

Agenda Item

#

DATE: April 20, 2021

TO: Ione City Council

FROM: Sophia R. Meyer, City Attorney

SUBJECT: Review and Approval of RFP for Wastewater Treatment Plant Services

RECOMMENDED ACTION:

Review and revise RFP for Wastewater Treatment Plant Services
Approve revised RFP and issue for advertising and response.

Motion: _____ / _____

ALTERNATIVE ACTION:

Direct staff to negotiate an extension with PERC.

FISCAL IMPACT:

TBD.

BACKGROUND:

The current contract with PERC will expire on June 30, 2021. The City needs to either extend the contract with PERC, or go out to bid for City Wastewater Treatment Plant Services.

This document was based on the prior RFP's issued for City Wastewater Treatment Plant Services and incorporated a number of items from the Scope of Work from the RFP draft from the April 6, 2021 agenda item # 7.

City Attorney is asking for a thorough review by all Staff and Council to ensure the RFP encompasses the correct scope of work that the City needs at this time for the City Wastewater Treatment Plant Services.

Double-Check the following scope of work to be provided as Wastewater Treatment Plant Services:

Separate Bid Pricing for Wastewater, Tertiary, and Sewer Collection Systems.
Inclusion of Wastewater Treatment Plant Classification and Operator Classification Levels in the RFP.



City of
IONE California
The Castle City. Gateway to the Motherlode

REQUEST FOR PROPOSAL

WASTEWATER TREATMENT OPERATIONS FOR WASTEWATER AND TERTIARY TREATMENT FACILITIES

DUE: May 21, 2021 by 4:00 p.m.

**City of Ione
P.O. Box 398
1 East Main Street
Ione, CA 95640**

(209) 274-2412

TABLE OF CONTENTS

REQUEST FOR PROPOSAL

Wastewater Treatment Operations for Wastewater and Tertiary Treatment Facilities

DRAFT

DESCRIPTION

The City of Ione ("City") is seeking proposals from qualified civil firms, companies, sole proprietorships or individuals having professional experience in providing wastewater treatment plant ("WWTP") services. It is the City's intent to obtain WWTP services on a retainer basis to act on behalf of the City in all WWTP related activities associated with City WWTP planning and infrastructure assessment, construction, and maintenance. The successful firm will provide a single person who will serve as the City's Principal Contact. The breadth of services requested herein need not be provided solely through or by that individual, but may be provided by any number of qualified individuals within the firm selected. Sub-contractors to the successful firm may provide services to the City with prior approval of the City Council.

For the purposes of this request for proposals ("RFP"), the term "WWTP Operator" will be used hereafter to refer to the successful firm.

The WWTP Operator will be required to provide most of the WWTP services requested at or through their own facilities. The City does not provide an office or technical support for the work of the WWTP Operator. Limited office space is available at the City of Ione City Hall for occasional work as needed.

The SCOPE OF SERVICES section of this RFP describes City planning and public works related tasks for which the City seeks professional WWTP Operator assistance to perform. These services will be conducted at the direction of the City Manager. Proposals must include the information requested in the PROPOSAL section of this RFP and submitted as described in the SUBMITTAL section.

GENERAL INFORMATION

The City of Ione, located in Amador County, offers the perfect blend of small-town charm and quality living. Its quaint character and convenient location just 30 miles south east of Sacramento, make it the perfect place to work, live, and play. Incorporated in 1953 the City comprises 4.7 square miles with a population of approximately 7,703 (this figure includes the Mule Creek prison population). The City has an operational budget of \$6.5 million, with a five-member Council and 17 employees. Ione is known for its small-town atmosphere and its outstanding quality of life.

The City, like many valley and foothill communities, is experiencing an increase in development and expects this trend to accelerate over the coming years. Areas of development include, but are not limited to, expansion of the wastewater treatment facility, expansion and revision of the City sidewalk system, pavement management, stormwater and wastewater system management.

The City has a Treatment Facility and a Tertiary Plant. The Waste Water Treatment Plant is permitted by the State of California through the Central Valley Regional Water Quality Control Board (RWQCB).

The Plant is currently classified as a Class I facility, as defined in the California Code of Regulations, Title 23, Division 3, Chapter 26, sections 3675 and 3680. The most recent permit was issued by the RWQCB in 2012 for average dry weather flow capacity of .355 million gallons per day, it is permitted for a maximum plant flow of 1.2 million gallons per day. The Plant discharges via the nearby agricultural fields.

The Tertiary Plant is permitted by the State of California through the Central Valley Regional Water Quality Control Board (RWQCB). The Plant is currently classified as a Class IV facility, as defined in the California

Code of Regulations, Title 23, Division 3, Chapter 26, section 3675. The most recent permit was issued by the RWQCB in 2012. This facility operates on average seven months per year and discharges to the Castle Oaks Golf Course for landscape irrigation.

Additional information about the City of Ione can be obtained on the City's website at: <http://www.ioneca.com>.

The proposals submitted in response to this RFP will be used as a basis for selecting a candidate, a firm, individual, or a combination of firms/individuals, for the City's needs. Proposals will be evaluated and ranked according to the criteria provided in Appendix B, "Evaluation Criteria," of this RFP.

It shall be the Applicant's responsibility to check the City of Ione's website to obtain any addenda that may be issued.

Attention is directed to Appendix A, "Proposal Requirement."

Submit one (1) original and five (5) copies of the proposal to Lori McGraw, Interim City Manager, 1 East Main Street, Ione, CA 95640 by **4:00 p.m. Friday, May 21, 2021.**

Proposals received after the time and date specified above, will be considered nonresponsive and will be returned to the Applicant.

Any proposals received prior to the time and date specified above, may be withdrawn or modified by written request of the Applicant. To be considered, however, the modified Proposal must be received prior to 4:00 p.m., May 21, 2021.

Please note, in order to have a proposal considered by the City, each Applicant must have an employee of the firm submitting the proposal attend a mandatory pre-proposal meeting and review, currently scheduled for _____ at _____ a.m./p.m. The review will be held at the Ione Waste Water Plant. The purpose of this site review is to allow respondents to examine the site and facilities. Please note that the City does not have staff with background wastewater operations or experience operating the facilities. Therefore, attendees should not expect the City to answer operational questions related to the facility. The City's current contract operator will not be available to answer any questions from attendees. All attendees will be responsible for supplying their own COVID-19 related personal protective equipment as required by the Amador County Health Department. Also, all attendees who wish to tour the treatment plant will be required to have Cal-OSHA approved hard hats and vests.

