall be governed by the provisions of this Agreement to the extent allowed by law. In the event that there is any discrepancy between policies, procedures, or other practices currently governing such employees, the current MOU between SOCWA and SEA and the personnel policies of the Agency would govern.

J. AGENDAS

Agendas of SOCWA Board of Director meetings will be furnished to SEA at no charge.

K. AMERICANS WITH DISABILITIES ACT

The parties recognize that they are subject to the Americans with Disabilities Act (ADA) and Fair Employment and Housing Act ("FEHA"), and that these laws may require, among other things, that the Agency provide reasonable accommodation to employees with disabilities. Accordingly, the Agency is permitted to take all actions necessary to comply with the ADA and FEHA.

SECTION II EMPLOYMENT

A. EMPLOYEE EVALUATION

1. Original Appointments: Original appointments shall be subject to a probationary period of between six to twelve months. In the event an employee is off work for any reason for two or more weeks during the probationary period, then the probationary period will be extended by the amount of time that employee is away from work.
2. Probation Period: The probationary period shall be regarded as part of the selection process and shall be utilized for close observation and evaluation in order to determine the capability of the probationer to satisfactorily perform the requirements of the position.

After serving the probationary period and receiving a favorable rating from their immediate supervisor and/or Department Director and a favorable

recommendation from the General Manager, said employee may thereafter be paid on a monthly basis at the rate fixed no greater than the amount approved by the General Manager and within the range the employee was hired. Passing the probation period with a satisfactory rating is a requirement for continued employment. Each year thereafter, the employee shall receive a performance rating. Upon recommendation of the General Manager, a new employee may be hired at a higher rate than the minimum salary of the applicable range of the salary schedule.

3. Promotional Appointments: Present employees will be notified of promotional opportunities when a vacancy occurs at any of the SOCWA treatment plants. Employees with the required knowledge, certification, skill, ability, interest and physical fitness will be given an opportunity to apply for such vacancies. Decisions regarding promotional appointments shall be made by a review panel appointed by the General Manager. All promotional appointments are subject to final approval by the General Manager. Promotional appointments shall be subject to at least six (6) and up to nine (9) months probationary period. In the event an employee is off work for any reason for two or more weeks during the probationary period, then the probationary period will be extended by the amount of time that the employee is away from work.

Any employee, who is in a Grade I or II category, may be promoted to a Grade II or III upon:

- 1) Successful completion of the required or voluntary applicable exam; and
 - 2) Two consecutive above-standard performance reviews, one while in possession of the higher certification and recommendation of the employee's supervisor and approval of the General Manager.
4. Rejection during Probationary Period: A probationary employee may be rejected at any time without the right of appeal or hearing during the probationary period. A rejected probationer serving as a result of original appointment shall be dismissed from service. A rejected probationer serving as a result of promotional appointment shall be reinstated to the position or class, or comparable position, from which promoted, unless otherwise dismissed from service as provided in this policy.
 5. Reclassification. When a full-time employee is reclassified and the position he/she occupies is reclassified to a position with a lower salary range, the employee will be designated at the lower salary range unless otherwise recommended by the employee's supervisor and concurred with by the General Manager.
 6. Performance Evaluation: Employees who have passed their probationary period shall have their performance evaluated by their supervisors at least annually from the date of completing probation (anniversary date). Such evaluations may be prepared on such a frequency as is deemed appropriate by the supervisor. The evaluation and appraisal form will be reviewed together by both the employee and his/her supervisor and signed after having been reviewed and approved by the General Manager.

B. WORK DAYS

1. Work day shifts may be changed from time to time, in regard to the respective job functions. The workweek schedule will commence on Sunday and end on Saturday. The designated work schedule will include a one half-hour lunch period for which the employee will be compensated.

SOCWA establishes work schedules and start times to meet the needs of the organization. Normal work weeks consist of either five eight-hour day weeks (5/80), a 36-44 hour pay period (9/80) schedule, or a four ten-hour per day schedule (4/10). Additional work weeks may be considered and approved by the general manager at his or her sole discretion.

Current work schedules available year –around are:

5 days per week, 8 hours per day (5/40)

9 days per pay period (9/80)

4 days per week, 10 hours per day (4/10)

Individual employees are assigned a work schedule by management and may, at the General Manager's sole discretion, determine which type of work week the employee will work (5/40, 9/80 or 4/10).

Employees may request to work flexible starting hours (starting at either 6:00 a.m. or 7:00 a.m.). Management retains the sole right to determine whether or not SOCWA can accommodate the request.

2. The designated work schedule will be established by the appropriate department head, subject to approval by the General Manager. The Agency may change work schedules at any time in its sole discretion.
3. Under normal weather and operating conditions, employees subject to shift changes will be given one hundred forty-four (144) hour advance notice of any changes in their normal work schedule, except in cases of an emergency as determined by the General Manager. At the end of the weather or operating emergency, the employee's shift will revert to what it was prior to the emergency.
4. In cases where the employee could not be given one hundred forty-four (144) hour advance notice of a shift change, the employee will be eligible to receive compensation equal to the rate of one and one-half times the employee's rate of pay for the first day of the altered work schedule.
5. Employees in the Operation, Maintenance or Laboratory Divisions may, at the discretion of the General Manager, be assigned to work at any of the SOCWA treatment plants.
6. Employees are required to be dressed and ready for work at the start of their scheduled work period. Punctuality is expected at all times and a lack of same is grounds for discipline or termination.

7. An employee shall personally notify his/her supervisor within one (1) hour of the start of the employee's assigned shift of the employee's inability to report to work on that shift. Repeated failure to comply with this provision is grounds for disciplinary action.

C. GRIEVANCE PROCEDURE

1. A grievance procedure has been established for the following purposes:
 - a. Promoting improved employer/employee relations by establishing an appropriate means for determining the validity of grievances; i.e., claims by an employee that the Agency has violated, misinterpreted or misapplied an obligation to the employee as such obligation is expressed and written in this MOU.
 - b. Providing a method of resolving such claims as closely as possible to the point of origin and as informally as possible.
 - c. Encouraging free communication between supervisors and employees.
2. The following steps shall be taken when filing a grievance.
 - a. Step One: Employees who have a grievance shall first take it up verbally with their division supervisor within five (5) working days after they knew or reasonably should have known of the occurrence of the cause of the grievance and any action taken. An SEA representative will be permitted at a mutually agreed upon time so as not to negatively impact agency operations, as a neutral observer of the discussion in the event the employee so chooses. Management retains the right to have a representative from Human Resources present at such a grievance meeting.
 - b. Step Two: If the grievance is not resolved within two (2) working days after its submission in Step One, employees may submit the grievance in writing to the division supervisor within five (5) working days thereafter. The division supervisor shall meet with the employee within five (5) working days after submission of the grievance and shall deliver his/her answer, in writing, to the employee within five (5) working days after such meeting.

At this and subsequent steps in the grievance procedure, employees have the right to present their grievance with or without a representative at their option. Should an employee choose to have representation, they must submit, in writing, their intention to do so with the name and title of their representative to the appropriate division supervisor at the time of the Step Two grievance submission.
 - c. Step Three: If the grievance is not resolved within two (2) working days after its submission in Step Two, employees may submit the grievance in writing to the Department Director, within five (5) working days thereafter. The Department Director shall meet with the employee within five (5) working days after submission of the grievance and shall deliver his/her

answer, in writing, to the employee within five (5) working days after such meeting.

- d. Step Four: If the grievance is not resolved in the Third Step, the aggrieved employee may submit it in writing to the General Manager within five (5) working days after the Department Director's answer is received. The General Manager shall meet with the employee within five (5) working days after receiving the grievance and shall deliver his/her answer in writing within five (5) working days after such meeting.

D. DISCIPLINARY ACTIONS

1. Disciplinary actions shall be administered as set forth in the SOCWA Employee Manual, except that a disciplinary suspension of two (2) or more working days, a disciplinary demotion or a disciplinary termination may be appealed by the SEA to final and binding arbitration.
 - a. The appeal to arbitration shall be made in writing to the General Manager.
 - b. Within ten (10) calendar days of the appeal to arbitration, the parties shall either mutually select an impartial arbitrator or jointly make a request to the State Mediation & Conciliation Service to provide a list of seven names to the parties.
 - c. Within Five (5) working days of receipt of the State Mediation & Conciliation Service list, the parties shall select an arbitrator from said list by alternatively striking names until only one name remains. The party starting first shall be determined by a coin flip.
 - d. The cost of the arbitrator shall be shared equally by SOCWA and SEA.
 - e. An employee shall suffer no loss of pay for the time spent as a witness at an arbitration hearing held pursuant to this procedure.
 - f. The decision of the arbitrator shall be in writing and transmitted to the parties within thirty (30) calendar days after the close of the hearing.
 - g. The decision of the arbitrator shall be final and binding.

E. LAYOFF PROCEDURES

Business and operational needs may necessitate a decrease in the number of employees. Layoffs are not used for disciplinary reasons or to discriminate against any protected person or group. Layoffs are to be determined by the General Manager to meet current staffing needs. In determining who is to be affected by a layoff, the General Manager will consider the length of service of each employee and the individual skills and abilities of each employee. The Agency reserves the right to add, delete or modify individual job responsibilities to maintain maximum operating efficiency.

Should a reduction-in-force be deemed necessary, the Agency will observe the following procedures:

1. Order of Layoff:

- a. Temporary employees.
- b. Probationary employees who have not yet completed their probation, excluding promotional probationary employees who shall be considered full-time employees.
- c. Full-time employees.

In each of the above categories when a reduction in the work force is necessary, the Agency will select employees for layoff based on consideration of all of the following factors:

- 1) Length of continuous service with the Agency (this includes length of time with either AWMA, SERRA, or Moulton Niguel Water District, South Coast Water District or any other predecessor which has operated a current SOCWA facility).
- 2) Past and present performance based on performance evaluations.
- 3) Demonstrated special skills/abilities of the individual employee.
- 4) Inter-agency cross training.
- 5) Education and/or job certification beyond the minimum required.

