

**CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARD
SAN FRANCISCO BAY REGION**

COMPLAINT NO. R2-2003-0098

**MANDATORY MINIMUM PENALTIES
IN THE MATTER OF
SAUSALITO-MARIN CITY SANITARY DISTRICT
SAUSALITO
MARIN COUNTY**

Pursuant to California Water Code Section 13385, this Complaint is issued to the Sausalito-Marin City Sanitary District (the Discharger) to assess mandatory minimum penalties (MMP), based on a finding of the Discharger's violations of the Waste Discharge Requirements contained in Order No. R2-2000-0060 (NPDES No. CA0038067).

The Executive Officer finds the following:

1. On July 19, 2000, the Regional Water Quality Control Board, San Francisco Bay Region (the Water Board) adopted Order No. R2-2000-0060 for the Discharger, to regulate discharges of waste from this treatment plant.
2. Water Code Section 13385(h)(1) requires the Water Board to assess an MMP of three thousand dollars (\$3,000) for each serious violation.
3. Water Code Section 13385(h)(2) defines a "serious violation" as any waste discharge that violates the effluent limitations contained in the applicable waste discharge requirements for a Group II pollutant by 20% or more, or any waste discharge of a Group I pollutant that exceeds the effluent limitation by 40% or more.
4. Water Code Section 13385(i) requires the Water Board to assess an MMP of three thousand dollars (\$3,000) for each violation, not counting the first three violations, if the discharger does any of the following four or more times in any six consecutive months:
 - (a) Violates a waste discharge requirement effluent limitation.
 - (b) Fails to file a report pursuant to Section 13260.
 - (c) Files an incomplete report pursuant to Section 13260.
 - (d) Violates a toxicity discharge limitation contained in the applicable waste discharge requirements where the waste discharge requirements do not contain pollutant-specific effluent limitations for toxic pollutants.
5. Effluent Limitations: Order No. R2-2000-0060 includes the following applicable effluent limitations:

EFFLUENT LIMITATIONS

Effluent discharge shall not exceed the following limits:

Total suspended solids: 30 mg/l monthly average
Total coliform 5-sample moving median: 240 MPN/100ml
Total Chlorine Residual: 0.0 mg/l

6. Summary of Effluent Limitation Violations:
Between February 2001 and March 2002, the Discharger had seven violations of its effluent limitations. These violations are: one total suspended solids monthly average violation, two chlorine residual violations, and four total coliform 5-sample moving median violations. The details of these limit violations are summarized in the attached Table 1.
7. Total Chlorine Residual is a Group II pollutant
The two chlorine residual violations are serious violations, as total chlorine residual is a Group II pollutant and the reported violations exceeded the effluent limitation by more than 20%. Each serious violation is subject to a \$3000 MMP under Section 13385(h)(1), for a total penalty of \$6,000 for the two violations.
8. Total Suspended Solids is a Group I pollutant
The single total suspended solids violation is not a serious violation, as total suspended solids is a Group I pollutant and the reported violation did not exceed the effluent limitation by more than 40%. This violation is the first violation in a six-month period.
9. Total Coliform is neither a Group I nor a Group II Pollutant
The four total coliform 5-sample moving median violations are non-serious violations. Because two of these violations are the fourth or more violations in a six-month period, two are subject to a \$3,000 MMP for each violation. The total MMP amount for these non-serious violations is \$6,000.
10. Water Code Exception
Water Code Section 13385(j) provides for some exceptions related to the assessment of a MMP for effluent limit violations. None of the exceptions apply to the violations cited in this Complaint.
11. MMP Assessment
Four of the seven violations are subject to an MMP, as detailed in Table 1. The total MMP amount is \$12,000.
12. Suspended MMP Amounts
Water Code Section 13385(l) allows the Water Board, with the concurrence of the discharger, to direct a portion of the MMP amount to be expended on a supplemental environmental project (SEP) in accordance with the enforcement policy of the State Water Resources Control Board. If the penalty amount exceeds \$15,000, the maximum MMP amount that may be expended on a SEP may not exceed \$15,000 plus 50% of the MMP amount that exceeds \$15,000. Thus, the entire amount of the \$12,000 MMP in this

complaint is eligible for SEP substitution. Any such amount expended to satisfactorily complete an SEP will be permanently suspended.

13. SEP Categories

If the Discharger chooses to propose an SEP, the proposed SEP shall be in the following categories:

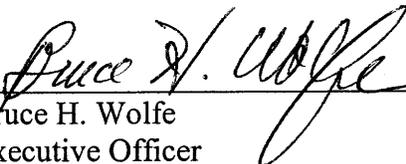
1. Pollution prevention;
2. Pollution reduction;
3. Environmental clean-up or restoration; or
4. Environmental education.