It is anticipated the selection of a firm will be completed by **June 10, 2021.** Following the notification of the selected firm, a recommendation and proposed contract will be prepared for review and approval by the City Council at its **June 15, 2021** meeting. See Appendix C, "Schedule of Events" for additional timelines.

This RFP does not commit the City of Ione to award a contract, to pay any costs incurred in the preparation of a proposal for this request, or to procure or contract for services. The City of Ione reserves the right to accept or rejected any or all proposals received as a result of this request, to negotiate with any qualified Applicant, or to modify or cancel in part or in its entirety the RFP if it is in the best interest of the City of Ione to do so. Furthermore, a contract award may not be made based solely on price.

The prospective Applicant is advised that should this RFP result in recommendation for award of a contract, the contract will not be in force until it is approved and fully executed by the City of Ione.

All responses to this RFP shall become the property of the City of Ione.

The selected firm will be required to comply with all existing State and Federal labor laws, including, but not limited to, all applicable equal opportunity employment provisions.

SCOPE OF WORK

The WWTP Operator shall provide all necessary wastewater operations and maintenance services to the City. It is the intention of the City to select and contract with one WWTP Operator for these services. All wastewater operations and maintenance services shall be performed under the direction of a Wastewater Operator IV or V and registered by the State of California. No subcontractors shall be utilized without prior authorization by the City Council. The duration of agreement with the qualified WWTP Operator shall be for an initial term of one (1) year, with an option for two (2) additional consecutive renewal terms of two (2) years each upon City Council's approval.

Meetings with the City and/or City Council are anticipated.

The WWTP Operator is representing itself as a qualified wastewater operations and maintenance service, which includes day to day operations of a wastewater treatment facility, tertiary treatment facility and sewer collection system; therefore, it is acceptable to submit recommendations and comments for consideration on format, process, scheduled, and additional content of providing the services. The City will consider comments and recommendations; however, City is not required to incorporate any of the recommendations or comments.

Wastewater Operations and Maintenance

WWTP Operator agrees to perform all wastewater operations and maintenance services as follows:

- Operate and maintain wastewater treatment facility 24/7, 365 days per year;
- Operate and maintain tertiary treatment facility during dry season, usually March to October;
- Operate and maintain the City's sewer collection system year-round;
- Operate and maintain the City's wastewater treatment facility, tertiary treatment facility, and sewer collection system within federal, state, and local regulations, laws and rules and ensure compliance with the permits for these facilities;
- Conduct routine operations including all daily, weekly, and monthly samples as required in the City's permits or compliance plans;
- Respond to sewer backups and determine whether City sewer main is involved or lateral issue;
- Respond with qualified and certified staff within 45 minutes of notification or realization of operational interference, upset, power outage, regularity inspection, or other emergency, 24/7, 365 days per year.
- Report any sewer spill in compliance with the City's sewer backup response plan and federal and state law or regulations;
- Maintain wastewater treatment facilities infrastructure;
- Maintain tertiary treatment facility as needed to treat secondary effluent from Amador Regional Sanitation Authority ("ARSA") system for application to Castle Oaks Golf Course;
- Create and maintain daily operations manual for WWTP and Castle Oaks Water Reclamation Plant ("COWRP");
- Create maintenance schedule for WWTP, COWRP, and sewer collection system;
- Develop budget for WWTP, COWRP, and collection system annually;
- Review and complete SSMP for collection system;

- Review and develop reporting procedures for spills, problem sites, and backups;
- Assist City Manager, City Engineer, Sewer Engineer, and City Council with understanding compliance issues and making recommendations on permit issues or cease and desist orders;
- Assist with the completion of annual reports, quarterly reports, compliance status reports, and wastewater discharge reports as needed;
- Represent the City professionally while dealing with the public and agency partners;
- Present technical reports to the RQQCB and City Council quarterly;
- Review current operations and identify efficiencies for all facilities;
- Provide Chief Wastewater Operator services at the Level IV or V due to tertiary plant operations; and
- Provide the necessary on-call services for after hours issues.

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APPENDIX A – PROPOSAL REQUIREMENTS

A. Minimum Qualifications

The ideal firm should have extensive experience (five (5) or more years) in municipal WWTP operations, including public water and sewer systems, with individual operators having a minimum of three (3) years of relevant experience. Specifically, experience should include, but not be limited to, providing WWTP operations and maintenance, tertiary plant operations and maintenance, and collection system operations and maintenance.

Core Competencies:

- Understanding of the technical aspects of and technological advancements in public works;
- Ability to communicate effectively with written and oral communication;
- Knowledge of environmental regulations;
- Ability to act collaboratively and build consensus;
- Ability to think strategically and solve problems;
- Ability to think regionally as well as locally;
- Familiarity with public policy making;
- Ability to attend public meetings and City Council and Planning Commission meetings as needed;
- Knowledge of public sector contracting and purchasing;
- Proficiency at capital budgeting;
- Ability to perform inspection of developer improvements;
- Ability to provide detailed status of all projects at any give time; and
- Ability to meet deadlines.

All proposals shall include a plan of how the WWTP Operator and sub-contractors, if any, proposes to provide services to the City without creating a conflict of interest. No WWTP Operator or sub-contractor shall be permitted to work on any project in which any client (of the WWTP Operator) has an economic interest or may be expected to have a material financial interest.

WWTP Operator must comply with all applicable Federal, State and local laws and ordinances. This includes, but is not limited to, City insurance requirements, City indemnification requirements, and compliance with prevailing wage rates and their payment in accordance with the California Labor Code.

The City currently collects fees from sewer customers and tertiary treatment customers to provide these services. The fee is based on the actual cost of City staff and/or WWTP Operator to provide the service, and is adopted as part of the City Fee Schedule by the City Council. It is the intent of the City to compensate WWTP Operator based upon the most current fees collected.

B. Proposal Contents

These guidelines are provided for standardizing the preparation and submission of Proposal/Proposals by all applicants. The intent of these guidelines is to assist applicants in preparation of their proposals, to simplify the review process, and to help assure consistency in format and content.