It is to be noted that when all other factors are equal, length of continuous service will be the determining factor when evaluating persons for layoff.

All SOCWA employees, whether in Operations, Maintenance, Laboratory or other Departments, will be considered for available job openings within respective departments (at all plant facilities), to avoid layoffs.

An employee who holds a higher-level position within a Department (such as Operations, Maintenance or Laboratory) may be placed (bumped) into a lower level position within the same Department for which the employee is qualified in order to avoid a layoff. This may necessitate the layoff of an employee holding a lower level position. For purposes of this section, "qualification" is presumed where the person has held the position previously with the Agency or where the person meets the minimum qualifications for the position. An employee may not have "bumping" rights in the event an entire classification is eliminated unless they have previously held a like position within SOCWA that would qualify them for such position. The Agency's decision to abolish a position is not subject to the employee's right of appeal or grievance.

2. Y-Rate: An employee's salary is Y-Rated or frozen when the employee bumps into a lower level position for which the top range of the salary scale is below the employee's salary in his/her previous position. The employee will continue to receive his former salary and will be frozen at this salary level until such time as subsequent general salary increases cause the top range of the salary scale for the lower level position to exceed the employee's salary at the Y-Rate. The

employee's salary anniversary date shall not change. If the employee's salary rate in the lower level position is below the top of the range for that position, he/she shall be entitled to be considered for normal salary increases.

3. Notification to Employees: Written notices of layoff shall be served to employees personally at work whenever practicable. The notice of layoff shall include the proposed effective date of the layoff. The Agency shall give at least thirty (30) days' notice of layoff to affected employees.
4. Status on Re-employment: An employee who is laid off according to this policy and is subsequently re-hired within eighteen (18) months from the date of his/her layoff to a regular, full-time position will receive the following considerations and benefits:
 - a. All unpaid sick leave at the time of the layoff will be credited to the employee's account when employment is restored; and
 - b. All prior service is credited for all purposes.
5. Recall: Recall will be in reverse order of layoff, with the recall list being maintained for a period of eighteen (18) months. The employee must qualify for such position being recalled by holding a like position when previously employed with SOCWA.

Laid-off employees are eligible for recall for up to eighteen (18) months.

6. Separation Pay: Regular full-time employees whose employment with the Agency terminates due to a reduction-in-force or layoff are eligible to receive separation pay equivalent to two (2) weeks salary providing an employee has completed at least six (6) months to one (1) full year of continuous service to the Agency, with an additional week for every full year of employment thereafter. Receipt of separation pay will not impact a terminated employee's right to apply for unemployment insurance benefits. All employees affected by a layoff are eligible for unemployment and COBRA benefits as provided by law.

Manner in Which Points are Calculated Under SOCWA - SEA Layoff Provision:

1. Length of continuous service with the Agency (this includes length of time with either AWMA, SERRA, Moulton Niguel Water District, South Coast Water District or any other predecessor which has operated a current SOCWA facility). This factor will have a **maximum** weight of 12 points, with each full year of service up to 12 years receiving one point.
2. Past and present performance based on the two most recent performance evaluations. This factor will have a **maximum** weight of 5 points to be determined as outlined below:

For Each Performance Review:

Superior or Outstanding	2.5
Exceeds Expectations or Above Standard	2
Meets Standard or Standard	1
Needs Improvement	0
Unsatisfactory	-.5

This could give a maximum total of 5 points after reviewing the two most recent performance evaluations.

Example:

2 Superior or Outstanding = 5

2 Exceeds Expectations or Above Standard = 4

Above standard or Exceeds Expectations & 1 standard or Meets Standard = 3

2 Standards or 2 Meets Standard = 2

1 Standard or Meets Standard & 1 needs improvement = 1

3. Demonstrated special skills/abilities of the individual employee. This factor will have a **maximum** weight of 5 points to be determined by how many relevant special skills/abilities the employee will bring into the job that are not requirements in the job description. Each additional skill/ability will be counted as one point, up to a **maximum** of 5 total points for this category. Skills/abilities will be determined by the Agency.

The following types of demonstrated skills/abilities are examples of what may be determined to be relevant, depending on the circumstances: Welding skills, truck driving, heavy equipment operator skills, carpentry skills, electrical experience, computer skills, etc. This is not intended to be an exhaustive list.

4. Cross-training: This factor will have a **maximum** weight of 5 points to be determined by the number of different Agency/jobs/departments the employee has been cross-trained in.

Example:

Cross-training at different plant (minimum 1-year at each facility) = 2 points

Cross-training in separate department at same plant (until proficient at task/job) = 1 points

SOCWA cross-training program (minimum 120 hours at different plant) = 1 points

5. Education and/or job certification beyond the minimum required per the job description. This factor will have a **maximum** weight of 5 points and will be determined by giving one point for any certification above the minimum required (i.e., an Operator in a position requiring a Grade II certificate will receive 2 points if he/she has a Grade IV certificate). Additional points may be given in the Agency discretion for (a) any job-related class that has been approved by the Agency and successfully completed by the employee, or (b) other relevant education deemed beneficial to the long-term interests of the Agency.

SECTION III BENEFITS

A. VACATION

1. Accrual Rates:

For employees hired prior to July 1, 2014, the following applies:

Full-time employees shall accrue the following vacations hours which will be properly credited on a biweekly basis.

- First year through five years of employment - 96 hours per year.
- Sixth year through tenth year of employment - 120 hours per year.
- After ten years of employment - 160 hours per year.

1(b) For employees hired on or after July 1, 2014, the following applies:

- First year through five years of employment - 80 hours per year.
 - Sixth year through tenth year of employment - 120 hours per year.
 - After ten years of employment - 160 hours per year.
2. Part-time regular employees who work at least 40 hours per pay period shall accrue vacation subject to the schedule set forth in paragraph 1 above, but it shall be prorated on the basis of the number of hours worked.
 3. All vacation time must have prior approval. The Director may approve vacation requests up to three (3) days.
 4. Vacation requests for over three (3) days must be submitted no less than two weeks prior to the commencement of the requested vacation, except in an emergency situation as determined by the General Manager or his/her designee.
 5. No vacation time for over thirty (30) hours shall be taken without prior approval of the General Manager or his/her designee.
 6. Vacation duration is limited to no more than 120 hours (3 weeks) without special approval by the General Manager.
 7. Vacation requests submitted three (3) months in advance and approved at least four (4) weeks prior to the commencement of the requested vacation, will not be canceled by anyone other than the employee, except in cases of an emergency as determined by the General Manager, his/her designee or the Assistant General Manager/Director of Operations.
 8. Any employee separating from employment who has not taken earned vacation shall receive pay for each hour (or part thereof) of earned vacation according to the level of earnings for such employee on the last day worked.
 9. Not more than 240 hours may be accrued and carried over from one calendar year to the next calendar year, nor may an employee receive pay in lieu of taking a vacation, without prior approval of the General Manager. Every effort shall be made by the employees to schedule at least one continuous forty (40) hour (one week) vacation during the year.
 10. Eligible new hires shall accrue vacation beginning with the date of hire, but may not utilize such during the first six (6) months of their probationary period.
 11. Employees may request up to 40 hours pay in lieu of vacation, subject to approval by the General Manager, provided the employee has taken 7 consecutive days off in any combination of holidays, vacation, personal holidays, weekends, scheduled

days off, etc., within the last 12 months. This policy may be used up to a maximum of 2 times within twelve consecutive months. After the employee has been paid for the second 40 hours of vacation pay in lieu of vacation he/she will not be granted another 40 hours vacation pay in lieu of vacation until it has been 12 consecutive months from the original and first date of request.

B. HOLIDAYS

1. All full-time employees and those eligible part-time employees shall receive the following paid holidays:

New Year's Day (January 1)
President's Day (third Monday in February)
Memorial Day (last Monday in May)
Independence Day (July 4)
Labor Day (first Monday in September)
Veteran's Day (November 11)
Thanksgiving Day
Thanksgiving Holiday (Friday after Thanksgiving Day)
Christmas Day (December 25)

2. Holiday overtime pay will only be paid for working on the above nine dates, the actual day of the holiday.
3. Whenever a holiday falls on a Saturday not scheduled as a regular workday, the preceding Friday shall be observed as the day off. Whenever a holiday falls on a Sunday not scheduled as a regular workday, the following Monday shall be observed as the day off.
4. When a holiday falls on an employee's regular scheduled day off and the employee would otherwise lose the holiday, the employee will be paid for the amount of a regularly scheduled work day as straight-time pay. If staffing requirements allow, an employee may elect to take a regularly scheduled day off, providing the day off falls within the same pay period as the holiday. Arrangements for such days off must be made with the employee's supervisor.
5. In addition, all full-time employees are eligible to receive three (3) personal days per fiscal year. Personal days must be taken as a full day off. Advanced notification of an employee's use of a personal day is encouraged, but not required.

Personal days accrue on July 1 of each year (2020, 2021, and 2022) and must be taken prior to June 30 of the following year.

A personal day is the equivalent of a full day worked regardless of the number of hours in the employee's shift at the time the personal day is used (8, 9 or 10 hour shift).

6. All Part-time employees are eligible to receive 1 ½ days of Personal Leave per calendar year.

Once an employee has given his/her notice of termination, there will be no further accumulation of floating holidays.