THE SAUSALITO-MARIN SANITARY DISTRICT IS HEREBY GIVEN NOTICE THAT:

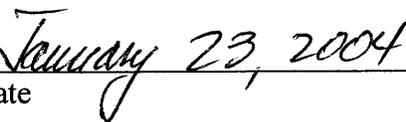
1. The Executive Officer proposes that the Discharger be assessed an MMP in the total amount of \$12,000.
2. The Water Board will hold a hearing on this Complaint on March 17, 2004, unless the Discharger waives the right to a hearing by signing the last page of this Complaint and checks the appropriate box. By doing so, the Discharger agrees to:
 - a. Pay the full penalty of \$12,000 within 30 days after the signed waiver becomes effective, or
 - b. Propose an SEP in an amount up to \$12,000. Pay the balance of the penalty within 30 days after the signed waiver becomes effective. The sum of the SEP amount and the amount of the fine to be paid to the State Water Pollution Cleanup and Abatement Account shall equal the full penalty of \$12,000.
3. If the Discharger chooses to propose an SEP, it must submit a preliminary proposal by 5:00 P.M., February 17, 2004, to the Executive Officer for conceptual approval. Any SEP proposal shall also conform to the requirements specified in Section IX of the Water Quality Enforcement Policy, which was adopted by the State Water Resources Control Board on February 19, 2002, and the attached Standard Criteria and Reporting Requirements for Supplemental Environmental Projects. If the proposed SEP is not acceptable to the Executive Officer, the Discharger has 30 days from receipt of notice of an unacceptable SEP to either submit a new or revised proposal, or to make a payment for the suspended penalty of \$12,000. All payments, including any money not used for the SEP, must be payable to the State Water Pollution Cleanup and Abatement Account. Regular reports on the SEP implementation shall be provided to the Executive Officer according to a schedule to be determined. The completion report for the SEP shall be submitted to the Executive Officer within 60 days of project completion.
4. The signed waiver will become effective on the next day after the public comment period for this Complaint is closed, provided that there are no significant public comments on this Complaint during the public comment period. If there are

significant public comments, the Executive Officer may withdraw the Complaint and reissue it as appropriate.

5. If a hearing is held, the Water Board may impose an administrative civil liability in the amount proposed or for a different amount; decline to seek civil liability, or refer the matter to the Attorney General to have a Superior Court consider imposition of a penalty.



Bruce H. Wolfe
Executive Officer



Date

Table 1 – Violations
Attachment A – Standard Criteria and Reporting Requirements for Supplemental
Environmental Projects

WAIVER

(The signed waiver will become effective on the next day after the public comment period for this Complaint is closed, provided that there are no significant public comments on this Complaint during the public comment period. If there are significant public comments, the Executive Officer may withdraw the Complaint and reissue it as appropriate.)

Waiver of the right to a hearing and agree to make payment in full.

By checking this box, I agree to waive my right to a hearing before the Water Board with regard to the violations alleged in Complaint No. R2-2003-0098 and to remit the full penalty payment to the State Water Pollution Cleanup and Abatement Account, c/o the State Water Resources Control Board at 1515 Clay Street, Oakland, CA 94612, within 30 days after the signed waiver becomes effective as indicated above. I understand that I am giving up my right to be heard, and to argue against the allegations made by the Executive Officer in this Complaint, and against the imposition of, or the amount of, the civil liability proposed.

Waiver of the right to a hearing and agree to make payment and complete a SEP.

By checking this box, I agree to waive my right to a hearing before the Water Board with regard to the violations alleged in Complaint No. R2-2003-0098 and to complete a supplemental environmental project (SEP) in lieu of the suspended liability up to \$12,000. I also agree to remit payment of the balance of the fine to the State Water Pollution Cleanup and Abatement Account (CAA) within 30 days after the signed waiver becomes effective. I understand that the SEP proposal shall also conform to the requirements specified in Section IX of the Water Quality Enforcement Policy, which was adopted by the State Water Resources Control Board on February 19, 2002 and the attached Standard Criteria and Reporting Requirements for Supplemental Environmental Projects, and be subject to the approval by the Executive Officer. If the SEP proposal, or its revised version, is not acceptable to the Executive Officer, I agree to pay the suspended penalty amount for the SEP within 30 days of a letter from the Executive Officer denying the approval of the proposed SEP. I understand that I am giving up my right to be heard, and to argue against the allegations made by the Executive Officer in this Complaint, and against the imposition of, or the amount of, the civil liability proposed. I further agree to satisfactorily complete the approved SEP within a time schedule set by the Executive Officer. I understand that failure to adequately complete the approved SEP will require immediate payment of the suspended liability to the CAA.