The proposal(s) should be as brief as possible and should be presented within the following structure and labeled in the following manner:

- I. Cover Letter
- II. Executive Summary
- III. Applicant/Firm Information
- IV. Applicant/Firm Background
- V. Applicant/Firm Qualifications
- VI. References
- VII. Pricing

Failure to follow the specific format, to label the responses correctly, or to address all of the subsections may, at the City's sole discretion, result in the rejection of the Proposal.

Proposals shall not contain extraneous information. All information presented in the Proposal must be relevant in response to a requirement of this RFP, must be clearly labeled, and, if not incorporated into the body of the proposal itself, must be referenced to the appropriate place within the body of the proposal.

I. Cover letter:

In no more than two (2) pages the firm should provide the name, address, and telephone number of the primary contact, any qualifying statements or comments regarding the proposal and identification of any sub-consultants and their responsibilities. The signed letter should also include a paragraph stating that the firm is unaware of any conflict of interest in performing the proposed work.

II. Executive Summary:

This section of the proposal should provide a concise synopsis of Applicant's proposal and credentials to deliver the services sought under the RFP. Provide a general overview of the Applicant's philosophy for City Engineer Services and approach to mitigating risk to cities.

III. Applicant/Firm Information

This section of the proposal must include the following company information:

- Legal Entity Name, Federal Employer Identification Number (EIN), and form of business (i.e. Corporation, etc.).
- Identify if the Applicant is a subsidiary of a larger firm. If so, whom and from where will services be provided?
- Proposal contact name, address, phone number, and email address.
- Principal Engineer who will serve as the City Engineer and any other functions requested under Scope of Services.
- Location of company headquarters and office which will support the City Engineer.

IV. Applicant/Firm Background

This section should identify the following:

- Description of Applicant's background, nature of business, and organizational history.
- Statement of how long the Applicant has been providing Engineering Services to municipalities.
- Location of the office that will be providing services to the City.
- Staff services available (clerical support, other non-engineer staff.)
- Awards, honors or public recognition of you, your firm, or both, concerning the provision of Engineering Services.

V. Applicant/Firm Qualifications:

This section should include identify firm/staff qualifications and experience related to the scope of work. More specifically, this section should identify the following:

- The name of the person who will be responsible for the management and administration of engineering services with the City with a resume of that person's experience and qualifications.
- The names and resumes of the assigned staff and sub-contractors, relevant technical experience and the availability of the staff for the services.
- List all public clients for whom you currently provide services under a fee services or retainer basis and indicate the meeting dates and schedules for any public bodies for the prospective lead City Engineer.

After selection of a firm by the City, no substitution of key staff or sub-contractors may occur without the prior written approval of the City.

VI. References:

The Applicant must provide three to five (3-5) references. At least two of the references should be for similar services provided in the last three years. For each reference, Applicant should provide the following information and permission to contact each reference:

- Entity name
- Customer Contact information (name, title, phone and email)
- Scope of work performed identifying the services provided
- Start date

VII. Fee Schedule/Pricing:

The proposal must include **individual detailed compensation proposals** for services to each of the following:

Wastewater Treatment Facility
Tertiary Treatment Facility
Sewer Collection System

Describe how the firm intends to provide these WWTP services on either an hourly rate or retainer.

Define what type(s) of work considered to be extra or specialized work that would be billed in addition to basic services. State the hourly rates for the designated City WWTP Operator and associates for general work and specialized services.

Define the type and unit rates for reimbursement for expenses such as mileage, reproduction of documents, faxed documents and word processing charges.

The Firm shall indicate the minimum increment of time billed for each service including phone calls, correspondence and personal conferences.

It is expected that the scope of work performed, and the rates charged therefore will be reviewed and evaluated by the parties at the end of the first year of services and be subject to modification at that time based on the review.

C. General Requirements

Collusion

By submitting a response to the RFP, each Applicant represents and warrants that its response is genuine and is not made in the interest of or on behalf of any person not named therein; that the Applicant has not directly induced or solicited any other person to submit a sham response or any other person to refrain from submitting a response; and that the Applicant has not in any manner sought collusion to secure any improper advantage over any other person submitting a response.

Gratuities

No person will offer, give or agree to give any City employee or its representative any gratuity, discount or offer of employment in connection with the award of contract by the City. No City official, employee, agent, or its representatives will solicit, demand, accept or agree to accept from any other person a gratuity, discount or offer of employment in connection with a City contract.

Required Review and Waiver of Objections by Applicant

Applicants should carefully review this RFP for comments, questions, defects, objections, or any other matter requiring clarification or correction (collectively called "comments"). Comments concerning RFP objections must be made in writing and received by the City no later than the "Deadline for Written Questions and/or Comments" detailed in the RFP Appendix C - Schedule of Events. This will allow issuance of any necessary amendments and help prevent the opening of defective proposals upon which contract award could not be made.

Protests based on any objection will be considered waived and invalid if these faults have not been brought to the attention of the Town, in writing, by the Deadline for Written Questions and/or Comments.

Proposal Withdrawal

To withdraw a proposal, any Applicant must submit a written request, signed by an authorized representative, to the Interim City Manager not later than 24 hours before the Deadline for Receipt of Proposals. After withdrawing a previously submitted proposal, the Applicant may submit another

proposal at any time up to the Deadline for Receipt of Proposals.

Proposal Errors

Applicants are liable for all errors or omissions contained in their proposals. Applicants will not be allowed to alter proposal documents after the Deadline for Receipt of Proposals.

Incorrect Proposal Information

If the City determines that an Applicant has provided, for consideration in the evaluation process or contract negotiations, incorrect information which the Applicant knew or should have known was materially incorrect, that proposal will be determined non-responsive, and the proposal will be rejected.

Proposal of Additional Services

If an Applicant indicates an offer of services in addition to those required by and described in this FRP, these additional services may be added to the contract before contract signing at the sole discretion of the City.

Licensure

At all times while serving as City Engineer or as an Engineer providing services to the City under the City Engineer contract, each such engineer shall be required to maintain their license and credentials to provide such services while so employed.

Conflict of Interest and Proposal Restrictions

Applicants should identify any other public agency or private representation that may have a conflict of interest with the City of Ione.

By submitting a response to the RFP, the Applicant certifies that no amount will be paid directly or indirectly to an employee or official of the City as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or Firm to the Applicant in connection with the procurement under this RFP.