7. An employee must have been paid for the entire amount of regularly scheduled hours the days immediately prior to and following a holiday observed by the Agency in order to be paid holiday pay.
8. All employees eligible to receive paid holidays, and who are regularly scheduled to work on a holiday observed by the Agency, shall be paid at one and one-half times their normal rate of pay. This is in addition to the holiday pay (or day off in lieu) at eight, nine or ten hour's straight time, depending on the employee's schedule. Employees not scheduled to work but who are called in to work shall receive compensation equal to double their normal rate of pay for the first consecutive nine or ten hours worked (depending on employee's schedule). All consecutive hours worked beyond nine or ten (depending on employee's schedule) on a holiday will be paid at three times the employees' normal rate of pay.
9. Temporary employees shall be entitled to paid holidays only if such a holiday falls on a day such employee would ordinarily be required to work.

C. SICK LEAVE

1. All full-time employees hired prior to July 1, 2014; earn ninety-six (96) hours of sick leave per year. All full-time employees hired on or after July 1, 2014, earn eighty (80) hours of sick leave per year. Employees shall accrue sick leave beginning with the date of hire, on a biweekly basis, but may not utilize such during the first thirty (30) days of employment.
2. Part-time regular employees who work at least forty (40) hours in a pay period shall accrue sick leave subject to Paragraph 1 above, but it shall be prorated on the basis of the number of hours worked per week versus a 40-hour week.
3. Not more than forty-eight (48) hours of sick leave per calendar year may be taken in cases where an employee's presence is required elsewhere to attend to the illness of an "immediate family member". An employee's "immediate family" includes a registered domestic partner, spouse, parent, child, brother, sister, or grandparent. A non-serious illness or disability is defined as one that is not covered under the Family and Medical Leave Act of 1993. Employee leave for the serious health condition of members of their immediate family is governed by the Agency Family Leave policy as detailed in the Employee Manual.

4. The General Manager may require a doctor's certificate if an employee's absence exceeds three (3) consecutive working days. If an employee is absent for five (5) consecutive working days, a doctor's certificate may be mandatory in order to return to work.
5. An employee may carry over a maximum of two hundred forty (240) hours of accumulated sick leave on an annual basis. This annual basis shall end on the last day of the first pay period that ends in December. For all hours in excess of one hundred seventy six (176) hours, employees will be eligible to receive compensation for 75% of those hours at their current rate of pay. Such compensation will be paid at the end of the first pay period that ends in December.
6. When an employee has utilized their total accumulated sick leave, accrued vacation may be taken to the extent available providing the employee receives prior approval (refer to Section III-A, above, regarding submittal of vacation requests). If an employee does not elect to utilize, does not have sufficient accrued vacation time to cover the absence, and/or does not receive prior approval for the use of vacation leave, the employee shall not receive compensation.
7. Accumulated sick leave and/or vacation time may be utilized by an employee during his/her family leave or pregnancy disability leave.
8. Employees, who have given at least two weeks written notice of their intention to leave the employ of the Agency shall be paid 75% of their accumulated sick leave above one hundred seventy-six (176) hours on the date of termination.

Employees, who have given at least two weeks written notice of their intention to retire from the Agency, shall be paid for unused sick leave at a rate of 75% upon retirement.

D. HEALTH, DENTAL INSURANCE AND VISION CARE PLAN FOR EMPLOYEES

1. Full-time and part-time employees and their dependents are provided a group dental and vision care plan; the premiums for the vision and dental are paid for by the Agency. Eligibility for dental and vision insurance will begin the first of the month following thirty (30) days of employment.
2. Full-time employees and their dependents are provided with group health insurance coverage under the CalPERS PEMHCA program. The Agency shall revise its current PEMHCA contract with CalPERS through the adoption of a new PEMHCA resolution to provide that the Agency shall pay to CalPERS, on behalf of each employee and retired employee who qualifies for retiree medical benefits, a monthly employer contribution equal to the minimum contribution required under Government Code Section 22892(b)(2) ("PEMHCA Minimum"). The PEMHCA Minimum is established by CalPERS and may change annually. Additional employer contributions shall be provided in accordance with the terms set forth in this Section D and Section E below.
3. Employees of the Agency shall be eligible for a monthly health insurance allowance from the Agency equal to an amount that is 95% of the average of all health plans CalPERS makes available to the Agency, excluding the PERS Care Plan, at the appropriate level of coverage selected by the employee

(employee, employee + 1, or employee + family). The Health Allowance shall be made available through the Agency's Cafeteria Plan in order to preserve it as a nontaxable benefit and a portion of the Health Allowance will be designated as the PEMHCA Minimum contribution set forth in paragraph #2 above and paid directly to CalPERS. If an employee enrolls in a CalPERS health plan with a monthly premium that exceeds the Health Allowance, the excess cost will be the employee's responsibility. Contributions to be paid for by the employee will be calculated on an annual basis and withheld in equal amounts over the amount of pay periods in the year. Unequal remainder amounts will be included in the final paycheck for the calendar year. Eligibility for health coverage and the Health Allowance will begin the first of the month following thirty (30) days of employment.

4. Regular part-time employees who meet the applicable eligibility requirements established by the Agency insurance partner shall be provided health, dental and vision insurance for themselves and their dependents, upon request.
5. The cost of the premiums for dental and vision insurance for part-time employees will be shared by the Agency and the employee based upon the number of hours the employee normally works in an eighty (80) hour pay period. For example, an employee who normally works sixty (60) hours will pay 25% of the premium, while an employee who normally works forty (40) hours will pay 50% of the premium. Withholdings will be calculated as they are in paragraph #3 above.
6. It is mandatory that each employee notifies the Agency, in writing, whenever any additions or deletions occur in the status of his/her dependents. Failure to do so may result in a lapse of coverage for the additional dependent(s).
7. In lieu of health insurance coverage, eligible employees may elect to receive compensation at a rate of \$300.00 per month in addition to their regular pay. Employees must show current proof of health insurance coverage under another plan outside of the Agency and may be required to periodically show proof upon request. Requests for compensation in lieu of health insurance coverage should be in writing and are subject to review and approval of the General Manager. Compensation will begin on the first of the month following cancellation of coverage from the Agency Health Plan.
8. The post-retirement health insurance plan must be selected from the health care plans provided to other full-time SOCWA employees in accordance with requirements of the PERS Program, which may be revised from time to time.

E. RETIREE HEALTH INSURANCE

1. Pursuant to PEMHCA and relevant CalPERS regulations, a retired employee will qualify for retiree medical benefits if his or her retirement from the Agency is effective within 120 days of his or her separation from employment with the Agency and the retired employee receives a retirement allowance from CalPERS resulting from his or her service with the Agency. Retired employees who satisfy the preceding requirements ("Eligible Retirees") are eligible to continue health coverage with CalPERS for themselves and their eligible dependents. All allowances described in this section shall only be available to Eligible Retirees enrolling in a CalPERS health plan.

2. The retiree health benefits provided by the Agency vary depending upon an Eligible Retiree's date of employment with the Agency. The Agency provides retiree health benefits as follows:

- a) Employees hired before July 1, 2017. Eligible Retirees hired before July 1, 2017 will receive a monthly amount from the Agency not to exceed the Health Allowance made available by the Agency to active employees ("Tier I Allowance"). The Tier I Allowance will be paid as follows:

an amount equal to the PEMHCA Minimum will be paid directly to CalPERS by the Agency; and

a reimbursement by the Agency will be paid to the retiree for the monthly health insurance premiums actually paid by

the retiree, in an amount not to exceed the difference between the Tier I Allowance and the PEMHCA Minimum.

If an Eligible Retiree subject to this Section E.2.a enrolls in a CalPERS health plan with a monthly premium that exceeds the Tier I Allowance, the excess cost will be the Eligible Retiree's responsibility. Conversely, if any Eligible Retirees enrolls in a CalPERS health plan with a monthly premium that is less than the Tier I Allowance, the remainder shall be forfeited.

Eligible Retirees shall be subject to any changes to the health insurance coverage provided by the Agency to the same extent as active employees of the Agency.

- b) Employees hired on or after July 1, 2017.

- Eligible Retirees hired on or after July 1, 2017 will receive a monthly amount from the Agency equal to the PEMHCA Minimum, which the Agency will pay directly to CalPERS ("Tier II Allowance"). If an Eligible Retiree subject to this Section E.2.b enrolls in a CalPERS health plan with a monthly premium that exceeds the Tier II Allowance, the excess cost will be the Eligible Retiree's responsibility.
- In addition, during employment with the Agency, employees hired on or after July 1, 2017 shall receive an Agency contribution equal to \$200 per month to an individual account under a retiree health savings plan. This amount may be subject to change at the Agency's discretion but will not be reduced below \$200 during the term of this MOU. The retiree health savings plan is to be used exclusively to reimburse qualifying medical expenses during retirement. The retiree health savings plan will be administered by a third party administrator selected by the Agency.

F. LONG -TERM DISABILITY INSURANCE

Effective thirty days after employment, both short-term and long-term disability insurance coverage is provided for all full-time and part-time employees; the premiums are paid for by the Agency.

G. LIFE INSURANCE

1. Effective thirty days after employment, group life insurance is provided to all full-time and part-time employees in an amount of \$100,000. The premiums for full-time employees are paid for by the Agency. The premiums for part-time employees are shared 50/50 by the Agency and the employee. (The cost of premiums paid by the Agency for life insurance in excess of \$50,000 is considered noncash compensation for tax purposes).
2. It is mandatory that each employee notify the Human Resource Department whenever any additions or deletions occur in the status of his/her dependents, as well as any desired change in beneficiary data.

H. RETIREMENT

1. PERS Retirement Plans
 - a. All regular full and part-time employees' are covered by the Public Employees' Retirement System (PERS). Employees hired prior to February 2011 are on the 2.5% at 55 formula with the employee paying the full employee contribution.
 - b. Employees hired after February 2011 but prior to January 1, 2013, and employees that are hired after January 1, 2013 but qualify as an existing PERS "Classic" employee will be on the 2% at 55 formula with the employee paying the full employee contribution.
 - c. Employees hired after of January 1, 2013 that do not qualify as an existing PERS "Classic" employee are on the 2% at 62 formula with the employee paying the full employee contribution.