Name (print)

Signature

Date

Title/Organization

VIOLATIONS – TABLE 1

Item #	Date of Violation	Effluent Limitation Description	Effluent Limit	Reported Value	Type of Violation	Penalty Amount
					Serious?	
1	2/01	TSS monthly average	30 mg/l	32 mg/l	No (1 st viol. in 6 months)	-
2	5/7/01	Total coliform 5-sample moving median	240 MPN/100 ml	260 MPN	No (2 nd viol. in 6 months)	-
3	5/9/01	Total coliform 5-sample moving median	240 MPN/100 ml	300 MPN	No (3 rd viol. in 6 months)	-
4	5/10/01	Total coliform 5-sample moving median	240 MPN/100 ml	260 MPN	No (4 th viol. in 6 months)	\$3,000
5	5/11/01	Total coliform 5-sample moving median	240 MPN/100 ml	260 MPN	No (5 th viol. in 6 months)	\$3,000
6	8/9/01	Chlorine residual	0.0 mg/l	6.29 mg/l	Yes	\$3,000
7	3/21/02	Chlorine Residual	0.0 mg/l	6.5 mg/l	Yes	\$3,000

Total Penalty \$12,000

CALIFORNIA REGIONAL WATER QUALITY CONTROL BOARD
SAN FRANCISCO BAY REGION
JANUARY 2004

STANDARD CRITERIA AND REPORTING REQUIREMENT
FOR
SUPPLEMENTAL ENVIRONMENTAL PROJECT

A. BASIS AND PURPOSE

The San Francisco Bay Regional Water Quality Control Board (Water Board) accepts and encourages Supplemental Environmental Projects (SEP) in lieu of a portion of the ACL imposed on Dischargers in the Bay Area.

The Water Board does not select projects for SEP; rather, the Discharger identifies a project it would like to fund and then obtains approval from the Water Board's Executive Officer. The Water Board facilitates the process by maintaining a list of possible projects, which is made available to Dischargers interested in pursuing the SEP option. This list is available on the Water Board web site:

<http://www.swrcb.ca.gov/rwqcb2/>

Dischargers are not required to select a project from this list. Dischargers may contact local governments or public interest groups for potential projects in their area, or develop projects of their own.

B. GENERAL SEP QUALIFICATION CRITERIA

All SEPs approved by the Water Board must satisfy the following general criteria:

- (a) An SEP shall only consist of measures that go above and beyond all legal obligations of the Discharger (including those from other agencies). For example, sewage pump stations should have appropriate reliability features to minimize the occurrence of sewage spills in that particular collection system. The installation of these reliability features following a pump station spill would not qualify as an SEP.
- (b) The SEP should benefit or study groundwater or surface water quality or quantity, and the beneficial uses of waters of the State. SEPs in the following categories have received approval from the Water Board's Executive Officer:
 - Pollution prevention. These are projects designed to reduce the amount of pollutants being discharged to either sewer systems or to storm drains. Examples include improved industrial processes that reduce production of pollutants or improved spill prevention programs.
 - Pollution reduction. These are projects that reduce the amounts of pollution being discharged to the environment from treatment facilities. An example is a program to recycle treated wastewaters.
 - Environmental restoration. These projects either restore or create natural environments. Typical examples are wetland restoration or planting of stream bank vegetation.
 - Environmental education. These projects involve funding environmental education programs in schools (or for teachers) or for the general public.

Further, an SEP should be located near the Discharger, in the same local watershed, unless the project is of region-wide importance.

C. APPROVAL PROCESS

The following information shall be submitted to the Executive Officer for approval of an SEP:

1. Name of the organization and contact person, with phone number.
2. Name and location of the project, including watershed (creek, river, bay) where it is located.
3. A detailed description of the proposed project, including proposed activities, time schedules, success criteria, other parties involved, monitoring program where applicable, and any other pertinent information.
4. General cost of the project.
5. Outline milestones and expected completion date.

Generally SEP proposals are submitted along with waivers of hearings. In such a case the approval of a proposal will not become effective until the waiver goes into effect, i.e. at the close of the public comment period. There will not be a public hearing on the SEP proposal unless new and significant information becomes available after the close of the public comment period that could not have been presented during the comment period.

If the Discharger needs additional time to prepare an SEP it may waive its right to a hearing within 30 days of the issuance of a Complaint (and retain its right to a hearing to contest the Complaint at a later date), and request additional time to prepare an SEP proposal. Any such time extension needs to be approved by Water Board staff.

D. REPORTING REQUIREMENT

On January 15 and July 15 of each year, progress reports shall be filed for the SEPs with expected completion date beyond 240 days after the issuance of the corresponding complaint.

E. FINAL NOTIFICATION

No later than 60 days after completion of the approved SEP, a final notification shall be filed. The final notification shall include the following information:

- Outline completed tasks and goals;
- Summary of all expenses with proof of payment; and
- Overall evaluation of the SEP.

F. THIRD PARTY PROJECT OVERSIGHT

For SEPs of more than \$10,000 the Water Board requires there to be third party oversight of the project. The Water Board has made arrangements with the Association of Bay Area Governments (ABAG) to provide this oversight, or a Discharger may choose an alternative third party acceptable to the Executive Officer. If ABAG is chosen, six per cent of the SEP funds shall be directed to ABAG for oversight services (the remaining 94% of funds go directly to the SEP). If an alternative third party is chosen, the amount of funds directed to the SEP, as opposed to oversight, shall not be less than 94% of the total SEP funding. For projects greater than \$10,000 the Discharger shall indicate when submitting the information required under C. above whether ABAG or an alternative third party oversight entity will be used.