Notwithstanding this restriction, nothing in this RFP will be construed to prohibit another government entity from making a proposal, being considered for award, or being awarded a contract under this RFP. Any individual, company, or other entity involved in assisting the City in the development, formulation, or drafting of this RFP or its scope of services will be considered to have been given information that would afford an unfair advantage over other Applicants, and said individual, company, or other entity may not submit a proposal in response to this RFP.

Contract Negotiations

After a review of the proposals and completion of the reference checks, and interviews, the City intends to enter into contract negotiations with the selected applicant. These negotiations could include all aspects of services and fees. If a contract is not finalized in a reasonable period of time, the City will open negotiations with the next ranked applicant(s).

Right of Rejection

The City reserves the right, at its sole discretion, to reject any and all proposals or to cancel this RFP in its entirety.

Any proposal received which does not meet the requirements of this RFP may be considered to be nonresponsive, and the proposal may be rejected. Applicants must comply with all of the terms of this RFP and all applicable State laws and regulations.

If an applicant seeks to restrict the rights of the City or otherwise qualify their proposal, the City may determine the proposal to be a nonresponsive counteroffer, and the proposal may be rejected.

The City reserves the right, at its sole discretion, to waive variances in technical proposals provided such action is in the best interest of the City. Where the City waives minor variances in proposals, such waiver does not modify the RFP requirements or excuse the Applicant from full compliance with the RFP. Notwithstanding any minor variance, the City may hold any Applicant to strict compliance with the RFP

Disclosure of Proposal Contents

All proposals and other materials submitted in response to this RFP procurement process become the property of the City. Selection or rejection of a proposal does not affect this right. All proposal information, including detailed price and cost information, will be held in confidence during the evaluation process; however, names of persons or firms submitting proposals may be disclosed as a public record upon request. Upon the completion of the evaluation of proposals, the proposals and associated materials will be open for review by the public to the extent allowed by the California Public Records Act, (Government Code sections 6250-6270 and 6275-6276.48). By submitting a proposal, the Applicant acknowledges and accepts that the contents of the proposal and associated documents will become open to public inspection.

Each applicant should be aware that although the California Public Records Act recognizes that certain confidential trade secret information may be protected from disclosure, the City is not in a position to establish that the information, which an Applicant submits, is a trade secret. If a request is made for information marked "confidential," the City will provide the Applicant who submitted such information with reasonable notice to allow the Applicant to seek protection from disclosure by a court of competent jurisdiction, and at the Applicant's sole expense.

Severability

If any provision of this RFP is declared by a court to be illegal or in conflict with any law, the validity of the remaining terms and provisions will not be affected; and, the rights and obligations of the City and Applicants will be construed and enforced as if the RFP did not contain the particular provision held to be invalid.

RFP and Proposal Incorporated into Final Contract

This RFP and the successful proposal may be incorporated into the final contract, at the discretion of the City.

Proposal Amendment

The City will not accept any amendments, revisions, or alterations to proposals after the Deadline for Receipt of Proposals unless such is formally requested, in writing, by the City.

Warranty

The selected Applicant will warrant that the proposal will conform in all material respects to the requirements and specifications as stated in this RFP and as demonstrated during the evaluation process. In addition, the requirements as stated in the RFP will become part of the subsequent agreements.

Rights of the City

The City reserves the right to:

- Make the selection based on its sole discretion.
- Reject any and all proposals.
- Issue subsequent Requests for Proposals.
- Postpone opening proposals if necessary, for any reason.
- Remedy errors in the Request for Proposal process.
- Approve or disapprove the use of particular subcontractors.
- Negotiate with any, all, or none of the Applicants.
- Accept other than the lowest monetary offer.
- Waive informalities and irregularities in the proposals.
- Enter into an agreement with another Applicant in the event the originally selected Applicant defaults or fails to execute an agreement with the City.
- Include provisions in the contract allowing the City Council to terminate the agreement at its sole and entire discretion upon the provision of a thirty day (30) written notice.

APPENDIX B – EVALUATION AND SELECTION PROCESS

The City shall review the proposals to determine which Applicants are qualified for consideration. The initial review will evaluate all submissions for conformance to stated specifications and to eliminate all responses that deviate substantially from the basic intent and/or fail to satisfy the mandatory requirements. Following the initial review, the City will complete a detailed review of Applicant proposals. The City will carefully weigh the following criteria:

Demonstrated understanding of the Scope of Work.
Experience with similar contracts and clients.
The experience and qualifications of the proposed staff in providing similar services.
Demonstrated ability to deliver work on time and within budget.
The extent of involvement by key personnel.
The extent to which previous clients have found the firm's services acceptable.
Previous City experience with the proposing firm, if any.
Communication skills.
Cost of Services
Ability to prepare and execute a contract in a timely manner
Other qualifications/criteria as deemed appropriate.

The City reserves the right, at its sole discretion, to request clarifications of proposals or to conduct discussions for the purpose of clarification with any or all Applicants. The purpose of any such discussion shall be to ensure full understanding of the proposal. Discussions shall be limited to specific sections of the proposal identified by the City and, if held, shall be after initial evaluation of proposals is complete. If clarifications are made as a result of such discussion, the Applicant agrees to put such clarifications in writing.

After review of all applicants, the City will select the best qualified firm, combination of firms or individual(s) to move forward to in-person interviews and eventual contract negotiations.

APPENDIX C – RFP SCHEDULE OF EVENTS

Listed below are the events and target dates. The City reserves the right to change these events and dates at any time.

Date	Activity
April 21, 2021	Request for Proposal Issued
May 7, 2021 @ 4:00 PM	Deadline for questions to be submitted
May 21, 2021 @ 4:00 PM	Due Date for Proposals
June 7-10, 2021	Interviews Conducted
June 15, 2021	Contract Awarded by City Council
July 1, 2021	Contract Begins

CONTACT INFORMATION

Questions regarding this RFP may be sent by email to Lori McGraw, Interim City Manager at lmcgraw@ione-ca.com up to May 7, 2021 prior to the submission deadline. All questions and responses will be posted on the City Website at <http://www.ione-ca.com> for all interested responders to view.