I. DEFERRED COMPENSATION PLAN

Regular full and part-time employees are eligible to participate in the Agency deferred compensation plan(s). The primary purpose of the plan(s) is to provide future payments in lieu of deferred current income upon death, disability, retirement, or other termination of employment. The plan(s) are intended to qualify as eligible State Deferred Compensation Plan(s) within the meaning of Section 457 of the Internal Revenue Code of 1954, as amended. Each employee may elect to become a participant of any Plan(s) and defer payment of part of his/her compensation (within the guidelines of Section 457) by executing the required participation agreement.

The Agency will provide a matching contribution for deferred compensation during the term of this MOU up to \$1,100.00 per fiscal year.

J. UNIFORMS AND SAFETY EQUIPMENT

The Agency shall provide, as an employee benefit, all full-time field operational personnel with uniforms to be worn while on duty and the necessary Agency owned safety equipment. The Agency shall reimburse full-time field operational personnel, upon date of hire and annually thereafter, up to a maximum amount of \$200.00 for purchase of steel-toed shoes as required by the Agency's separate Injury and Illness Prevention Safety Program included in the Safety Handbook. Field operational personnel may purchase a second pair of shoes if funds remain from the original allocation and, if needed; the employee shall contribute the additional funds required. Employees will be allowed to use this amount to also purchase other work uniform related items such as belts, boot/shoe inserts, laces, etc. If, in the discretion of an employee's department head, the employees work boots are worn out or damaged due to work-related wear-and-tear, the department head may authorize the reimbursement of a second pair of boots within one year.

Laboratory personnel will be allowed an additional \$75 per year to purchase aqua shoes to be used for beach sampling.

It is the responsibility of the employee to provide an original receipt of charges for payment reimbursement. All employees shall present a clean and neat appearance at all times.

SECTION IV COMPENSATION

A. EMPLOYEE COMPENSATION

1. All full-time employees shall receive compensation in accordance with the adjusted ranges in the Salary Schedule (as defined herein as Exhibit B attached).
2. Pay days are on a biweekly basis - every other Thursday.

B. BONUS/MERIT POOL

During the term of this agreement a merit pay pool equal to approximately 3.0% of the salaries of all employees covered by this MOU will be established for the purpose of awarding merit/bonus increases. Individual employees may be awarded a salary increase of between zero and five percent (0 – 5%) based on their level of performance. Award of a merit increase is based on a recommendation by the employee's supervisor and department head, and subject to approval of the General Manager.

The total amount of meritorious salary increases shall not exceed the 3.0% merit pay pool in any fiscal year. SOCWA will provide training for supervisors and managers to assure compliance with this section.

In the event an employee covered by this MOU receives a merit increase that is less than the total amount awarded during the review process, due to being topped out in their respective salary range, said employee shall receive the remaining review award in a monetary bonus.

C. SALARY ADJUSTMENTS

Salary adjustments will be made on the following schedule for all employees:

1. July 1, 2020 salary adjustment equal to Los Angeles—Long Beach—Anaheim CPI—U percentage change for the preceding 12 months ending in March, subject to a 2% minimum and 4% maximum.
2. July 1, 2021 salary adjustment equal to Los Angeles—Long Beach—Anaheim CPI—U percentage change for the preceding 12 months ending in March, subject to a 2% minimum and 4% maximum.
3. July 1, 2022 salary adjustment equal to Los Angeles—Long Beach—Anaheim CPI—U percentage change for the preceding 12 months ending in March, subject to a 2% minimum and 4% maximum.

D. INCENTIVE PAY

1. For Employees hired prior to July 1, 2017
 - a. Full-time continuous employees receiving education certification one step or higher above their existing job classification will be eligible to receive a 2.5% salary increase. Any Grade III employees may receive an additional 2.5% incentive pay if they obtain a certification two-steps above their existing job classification (i.e., Grade III Operator with a Grade V certification), as approved by the General Manager. Employees must first make application to their supervisor to be eligible to participate in the incentive program including employees whose job classification may not have corresponding education certification. All applications are subject to approval of the General Manager.
 - b. Employees that hold both a driving and crane certification will be awarded a one-time salary range increase of 2.5%.
2. Employees hired on or after July 1, 2017 will only be eligible for additional pay certifications as follows: employees will receive a one-time \$800 payment on achieving a grade II and one time \$1200 payment upon achieving a grade III or higher certification.

E. STANDBY PAY

1. When Field Personnel have been designated to be on standby duty after their normal workday, they shall be compensated at a rate of \$325.00 per week for any employee in Operations or Maintenance that covers SOCWA facilities as assigned in addition to their regular pay.
2. Standby duties require an employee to be available upon forty-five (45) minutes' notice, on a twenty-four hour basis.
3. A mobile phone will be provided for all personnel designated on standby. Employees will be responsible for the mobile phone while in his/her possession and must replace it if lost.
4. When any employee is called back to work without prior notice, and the employee has completed their normal work shift and left the plant, the employee shall receive a minimum of two (2) hours call back pay. The two (2) hour minimum, whether or not actually worked, shall be paid at the rate of one and one half times the employee's regularly hourly rate.

F. COMPENSATORY TIME OFF

Non-exempt employees may accrue up to 45 hours of compensatory time off (“CTO”) in lieu of overtime compensation. Employees electing CTO in lieu of overtime compensation must indicate it on their time card. Use of compensatory time off must be pre-approved by the employee’s supervisor and cannot be cashed out except upon termination of employment.

Date: _____

Date: _____

Dan Ferons
Chairperson, Board of Directors
South Orange County Wastewater
Authority

Daniel Grilley, SEA President

For South Orange County Wastewater
Authority Employee Association

Aaron Peardon,
Senior Labor Representative
OCEA

EXHIBIT “A”

SOCWA

**SOCWA EMPLOYEE ASSOCIATION
SEA REPRESENTED CLASSIFICATIONS**

Operator III
Operator II
Operator I
Operator in Training

Maintenance Mechanic III
Truck Driver / Maintenance Mechanic II
Maintenance Mechanic II
Maintenance Mechanic I
Maintenance Supervisor

O & M Inventory / Purchasing Specialist

Sr. Electrician / SCADA Technician
Maintenance Mechanic III w/Co-gen
Electrical / Instrumentation Technician

Laboratory Technician III
Laboratory Technician II
Laboratory Technician I
Laboratory Aide/Sampler
Laboratory Technician Q&A Specialist

EXHIBIT "B"					
SOUTH ORANGE COUNTY WASTEWATER AUTHORITY					
JOB CLASSIFICATION SALARY SCHEDULE					
7/1/2019 w/COLA of 2.7% (to be updated 7/01/2020)					
SEA Represented Classifications					
Classification	Salary Range	Minimum Hourly Salary	Maximum Hourly Salary	Minimum Monthly Salary	Maximum Monthly Salary
<i>Operations Division</i>					
Operator Grade III	43	\$ 41.86	\$ 53.42	\$ 7,255.73	\$ 9,259.47
Operator Grade II	41	\$ 37.97	\$ 48.45	\$ 6,581.47	\$ 8,398.00
Operator Grade I	37	\$ 31.22	\$ 39.86	\$ 5,411.47	\$ 6,909.07
Operator in Training	35	\$ 28.33	\$ 36.16	\$ 4,910.53	\$ 6,267.73
<i>Maintenance Division</i>					
Mechanic Supervisor	44	\$ 43.96	\$ 56.09	\$ 7,619.73	\$ 9,722.27
Maintenance Mechanic III	42.5	\$ 40.86	\$ 52.15	\$ 7,082.40	\$ 9,039.33
Truck Driver/Maintenance Mechanic II	38	\$ 32.79	\$ 41.86	\$ 5,683.60	\$ 7,255.73
Maintenance Mechanic II	38	\$ 32.79	\$ 41.86	\$ 5,683.60	\$ 7,255.73
Maintenance Mechanic I	36	\$ 29.74	\$ 37.97	\$ 5,154.93	\$ 6,581.47
O&M Inventory/Purchasing Specialist	38	\$ 32.79	\$ 41.86	\$ 5,683.60	\$ 7,255.73
<i>Support Services Division</i>					
Sr. Electrician/SCADA Technician	45	\$ 46.12	\$ 58.90	\$ 7,994.13	\$ 10,209.33
Maintenance Mechanic III /w/Co-Gen	42.5	\$ 40.86	\$ 52.15	\$ 7,082.40	\$ 9,039.33
Electrical/Instrumentation Technician	42	\$ 39.86	\$ 50.89	\$ 6,909.07	\$ 8,820.93
<i>Laboratory Services</i>					
Laboratory Technician III / Q&A Specialist	44.5	\$ 45.09	\$ 57.50	\$ 7,815.60	\$ 9,966.67
Laboratory Technician III	43.5	\$ 42.91	\$ 54.75	\$ 7,437.73	\$ 9,490.00
Laboratory Technician II	41	\$ 37.97	\$ 48.45	\$ 6,581.47	\$ 8,398.00
Laboratory Technician I	39	\$ 34.46	\$ 43.96	\$ 5,973.07	\$ 7,619.73
Laboratory Aide/Sampler	35	\$ 28.33	\$ 36.16	\$ 4,910.53	\$ 6,267.73

**SIDE LETTER OF AGREEMENT NO. 1
TO THE 2020-2023
MEMORANDUM OF UNDERSTANDING AND
SIDE LETTER AGREEMENT NO. 5
TO THE 2017-2020
MEMORANDUM OF UNDERSTANDING
BETWEEN
SOUTH ORANGE COUNTY WASTEWATER
AUTHORITY AND
SOCWA EMPLOYEES ASSOCIATION
REGARDING
CHANGE TO GRIEVANCE TIMELINES**

Subject to the South Orange County Wastewater Authority Board's approval, the South Orange County Wastewater Authority ("SOCWA") and the SOCWA Employees Association ("SEA") have met and hereby agree to change Section II(C) Grievance Procedure set forth in the 2017 - 2020 Memorandum of Understanding and the 2020 – 2023 Memorandum of Understanding (hereinafter referred to as "MOUs") between the SOCWA and the SEA to read as follows:

"Grievance Procedure

A grievance procedure has been established for the following purposes:

- a. Promoting improved employer/employee relations by establishing an appropriate means for determining the validity of grievances; i.e., claims by an employee that the Agency has violated, misinterpreted or misapplied an obligation to the employee as such obligation is expressed and written in this Manual.
- b. Providing a method of resolving such claims as closely as possible to the point of origin and as informally as possible.
- c. Encouraging free communication between supervisors and employees.