EDMUND G. BROWN JR.
GOVERNOR

MATTHEW RODRIGUEZ
SECRETARY FOR
ENVIRONMENTAL PROTECTION

State Water Resources Control Board

WASTEWATER TREATMENT PLANT CLASSIFICATION AND OPERATOR CERTIFICATION LEVELS

Pursuant to Title 23, California Code of Regulations
Divisions 3, Chapter 26, Sections 3670-3719.19

February 21, 2012

Name of facility: Lone Wastewater Treatment Plant

Plant Classification:

I

Treatment Process:

Pond

Plant Design Flow:

1.2 MGD

Present Average Dry
Weather Flow:

.355 MGD

Minimum Certification Grade Required

Chief Plant Operator:

Must be Grade I or above

Shift Supervisor: (if applicable)

Grade I

IN CLASS IV AND V PLANTS, 50 PERCENT OF THE OPERATORS SHALL
POSSESS AT LEAST GRADE II CERTIFICATES OR OPERATOR-IN-TRAINING
CERTIFICATES AT THE GRADE II OR HIGHER LEVEL.

CHARLES R. HOPPIN, CHAIRMAN | THOMAS HOWARD, EXECUTIVE DIRECTOR

1001 I Street, Sacramento, CA 95814 | Mailing Address: P.O. Box 100, Sacramento, CA 95812-0100 | www.waterboards.ca.gov



EDMUND G. BROWN JR.
GOVERNOR



MATTHEW RODRIGUEZ
SECRETARY FOR
ENVIRONMENTAL PROTECTION

State Water Resources Control Board

February 21, 2012

City of Lone
Chief Plant Operator-Wastewater Treatment Plant
P.O. Box 398
Lone, CA 95640

Dear Wastewater Chief Plant Operator:

WASTEWATER TREATMENT PLANT CLASSIFICATION AND OPERATOR CERTIFICATION

We have reviewed the plant classification information submitted to our office. Enclosed is a wastewater treatment plant classification and operator certification levels form that shows the minimum certification requirements for the operations personnel at the following wastewater treatment plant(s):

- Lone Wastewater Treatment Plant

These requirements are imposed in accordance with the Sections 3675 and 3680, Title 23 of the California Code of Regulations (CCR). Section 3676 requires an agency to notify the State Water Resources Control Board within 30 days of the following:

1. Change in employment of the person designated as chief plant operator.
2. Change in the plant's treatment processes or design flow, which may affect the classification of the plant.
3. Any final disciplinary action resulting in suspension, demotion or discharge of a certified operator or operator-in-training if the disciplinary action is related to performance of operator duties.

I have enclosed a copy of the CCRs for wastewater treatment plant classification and operator certification for your reference.

CHARLES R. HOPPIN, CHAIRMAN | THOMAS HOWARD, EXECUTIVE DIRECTOR

1001 I Street, Sacramento, CA 95814 | Mailing Address: P.O. Box 100, Sacramento, CA 95812-0100 | www.waterboards.ca.gov



EDUARD G. BROWN JR.
GOVERNOR



MATTHEW RODRIGUEZ
SECRETARY FOR
ENVIRONMENTAL PROTECTION

State Water Resources Control Board

WASTEWATER TREATMENT PLANT CLASSIFICATION AND OPERATOR CERTIFICATION LEVELS

Pursuant to Title 23, California Code of Regulations
Divisions 3, Chapter 26, Sections 3670-3719.19

February 21, 2012

Name of facility: Castle Oaks Water Reclamation Plant

Plant Classification: IV

Treatment Process: Tertiary

Plant Design Flow: 1.2 MGD

Present Average Dry
Weather Flow: 1.0 MGD

Minimum Certification Grade Required

Chief Plant Operator: Must be Grade IV or above

Shift Supervisor: (if applicable) Grade III

IN CLASS IV AND V PLANTS, 50 PERCENT OF THE OPERATORS SHALL
POSSESS AT LEAST GRADE II CERTIFICATES OR OPERATOR-IN-TRAINING
CERTIFICATES AT THE GRADE II OR HIGHER LEVEL.

CHARLES R. HOPPIN, CHAIRMAN | THOMAS HOWARD, EXECUTIVE DIRECTOR

1001 I Street, Sacramento, CA 95814 | Mailing Address: P.O. Box 100, Sacramento, CA 95812-0100 | www.waterboards.ca.gov



EDWARD G. BRIDEN JR.
GOVERNOR

MATTHEW RODRIGUEZ
SECRETARY FOR
ENVIRONMENTAL PROTECTION

State Water Resources Control Board

February 21, 2012

City of Lone
Chief Plant Operator-Wastewater Treatment Plant
P.O. Box 398
Lone, CA 95640

Dear Wastewater Chief Plant Operator:

WASTEWATER TREATMENT PLANT CLASSIFICATION AND OPERATOR CERTIFICATION

We have reviewed the plant classification information submitted to our office. Enclosed is a wastewater treatment plant classification and operator certification levels form that shows the minimum certification requirements for the operations personnel at the following wastewater treatment plant(s):

- **Castle Oaks Water Reclamation Plant**

These requirements are imposed in accordance with the Sections 3675 and 3680, Title 23 of the California Code of Regulations (CCR). Section 3676 requires an agency to notify the State Water Resources Control Board within 30 days of the following:

1. Change in employment of the person designated as chief plant operator.
2. Change in the plant's treatment processes or design flow, which may affect the classification of the plant.
3. Any final disciplinary action resulting in suspension, demotion or discharge of a certified operator or operator-in-training if the disciplinary action is related to performance of operator duties.

I have enclosed a copy of the CCRs for wastewater treatment plant classification and operator certification for your reference.

If you have any question, please contact Debbie Zuccala at (916) 341-5639 or
dzuccala@waterboards.ca.gov

Sincerely,

A handwritten signature in black ink, appearing to read 'Wes Wilkinson', with a long, sweeping horizontal line extending to the right.

Wes Wilkinson
Staff Services Manager I
Division of Financial Assistance
Enclosures

WASTEWATER TREATMENT PLANT CLASSIFICATION TABLE

Class	Wastewater Treatment Process	Design Flow (in million gallons per day)
I	Primary..... Conventional Treatment Pond	1.0 or less All
II	Primary..... Biofiltration..... Modified Treatment Pond	Greater than 1.0 through 5.0 1.0 or less All
III	Primary..... Biofiltration..... Activated Sludge..... Sequencing Batch Reactor..... Tertiary.....	Greater than 5.0 through 20.0 Greater than 1.0 through 10.0 5.0 or less 1.0 or less 1.0 or less
IV	Primary..... Biofiltration..... Activated Sludge..... Sequencing Batch Reactor..... Tertiary.....	Greater than 20.0 Greater than 10.0 through 30.0 Greater than 5.0 through 20.0 Greater than 1.0 through 10.0 Greater than 1.0 through 10.0
V	Biofiltration..... Activated Sludge..... Sequencing Batch Reactor..... Tertiary.....	Greater than 30.0 Greater than 20.0 Greater than 10.0 Greater than 10.0

Title 23. Waters
Division 3. State Water Resources Control Board
and Regional Water Quality Control Boards
Chapter 26. classification of Wastewater Treatment Plants
and Operator Certification

Article 1. General Provisions

§ 3670. Purpose.

The primary purpose of the Wastewater Treatment Plant Classification, Operator Certification, and Contract Operator Registration Program is to protect public health and the environment by providing for the effective operation of wastewater and water recycling treatment plants through the certification of wastewater treatment plant operators.

§ 3670.1. Certification Requirements for Operation of Wastewater Treatment Plants.

No person shall operate a wastewater treatment plant within the meaning of these regulations unless that person has been certified by the division as a wastewater treatment plant operator or operator-in-training at a grade appropriate for the class of plant being operated.

§ 3670.2. Certification Requirement for Operation of Water Recycling Treatment Plants.

- (a) Except as provided in subsection (b) below, no person shall operate a water recycling treatment plant unless that person has been certified by the division as a wastewater treatment plant operator or operator-in-training at a grade appropriate for the class of plant being operated.
- (b) A person certified by the Department of Health Services as a water treatment plant operator may operate a water recycling treatment plant at a grade appropriate for the class of plant operated.
- (c) The State Board may refuse to approve use of a certificate issued by the Department of Health Services or suspend or revoke its approval of the use of the certificate if the operator commits any of the prohibited acts described in Article 7 (commencing with section 3710) of Chapter 26 of Division 3 of the California Code of Regulations.

§ 3671. Definitions.

The following definitions shall apply to this chapter:

- (a) "Activated sludge treatment" means a wastewater treatment process in which predominantly biodegradable pollutants in wastewater are adsorbed and/or absorbed by a suspended mass of living aerobic organisms called "activated sludge". The suspended mass is subsequently separated from the treated wastewater by a sedimentation process either for further use in the process or for disposal.

- (b) "Agency" or "municipality" means any government agency created by federal law or any city, town, county, district, or other government created by or pursuant to state law which owns or operates a wastewater treatment plant. "Agency" also includes any privately-owned organization which owns or operates a wastewater treatment plant regulated by the Public Utilities Commission pursuant to Sections 216 and 230.6 of, and Chapter 4 (commencing with Section 701) of Part 1 of division 1 of the Public Utilities Code.
- (c) "Appellant" means a person who appeals a decision made by the Office of Operator Certification or division Chief regarding denial of an application, the results of an examination, or disciplinary action taken.
- (d) "Applicant" means a person who files an application for an examination, certification, renewal, or reinstatement as a wastewater treatment plant operator or operator-in-training.
- (e) "Basic science courses" means college-level courses in the combined fields of mathematics, physics, chemistry, and biology.
- (f) "Biological filtration treatment" (biofiltration) means a wastewater treatment process in which predominantly biodegradable pollutants in wastewater are adsorbed and/or absorbed by masses of living aerobic organisms and which are attached to stationary support media as the wastewater is caused to trickle over the media. Settleable material that may have sloughed from the media surfaces is subsequently separated from the treated wastewater by a sedimentation process for disposal.
- (g) "Board" or "State Water Board" as used in this chapter means the five members of the State Water Resources Control Board.
- (h) "Chief Plant Operator" means a supervisor who is certified as an operator and who is responsible for the overall operation of a wastewater treatment plant.
- (i) "Contract operator" means any person or entity who enters a promissory agreement to operate a wastewater treatment plant.
- (j) "Direct supervision" means the oversight and inspection of the work performance of an operator-in-training by the supervisor, without an intervening person, to ensure the safe and proper execution of the duties of the operator-in-training.
- (k) "Division" means that unit of the division of the board in which the Office of Operator Certification is located.
- (l) "Extended aeration treatment" means a modification of the activated sludge treatment process which utilizes long aeration periods to promote aerobic digestion of the biomass.
- (m) "Maintenance" means those activities which will be credited toward operator experience under the certification program. Those activities are limited to the day-to-day servicing, adjustment or regulation of equipment which are performed by an operator and are necessary to maintain reliable operation of major treatment processes.
- (n) "Office of Operator Certification" means that unit of the division which administers the Wastewater Treatment Plant Classification and Operator Certification Program.

- (o) "Operates" means the performance of day-to-day activities primarily consisting of the control of any process which may affect the quality of the discharge of a wastewater treatment plant. "Operates" may include performance of day-to-day maintenance work so long as the primary function of the operator is control of the process. "Operates" does not include maintenance functions which are not necessary for the reliable operation of major treatment processes.
- (p) "Operator" means any person operating a wastewater treatment plant and who occupies a position and performs duties for which the Office of Operator Certification requires an operator certificate.
- (q) "Operator-in-training" means any person who operates a wastewater treatment plant under the direct supervision of a certified operator while gaining experience to qualify for an operator certificate.
- (r) "Pond treatment" means processing in a pond in which biological oxidation of organic matter is effected by natural or artificially accelerated transfer of oxygen to the water.
- (s) "Preliminary treatment" means a process or processes to remove or reduce in size solids which could damage equipment or reduce effectiveness of other treatment processes.
- (t) "Primary treatment" means a wastewater treatment process that allows those substances in wastewater that readily settle or float to be separated from the water being treated.
- (u) "Secondary treatment" means treatment beyond primary treatment to remove colloidal and dissolved organic matter and further remove suspended matter, usually by biological processes such as activated sludge and biological filtration treatment.
- (v) "Shift supervisor" means a certified operator who oversees and directs the operation or a phase of operation of a wastewater treatment plant during a specific work period and who reports to a supervisor or a chief plant operator.
- (w) "Supervisor" means a certified operator who oversees and directs the operation of a wastewater treatment plant, who inspects the performance of other operators of a wastewater treatment plant, and who reports to the chief plant operator.
- (x) "Tertiary treatment" (advanced waste treatment) means treatment beyond secondary treatment, which may include filtration, coagulation and nutrient removal, but excluding disinfection.
- (y) "Wastewater treatment plant" means either of the following:
 - (1) Any facility owned by a state, local, or federal agency and used in the treatment or reclamation of sewage and industrial wastes.
 - (2) Any privately-owned facility used in the treatment or reclamation of sewage and industrial wastes, and regulated by the Public Utilities Commission pursuant to Sections 216 and 230.6 of, and Chapter 4 (commencing with Section 701) of Part 1 of Division 1, of the Public Utilities Code.
- (z) "Water recycling treatment plant" means a treatment plant that receives and further treats secondary and/or tertiary effluent from a wastewater treatment plant.