2. The following steps shall be taken when filing a grievance.

- a. Step One: Employees who have a grievance shall first take it up verbally with their division supervisor within seven (7) calendar days after they knew or reasonably should have known of the occurrence of the cause of the grievance and any action taken. Management retains the right to have a representative from Human Resources present at such a grievance meeting.

- b. Step Two: If the grievance is not resolved within seven (7) calendar days after its submission in Step One, employees may submit the grievance in writing to the division supervisor within seven (7) calendar days thereafter. The division supervisor shall meet with the employee within seven (7) calendar days after submission of the grievance and shall deliver his/her answer, in writing, to the employee within seven (7) calendar days after such meeting.

At this and subsequent steps in the grievance procedure, employees have the right to present their grievance with or without a representative at their option. Should an employee choose to have representation, they must submit, in writing, their intention to do so with the name and title of their representative to the appropriate division supervisor at the time of the Step Two grievance submission.

c. Step Three: If the grievance is not resolved within seven (7) calendar days after its submission in Step Two, employees may submit the grievance in writing to the Department Director within seven (7) calendar days thereafter. The Department Director shall meet with the employee within seven (7) calendar days after submission of the grievance and the Department Director shall deliver his/her answer, in writing, to the employee within seven (7) calendar days after such meeting.


d. Step Four: If the grievance is not resolved in the Third Step, the aggrieved employee may submit the grievance in writing to the General Manager within seven (7) calendar days after the Department Director's answer is received. The General Manager shall meet with the employee within seven (7) calendar days after receiving the grievance and the General Manager shall deliver his/her answer in writing within seven (7) calendar days after such a meeting.

After Step One, failure of the aggrieved employee to follow the timeline set forth in the grievance procedure shall be considered a waiver of the employee's right to grieve the matter any further and acceptance of the decision at the prior level. Timelines may be extended by mutual written agreement."


Except as herein modified, the MOUs shall remain in full force and effect for the remainder of their terms.

By: 
SOUTH ORANGE COUNTY WASTEWATER
AUTHORITY
By: Daniel Ferons, Chairperson, Board of Directors

Dated: Nov. 6, 2019

By: 
SOCWA EMPLOYEES ASSOCIATION
By: Dan Grilley, President

Dated: 10/31/2019

By: 
ORANGE COUNTY EMPLOYEES
ASSOCIATION
By: Aaron Peardon, Senior Labor
Relations Representative

Dated: 11/6/19

Agenda Item

5d

	Board of Directors Meeting
	Meeting Date: January 9, 2019

TO: Board of Directors
FROM: Betty Burnett, General Manager
SUBJECT: General Manager's Status Report

Environmental Compliance Department Update

Environmental Laboratory Accreditation Program (ELAP)

On December 18, 2019, SOCWA staff provided a presentation to the State Water Resources Control Board (SWRCB) on the proposed alternative quality management system (the California Quality Management System). The CA QMS was designed to align with existing management and administrative structures within the water and wastewater utility sector focused on data quality that reduce administrative duplication. The proposed regulations with the Nelac Institute (TNI) 2016 quality management system was designed for interstate commerce for commercial laboratories whose business operations are solely dedicated to production of laboratory data. The proposed regulations are schedule for adoption on March 17, 2020. The SWRCB members understood the concerns of the water and wastewater laboratories and requested additional stakeholder meetings on the California QMS scheduled for mid-January for possible inclusion into the regulation package. There are a multitude of concerns related to the proposed regulations that were highlighted by all represented industry organizations and provided in oral testimony at the hearing. Industry groups are in support of the alternative management system to better align with utility management and to avoid copyright issues. On December 20, 2019, SOCWA provided a comment letter with supplemental materials on the alternative system included in this report. Staff will continue to work with the SWRCB to secure an alternative that reduces administrative costs not related to the quality of data that laboratories produce.

PC23 Spill

At approximately 3:30pm on November 27, 2019, Marc Serna, District Engineer at the South Coast Water District (SCWD) called Jim Burror, Director of Operations for the South Orange County Wastewater Authority (SOCWA), to indicate that there was a large spill occurring in Aliso Canyon likely coming from the City of Laguna Beach/EBSD North Coast Interceptor. Amber Baylor, Director of Environmental Compliance for SOCWA was also on the call.

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During the initial call from SCWD, SOCWA staff offered the following four support roles:

1. The Biological Resources Damage Assessment Standard Operating Procedure to catalogue environmental impacts immediately,
2. Contract support for Mudry and Associates, a firm that specializes in environmental impact assessment, a key lesson learned from the 2017 Regional Treatment Plant spill,
3. Spill Report Form to report the spill to the San Diego Regional Water Quality Control Board, and
4. Flow estimation from the North Coast Interceptor (NCI) to the Coastal Treatment Plant to help estimate the spill volume used in the final spill report to be submitted by the SDRWQCB.

The approach to determine the impact to the environment was three-fold:

Approach One: Monitor the Aliso Creek flow rates to determine the effect of dilution on the spill.

Approach Two: Identification of water quality constituents at representative locations in Aliso Creek. SOCWA identified water quality parameters to measure and performed analysis in-house and by a private commercial laboratory (both laboratories ELAP accredited). Sample locations identified by the environmental impact assessment consultant, Mudry and Associates.

Approach Three: Direct the monitoring efforts related to the environmental impact assessment in alignment with the Biological Resources Damage Assessment Standard Operating Procedure.

The multiple lines of evidence help to provide a complete assessment of the impact of the spill to the environment by coupling quantitative data with observations. The City of Laguna Beach was made aware of this approach early in the response efforts. Daily visual observation and water quality analysis was conducted from November 27 through December 2, 2019. Weekly observation was conducted to determine biological effects. A final 30-day visual observation and coupled water quality sampling was conducted to assess the impact from the spill. A final report of the observations and water quality results will be provided to the City of Laguna Beach in January 2020 after the results have been reviewed and verified.

Per- and Polyfluoroalkyl Substances (PFAS) Technical Seminar

On December 4th and December 5th, SOCWA staff attended the State Water Resources Control Board's (SWRCB) technical seminar on per- and polyfluoroalkyl substances (PFAS) to share technical information about PFAS (past), the current landscape and state of knowledge about PFAS (present), and the upcoming technical advances in remediating or treating PFAS (future). There are approximately 5000 chemicals in this group; however, the Department of Drinking Water (DDW) established notification levels for only two of the compounds at 6.5 parts per trillion for perfluorooctanesulfonic acid (PFOS) and 5.1 parts

per trillion for perfluorooctanoic acid (PFOA). There are no established limits for dischargers currently established.

The technical seminar reviewed the methods available to analyze the group of chemicals, exposure pathways for human and aquatic systems, toxicological effects, exposure pathways, treatment approaches, pretreatment strategies, and legal impacts. The wastewater sector was identified as a source of PFAS in one of the panels, but it was noted by a representative of the California Association of Sanitation Agencies (CASA) that wastewater agencies do not produce PFAS but are recipients of the group of chemicals. Of importance to the wastewater agencies are the methods available to test for the PFAS group. Currently available wastewater matrices are ISO 25101, ASTM D7979 & 7968, EPA 8237, EPA series 1600, and EPA 533. The drinking water sector have utilized EPA methods 537 and EPA 537, rev. 1.1 to analyze fourteen to eighteen perfluorinated compounds. California laboratories with reciprocity with the Department of Defense can analyze samples under the quality system manual framework. While EPA Method 8237 is in the promulgation process for measurement of 24 PFAS compounds at influent samples at wastewater treatment facilities, there are still concerns in the sample preparation steps in the method and inability to account for matrix effects. Due to the heterogenous nature of the influent, process, and effluent samples at wastewater treatment facilities, the inability to account for matrix effects is a concern for establishing concentrations, treatment removals, and future compliance requirements. EPA series 1600 was noted by the technical panelists as the preferred methodology due to the ability to account for matrix effects in the sample preparation phase, the higher-level quantitation ability through isotopic dilution, and the expanded group of 24 PFAS chemicals identified plus 'Gen X' compounds. Gen X compounds were replaced by the PFAS group after the phase out of the PFAS chemicals. EPA method 533 has been modified by contract commercial laboratories to include a group of 32 PFAS compounds and account for matrix effects. SOCWA has contacted under contract, commercial laboratories to perform analysis on influent, effluent, reclaimed water, and biosolids samples. The two laboratories, Eaton Analytical and Eurofins have equipment that has been dedicated to drinking water analyses and were initially reluctant to accept the low volume samples. SOCWA is working with another subcontract laboratory for analysis of the samples in preparation with the SWRCB's Water Code 13267(b) Orders under the Phase 3 investigations. CASA is working with the SWRCB to prioritize testing from known hotspots of PFAS contamination in the Phase 3 investigations.