Article 2. Classification of Wastewater Treatment Plants and Agency Reporting Requirements

§ 3675. Classification of Wastewater and Water Recycling Treatment Plants.

- (a) The division shall classify all wastewater treatment plants, including water recycling treatment plants, according to the following criteria:

<u>Class</u>	<u>Treatment Process</u>	<u>Design Flow</u> (in million gallons per day)
I	Pond.....	All
	Primary.....	1.0 or less
II	Primary.....	Greater than 1.0 through 5.0
	Biofiltration.....	1.0 or less
	Extended Aeration.....	All
III	Primary.....	Greater than 5.0 through 20.0
	Biofiltration.....	Greater than 1.0 through 10.0
	Activated Sludge.....	5.0 or less
	Tertiary.....	1.0 or less
IV	Primary.....	Greater than 20.0
	Biofiltration.....	Greater than 10.0 through 30.0
	Activated Sludge.....	Greater than 5.0 through 20.0
	Tertiary.....	Greater than 1.0 through 10.0
V	Biofiltration.....	Greater than 30.0
	Activated Sludge.....	Greater than 20.0
	Tertiary.....	Greater than 10.0

- (b) Plants may be classified in a group different than indicated in this section if:

- (1) they have characteristics which make operation more difficult than the operation of other similar plants of the same flow range; or,
- (2) the conditions of flow or the use of the receiving waters require an unusually high degree of plant operational control; or,
- (3) they use an approved method of wastewater treatment which is not included in this section.

§ 3676. Reporting Requirements by Agencies to the Division.

- (a) Within 30 calendar days after a plant begins operating, each agency shall submit to the division a description of the plant's treatment processes, a design flow of the plant, an organization chart, and job descriptions and duty rosters for plant personnel.
- (b) Each agency shall notify the division in writing within 30 calendar days of a change in the employment of the person designated as chief plant operator and any change in the reportable items in subsection (a) above which may affect the classification of the wastewater treatment plant.

- (c) Each agency shall notify the division in writing within 30 calendar days of any final disciplinary action resulting in suspension, demotion, or discharge of a certified operator or operator-in-training if the disciplinary action is the result of the operator's commission of any of the acts which are grounds for discipline listed in Section 3710. The notice shall identify the name of the operator or operator-in-training, the specific violations and the disciplinary action taken.
- (d) Reports regarding final disciplinary action received from agencies shall be retained in state board files for a period of three years unless the state board takes disciplinary action. If the state board takes disciplinary action, reports submitted by agencies shall remain in state board files for ten years.

Article 3. Grades of Operator Certification for the Operation of Wastewater Treatment Plants

§ 3680. Grades of Operator Certification.

- (a) Chief Plant Operators - For all plant classes, each chief plant operator shall possess a valid operator certificate of a grade at least equivalent to the class of plant operated.
- (b) Supervisors and Shift Supervisors
 - (1) In Class II, III, and IV plants, supervisors and shift supervisors shall possess valid operator certificates no more than one grade lower than the class of plant operated.
 - (2) In Class V plants, shift supervisors shall possess at least valid Grade III certificates and supervisors shall possess at least Grade IV certificates.
- (c) Operators - Each operator shall possess at least a valid Grade I certificate or a valid operator-in-training certificate. In Class IV and V plants, 50 percent of the operators shall possess at least valid Grade II certificates or valid operator-in-training certificates at the Grade II or higher level.

Article 4. Minimum Qualifications

§ 3683. Education and Experience Requirements.

- (a) No person shall be issued a certificate unless that person passes a written examination specified by these regulations and meets the education and experience requirements prescribed by this article.
- (b) Persons may apply to take an operator certification examination if:
 - (1) they have completed the education necessary for the certificate prior to the final filing date for the examination, in accordance with the provisions of subsection (c) of this section; and,
 - (2) there is sufficient time to gain the experience necessary to qualify for the certificate for which they are applying within four years of June 30 or December 31 (whichever is sooner) following an examination for Grades II, III, IV, and V and within two years of June 30 or December 31 (whichever is sooner) following an examination for Grade I.
- (c) Eligibility for certification shall be based on the following qualifications for each grade of wastewater treatment plant operator. Educational points shall be credited pursuant to the provisions of Section 3685.

(1) Grade I:

Education: Six educational points; AND,

Experience: One year of experience performing the functions of a wastewater treatment plant operator

(2) Grade II:

(A) Education: Graduation from high school or equivalent as specified in Section 3686 and six educational points; AND,

Experience: Two years of experience performing the functions of a wastewater treatment plant operator; OR,

(B) Experience: One and one-half years of experience performing the functions of a wastewater treatment plant operator while certified as a Grade I operator.

(3) Grade III:

(A) Education: An associate degree or completion of 60 semester units at a college or university, either of which includes 15 semester units of basic science courses; AND,

Experience: Two years of experience performing the functions of a wastewater treatment plant operator; OR,

(B) Education: Graduation from high school or equivalent as specified in Section 3686 and 16 educational points; AND,

Experience: Four years of experience performing the functions of a wastewater treatment plant operator; OR,

(C) Experience: Three years of experience performing the functions of a wastewater treatment plant operator while certified as a Grade II operator.