Assembly Bill 901: Recycling and Disposal Reporting System

Former Governor Jerry Brown signed AB 901 (Gordon, Chapter 746, Statutes of 2015) into law to change how organics, recyclable material, and solid waste are reported to CalRecycle. Previously, SOCWA reported biosolids and trash disposal tonnage to the County of Orange. The Recycling and Disposal Facility Reporting System (RDRS) law requires businesses to report directly to CalRecycle on a quarterly basis on types, quantities, and destinations of materials that are disposed of, sold, or transferred inside or outside of the state. SOCWA worked with the third-party broker, Synagro, to report the quantity and destination of the materials as required under the new law. On November 30, 2019, SOCWA requested exclusion from reporting under the third-party broker Synagro to reduce reporting redundancies. SOCWA will continue to report annual biosolids totals to the EPA and California EPA.

Plume Tracking

On December 13, 2019, SOCWA provided a public comment at the Southern California Water Research Project's (SCCWRP) Commissioner Meeting related to the Ocean Acidification and Hypoxia Model developed by SCCWRP. The model is a coupled biogeophysical model that combines extensive work on physical ocean modeling with a newer biological component that is not well established in the literature due to the complex food web structures that exist within the ocean. The physical part of the model is known as the Regional Ocean Monitoring System (ROMS) while the biological model is known as the biogeochemical elemental cycling (BEC) model. The focus of the comments provide by previous Professor Emeritus of SCRIPPS Institute of Oceanography and consultant from Michael Baker International, Dr. Scott Jenkins, focused on the inability to differentiate between anthropogenic and natural upwelling within the Pacific. The model has been identified by the San Diego Regional Water Quality Control Board as a viable technology for plume tracking in the Ocean. Plume tracking has been included in several final and draft Ocean Outfall NPDES permits. SOCWA staff discussed this issue at the November Engineering Committee which directed non-discretionary spending to evaluate the OAH model and validation efforts. SOCWA staff will continue to work with SCCWRP, Dr. Jenkins, and the SDRWQCB on the applicability of the model to permit requirements in the NPDES renewals for SOCWA ocean outfalls.

IT Vulnerability Assessment

Staff met with the Department of Homeland Security (DHS) in June of 2018 and was put on a multiple-year waitlist to have DHS perform a vulnerability assessment. Staff anticipates several more years until SOCWA will be up for the DHS to do the audit. Staff budgeted FY 19-20 to perform a vulnerability assessment due to the DHS waitlist and the pressing need to protect the business network. While there are many companies on the market to perform this work, the County of Orange has an existing Regional Cooperative Agreement (RCA) which includes a potential provider - Tevora Business Solutions. SOCWA is utilizing the RCA to lock in pricing to perform the vulnerability assessment. The vulnerability assessment is comprised of three general services: internal penetration testing, external penetration testing, and social engineering. The table below provides the service category, timeline, target/device number, and fixed price associated with each service. Total cost of the vulnerability assessment is \$41,000. Staff will be proceeding to conduct the vulnerability assessment with Tevara Business Solutions.

Service	Timeline	Scope	Fixed Price
Internal Penetration Testing	1.5 Weeks	1-1000 devices	\$14,700.00
External Penetration Testing	1 Week	1-50 devices	\$12,000.00
Social Engineering Penetration Test (phone)	3 Days	1-5 targets	\$7,200.00
Social Engineering Penetration Test (email)	3 Days	1-25 targets	\$7,200.00

Operations & Maintenance Department

November and December 2019 Storms

The CTP, RTP, and JBL were impacted by a number of storms over the past two months. There was a substantial amount of stormwater inflow. This extra water carried large rocks and rag balls to the JBL Plant and they damaged a bar screen. Staff at JBL also had to enter the sewage influent channels to remove several hundred pounds of debris. The photo below is O&M staff and contractors working to remove the debris. The debris is washing into the JBL from Oso Trabuco sewer.



The storm inflow resulted in a settleable solids violation at RTP. The rainwater was 50% to 300% of the sewage flow during the storm. This high volume of rain water essentially washed out the bacteria used to treat wastewater. The washout also increased the turbidity of the water to the level that the AWT would not properly operate. Without the AWT, RTP only has 17 mgd of outfall capacity. The peak of the storm occurred at the Plant's normal low flow period and still reached 17 mgd. If the event would have occurred outside the low flow period, RTP would have likely spilled secondary effluent to Sulphur Creek similar to January 2017.

The storms impacted the road to CTP, but not the Plant's operation. O&M staff met with OC Parks staff before the Christmas storm during their inspection of the Wood Canyon Creek Trail and the CTP Road. The Christmas storm did significantly damage the Wood Canyon Creek Trail. There was no damage to the CTP access road. However, Wood Canyon Creek did overflow and there is mud and debris that O&M staff will need to remove from the access road. The picture below shows that about 20% of the Wood Canyon Creek Trail was washed out.



RTP Water Strainer Project Update

O&M staff has been working to install strainer systems on the treated sewage used in the plants to remove plastics that block small openings and valves in the plant. The original system installed in 1984 did not function properly and was decommissioned in 1985. The result is that staff regularly removes plastics blocking small orifices on equipment that uses these water systems. The first phase of the project was to install strainers on the water system for the new engine. This is because the system will shut down every 7 to 10 days due to blockages. The second phase in the larger water system for the entire plant.

December 20, 2019
VIA ELECTRONIC MAIL

Christine Sotelo-Chair
Environmental Laboratory Accreditation Program (ELAP)
STATE WATER RESOURCES CONTROL BOARD
P.O. Box 100
Sacramento, CA 95814
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E. Joaquin Esquivel-Chair, and Board Members Jeanine Townsend-Clerk to the Board
STATE WATER RESOURCES CONTROL BOARD
P.O. Box 100
Sacramento, CA 95812-2000
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Re: Comments – Proposed Environmental Laboratory Accreditation Program Regulations

Dear Ms. Sotelo,

Thank you for the opportunity to discuss the proposed regulations. The South Orange County Wastewater Authority (SOCWA) is a ten-member Joint Powers Authority with ten associated regulated treatment facilities and two ocean outfalls. As the legally responsible person charged with the review and submittal of laboratory data in compliance with land discharge, NPDES ocean outfalls, stormwater, and air quality permits, the proposed Environmental Laboratory Accreditation Program (ELAP) regulations are of unique interest from a data quality and cost of compliance requirements due to the personnel costs associated with the proposed regulations. As one of the public members of the Environmental Laboratory Technical Advisory Committee's (ELTAC) Quality Management System (QMS), the focus of the comments is related to the alternative provided to the ELAP that is referenced as the California Quality Management System (CA QMS).

Included in the Initial Statement of Reasons (ISOR) is a reference to the alternative system. The letter contains supplemental information that will assist in the cost-effectiveness evaluation that was not included in the ISOR and is a requirement under the Administrative Procedures Act. The focus of the comments is associated with the alternative management system, the CA QMS. Also included in the comment letter is the alternative management systems also discussed at the December 18, 2019 Administrative Procedures Act (APA) hearing held by the State Water Resources Control Board.

The ISOR does not contain a side by side analysis of the proposed quality management standard (TNI 2016 minus 2) compared to the CA QMS or other alternative management systems provided during the discussion, only vague narrative. Due to the lack of supplemental analysis provided by ELAP staff, this comment letter provides additional

documentation missing from the ISOR that should be included in the alternative analysis with specific requests to clarify comments in the ISOR.

Due to the brevity of records produced in this analysis, a supplemental book has been created to organize the material so that comments included below are attached to specific citations and references. The 'supplemental book' contains the following:

- Introduction & Historical Timeline of the CA QMS
- Section 1: Presentation and Reference Material (Appendices A through E)
- Section 2: Stakeholder Analysis and Reference Material (Appendices A through G)
- Section 3: Comparison of TNI to CA QMS
- Section 4: ISOR Implications and Cost Effectiveness
- Section 5: Previous Comments not responded to on September 17, 2017

The size of the supplemental book was too large to email (937 pages), the following link has been provided to access the documents:

<http://bit.ly/SOCWA2019APASUPPLEMENTALS>

Section 1: Presentation & Reference Material

Comment 1

At the December 18, 2019 meeting, ELAP staff member Andrew Hamilton indicated that 'an analysis was performed on the California Quality Management System QMS (CA QMS) compared to the Nelac Institute (TNI) 2016 Standard.' Mr. Hamilton also indicated that nothing changed from the April version to the August version which is why additional analyses were not included in the regulatory package despite changes as directed by ELTAC and receipt by ELAP staff.

We are requesting the analysis that was performed on the following versions of the CA QMS that were submitted to ELAP be provided as a response to this comment. The subcommittee has not received any analysis related to problems with the iterations with the standard and would like the records from ELAP to substantiate their penchant to choose the TNI 2016 QMS.

- April 4, 2019
- May 24, 2019
- August 13, 2019

Comment 2

At the December 19, 2019 hearing, Jerry Parr, Executive Director of the Nelac Institute, provided in his oral testimony that by putting the word 'not' in front of everything that is the justification as to why the CA QMS was substandard. Included Section 3 of the supplemental book (Attachment A). Please reference the letter that Mr. Parr submitted on April 25, 2019. Please also review the material that was presented in the May 24, 2019

package submitted from the ELTAC Quality Management System (QMS) Subcommittee on the rebuttal to Mr. Parr's arguments which contain specific references (summary table and narrative response) to the notion that the California Quality Management System (CA QMS) could function effectively as a state system. Please refer specifically to Attachment C of the May 24, 2019 Subcommittee letter which addressed Mr. Parr's comment above and Mr. Godfrey's objections to the CA QMS together.

Comment 3

Request for public agency partners to be accredited under TNI 2016. Mr. Parr stated the they would be TNI compliant by January 30, 2019. Please provide an indication as to when the State Agency Partners (SAPs) will be accredited under TNI and if the SAPs will be accredited, what is the cost associated with this course of action? The cost associated with the transition should be included in the ISOR due to the State Agency Partners indicating that they would previously not seek accreditation to be certified under TNI 2016 standard.