(4) Grade IV:

(A) Education: A bachelor's degree with a major related to wastewater treatment and which includes a minimum of 30 semester units of basic science courses; AND,

Experience: Two years of experience performing the functions of a wastewater treatment plant operator; OR,

(B) Education: An associate degree or completion of 60 semester units at a college or university, either of which includes 15 semester units of basic science courses; AND,

Experience: Four years of experience performing the functions of a wastewater treatment plant operator; OR,

(C) Education: Graduation from high school or equivalent as specified in Section 3686 and 32 educational points; AND,

Experience: Six years of experience performing the functions of a wastewater treatment plant operator; OR,

- (D) Experience: Four years of experience performing the functions of a wastewater treatment plant operator while certified as a Grade III operator.

(5) Grade V:

- (A) Credential: A valid license as a civil or chemical engineer issued by the California Department of Consumer Affairs, Board of Registration for Professional Engineers and Land Surveyors; AND,

Experience: Four years of experience performing the functions of a wastewater treatment plant operator; OR,

- (B) Education: A bachelor's degree with a major related to wastewater treatment and which includes a minimum of 30 semester units of basic science courses; AND,

Experience: Five years of experience performing the functions of a wastewater treatment plant operator; OR,

- (C) Education: An associate degree or completion of 60 semester units at a college or university, either of which includes 15 semester units of basic science courses; AND,

Experience: Six years of experience performing the functions of a wastewater treatment plant operator; OR,

- (D) Education: Graduation from high school or equivalent as specified in Section 3686 and 48 educational points; AND,

Experience: Ten years of experience performing the functions of a wastewater treatment plant operator; OR,

- (E) Experience: Six years of experience performing the functions of a wastewater treatment plant operator while certified as a Grade IV operator.

§ 3684. Experience Credits.

- (a) Applicants may be credited with one year of experience if they have had two or more years of full-time experience in the operation of a water treatment plant regulated by the California Department of Health Services or by a government agency in another state and while in possession of a valid water treatment plant operator certificate, if:
- (1) the water treatment plant where the experience was gained uses two or more of the following processes: coagulation, sedimentation, aeration, filtration, oxidation, or disinfection; and,
 - (2) at the time of their application for certification, they have had one year of full-time experience in the operation of a wastewater treatment plant.
- (b) Applicants, who have one year of experience in the operation of a wastewater treatment plant may substitute 16 educational points for one year of experience. Those educational points used to substitute for experience at one grade may not be used again to substitute for experience at another grade. The substitution may not be made by applicants qualifying under the provisions of Sections 3683 (c) (1) and 3683 (c) (4) (A).

§ 3685. Educational Points.

- (a) Pursuant to the provisions of this article, applicants may be required to obtain educational points to qualify for certification. Educational points may be earned as follows:
 - (1) One completed three-unit semester course which is directly related to wastewater treatment and which is part of the curriculum of an accredited college or university is equal to eight educational points. Completed courses which result in more or less than three units or which are quarter units rather than semester units will be credited with educational points on a proportional basis.
 - (2) All other courses will be assigned educational points at the rate of one educational point per 10 hours of completed classroom instruction. Subjects which are directly related to wastewater treatment shall be assigned full credit for educational points. Subjects which are indirectly related shall be given one half credit.
 - (3) One Continuing Education Unit which is directly related to wastewater treatment is equal to one educational point.
- (b) Applicants may not substitute experience for educational points.

§ 3686. High School Equivalence.

High school equivalence may be obtained by substituting six educational points for each uncompleted year of high school through grade 12 or by passing an approved General Educational Development test, or by obtaining a Certificate of Proficiency issued by the State Board of Education in accordance with Section 48412 of the Education Code.

Article 5. Examination and Certification of Wastewater Treatment Plant Operators

§ 3700. Application for Examination.

- (a) Content - An application for examination shall contain, but not be limited to the following information:
 - (1) the applicant's full name, mailing address, work telephone number, and date of birth;
 - (2) information regarding former employment, current operator status, other operator certificates held in California or other states, engineering registrations held, and education and experience gained;
 - (3) if employed as an operator, the original signature of the chief plant operator, verifying the applicant's experience as an operator;
 - (4) the applicant's original signature;
 - (5) copies of college transcripts, grade cards, or certificates of completion for courses related to wastewater treatment to verify completion of education requirements;
 - (6) any additional information, evidence, statements, or documents to support the application for examination as requested by the division; and,

- (7) the application fee and examination fee as prescribed by Article 8.
- (b) Submittal - Applications for examination shall be postmarked by the final filing date as specified in this subsection. Applications postmarked after the final filing date shall be held over and processed for the next scheduled examination.

<u>Date of Examination</u>	<u>Final Filing Date</u>
April 10, 1999	February 1, 1999
October 2, 1999	August 1, 1999
April 1, 2000	February 1, 2000
October 7, 2000	August 1, 2000
April 7, 2001	February 1, 2001
October 6, 2001	August 1, 2001
April 6, 2002	February 1, 2002
October 5, 2002	August 1, 2002
April 5, 2003	February 1, 2003
October 4, 2003	August 1, 2003
April 3, 2004	February 1, 2004
October 2, 2004	August 1, 2004

- (c) Division review - The division shall review applications and supporting documents to determine eligibility for examination.

Unless otherwise specified by this chapter, division evaluation of experience gained in California will be based on work performed while employed in a position which requires operator certification in California. Evaluation of experience gained outside California will be based on work performed while employed in a position comparable to one which requires operator certification in California. Division evaluation of experience will be based on the actual work performed by the applicant without respect to job titles assigned by the employing agencies.

- (d) Notice - The division shall notify applicants in writing within 30 calendar days of receipt of an application whether it is complete or deficient. If there is a deficiency, the division shall identify the deficiency and inform the applicant in writing of the specific information required.
- (e) Deficient applications - Applications which do not contain proof of completion of education requirements and the correct application and examination fees shall be considered deficient applications. Deficient applications shall not be processed for the current examination. The applicant shall be required to reapply to take a subsequent examination.
- (f) Processing times - the division's median, minimum, and maximum processing times for applications for examination between September 1989 and September 1991 were:

Median - 30 days
 Minimum - 3 days
 Maximum - 112 days

§ 3701. Examinations.

- (a) Written examinations for each wastewater treatment plant operator grade shall contain questions to determine applicants' knowledge of wastewater treatment plant operation. Mathematical problems related to process control and evaluation will be included. Each higher grade examination will require progressively more detailed knowledge of the subject matter.