Comment 4

There was a discussion at the hearing as to which version of the CA QMS was used in the ISOR for a comparison of alternatives. Mr. Hamilton, ELAP staff, indicated that the April 2019 QMS was used as a basis to compare the standard in the alternative's analysis. The latest version of the standard, which was incorporated into the third draft regulation (12/18/18) is included in Attachment Gas previously submitted on August 13, 2019. Please provide the analysis, or internal memo, that substantiated the reasoning as to why the CA QMS was not included in the regulatory package.

Comment 5

Level of standard discussion. There was ample discussion related to the level of standard with the notion that one standard is higher than another and the inclusion of qualifiers like plus distorts the notion that a standard is higher than another. Please provide specific details on the alternative standards discussed in the meeting. The standards presented are governed by specific contracts between a state agency and a laboratory. The contractual relationship is driving the standard choices. Please indicate, from the discussion related to each standard listed below why the alternative discussed cannot be utilized as the state standard.

1. International Standards Organization (ISO) 9001. This standard was referenced in the presentation provided by me as the basis for the other standards. Please note that the iteration of ISO documents processes, procedures, and responsibilities for achieving policies and objectives.
2. TNI version 2009 – Please note that this standard is included for discussion as it is a standard used in the Department of Defense contracts. This version of TNI has been released into the public sphere and not under copyright. Please explain why this version of TNI was not chosen as the standard compared to TNI 2016.
3. ISO 17025. Is this type of standard considering a higher standard compared to the ISO 9001 since this standard is based from ISO 9001? What are the metrics that make it a higher standard?

4. TNI Plus. Dr. Bruce LaBelle indicated that the Department of Defense's (DoD) Standard Quality System Manual is a higher standard than the current version of TNI 2016 and the TNI 2016 (minus 2 that ELAP is proposing). The TNI Plus is based the TNI standard 2009 and ISO 17025 standards. Is a higher standard because this is a hybrid model? Please provide an analysis of the differences in the standards based on the testimony from Dr. La Belle that this is a higher level of standard. This is included in Section 3, Attachment C of the supplemental book.
5. Virginia standard. There were multiple discussions by the ELAP, public members providing testimony, and Board members related to the Virginia standard for California. Please provide an analysis of why the Virginia standard was not used and what the drawbacks are for not including a similar accreditation standard as Virginia did. This is included in Section 3 in Attachment D of the supplemental book.
6. State Quality Management System. During my presentation I made references to the 2016 ELTAC votes. In those meetings there were presentations made by David Kimbrough, ELTAC member, who offered a system that the state uses based on the EPA guidelines. This is included in Section 3 in Attachment E of the supplemental book.
7. Wisconsin QMS. This item was discussed at the public hearing by Ms. Sotelo due to the length that the time it would take for consensus to be reached. This is included in Section 3 of Attachment F. Please provide a comparison as to why this standard was not used.
8. California Quality Management System (CA QMS). I provided the critical quality elements that Ms. Sotelo indicated were necessary for inclusion into the regulatory package for use as the State system. As stated in comment 1, please provide an analysis as to why the CA QMS in the August 13, 2019 version should not be used as the state system. The standard is included in Attachment G in Section 3 of the supplemental book. Please provide a detailed analysis of why this standard as compared to TNI 2016 (minus 2).
9. California Quality Management System (CA QMS) incorporated into the 4th draft of the regulations/regulations that were released on October 11, 2019 (1st version). The primary consultant provided a draft version of the incorporation of the 4th draft regulations in track changes format. This was included to fulfill Motion 2 from the April 17, 2019 ELTAC meeting which requested that the CA QMS to be included in the 4th draft regulations. Please note that the draft version has not been seen by the ELTAC subcommittee for review or endorsement. The standard is included in Attachment H in Section 3 of the supplemental book. Please provide a detailed analysis of this alternative.

Section 2: Stakeholder Analysis Technical Report

Comment 6

The TNI 2016 standard states that the performance measure most applicable to laboratories to judge how well they are performing is an assessment. Based on Section 2 of the supplemental book, Appendix A & B, please provide the cost breakdown of the estimated third-party assessors to catch the state up. This is a relevant comment related to the schedule of fees and potential models associated with those fees.

Comment 7

The stakeholder analysis and associated technical report was provided to ELAP staff to determine the cost implications to be used in the model. There were theoretical models presented in the model, but ELAP has the data to better refine the potential fee structure. Please provide the methodology used based on the number of fields of accreditation by each laboratory. It is difficult to determine the cost of the regulations without a more refined model.

Comment 8

At the fee discussion at the hearing, the cost of one FTE was indicated to be approximately “\$180/hour” with benefits. This results in a cost per FTE of \$374,000 (\$180 times 2,080 hours/year). This would result in the ability of the program to only support less than 10 positions (at a staff budget of \$2.6M). Please provide a more refined cost breakdown of staff costs so that fee structure changes can be analyzed.

Section 3: Comparison of Alternative Quality Management Systems

Comment 9

Due to the substantial discussion related to the alternatives, please reference Comment 5 above for a structured discussion on the comparison of alternatives.

Section 4: Initial Statement of Reasons (ISOR) Cost of Compliance

Please note that this section references the ISOR & Supplemental Attachment (SBDDW-19-ELAP) as released in the regulatory package.

Comment 10

Please provide the reference to the Environmental Quality Data Report, California Environmental Protection Agency, 1997. On November 5, 2019, I was in the California EPA library and I requested a copy of the report. The librarian was unable to locate the report. Please provide 1) the report in response to comments 2) the specific section in the report where the EPA identified that ‘ELAP as an accreditation program could not guarantee performance on a daily basis.’ Please also identify the performance metrics used in the report that determine inability to meet daily performance metrics. This is the basis for the need to move to a National Standard. Is this due to the heterogenous nature of the majority of methods that ELAP is certified for? If that is the case, that information should be judged against the number of laboratories performing that work.

Comment 11

Table 2 identifies the size classification. Please provide a comparison to the fields of testing as a cross-over to understand the impact of laboratories in dropping fields of testing over time due to the regulatory burden of TNI 2016.

Comment 12

How did staff arrive at the description of the personnel that would need to be included for laboratories hiring staff (p.12) of the ISOR's Supplemental Attachment? The Supplemental Attachment states: "The job description for chemical technician from this report is aligned with the job description of laboratory personnel that would be hired by environmental testing laboratories." The three-year time frame has allowed for an analysis for the costs. Approximately 20% of the survey respondents who would be a small lab (4 FOTs or less) of the respondents who will be adding employees reported an estimated salary range of \$69,600 to \$89,453 (Attachment A. The raw data was provided in the report to aid in the stakeholder analysis). At the December 18, 2019, the California Association of Sanitation Agency's Legislative and Regulatory Analyst, Jared Voskuhl, provided the results of the member salary survey with a range from laboratory analyst to Laboratory Manager, from \$77,000 to \$130,050. It is important to note that the cost of a salary does not include administrative overhead or benefits. At the meeting, fee coordinator, David Cicarelli stated that the average cost for an ELAP employee is \$180/hour with benefits which would equal approximately \$374,000 per employee.

At the minimum, an updated analysis should include the rationale of how exactly a Chemical Technician will be oversee the records related to small, medium, or large laboratories depending on the number of fields of accreditation.

Comment 13

Please explain how the lack of qualified assessment staff, a backlog of laboratories awaiting on-site assessments effect the performance metrics related to perceived inability of laboratories to produce data of known quality. This statement of ELAP is made consistently to back up the proposed regulations. How will the staff now be able to audit the standard proposed (TNI 2016 minus two requirements) with the current staffing levels without an increase in fees?

Comment 14

Please provide evidence of the 'laboratories committing fraud' found on p.10 of the ISOR. To the author's knowledge, there has been one case, enforced by the Department of Justice against fraud. Please clarify laboratories or a laboratory. Also, please provide specific details as to how the TNI 2016 (minus two) standard would have prevented fraud.

Comment 15

Please explain in detail how the CA QMS does not conform to the ISOR's requirements for Proposed Accreditation Standards in the following ways: Laboratory Management, Document Control, Control of Non-Conforming Work, Corrective Action Procedures/Preventative Action, Control of Records, Internal Audits, Management Reviews, Personnel Requirements, Method Validation, Calibration Requirements, Traceability of Referenced Standards and Materials & Reporting the Results as found on pp. 11-13 of the ISOR.

Comment 16

Please identify how the State Agency Partners provided evidence that the data reviewed was not meeting: "accuracy, consistency, quality assurances, and legal defensibility of the data" found on p. 69 of the ISOR. The September 4, 2019 Public Records Act Request (Section 2 of Appendix E of the supplemental book) found that there were 99 recommendations from 2015 through 2019. There was no evidence that the State Agency Partners (SAPs) requested additional intervention by ELAP based on the described major need identified in the ISOR. Please provide that evidence. The basis for the need to use the SAP guidance to use the TNI standard are all the referrals based on the data received by the SAPs. However, only 1 referral from 2015 through 2019 was made to ELAP from the Department of Toxic Substances (DTSC). Please provide specific evidence as to how the SAPs have come to the conclusion that data reviewed was not meeting "accuracy, consistency, quality assurance, and legal defensibility".

Comment 17

Assessments of Drinking Water Laboratories by NV5. Please provide the specific language in the referenced report from Diane Lawver as to how "an independent company came to similar conclusions". Please also indicate how the results were 'alarming' as identified on p.64. On December 13, 2019, ELAP staff provided, through a public records act request the breakdown of deficiencies that were found in the Dade Moeller assessment of drinking water laboratories as identified. The consultant team at Dade Moeller broke down the deficiency into six categories. The descriptions of the deficiency categories are as follows:

1. Quality Assurance: The lab didn't develop and implement a quality assurance program to assure the reliability and validity of the analytical data produced by the lab.
 2. Notification: The lab didn't follow reporting and notification requirements.
 3. Proficiency Testing: The lab didn't submit PT sample or didn't use the same quality control, acceptance criteria used for the analysis of routine environmental samples.
 4. Personnel: The lab director and/or principal analyst didn't meet the educational and experience requirements.
 5. Method Deviation: The lab didn't follow the quality control requirements specific in the test method.
 6. Lab Equipment: Equipment/instrumentation doesn't meet all operational, quality assurance, quality control, and design criteria establish in the method.
- The results found no deficiencies in category 2 related to notification.

Over 70% of the deficiencies were related to the method as described in categories 5 and 6 above. There have been many accusations that TNI is a quality system that is needed because of “systemic issues” in laboratory data, but there is no evidence at this point to support that accusation. The intent of the public records act request is to work with ELAP staff on identified issues to mobilize training through the various industry groups. Please explain how the identified deficiencies would be fixed or prevented from happening in the future with the proposed regulation.

Comment 18

Please explain how exactly the inadequate accreditation standards in the current regulations are easily exploited both knowingly and unknowingly (p.65).

Comment 19

Please explain how TNI could have solved the ‘one dimensional with a focus on requirements identified in the test method’ (p.65).

Comment 20

Please provide the accreditation status of the laboratory mentorship program (p.66). The testimony that was provided related to the ability of Mammoth Labs to move to the implementation standard. Mammoth stated through the reading of the comment letter by Brad Meadows, that they had the tools (templates), but they did not have the mentorship. How is ELAP going to address these issues for the other over 430 small laboratories that need the mentorship?

Comment 21

Please explain how the alternatives are “they are lacking in effectiveness and credibility and represent the status quo”. Please provide specific examples. P.67/

Comment 22

Please provide an example how “a state-created standard would significantly inhibit the State Water Resources Control Board from relying on third-party assessment agencies to fulfill onsite assessment requirements for laboratories.” Dade Moeller (NV5) provided an on site assessment on a non-TNI system at a cost to the state of \$1.5M. Please explain how this was possible based on the reference made in the ISOR. P. 68.

Comment 23

Can you please provide the differences in the Wisconsin standard as compared to the CA QMS and TNI 2016? This reference (p.68) is a comparative analogy as to why a state standard cannot be used. Please provide evidence to support your claim.

Comment 24

Please provide an analysis of the QMS that were evaluated in the 2016 version, specifically the presentation by ELTAC member David Kimbrough as it relates to the EPA's Requirements for Quality Management Plans (EPA QA/R-2). This quality management system is what governs the contracts between laboratories and the EPA.

Comment 25

Please explain how contract requirements are resolved by case law when two business units within the same organization are applicable within the same organization? Please also explain how additional duplication in the two business units would be beneficial and produce data of known quality. There is overlap in the TNI 2016 (minus 2) standard with requirements in municipalities (California Government Code). Please explain as to how a laboratory which is required to have specific policies can be in alignment with the regulatory requirements in other business units within an organization.

Comment 26

Please explain the non-consensus and the applicable legal definition as it relates to the meeting minutes for the ELTAC meetings below, P.69 of the ISOR. Please explain how no clear recommendation could be achieved based on the following votes of ELTAC:

1, July 27, 2016

- Amended Motion: "ELTAC support the development of a quality management system "as a condition of accreditation by California ELAP". Motion Carries.
- Straw Poll: Should ELTAC recommend the TNI Standard as a foundation for ELAP's quality management system requirement for accreditation". Motion Lost.

2. August 24, 2016

- Motion: "adoption of existing regulations with additional components as determined by ELTAC to use as the basis for the laboratory quality management system." Motion Carries.
- Motion: "adoption of the 2016 TNI Standard, Volume 1, with modifications as the laboratory quality management system". Motion Lost.

Comment 27

State Regulatory Agencies

On page 69 of the ISOR, ELAP presents options to the State Agency Partners. Please provide the dates, quality management systems presented, materials of the meetings, and votes from the parties represented at each meeting.

Comment 28

In the ISOR, it is stated that: 'Additionally, ELAP cannot administratively support a two tiered accreditation system.' As presented at the December 18, 2019 meeting, a regional model for laboratories who want to be under a state system, would enter into an agreement with their regional boards/drinking water programs on a model to support the labs that prefer a state system where there are already regulations in place to control their business model. Please indicate if this is a model that could assist ELAP in clearing the back log while providing more local control and oversight.

Comment 29

Please explain the comments related to the considerable push back from ELTAC. Please explain the specific motions or points in the record where the considerable push back was mentioned. Please reference specifically how 'considerable push back' was achieved.

Comment 30

Please explain how the proposed alternative standard dated April 3, 2019 was lacking of essential quality systems and management requirements (p.72) and lacked the necessary detail and specificity that is needed to prevent varying interpretation of the requirements by ELAP assessors". Please explain the reference to the TNI comment letter provided against the CA QMS on April 25, 2019. Please also provide context analysis for the letter that was submitted to ELAP on May 24, 2019 which provided a response to the objections outlined in the TNI comment letter (p.73).

Comment 31

Please explain Mr. Hamilton's testimony at the December 19, 2019 meeting as it relates to the evaluation of the CA QMS and the April 2019 version and the May 2019 version. Mr. Hamilton stated in the meeting that there were no changes from the April 2019 version. Please provide the analysis in the comment response. Please also provide records which provided substantive feedback to the CA QMS subcommittee from ELAP as to the issues that were identified by ELAP. As the 'core issues' (p.73).

Comment 32

Please provide the memorandums from 2002 and 2007 (p.75 of the ISOR) that includes the TNI Standard for compliance with Primacy rules. Also, please elucidate the version of TNI that provides this allowance.

Comment 33

Please explain how legal defensibility would be improved by having specific regulations included in the standard as alluded to on p.75 for minimum traceability requirements.

Comment 34

Please provide the analysis for the consideration by each version of the CA QMS subcommittee (p,74).

Comment 35

In the ISOR, it is stated that the description of problems ELAP is addressing are as follows:

1. Lack of specificity – has lead to inconsistencies in the assessment of the quality and competency of laboratories – which results in a “lack of trust in data used to make decisions regarding human health and the environment”.
2. Not sufficiently detailed to provide direction to the lab community.
3. Lack pertinent requirements or standards for determining the competency of the laboratory to perform the testing.

Examples: quality system requirements, ethics and integrity policy requirements, data traceability requirements, method validation requirements, sample handling policies, or conditions for enforcement.

Please provide specific examples as to how those problems have led to notice of violations, the percentage of ELAP accredited laboratories affected, and how the TNI 2016 (minus 2) standard would solve these issues.

Comment 36

There are two comments in the ISOR that are provided with specific questions.

“The State Water Board’s reasoning for rejecting the alternatives is that they are lacking in effectiveness and credibility and represent the status quo. As identified below, the 2016 TNI Standard is consensus-based, EPA approved, and technically superior to the alternative accreditation standards”

Please provide specific evidence in the “lack of effectiveness” in the decision to reject the alternatives.

“A quality system requires direct management and constant improvement of laboratory processes and procedures to ensure the quality of data. This is a core requirement of a modernized accreditation standard and a requirement that encompasses all areas of the laboratory. The quality system requirements described in the 2016 TNI Standard are specific, thorough, and consistently upgraded through a consensus-based standard development process that incorporates best industry practices.”

At the December 18, 2019 hearing, Mr. Hamilton indicated that securing of documents was not a specific requirement and laboratories may choose with what type of storage requirement that they would like for their laboratory. Please explain how this relates to specificity as described in the ISOR.

Comment 37

Please explain in detail related to the ISOR, p. 7, what evidence supports the 'insufficient state standards' statement. Please cite an applicable report that would support this contention.

Comment 38

ELAP's regulatory package states: "the local agencies can pass on the costs to the laboratory by increasing service charges or fees to the public. Therefore, no state reimbursement of these costs is required" (P.8 of the supplemental). Local government and cities must go through an extensive public review on the requirement for additional costs of services that do not have direct, local benefit. Prop 218 controls the ability of "California's nearly 7,000 cities, counties, special districts, schools, community college districts, redevelopment agencies, and regional organizations" to raise and levy additional taxes to ratepayers. Due to the unique cost drivers that agencies will have to pass on, cities, counties, public wastewater systems, public water systems, recycling facility, and special districts were included in the public category of laboratories which make up 52% of the laboratories certified in California. Private laboratories were identified as commercial, hospital, industrial, landfill, nonprofit, power/gas utility, private water utility, or private wastewater utility. The other laboratories were made up of federal, state, academic, or tribal laboratories.

Please explain what specific items that this regulatory package fixes to be compliant with requirements in Prop 218.

Section 5: Previous Comments Not Responded to in Writing

Comment 39

On a letter dated September 17, 2017, I provided survey responses based on the laboratory community and the contention at that time that poor data quality is driving the push for the TNI (minus 2) 2016 standard. Please provide your review of the letter in a separate comment as this relates to the choice in the alternative management system.

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End of Comment Section

In closing, SOCWA and the member agencies are committed to protection of public health and the environment. While we share this goal with the State Water Resources Control Board, we believe that the true consideration of the alternative system, the California Quality Management System (CA QMS) is a viable state standard that is ready to be used and is more cost effective than what is currently proposed. We look forward to discussions in January 2020 to evaluate the differences in a meaningful, open, and transparent manner. Thank you for taking the time to respond to these comments and review the robust materials provided to support the comments.

Sincerely,

A handwritten signature in cursive script that reads "Amber Baylor".

Amber Baylor

Director of Environmental Compliance
South Orange County Wastewater Authority (SOCWA)
949.234.5409
abaylor@socwa.com